

FROM  
SILENCE  
TO

SOUND

BEETHOVEN'S BEGINNINGS

JEREMY YUDKIN

# From Silence to Sound



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Beethoven's Beginnings

Jeremy Yudkin

THE BOYDELL PRESS

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*For Kathryn, as always*



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- Beethoven Werke*, Section 6, volumes 3, 4, and 5, String Quartets 1, 2, and 3  
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- Beethoven – Bärenreiter Urtext: Symphonie Nr. 1–9* (Kassel: Bärenreiter, 1999).
- Beethoven Werke*, Section 3, volumes 2 and 3, Piano Concertos 1 and 2  
(Munich: Henle, 1984, 1996).
- Joseph Haydn Werke*, Series 12, String Quartets, volume 3 (Op. 20, Op. 33),  
volume 4 (Op. 42, Op. 50, Op. 54, Op. 55), volume 5 (Op. 64, Op. 71,  
Op. 74), volume 6 (Op. 76, Op. 77, Op. 103) (Munich: Henle, 1978,  
1974, 2009, 2003).
- Joseph Haydn: Kritische Ausgabe sämtlicher Symphonien*, 12 volumes  
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# Foreword

LEWIS LOCKWOOD

HERE is a tale that someone asked Maurice Ravel how things were going with a large work he was then composing. To which Ravel supposedly replied, “I have it all finished except the themes.” This bit of wit reminds us that in the vast repertoires of classical music the “themes” of a composition are its most obvious defining features. They are the signatures by which we usually remember and identify an entire composition or any of its component movements. This is true above all for an opening theme, the gesture that is the starting point for what the eminent American composer Roger Sessions called the “train of thought” that then emerges as the musical narrative.<sup>1</sup>

No classical composer put more drama or originality into his opening ideas than Beethoven, and so it is surprising that there has been no special study of his many ways of beginning his compositions. This gap is now remedied in this comprehensive survey by Jeremy Yudkin, which takes a broad view of the subject and ranges over not just opening themes as such, but all the myriad ways in which Beethoven sets the levers of action in motion. These include Beethoven’s slow introductions to fast-tempo movements and his often surprising and novel ways of entering into movements of every kind and character, whether he employs a well-defined theme, a short motive, or a variety of other initial gestures.

Yet the focus of the book is not merely on structural categories but on the auditory experience of these significant musical moments, on the way in which many such beginnings “call the listener to attention or sneak up on them,” as Yudkin puts it in his Preface. What emerges is a newly enlarged picture of the many techniques by which Beethoven captures the listener’s attention from the very outset of a given work – sometimes with a delicate touch, sometimes with a hammer – but at all times with a strong sense of what is needed to set up the discourse in what we feel to be the right way.

To all this Yudkin supplies an array of relevant contexts. One is his broad approach to the aesthetic of beginnings, not only in music but in samples of literary works from Shakespeare to Melville, thus touching on both drama and prose fiction. He explores the importance of rhetoric in classical literature and its parallels in music. And when it comes to the music of Beethoven’s time he cuts an equally broad swath as he compares Beethoven’s openings to those of Haydn and Mozart, his major predecessors, many of whose works are discussed as points of reference. Alongside them appear some of Beethoven’s lesser-known contemporaries, such as Pleyel, Dussek, Eberl, Hofmann, and Reichardt, who will be new

<sup>1</sup> Roger Sessions, *The Musical Experience of Composer, Performer, Listener* (Princeton: Princeton University Press, 1950), 53–61, where he also reports the Ravel anecdote.

to most readers. Yudkin places his survey within the long and complex history of analytical, biographical, and stylistic studies, which serves to give this book a distinctive place in the current world of Beethoven scholarship and of contemporary historical musicology in the larger sense.

## Acknowledgments

I am very grateful to Mark Evan Bonds and Lewis Lockwood, who encouraged my work on this book from the beginning, and to the other colleagues who lent their critical faculties to improving it. The comments of those anonymous readers who took the trouble to read the manuscript carefully and offer constructive suggestions were much appreciated. I am grateful for the scholarly rigor of my colleagues at the Beethoven-Haus, Bonn, as well as for their help and that of all the other European and American libraries and institutions who granted me access to study original autograph manuscripts. Some of the research for this book was accomplished during a sabbatical leave from Boston University. Dr. Matthew Cron, the administrative assistant of the Center for Beethoven Research at Boston University, took on the herculean task of preparing the 118 musical examples for publication and was endlessly patient with my finicky proofreading. As if this were not enough, he also pitched in at the very last minute to compile the Index of Works Cited. David Edwards generously provided important technological advice regarding the facsimiles and many other matters. The editorial and production staff at Boydell & Brewer have been simultaneously highly skilled, professional, and kind during the process of reviewing, acquiring, editing, and producing this book. I am most grateful to them.

As always, my family – especially the dedicatee of this volume – have been supportive of me and enthusiastic about my work. In this formal location I offer them my heartfelt thanks.



## Introduction

**V**ERY little has been written about the ways in which Beethoven begins his works, or about the structural, rhetorical, and emotional implications of these beginnings, or about the listener's experience in hearing them. This book aims to fill these gaps and add another level to our understanding of the music. My focus is on the experience of hearing, the effect of a beginning as it happens, as silence gives way to sound.

The book discusses the opening moments in nearly 200 compositions of Beethoven, including many of the lesser-known works, both with and without opus numbers. All aspects of these beginnings are analyzed, including their adherence to or departure from convention; the way they establish or disguise the key, rhythm, and meter of the work; the way they call the listener to attention or sneak up on them; the sonority, texture, and dynamics of these beginnings; their directness or guile, wit, or humor; their occasional iconoclasm. Beginnings can form structural units (or not). Beginnings can be iterative; they can begin in the middle of things; they can pay their respects or thumb their noses or linger in contemplation. They can issue a challenge or wander into aimlessness. I discuss slow introductions, overtures, and themes for variations as beginnings. I consider where a beginning ends; how a multi-work opus begins; beginnings with words; storehouse beginnings; beginnings as endings; beginnings before the beginning; and how beginnings look in the autograph manuscripts.

Setting the context for Beethoven's work, I have also closely analyzed beginnings in the compositions of Haydn and Mozart. Other composers considered include C. P. E. Bach, Boccherini, Carl Czerny, Dittersdorf, Dussek, Eberl, Hofmann, Clementi, Pleyel, Reichardt, Schulz, Spohr, Carl Stamitz, Vanhal, Viotti, Anton Wranitzky, and Paul Wranitzky.

Chapter One establishes in musical and rhetorical theory how a beginning works; it also surveys the findings from neuroscience as to how a beginning is received by our brains. These topics are vital to setting the scene for the rest of the book. In Chapters Two through Seven, the book is arranged by category, so that all the different types of beginning may be understood, and the strategies of Beethoven may be compared side by side with those of Haydn, Mozart, and the other composers, enabling consideration of issues of originality, emulation, influence, competition, and cross-fertilization, as well as the overall compositional approach to beginnings in the musical style of the Classic era. Chapter Eight establishes conclusions for the correlation between our reception of



beginnings and the multifarious ways in which composers of the eighteenth and early nineteenth centuries, especially Beethoven, crafted their opening gestures.

For the Appendix I have compiled charts that display the distribution and frequency of key usage across all the principal works of Beethoven, and I compare them with the ranges found in musical works of both Haydn and Mozart. The Index of Works Cited lists all the works cited in the course of my book.

Let us begin.

## CHAPTER ONE

# Begin at the Beginning

### THREE BEGINNINGS

When shall we three meet again,  
In thunder, lightning, or in rain?

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I wish either my father or my mother, or indeed both of them, as they were in duty both equally bound to it, had minded what they were about when they begot me; had they duly consider'd how much depended upon what they were then doing; – that not only the production of a rational Being was concerned in it, but that possibly the happy formation and temperature of his body, perhaps his genius and the very cast of his mind; – and, for aught they knew to the contrary, even the fortunes of his whole house might take their turn from the humours and dispositions which were then uppermost; Had they duly weighed and considered all this, and proceeded accordingly, – I am verily persuaded I should have made a quite different figure in the world, from that in which the reader is likely to see me. ... Pray my Dear, quoth my mother, have you not forgot to wind up the clock? – Good G..! cried my father, making an exclamation, but taking care to moderate his voice at the same time, – Did ever woman, since the creation of the world, interrupt a man with such a silly question?

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Call me Ishmael.

To begin this book, I have presented three well-known but very different beginnings. The first is the beginning of *Macbeth* (1606), the second is the opening of Laurence Sterne's *Tristram Shandy* (1759–67), and the third, of course, is the first sentence of *Moby Dick* (1851).

With his beginning to *Macbeth* Shakespeare hurls us *in medias res* – a time-honored strategy, reaching back, as we shall see, to Homer, whose furious opening of the *Iliad* set off a train of critical discussion that ran throughout the

teaching and analysis of rhetoric from antiquity until the present day.<sup>1</sup> Amid the darkness and blood-soaked imagery of *Macbeth*, the witches are power-brokers, stirring the “vaulting ambition” of Macbeth to a deed that is unnatural in the extreme: the vicious murder of God’s representative on earth, the legitimate king of Scotland. They speak in sing-song trochaic tetrameter – a childlike sinister song that contrasts with the high-flown elegance of the prevailing iambic pentameters of the human characters.<sup>2</sup> Shakespeare presents the witches again in Act I, Scene 3, where, picking up on the promise presented at the opening, they meet Macbeth. The link between the scenes is made explicit through verbal echo of the short-form rendering of the topsy-turvy, “unnatural”<sup>3</sup> state of affairs. At the end of Act I, Scene 1, the witches chant: “Fair is foul, and foul is fair.” In Act I, Scene 3, Macbeth, striding from battle on the heath, pronounces on the contrast between the ferocious weather and the successful outcome of the conflict: “So foul and fair a day I have not seen.” The “weird sisters” reappear twice more during the play, helping to lead Macbeth to his ultimate doom. Thus the witches are in the rafters of the whole play, manipulating the actions of the humans like puppet masters.

Sterne starts his novel with a grimly sardonic and yet humorous picture of the autobiographer’s parents in the act of sexual intercourse – a kind of beginning before the beginning, presenting not even the birth of the protagonist but his conception, nine months earlier. Our slightly prudish shock (even today) comes only slowly as the nature of what is being described dawns on us; the beginning opens out into wry – and coarse – humor. Sterne’s circuitous,

<sup>1</sup> Sing, Goddess, Achilles’ rage,  
Black and murderous, that cost the Greeks  
Incalculable pain, pitched countless souls  
Of heroes into Hades’ dark,  
And left their bodies to rot as feasts  
For dogs and birds, as Zeus’ will was done.

Homer, *The Iliad*, ll. 1–6, trans. Stanley Lombardo  
(Indianapolis, Indiana: Hackett, 1997), 1.

<sup>2</sup> “The hypnotic throbbing of the language is powerfully persuasive in gaining and keeping attention.” Rex Gibson, “Shakespeare’s Rhetoric in Action,” in *Rebirth of Rhetoric: Essays in Language, Culture, and Education*, ed. Richard Andrews (London: Routledge, 1992; reprint, Abingdon, Oxfordshire: Routledge, 2012), 160.

<sup>3</sup> Act II, Scene 4, Old Man:

’Tis unnatural,  
Even like the deed that’s done. On Tuesday last,  
A falcon, towering in her pride of place,  
Was by a mousing owl hawk’d at and kill’d.

Act v, Scene 1, Doctor:

Unnatural deeds  
Do breed unnatural troubles.

open-form novel is wound around the character of Tristram, whose self-avowed weakness of mind and body stem, the narrator believes, from the circumstances of his conception. The opening alludes slyly to Horace's classical antithesis to the *in medias res* technique – one that starts a story “ab ovo” (“from the egg”). The egg is that of Leda, who, seduced by Zeus in the shape of a swan, gave birth to Helen: Helen's birth from the egg therefore stands as the origin of the great Greek epic narratives, for without Helen there would have been no Trojan War. Sterne has decided to trump the conventional *ab ovo* opening technique by starting his story at the event preceding the birth and without which the birth could not have occurred. (In the back of our minds we recognize – perhaps reluctantly – that Tristram's mother's egg was ready, despite the distracted – and distracting – state of her mind.) The opening is heavily self-conscious: Sterne himself refers archly to Horace and the rhetorical technique of beginnings in Chapter 4 of Book I.

For which cause, right glad I am, that I have begun the history of myself in the way I have done; and that I am able to go on, tracing everything in it, as Horace says, ab Ovo.

Horace, I know, does not recommend this fashion altogether: But that gentleman is speaking only of an epic poem or a tragedy; – (I forget which,) besides, if it was not so, I should beg Mr. Horace's pardon; – for in writing what I have set about, I shall confine myself neither to his rules, nor to any man's rules that ever lived.

So much of a beginning before the beginning is the novel's opening that the actual birth of Tristram himself is not reached until Book III, sixty-seven chapters later.

Readers need to know their Bible to savor the impact of Melville's epigrammatic, staccato, syncopated opening to *Moby Dick*. The Biblical Ishmael is the son of Abraham and his servant Hagar (Genesis 16–25). Ultimately disinherited, he becomes an outcast, a wanderer – just as Melville's narrator is without family and wanders the watery wastes. (“I love to sail forbidden seas, and land on barbarous coasts.”) The name is only the first of several Old Testament threads to the novel, with its prophesying stranger Elijah and Captain Ahab (the first owners of these names are together in 1 Kings 18:17). And, curiously, *Moby Dick* has its own “witches” – the Fates – whom Ishmael describes as “those stage managers.”<sup>4</sup>

<sup>4</sup> “Though I cannot tell why it was exactly that those stage managers, the Fates, put me down for this shabby part of a whaling voyage ... cajoling me into the delusion that it was a choice resulting from my own unbiased freewill and discriminating judgment.” (Book I, Chapter 1.)

Have the Fates ordained the doom of the *Pequod*?<sup>5</sup> The novel interweaves the sense of impersonal tragic predetermination with the personality-driven obsession of the individual (Ahab) – as does *Macbeth*.

The opening seems definitive, and yet the three words are fraught with ambiguity and meaning. The name itself has wide and ancient resonance, as we have seen. The imperative “Call me” seems at first straightforward enough, the equivalent of “My name is.” And yet there is more. First, “Call me” suggests the possibility that the narrator’s name is other than Ishmael. (*My name is Montmorency. Call me Monty.*) There also hovers the suggestion that not only the author but also the narrator chose the name for its associations. (*My name is John; but call me Ishmael. For, as you will see, my story is about my lengthy journey on the high seas.*) The rhythm (spondee–iamb [two quarter notes followed by an eighth and dotted quarter]) utilizes syncope for its acceleration in and accentuation of the third word).

In a way, of course, the beginning of a literary work is preceded by a different kind of beginning: the title. In a literary pun, Samuel Beckett entitled a 1961 novel *Comment c’est* (How It Is), which has the same pronunciation as *Commencez* (Begin). Shakespeare’s play’s title provides its audiences with a foreshadowing of the plot, for its full name is *The Tragedy of Macbeth*. A good man, a hero, is led into monstrous evil and tragic downfall by his – and his wife’s – hunger for power, glory, and status – and by the machinations of manipulating agencies beyond his control: the gods, the Fates, God, Fortune. Tragedy befalls not only Macbeth and his wife but also those they murder along the way in their blind and brutal drive for advancement. The full name of Sterne’s novel is *The Life and Opinions of Tristram Shandy, Gentleman*, and we get opinions in full measure, fuller than for the life. The humorous, discursive nature of the work and its narrator’s penchant for lengthy, circuitous explanations, excursions, and digressions are the book’s principal conceits. For Melville’s book, the English and American editions had different titles: *The Whale* in England (October 18, 1851) and *Moby-Dick; or, The*

<sup>5</sup> Shakespeare’s witches seem to delight particularly in making trouble at sea – the locus of fear and uncertainty throughout medieval history. (One of the meanings of the multivalent Latin and Italian *fortuna* was “storm.”)

Act I, Scene 3, First Witch:

A sailor’s wife had chestnuts in her lap,  
 And munch’d, and munch’d, and munch’d: –  
 “Give me,” quoth I:  
 “Aroint thee, witch!” the rump-fed ronyon cries.  
 Her husband’s to Aleppo gone, master o’ the Tiger:  
 But in a sieve I’ll thither sail,  
 And, like a rat without a tail,  
 I’ll do, I’ll do, and I’ll do. ...  
 Though his bark cannot be lost,  
 Yet it shall be tempest-tost.

*Whale* (November 14, 1851) in America.<sup>6</sup> The latter was Melville's later choice. In either case, it is indisputable who or what is the central character of the book.<sup>7</sup> For all three books, the title tells us something relevant to the principal content of the book itself. But, more importantly, in each case the author has crafted a strategy for opening that echoes resonantly throughout the subsequent pages of the entire work.<sup>8</sup>

#### THE VERY BEGINNING

There could, of course, be no more definitive a beginning than the following: "In the beginning God created the heaven and the earth."<sup>9</sup> And yet early Jewish

<sup>6</sup> Herman Melville, *The Whale* (London: Richard Bentley, 1851); Herman Melville, *Moby-Dick; or, The Whale* (New York: Harper and Brothers, 1851).

<sup>7</sup> Allan Melville, the novelist's brother, wrote that "Moby-Dick is a legitimate title for the book, being the name given to a particular whale who if I may so express myself is the hero of the volume." Cited in Herman Melville, *Moby-Dick, or The Whale*, ed. G. Thomas Tanselle, Northwestern-Newberry Edition of the Writings of Herman Melville 6 (Evanston, Illinois: Northwestern University Press, 1988), 671.

<sup>8</sup> Focus on literary openings began partly in response to the English literary critic Frank Kermode's influential book *The Sense of an Ending: Studies in the Theory of Fiction* (New York: Oxford University Press, 1967), which considered literary endings in relation to the idea of apocalypse. George Watson's article "The Sense of a Beginning," *The Sewanee Review* 86 (1978), 539–48, states that "At no point ... are the conscious and deliberate choices of an author likely to be so clearly visible as at the beginning. ... The total character of a play, film, or novel is commonly apprehended from its opening moments." (p. 540.) And "These are among the reasons why beginnings count for more than endings. They require more concentration on the part of the author; more significant decisions, albeit provisional ones, on the part of the reader; and they dominate the total texture of the works they initiate." (p. 541.) He points out that all Shakespeare's comedies end with marriage; all the tragedies in death. But the beginnings are extremely various. All of Jane Austen's six novels end the same way; but all begin differently. Similarly, we know how musical works in the Classic era will end, with an alternation of dominant and tonic chords, but the possibilities of beginning are endless. The literary critic Edward Said wrote about beginnings in 1975. Meditating both on modern literature and modern literary theory, he distinguished between origins and beginnings and proposed that "a beginning ... unites ... an intention with a method." Edward Said, *Beginnings: Intention and Method* (New York: Basic Books, 1975), 380.

<sup>9</sup> Genesis 1:1 (King James Version). The fourth gospel (John 1:1), leaning on Genesis, has it differently: "In the beginning was the Word, and the Word was with God, and the Word was God." (King James Version.) The Hellenistic Jewish philosopher Philo of Alexandria (early first century) interpreted the "Word" as God's thought process during the act of creation. See Philo, "On the Creation," in *The Works of Philo: Complete and Unabridged*, trans. C. D. Yonge, rev. ed. David M. Scholer (Peabody, Massachusetts: Hendrickson, 1993), [http://www.friendsofsabbath.org/Further\\_Research/e-books/PHILO.pdf](http://www.friendsofsabbath.org/Further_Research/e-books/PHILO.pdf) (accessed April 24, 2015) (consulted online); Geert Lernout, "From Varieties of Genetic Experience to Radical Philology," in *Genetic Criticism and the Creative Process: Essays from Music, Literature, and Theater*, ed. William Kinderman and Joseph E. Jones (Rochester, New York: University of Rochester Press, 2009), 19–34. In his analysis of Beethoven's Ninth Symphony, Schenker adopted

commentators on the Bible explained that the Torah preceded the creation of the world:

The Torah says, 'I was the craftsman's tool for the Holy One, Blessed be He.' Normally, when a king builds a palace, he does not build it himself but employs a skilled craftsman; and the craftsman does not build it by himself but has diagrams and handbooks to tell him how to dispose the main halls and the smaller rooms. Thus the Holy One, Blessed be He, would look into the Torah while creating the universe.<sup>10</sup>

When the Holy One, Blessed be He, created the universe, he looked into the Torah and created the universe, and the universe was brought into being using the Torah.<sup>11</sup>

The Holy One, Blessed be He's inspection of the Torah took this form: in the Torah it is written (Genesis 1, i): 'In the beginning God created the heaven and the earth.' He looked at this phrase and created the heavens. In the Torah it is written (Genesis 1, iii): 'And God said, "Let there be light".' He looked at this phrase and created the light. Similarly, for each and every word that is written in the Torah, the Holy One, Blessed be He, looked at that word and enacted it.<sup>12</sup>

Christian commentators have also argued that "while this [the opening of Genesis] is the beginning of the *written* Word, the actual beginning of God's using the written Word to communicate something to His people is when he *gave* it to them," coming down from Mount Sinai with the Law.<sup>13</sup> And astrophys-

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the maxim "In the beginning was the content!" ("Am Anfang war der Inhalt!"). See Heinrich Schenker, *Beethovens Neunte Sinfonie: Eine Darstellung des musikalischen Inhaltes unter fortlaufender Berücksichtigung auch des Vortrags und der Literatur* (Vienna: Universal, 1912), vii.

<sup>10</sup> Midrash Genesis Rabbah, 1, I, [https://www.sefaria.org/Bereishit\\_Rabbah.1?lang=bi](https://www.sefaria.org/Bereishit_Rabbah.1?lang=bi) (accessed April 30, 2015).

<sup>11</sup> Zohar, Terumah, 161a, para. 635, <http://www.walkingkabbalah.com/zohar-pdf/> (accessed May 11, 2018). See also [http://www.hevratpinto.org/Livres/english\\_books/pachad\\_david\\_chemot.pdf](http://www.hevratpinto.org/Livres/english_books/pachad_david_chemot.pdf) (accessed May 11, 2018).

<sup>12</sup> Zohar, Terumah, 161a, para. 639. Ibid. Rabbinical commentators even worried about which word was at the beginning of the first verse of Genesis. The Hebrew is "Beresheet bara Elohim et hashamayim ve'et ha'arets," literally "In the beginning – made – God – heavens – and – earth." A preferable order, they thought, would have God at the beginning: "God made in the beginning heavens and earth." Lernout, "From Varieties of Genetic Experience to Radical Philology," 30.

<sup>13</sup> Garret Johnson, "Show, Don't Tell: Good Friday and the Power of Story," <http://www.hieropraxis.com/2013/03/good-friday-and-the-power-of-story/> (accessed January 2, 2015). See also Garret Johnson, "In Medias Res: Why the Best Stories Start in the Middle," <http://www.hieropraxis.com/2013/04/in-medias-res-why-the-best-stories-start-in-the-middle/> (accessed March 16, 2015).

icists have theorized further and further back in time to within  $10^{-37}$  seconds of the Big Bang, which stands as our current secular notion of the beginning. A humorous explanation of what happened before that has been provided by astronomer David Helfand: “There was nothing: it exploded.”<sup>14</sup>

#### BEGINNINGS IN RHETORIC

Consideration of the arrangement of events in an artistic work (a speech, a play, a poem) occurs first (so far as we know) in the Western literary tradition in Plato’s *Phaedrus* dialogue. The principal topic of the dialogue, which was written about 370 BC, at about the time of the *Republic*, is the art of rhetoric, both in speechmaking and in writing. Socrates complains that Lysias begins his speeches at the end rather than at the beginning.<sup>15</sup> Each composed work should have clear divisions: a middle, a beginning, and an end, which are related to each other.<sup>16</sup> Each must start with a beginning (*proemion*).<sup>17</sup> Socrates (Plato) gives an amusing example of a four-line inscription that has no middle, beginning, or end, in which the lines could come in any order whatsoever:

<sup>14</sup> “What We Know About the Universe (and What We Don’t Know),” One-Day University, Phoenix, Arizona, November 1, 2014. Helfand thinks that he got the quote from astrophysicist Lawrence Krauss, author of *A Universe from Nothing: Why There Is Something Rather than Nothing* (New York: Atria: 2013). But he believes that the phrase may actually have originated with English fantasy author and eminently quotable humorist Terry Pratchett in *Lords and Ladies* (New York: HarperCollins, 1992):

There are very few starts. Oh, some things *seem* to be beginnings. The curtain goes up, the first pawn moves, the first shot is fired – but *that’s* not the start. The play, the game, the war is just a little window on a ribbon of events that may extend back thousands of years. The point is, there’s always something *before*. It’s *always* a case of Now Read On.

Much human ingenuity has gone into finding the ultimate Before.

The current state of knowledge can be summarized thus:

In the beginning, there was nothing, which exploded. (p. 1.)

Another quotation, deliciously, from Pratchett’s *Lords and Ladies*: “If cats looked like frogs we’d realize what nasty, cruel little bastards they are. *Style*. That’s what people remember.” (p. 158, my italics.)

<sup>15</sup> *Oude ap’ arches all’ apo teleutes*. (264a.) The *Phaedrus* in Greek is published in the Loeb Classical Library: *Plato: Euthyphro. Apology. Crito. Phaedo. Phaedrus*, Loeb Classical Library 36 (Cambridge, Massachusetts: Harvard University Press, 1914). A translation is available online at <http://www.perseus.tufts.edu/hopper/text?doc=Perseus%3Atext%3A1999.01.0174%3Atext%3DPhaedrus%3Asection%3D264d> (accessed March 27, 2015). Throughout this book, however, all translations are my own, unless otherwise credited.

<sup>16</sup> *Ibid.*, 264c.

<sup>17</sup> *Ibid.*, 266d. George Kennedy characterizes the *proemion* as necessary to “secure the attention, interest, and good will of the jury.” George Kennedy, “Classical Rhetoric,” in *Encyclopedia of Rhetoric*, ed. Thomas Sloane (New York: Oxford University Press, 2001), 92–115, at 95.



I am a bronze maiden, and I lie on the tomb of Midas  
 As long as water is flowing and tall trees are growing  
 Staying in this place on this sad tomb  
 I shall explain to passers-by that Midas is buried here<sup>18</sup>

Not long after the *Phaedrus*, Plato's student Aristotle began work on his *Rhetoric*, which was probably completed about 322 BC. An organizer himself, Aristotle lays out the three things essential to a good speech: *pistis* (proof), *lexis* (style), and *taxis* (order). The *Poetics* (c. 335 BC) goes further: "*Taxis* is the first and greatest thing in tragedy." Aristotle considered tragedy the highest form of literature and determined that a good tragedy must be unified and must move logically from its beginning. The beginning should not be dependent upon unstated material and should move naturally into what follows:

A beginning (*archē*) is something that requires nothing to precede it, but after which something occurs.<sup>19</sup>

The Romans, hoping to improve upon their Greek teachers and move rhetoric to more practical ends, expanded upon the concept of *taxis*. *Ordo* (as they called it) has four parts, beginning with the *exordium*. One prescriptive commonplace of Roman rhetoric was the *captatio benevolentiae* ("securing of goodwill") at the outset of a speech, discussion, or argument. The phrase itself does not appear until the sixth century AD,<sup>20</sup> but the idea is expressed by the pseudo-Ciceronian *Rhetorica ad Herennium* (c. 90–80 BC), one of the oldest Latin books of rhetorical advice:<sup>21</sup>

<sup>18</sup> *Ibid.*, 264d.

<sup>19</sup> Aristotle, *Poetics*, chapter 7 (1450b), in *Aristotle: Poetics; Longinus: On the Sublime; Demetrius: On Style*, Loeb Classical Library 199, rev. ed. (Cambridge, Massachusetts: Harvard University Press, 1995). Aristotelis opera, volume 2. By Aristoteles, Immanuel Bekker, Christian August Brandis, Aristoteles Graece, (consulted online). Translation available by S. H. Butcher: Gutenberg Project, [http://www.gutenberg.org/files/1974/1974-h/1974-h.htm#link2H\\_4\\_0009](http://www.gutenberg.org/files/1974/1974-h/1974-h.htm#link2H_4_0009) (accessed December 28, 2014).

<sup>20</sup> Boethius, *In Ciceronis Topica*, I, in *M. Tulli Ciceronis Opera Omnia*, vol. V.1, ed. Johann Kaspar von Orelli and Johann George Baiter (Zurich: Fuessli, 1833), 272, 4. See David E. Aune, *The Westminster Dictionary of New Testament and Early Christian Literature and Rhetoric* (Louisville, Kentucky: Westminster John Knox Press, 2003), 89.

<sup>21</sup> Roman rhetoric, like most of Roman culture, depended upon Greek antecedents. Cicero places the beginnings of the Roman tradition in the late third century BC. See Cicero, *Brutus*, 56, <http://www.thelatinlibrary.com/cicero/brut.shtml#56> (accessed January 30, 2015); Enrica Sciarrino, "Roman Oratory before Cicero: The Elder Cato and Gaius Gracchus," in *A Companion to Roman Rhetoric*, ed. William Dominik and Jon Hall (Malden, Massachusetts: Blackwell, 2007), 54–66; and Robert Gaines, *Roman Rhetorical Handbooks: A Companion to Roman Rhetoric* (Oxford: Blackwell, 2007), 163–80.

The *exordium* is the beginning of the speech, by means of which the mind of the listener is made ready to listen. ... Since, therefore, we want to have our listener open-minded (*docilem*), well-disposed (*benivolum*), and attentive (*adtentum*), I shall explain how this can be achieved.<sup>22</sup>

There are two kinds of opening, the author explains: the straightforward beginning and the subtle approach:

The straightforward beginning (*principium*) is when we immediately make the mind of the listener receptive to listening to us. It is used in such a way that we can have attentive, open-minded, and well-disposed listeners.<sup>23</sup>

The subtle approach (*insinuatio*) is to be used when the listener cannot be made well disposed for one reason or another (he's biased, he's already heard something he didn't like, etc.). All these authors are discussing speeches in public argument, mostly legal argument (in effect, performances), and the epics were mostly heard in recitation rather than read, so "listener" is the correct word for the audiences of rhetorical skill, in epic poetry, tragedy, and speeches.

At about the same time as the *Ad Herennium*, a young Cicero wrote a partial treatise (*De Inventione*), a thorough and careful theoretical outline, on the first of the five elements of rhetoric: the process of thinking up ideas for a presentation.<sup>24</sup> He mirrors some of the ideas (and even the vocabulary) of the anonymous treatise, though he was probably working independently. He defines the beginning as follows:

The *exordium* is the [part of the] speech preparing the mind of the listener for the rest of the presentation, which, if successful, will make him well-disposed, attentive, and open-minded.<sup>25</sup>

<sup>22</sup> "Exordium est principium orationis, per quod animus auditoris constituitur ad audiendum. ... Quoniam igitur docilem, benivolum, adtentum auditorem habere volumus, quo modo quidque effici possit aperiemus." *Ad C. Herennium Libri IV: De Ratione Dicendi*, Loeb Classical Library (London: Heinemann, 1954 and Cambridge, Massachusetts: Harvard University Press, 1954), I, 2, 3 and I, 4, 7.

<sup>23</sup> "Principium est cum statim auditoris animum nobis idoneum reddimus ad audiendum. Id ita sumitur ut adtentos, ut dociles, ut benivolos auditores habere possimus." *Ibid.*, I, 4, 6.

<sup>24</sup> Torsten Petersson, *Cicero: A Biography* (New York: Biblio and Tannen, 1963), 368–69. For various reasons – his authorship of many works across some decades, his own changing views, and the sheer virtuosity of his own rhetoric – Cicero's theoretical writings on rhetoric have received far less attention than his actual speeches.

<sup>25</sup> "Exordium est oratio animum auditoris idonee comparans ad reliquam dictionem, quod eveniet, si eum benivolum, attentum, docilem confecerit." Cicero, *De Inventione*, I, 20. <http://www.thelatinlibrary.com/cicero/inventione1.shtml> (accessed February 12, 2016).

He speaks of the “auditorium ... benivolentia,”<sup>26</sup> “the goodwill of the listeners,” which must be obtained at the outset. This early treatise betrays considerable Greek influence and may be largely an adaptation of earlier manuals. Although Cicero later denigrated his work as that of a “schoolboy,” it had considerable influence throughout the early Middle Ages.<sup>27</sup>

In later writings he expounded in more detail on openings. The *De Oratore*, written at least thirty years later, was dependent both upon the *Phaedrus* and Aristotle's *Rhetoric*, which was available in Rome at the time. It is a far fuller, wittier, and more practical exposition of the art of rhetoric. Beginnings must “stir the minds of the audience,”<sup>28</sup> and therefore the strongest point must come first.<sup>29</sup> And the beginning must come from the heart (literally “guts”) of the case.<sup>30</sup>

The specific question of how to open a work was a feature of Horace's letter (c. 19 BC) to his friend Lucius Calpurnius Piso – senator, urban prefect, and pontifex of Rome – and his two sons.<sup>31</sup> This letter, referred to a century later as the *Ars Poetica*, is chatty and informal, though in verse, and sees the poet turn literary adviser. The Augustan favorite was at the height of his career and sees fit to chide Homer, among others.<sup>32</sup> He urges an opening in which the author should not start from the very beginning of events (*ab ovo*) but should rush the reader “into the middle of things.”

[The effective writer] does not trace the Trojan War from Leda's egg,<sup>33</sup>  
He always hurries to the [main] event, and hurls the listener

<sup>26</sup> Ibid., I, 22.

<sup>27</sup> Richard Enos, “Marcus Tullius Cicero,” in *Classical Rhetorics and Rhetoricians: Critical Studies and Sources*, ed. Michelle Balliff and Michael Moran (Westport, Connecticut: Praeger, 2005), 101–10.

<sup>28</sup> “Nam et principia et ceterae partes orationis, de quibus paulo post pauca dicemus, habere hanc vim magnopere debent, ut ad eorum mentes apud quos agetur movendas pertinere possint.” Cicero, *De Oratore*, II, 76, 310–11; trans. in [https://archive.org/stream/cicerodeoratoreo1ciceuoft/cicerodeoratoreo1ciceuoft\\_djvu.txt](https://archive.org/stream/cicerodeoratoreo1ciceuoft/cicerodeoratoreo1ciceuoft_djvu.txt) (accessed June 11, 2015).

<sup>29</sup> “Ergo ut in oratore optimus quisque, sic in oratione firmissimum quodque sit primum.” Ibid., II, 77, 314.

<sup>30</sup> “Haec autem in dicendo non extrinsecus ahcunde quaerenda sed ex ipsis visceribus causae sumenda sunt.” Ibid., II, 77, 318. Many of these ideas were reinforced in Cicero's *Topica*, his final treatise on rhetoric (c. 44 BC).

<sup>31</sup> Curiously, Horace's work is sometimes not included in considerations of classical rhetoric. He is entirely absent, for example, in a 400-page volume on rhetoric that contains articles on over sixty authors from Alcidas to Verginius Flavius. See Michelle Balliff and Michael Moran, eds., *Classical Rhetorics and Rhetoricians* (Westport, Connecticut: Praeger, 2005).

<sup>32</sup> “Indignor quandoque bonus dormitat Homerus.” *Ars Poetica*, line 359. (“I'm annoyed when the worthy Homer nods off.”)

<sup>33</sup> Leda, seduced by Zeus, gave birth to eggs, from one of which Helen was born.

Into the middle of things [*in medias res*], as though they were already known.<sup>34</sup>

The accusative plural (*in medias res*) in place of the ablative plural (*in mediis rebus*) – “into the middle of things” rather than “in the middle of things”<sup>35</sup> – connotes action and follows the active (and colorful) verb. While many scholars and commentators have extrapolated Horace’s advice for playwrights and poets to nineteenth- and twentieth-century novelists, Horace uses the word “auditor” (“listener”) – a word particularly apposite to a culture in which works of literature were read out loud and audiences were auditors and therefore, of course, particularly apposite to our consideration of the openings of musical works.

Soon the idea of inverting the chronological order of events for artistic purposes had become a topos of literary criticism. The first-century-AD admirer of Cicero, lifelong practicing orator, and first professor of rhetoric, Marcus Fabius Quintilianus, spent the last part of his life compiling the *Institutio Oratoria*, a lucid compendium of rhetorical advice based on four centuries of previous sources and his own vast experience as an orator and teacher.<sup>36</sup> Quintilian distinguished between “natural” and “artificial” order, the former implying beginning at the beginning (chronological order), the latter beginning in the middle or at the end – a technique he characterized as “Homer’s way” (*mos Homericus*).<sup>37</sup> And later textbooks on rhetoric reiterate this distinction, the fullest exposition being that of the fourth-century Sulpicius Victor, who discusses the two approaches and their appropriate usage in detail.<sup>38</sup> The author of the *Life of Homer* (c. 200–400

<sup>34</sup> Horace, *Ars Poetica*, lines 147–49:

nec gemino bellum Troianum orditur ab ouo;  
semper ad euentum festinat et in medias res  
non secus ac notas auditorem rapit.

<sup>35</sup> James Joyce, who knew his Latin, had this exactly right: “What’s this I was saying? Ah, yes! My wife, he intimated, plunging *in medias res*, would have the greatest of pleasure in making your acquaintance as she is passionately attached to music of any kind.” James Joyce, *Ulysses: The Complete and Unabridged Text, as Corrected and Reset in 1961* (New York: Vintage International, 1990), 662–63. There are three beginnings for *Finnegans Wake*, one of which seems to have been written by Joyce’s wife. See Lernout, “From Varieties of Genetic Experience to Radical Philology,” 32; and Geert Lernout, “The Beginning: Chapter L1,” in *How Joyce Wrote Finnegans Wake: A Chapter-by-Chapter Genetic Guide*, ed. Luca Crispi and Sam Slote (Madison: University of Wisconsin Press, 2007), 49–65.

<sup>36</sup> George Alexander Kennedy, *The Art of Rhetoric in the Roman World, 300 B.C. – A.D. 300* (Princeton, New Jersey: Princeton University Press, 1972), 496–97.

<sup>37</sup> *Institutio Oratoria*, VII, 10, 11. See also Michael Squire, “The *ordo* of Rhetoric and the Rhetoric of Order,” in *Art and Rhetoric in Roman Culture*, ed. Jas Elsner and Michel Meyer (Cambridge: Cambridge University Press, 2014), 353–417.

<sup>38</sup> Sulpicius Victor, *Institutiones Oratoriae*, 14, in K. Halm, ed., *Rhetores Latini Minores* (Leipzig: Hamberger, 1863), 320.

AD), indulging in a detailed analysis of the artistry of both epics, praises particularly the poet's technique of beginning both the *Iliad* and the *Odyssey* in the midst of the action.<sup>39</sup>

In Book 4 of the *Institutio Oratoria*, Quintilian reiterates the *captatio benevolentiae* advice, again relying on the traditional terms:

The only purpose of the beginning is to prepare the listener to be more accommodating to us in the rest of the speech. Among the best authors it is agreed that this can happen most effectively if we make the listener well-disposed (*benevolum*), attentive (*attentum*), and open-minded (*docilem*) – not that these things should be ignored through the whole performance, but because they are especially necessary at openings and allow us to be admitted into the mind of the judge, so that we can proceed further.<sup>40</sup>

Quintilian adduces the same distinction between the straightforward beginning and the subtle approach,<sup>41</sup> but goes further in explaining how an opening can be composed: it is critical to take into account the subject matter, the audience, and the circumstances, and above all to create an opening that could not be placed elsewhere.<sup>42</sup> That his rhetorical advice applies as well to imaginative works as to forensic presentations is demonstrated by strong verbal echoes much later in the *Institutio*. Quintilian, presumably with *Ad Herennium* in front of him, praises Homer's opening at the beginning of the *Iliad* for making his audience *benevolum*, *intentum*, and *docilem*.<sup>43</sup>

How did these accomplished orators, scholars, writers, and teachers craft their own openings? Here is the beginning of the *Ad Herennium*:

<sup>39</sup> See *Homeric Hymns; Homeric Apocrypha; Lives of Homer*, ed. and trans. Martin L. West (Cambridge, Massachusetts: Harvard University Press, 2003), [http://www.loebclassics.com.ezproxy.bu.edu/view/LCL496/2003/pb\\_LCL496.iii.xml](http://www.loebclassics.com.ezproxy.bu.edu/view/LCL496/2003/pb_LCL496.iii.xml) (consulted online, accessed September 13, 2015).

<sup>40</sup> "Causa principii nulla alia est, quam ut auditorem, quo sit nobis in ceteris partibus accommodatior, praeparemus. Id fieri tribus maxime rebus inter auctores plurimos constat, si benevolum, attentum, docilem fecerimus, non quia ista non per totam actionem sint custodienda, sed quia initiis praecipue necessaria, per quae in animum iudicis, ut procedure ultra possimus, admittimur." Quintilian, *Institutio Oratoria*, IV, 5; *The Institutio Oratoria of Quintilian with an English Translation by H. E. Butler*, Loeb Classical Library, vol. 2 (London: William Heinemann, 1921; New York: G. P. Putnam's Sons, 1921), 8–9.

<sup>41</sup> "Some therefore divide the *exordium* into two parts, the straightforward beginning and the subtle approach." "Eo quidam exordium in duas dividunt partes, principium et insinuationem." *Ibid.*, IV, 1, 42.

<sup>42</sup> *Ibid.*, IV, 1, 52–53.

<sup>43</sup> *Ibid.*, X, 1, 48.

Although I am burdened by private business, and I have little free time to devote to study – and that I usually spend on philosophy – nonetheless, Gaius Herennius, your request has moved me to write on the subject of public speaking, so that you wouldn't think I was ignoring you or lacked the will to work.<sup>44</sup>

The *De Oratore* starts with a lengthy and pensive contemplation of Cicero's life from the point of view of his older years and utilizes the same conceit of succumbing to the request of another, in this case Cicero's brother, Quintus, despite lack of time:

Even though events are demanding and my time limited, I will obey the call of our studies and devote as much time as is allowed me – by the plots of my enemies, the needs of my friends, or the demands of the state – to writing. And when you, brother, urge and beg me, I shall not fail you, for no one's authority or wishes could be more important to me.<sup>45</sup>

The *Institutio Oratoria* of Quintilian is in twelve books, seven of which have introductions. In others the opening chapter serves as introduction. Here is the opening of the entire work:

From Marcus Fabius Quintilian greetings to his friend Trypho. You have harassed me daily to begin to publish the books I wrote for my friend Marcellus on the principles of rhetoric.<sup>46</sup>

Again we have the appeal from a friend and the “reluctant” acquiescence of the author. In an era in which the publication of works was considered somewhat

<sup>44</sup> “Etsi negotiis familiaribus inpediti vix satis otium studio suppeditare possumus, et id ipsum quod datur otii libentius in philosophia consumere consuevimus, tamen tua nos, Gai Herenni, voluntas commovit ut de ratione dicendi conscriberemus, ne aut tua causa noluisse aut fugisse nos laborem putares.” Ibid., I, 1, dedication. See also Rex Winsbury, *The Roman Book* (London: Bloomsbury, 2009), 88–90.

<sup>45</sup> “Sed tamen in his vel asperitatibus rerum, vel angustiiis temporis, obsequar studii nostris; et, quantum mihi vel fraus inimicorum, vel causae amicorum, vel respública tribuet otii, ad scribendum potissimum conferam. Tibi vero, frater, neque hortanti deero, neque roganti, nam neque auctoritate quisquam apud me plus valere te potest, neque voluntate.” Cicero, *De Oratore*, I, 3–4. The youthful *De Inventione* falls outside this pattern. It introduces a philosophical disquisition on the philosophical issues raised by the honing of rhetorical skills: “Saepe et multum hoc mecum cogitavi, bonine an mali plus attulerit hominibus et civitatibus copia dicendi ac summum eloquentiae stadium.” (“I have often and seriously pondered the question as to whether ability in public speaking and the deep study of oratory leads to good or ill for people and countries.”) Cicero, *De Inventione*, I, 1.

<sup>46</sup> “M. Fabius Quintilianus Tryphoni suo salutem. Efflagitasti cotidiano convicio, ut libros, quos ad Marcellum meum de Institutione oratoria scripseram iam emittere inciperem.” Quintilian, *Institutio Oratoria*, I, 1.

self-aggrandizing, an author has to appear reluctant to appear in circulated books, unless he is persuaded to do so by a friend (*Ad Herennium*, Cicero, Quintilian) or by the appearance of unauthorized versions (Quintilian, later in his introduction).<sup>47</sup> Horace even suggested waiting nine years before publication.<sup>48</sup>

While we may think that none of this classical rhetorical tradition has much relevance today, it is remarkable how persistent were the rhetorical teachings of antiquity throughout the history of Western civilization. In the Middle Ages, schooling in much of Europe was based on the seven liberal arts and included rhetoric as the second subject of study in the Trivium.<sup>49</sup> As a study of the effective use of language, it followed Grammar (learning the fundamentals of language) and preceded Logic (using language for dialectical and philosophical cogitation). This strong dependence upon classical traditions continued into the Renaissance. In a series of books, Quentin Skinner has demonstrated the persistent strength of the art of rhetoric throughout Renaissance culture.<sup>50</sup> One study, *Forensic Shakespeare*,<sup>51</sup> exposes the juridical rhetoric behind the construction of a large number of speeches and even the sequence of scenes in several of Shakespeare's works composed between 1594 and 1600 (the narrative poem *Lucrece* and the plays *Romeo and Juliet*, *The Merchant of Venice*, *Julius Caesar*, and *Hamlet*) and also three plays written in the early Jacobean era (*Othello*, *Measure for Measure*, and *All's Well that Ends Well*). Shakespeare even quotes directly from the rhetorical treatise *Ad Herennium* and from Cicero's *De Inventione*.<sup>52</sup> An important element in the composition of effective speeches was the opening. The first English book on rhetoric, Leonard Cox's *The Art or Crafte of Rhetoryke* (1524), echoes the time-honored Latin terms: "The herers shall be made attent

<sup>47</sup> Winsbury, *The Roman Book*, 89

<sup>48</sup> Siquid tamen olim  
scripseris, in Maeci descendat iudicis auris  
et patris et nostras, nonumque prematur in annum  
membranis intus positis; delere licebit  
quod non edideris; nescit uox missa reuerti.

("If you ever write anything, let Maecas and your father and I read it. Then wait nine years before publication. You can still erase something before it's been released. A work once out cannot be recalled.") Horace, *Ars Poetica*, lines 386–90.

<sup>49</sup> Jeremy Yudkin, "Notre Dame Theory: A Study of Terminology, Including a New Translation of the Music Treatise of Anonymous IV" (Ph.D. diss., Stanford University, 1982), 4–7.

<sup>50</sup> Quentin Skinner, *Reason and Rhetoric in the Philosophy of Hobbes* (Cambridge, UK: Cambridge University Press, 1996); Quentin Skinner, *Visions of Politics*, 3 vols. (Cambridge, UK: Cambridge University Press, 2002). See also John O. Ward, "Roman Rhetoric and Its Afterlife," in *A Companion to Roman Rhetoric*, ed. Dominik and Hall, 354–66, and George A. Kennedy, *Classical Rhetoric and Its Christian and Secular Tradition from Ancient to Modern Times*, 2nd ed. (Chapel Hill: University of North Carolina Press, 1999).

<sup>51</sup> Quentin Skinner, *Forensic Shakespeare* (Oxford: Oxford University Press, 2014).

<sup>52</sup> *Ibid.*, 2.

[cf. *attentum*] or diligent” so that they evince “docilite” [cf. *docilem*] and “give right good attendaunce.” And Thomas Wilson (*The Arte of Rhetorique*, 1553) explains that at the outset listeners should be made “apte, to geve good eare” [cf. *idoneum ... ad audiendum*]. The technique involves “winnyng their favour” and capturing their “good willes” [cf. *captatio benevolentiae*].<sup>53</sup>

Thomas Conley has shown how classical rhetorical influence continues all the way through Western literary and philosophical history up to and including Habermas.<sup>54</sup> He traces Latin and Greek rhetoric through the early medieval period with Augustine and Boethius and shows how the later Middle Ages evince a strongly Ciceronian influence. The work of Renaissance humanists Agricola, Erasmus, and Peter Ramus was strongly grounded in the classical tradition, as we might expect. And in the modern era, Conley shows the importance of classical rhetoric to philosophers such as Descartes and Kant (by rejection), Heidegger (a concentrated focus on Aristotle), and more recently to Kenneth Burke, I. A. Richards, and Jürgen Habermas. He writes that the contributions of writers and philosophers since World War II equate to a “new Ciceronianism.”<sup>55</sup> Rhetoric (and the classical influence in general) has never left Western culture.<sup>56</sup>

In German-speaking lands there was an established tradition of classical rhetoric throughout the eighteenth century, and the study of rhetoric was a central element in the educational curriculum.<sup>57</sup> Joel Lester has written that “in the eighteenth century, familiarity with classical rhetoric was as much a part of an educated person’s background as arithmetic is today.”<sup>58</sup> And Tom Beghin asserts that at the end of the eighteenth century and into the nineteenth, “rhetoric ... kept its firm grip on humanistic education, of which it still constituted a crucial part.”<sup>59</sup> Particularly influential were the several books of Johann Christoph Gottsched

<sup>53</sup> *Ibid.*, 68.

<sup>54</sup> Thomas Conley, *Rhetoric in the European Tradition* (Chicago, Illinois: University of Chicago Press, 1990).

<sup>55</sup> *Ibid.*, 303.

<sup>56</sup> See R. R. Bolgar, *The Classical Heritage and Its Beneficiaries* (Cambridge, UK: Cambridge University Press, 1954). See also Jeanne Fahnestock, *Rhetorical Figures in Science* (New York: Oxford University Press, 1999).

<sup>57</sup> Henceforth I shall use the shorthand “Germany” to refer to the German-speaking lands.

<sup>58</sup> Joel Lester, *Compositional Theory in the Eighteenth Century* (Cambridge, Massachusetts: Harvard University Press, 1994), 165. Lawrence Zbikowski writes that “the importance of rhetoric for all manner of thought and expression ... should not be underestimated.” Lawrence M. Zbikowski, *Conceptualizing Music: Cognitive Structure, Theory, and Analysis* (New York: Oxford University Press, 2005), 296, n. 28. See also Andreas Liebert, *Die Bedeutung des Wertesystems der Rhetorik für das deutsche Musikdenken im 18. und 19. Jahrhundert*, Europäische Hochschulschriften (Frankfurt: Peter Lang, 1993).

<sup>59</sup> Tom Beghin, “Haydn as Orator: A Rhetorical Analysis of His Keyboard Sonata in D Major, Hob. XVI, 42,” in *Haydn and His World*, ed. Elaine Sisman (Princeton, New Jersey: Princeton University Press, 1997), 201–54, at 205.



(1700–66) on the subject,<sup>60</sup> which were widely disseminated in Germany.<sup>61</sup> Among them was Gottsched's *Auszug aus des Herrn Batteux schönen Künsten aus dem einzigen Grundsätze der Nachahmung hergeleitet*,<sup>62</sup> a translation of Charles Batteux's *Les Beaux-Arts réduits à un même principe*,<sup>63</sup> which was based on Aristotle's *Poetics*. Gottsched was the literary arbiter of the age: professor of poetry at Leipzig University, editor of several literary journals, and re-founder of the *Deutschübende Gesellschaft* (the German equivalent of the *Académie Française*).<sup>64</sup> He also worked with some of the leading composers of the time, including Johann Sebastian Bach, and was the author of texts for church music and of libretti for operettas for the theater in Leipzig.<sup>65</sup>

Aesthetics became established as a philosophical discipline in Germany in the second half of the eighteenth century, beginning with Alexander Baumgarten's *Aesthetica* of 1750,<sup>66</sup> and then with entries in Sulzer's *Allgemeine Theorie der schönen Künste* (1771–74) on beauty ("Schoenheit"), taste ("Geschmak"), and aesthetics itself ("Aesthetik"),<sup>67</sup> and becoming fully realized in the aesthetic the-

<sup>60</sup> Johann Christoph Gottsched, *Versuch einer critischen Dichtkunst* (Leipzig: Breitkopf, 1730); Johann Christoph Gottsched, *Ausführliche Redekunst* (Leipzig: Breitkopf, 1736); Johann Christoph Gottsched, *Deutsche Sprachkunst* (Leipzig: Breitkopf, 1748); Johann Christoph Gottsched, *Vorübung der Beredsamkeit* (Leipzig: Breitkopf, 1754). Gottsched was an important member of the German Enlightenment. See Richard Van Dülmen, *The Society of the Enlightenment: The Rise of the Middle Class and Enlightenment Culture in Germany*, trans. Anthony Williams (New York: St. Martin's, 1992), 45–46.

<sup>61</sup> Bonds points out that Leopold Mozart consulted many of these books when writing his own *Versuch einer gründlichen Violinschule* (1756): Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration*, *Studies in the History of Music* 4 (Cambridge, Massachusetts: Harvard University Press 1991. And Elaine Sisman, in *Haydn and the Classical Variation*, *Studies in the History of Music* 5 (Cambridge, Massachusetts: Harvard University Press, 1993), 20, shows that Leopold directly echoes Quintilian in at least one passage.

<sup>62</sup> Johann Christoph Gottsched, *Auszug aus des Herrn Batteux schönen Künsten aus dem einzigen Grundsätze der Nachahmung hergeleitet* (Leipzig: Breitkopf, 1754).

<sup>63</sup> Charles Batteux, *Les Beaux-Arts réduits à un même principe* (Paris: Durand, 1746).

<sup>64</sup> See L. A. Willoughby, *The Classical Age of German Literature 1748–1805* (1926, reissued New York: Russell and Russell, 1966), 19.

<sup>65</sup> See Robin Wallace, "Beethoven's Critics and the Evolution of Music and Literary Aesthetics in Eighteenth- and Early-Nineteenth-Century Germany," introduction to *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Wayne Senner, Robin Wallace, and William Meredith (Lincoln: University of Nebraska Press, 1999), vol. 1, 1–22, at 11.

<sup>66</sup> Alexander Baumgarten, *Aesthetica* (Frankfurt: Kleyb, 1750); ed. Dagmar Mirbach as *Aesthetica/Ästhetik*, 2 vols. (Hamburg: Felix Meiner, 2007).

<sup>67</sup> Johann Georg Sulzer, *Allgemeine Theorie der schönen Künste*, 4 vols. (Leipzig: Weidmann, 1771–74), vol. 2, 371–85, vol. 4, 305–19, and vol. 1, 47–59. Sulzer also incorporated the vocabulary of classical rhetoric into the process of musical composition and quotes frequently from Quintilian. The encyclopedia was sufficiently well received to enter into three different editions and several reissues during the last quarter of the eighteenth century, although it came under criticism by Goethe, Lessing, Moses

ories of Kant and Schiller in the *Kritik der Urteilskraft* (*Critique of the Power of Judgment*, 1790) and *Ueber die aesthetische Erziehung des Menschen in einer Reihe von Briefen* (*Letters on the Aesthetic Education of Mankind*, 1795) and in Herder's critique of Kant in *Kalligone* (1800). Herder idolized classical antiquity, finding inspiration in Homer, and imitating the *Silvae* genre of Lucan (lost), Statius, and the Italian humanist Poliziano in his own *Kritische Wällder* (1769), whose subtitle was "Reflections on the Science and Art of the Beautiful," and whose title page displays an etching of the head of Socrates. Herder and Schiller, together with Goethe, formed a movement in the last part of the eighteenth century now known as Weimar classicism, which promoted humanistic ideals, individualism, and a sense of national pride.<sup>68</sup>

The rhetorical tradition became suspect in the first half of the nineteenth century, since it did not jibe with the newly rising positivist sciences.<sup>69</sup> Franz Theremin condemned it as "exciting the feelings, which is always useless," and Kant wrote that it deprived thoughtful people of their freedom.<sup>70</sup> And a new movement based on naturalness of expression began to be felt in literature. Goethe has Faust say, "Feeling is all."<sup>71</sup> And:

You will never connect heart to heart,  
Unless it comes from your heart.<sup>72</sup>

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Mendelssohn, and others for its old-fashioned stance on morality. See Peter le Huray and James Day, *Music and Aesthetics in the Eighteenth and Early Nineteenth Centuries*, rev. ed. (Cambridge, UK: Cambridge University Press, 1988), 95. Le Huray and Day write that the *Allgemeine Theorie* was Sulzer's "most substantial work" and "the first work on aesthetics to give much space to music" (*ibid.*, 96).

<sup>68</sup> See Simon Richter, ed., *The Literature of Weimar Classicism*, Camden House History of German Literature 2 (Rochester, New York: Camden House, 2005); Willoughby, *The Classical Age of German Literature*; and Dieter Borchmeyer, *Weimarer Klassik: Portrait einer Epoche*, 2nd ed. (Weinheim: Beltz Athenäum, 1994). Richter and Borchmeyer outline the difficulty the term "Weimar classicism" has had in gaining acceptance in scholarly and literary circles (Richter, "Introduction," in *The Literature of Weimar Classicism*, ed. Richter, 3–44; Borchmeyer, "What is Classicism?," in *The Literature of Weimar Classicism*, ed. Richter, 45–61), but Borchmeyer writes that "in the nineteenth century the concept of German Classicism became more and more involved in nationalistic identify formation." (p. 46.)

<sup>69</sup> See Kennedy, *Classical Rhetoric*, 240–41. When exactly the decline started and why has been the subject of some controversy. See Rüdiger Campe, "Umbrüche und Wandlungen der Rhetorik," in *Die Wende von der Aufklärung zur Romantik, 1760–1820: Epoche im Überblick*, ed. Horst Albert Glaser and György Mihály Vajda (Amsterdam and Philadelphia: John Benjamins, 2000), 589–612.

<sup>70</sup> Immanuel Kant, *Critique of Judgment*, trans. J. H. Barnard (New York: Hafner, 1951), 171.

<sup>71</sup> "Gefühl ist alles." *Faust*, I, 3456.

<sup>72</sup> "Doch werdet ihr nie Herz zu Herzen schaffen,  
Wenn es euch nicht von Herzen geht." (*Faust*, I, 544–45.)

But in 1814 even Franz Theremin published *Die Beredsamkeit, eine Tugend, oder Grundlinien einer systematischen Rhetorik* (published in English as *Eloquence a Virtue; or, Outlines of a Systematic Rhetoric*),<sup>73</sup> and in 1807 Heinrich Schott wrote a book on rhetoric and homiletics, which went into a second, expanded edition in 1828.<sup>74</sup>

## RHETORIC AND MUSIC

Elaine Sisman has written that

stated simply, rhetoric remained rooted in the education and the mind-set of the eighteenth and early nineteenth centuries and bore fruit in musical writings, in the terminology and metaphors for musical structures and processes, in instructions for performance, in discussions of the sources of inspiration, and even in composers' letters.<sup>75</sup>

And Mark Evan Bonds has shown that even in the first half of the nineteenth century "the use of rhetorical imagery in dealing with the problem of [musical] form continued unabated, not only in contemporary dictionaries of music and manuals of composition, but in broader, more aesthetically oriented treatises as well."<sup>76</sup>

In the eighteenth century, conceiving of music in rhetorical terms had become widespread, not only in Germany, but also in France and Italy.<sup>77</sup> Works included Scheibe's *Compendium Musices* (c. 1728–36), Walther's *Musicalisches Lexicon* (1732), Mattheson's *Kern melodischer Wissenschaft* (1737) and *Der vollkommene Capellmeister* (1739), Marpurg's *Anfangsgründe der theoretischen Musik* (1757), Kirnberger's *Die wahren Grundsätze zum Gebrauch der Harmonie* (1773) and *Der Kunst des reinen Satzes* (1774–79), Forkel's *Ueber die Theorie der Musik* (1777), Klein's *Versuch eines Lehrbuchs der praktischen Musik* (1783), Galeazzi's *Elementi*

<sup>73</sup> Franz Theremin, *Die Beredsamkeit, eine Tugend, oder Grundlinien einer systematischen Rhetorik* (Berlin, 1814); Franz Theremin, *Eloquence a Virtue; or, Outlines of a Systematic Rhetoric*, trans. William Greenough Thayer Shedd (Andover: Draper, 1860).

<sup>74</sup> Heinrich August Schott, *Die Theorie der Beredsamkeit: Th. Philosophische und Religiöse begründung der Rhetorik und Homiletik* (Berlin, 1807), and the second edition, *Die Theorie der Beredsamkeit mit besonderer Anwendung auf die Geistliche Beredsamkeit* (Leipzig: Barth, 1828). See Robert J. Connors, *Composition-Rhetoric: Backgrounds, Theory, and Pedagogy* (Pittsburgh, Pennsylvania: University of Pittsburgh Press, 1997), 179; and Angela Dienhart Hancock, *Karl Barth's Emergency Homiletic, 1932–1933: A Summons to Prophetic Witness* (Grand Rapids, Michigan: Eerdmans, 2013), 151.

<sup>75</sup> Elaine Sisman, "Pathos and the *Pathétique*: Rhetorical Stance in Beethoven's C-Minor Sonata, Op. 13," in *Beethoven Forum* 3, ed. Glenn Stanley (1994), 81–105, at 82.

<sup>76</sup> Bonds, *Wordless Rhetoric*, 133.

<sup>77</sup> Bonds, *ibid.*, provides a thorough review of the influence of rhetorical theory on music theorists.

*teorico-pratici di musica* (1796), Koch's *Musikalisches Lexicon* (1802), Momigny's *Cours complet d'harmonie et de composition* (1803–06), and Reicha's *Traité de mélodie* (1814).<sup>78</sup> Even in 1812, an early Haydn biographer wrote explicitly that “the music of this composer is a veritable arsenal of the weapons of oratory. ... You find in it, just as you do in the speeches of Cicero, all the figures of rhetoric.”<sup>79</sup>

Beethoven grew up during a time of relaxation of class barriers and a new cultural focus on personal freedom and destiny.<sup>80</sup> But Beethoven's education seems to have been sporadic at best.<sup>81</sup> Busy apprenticing as a performing musician in Bonn at the court chapel and in the orchestra, he did not attend Gymnasium, and although he did enroll at the newly established university at Bonn in philosophy in May of 1789, he did not complete his studies, leaving for Vienna in November of 1792.<sup>82</sup> His principal teacher in Bonn was the court organist Christian Gottlob

<sup>78</sup> Johann Adolph Scheibe, *Compendium Musices theoretico-practicum, das ist Kurzer Begriff derer nöthigsten Compositions-Regeln* (c. 1728–36), in *Die deutsche Kompositionslehre des 18. Jahrhunderts. Im Anhang: Johann Adolph Scheibe: Compendium musices*, ed. Peter Benary, Jenaer Beiträge zur Musikforschung 3 (Leipzig: Breitkopf & Härtel, 1961); Johann Gottfried Walther, *Musikalisches Lexicon oder Musicalische Bibliothec* (Leipzig: Deer, 1732); Johann Mattheson, *Kern melodischer Wissenschaft* (Hamburg: Herold, 1737); Johann Mattheson, *Der vollkommene Capellmeister* (Hamburg: Herold, 1739); Friedrich Wilhelm Marpurg, *Anfangsgründe der theoretischen Musik* (Leipzig: Breitkopf, 1757); Johann Philipp Kirnberger, *Die wahren Grundsätze zum Gebrauch der Harmonie* (Berlin: Decker, 1773); Johann Philipp Kirnberger, *Der Kunst des reinen Satzes*, 4 vols. (Berlin: Decker & Hartung, 1774–79); Johann Nikolaus Forkel, *Ueber die Theorie der Musik* (Göttingen: Vandenhöck, 1777); Johann Joseph Klein, *Versuch eines Lehrbuchs der praktischen Musik* (Gera: Bekmann, 1783); Francesco Galeazzi, *Elementi teorico-pratici di musica* (Rome: Puccinelli, 1796); Heinrich Christoph Koch, *Musikalisches Lexicon*, 2 vols. (Frankfurt: Hermann, 1802); Jérôme-Joseph de Momigny, *Cours complet d'harmonie et de composition*, 3 vols. (Paris: Author, 1803–06); Anton Reicha, *Traité de mélodie* (Paris: Author, 1814).

<sup>79</sup> Giuseppe Carpani, *Le Haydine, overro lettere sulla vita e le opere del celebre Maestro Giuseppe Haydn* (Milan: Silvestri, 1812); 2nd ed. (Padua: Minerva, 1823; facs. Whitefish, Montana: Kessinger, 2010), 17.

<sup>80</sup> See Van Dülmen, *The Society of the Enlightenment*, especially 52–81.

<sup>81</sup> See Margot Wetzstein, ed., *Familie Beethoven im kurfürstlichen Bonn: Neuauflage nach den Aufzeichnungen des Bonner Bäckermeisters Gottfried Fischer* (Bonn: Beethoven-Haus, 2006), 43; Ludwig Schieder, *Der junge Beethoven* (Leipzig: Georg Olms, 1925); and Friedrich Kerst, ed., *Die Erinnerungen an Beethoven*, 2 vols. (Stuttgart: Hoffmann, 1913), vol. 1, 10. Bernhard Appel and Julia Ronge write that “dem jungen Beethoven nur mangelhafte Bildung zuteil geworden ist.” See Bernhard R. Appel and Julia Ronge, “Vorwort: Beethoven als Leser,” in *Beethoven Liest*, Schriften zur Beethoven-Forschung 28, ed. Bernhard R. Appel and Julia Ronge (Bonn: Beethoven-Haus, 2016), vii–xii, at vii. Julia Ronge emphasizes this deficiency further in her essay “Beethoven liest musiktheoretische Fachliteratur,” in *Beethoven Liest*, ed. Appel and Ronge, 16–33: “Beethoven stammte nicht aus einem intellektuellen Elternhaus und hatte als Kind so gut wie keine Schulbildung erhalten.” (p. 27.)

<sup>82</sup> See Maynard Solomon, *Beethoven*, rev. ed. (New York: Schirmer, 1998), 60; Lewis Lockwood, *Beethoven: The Music and the Life* (New York: Norton, 2003), 37, 49; and Glenn Stanley, “Beethoven at Work: Musical Activist and Thinker,” in *The Cambridge Companion to Beethoven*, ed. Glenn Stanley (Cambridge, UK: Cambridge University

Neefe, not only in practical music but also in literature and current intellectual trends. Neefe had arrived in Bonn from Leipzig, where he was in contact with writers and intellectuals, including Johann Gottsched, the rhetorician.<sup>83</sup> And Neefe was himself a scholarly writer on music who utilized rhetorical concepts in his analyses.<sup>84</sup> What else we know of Beethoven's early musical studies comes from Gustav Nottebohm, as amplified by Ignaz von Seyfried, Albert Leitzmann, Ludwig Nohl, and Julia Ronge.<sup>85</sup> Early texts included Mattheson's *Der vollkommene Capellmeister*, from which Beethoven copied examples of double counterpoint, use of the augmented ninth, and canon at the octave; Kirnberger's *Die wahren Grundsätze zum Gebrauch der Harmonie*, from which Beethoven copied out some chords in root position; Kirnberger's *Der Kunst des reinen Satzes*, which seems to have provided Beethoven with some instruction on chorale harmonization and the writing of double counterpoint; Georg Joseph Vogler's *Gruende der kurpfälzischen Tonschule* and Johann Samuel Petri's *Anleitung zur*

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Press, 2000), 25. The university at Bonn (Kurkölnische Universität), which opened in 1786, was based on a previous academy (the Kurfürstliche Maxische Academie), and, although it was a Catholic university, it did not apply for a papal privilege. It was intended to counterbalance the university at Cologne, which was highly conservative. All four of the traditional schools (medicine, theology, law, and philosophy) were represented, but the enrollment was only a few hundred students, as was typical for the time. Lectures ended because of the outbreak of war in 1793, and the university was officially closed in 1797. See "18th-Century German Universities," <http://www.manchester.edu/kant/universities/UnivBriefHistories.htm> (accessed July 29, 2015).

<sup>83</sup> See Solomon, *Beethoven*, 35; Lockwood, *Beethoven: The Music and the Life*, 32; and Peter Clive, *Beethoven and His World: A Biographical Dictionary* (New York: Oxford University Press, 2001), 247. Neefe joined the local "reading society" (*Lesegesellschaft*) when he came to Bonn. See Lockwood, *Beethoven: The Music and the Life*, 33.

<sup>84</sup> See Sisman, *Haydn and the Classical Variation*, 16–18. Some scholars have questioned the amount of influence Neefe had on Beethoven's education. See Jürgen May, "Neefe als Teilhaber an Beethovens Ruhm," in *Christian Gottlob Neefe (1748–1798): Eine eigenständige Künstlerpersönlichkeit*, ed. Helmut Loos (Chemnitz: Schröder, 1999), 237–53. See also Franz Wegeler's comment in Franz Gerhard Wegeler and Ferdinand Ries, *Biographische Notizen über Ludwig van Beethoven* (Koblenz: Bädeker, 1838), 11. Julia Ronge has suggested that the biggest influence on Beethoven's early literary education was probably Helene von Breuning, at whose house the young Beethoven spent a great deal of time after his mother died (personal correspondence). See also Clive, *Beethoven and His World*, 52.

<sup>85</sup> Gustav Nottebohm, "Die Bonner Studien: Eine hypothetische Untersuchung," in *Beethovens Studien* (Leipzig, Sändig, 1873), 3–18; Ignaz von Seyfried, *Ludwig van Beethovens Studien in Generalbass, Contrapunkt und in der Compositionslehre* (Leipzig: Schubert, 1853); Albert Leitzmann, *Ludwig van Beethoven: Berichte der Zeitgenossen, Briefe, und persönliche Aufzeichnungen*, 2 vols. (Leipzig: Insel, 1921), vol. 2, 379–83; Ludwig Nohl, *Beethoven's Leben*, vol. 1: *Die Jugend, 1770–1792* (Leipzig: Abel, 1864); Ronge, "Beethoven liest musiktheoretische Fachliteratur," 16–33. See also Richard Kramer, "Notes to Beethoven's Education," *Journal of the American Musicological Society* 28 (1975), 72–101. Seyfried's account and those of many other of his contemporaries are available in modern editions in *Beethoven aus der Sicht seiner Zeitgenossen in Tagebüchern, Briefen, Gedichten und Erinnerungen*, 2 vols., ed. Klaus Martin Kopitz and Rainer Cadenbach (Munich: Henle, 2009).

*praktischen Musik*,<sup>86</sup> which seem to have suggested to Beethoven modulation techniques he applied to his two keyboard preludes through all twelve major keys, Op. 39 (but composed in 1789);<sup>87</sup> and finally Kirnberger's *Gedanken ueber der verschiedenen Lehrarten in der Komposition*,<sup>88</sup> from which Beethoven copied a canon.<sup>89</sup> Albrechtsberger's *Gründlicher Anweisung*, C. P. E. Bach's *Versuch*, Fux's *Gradus ad Parnassum*, Kirnberger's *Kunst des reinen Satzes* and *Die wahren Grundsätze*, Marpurg's *Abhandlung von der Fuge*, and Türk's *Kurze Anweisung zum Generalbassspielen* were sources to which Beethoven later turned for teaching (mostly Archduke Rudolph), for self-improvement – especially around the time of the Congress of Vienna), or – in his later (profoundly deaf) years – for working out through exercises on paper contrapuntal techniques he could no longer try out on a keyboard.<sup>90</sup>

Both Kirnberger and Mattheson wrote of music in categorically rhetorical terms. Vogler referred to musical variations as “eine Art musikalischer Rhetorik,”<sup>91</sup>

<sup>86</sup> Georg Joseph Vogler, *Gruende der kurpfaelzischen Tonschule* (Mannheim: Author, 1778); Johann Samuel Petri, *Anleitung zur praktischen Musik* (Leipzig: Breitkopf, 1782).

<sup>87</sup> This idea was essayed again, in part, in Beethoven's Op. 34, where a theme in F is pursued through six variations, all in different keys.

<sup>88</sup> Johann Philipp Kirnberger, *Gedanken ueber der verschiedenen Lehrarten in der Komposition als Vorbereitung zu Fugenkenntniss* (Berlin: Decker, 1782).

<sup>89</sup> See R. Kramer, “Notes,” 73–92, 74, 92–97 and Nottebohm, “Die Bonner Studien,” 6–7. Beethoven may have adopted his enthusiasm for Mattheson from Haydn. We know that Haydn owned copies of both the *Capellmeister* and the *Kern* and referred to the former approvingly later in his life. See Georg August Griesinger, *Biographische Notizen über Joseph Haydn* (Leipzig: Breitkopf & Härtel, 1810), ed. Karl-Heinz Köhler (Leipzig: Reclam, 1975), 20; H. C. Robbins Landon, *The Late Years*, vol. 5 of *Haydn: Chronicle and Works* (Bloomington, Indiana: Indiana University Press, 1980), 402 and Albert Christoph Dies, *Biographische Nachrichten von Joseph Haydn* (Vienna: Camesina, 1810), ed. Horst Seeger (Berlin: Henschel, 1962), 41. Beethoven wrote out some of the musical examples and excerpts from music treatises multiple times. See Ronge, “Beethoven liest musiktheoretische Fachliteratur,” 24–26.

<sup>90</sup> Johann Georg Albrechtsberger, *Gründliche Anweisung zur Composition* (Leipzig: Breitkopf & Härtel, 1790); C. P. E. Bach, *Versuch über die wahre Art das Clavier zu spielen*, 2 vols. (Berlin: Henning, 1753; Berlin: Winter, 1762); Johann Joseph Fux, *Gradus ad Parnassum*, trans. Lorenz Mizler (Leipzig: Mizler, 1742); Kirnberger, *Der Kunst des reinen Satzes*; Kirnberger, *Die wahren Grundsätze zum Gebrauch der Harmonie*; Kirnberger, *Gedanken ueber der verschiedenen Lehrarten in der Komposition*; Friedrich Wilhelm Marpurg, *Abhandlung von der Fuge*, 2 vols. (Berlin: Haude & Spener, 1753–54); Daniel Gottlob Türk, *Kurze Anweisung zum Generalbassspielen* (Halle: Schwickert & Hemmerde & Schwetschke, 1791). See Ronge, “Beethoven liest musiktheoretische Fachliteratur,” 24–25. She suggests – intriguingly – that the focus on musical self-improvement and complicated contrapuntal composition around the time of the Vienna Congress was a compensation for Beethoven's insecurity in the realms of his education and courtly speech and manners.

<sup>91</sup> See Georg Joseph Vogler, *Verbesserung der Forkel'schen Veränderungen ueber das englische Volkslied God Save the King* (Frankfurt: Varentrapp und Wenner, 1793), 5–6; and Bonds, *Wordless Rhetoric*, 98.

and demonstrated that musical works can be analyzed rhetorically.<sup>92</sup> In addition to technical musical instruction Kirnberger applied rhetorical vocabulary from speeches and versification to music;<sup>93</sup> and parallels to the art of rhetoric as well as frequent use of grammatical and rhetorical terminology run throughout Mattheson's *Kern* and *Capellmeister*. Among other writers, Koch wrote a separate entry on "Rhetorik" in his *Musikalisches Lexicon*, described instrumental music as "non-verbal speech," and referred to sentences and periods in music;<sup>94</sup> Klein declared that "The art of rhetoric and the art of poetry are so closely related to the art of music that he who wishes to study music seriously cannot remain ignorant of either of them";<sup>95</sup> Sulzer claimed that eloquence was fundamental to all the arts;<sup>96</sup> Hiller insisted that in studying music, the "rhetorical or aesthetic part of music" should be studied more than the "mathematical ... and systematic" parts;<sup>97</sup> and Meier laid out the schema by which any aesthetic object must be ordered, beginning with the *exordium*.<sup>98</sup> Mark Evan Bonds has found similar sentiments among other writers in late eighteenth-century Germany and states that

<sup>92</sup> See Georg Joseph Vogler, *System für den Fugensbau als Einleitung zur harmonischen Gesang-Verbindungs-Lehre* (Offenbach: André, n.d.). See also Floyd Grave and Margaret G. Grave, *In Praise of Harmony: The Teachings of Abbé Georg Joseph Vogler* (Lincoln, Nebraska: University of Nebraska Press, 1987), 94–97; and Bonds, *Wordless Rhetoric*, 140.

<sup>93</sup> Kirnberger, *Der Kunst des reinen Satzes*, vol. 2, Erste Abteilung, 30. See Johann Philipp Kirnberger, *The Art of Strict Musical Composition*, trans. David Beach and Jürgen Thym, Music Theory Translation Series 4 (New Haven: Yale University Press, 1982), 109. Kirnberger also wrote the definitions of many terms in Sulzer's *Allgemeine Theorie der schönen Künste*, including those (such as *Einschnitt*) borrowed from grammatical terminology. R. Kramer, "Notes," 77. See also Beverly Jerold, "Johann Philipp Kirnberger versus Friedrich Wilhelm Marburg: A Reappraisal," *Dutch Journal of Music Theory* 17 (2012), 91–108; Beverly Jerold, "Johann Philipp Kirnberger and Authorship," *Notes* 69 (2013), 688–705; and Nancy Kovaleff Baker and Thomas Street Christensen, eds., *Aesthetics and the Art of Musical Composition in the German Enlightenment: Selected Writings of Johann Georg Sulzer and Heinrich Christoph Koch* (Cambridge, UK: Cambridge University Press, 1995), 14 and nn. 22 and 23, where we learn that – together with Sulzer's aesthetic interpolations – Kirnberger himself wrote all the musical articles up to the letter K, that he collaborated with his student Johann Adolph Peter Schulz on the articles from K to S, and that Schulz wrote the remaining articles. For the sake of simplicity, I shall refer to all the writing as Sulzer's.

<sup>94</sup> See Thomas Schmidt-Beste, *The Sonata*, Cambridge Introductions to Music (Cambridge, UK: Cambridge University Press, 2011), 63.

<sup>95</sup> Klein, *Versuch eines Lehrbuchs*, 15.

<sup>96</sup> Sulzer, *Allgemeine Theorie*, vol. 1, 198, "Beredsamkeit." Sulzer writes, "Nach dem allgemeinen Begriffe von den schönen Künsten, der in diesem ganzen Werk ueberall zum Grunde gelegt worden ist, sollen Sie durch ihren Werke auf die Gemuether der Menschen daurende und zur Erhoelung der Seelenkraefte abzielende Eindruecke machen."

<sup>97</sup> Johann Adam Hiller, preface to Georg Friedrich Lingke, *Kurze Musiklehre* (Leipzig: Breitkopf, 1779), vii.

<sup>98</sup> Georg Friedrich Meier, *Anfangsgründe aller schönen Wissenschaften*, 3 vols. (Halle: Hemmerde, 1748–50), vol. 3, 332.

“rhetoric was by no means the only metaphor applied to musical form prior to 1800, but for more than a century it was clearly the predominant one.”<sup>99</sup>

Beethoven’s first musical and intellectual mentor upon his arrival in Vienna was Haydn. Haydn’s own education probably included some schooling in Latin grammar and rhetoric.<sup>100</sup> His library shows that he became well read as a member of the Austrian middle class, with a wide range of books on popular science, philosophy, aesthetics, Italian, French, and English literature (including Shakespeare and Sterne),<sup>101</sup> and many volumes of German literature, including epic and lyric poetry, drama, and novels.<sup>102</sup> He owned copies of Mattheson’s *Kern melodischer Wissenschaft* and *Der vollkommene Capellmeister*,<sup>103</sup> and his own writing style was informed by classical rhetoric. Scholars have demonstrated that both Mozart and Beethoven also display the influence of formal rhetorical training in their written letters.<sup>104</sup>

<sup>99</sup> Bonds, *Wordless Rhetoric*, 8.

<sup>100</sup> See Sisman, *Haydn and the Classical Variation*, 24.

<sup>101</sup> Haydn’s mixture of serious and comic registers led to his being compared to Sterne during his own lifetime. See Mark Evan Bonds, “Haydn, Laurence Sterne, and the Origins of Musical Irony,” *Journal of the American Musicological Society* 44 (1991), 57–91. He was also compared to Shakespeare and the mixed-genre German writer Jean-Paul (Johann Paul Friedrich Richter). See Karl Ludwig Junker, *Zwanzig Componisten: Eine Skizze* (Bern: Typographische Gesellschaft, 1776), 64–67, trans. in Gretchen Wheelock, “Wit, Humor, and the Instrumental Music of Joseph Haydn” (Ph.D. dissertation, Yale University, 1979), 100–02; Johann Karl Friedrich Triest, “Bemerkungen über die Ausbildung der Tonkunst in Deutschland im achtzehnten Jahrhundert,” *Allgemeine musikalische Zeitung* 3 (1801), trans. in Susan Gillespie, “Remarks on the Development of the Art of Music in Germany in the Eighteenth Century,” in *Haydn and His World*, ed. Elaine Sisman (Princeton, New Jersey: Princeton University Press, 1997), 395–462; *Morning Chronicle* (London), March 12, 1791, quoted in H. C. Robbins Landon, *Haydn in England, 1791–1795*, vol. 3 of *Haydn: Chronicle and Works* (Bloomington: Indiana University Press, 1976), 49; and *European Magazine and London Review*, July 15, 1791, quoted in Landon, *Haydn in England*, 93.

<sup>102</sup> See Georg Feder, “Joseph Haydn als Mensch und Musiker,” in *Joseph Haydn und seine Zeit*, Jahrbuch für Österreichische Kulturgeschichte 2 (Eisenstadt: Institut für Österreichische Kulturgeschichte, 1972), 43–56; and Maria Hörwarthner, “Joseph Haydn’s Bibliothek: Versuch einer literarhistorischen Rekonstruktion,” in *Joseph Haydn and die Literatur seiner Zeit*, Jahrbuch für Österreichische Kulturgeschichte 6, ed. Herbert Zeman (Eisenstadt: Institut für Österreichische Kulturgeschichte, 1976), 157–207, trans. and ed. Kathrine Talbot in “Joseph Haydn’s Library: Attempt at a Literary-Historical Reconstruction,” in *Haydn and His World*, ed. Elaine Sisman (Princeton, New Jersey: Princeton University Press, 1997), 321–94, at 373.

<sup>103</sup> See also n. 115.

<sup>104</sup> See Sisman, *Haydn and the Classical Variation*, 25; Solomon, *Beethoven*, 154; and Sisman, “Pathos and the *Pathétique*,” 83. Haydn’s own letter writing may have been influenced by two volumes in his library: Christian Friedrich Sintenis, *Reden in dem Augenblick der Veranlassung: Ein Impromptu vom Verfasser der Menschenfreuden* (Leipzig: Crusius, 1779), a disquisition on moral and didactic orations; and Christian Fürchtegott Gellert’s *Briefe, nebst einer praktischen Abhandlung von dem guten Geschmacke in Briefen*, vol. 4 of C. F. Gellerts *sämtliche Schriften* (Vienna: Trattner, 1782).



Mattheson was a journalist and writer of considerable breadth. As secretary to the British consul in Hamburg for forty years, he was familiar with English literary culture, including popular early eighteenth-century English novels and the weekly magazine on daily life, *The Spectator*, of which he published a German imitation. He was the author of the first German music periodical and exponent of the *Affektenlehre*. Mattheson first introduced the concept of parallels between rhetoric and musical composition in his youthful *Das neu-eroeffnete Orchestre* (1713);<sup>105</sup> but the *Kern* and *Capellmeister* of twenty-five years later present a more elaborate rhetorical theory.<sup>106</sup> Mattheson's writing on harmony, figured bass, and counterpoint is idiosyncratic at best, but on melodic invention, melodic motives, and rhythm, he is original and comprehensive.<sup>107</sup> He draws on grammar, rhetoric, and versification to guide the construction of musical phrases, and likens the process of musical composition to the composition of a speech. Among the classical Latin terms invoked is the *exordium* – the opening of a work.<sup>108</sup> Like orators, he says, composers must introduce their strongest material at the beginning.<sup>109</sup>

Forkel presented one of the most systematic theories of musical form in rhetorical terms of the later eighteenth century.<sup>110</sup> Under the heading “The Ordering of Musical Thoughts,” and picking up from Mattheson, he lists the principal parts of a composition, beginning with the *exordium*.<sup>111</sup> And he repeats this list, including the *exordium*, in a review of a recent publication (1784) of works by C. P. E.

<sup>105</sup> See Johann Mattheson, *Das neu-eroeffnete Orchestre* (Hamburg: Schiller, 1713), 104. Zbikowski, *Conceptualizing Music*, 296.

<sup>106</sup> See James Van Horn Melton, “School, Stage, Salon,” in *Haydn and the Performance of Rhetoric*, ed. Tom Beghin and Sander M. Goldberg (Chicago, Illinois: University of Chicago Press, 2007), 88–90; Donald R. Boomgard, *Musical Thought in Britain and Germany during the Early Eighteenth Century* (New York: Lang, 1987), 129–50; and Beekman C. Cannon, *Johann Mattheson: Spectator in Music* (New Haven, Connecticut: Yale University Press, 1947).

<sup>107</sup> See Lester, *Compositional Theory in the Eighteenth Century*, 158–72. That rhetorical theory was widespread in the early eighteenth century is only confirmed by a wide-ranging attack on it by the composer and theorist Johann David Heinichen in his *Der General-Bass in der Composition* (Dresden: Author, 1728). See George Buelow, *Thorough-Bass Accompaniment According to Johann David Heinichen* (Berkeley: University of California Press, 1966), 270–72; and George Buelow, “The *loci topici* and Affect in Late Baroque Music: Heinichen's Practical Demonstration,” *Music Review* 27 (1966), 161–76. For a broader study, see George Buelow, “Music, Rhetoric, and the Concept of the Affections: A Selective Bibliography,” *Notes* 30 (1973), 250–59.

<sup>108</sup> Mattheson, *Der vollkommene Capellmeister*, II, 14, 1. See Lester, *Compositional Theory in the Eighteenth Century*, 164–65; and Bonds, *Wordless Rhetoric*, 85–86. See also V. Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton, New Jersey: Princeton University Press, 1991), 51–52.

<sup>109</sup> Mattheson, *Der vollkommene Capellmeister*, II, 14, 25.

<sup>110</sup> Forkel, *Ueber die Theorie der Musik*; Johann Nikolaus Forkel, *Allgemeine Geschichte der Musik*, 2 vols. (Leipzig: Schwickert, 1788).

<sup>111</sup> Forkel, *Allgemeine Geschichte*, vol. 1, 37.

Bach.<sup>112</sup> Koch's entry on rhetoric in his *Musikalisches Lexicon* of 1802 depends heavily on Forkel.<sup>113</sup>

Beethoven's own library included copies of Homer's *Odyssey*, letters of Cicero, Plutarch's *Lives*, a Bible, Goethe's *West-östlicher Divan*, the complete works of Goethe and Schiller, translations of Shakespeare plays, Mattheson's *Der vollkommene Capellmeister*, Marpurg's *Abhandlung von der Fuge*, a German grammar book, Latin, Italian, and French dictionaries, religious and theological tracts, Kant's *Allgemeine Naturgeschichte*, Forkel's *Allgemeine Literatur der Musik*, Türk's *Kurze Anweisung zum Generalbassspielen*, many volumes of German poetry (including Matthisson, Tiedge, and Seume) and one of French poetry, and many other items, including music journals.<sup>114</sup> We also know that he read from other works of classical antiquity, possibly including Quintilian, and that, although he didn't own a copy, he was familiar with Sulzer's *Allgemeine Theorie der schöne Künste*.<sup>115</sup> There is a fragment of a setting of text from Homer's *Iliad* in the "Scheide" Sketchbook (1815–16).<sup>116</sup> Sketches for an opera on the subject of the Roman god of wine Bacchus are also found in Scheide. And we know that Beethoven was at one point contemplating an opera on a text by Friedrich Treitschke about Romulus and Remus, central to the founding myth of ancient Rome.

We also know that Beethoven had access to the rich holdings of Archduke Rudolph's own library, though we don't know what books he may have read or borrowed from there. His fascination with literary classics of antiquity and of the German tradition probably stemmed from his insecurity about his own lack of education, his relentless drive towards self-improvement, his bachelorhood, and the loneliness forced upon him by the dreadful disability of his hearing loss.<sup>117</sup>

<sup>112</sup> Johann Nikolaus Forkel, *Musikalischer Almanach fuer Deutschland auf das Jahr 1784* (Leipzig: Schwickert, 1784), 31–32. See Bonds, *Wordless Rhetoric*, 123–24.

<sup>113</sup> Peter Hoyt points out that the aesthetic backgrounds and strategic aims of Mattheson and Forkel were different. See Peter A. Hoyt, review of Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, Massachusetts: Harvard University Press, 1991), *Journal of Music Theory* 38 (1994), 123–43, at 137.

<sup>114</sup> See Leitzmann, *Ludwig van Beethoven: Berichte der Zeitgenossen*, vol. 2, 379–83. As Julia Ronge has pointed out (personal communication), the library reveals the intellectual determination of an autodidact. Beethoven was personally familiar with Goethe, Matthisson, Tiedge, Collin, and Grillparzer. See Appel and Ronge, "Vorwort," xi.

<sup>115</sup> See Eleanor Selfridge-Field, "Beethoven and Greek Classicism," *Journal of the History of Ideas* 33 (1972), 577–96; Richard Kramer, "Beethoven and Carl Heinrich Graun," in *Beethoven Studies*, vol. 1, ed. Alan Tyson (New York: Norton, 1973), 18–44; Owen Jander, "Exploring Sulzer's *Allgemeine Theorie* as a Source Used by Beethoven," *Beethoven Newsletter* 2 (1987), 1–7; and Owen Jander, "The 'Kreutzer' Sonata as Dialogue," *Early Music* 16 (1988), 34–49. In *The Key to Beethoven: Connecting Tonality and Meaning in His Music*, The North American Beethoven Series 7 (Hillsdale, New York: Pendragon, 2014), Paul Ellison writes that "it should ... come as no surprise that Beethoven acquainted himself with many of the major treatises current at that time." (p. 41.)

<sup>116</sup> Princeton University, Scheide Library, Scheide MA 130.

<sup>117</sup> *Beethoven aus der Sicht seiner Zeitgenossen*, vol. 2, 1014.

In addition, his conversation notebooks display his interest in Greek tragedy, philosophy, German literature, foreign literature, history, geography, religion, natural history, and other topics or books mentioned in articles or advertisements in the press,<sup>118</sup> and in his *Tagebuch* or daily diary he wrote out quotes from Homer's *Iliad* and *Odyssey*, Plato's *Republic*, Plutarch, Pliny, Kant, Herder, Schiller, and translations of the *Rig-Veda* and other Eastern classics.<sup>119</sup> His reading must also have been enriched by his looking through potential libretti and song texts<sup>120</sup> as well as studying the opera scores, sacred and secular text settings, and song settings of other composers.<sup>121</sup>

Some scholars have utilized rhetorical figures as a means of thinking about Beethoven's music. Paul Beaudoin's 2002 dissertation considered the figure of speech *aposiopesis* (breaking off in the middle of a sentence) as an analytical tool for understanding Beethoven's construction of the first movement of the Op. 69 Cello Sonata.<sup>122</sup> Beaudoin concentrates specifically on the opening of the movement and draws attention to similar strategies at the openings of the Fifth and Sixth Symphonies, the Piano Sonata, Op. 10 No. 3, and the Piano Trio, Op. 70 No. 1. The device of *epanalepsis* (repetition of a significant passage at various times during a work) is utilized through the rest of the first movement.

George Barth shows how Beethoven inherited the classical rhetorical tradition from C. P. E. Bach, Mattheson, and Kirnberger and writes that "in the tradition that Beethoven knew, the performer mastered rhythmic gesture, and through the play between melodic surface and harmonic depth his music 'spoke' and was apprehended as 'oration.'"<sup>123</sup> Other studies include many by Mark Evan Bonds and Elaine Sisman, which will be cited in detail below, and by

<sup>118</sup> See Walther Nohl, "Bücher-Notizen Beethovens aus Zeitungen und Zeitschriftenen," *Neue Musik-Zeitung* 47 (1926), 122–24 and 143–46; and Karl-Heinz Köhler, "The Conversation Books: Aspects of a New Picture of Beethoven," in *Beethoven, Performers, and Critics: The International Beethoven Congress, Detroit, 1977*, ed. Robert Winter and Bruce Carr (Detroit: Wayne State University Press, 1980), 147–61, at 157.

<sup>119</sup> Essays on Beethoven's reading of Schiller, Littrow, Kotzebue, Seume, Homer, foreign literature (in translation), astronomy, religion, theology, and Oriental philosophy are presented in *Beethoven liest*, ed. Appel and Ronge. Berlioz claimed that Beethoven "used to read Homer habitually." See Hector Berlioz, *A Critical Study of Beethoven's Nine Symphonies* (from *À travers chants*, 1862), trans. Edwin Evans (London: Reeves, 1913), 61. Julia Ronge hypothesizes that Beethoven's lack of competence in educated speech led to his fascination with Latin and Greek words and concepts. See Ronge, "Beethoven liest musiktheoretische Fachliteratur," 27.

<sup>120</sup> In addition to better-known poets, Beethoven made settings of poems by Jeitteles, Müllner, Werner, and Weissenbach.

<sup>121</sup> See Appel and Ronge, "Vorwort," x–xi.

<sup>122</sup> Paul E. Beaudoin, "Rhetoric as a Heuristic in the First Movement of Beethoven's Third Sonata for Violoncello and Piano, Op. 69" (Ph.D. dissertation, Brandeis University, 2002).

<sup>123</sup> George Barth, *The Pianist as Orator: Beethoven and the Transformation of Keyboard Style* (Ithaca, New York: Cornell University Press, 1992), 37.

Tom Beghin, who has closely analyzed the last movement of a Haydn keyboard sonata (No. 42 in D Major) in rhetorical terms,<sup>124</sup> as well as co-editing a book on Haydn's "performance of rhetoric."<sup>125</sup>

The attempts of scholars to draw detailed parallels between rhetoric and music have been criticized.<sup>126</sup> But the crucial points here are (1) that Haydn and Mozart were familiar with rhetorical concepts, utilized them in their verbal compositions, and knew intellectually based theories of a general correlation between rhetoric and music; (2) that Beethoven was familiar with both the general and the specific rhetorical concepts of writers and teachers in his sphere (Mattheson, Kirnberger, Vogel, Petri, and possibly many others); (3) that such writings were abundant in the educational and scholarly milieu in which Beethoven grew up and learned, both as a young man and later; and (4) that he was personally and directly taught by some of these composers and scholars (Neefe, Haydn, Schenk, Albrechtsberger).<sup>127</sup> It is not the kind of "figure-finding" or putatively direct parallel between musical gestures and rhetorical figures of speech that is relevant in this context,<sup>128</sup> but the fact that Mozart, Haydn, and Beethoven thought of music in terms of effectiveness, persuasive power, drama, and emotional impact and that in their works beginnings (think of them as *exordia* or not) are moments of special salience.<sup>129</sup>

<sup>124</sup> See Beghin, "Haydn as Orator," 201–54, where, among other things, he discusses the *exordium* of the sonata (pp. 226–27). For a similar close rhetorical analysis of a single work, see Sisman, "Pathos and the Pathétique," 81–105.

<sup>125</sup> Beghin and Goldberg, eds., *Haydn and the Performance of Rhetoric*.

<sup>126</sup> See Brian Vickers, "Figures of Rhetoric/Figures of Music?," *Rhetorica: A Journal of the History of Rhetoric* 2 (1984), 1–44; and Brian Vickers, review of George Barth, *The Pianist as Orator*, *Rhetorica: A Journal of the History of Rhetoric* 13 (1995), 98–101. See also Peter Williams, "The Snares and Delusions of Musical Rhetoric: Some Examples from Recent Writings on J. S. Bach," in *Alte Musik: Praxis und Reflexion*, ed. Peter Reidemeister and Veronika Gutmann (Winterthur: Amadeus, 1983), 230–40.

<sup>127</sup> In 1793 Beethoven also studied with Johann Baptist Schenk (1753–1836), a Viennese composer and music teacher and author of an unpublished treatise on thoroughbass, who was on friendly terms with Haydn and Mozart, and in 1794, while Haydn was in London, Beethoven took counterpoint lessons from Johann Georg Albrechtsberger (1736–1809), music teacher, organist, and prolific composer, also a friend of Mozart, and a learned and celebrated theorist. See Lockwood, *Beethoven: The Music and the Life*, 82–84; Solomon, *Beethoven*, 91–92 and Peter Branscombe, "Schenk, Johann Baptist," and Robert N. Freeman, "Albrechtsberger, Johann Georg," *Grove Music Online*, <http://www.oxfordmusiconline.com> (both accessed January 12, 2016). Both these men were educated members of the musical elite and may well have furthered Beethoven's knowledge of the German traditions of scholarly writing on music.

<sup>128</sup> See Sisman, *Haydn and the Classical Variation*, 21.

<sup>129</sup> James Webster writes, "The eighteenth-century sense of musical form was itself 'rhetorical.' It was not limited ... to elementary notions of musical 'figures' analogous to those of rhetoric, or correspondences between the parts of a composition and the parts of an oration. On the contrary, it made a general analogy between the events in a composition and 'the possible means of persuasion with respect to any subject' (Aristotle). ... Without rhetoric ... all of Haydn's music would not have been

Recent theories and important discoveries from other disciplines underscore the power of beginnings in music, as we shall see. We can learn the most about the special importance of beginnings through some recent research in neuroscience.

#### BEGINNINGS IN THE BRAIN

It would be an overstatement to say that our understanding of neuroscience is in its infancy: it is embryonic. However, work has increased recently on music and the brain, and a smattering of research shows how important openings are to our apprehension of a musical work. Attending to a beginning allows us to form a “schema” for our understanding of what we are hearing.<sup>130</sup> Musical comprehension requires our brains to make organized arrangements of what we hear, either through schemas or by “chunking” – grouping units of information into a coherent whole – or by fitting what we hear onto a framework of expectations.<sup>131</sup> Recognition and memorization are aided by beginnings,<sup>132</sup> and our musical brains encode music hierarchically: musicians more accurately recall notes at beginnings, and they have difficulty in playing a phrase from its middle,

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possible.” See James Webster, *Haydn's “Farewell” Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music*, Cambridge Studies in Music Theory and Analysis 1 (Cambridge, UK: Cambridge University Press, 1991), 126–27. And Elaine Sisman has written: “Rhetoric ... encompasses every element of the compositional process and leaves traces on every aspect of the completed work as text and performance.” See Elaine Sisman, “Rhetorical Truth in Haydn's Chamber Music,” in *Haydn and the Performance of Rhetoric*, ed. Tom Beghin and Sander M. Goldberg (Chicago: University of Chicago Press, 2007), 281–326, at 289.

<sup>130</sup> F. C. Bartlett, *Remembering: A Study in Experimental and Social Psychology* (London: Cambridge University Press, 1932) and J. L. McClelland, D. E. Rumelhart, and G. E. Hinton, “The Appeal of Parallel Distributed Processing,” in *Foundations of Cognitive Psychology: Core Readings*, ed. D. J. Levitin (Cambridge, Massachusetts: MIT Press, 2002), cited in Daniel J. Levitin, *This Is Your Brain on Music: The Science of a Human Obsession* (New York: Plume, 2007), 116, 288–91, discuss the formation of schemas. See also Robert Gjerdingen, *A Classic Turn of Phrase: Music and the Psychology of Convention* (Philadelphia: University of Pennsylvania Press, 1988). Albert Bregman shows how we accumulate schemas (mental representations of a particular set of musical characteristics) over time. See Albert S. Bregman, *Auditory Scene Analysis: The Perceptual Organization of Sound* (Cambridge, Massachusetts: MIT Press, 1990) and his “Auditory Scene Analysis: Hearing in Complex Environments,” chapter 2 in *Thinking in Sound: The Cognitive Psychology of Human Audition*, ed. Stephen McAdams and Emmanuel Bigand (Oxford: Oxford University Press, 1993; published to Oxford Scholarship Online, March, 2012).

<sup>131</sup> See G. Hickok, B. Buchsbaum, C. Humphries, and T. Muftuler, “Auditory-Motor Interaction Revealed by fMRI: Speech, Music, and Working Memory in Area Spt,” *Journal of Cognitive Neuroscience* 15 (2003), 673–82; and T. R. Knosche, C. Neuhaus, J. Haueisen, K. Alter, B. Maess, O. Witte, and A. D. Friederici, “Perception of Phrase Structure in Music,” *Human Brain Mapping* 24 (2005), 259–73. See also Diana Deutsch, “Grouping Mechanisms in Music,” in *The Psychology of Music*, 2nd ed., ed. Diana Deutsch (San Diego, California: Academic Press, 1982), 299–348.

<sup>132</sup> See Levitin, *This Is Your Brain on Music*, 216.

even if they are looking at the written music.<sup>133</sup> At beginnings the firing rate of neurons spikes and then settles down.<sup>134</sup> At beginnings the brain synchronizes neural oscillators with the rhythm of the music to establish the beat.<sup>135</sup> Although some language processing involves only the left half of the brain, attending to musical information requires both halves.<sup>136</sup> Similarly, high-level and low-level or top-down and bottom-up processes are engaged in a constant exchange of information, constructing an accurate picture of perceptions.<sup>137</sup> Even beginnings of individual notes are important. Levitin describes the famous experiments of Pierre Schaeffer, showing that without their characteristic “attack,” musical timbres can be indistinguishable.<sup>138</sup>

In her book on language comprehension,<sup>139</sup> cognitive neuroscientist Morton Ann Gernsbacher describes what she calls “laying a foundation” in the apprehension of new information. Readers and listeners spend more time attending to first words of sentences and first sentences of paragraphs than to later words and sentences. They are creating a foundation for their mental representations of larger units, so they use openings to create these mental representations. When they are able to control the amount of time they have to attend to these openings (say, in reading), they spend more time on them. As a result readers and listeners are more able to recall a sentence from its first word, or a passage from its opening sentence, than from its later elements, and they consider openings more important.

<sup>133</sup> Ibid., 158.

<sup>134</sup> Barry Vercoe, “Computational Auditory Pathways to Music Understanding,” in *Perception and Cognition of Music*, ed. Irène Deliège and John A. Sloboda (Hove: Psychology Press, 1997) (consulted online).

<sup>135</sup> See Levitin, *This Is Your Brain on Music*, 191.

<sup>136</sup> See E. Edwards, S. S. Nagarajan, S. S. Dalal *et al.*, “Spatiotemporal Imaging of Cortical Activation during Verb Generation and Picture Naming,” *NeuroImage* 50 (2010), 291–301; Diana Deutsch, Trevor Henthorn, and Mark Dolson, “Speech Patterns Heard Early in Life Influence Later Perception of the Tritone Paradox,” *Music Perception* 21 (2004), 357–72; D. J. Levitin and V. Menon, “Musical Structure Is Processed in ‘Language’ Areas of the Brain: A Possible Role for Brodmann Area 47 in Temporal Coherence,” *NeuroImage* 20 (2003), 2142–52; and D. J. Levitin and V. Menon, “The Neural Locus of Temporal Structure and Expectancies in Music: Evidence from Functional Neuroimaging at 3 Tesla,” *Music Perception* 22 (2005), 563–75. Iain McGilchrist explains how, especially in trained musicians, the left hemisphere controls comprehension of details, while the right makes sense of the whole. See his *The Master and His Emissary: The Divided Brain and the Making of the Western World* (New Haven, Connecticut: Yale University Press, 2009), 72–76, at 75.

<sup>137</sup> See Levitin, *This Is Your Brain on Music*, 105.

<sup>138</sup> Pierre Schaeffer, *Traité des objets musicaux* (Paris: Le Seuil, 1967). See also Bertrand Delgutte, “Representation of Speech-Like Sounds in the Discharge Patterns of Auditory-Nerve Fibers,” *Journal of the Acoustical Society of America* 68 (1980), 843–57.

<sup>139</sup> Morton Ann Gernsbacher, *Language Comprehension as Structure Building* (Hillsdale, New Jersey: Lawrence Erlbaum Associates, 1990).

Psychologist Alexander Todorov has undertaken research on the interpretation of faces. His work has shown that people make extremely rapid inferences about character traits from viewing other people's faces. Judgments made about attractiveness, likeability, trustworthiness, competence, and aggressiveness within *one tenth of a second* correlated highly with judgments made with no time constraints at all.<sup>140</sup> And within one second, people can draw inferences about the competence of congressional candidates based solely on facial appearance. In fact, these inferences are strongly predictive of the outcomes of elections.<sup>141</sup>

Openings in music are vital clues to the sense-formation of later material, and it is only through careful attention to these initial elements that mapping of subsequent information can occur. Work in cognitive science, music psychology, and cognitive musicology on key profiles, key-finding, tonal appropriateness, and making sense of short snippets of music as well as entire compositions has all shown how rapidly our brains process initial information and how important beginnings are to our making sense of musical style and structure.<sup>142</sup>

Other research has shown how the spike in focus at beginnings can lead to increased salience upon recurrence. The memory of information gathered serves as a "readiness" or resonance factor for reiterated or referential material received at a later point.<sup>143</sup> Steven Pinker reports that cognitive load, the amount

<sup>140</sup> See J. Willis and A. Todorov, "First Impressions: Making up Your Mind after 100ms Exposure to a Face," *Psychological Science* 17 (2006), 592–98. Even male sexual orientation has been accurately perceived at 50 milliseconds. See Nicholas O. Rule and Nalini Ambady, "Brief Exposures: Male Sexual Orientation Is Accurately Perceived at 50 ms," *Journal of Experimental Social Psychology* 44 (2008), 1100–05.

<sup>141</sup> See A. Todorov, A. N. Mandisodza, A. Goren, and C. C. Hall, "Inferences of Competence from Faces Predict Election Outcomes," *Science* 308 (2005), 1623–26.

<sup>142</sup> See Andreas Gernemann-Paulsen, Lueder Schmidt, Uwe Seifert, Benjamin Buch, and Jochen Arne Otto, "Investigating the Musical Mind: Situated Cognition, Artistic Human-Robot Interaction Design, and Cognitive Musicology," in *Principles of Media Convergence in the Digital Age: Proceedings of the EWHA HK International Conference 2010*, [http://Downloads/tonmeistertagung\\_2010\\_manuskript\\_rdo2.pdf](http://Downloads/tonmeistertagung_2010_manuskript_rdo2.pdf) (accessed March 9, 2016); Carol Krumhansl, *Cognitive Foundations of Musical Pitch* (Oxford: Oxford University Press, 1990); David Temperley, *The Cognition of Basic Musical Structures* (Cambridge, Massachusetts: MIT Press, 2001); M. A. Schmuckler and R. Tomovski, "Perceptual Tests of Musical Key-Finding," *Journal of Experimental Psychology: Human Perception and Performance* 31 (2005), 1124–49; D. Perrott and R. O. Gjerdingen, "Scanning the Dial: An Exploration of Factors in the Identification of Musical Style," paper presented at the Society for Music Perception and Cognition Conference, Evanston, Illinois, 1999. David Huron writes that "Once the first note sounds, listeners are already jumping to conclusions." David Huron, *Musical Expectation*, <http://csml.som.ohio-state.edu/Music829D/Notes/Expectation.html> (accessed September 15, 2015). See also Eugene Narmour, "Hierarchical Expectation and Musical Style," in *The Psychology of Music*, 2nd ed., ed. Diana Deutsch (San Diego, California: Academic Press, 1982), 441–72.

<sup>143</sup> See Richard J. Gerrig and Gail McKoon, "The Readiness Is All: The Functionality of Memory-Based Text Processing," *Discourse Processes* 26 (1998), 67–86; Stephen M. C. Adams, Bradley W. Vines, Sandrine Vieillard, Bennett K. Smith, and Roger Reynolds,

of mental effort expended in working memory, increases as we apprehend new information.<sup>144</sup> And it goes without saying that the vast significance of repetition in music necessarily depends upon particular attention to openings.

The way our brains apprehend (Western) music and musical events has been studied in great detail by David Huron. In his book *Sweet Anticipation: Music and the Psychology of Expectation*,<sup>145</sup> founded on many carefully controlled laboratory studies, Huron describes how the experience of music is based both on deep psychological (evolution-based) mechanisms of the mind and on learned experience. Huron does not especially focus on beginnings: much of his book is concentrated on listener expectations of melodic shape, pitch range, note direction, cadence structure, and harmony, with a particular focus on cadences. Nonetheless, his general theory of musical apprehension and expectation is important to our understanding of beginnings in music, so I shall summarize it here. This will take a little time, because, although it is fundamental, it is not simple, and it depends upon physiological evidence and evolutionary theory as well as the influences of enculturation and learning.

Huron suggests that musical listening depends in large part upon prediction: our expectation as to what is going to happen next. Prediction is a vital part of our equipment as a species. Our ability accurately to predict the future – to take advantage of opportunity and to avoid danger – confers survival advantage. Prediction and ensuing experience lead to the emotions of anticipation and then satisfaction or surprise, and these emotions intensify the adaptive nature of prediction. Emotional states accompanying prediction fall into two categories: before the event and after the event. Before the event, feelings involve imagination and tension. We imagine the event in our minds, which induces an emotional state, and we prepare ourselves for the event, which requires physiological preparedness (arousal) and mental preparedness (attention).<sup>146</sup> After the event, a complicated series of reactions ensues. One reaction is to the accuracy of the prediction (“prediction response”): satisfaction if accurate, dissatisfaction if inaccurate. But mixed with this reaction are two other feelings, one of which is also immediate, whereas the other follows later. The first (“reaction response”) is the immediate, unconscious reaction to the event itself: joy, fear, pain, etc. The second is complex, thoughtful, and conscious: a response that Huron calls the

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“Influences of Large-Scale Form on Continuous Ratings in Response to a Contemporary Piece in a Live Concert Setting,” *Music Perception* 22 (2004), 297–350; and Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert’s Impromptus and Last Sonatas* (Berkeley, California: University of California Press, 2001), 12.

<sup>144</sup> Steven Pinker, *The Sense of Style: The Thinking Person’s Guide to Writing in the 21st Century* (New York: Viking, 2014), 6.

<sup>145</sup> David Huron, *Sweet Anticipation: Music and the Psychology of Expectation* (Cambridge, Massachusetts: MIT Press, 2006).

<sup>146</sup> See also Robert Jourdain, *Music, the Brain, and Ecstasy: How Music Captures Our Imagination* (New York: William Morrow, 1997), 249.



“appraisal response.” This involves assessment of the event, may include social or cultural considerations, and may be subject to revision as more time elapses. All these stages of prediction and response involve a highly textured mixture of emotions, and composers are skilled at manipulating them.<sup>147</sup> In fact, although Huron does not make this suggestion, it is possible that composers might be measured in their effectiveness by their differing abilities to engage in this infinitely subtle skill.

Huron goes on to explain that mild surprises in music create a rapid cascade of feelings. (Let us imagine that primarily consonant music includes a dissonant chord, or that in an ongoing flow of music an unexpected silence arrives or the prevailing meter is disrupted.) The immediate reaction is negative: for biological organisms, surprises are always bad. But the surprise turns out to be harmless (consonance returns, or the flow resumes, or the meter is re-established), so our “appraisal response” very rapidly determines that the surprise has posed no threat, and surprise subsides. But because negative emotions have been very briefly aroused – and with them endogenous opiates such as endorphins, which are designed to counteract stress and which tend to last longer in the body – we feel better than we would have if there had not been a surprise.<sup>148</sup> Part of the pleasure – in life as in music – comes from surprise. Surprises must of course be measured against expectations. (Many researchers have looked into listener expectations and found that these are naturally affected by cultural considerations and context and may be either innate or learned.)

Much of Huron’s book is devoted to showing how our expectations in music are influenced by what we have most commonly experienced as listeners. Our tendency as listeners is to imagine that the first note we hear is the tonic or the dominant.<sup>149</sup> Much less likely to be expected are pitches such as the second degree. Least likely of all is the fourth degree. This accords with statistical analysis of Western melodies, in which the least likely starting pitch is the fourth

<sup>147</sup> Huron, *Sweet Anticipation*, 41–59. See also Jourdain, *Music, the Brain, and Ecstasy*, xi–xii.

<sup>148</sup> Huron, *Sweet Anticipation*, 19–41. Huron distinguishes among three emotions linked to surprise: awe, laughter, and “frisson” (tingling, gooseflesh, chills) and links these to the three classic reactions to surprise identified by physiologists: freeze, flight, and fight. Because it is adaptive that our responses, especially our responses to surprise, should not become blunted, our ability to respond to surprises in music does not wane. That is why we can continue to enjoy a “surprise” in music that we have heard repeatedly. See Jourdain, *Music, the Brain, and Ecstasy*, 259, 312–13. For further discussions of surprise in music, see Edward T. Cone, *Musical Form and Musical Performance* (New York: Norton, 1968), 54–56; Georg Feder, “Haydn’s Paukenschlag und andere Überraschungen,” *Österreichische Musikzeitschrift* 21 (1966), 5–8; and Gretchen Wheelock, *Haydn’s Ingenious Jesting with Art: Contexts of Musical Wit and Humor* (New York: Schirmer, 1992).

<sup>149</sup> Repetitions of an initial pitch increase the likelihood that the pitch is the dominant rather than the tonic. Huron, *Sweet Anticipation*, 388, n. 14.

degree.<sup>150</sup> Similarly, by far the most common chord in Western music is a tonic chord in root position, and the most likely pitch is one in the middle of the acoustical spectrum.<sup>151</sup> Listeners are therefore more prepared for individual pitches in mid-range, on the tonic or dominant, and for tonic chords in root position. We are also three times more likely to expect a major mode than a minor mode.<sup>152</sup> Expected are the pitch sequences 3–2–1 and 5–4–3; scales and arpeggios; and phrase regularity.

We have a preference for regular rhythms (e.g., quarter–eighth–eighth) and for regular meters. Simple duple (e.g., 2/4) and quadruple (e.g., 4/4) meters are almost twice as common as simple triple (3/4). Simple duple, quadruple, and triple meters are ten times more likely to occur than compound duple (6/8) and fifteen to twenty-five times more likely than compound triple (9/8) or compound quadruple (12/8).<sup>153</sup>

Although our minds are subject to an extremely complex cascade of competing representations of the world, other expectations – which coincide approximately with statistical frequency of occurrence in music – include small intervals; leaps that ascend and steps that descend (and a pattern of ascending leaps followed by descending steps);<sup>154</sup> a step followed by a step in the same direction; a leap in any direction followed by steps in the other direction; certain patterns of chord sequence; clarity of part-writing; and a phrase to be arch-shaped (ascending followed by descending).<sup>155</sup> Also very common in music and thus part of our set of expectations are patterns of repetition.<sup>156</sup> All these expectations are subject to a feedback loop, in which expectations are continually adjusted and modified according to the information received.

<sup>150</sup> Even individual scale degrees produce distinct subjective mental states, which philosophers and psychologists term *qualia*. “From a psychological perspective, tonality might be defined as a system of pitch-related expectations, where the various scale tones acquire distinctive qualia as artifacts of learned statistical relationships.” *Ibid.*, 174. Because the putative “informed listener” in these cases is the one acculturated to Western classical music, this listener’s expectations are likely to conform to statistical data on frequency.

<sup>151</sup> *Ibid.*, 66 and 398, n. 10. The middle of our pitch spectrum is represented by the E<sub>4</sub> above middle C. This average pitch is derived from both Western and non-Western music.

<sup>152</sup> *Ibid.*, 207.

<sup>153</sup> *Ibid.*, 195.

<sup>154</sup> This seems to coincide with a speech phenomenon known in linguistics as “declination,” in which a spoken sentence ascends rapidly and then falls slowly. *Ibid.*, 77.

<sup>155</sup> *Ibid.*, 73–91.

<sup>156</sup> *Ibid.*, 241–68. These may include large-scale formal repetition such as in sonata form, or small-scale such as in sequences or Alberti-bass patterns. Too much repetition promotes habituation, which leads to boredom. But similarity (sequence, ground bass, variation sets) is pleasurable. It combines some novelty with a basic predictability.

Psycholinguists have discovered that words are often recognized by the brain *before* the speaker has finished saying the word. When the first phoneme is heard, a range of possibilities arises. With each new phoneme the number of potential candidates is reduced, until the number is reduced to one (the “recognition point”).<sup>157</sup> Affecting this narrowing are other factors: the syntactical context (is the word likely to be a verb or a noun?) and the semantic context (what meaning is most likely?).<sup>158</sup> From the onset of the first phoneme to the recognition point the time elapsed is between 200 and 250 milliseconds. Music listeners undergo the same process, determining pitch, key, style, genre, meter, tempo, etc. in an extremely rapid process of elimination and refinement.<sup>159</sup>

Huron also discusses the unfamiliar in music. There is no doubt that we prefer the familiar. As touched on above, we, as a species, don't like surprises, for a surprise can threaten our survival. So our first reaction to a surprise is negative. However, Huron suggests that through “contrastive valence” – the contrast between the negative feeling of surprise and the positive emotion of the discovery that the surprise is harmless – our later reaction is not just positive, but, in fact, *more* positive as a result of the surprise. Contrastive valence leads to heightened feelings of pleasure when an unpredicted event is followed by a restoration of expectations or when an expected event occurs after a delay. Two neural pathways are involved: the first involves the instant reaction, and the second invokes the appraisal response, which puts the surprise into its appropriate context. Huron explains why a musical surprise can still evoke a surprise, even when we know it is about to occur (as in re-hearing a familiar work). He suggests that our ability to be surprised cannot be shut off (again this is a survival factor) and that contrastive valence continues to contribute to a sense of pleasure after the event. Paradoxically, familiarity increases rather than decreases this pleasure.<sup>160</sup>

<sup>157</sup> Ibid., 208–09. This linguistic model is known as Cohort Theory.

<sup>158</sup> Presumably social context, dialect, speech register, and many other factors also come into play.

<sup>159</sup> This process is akin to the process in probability theory known as Bayesian updating, in which each prior probability is updated in the light of newly occurring data. Perhaps the first writer to suggest that we adapt our listening as the music unfolds was Leonard Meyer, in *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956).

<sup>160</sup> Huron, *Sweet Anticipation*, 269–305. The “Information Theory Paradox” would suggest that surprise and the resultant pleasure would decline with familiarity, since no new “information” is being conveyed, but the paradox depends upon the mathematical definition of information and does not distinguish between subjective and objective estimates of probability. See John Titchener and Michael Broyles, “Meyer, Meaning, and Music,” *The Journal of Aesthetics and Art Criticism* 32 (1973), 17–25. The authors cite Donald W. Sherburne, “Meaning and Music,” *The Journal of Aesthetics and Art Criticism* 24 (1966), 579–83: “If the [‘Information Theory Paradox’] were correct, the first hearing of a work should reek with meaning and send emotional tingles to the tips of the toes; but with subsequent hearings the significance and emotional impact ought to decline rapidly as the unexpected becomes the expected, as expectation becomes replaced by recollection and anticipation. In fact the far more common experience is

Surprises include chords that are out of key, such as chromatic mediant; sudden dynamic shifts; rhythmic disruption; and violations of our expectations regarding pitch, register, mode, meter, phrase structure, dissonance, melodic shape and direction, note length, interval structure, harmonic progression, sequential patterning, tempo, and cadential timing.<sup>161</sup> It is possible for a musical event to be unsurprising as to certain elements (pitch, harmony, duration) and surprising as to others (octave displacement). A special kind of surprise (known in linguistics as the “garden path” surprise) involves a situation in which the beginning of a phrase construed in one manner must be re-evaluated in the light of ensuing data.<sup>162</sup> This is a phenomenon particularly relevant in musical beginnings, as we shall see.

Although Huron’s work is not focused on beginnings in music as such, many of the results summarized here can be applied to an understanding of our apprehension of musical beginnings. And some of his conclusions can be directly applied to a theory of such beginnings.

Like some of the other researchers mentioned above, Huron has demonstrated how much attention is paid at the onset of a musical event. He has established how quickly listeners can identify a melody from its beginning: acculturated listeners can usually identify a melody within the first three or four notes.<sup>163</sup> We have positive feelings at downbeats, since they coincide with expected moments and therefore with our predictions.<sup>164</sup> We do not pay equal attention at all times, but “specifically, attention is choreographed to coincide with the most likely moments of stimulus onsets.”<sup>165</sup> The feeling of anticipation is at its strongest when the probability of an event is at its most certain (what could be more certain than the start of a piece?); and anticipation involves arousal (physiological effects such as increased heartbeat, sitting up straight) and attention (mental vigilance).<sup>166</sup> As soon as we hear the first note, our brains make very rapid decisions about what is being heard. “When the first tone appears ... listeners seem

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that the works tend to become more compelling as one gets inside them and obtains a growing familiarity with them.” (p. 580.) Edward T. Cone, “Three Ways of Reading a Detective Story or a Brahms Intermezzo,” *The Georgia Review* 31 (1977), 554–74, describes the processes involved in multiple hearings (or readings) of a work. He had begun to formulate his theory of surprise in music in his “The Uses of Convention: Stravinsky and His Models,” *Musical Quarterly* 48 (1962), 287–99, at 288.

<sup>161</sup> Huron, *Sweet Anticipation*, 271, 278, 278–79, 274.

<sup>162</sup> *Ibid.*, 280–81.

<sup>163</sup> *Ibid.*, 223. The popular television game show “Name That Tune” was based on this principle.

<sup>164</sup> We even have specific expectations regarding an un-periodic recurrence of downbeats, such as in the “bouncing ball” phenomenon, whereby the tempo of the downbeats increases according to a predictable pattern of acceleration. *Ibid.*, 187.

<sup>165</sup> *Ibid.*, 177.

<sup>166</sup> *Ibid.*, 306. Huron is discussing events during the music, but clearly the most certain moment of a performance is its beginning.

to jump to conclusions about what they are hearing, even when the amount of information they are hearing is minuscule.<sup>167</sup>

Some of these observations coincide with our intuitive understanding of how we apprehend music, but many do not, and it is perhaps unsurprising to discover that some of our most profound responses to listening to music can be shown to coincide with the most fundamental and evolutionary-based deep processes of our brains.

Huron's research can be supplemented in terms of meter and rhythm by Justin London's work on our perception of time.<sup>168</sup> London points out that in an environment filled with a bewildering array of coruscating data, our brains want to latch on to what is steady and invariable. He quotes from work by the cognitive psychologist Ulric Neisser:

The listener continuously develops more or less specific readinnesses (anticipations) for what will come next, based on information he has already picked up. These anticipations – which themselves must be formulated in terms of temporal patterns, not of isolated moments – govern what he will pick up next, and in turn are modified by it. Without them, he would hear only a blooming, buzzing confusion.<sup>169</sup>

Since we like to impose regularity on non-periodic events, our satisfaction in periodicity is particularly strong.<sup>170</sup> In addition, regularly recurring rhythms will gratify our anticipatory thinking and fulfill our predilection for predictability.<sup>171</sup> Musical meter provides the schema that allows us to entrain to stimuli that are salient and periodic,<sup>172</sup> and, like our other apprehensions at the outset of musical events, our perception of regularity in rhythm is also extremely rapid.<sup>173</sup> The patterns we establish in our minds are capable of disruption and surprise, but these surprises are rationalized in the ongoing flow of regular meter.<sup>174</sup> Just as

<sup>167</sup> Ibid., 67.

<sup>168</sup> Justin London, *Hearing in Time: Psychological Aspects of Musical Meter* (New York: Oxford University Press, 2004). See also Eric Clarke, "Rhythm and Timing in Music," in *The Psychology of Music*, 2nd ed., ed. Diana Deutsch (San Diego, California: Academic Press, 1982), 473–500.

<sup>169</sup> Ulric Neisser, *Cognition and Reality* (San Francisco: Freeman, 1976), 27.

<sup>170</sup> See R. F. Lundin, *An Objective Psychology of Music*, 2nd ed. (New York: Ronald, 1967); F. Lerdahl and R. Jackendoff, *A Generative Theory of Tonal Music* (Cambridge, Massachusetts: MIT Press, 1983); and David Huron, "Action and Perception in Rhythm and Music," *Psychology of Music* 16 (1988), 156–62.

<sup>171</sup> See William James, *The Principles of Psychology* (1890; reprint, New York: Dover, 1950), 439; quoted in London, *Hearing in Time*, 10.

<sup>172</sup> See London, *Hearing in Time*, 12, 14.

<sup>173</sup> See James Gibson, *The Senses Considered as Perceptual Systems* (Boston: Houghton Mifflin, 1966), 286; quoted in London, *Hearing in Time*, 14.

<sup>174</sup> See London, *Hearing in Time*, 25.

we do for pitch, we have boundaries – before beginnings – for our expectations in tempo (between approximately 40 and 200 beats per minute) and an average expected tempo (approximately 80 beats per minute).<sup>175</sup> And research has shown that rhythmic perception interacts with pitch perception.<sup>176</sup>

These findings may be supplemented still further by the observations of Lewis Rowell, who notes that beginnings must “overcome the inertia of the surrounding silence” and, by establishing a sense of motion, move external time to the internal time of the composition. At this moment of beginning,

we are poised on the brink of [musical] time ... [which is] mainly the result of perceived patterns of accentual weight, although accent itself (using the term broadly) is the result of a complex combination of stresses, pitches, and patterned durations. ... [E]xtremely minute variations in perceived weight are enough to establish a metrical framework.<sup>177</sup>

Literary and musical theorists have overlapping conceptions of our expectations about a work of art. Central to these ideas are the juxtaposition of generic expectations and the actuality of each individual work, with theories based on genre, culture, ideology, phenomenology, poststructuralism, hermeneutics, and reception theory, especially reader-response theory, strongly represented by Hans-Robert Jauss and others of the Constance School. In physics the term “deformation” is used to suggest the way in which an object can be changed in its shape and still retain its identity. In the same way, a literary or musical genre can be individually “deformed” and still be recognizably itself. The Russian Formalists and Czech Structuralists argued that deformation is central to literature.<sup>178</sup> Wolfgang Iser wrote that “the aesthetic object signalizes its presence through deformations of the schemata,”<sup>179</sup> and Paul Ricoeur referred to

<sup>175</sup> Ibid., 27–28.

<sup>176</sup> Ibid. 28.

<sup>177</sup> Lewis Rowell, “The Creation of Audible Time,” in *The Study of Time*, vol. 4, ed. J. T. Fraser, N. Lawrence, and D. Park (New York: Springer, 1981), 198–210, at 199–200 and 201–02. For more detailed analysis of the perception of meter, especially at beginnings, see also Ray Jackendoff, “Musical Processing and Musical Affect,” in *Cognitive Bases of Musical Communication*, ed. Mari Riess Jones and Susan Holleran (Washington, DC: American Psychological Association, 1992), 51–68; Danuta Mirka, *Metric Manipulations in Haydn and Mozart*, Oxford Studies in Music Theory (New York: Oxford University Press, 2009), 17–23; and Christopher Hasty, *Meter as Rhythm* (Oxford: Oxford University Press, 1997), 70.

<sup>178</sup> See Colin Martindale, “Deformation Forms the Course of Literary History,” *Language and Literature* 16 (2007), 141–53. See also Jerome McGann and Lisa Samuels, “Deformance and Interpretation,” <http://www2.iath.virginia.edu/jjm2f/old/deform.html> (accessed April 7, 2015).

<sup>179</sup> Wolfgang Iser, *The Act of Reading: A Theory of Aesthetic Response* (Baltimore: Johns Hopkins University Press, 1978), 92.

“rule-governed deformation.”<sup>180</sup> Jerome McGann and Lisa Samuels have argued that “deformance” is a constructive interpretive stance in the reading of such poets as Dante, Shelley, Coleridge, and Wallace Stevens.<sup>181</sup> Genre and deformations of genre have also been interpreted as referents of ideology. Thomas Beebe writes that “Ideology itself is usually invisible. ... It is only in the deformations and contradictions in writing and thinking that we can recognize ideology; genre is one of those observable deformations.”<sup>182</sup> And in their book *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata*, James Hepokoski and Warren Darcy have utilized the term “deformation” in describing individual composers’ manipulation of sonata form.<sup>183</sup> Their work has shown that norms, expected patterns, conventionally received ideas of shape, organization, and temporal sequence are frequently manipulated and that, in fact, such manipulations themselves become part of what is expected from powerful composers. “In the case of musical norms,” they write, “the composer does not alter the genre itself through such deformations. Existing outside the composition proper, the genre is that which provides the guidelines for understanding what occurs inside the individual piece.”<sup>184</sup>

What we learn from all this research and theory has important implications for musical beginnings. Before a work even starts, we come to it with a large and complex array of expectations, including social, cultural, and ideological impresses and – in musical terms – those involving timing, durations, length, pitch, register, degree assignment, note length, interval direction, melodic shape, mode, consonance and dissonance, rhythmic pattern, cadence structure, cadence timing, interval structure, chord voicing, phrase organization, meter type, phrase shape, hypermeter, harmonic progression, clarity of part-writing, absolute tempo, patterns of repetition, dynamic level, texture, timbre, and metric organization. Most importantly from the point of view of this book, research has shown that our focus at beginnings is at its peak: both halves of the brain are engaged; physiological arousal and mental attention are heightened, and there is a spike in neuron firing; information is processed at an extremely rapid rate, and adjustments are made to organizational schemas in milliseconds; each new item

<sup>180</sup> Paul Ricoeur, *Time and Narrative*, trans. Kathleen McLaughlin and David Pellauer (Chicago: University of Chicago Press, 1984), 70.

<sup>181</sup> Jerome McGann (with Lisa Samuels), “Deformance and Interpretation,” in Jerome McGann, *Radiant Textuality: Literature after the World Wide Web* (New York: Palgrave Macmillan, 2001), 105–35.

<sup>182</sup> Thomas O. Beebe, *The Ideology of Genre: A Comparative Study of Generic Instability* (University Park, Pennsylvania: University of Pennsylvania Press, 1994), 18–19.

<sup>183</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), especially Appendix 2, 614–21.

<sup>184</sup> *Ibid.*, 619. The authors also write, “For the purposes of structural analysis [a piece of music] exists most substantially in the ongoing dialogue it may be said to pursue with its stated or implied genre.” (p. 605.)

of information is absorbed and utilized to make sense of what has happened, what is happening, and what is most likely to happen next. We may be surprised by “abnormal” or unexpected events, but in an anticipated schema, these only lead to increased pleasure in listening.<sup>185</sup>

#### THEORIZING BEGINNINGS

Composers occasionally spoke of the importance of beginnings. Beethoven is reported to have said, “Once I have begun, then all goes well,”<sup>186</sup> and Schumann wrote that “the beginning is the main thing; once one has begun, then the end comes all by itself.”<sup>187</sup>

Sulzer wrote about beginnings in the *Allgemeine Theorie*:

In der Musik muss jedes Tonstück so anfangen, dass das Gehör auf nichts vorhergehendes geführt werde. Die Harmonie muss vollkommen consonierend und vollständig sein, der Gang oder die Figur nicht abgebrochen. So viel immer möglich, muss gleich die erste Periode den Charakter des ganzen Stücks enthalten.

In music every piece must begin in such a way that one’s hearing is drawn to nothing that came before. The harmony must be entirely consonant and full, the flow or the gesture unbroken. As much as possible, the first period must at once incorporate the character of the whole piece.

And:

Es ist überhaupt in allen Werken des Geschmacks nötig, den Anfang so zu machen, dass man natürlicher Weise nicht auf den Gedanken kommen könne, was dieser Sache, die wir jetzt sehen oder hören, könnte vorher gegangen sei.

It is above all necessary in all tasteful works to create the beginning in such a way that one could not naturally think of anything that might have gone before the object that we are now hearing or seeing.<sup>188</sup>

<sup>185</sup> See also Jourdain, *Music, the Brain, and Ecstasy*, 259, 319–20.

<sup>186</sup> Alexander Wheelock Thayer, *Thayer’s Life of Beethoven, Revised and Edited by Elliot Forbes* (Princeton, New Jersey: Princeton University Press, 1967), 802. The authenticity of this quote has been challenged. See Maynard Solomon, “Beethoven’s Creative Process: A Two-Part Invention,” in *Beethoven Essays* (Cambridge, Massachusetts: Harvard University Press, 1988), 126–38. See also William Meredith, “Beethoven’s Creativity: His Views on the Creative Process,” *The Beethoven Newsletter* 2 (1987), 1, 8–12.

<sup>187</sup> Robert Schumann, *Robert Schumanns Briefe: Neue Folge*, ed. Friedrich Gustav Jansen (Leipzig: Breitkopf & Härtel, 1886), 338.

<sup>188</sup> *Allgemeine Theorie*, vol. 1, 139–41, s.v. “Anfang,” <http://www.textlog.de/3133.html> (accessed April 2, 2016).



But, surprisingly, not much modern musicological scholarship has been focused on beginnings.<sup>189</sup> In his Romanes lecture, delivered at Oxford University in 1936, Donald Francis Tovey asserted that “[b]eginnings and endings always remain in the mind longer than any other parts of a work of art.”<sup>190</sup> Ernst Toch had a chapter on “Beginning and Ending” in his 1948 book *The Shaping Forces of Music*.<sup>191</sup> He distinguished among beginnings that enter *in medias res*, those that have a slow introduction (he describes these as “completely detached”), and those that start with a vague improvisation “from afar” or with a “brewing mist.”<sup>192</sup> He also provided a sensitive analysis of Schumann’s “Mondnacht,” with its opening of “harmonic obliquity.”<sup>193</sup>

Edward Cone described beginnings as “frames” and “upbeats” in his 1968 book *Musical Form and Musical Performance*.<sup>194</sup> In *Explaining Music: Essays and Explorations* (1973), Leonard Meyer declared that beginnings were important, but, apart from one pair of works – Schumann’s “Soldatenmarsch,” from *Album für die Jugend*, Op. 68, and the Scherzo from Beethoven’s Violin Sonata, Op. 24<sup>195</sup> – he did not analyze many of them closely. In an analysis of the opera overtures of Johann Adolph Hasse, Judith Schwartz suggested that the style and construction of openings in the music of mid-eighteenth-century composers could be utilized as an aid in their dating.<sup>196</sup>

Leo Treitler addressed the openings of the first and last movements, but not the second and third, of Beethoven’s Ninth Symphony in an article in 1980.<sup>197</sup> He suggests that the first movement has essentially no beginning, comparing it to Ligeti’s *Atmosphères*, “where the sound moves in like a fog.”<sup>198</sup> Thomas Clifton

<sup>189</sup> Lewis Rowell suggested that one could write a history of music based on beginnings. See Rowell, “The Creation of Audible Time,” 198.

<sup>190</sup> Sir Donald F. Tovey, *Normality and Freedom in Music: The Romanes Lecture Delivered in the Sheldonian Theatre 20 May 1936* (Oxford: Clarendon Press, 1936), 34–35.

<sup>191</sup> Ernst Toch, *The Shaping Forces in Music: An Inquiry into the Nature of Harmony, Melody, Counterpoint and Form* (New York: Criterion, 1948; reprint, New York: Dover, 1977), 217–38.

<sup>192</sup> *Ibid.*, 217–19. Jonathan Berger refers to the “cinematic cliché” of beginning a scene in a film with the camera out of focus. “Playing with ‘Playing with Signs’: A Critical Response to Kofi Agawu,” *Journal of Music Theory* 38 (1994), 293–313, at 296.

<sup>193</sup> Toch, *The Shaping Forces in Music*, 222–26.

<sup>194</sup> Cone, *Musical Form and Musical Performance*, 11–31.

<sup>195</sup> Leonard Meyer, *Explaining Music: Essays and Explorations* (Berkeley: University of California Press, 1973), 127–30.

<sup>196</sup> Judith Schwartz, “Opening Themes in Opera Overtures of Johann Adolf Hasse,” in *A Musical Offering: Essays in Honor of Martin Bernstein*, ed. Edward H. Clinkscale and Claire Brook (New York: Pendragon, 1977), 243–59.

<sup>197</sup> Leo Treitler, “History, Criticism, and Beethoven’s Ninth Symphony,” *19th Century Music* 3 (1980), 193–210.

<sup>198</sup> *Ibid.*, 194.

argues that the Ninth has two beginnings.<sup>199</sup> Leonard Ratner, who first developed what later became known as “topic theory,” was also concerned with the rhetoric of Classic music. “The most critical points in a form,” he wrote, “are its beginning and ending, where the initial statement and final confirmation of the ruling key take place, respectively.”<sup>200</sup>

The comparison of beginnings and endings has led to important insights. Jonathan Kramer has argued that beginnings are more open to possibility than endings: “Anything is possible at the beginning, but by the end the nature of the piece dictates the nature of its ending procedures.”<sup>201</sup> He has also pointed out how compositions such as the Trio of Mozart’s “Jupiter” Symphony and the opening of Beethoven’s Op. 135 String Quartet, which present endings at or near the beginning, establish a second mode of musical time, simultaneous with the apprehension of time as linear succession.<sup>202</sup> Lewis Rowell pointed out that in

<sup>199</sup> Thomas Clifton, *Music as Heard: A Study in Applied Phenomenology* (New Haven: Yale University Press, 1983), 83–88.

<sup>200</sup> Leonard Ratner, “Texture: A Rhetorical Element in Beethoven’s Quartets,” *Israel Studies in Musicology* 2 (1980), 51–62, at 52–53.

<sup>201</sup> Jonathan D. Kramer, “Beginnings and Endings in Western Art Music,” *Canadian University Music Review/Revue de musique des universités canadiennes* 3 (1982), 1–14, at 3. James Hepokoski has written about formulaic openings, including those that are monophonic, chordal, sequential, etc., in the music of Debussy. See James Hepokoski, “Formulaic Openings in Debussy,” *19th Century Music* 8 (1984), 44–59. Matthew Riley has looked at themes in Haydn’s music that lack the first half of their continuation phrase. See Matthew Riley, “Haydn’s Missing Middles,” *Music Analysis* 30 (2011), 37–57.

<sup>202</sup> For Beethoven’s endings see Scott Burnham, *Beethoven Hero* (Princeton, New Jersey: Princeton University Press, 1995), 142; and Nicholas Marston, “‘The Sense of an Ending’: Goal-Directedness in Beethoven’s Music,” in *The Cambridge Companion to Beethoven*, ed. Glenn Stanley (Cambridge, UK: Cambridge University Press, 2000), 84–102. Janet Levy pointed out that among conventional syntactical gestures, “the clearest and most archetypal ... are closing gestures.” See Janet Levy, “Gesture, Form, and Syntax in Haydn’s Music,” in *Haydn Studies*, ed. Jens Peter Larsen, Howard Serwer, and James Webster (New York: Norton, 1981), 355–62, at 355. Op. 135 and its manipulation of our sense of time were examined in greater detail in Jonathan D. Kramer’s “Multiple and Non-Linear Time in Beethoven’s Opus 135,” *Perspectives of New Music* 11 (1973), 122–45; and Op. 135 also intrigued Judith Lochhead, who wrote about it in her master’s thesis: “The Temporal in Beethoven’s Op.135: When Are Ends Beginnings?” (MA thesis, State University of New York at Stony Brook, 1978), published as Judith Lochhead, “The Temporal in Beethoven’s Op.135: When Are Ends Beginnings?,” *In Theory Only* 4 (1979), 6–7, as well as Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994), 120. Gerald J. Whitrow, “Reflections on the History of the Concept of Time,” in *The Study of Time: Proceedings of the First Conference of the International Society for the Study of Time: Oberwolfach (Black Forest) – West Germany*, ed. J. T. Fraser, F. C. Haber, and G. H. Müller (Berlin: Springer, 1972), 1–11, pointed out that an underappreciated element of the philosophy of the Enlightenment was a new understanding of time as a linear progression. Even the idea of the backward sequential count during the “BC” era did not originate until 1627. The process of understanding began with the invention of a successful pendulum clock by Christiaan Huygens in the middle of the seventeenth century. Lewis Mumford claimed that an accurate mechanical clock “helped to create

order to end a piece a composer has to choose among a specific array of possibilities necessitated by the “musical accumulation” that has happened during the piece, but for beginnings a composer selects “from all the possible choices in the world.”<sup>203</sup> This is not literally true, for composers are constrained by a large number of parameters. In Western music of the Classic era, these include conventions of performing forces, style, genre, and audience expectation, the limitations and potentials of human voices and instruments, accepted schemata of range, register, dynamics, and acceptable sonorities within the tonal system.<sup>204</sup> But it is an overstatement that suggests an important distinction.<sup>205</sup>

Kofi Agawu proposed a complex “semiotic” analysis of music of the Classic period in his book *Playing with Signs*.<sup>206</sup> This approach would involve an interaction among the identification of “topics,” as put forward by Leonard Ratner,<sup>207</sup>

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the belief in an independent world of mathematically measurable sequences.” Lewis Mumford, *Technics and Civilization* (New York: Harcourt, Brace, 1934), 15. But the concept did not take hold until the eighteenth century. By 1785 the geologist James Hutton, who anticipated the theory of natural selection and conceived of the theory of geologic (“deep”) time, was able to write in his *Theory of the Earth* (1785): “We find no vestige of a beginning – no prospect of an end.” Quoted in Whitrow, “Reflections,” 11. Kramer expanded upon his ideas in his *The Time of Music: New Meanings, New Temporalities, New Listening Strategies* (New York: Schirmer, 1988). Here he pointed out that there are degrees of beginning and that certain gestures cannot function as beginnings, although anything that follows a “pre-composition [= performance] framing silence” must be a beginning of some kind.

<sup>203</sup> Rowell, “The Creation of Audible Time,” 199.

<sup>204</sup> Some composers have written about their own ways of undertaking a new work. See Arnold Schoenberg, “Twelve-Tone Composition,” “Composition with Twelve Tones (1),” and “Composition with Twelve Tones (2),” in Arnold Schoenberg, *Style and Idea*, ed. Leonard Stein, trans. Leo Black (Berkeley: University of California Press, 1975), 207–08, 214–45, 245–49; Igor Stravinsky, *Poetics of Music in the Form of Six Lessons*, The Charles Eliot Norton Lectures, trans. Arthur Knodel and Ingolf Dahl (Cambridge, Massachusetts: Harvard University Press, 1942); Aaron Copland, *Music and Imagination*, The Charles Eliot Norton Lectures (Cambridge, Massachusetts: Harvard University Press, 1952); and Roger Sessions, *The Musical Experience of Composer, Performer, Listener* (New York: Atheneum, 1962).

<sup>205</sup> Robert Hatten distinguished very broadly among material types (thematic, developmental, and cadential) and among location types (thematic, elaborative, closing). He posited a scheme in which these two types can interact, providing particular salience (“markedness”) to a musical passage. See Hatten, *Musical Meaning in Beethoven*, 119–32. Anthony Newcomb turned to narratological theory to suggest that particular places in musical structures can call upon certain types of beginning, transitional, or closing formulations. See Anthony Newcomb, “Schumann and Late Eighteenth-Century Narrative Strategies,” *19th Century Music* 11 (1987), 164–74. And in his dissertation Anthony Walts showed how the beginnings of three Haydn string quartets generate the principal motivic material of the works. See Anthony A. Walts, “The Significance of the Opening in Sonata Form: An Analytical Study of the First Movements from Three String Quartets by Joseph Haydn” (Ph.D. dissertation, Yale University, 1985).

<sup>206</sup> Agawu, *Playing with Signs*.

<sup>207</sup> Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), 9–29.

Schenker's analytic graphs, and an understanding of a "beginning-middle-end paradigm."<sup>208</sup> His focus was apparently not on the "beginning" member of this paradigm, for he claimed that a beginning that is "preludial" to the "real beginning" of a piece must lack either a harmonic progression or a "defined structural melody,"<sup>209</sup> which, as we shall see, is not the case. Nor was he interested in the distinction between a slow introduction and a beginning, for "such ambiguities are not really central to the Classic repertoire."<sup>210</sup> But, of course, it is precisely in such ambiguities that the "play" of Classic music resides. Agawu did, however, acknowledge the importance of beginnings to our understanding of the rhetoric of a work, and his brief analyses showed how two Haydn and two Beethoven openings might be approached.<sup>211</sup> Maynard Solomon wrestled with the idea of beginnings in his 2003 essay on the Diabelli Variations.<sup>212</sup> In addition to describing the journey from quotidian beginning to celestial ending portrayed in the work, he laid out a geographical metaphor of beginnings in Beethoven:

We know Beethoven by his beginnings – by themes, figures, rhythmic patterns, harmonic motifs, and sonic textures that instantly establish something essential about the character of a composition, that set out a range of possibilities for what is to follow, that arouse expectations that will be fulfilled or frustrated, that provide apertures of particularity through which we may glimpse, enter, and begin to explore worlds we never knew, let alone made.<sup>213</sup>

<sup>208</sup> Agawu relies without acknowledgement upon many other aspects of Ratner's teachings and, in a book so overtly concerned with language, is somewhat careless with it. For example, in discussing Mattheson's rhetorical analogy for compositional structure, Agawu describes the function of *exordium* (beginning or introduction) as "the exposition of an idea," a function belonging – as Mattheson makes clear – to *narratio*. In his review of Agawu's book, Daniel Harrison writes that it "cannot sustain its own weight, for the many ideas it plays with occasionally prove too much for the author to handle effectively." See Daniel Harrison, "Review – Essay of V. Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music*," *Intégral* 6 (1992), 136–50, at 138. And Jonathan Berger states in his review "Playing with 'Playing with Signs'" that "semiotics does not offer a satisfactory environment in which to investigate these issues." (p. 303.) The origins of musical semiotics are discussed in Ian Bent, *Analysis*, Norton/Grove Handbooks in Music (London: Macmillan, 1987), 96–99.

<sup>209</sup> Agawu, *Playing with Signs*, 58. Lauri Suurpää has analyzed three Beethoven introductions that begin off the tonic. Lauri Suurpää, "Non-Tonic Openings in Three Beethoven Introductions," in *Essays from the Third International Schenker Symposium*, ed. Allen Clayton Cadwallader and Jan Miyake (Hildesheim: Olms, 2006), 51–66.

<sup>210</sup> Agawu, *Playing with Signs*, 62.

<sup>211</sup> *Ibid.*, 58–62.

<sup>212</sup> Maynard Solomon, "The End of a Beginning: The 'Diabelli' Variations," in Maynard Solomon, *Late Beethoven: Music, Thought, Imagination* (Berkeley, California: University of California Press, 2004), 11–26, a revised version of Maynard Solomon, "The 'Diabelli' Variations: The End of a Beginning," in *Beethoven Forum* 7, ed. Lewis Lockwood, Christopher Reynolds, and Elaine Sisman (Lincoln: University of Nebraska Press, 1999), 139–54.

<sup>213</sup> Solomon, "The End of a Beginning," 14.

Much has been made, erroneously, of the notion that beginnings are necessarily stable. Extrapolating from just one composition, Agawu declared that it is “characteristic of Classic beginnings ... [that] first, the beginning provides a complete definition of the periodic activity in the piece. ... Second and consequently, [that the] beginning has a life of its own.”<sup>214</sup> Most of the examples in this book show that neither of these statements is correct. And, writing about the style of Classic music, Charles Rosen insisted that the beginning of a work establishes stability, that openings in sonata form are “direct and forthright,” and that sonata forms necessarily begin by setting a strict tempo and a tonic.<sup>215</sup> Beginnings are much more various and multi-faceted than these or other writers have acknowledged.

#### EXPECTING A BEGINNING

Western art music is now most often performed by professionals or capable amateurs before an audience.<sup>216</sup> The audience comes primed with a large set of expectations, and these expectations are governed by conventions, which are established by history and experience. Audiences would not expect an orchestral concert to be performed by just three players; they would be taken aback if, at a string quartet concert, a saxophone played from the wings. The expectations involve many more refined details: audience behavior before, during, and after a concert, the length of each piece, the length of time devoted to the entire concert, the time between movements, the timing and duration of the intermission. Expectations particularly govern beginnings. Audiences know when a work begins and when each movement of each work begins. These moments are signaled by prominent aural and visual cues. Before each beginning is a period of silence, and therefore silence is a marker of beginnings, and the moment of beginning is therefore liminal, one marked by the transition between silence and sound.<sup>217</sup> This liminality too renders the start of a work or of a movement

<sup>214</sup> Agawu, *Playing with Signs*, 58. Mendelssohn wanted to compose (like Beethoven) in such a way that “by simply beginning one may already know the secret that goes through the entirety of a given movement” (“... so dass man dann durch das glosse Anfangen, durch die ganze Existenz so eines Stückes schon das Geheimniss weiss”). Friedhelm Krummacher, *Mendelssohn – der Komponist: Studien zur Kammermusik für Streicher* (Munich: Fink, 1978), 72. See also Thomas Christian Schmidt, *Die ästhetischen Grundlagen der Instrumentalmusik Felix Mendelssohn Bartholdys* (Stuttgart: M & P, Verlag für Wissenschaft und Forschung, 1996), 106.

<sup>215</sup> Charles Rosen, *The Classical Style* (London: Faber and Faber, 1997), 76, 83, 113.

<sup>216</sup> The following description refers to live performance, but much of it also applies to other forms of listening.

<sup>217</sup> “Silence is the potential from which music can arise.” Keith Jarrett, liner notes to *Spirits* (ECM, 1985), quoted in Timothy Walsh, *The Dark Matter of Words: Absence, Unknowing, and Emptiness in Literature* (Carbondale, Illinois: Southern Illinois University Press, 1998), 179.

particularly salient. It is at this moment that we are especially attentive, and it is in the first few seconds of hearing that our brain activity is at its highest, as we follow our instinctual desire to make order out of what we hear.<sup>218</sup> Studies have shown that our ability to process aural information is very rapid. We can determine pitch and pitch patterns;<sup>219</sup> instruments, notes, and octaves;<sup>220</sup> tempo, meter, and form;<sup>221</sup> musical style;<sup>222</sup> musical performance nuances;<sup>223</sup> and emotional character,<sup>224</sup> all within a very short space of time. A paper by Joseph Plazak and David Huron based on two studies has shown that listeners to musical excerpts feel confident that they have acquired all necessary information regarding instruments, tempo, meter, mode, form, genre, mood, density, and “pleasantness” within the first three seconds.<sup>225</sup>

In those first few seconds of listening, our brains are hyper-receptive, able to sort and organize (and memorize) information at astonishing speed, determine a myriad of factual and technical, as well as stylistic and emotional, information, and make schemas in accordance with all our previous experience of apprehending music. In those moments a composition unleashes an explosion of information: instrumentation, dynamics, texture, key, timbre, pitches, tempo, meter, and emotional character. At this time the composer lays out his or her opening rhetorical gesture: a single melodic line or a full chord, a gritty motive, a complete phrase or an incomplete one, obvious preparation or declamatory exposition – short or long, questioning or definitive, lyrical or elemental. In the Classic period these opening measures are more than just a beginning: they provide suggestions as to how the entire movement might unfold<sup>226</sup> – although, as I

<sup>218</sup> See Anthony Storr, *Music and the Mind* (New York: Ballantine, 1992), 105, 106–07, 168, 176, 187–88. See also Rowell, “The Creation of Audible Time,” 202, who describes the “framing behaviors” at the beginning of musical events.

<sup>219</sup> Krumhansl, *Cognitive Foundations of Musical Pitch*.

<sup>220</sup> K. Robinson and R. D. Patterson, “The Duration Required to Identify an Instrument, the Octave, or the Pitch Chroma of a Musical Note,” *Music Perception* 13 (1995), 1–15.

<sup>221</sup> Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*; London, *Hearing in Time*.

<sup>222</sup> E. G. Schellenberg, P. Iverson, and M. C. McKinnon, “Name That Tune: Identifying Popular Recordings from Brief Excerpts,” *Psychonomic Bulletin and Review* 6 (1994), 641–46; R. O. Gjerdingen and D. Perrott, “Scanning the Dial: The Rapid Recognition of Music Genres,” *Journal of New Music Research* 37 (2008), 93–100.

<sup>223</sup> C. M. Johnson, “Musicians’ and Non-Musicians’ Assessment of Perceived Rubato in Musical Performance,” *Journal of Research in Music Education* 44 (1996), 84–96.

<sup>224</sup> Huron, *Sweet Anticipation*, 16–17.

<sup>225</sup> Joseph Plazak and David Huron, “The First Three Seconds: Listener Knowledge Gained from Brief Musical Excerpts,” *Musicae Scientiae* 15 (2011), 29–44.

<sup>226</sup> Edward Said wrote that “a beginning not only creates but is its own method because it has intention” and “Every writer knows that the choice of a beginning for what he will write is crucial not only because it determines much of what follows, but also because a work’s beginning is, practically speaking, the main entrance to what it offers.” Said, *Beginnings*, xiii, 3.

show, these suggestions may be misleading. If you miss the beginning, you will be cheated of the reassurance of the exposition repeat in a sonata form or the unexpected drama of its recapitulation; you will have to try to deduce retroactively the beginning of the theme from its continuing variations or misinterpret an episode of a rondo. Composers of the Classic period approach this liminal moment with full consciousness of the significance of its freighted shift from silence to sound and its unparalleled opportunity for expressive and rhetorical power. Beethoven, particularly, understood the vast range of the expressive possibilities of openings – from declarative to questioning, forthright to subtly deceptive, inchoate to monumental – and he calculated with profound and careful planning exactly how this opening would color the rhetoric of the entire piece.<sup>227</sup>

A beginning does not come *ex nihilo*. It is fashioned in the composer's head (perhaps aided by the contemplation of works of others, walks in the country, or the manipulation of sketches on paper, or, in Beethoven's case, all three), where ideas, influences – social, cultural, and artistic – rules, and conventions are resident; and it is constrained by pre-conditions: the desiderata and/or status of the commissioning party or dedicatee, the available performing forces or ability of the individual performer, the kind of place and/or occasion for which the work is intended, the nature of the audience, and so on.

Beginnings are by their very nature expressive of potential: they are implicative precisely because they begin. Since Classic music is woven from a large but limited number of possible gestures, constrained by the conventions of genre, tonality, form, overall length, movement type and length, section type and

<sup>227</sup> From very early on, commentators have interpreted Beethoven's works as emotional journeys. E. T. A. Hoffmann's 1810 review of the Fifth Symphony describes the listener's "pain of infinite yearning ... [and] the romanticism of music, which [is expressed] ... in a climax that rises to the very end." *Allgemeine musikalische Zeitung* 12 (July 4 and 11, 1810), 630–42, 652–59. A. B. Marx describes the journey from the "creative urge" of the first movement, to the "thoughtful, quiet" Adagio and the "humor" of the Scherzo, to the "life and productive activity" of the finale, in which the composer is "freshly rejuvenated." Adolf Bernard Marx, "Form in Music," in *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, trans. and ed. Scott Burnham (Cambridge, UK: Cambridge University Press, 1997), 87. A chapter on the Diabelli Variations in Solomon's book on late Beethoven is entitled "The Shape of a Journey." See Maynard Solomon, *Late Beethoven: Music, Thought, Imagination* (Berkeley, California: University of California Press, 2004), 179–97. Lewis Lockwood suggests that the journey is one possible metaphorical interpretation of the Fifth Symphony and the "Appassionata" Piano Sonata: "Unlike the Fifth, [the Seventh Symphony] does not traverse a quasi-narrative journey from minor to major." "One metaphor [for the "Appassionata"] is that of a great journey in which the traveler knows what the ultimate goal must be but is soon derailed, then recovers and eventually proceeds to the final destination, but does so by means that do not allow the deviation to be forgotten, since resolving it has become the point of the journey." See Lockwood, *Beethoven: The Music and the Life*, 232 and 297.

length, chord structure, voicing, phrase pattern, register, and the limitations (and potentialities) of instruments and instrumental playing of the time – the nature and placement of each gesture and the pattern of relationships among gestures are particularly meaningful. In this style, differentiation between ordinary composers and gifted composers must be made on the basis of their invention of phrases, sentences, and paragraphs in the *lingua franca* of their time, and their effective arrangement and juxtaposition of these elements within the rules of that language.

Two very brief mentions of very well-known beginnings in Beethoven will demonstrate the potentialities. The beginning of the Fifth Symphony (see Example 1) is perhaps the most famous opening in classical music.<sup>228</sup> These four notes are powerfully strong and at the same time ambivalent.<sup>229</sup> The strength comes from the rhythm, the unison statement, and the *fortissimo* dynamics; the ambivalence resides both in the harmony and in the meter. The notes G–G–G–E $\flat$  could be the lower two notes of an E $\flat$  chord or the upper two notes of a C-minor chord, and this harmonic ambivalence is not resolved after a pause.<sup>230</sup> The next four-note hammering phrase (F–F–F–D) could also resolve either to E $\flat$  or to C minor (or Major). It is only with the entry of the cellos and bassoons in measure 7 that the C-minor tonality is determined. In terms of meter, we don't even know at the beginning whether the three-repeated-note upbeats in measures 1 and 3 are eighth notes or triplet eighths. This ambiguity is reinforced by the fermatas: no regular pulse is established until the sequential returns of the eighth notes in measures 7 and 8.

By measure 7 we know that that Beethoven is presenting us with an unusual choice for a symphonic work in his time: a minor key.<sup>231</sup> We also know (or think we know) – precisely because of its placement at the beginning and its insistent repetition – that the short–short–short–LONG gesture will be substantive. In fact, of course, the gesture saturates the movement, invading areas of the

<sup>228</sup> The first analysis of this beginning, which remarked upon its rhetorical power, came immediately after the publication of the symphony in 1810. It was by E. T. A. Hoffmann, as mentioned above, and it appeared in the *Allgemeine musikalische Zeitung* 12 (July 4 and 11, 1810), 630–42, 652–59. See also Matthew Guerrieri, *The First Four Notes: Beethoven's Fifth and the Human Imagination* (New York: Knopf, 2012).

<sup>229</sup> Scott Burnham, however, describes the opening as “more a direct command than an exhortation.” See his *Beethoven Hero*, 32.

<sup>230</sup> Hoffmann also drew attention to this aspect of the opening. See *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, vol. 2 (2001), 98.

<sup>231</sup> See Matthew Riley, *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart* (New York: Oxford University Press, 2014). Riley points out that, although some of them are well known today, only a small proportion of eighteenth-century symphonies are in minor keys; and Huron shows that through “statistical learning” (expecting what one has heard the most) listeners expect a work to be in a major key. See Huron, *Sweet Anticipation*, 360.



Example 1. Beethoven, Fifth Symphony in C minor, Op. 67, first movement, mm. 1–7

**Allegro con brio**

The musical score is arranged in two systems. The top system includes woodwinds and percussion: 2 Fl, 2 Ob, 2 Cl in Bb, 2 Bn, 2 Hn in Eb, 2 Tpt in C, and Timp in C & G. The bottom system includes strings: Vln 1, Vln 2, Vla, Vc, and Cb. The tempo is **Allegro con brio**. The key signature is C minor (three flats) and the time signature is 2/4. The first measure is marked *ff* (fortissimo) and the second measure has a fermata. The third measure is marked *p* (piano). The score shows the characteristic rhythmic motif of the Fifth Symphony: three eighth notes followed by a quarter note.

organism where it does not belong. It commandeers the music, corralling and bullying our thoughts to the point of obsession. It is the beginning that prefigures this obsession. The music also evinces hesitation, with its starting and stopping, and evolving determination about that hesitation, with its longer second fermata.

The opening of the Sixth Symphony (see Example 2) shares much with that of the Fifth: it is also in 2/4 meter, also comes quickly to a pause, and is also saturated by a rhythmic motive. But this is a different world. Beethoven even describes the world in words at the head of his score: “Erwachen heiterer Empfindungen bei der Ankunft auf dem Lande” (“Awakening of cheerful sentiments upon arrival at the country”). The feeling of this beginning is one of entering *in medias res*; after all, the country and all its wriggle and flutter have been going on long before we arrive. We then pause to take it in. The opening is thus psychologically highly

Example 2. Beethoven, Sixth Symphony in F Major, Op. 68, first movement, mm. 1–4

**Allegro ma non troppo**

refined.<sup>232</sup> Musically – with its solid grounding on a “pastoral” drone of the “country” key, F Major; its gentle rhythmic lilt; its *piano* dynamic; its light orchestral scoring; its sinuous melodic curve; its repetitive pitches; and its half-cadence pause – it is predictive of what will happen in the rest of the movement, which relies heavily on pedal points, simple harmonies, gentle rhythm, and frequent – almost static – repetition.<sup>233</sup> The first pause is not repeated, as it is in the Fifth Symphony (although the possibility of another pause is suggested by the *diminuendo* in mm. 21–24). Instead the music opens out (mm. 28ff.) to the brightness of the countryside and the “cheerful sentiments” it awakens in the visitor/listener.

<sup>232</sup> A reviewer at an 1826 performance of the “Pastoral” wrote: “For those who know how to feel and perceive it, can the easy, joyous life in nature be described in tones more purely, and with an easier flow of feeling, than in [this] first Allegro?” See “Concerning Various Musical Performances in Leipzig,” *Berliner allgemeine musikalische Zeitung* 3 (July 12, 1826), 225, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 88–89.

<sup>233</sup> Adorno wrote of the “Pastoral”: “This is, above all, a static music, yet filled, despite everything, with the utmost symphonic tension.” See Theodor Adorno, *Beethoven: The Philosophy of Music* (Stanford, California: Stanford University Press, 1998), 109.

Much more will be said about these two beginnings, but I adduce them here only to demonstrate – with two of his best-known works – how Beethoven's most thoughtful and subtle artistry is deployed in the opening moments of his compositions. What are the primary objectives (harmonic, rhythmic, motivic, referential, structural, emotional, psychological, *rhetorical*) of such moments, and how can they be apprehended by listeners? In looking at Beethoven's beginnings, I shall make reference to beginnings in works by Haydn and Mozart, composers whom Beethoven regarded as models and to whose compositions his were frequently compared, as well as to several other composers of the contemporary scene.

## CHAPTER TWO

# Conventions of Beginning

### FIRST MOVEMENTS

THE beginning of the first movement of a (Classic-era) work often stands as a reference point for the rest of the movement. Not only does it immediately set the tonality, meter, tempo, and mood of the movement, but it also establishes a boundary, a fixed point to which (in a sonata-form movement) the repeat of the exposition, the beginning of the development, the recapitulation, and the coda refer.<sup>1</sup> But sometimes this first-movement beginning will become a point of reference in other movements as well. Haydn and Mozart sometimes created this kind of reference point. An example is the beginning of Haydn's String Quartet, Op. 50 No. 6 in D Major (see Example 3). The rhythmic profile – a long note, descending line, and ultimate resolution more than an octave lower – is echoed – a mite teasingly – in that quartet's finale at measures 49–56 and 177–92.

The same composer's String Quartet in F minor, Op. 55 No. 2, begins with a theme and variations – actually alternating themes in the minor and major modes – and the opening strain is laden with chromatic inflections. During the course of the whole work, both modal exchange and chromaticism are features of the music's flow, which exhibits a “long-range accumulation of chromatic tendencies.”<sup>2</sup>

Of course, the whole first movement of a multi-movement work is also a beginning, and in this sense, therefore, the entire cycle of movements within a work can be said to have a beginning, middle(s), and end. The establishment of the key affects the atmosphere of the first movement and of the whole work. Floyd Grave and Margaret Grave have analyzed all of Haydn's string quartets, and they report a certain consistency of affect among works in the same key, often but not always echoing the qualities of key characteristics mentioned by eighteenth-century writers.<sup>3</sup> Their observations are cautious, but they analyze

<sup>1</sup> In Baroque concertos the ritornello functions as a particular kind of beginning, to which the remainder of the movement makes constant reference, and “the initial idea plays a conspicuous role in the elaboration of the work as a whole.” See Laurence Dreyfus, “J. S. Bach's Concerto Ritornellos and the Question of Invention,” *The Musical Quarterly* 71 (1985), 327–58, at 328.

<sup>2</sup> Floyd Grave and Margaret Grave, *The String Quartets of Joseph Haydn* (Oxford: Oxford University Press, 2006), 261.

<sup>3</sup> *Ibid.*, 28–30.

Example 3. Haydn, String Quartet in D Major, Op. 50 No. 6, (a) first movement, mm. 1–4;  
 (b) finale, mm. 48–56; (c) finale, mm. 177–89

a) **Allegro**

Violin 1  
 Violin 2  
 Vla  
 Vc

b) **[Allegro con spirito]**

c) [Allegro con spirito]

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the beginning thematic material of beginning movements, and as a result their findings are particularly relevant to this study. C Major is traditionally associated with straightforwardness and simplicity, and they find that beginning themes of C-Major quartets “often display qualities of textural lightness and simplicity at the outset.” The favored flat-side keys include B $\flat$ , whose beginnings are “tender,” “intimate,” “reflective,” or “informal,” and E $\flat$ , which establishes a beginning mood of “serenity” or “innocence.” On the sharp side, G-Major beginnings combine “liveliness, cheer, and lyricism.” D-Major and A-Major quartets feature beginning gestures that tend to be brilliant, “open-air” (6/8), or pastoral. E Major is associated with “nervous intensity.” Haydn’s minor keys on the flat side tend to be serious and melancholy, though the quartets in G minor seem more energetic in their beginnings. The sharp-side minor keys include two quartets in B minor, whose beginnings are marked by “whimsy and ambivalence” (though the theorists describe the key as gloomy),<sup>4</sup>

<sup>4</sup> Beethoven described the key once as “schwarze Tonart” (“black [dark?] key”). See the “Scheide” Sketchbook (Princeton University, Scheide Library, MA 130), folio 40, and

and one quartet in F# minor, which is both serious and lively, despite the written characterizations of melancholy. Although caution must also be applied in the case of Beethoven's key choices, it is evident that the choice of key strongly influenced the style, character, and affect of his works, or rather, that the style, character, and affect he wished to embody in a work strongly influenced his choice of key for that work.<sup>5</sup> These choices will be closely examined as we study his beginnings.

The rhetorical register or style of a beginning also influences the overall design of the whole. The standard movement-plan of the eighteenth century begins with a substantial first movement and then moves through lyricism (slow movement) and courtliness (minuet) to lighter tunefulness (finale). Haydn experimented with variations of this plan, by utilizing a reversed order of the middle movements; placing variation sets at the beginning of a work; launching learned counterpoint at beginnings of movements; beginning an interior or even a last movement in an unexpected key; creating a witty or humorous juxtaposition at beginnings; and importing popular or rustic elements into serious genres.<sup>6</sup> Beethoven reoriented the plan by creating

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Gustav Nottebohm, *Zweite Beethoveniana: Nachgelassene Aufsätze* (Leipzig: Peters, 1887), 326.

<sup>5</sup> For a detailed hypothesis regarding Beethoven's choice of keys, see Ellison, *The Key to Beethoven*.

<sup>6</sup> Inspired in part by Rousseau's back-to-nature movement, the publication of the works of the Scottish pseudo-Ossian (1765), and Herder's two volumes of his collected *Volkslieder* in 1778–79, a new passion arose for folk literature. Beethoven wrote in a letter to Breitkopf and Härtel in 1809 that his favorite poets were Goethe, Schiller, Ossian, and Homer (*Briefwechsel Gesamtausgabe*, ed. Siegfried Brandenburg, 7 vols. [Munich: Henle, 1996–98], Letter No. 395, vol. 2, 77; Emily Anderson, ed. and trans., *The Letters of Beethoven* [London: Macmillan, 1961], Letter No. 224, vol. 1, 241). And this literary popularism was mirrored by the importation into serious music of folk styles. "High art music," writes Robert Winter, "... has never been immune from popular influence, but between 1785 and 1800, the integration was so complete and seemingly effortless that it seems more miraculous the farther it recedes in time." (Robert Winter, "The Sketches for the 'Ode to Joy,'" in *Beethoven, Performers, and Critics*, ed. Robert Winter and Bruce Carr [Detroit: Wayne State University Press, 1980], 176–214). The musical passages are marked by pervasive diatonicism, square and regular phrasing, tonic–dominant alternation, occasional pedal points, clear cadences, and sequential patterns. Quite apart from the deliberate evocation of folk-music in Beethoven's 150 song settings for the publisher George Thomson, or some of his simpler songs to the texts of contemporary poets, and the folk-like style of composers such as Johann Schulz, Johann Reichardt, and others, this popular style can be heard in high art music, such as certain slow movements (Symphony No. 103, "Drumroll"), trios (Symphony No. 98), and finales (Symphony No. 104) of Haydn symphonies; some of the minuets (Op. 20 No. 4, Op. 64 No. 5), trios (Op. 33 No. 2), and finales (Op. 33 No. 2, Op. 33 No. 3) of his string quartets; some Mozart arias ("Non più andrai," "Ein Mädchen oder Weibchen"); and, most strikingly, in the "Freude" melody in the last movement of Beethoven's Ninth Symphony (Winter, "The Sketches," 192, Rosen, *The Classical Style*, 329–37). Haydn also composed about

weightier last movements and thus more goal-oriented compositions.<sup>7</sup> He also shifted weight towards the end *within* movements, mostly first movements, where many of his codas are substantial and culminative, and follow significant dynamic trajectories.<sup>8</sup> This also affects our retrospective understanding of the meaning of the beginnings.

Haydn seems to have determined the overall format of his quartets from the tempo of the beginning movement. If he begins with a moderate tempo (as in four of the quartets of Op. 9), the minuet is placed second, presumably to avoid having a slow movement next to a moderately paced movement and to increase the internal contrast and overall balance of the work as a whole.<sup>9</sup> The ordering of movements may also be a function of key organization. For example, in Haydn's set of six string quartets, Op. 20, the two minor quartets have their slow movements in third place. These movements are both in the parallel major and evince a relaxation that is enhanced by their placement.<sup>10</sup> This decision seems to have been made in each case as a result of the choice of key for the work and thus for the first movement. Beethoven experimented almost constantly with the overall format of his works, conceiving new patterns of movement structures; tempo, key, and affect contrast; weight, length, and style balance; and inter-movement relationship for one work after another.

It is conventionally agreed today that a new concept of musical works as whole entities arose after the beginning of the nineteenth century and that Beethoven

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400 settings of British folksongs with obbligato strings. See Richard Taruskin, *Music in the Nineteenth Century*, vol. 2 of *The Oxford History of Western Music* (New York: Oxford University Press, 2010), 130.

<sup>7</sup> The affective comprehensiveness of the conventional model is discussed in Neal Zaslaw, *Mozart's Symphonies: Context, Performance Practice, Reception* (Oxford: Clarendon Press, 1989), 417–18. He writes that “the symphony may be considered a stylized conspectus of the eighteenth-century's favorite artistic subject-matter.” (p. 418.)

<sup>8</sup> See Joseph Kerman, “Notes on Beethoven's Codas,” in *Beethoven Studies*, vol. 3, ed. Alan Tyson (Cambridge, UK: Cambridge University Press, 1982), 141–60; Robert G. Hopkins, “When a Coda is More Than a Coda: Reflections on Beethoven,” in *Explorations in Music, the Arts, and Ideas: Essays in Honor of Leonard B. Meyer*, ed. Eugene Narmour and Ruth Solie (Stuyvesant, New York: Pendragon, 1988), 393–410; Robert P. Morgan, “Coda as Culmination: The First Movement of the ‘Eroica’ Symphony,” in *Music Theory and the Exploration of the Past*, ed. Christopher Hatch and David Bernstein (Chicago: University of Chicago Press, 1993), 357–76; and William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press, 1998), 186–87, 251.

<sup>9</sup> See W. Dean Sutcliffe, *Haydn String Quartets, Op. 50*, Cambridge Music Handbooks (Cambridge, UK: Cambridge University Press, 1992), 8.

<sup>10</sup> *Ibid.*, 15.



was himself responsible for this paradigm shift.<sup>11</sup> This notion – as in discussions of most “innovations” of Beethoven<sup>12</sup> – slights the evident concern that composers such as Haydn and Mozart had for the cyclic integrity of their works, but it does draw attention to the increased focus Beethoven seems to have put on the movement cycle, intra-work and inter-movement connections, and the work-long trajectory of his multi-movement compositions.<sup>13</sup> But all three composers are increasingly being understood as having had whole works in view when they made their first movements.

#### ESTABLISHING KEY

One of the most important beginning strategies in the Classic era involved the establishment of a key profile. This can be effected by means of tonic chords, arpeggiation, or a scalar passage, set in an orderly or symmetrical phrase structure; and these opening phrases often rise through the scale or chord notes of the key.<sup>14</sup> But the ways in which a tonic can be suggested are myriad, and

<sup>11</sup> See Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley, California: University of California Press, 1989), 10; Lydia Goehr, *The Imaginary Museum of Musical Works: An Essay in the Philosophy of Music* (Oxford: Oxford University Press, 1992), 205–42; and Erica Buurman, “Beethoven and the ‘Work-Concept,’” *Beethoven Journal* 26 (2011), 4–9.

<sup>12</sup> Jan LaRue refers to his own “[l]ong experience in discovering that Haydn has done everything first” in Jan LaRue, “Multistage Variance: Haydn’s Legacy to Beethoven,” *The Journal of Musicology* 1 (1982), 265–74, at 273. James Webster has shown that many of the “ostensibly pathbreaking features in these works (the middle [Beethoven] string quartets) have ample precedent in the tradition.” See James Webster, “Traditional Elements in Beethoven’s Middle-Period String Quartets,” in *Beethoven, Performers, and Critics*, ed. Winter and Carr, 94–133, at 103. Webster also writes that “Beethoven’s understanding of through-composition ... he learned from Haydn.” See Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 10.

<sup>13</sup> In 1814 he wrote to the playwright and librettist Georg Friedrich Treitschke: “My custom when I am composing even instrumental music is always to keep the whole in view.” *Briefwechsel Gesamtausgabe*, Letter No. 707, vol. 3, 20; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 479, vol. 1, 454. And in 1821 he wrote to the publisher Adolf Martin Schlesinger: “When I have completed the whole in my head, everything is written down.” *Briefwechsel Gesamtausgabe*, Letter No. 1446, vol. 4, 454; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1060, vol. 2, 927. James Webster writes of “Beethoven’s tendency, learned (as we have seen) from Haydn, to create dynamic large-scale forms by composing out the implications of an initial destabilizing gesture.” See Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 367.

<sup>14</sup> Psychologist and musicologist David Huron has observed that “in general, melodies tend to exhibit relatively rapid upward movements (ascending leaps) and relatively leisurely downward movements (descending steps). The reason for this asymmetry is not known. However, it is interesting to note that a similar phenomenon can be observed in the pitch of speaking voices. Researchers who study the ‘melody’ of speech have observed that the initial part of an utterance tends to ascend rapidly, and then the pitch of the voice slowly drops as the utterance progresses.” See Huron, *Musical*

forthright key establishment occurs before Beethoven in examples of all genres. Most of Haydn's symphonies begin with a clear announcement of the tonic, either with loud unisons of the keynote, as with the *fortissimo* sustained Ds of Symphony No. 93, or with a tonic chord, as with the single full G chord at the beginnings of Symphony No. 47 and Symphony No. 81. A simple unison would tend to convey a major key, since the vast majority of eighteenth-century works were in major keys.

When Mozart wanted to establish a key, he too composed a definitive beginning. His various methods (taking only his E $\flat$  symphonic beginnings as examples) included: moving strongly up the arpeggio of E $\flat$  and down again in unison (K. 16); beginning with a trill on the keynote and then rising and falling in unison on degrees 1–3–1–5 (K. 132); two measures of a strongly dotted military figure sounding E $\flat$  and G throughout the orchestra (K. 184); and pounding out the full chord of E $\flat$  with the full orchestra, including trumpets and drums, in a resounding military tattoo (K. 543). The somber beginning of Mozart's D-minor Piano Concerto, K. 466 (see Example 4), is an establishment of the tone of the work as a whole: there is no doubt as to the key, for the first three measures reiterate the full tonic chord, but the key is not the only point of this beginning. Other implications include instability (conveyed by syncopation and irregular phrasing), foreboding (low tessitura, quiet dynamics, chromaticism, grumbling bass), and directedness (gradually rising strings, increased activity in the bass, the addition of higher and higher woodwinds).

A beginning that establishes key by rising up an arpeggio of the tonic was a favorite of Mozart, particularly in minor keys.<sup>15</sup> The first movement of the C-minor Wind serenade, K. 406, climbs up the steps 1–3–5–1, and the C-minor Piano Sonata, K. 457, steps 1–3–5–1–3.

Beethoven utilizes this ladder at the beginning of the Piano Sonata in F minor, Op. 2 No. 1 (which is a clear tribute to the finale of Mozart's G-minor Symphony, K. 550,<sup>16</sup> and perhaps also to the C-minor Sonata, K. 457), and in the Trio of the "Eroica" Symphony, in a spectacular hunting cry for three horns. And, as

*Expectation*; the idea is similarly expressed in Huron, *Sweet Anticipation*, 92–93. Alan Gosman discusses Beethoven's search for opening themes and the continuing presence of sketched, pre-final versions of main themes in two symphonic movements in Alan Gosman, "Committing to Opening Theme Possibilities: How Beethoven's Sketchbook Struggles are Reflected in Two Symphonic Movements," in *Keys to the Drama: Nine Perspectives on Sonata Forms*, ed. Gordon Sly (Farnham: Ashgate, 2013), 177–98.

<sup>15</sup> This gesture is often known as a "Mannheim rocket," one of many distinctive techniques developed by the composers and impressive orchestra in the court of the Elector Palatine.

<sup>16</sup> Robert Cummings says the phrase seems to have been "lifted" from the symphony. See Chris Woodstra, Gerald Brennan, and Allen Schrott, eds., *All Music Guide to Classical Music: The Definitive Guide to Classical Music* (San Francisco: Backbeat, 2005), 106.

## Example 4. Mozart, Piano Concerto in D minor, K. 466, first movement, mm. 1–16

Musical score for measures 1–6 of Mozart's Piano Concerto in D minor, K. 466, first movement. The score is in common time (C) and D minor. The instruments are 2 Hn in D, Vln 1, Vln 2, Vla, and Vc & Cb. The dynamics are marked *p* (piano).

Measures 1–6:

- 2 Hn in D: Rests.
- Vln 1: Quarter notes G4, A4, Bb4, C5, Bb4, A4, G4.
- Vln 2: Quarter notes G4, A4, Bb4, C5, Bb4, A4, G4.
- Vla: Quarter notes G4, A4, Bb4, C5, Bb4, A4, G4.
- Vc & Cb: Quarter notes G3, A3, Bb3, C4, Bb3, A3, G3. Triplet markings (3) are present under the first three notes of each measure.

Musical score for measures 7–10 of Mozart's Piano Concerto in D minor, K. 466, first movement. The score is in common time (C) and D minor. The instruments are 2 Hn in D, Vln 1, Vln 2, Vla, and Vc & Cb. The dynamics are marked *p* (piano).

Measures 7–10:

- 2 Hn in D: Rests.
- Vln 1: Rests.
- Vln 2: Rests.
- Vla: Rests.
- Vc & Cb: Half notes G3, A3, Bb3, C4, Bb3, A3, G3. Triplet markings (3) are present under the first three notes of each measure.

Musical score for measures 11–16 of Mozart's Piano Concerto in D minor, K. 466, first movement. The score is in common time (C) and D minor. The instruments are 2 Hn in D, Vln 1, Vln 2, Vla, and Vc & Cb. The dynamics are marked *p* (piano).

Measures 11–16:

- 2 Hn in D: Rests.
- Vln 1: Quarter notes G4, A4, Bb4, C5, Bb4, A4, G4.
- Vln 2: Quarter notes G4, A4, Bb4, C5, Bb4, A4, G4.
- Vla: Quarter notes G4, A4, Bb4, C5, Bb4, A4, G4.
- Vc & Cb: Quarter notes G3, A3, Bb3, C4, Bb3, A3, G3. Triplet markings (3) are present under the first three notes of each measure.

## Example 4 (continued)

12

The musical score consists of three systems of staves. The first system has three staves (treble, middle, and bass clefs). The second system has three staves (treble, middle, and bass clefs). The third system has three staves (treble, middle, and bass clefs). Dynamics are indicated by 'p' (piano) and 'f' (forte). The score includes various musical notations such as notes, rests, and slurs.

Lewis Lockwood has shown, it originates for Beethoven in the second-movement Allegro con spirito of the very early (1785) Piano Quartet, WoO36 No. 1 (see Example 5).<sup>17</sup> This Allegro is in the rare key of E $\flat$  minor, but the theme, in piano right hand, climbs up the chord of the tonic: 1–3–5–1.

The rising arpeggio beginning can also be found at the opening of the E $\flat$ -Major Piano Trio, Op. 1 No. 1, where a loud tonic chord is followed by a soft staccato ascent in piano right hand 1–3–5–1–3–5.<sup>18</sup> The Prestissimo explosion of

<sup>17</sup> See Lockwood, *Beethoven: The Music and the Life*, 61–62.

<sup>18</sup> This opening is akin to the opening of Haydn's Keyboard Sonata Hob. XVI: 52, also in E $\flat$  Major, with its French-overture grandeur. This sonata has been much analyzed. See Heinrich Schenker, "Haydn: Sonate Es dur," *Der Tonwille* 1 (1922), 3–21; Donald Francis Tovey, "Haydn, Pianoforte Sonata in E-flat, No. 1," in *Essays in Musical Analysis: Chamber Music* (Oxford: Oxford University Press, 1944), 93–105; Ratner, *Classic Music*, 412–21; Lawrence K. Moss, "Haydn's Sonata Hob. XVI: 52 (ChL. 62)

Example 5. Beethoven, Piano Quartet in E $\flat$  Major, WoO 36 No. 1, second movement, mm. 1–2

**Allegro con spirito**

The musical score is for the beginning of the second movement of Beethoven's Piano Quartet in E-flat Major, WoO 36 No. 1. It is in 3/4 time and E-flat major. The tempo is marked 'Allegro con spirito'. The score consists of four staves: Violin (Vln), Viola (Vla), Violoncello (Vc), and Piano (Pf). The Violin and Viola parts begin with a melody marked 'mf' and 'cresc.'. The Violoncello part begins with a rhythmic pattern marked 'mf' and 'cresc.'. The Piano part begins with a chordal accompaniment marked 'f' and 'cresc.'.

the finale of the C-minor Piano Trio, Op. 1 No. 3 (see Example 6), is an extreme example of arpeggio ascents. This one starts in the low bass and then climbs 1–3–5–1–3–5–7–1–3–1, three octaves higher.

A strongly definitive key-establishing beginning is the orchestral opening of Beethoven's "Es ist vollbracht," WoO97 (1815), for bass solo, chorus, full orchestra, trumpets and drums, and three trombones, written as the closing number for *Die Ehrempforten*, a patriotic Singspiel by Georg Treitschke, who had helped Beethoven with the final revision of his opera *Fidelio*. The dramatic Singspiel was designed to celebrate the Battle of Waterloo and the capture of Paris, and Beethoven's finale rounded off the celebrations. The rushing sixteenth notes to I, IV, and V in D Major break into dotted rhythms and a strong cadence on the tonic before the entrance of the bass soloist. Beethoven seems to have thought that forthright and definitive key establishment was particularly important in a work designed for public and popular presentation.<sup>19</sup> But this could apply even with a rare key. The oratorio *Christus am Ölberge*, Op. 85 (composed 1803, revised 1811),

in E-flat Major: An Analysis of the First Movement," in *Haydn Studies*, ed. Jens Peter Larsen, Howard Serwer, and James Webster (New York: Norton, 1981), 496–501; and Elaine Sisman, "Haydn's Solo Keyboard Music," in *Eighteenth-Century Keyboard Music*, ed. Robert Marshall and Rosalyn Tureck (New York: Schirmer, 1994), 270–307, at 299–300.

<sup>19</sup> The eight-measure "Intrada" that opens the "Victory Symphony" (the second large section) of *Wellingtons Sieg*, Op. 91, is essentially a brash outpouring of D Major for brass, strings, and drums to set the scene for the victory march that follows.

Example 6. Beethoven, Piano Trio in E $\flat$  Major, Op. 1 No. 3, last movement, mm. 1–2

**Prestissimo**

The musical score is for three staves: Violin (Vln), Viola (Vc), and Piano (Pf). The key signature is E $\flat$  major (three flats). The tempo is marked **Prestissimo**. The time signature is common time (C). The first measure shows the piano part with a rising arpeggio in the right hand and a single note in the left hand. The violin and viola parts enter with chords. The second measure continues the piano part's arpeggio and the violin/viola parts with rhythmic patterns.

has a beginning that presents a very unusual key: E $\flat$  minor, heard elsewhere in Beethoven only in the Allegro con spirito of the Piano Quartet, WoO36 No. 1, as we have seen, and in the Trio of the String Quartet, Op. 127. The work opens with a quiet rising arpeggio, Grave, through the chord tones of the tonic.<sup>20</sup>

The piano was Beethoven's own instrument and thus the most personal and the most *embodied* of his outlets for expression and experimentation.<sup>21</sup> Many of

<sup>20</sup> Beethoven was deeply aware of Haydn's recent achievements – *The Creation*, first performed in Vienna in 1798, and *The Seasons*, first performed in Vienna in 1801 – when embarking upon *Christus*. A review of the first performance noted that “a number of ideas from Haydn's *Creation* seem to have found their way into the final chorus.” See “F—b—t,” “Public Concerts in Vienna: Vienna, 7 April 1803,” *Zeitung für die elegante Welt* 3 (April 7, 1803), 362, trans. in *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 165. On the other hand his choice of key suggests that he may have been rebelling against the conventions of the genre. Many years later, having received a commission from the Gesellschaft der Musikfreunde to write an oratorio on the text “Der Sieg des Kreuzes,” Beethoven wrote, “In regard to the *artistic means* of the performance, I shall give due consideration to these, of course; but I hope that I shall not be forbidden to deviate from the *forms which have been introduced until now* into this type of composition.” *Briefwechsel Gesamtausgabe*, Letter No. 898, vol. 3, 305; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 608, vol. 2, 558. Italics represent Beethoven's original underlining. The oratorio was never completed. Paul Ellison (*The Key to Beethoven*, 302) states that the choice of E $\flat$  minor for this beginning “is of immense significance. It is one of the more extensive uses of this remote and desolate tonality in his *oeuvre* and the intentionality of his choice of key here is profound,” since Beethoven was attempting to set the scene for a depiction of the death of Christ.

<sup>21</sup> From the three sonatas of Op. 2 in 1795 to the last sonata, Op. 111, in 1822, the published sonatas span over a quarter-century, not counting the unpublished set of three three-movement “Kurfürst” (“Elector”) Sonatas, WoO 47, from Beethoven's teenage years. There are, in addition, twenty sets of variations for piano, three sets of bagatelles,

these sonatas establish a clear key profile at the very outset, but as Beethoven's career progressed, his approach to these beginnings changed considerably, from straightforward to shadowed or complex, though even in later years he could deliberately evoke an atmosphere of simplicity or lightness by an opening gesture.

Beginnings of earlier sonatas rely on arpeggios, scales, tonic chords, tonic pedals, or cadential progressions in the very first measures to create a foundation for the key. The opening of the first sonata, Op. 2 No. 1 (published 1796, but composed 1793–95), is not shy about its (quite rare) F-minor opening (see Example 7). It presents a rising arpeggio of the tonic chord (staccato), starting on the fifth degree, climbing over an octave and a half and ending on the third above the octave, to finish with a triplet turn to the tonic.<sup>22</sup> The consequent phrase is shortened by one note (its pickup), and *sforzando* iterations of the triplet turn serve to shorten the phrases now more radically to end with a *fortissimo* half-note chord, stopping the headlong motion, whereupon the dynamic descends to a *piano* half-cadence on the dominant (neatly embellished with an ornamental turn that is the reverse of the pervading triplets). A fermata provides an additional moment to absorb the impact of this arresting opening.<sup>23</sup>

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six individual bagatelles, a set of two preludes, a set of two rondos, an individual rondo, an individual prelude, a fantasia, and a polonaise. Naturally, the considerable amount of piano music Beethoven produced in improvisation cannot be a part of the historical record, though its existence should not be entirely forgotten.

<sup>22</sup> Schenker called this kind of rising gesture the “Anstieg” (“ascent”). See Schenker, *The Masterwork in Music*, xiii. See also Allen Forte, “Schenker’s Conception of Musical Structure,” in *Readings in Schenker Analysis and Other Approaches*, ed. Maury Yeston (New Haven: Yale University Press, 1977), 20–23. Czerny described this first movement as “fervent and impassioned, energetic and varied.” See Carl Czerny, “On the Proper Performance of All Beethoven’s Works for the Pianoforte,” chapter 11 of Czerny’s *Royal Pianoforte School*, p. 32, [http://burrito.whatbox.ca:15263/imglnks/usimg/1/17/IMSLP356510-PMLP513421-Czerny\\_-\\_500\\_Complete\\_Theoretical\\_and\\_Practical\\_School\\_op\\_500\\_-\\_Book\\_4\\_Chapter\\_2.pdf](http://burrito.whatbox.ca:15263/imglnks/usimg/1/17/IMSLP356510-PMLP513421-Czerny_-_500_Complete_Theoretical_and_Practical_School_op_500_-_Book_4_Chapter_2.pdf) (accessed March 13, 2016). Czerny, who was Beethoven’s student and occasional companion, wrote of Beethoven’s (piano) works that their “general character ... is fervent, grand, energetic, noble, and replete with feeling; often also humorous and sportive, occasionally even eccentric, but always intellectual; and though sometimes gloomy, yet never effeminately elegant, or whiningly sentimental. ... Each of his pieces expresses some particular well-supported idea or object, to which, even in the smallest embellishment, he always remains true.” (p. 31.)

<sup>23</sup> This is an early example of the breaking-off technique mentioned by Beaudoin as belonging particularly to the works of 1808. See Paul E. Beaudoin, “Rhetoric as a Heuristic,” 1. Nicholas Marston (“The Sense of an Ending,” 86–89) has shown how this opening is reflected in the ending of the movement. In his remarkable book on Beethoven’s solo piano music, Jürgen Uhde calls this opening “a kind of super-up-beat.” From an unpublished translation of Jürgen Uhde, *Beethovens Klaviermusik* (Stuttgart: Reclam, 1968) by Steven M. Whiting. My sincere thanks to Prof. Whiting.

Example 7. Beethoven, Piano Sonata in F minor, Op. 2 No. 1, first movement, mm. 1–8

**Allegro**

The musical score consists of two systems of piano and bass staves. The first system (measures 1-4) begins with a piano (*p*) dynamic. The melody in the right hand starts with a quarter note, followed by a triplet of eighth notes in measures 2, 3, and 4. The bass line provides harmonic support with chords. The second system (measures 5-8) starts with a fortissimo (*sf*) dynamic, followed by another triplet of eighth notes in measures 5 and 6. Measure 7 features a fortissimo (*ff*) dynamic, and measure 8 ends with a piano (*p*) dynamic. The piece concludes with a final chord in the bass line.

It has been carefully planned, with its emphatic announcement of the minor – unusual for a piano sonata<sup>24</sup> – and its balanced eight-measure period given point and compression by the increasing foreshortening of the gestures and the neat reversal of the triplet turn at the end.<sup>25</sup> Perhaps the unusual F minor was intended as a tribute to Haydn, whose *Andante con variazioni* (Hob. XVII: 6 – a remarkable double-variation movement) had been composed only recently

<sup>24</sup> Only two of Mozart's eighteen piano sonatas (11 percent) are in minor keys (K. 310 and K. 457), and only five of Haydn's forty-eight complete, extant, authentic sonatas (Hob. XVI: 20, 32, 34, 36, 44) (a little over 10 percent). At the beginning of Beethoven's career, therefore, minor keys remained a rarity. By the end of his life, however, nine of Beethoven's thirty-two sonatas (28 percent) had appeared in minor keys.

<sup>25</sup> The obvious similarity of this first movement to the last movement of Mozart's G-minor Symphony, K. 550, was noted by, among others, Charles Parry. See C. Hubert H. Parry, *The Evolution of the Art of Music*, 4th ed. (London: Kegan Paul, Trench, Trübner, 1905), 263–66. Parry notes that “[t]he root idea has never for a moment been lost sight of; so from both points of view – idea and design alike – no step is without its significance and its bearing.” (p. 266.) Harold Truscott believed that the sonata owes much to Clementi and nothing to Mozart. See Harold Truscott, “The Piano Music – I,” in *The Beethoven Reader: A Symposium by Leading Scholars*, ed. Denis Arnold and Nigel Fortune (New York: Norton, 1971), 76. Disguising a tribute to Mozart behind a tribute to Haydn is the reverse of the stratagem undertaken in Beethoven's String Quartet, Op. 18 No. 5, where Beethoven imitates one of Mozart's quartets – one of the set dedicated to Haydn. See Jeremy Yudkin, “Beethoven's ‘Mozart’ Quartet,” *Journal of the American Musicological Society* 45 (1992), 30–74, at 69. The crucially important rhetorical strategy of foreshortening is overlooked in the detailed analysis of this opening in Elmar Budde, “Analyse und Interpretation,” in *Funk-Kolleg Musik*, vol. 1, ed. Carl Dahlhaus (Frankfurt am Main: Fischer, 1981), 96–129, at 106–16.



(1793).<sup>26</sup> Beethoven's Op. 2, whose sonatas all have an ambitious four movements, was dedicated to Haydn. The dedication is a tribute; the number of movements an overt gesture of independence. Only two of Haydn's sonatas have four movements, and these are early works, which he labelled "divertimento."<sup>27</sup>

An opening gesture that rises through a scaffolding of the tonic arpeggio may be found in the very first of Beethoven's privately released keyboard sonatas, the E $\flat$  Sonata of WoO 47 from 1783 (see Example 8), one of a group of three, elegantly engraved – and sagely dedicated to the Elector Maximilian Friedrich – probably in 1783, when Beethoven was twelve. This also outlines the principal notes of the tonic, from B $\flat$  to the E $\flat$  an octave and a half higher, though this rise is spread over three measures, unlike the radical compression of Op. 2 No. 1. At the age of twelve, Beethoven naturally did not have the sophistication of his mid-twenties, but the syncopated accents and *piano*/*forte* alternations (the opposite pattern from what might have been more conventionally expected, with *piano* dotted quarters echoing a *forte* opening) give this opening definitive character.

A beginning chord usually establishes the home key. A full seven-voice C-minor chord, *forte*, is followed by leaping dotted-eighths arpeggios in the right hand, followed in turn by softer I–V chords, *piano*, to introduce a matching full chord and the leaping gesture on a V<sup>7</sup> arpeggio in the first sonata of Op. 10, a group of three published in 1798 and dedicated to Countess Anna Margaretha von Browne.<sup>28</sup> This is the first piano sonata of the "C-minor mood" and again shows Beethoven placing a minor-key sonata at the head of an opus, against

<sup>26</sup> In 1793 Haydn was in Vienna between his two trips to London. This was the year in which Beethoven studied with him, having recently arrived in the capital. Beethoven must have worked on the Op. 2 Sonatas while Haydn was away (January 1794 to September 1795). It is also possible that Beethoven knew Clementi's striking F-minor Sonata, Op. 13 No. 6 (?1784). Sisman (*Haydn and the Classical Variation*, 192) calls Haydn's variation set "one of [Haydn's] greatest works in any genre." Its beginning is unsettling, with an apparent start in middle register of the left hand, and the consequent arrival of a melody in the right hand getting stuck on a rhythmic figure on F<sub>5</sub>. The relationship between Haydn and Beethoven, long reputed to have been difficult, may not in fact have been quite as troubled as tradition relates. See James Webster, "The Falling-Out between Haydn and Beethoven: The Evidence of the Sources," in *Beethoven Essays: Studies in Honor of Elliot Forbes*, ed. Lewis Lockwood and Phyllis Benjamin (Cambridge, Massachusetts: Harvard University Press, 1984), 3–45; Barry Cooper, *Beethoven, The Master Musicians* (Oxford: Oxford University Press, 2000), 52–53; and Lockwood, *Beethoven: The Music and the Life*, 80–86. See also Solomon, *Beethoven*, 67–77.

<sup>27</sup> Hob. XVI: 6 and Hob. XVI: 8. All Mozart's piano sonatas are in three movements. Twelve of Beethoven's published sonatas have four movements, fourteen have three movements, and six have two movements. The "reversion" to a smaller scope in some of the later works is discussed in Schmidt-Beste, *The Sonata*, 117–25.

<sup>28</sup> She and her husband, Count Johann Georg Browne-Camus, were among Beethoven's early patrons in Vienna. See Clive, *Beethoven and His World*, 59–60.

Example 8. Beethoven, Keyboard Sonata in E $\flat$  Major, WoO 47 No. 1, first movement, mm. 1–4

**Allegro cantabile**

The musical score for Example 8 shows the first four measures of the first movement. The key signature has two flats (B-flat and E-flat), and the time signature is common time (C). The tempo marking is "Allegro cantabile". The score is written for piano, with a treble clef and a bass clef. The bass line consists of a steady eighth-note accompaniment. The treble line features a series of chords and dyads, with dynamics marked *p* and *f* alternating. There are fermatas under the first and third measures of the treble line.

the conventional position in the middle of a set (see Example 9).<sup>29</sup> Beethoven's first published work in C minor was the third piano trio of his Op. 1, published 1795, though the unpublished Funeral Cantata (WoO 87) from five years earlier shows Beethoven discovering the dramatic possibilities inherent in that key. The first movements of both the trio and the sonata are in 3/4, that of the trio being labeled "Allegro con brio," that of the sonata "Allegro molto e con brio." The trio projects its C-minor mood with hushed alternations of I and V. In both works assertion of the key is immediate and unambiguous.

Beethoven's characteristic key seems to be associated in his mind with *brio*. The following are Beethoven's published works in C minor, with the tempo markings of their first movements. Eight out of twelve use the designation *brio* as a directive.

Example 9. Beethoven, Piano Sonata in C minor, Op. 10 No. 1, first movement, mm. 1–7

**Allegro molto e con brio**

The musical score for Example 9 shows the first seven measures of the first movement. The key signature has three flats (B-flat, E-flat, and A-flat), and the time signature is 3/4. The tempo marking is "Allegro molto e con brio". The score is written for piano, with a treble clef and a bass clef. The bass line consists of a steady eighth-note accompaniment. The treble line features a series of chords and dyads, with dynamics marked *f* and *p* alternating. There are fermatas under the first and third measures of the treble line.

<sup>29</sup> Elaine Sisman believes that Op. 10 was composed to "respond to and intensify aspects" of Op. 2. See Elaine Sisman, "Six of One: The Opus Concept in the Eighteenth Century," in *The Century of Bach and Mozart: Perspectives on Historiography, Composition, Theory, and Performance*, Isham Library Papers 7, Harvard Publications in Music 22, ed. Sean Gallagher and Thomas Forrest Kelly (Cambridge, Massachusetts: Harvard University Department of Music, 2008), 79–107, at 106.

Table 1. First-Movement Markings of Beethoven's Published Works in C minor

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Piano Trio, Op. 1 No. 3: Allegro <b>con brio</b>
String Trio, Op. 9 No. 3: Allegro con spirito
Piano Sonata, Op. 10 No. 1: Allegro molto e <b>con brio</b>
Piano Sonata, Op. 13: Grave – Allegro di molto e <b>con brio</b>
String Quartet, Op. 18 No. 4: Allegro ma non tanto
Violin Sonata, Op. 30 No. 2: Allegro <b>con brio</b>
Third Piano Concerto, Op. 37: Allegro <b>con brio</b>
Thirty-Two Variations, WoO 80 (published during his lifetime): Allegretto
<i>Coriolan</i> overture, Op. 62: Allegro <b>con brio</b>
Fifth Symphony, Op. 67: Allegro <b>con brio</b>
Choral Fantasy, Op. 80: Adagio – Allegro
Piano Sonata, Op. 111: Maestoso – Allegro <b>con brio</b> ed appassionato

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Actually composed in 1796, when Beethoven was visiting Prague,<sup>30</sup> despite its opus number, is the G-Major “easy” Sonata, Op. 49 No. 2.<sup>31</sup> Its opening is a straightforward tonic chord followed by up-and-down triplets, leading to a simple four-measure phrase and a cadence.

Sometimes Beethoven utilized a simple scale to establish the key at the beginning. The second sonata of the “Elector” set, WoO 47 No. 2, is, like Op. 2 No. 1, in F minor (see Example 10). (Did Beethoven remember the effect of this key when he decided to break with convention and put the F-minor sonata at the head of his Op. 2 set?)<sup>32</sup> The first-movement Allegro assai of WoO 47 No. 2 begins with

<sup>30</sup> See Helmut Loos, “Beethoven in Prag 1796 und 1798,” in *Beethoven und Boehmen*, ed. Sieghard Brandenburg and Martella Gutierrez-Denhoff (Bonn: Beethoven-Haus, 1998), 63–90.

<sup>31</sup> The opus was entitled “Deux Sonates faciles” by the publisher.

<sup>32</sup> Beethoven’s most dramatic assertion in F minor on keyboard comes with the “Appassionata” Sonata, Op. 57 (published 1807). Lewis Lockwood points out that F minor is “a key of tragic feeling” for Beethoven and his contemporaries. Mozart moves to F minor from D minor for the death of the Commendatore in the first act of *Don Giovanni*. Haydn’s touching Andante con variazioni (Hob. XVII: 6) is in F minor, as are his String Quartets, Op. 20 No. 5, and Op. 55 No. 2, as well as the “dark-hued, somber” (H. C. Robbins Landon, *Haydn at Eszterhaza, 1766–1790*, vol. 2 of *Haydn: Chronicle and Works* [Bloomington: Indiana University Press, 1976], 290) Symphony No. 49 – Haydn’s last symphony in *sinfonia da chiesa* (slow–fast–minuet and trio–fast) style. Among Beethoven’s works, the *Fidelio* dungeon scene is in F minor, and so are the Adagio molto e mesto of the String Quartet, Op. 59 No. 1, the “Gewitter, Sturm” fourth movement of the “Pastoral,” the *Egmont* overture, and the “Serioso” Quartet, Op. 95. Lockwood, *Beethoven: The Music and the Life*, 327–28. Contemporary writers characterized F minor as “black, helpless melancholy” (Mattheson, *Das neu-eröffnete Orchestre*, 249), “lugubriousness and despair” (Jean-Jacques Rousseau, *Dictionnaire de musique* [Paris: Duchesne, 1768], 517), “deep depression ... and longing for the grave” (Christian Friedrich Daniel Schubart, *Ideen zu einer Ästhetik der Tonkunst* [Vienna: Degen, 1806], 378), and “weeping willows by a grave” (Johann Jacob Wagner, “Ideen

Example 10. Beethoven, Keyboard Sonata in F minor, WoO 47 No. 2, first movement,  
mm. 1–11

**Larghetto maestoso**

**Allegro assai**

an unambiguous assertion of its key: a two-octave downward-rushing scale in sixteenths. In this case, however, Beethoven has recourse to a rhetorical technique that is generally thought to belong to his maturity (the first movements of the Op. 70 No. 2 Piano Trio and the Op. 127 String Quartet, for example). He starts the first movement with a slow introduction (*Larghetto maestoso*), which returns (now labeled, for some reason, “*Andante maestoso*”) to interrupt the *Allegro* later in the movement. These sections proclaim the key with full six- and eight-voice half-note *forte* tonic and dominant chords, which alternate with lighter eighth-note phrases in *piano*.

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über Musik,” *Allgemeine musikalische Zeitung* 44 [1823], 714–15). The tonic keys of the three sonatas outline a triad: F–A–C. This may be coincidental, though Beethoven cannot have been unaware of the fact when he chose the order of the compositions for the opus. It is the only one of the three sets of three sonatas (Op. 2, Op. 10, and Op. 31) to do so. Haydn had organized his set of six piano sonatas (the “Auenbrugger” Sonatas) into two subgroups of rational order. Nos. 1, 2, and 3 are a half-step apart: C, C# minor, D; while Nos. 4, 5, and 6 outline an arpeggio: E♭, G, C minor.

Example 11. Beethoven, Piano Sonata in E $\flat$  Major, Op. 7, first movement, mm. 1–13

**Allegro molto e con brio**

The musical score consists of three systems of music. The first system (measures 1-4) shows the piano part in the left hand with a steady eighth-note pattern, starting with a piano (*p*) dynamic and moving to *sf* (sforzando) by measure 3. The right hand plays tonic chords in the first two measures, followed by a cadence. The second system (measures 5-8) features a melodic line in the right hand with eighth notes and a tonic pedal in the left hand. The third system (measures 9-13) continues the melodic line in the right hand, with a crescendo leading to a *sf* dynamic, and a final cadence in the left hand.

A tonic pedal at a beginning provides a different method of immediate key establishment. The E $\flat$  Piano Sonata, Op. 7 (see Example 11), dedicated to one of Beethoven's gifted students, Countess Barbara von Keglevics, and published in 1797, asserts the key for four full measures of an insistent tonic pedal in 6/8 in the left hand and tonic chords in the right before blossoming out to rippling eighths for a light E $\flat$  cadence after eight measures and a fuller one after twelve. The falling-third interval is a recurrent motive. Tovey described the various gestures as "several disconnected ideas thrown at you with Mozartean abruptness."<sup>33</sup>

The best-known of Beethoven's early works in C minor is the Sonata, Op. 13 ("Pathétique"), and the beginning of the main part of the first movement (Allegro di molto e con brio) is urgent, with headlong chromatic lines leading to tonic chords and offbeat *sforzandi* over a tonic pedal. The whole is given additional energy by its suppressed *piano* dynamic, the brief bursts of *sforzando*, and the crescendo leading to a *piano* repetition. As in the second "Elector" sonata, however, the Allegro is preceded by a slow section – the well-known Grave opening, with its *fps*, secondary dominants, and heavily dotted rhythms – and,

<sup>33</sup> Donald Francis Tovey, *Beethoven* (London: Oxford University Press, 1945), 86.

as in that early work, the slow music returns to interrupt the Allegro: twice in this case – once at the end of the exposition and before the C-Major development and once again before the brusque coda in what I like to call a Nostalgia Return.<sup>34</sup> The openings of both the Grave and the Allegro are firmly based on chords of the C-minor tonic. In a group of sonatas from 1800–01 – Op. 22, Op. 26, Op. 27 Nos. 1 and 2, and Op. 28 – Beethoven found ways of elaborating his strategy of beginning with a tonic chord or arpeggio. Op. 22 (see Example 12) begins with two measures of tonic chords and then outlines a rising quarter-note arpeggio of the tonic B♭ in a crescendo, reaching B♭<sub>5</sub> as a dotted half note on an *fp* dynamic. There is more than one beginning here, but each depends upon the tonic chord.<sup>35</sup>

Example 12. Beethoven, Piano Sonata in B♭ Major, Op. 22, first movement, mm. 1–4

**Allegro con brio**

The musical score for Example 12 consists of two systems of piano and bass staves. The first system shows measures 1 and 2. In measure 1, the right hand plays a piano (*p*) arpeggio of the tonic chord (B♭-D♭-F) while the left hand plays a tonic chord. In measure 2, the right hand continues the arpeggio. The second system shows measures 3 and 4. In measure 3, the right hand plays a rising quarter-note arpeggio (B♭-D♭-F) while the left hand plays a tonic chord. In measure 4, the right hand plays a dotted half note on B♭<sub>5</sub>, with a crescendo (*cresc.*) and fortissimo piano (*fp*) dynamic marking. The bass line in measure 4 consists of a series of eighth notes.

The two “fantasia” sonatas, Op. 27 Nos. 1 and 2 – the term implying movements displaying varied figuration and an improvisatory quality that follow directly from one other – open with chords elaborated by figures. No. 1 in E♭ decorates the *pianissimo* light tonic and dominant chords with gentle bass scales. No. 2 (the “Moonlight”) has the measure-long bass chords decorated by right-hand triplets. Suspensions, the *pianissimo* dynamic, and the call for the avoidance of damping (*senza sordini*, i.e. with pedal throughout) add to the mist.

<sup>34</sup> It is possible that the return of beginning material here (and the “La Malinconia” beginning of the last movement of the String Quartet, Op. 18 No. 6) was inspired by Mozart’s String Quintet in D, K. 593, where the Larghetto beginning makes a surprising return during the coda.

<sup>35</sup> The beginning(s) of this sonata will be discussed in detail in the section of Chapter Five entitled “Multiple Beginnings.”

Example 13. Beethoven, Piano Sonata in D Major, Op. 10 No. 3, first movement, mm. 1–4

**Presto**

The musical score consists of two staves, treble and bass clef, in D major (two sharps) and 2/4 time. The tempo is marked 'Presto'. The first measure begins with a piano (*p*) dynamic. The right hand plays a descending stepwise line of eighth notes: D4, C4, B3, A3, G3, F3, E3. The left hand plays a similar descending line: D3, C3, B2, A2, G2, F2, E2. In the fourth measure, the right hand has a sforzando (*sf*) dynamic marking on the final note, G3. The piece concludes with a cadence in the fourth measure.

Even among the early sonatas Beethoven occasionally experimented with a non-standard beginning. Tovey wrote that Piano Sonata, Op. 10 No. 3 (see Example 13) “seems to spring out at us like a panther.”<sup>36</sup> This impression is aided by the tempo, *presto* – an unusually fast tempo for a first movement<sup>37</sup> – and the meter, which is *alla breve*. The animal springs quietly, however, in *piano*, though at the fourth measure there is a *sforzando* four-octave dominant pitch that is held. The phrase is answered by six measures and a sudden cadence. Then rapid alternating sixths in eighth notes continue the rampage *forte* before moving to the minor. This beginning movement is one of the longest among Beethoven’s early works (nearly 350 measures) and contains a wide range of dynamic markings, from *pp* to *ff* (including *sf*, *fp*, and *ffp*), but it is held together by the very first four notes of this beginning: a stepwise line of a descending fourth in equal rhythmic values, all elements of which pervade the movement.<sup>38</sup>

By the time of his middle period, Beethoven was composing beginnings with a more complex approach to key formation. The “Waldstein” Sonata, Op. 53 in C, from 1804, begins spectacularly (see Example 14). It establishes the key with an intensely hushed drive of repeated eighth-note chords, low in both hands, beginning with a lone low C, leading to fleeting right-hand motives. But the apparent stability of the key is undermined in many ways. The first right-hand motive briefly suggests E minor. A reiterated version of the repeated chords appears in  $\flat$ VII, and while the right hand explodes into running sixteenths, crescendo, the bass moves downwards chromatically, and the music dissolves into C minor and unison low Gs. Later, the instability of key relationships is further expressed by the adoption of E Major for the second key area.<sup>39</sup> The propulsive repeated

<sup>36</sup> Tovey, *Beethoven*, 93.

<sup>37</sup> See Bathia Churgin, *Transcendent Mastery: Studies in the Music of Beethoven*, North American Beethoven Studies 4 (Hillsdale, New York: Pendragon, 2008), 91.

<sup>38</sup> See *ibid.*, 114 and 116–17, and Czerny, “On the Proper Performance,” 42. The contrast between variety and unification in this movement compelled Dahlhaus to describe it as a “composed-out contradiction.” See Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, 147.

<sup>39</sup> Beethoven first utilized a move to the mediant in his piano sonatas in the G-Major Sonata, Op. 31 No. 1, where the second key area is B Major.

Example 14. Beethoven, Piano Sonata in C Major, Op. 53 (“Waldstein”), first movement, mm. 1–14

**Allegro con brio**

The musical score is presented in four systems, each with a piano and treble clef staff. Measure numbers 1, 5, 8, and 11 are indicated at the start of their respective systems. The first system (measures 1-4) is marked *pp*. The second system (measures 5-8) is also marked *pp*. The third system (measures 9-11) is marked *cresc.*. The fourth system (measures 12-14) is marked *f*, *sf*, *decr.*, *p*, and *pp*.

eighths return to anchor the recapitulation as well as the final measures, where they act as a signpost of grateful familiarity after the torrid journey of this long (300-measure) and powerful movement.<sup>40</sup>

<sup>40</sup> On the genesis of this sonata see Alan Gosman, “From Melodic Patterns to Themes: The Sketches for the Original Version of Beethoven’s ‘Waldstein’ Sonata, Op. 53,” in *Genetic Criticism and the Creative Process*, ed. Kinderman and Jones, 95–107. Tilman Skowronek has suggested that the “Waldstein” Sonata was written with the special qualities of the composer’s new Erard piano in mind. See Tilman Skowronek, “Beethoven’s Erard Piano: Its Influence on His Compositions and on Viennese Fortepiano Building,” *Early Music* 30 (2002), 522–38.



Example 15. Beethoven, Piano Sonata in F# Major, Op. 78, slow introduction, mm. 1–4

**Adagio cantabile**

The group of three sonatas, Op. 78, Op. 79, and Op. 81a belong to the years 1809–10. Op. 78 in F# Major (see Example 15) begins with a slow introduction, whose four measures, *Adagio cantabile*, constitute a Beginning before the Beginning of the *Allegro ma non troppo*. (This particular kind of beginning is discussed in more detail in Chapter Five.) The key is very unusual: I know of no other work by Beethoven (or by Mozart) in this key. (The very quirky Minuet of Haydn's quirky Symphony No. 45, the "Farewell," is in this key – the parallel major of the home key, F# minor – and the tonally adventurous (and very beautiful) *Largo, cantabile e mesto* of his String Quartet, Op. 76 No. 5 is also in F# Major.<sup>41</sup>) Beethoven's opening four measures establish the sound of the special key with a gentle rising contour over an F# pedal in octaves low in the bass.<sup>42</sup> Neither the music nor the tempo of the opening returns, but the notable dotted-eighth-sixteenth gesture of the second beat of the phrase is used again as the beginning of the wondrously shaped principal theme of the first key area.

The relatively short Sonata, Op. 79 in G was written in 1809, but it aims at simplicity and unpretentiousness. Thus it opens with an earlier beginning strategy: a brisk four-note gesture (1–3–1–5) in octaves over an Alberti bass on the tonic. The opening is as straightforward as the piece as a whole, which is the smallest of all the three-movement works.

The well-known opening of the Sonata, Op. 81a ("Das Lebewohl"),<sup>43</sup> also from 1809, is considerably more complex, for it is programmatic, with its horn fifths suggesting distance and its fall from major to minor evoking a melancholy

<sup>41</sup> Contemporary views of this key ranged from unknowable (Mattheson) to "strange" and "lofty" (anon., 1786). See Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries* (Rochester, New York: University of Rochester Press, 1996; 2nd rev. ed. 2005), 270–73; and Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 117.

<sup>42</sup> "[D]er Höhepunkt der Empfindung erhebt sich merkwürdigerweise ganz am Anfang des Werkes." Richard Rosenberg, *Die Klaviersonaten Ludwig van Beethovens: Studien über Form und Vortrag*, 2 vols. (Olten: Urs Graf, 1957), vol. 2, 315.

<sup>43</sup> Beethoven insisted upon the German title as opposed to the French, "Les Adieux," imposed by his publisher (*Briefwechsel Gesamtausgabe*, Letter No. 523, vol. 2, 214–17; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 325, vol. 1, 336–40).

Example 16. Beethoven, Piano Sonata in E $\flat$  Major, Op. 81a (“Das Lebewohl”),  
slow introduction, mm. 1–2

**Adagio**

Le - be - wohl

*p* *espressivo*

surprise (see Example 16).<sup>44</sup> The inscription “Le-be-wohl” is written over the first three chords, which are made of descending quarter notes, marked *piano espressivo*, and move deceptively (and suggestively) from an expected E $\flat$  cadence to C minor. The gesture is repeated six measures later, but again the goal is thwarted, since the E $\flat$  is still not reached – the cadence this time moving to C $\flat$ . The whole Adagio opening is not a traditional introduction to the Allegro, though it precedes it and leads into it *attacca*. Nor is it a Beginning before the Beginning (see below). It is a statement in its own right – one that Beethoven

<sup>44</sup> Rosen describes the horn fifths as “a symbol ... of distance, isolation, and memory.” See Charles Rosen, *Beethoven’s Piano Sonatas: A Short Companion* (New Haven, Connecticut: Yale University Press, 2002), 202. Departure was a *topos* in music. Examples include C. P. E. Bach’s Rondo “Abschied zu meinem Silbermannischen Claviere” in E minor, H. 272, W. 66 (1781); Dussek’s Sonata in E $\flat$  Major (“The Farewell”), Op. 44 (1800); and Beethoven’s own songs “La Partenza” (WoO 124) and “Mollys Abschied,” Op. 52 No. 5, which begins with a setting of the words “Lebe wohl.” See Alexander Ringer, “Beethoven and the London Pianoforte School,” in *The Creative World of Beethoven*, ed. Paul Henry Lang (New York: Norton, 1971), 246–52; Kenneth Drake, *The Beethoven Sonatas and the Creative Experience* (Bloomington: Indiana University Press, 1994), 69; Elaine Sisman, “After the Heroic Style: Fantasia and Beethoven’s ‘Characteristic’ Sonatas of 1809,” *Beethoven Forum* 6, ed. Glenn Stanley (1998), 83–90; and L. Poundie Burstein, “‘Lebe wohl tönt überall!’ and a ‘Reunion after So Much Sorrow’: Beethoven’s Op. 81a and the Journeys of 1809,” *Musical Quarterly* 93 (2010), 366–413, at 396. Horn fifths also occur in the second-key-area theme of Haydn’s Fantasia in C Major, Hob. XVI: 4. Reinforcing the sense of distance evoked by the gesture, the sonority recurs in the development, after a low bass octave fermata (m. 192), which is to be held “until the sound can no longer be heard” (“finche non si sento piu il Sonno,” 1st ed., Vienna: Artaria, n.d. [1789]). Leonard Meyer discussed the opening of the Beethoven sonata in Meyer, *Explaining Music*, 242–67. William Kinderman draws attention to uses of this gesture in the finale of the Beethoven’s First Piano Concerto, Op. 15, the Choral Fantasy, Op. 80, and the second statement of the second theme of the Fifth Piano Concerto, Op. 73. See William Kinderman, “Beyond the Text: Genetic Criticism and Beethoven’s Creative Process,” *Acta Musicologica* 81 (2009), 99–122, at 106. Carl Czerny wrote that “this sonata, when properly played, may, and indeed should, interest even those who are willing to enjoy it as pure music, without regard to the titles.” See Czerny, “On the Proper Performance,” 61.

took seriously, as Lewis Lockwood has insisted.<sup>45</sup> This beginning says goodbye, while the ending of the sonata says hello. There is thus a poetic contradiction between temporal and programmatic content: the beginning is an ending; the ending a new beginning.<sup>46</sup> But its content proves essential to the intensity of the ensuing movement, for the motivic outline of the “Lebewohl” motto may be heard to hover over turning points in the Allegro: the first and second themes, the development, and especially the coda.

Yet the simple association of harmonic complexity with increased maturity does not always hold true. There are harmonically surprising beginnings even in early Beethoven. The slow movement (Adagio) of the Sonata in C Major, Op. 2 No. 3, composed in 1795, is in the remote key of E Major. This kind of third relationship became more common in Beethoven's works later, but it was very new for Beethoven in the 1790s, and, like many other strategies, it may have been learned from Haydn.<sup>47</sup> The gentle but overt I–V gesture in E Major at the very beginning of the Adagio, coming immediately after the full-throated *fortissimo* close of the first movement in C Major, would have presented a surprise to any performer or listener to this sonata. Beethoven explains this surprise by clever manipulation of the key structure soon after the beginning of the movement: moving quickly to E minor so that its second key is G (the same second key as that of the first movement) and effecting a deceptive cadence from V of E to C Major, thus allowing a statement of the opening theme in C – the key

<sup>45</sup> See Lockwood, *Beethoven: The Music and the Life*, 299–303. However, Lockwood hints – and Poundie Burstein convincingly demonstrates – that the sonata conveys a far broader sense of loss, anticipation, anguish, and relief than that between two men. The work reflects the political circumstances of the entire Austrian nation as it contemplates war with France, is defeated (at Wagram), and returns to a state of peace. See Burstein, “Lebe wohl tönt überall!,” 366–414. The horn fifths, with their implication of farewell, are anticipated at the very end of Beethoven's Twenty-Four Variations on “Vieni amore” by Vincenzo Righini, WoO 65.

<sup>46</sup> “By virtue of the program, the flow of time is brought into the most profound relation with the ‘countercurrent’ of time, for the beginning of the sonata is an end, a parting; the end of the sonata, in turn, a new beginning, a return.” From Whiting's unpublished translation of Uhde, *Beethoven's Klaviermusik*.

<sup>47</sup> Starting in the late 1780s and into the 1790s Haydn began frequently to invoke third relationships for his slow movements. The String Quartet, Op. 76 No. 5, the Piano Trio, Hob XV: 22, and the Symphony No. 99 all move to the mediant major for their slow movements. See Ethan Haimo, *Haydn's Symphonic Forms: Essays in Compositional Logic* (Oxford: Oxford University Press, 1995), 254. See also Douglas Johnson, “1794–1795: Decisive Years in Beethoven's Early Development,” in *Beethoven Studies*, vol. 3, ed. Alan Tyson (Cambridge, UK: Cambridge University Press, 1982), 1–28. Haimo has also investigated the use of more remote keys in the inner movements of Haydn's late music. See Ethan Haimo, “Remote Keys and Multi-Movement Unity: Haydn in the 1790s,” *The Musical Quarterly* 74 (1990), 242–68. Other slow movements a third away from the home key are found in the Quartets, Op. 74 No. 3, Op. 76 No. 6 (B Major [= C♭] in an E♭ work), Op. 77 No. 1, Op. 77 No. 2, and Op. 103. See David Young, “The Slow Movements,” in *Haydn the Innovator: A New Approach to the String Quartets*, ed. David Young (Tadmorden: Arc Music, 2000), 57–80, at 61.

of the first movement – a statement that Beethoven pounds out *fortissimo*, perhaps to make sure we get the connection.<sup>48</sup> Thus the surprising beginning has done double duty: effecting its surprise at the start and justifying the unusual and dramatic modulations during the movement by means of justifying its own existence.<sup>49</sup>

In Beethoven's late works, however, his beginnings do, in fact, become more ambiguous and multivalent. The last three piano sonatas (Op. 109, Op. 110, and Op. 111) come from 1820–22. They are sharply differentiated, as their very different openings attest. The unusual E-Major beginning of Op. 109 (*Vivace ma non troppo, sempre legato*) presents an ambiguity that is not resolved until midway through the movement. It sounds as though it will be the principal theme of the movement, cadencing after four measures and entering a second phrase that echoes the start of the first. Rapidly, though, it goes off course, avoids a second cadence, and enters an *Adagio espressivo*, by means of a diminished seventh. Thus our fleet beginning bears little resemblance to the movement's continuation. However, the *vivace* tempo and the stuttering figuration of the opening return to form the basis of what follows the *Adagio*. A recapitulation an octave higher reveals that the opening did indeed constitute the principal subject matter of the exposition and that the *Adagio* interruption is in fact a second theme. All this works retrospectively, as our minds make sense of what we have heard.<sup>50</sup>

*Ab* is a key of *amabilità*, as Beethoven writes, together with his directions *piano* and “sanft” (“gentle”) for the beginning of Op. 110 (see Example 17a).<sup>51</sup> These four measures, the first pair ending on a *V*<sup>7</sup> half-cadence, the second returning to the tonic, suggest that a parallel answering phrase will follow.<sup>52</sup> Instead they introduce a balanced, lightly syncopated, singing theme of eight measures, high in register, over a gently chattering Alberti accompaniment, also in

<sup>48</sup> See Haimo, *Haydn's Symphonic Forms*, 273. Barry Cooper suggests that another effect is to emphasize the thematic connections between first and second movements. See Barry Cooper, *Beethoven*, rev. ed. (New York: Oxford University Press, 2008), 58.

<sup>49</sup> Tovey calls the beginning of the *first* movement of this sonata, together with the beginnings of the Cello Sonata in F Major, Op. 5 No. 1, the Septet, Op. 20, and the Quintet for Piano and Winds in Eb, Op. 16 “dramatically weak ... luxurious and loosely constructed,” and he contrasts this with the dramatic (and in the 1940s both famous and infamous) opening of a contemporary thriller: ‘Hell!’ said the Duchess.” See Tovey, *Beethoven*, 91, and Michael Arlen, *Hell! Said the Duchess: A Bed-Time Story* (London: Heinemann, 1934).

<sup>50</sup> See Glenn Stanley, “Voices and Their Rhythms in the First Movement of Beethoven's Piano Sonata Op. 109: Some Thoughts on the Performance and Analysis of a Late-Style Work,” in *Beethoven and His World*, ed. Scott Burnham and Michael P. Steinberg (Princeton, New Jersey: Princeton University Press, 2000), 88–123.

<sup>51</sup> This quality also pervades the theme of the first movement of Op. 26, also in *Ab* and the only other sonata in this key.

<sup>52</sup> See Budde, “Analyse und Interpretation,” 124.

the treble register. Again, as in the previous sonata, we don't know the function of this beginning until it proves to be substantive in the development section and returns accompanied by elaborate thirty-second-note figuration, in the recapitulation. Finally, in the last movement, the fugue subject echoes intervals (the two consecutive rising fourths) from the beginning (mm. 1–3) of the sonata (see Example 17b). This last movement has a preceding slow passage, which is a beginning or slow introduction in the sense that it is not a fully developed slow movement but not in the sense that it ends on its own tonic and not the dominant of the finale. But it is also not complete, lasting only eighteen measures. It is a deeply moving

Example 17. Beethoven, Piano Sonata in A $\flat$  Major, Op. 110, (a) first movement, mm. 1–10; (b) last movement, mm. 1–4

a) **Moderato cantabile molto espressivo**

Musical score for Example 17a, first movement of Beethoven's Piano Sonata in A $\flat$  Major, Op. 110, measures 1–10. The score is in 3/4 time, A $\flat$  major, and features a piano introduction with a *p* dynamic and *con amabilità (sanft)* marking. It includes a fugue subject in the treble and a thirty-second-note figuration in the bass.

b) **Fuga**  
**Allegro, ma non troppo**

Musical score for Example 17b, last movement of Beethoven's Piano Sonata in A $\flat$  Major, Op. 110, measures 1–4. The score is in 6/8 time, A $\flat$  major, and features a fugue subject in the bass with a *p* dynamic.

“Klagender Gesang” (“Lamenting Song”), marked “Arioso dolente,” in *Ab* minor, echoing the aria “Es ist vollbracht” (“It is concluded,” Jesus’ last words on the cross) from Bach’s *St. John Passion*. This has its own Beginning before the Beginning, a measure and a half gradually thickening in texture and establishing the 12/16 chordal and rhythmic basis for the tonality, rhythmic profile, and unceasing accompaniment figures of the *Klagender Gesang* before the “song” enters in a higher register in the right hand. But this too has its own beginning: four measures of a vocal-sounding *Recitativo*, with constantly shifting tempos (*Più adagio*, *Andante*, *Adagio*, *Meno adagio*, *Adagio*) and littered with performance indications (*cresc.*, *sempre tenuto*, *tutte le corde*, *dimin./ritardando*, *una corda*, *cantabile*, *cresc. tenuto*, *dimin. smorzando*). And the recitative is preceded by the very first beginning of the movement: three measures of *Adagio ma non troppo* in 4/4, *una corda* and harmonically searching, moving to V of *Ab* minor. Thus the fugal finale of this sonata has four beginnings, the last of which ends on bare *Ab* octaves to prepare the calm fugue of the finale.<sup>53</sup> Beethoven, however, has not finished with the “Gesang.” It returns towards the end of the movement before the appearance of a distant harmonic inversion of the fugue in G.

The beginning of Op. 111 is as harmonically disruptive as a beginning can be. It leaps down a diminished seventh and moves to a chord of the diminished seventh before a cadence to C minor. This whole introduction is unstable until the harmony settles on a G pedal before the C-minor *Allegro con brio ed appassionato*. This beginning is recalled during the second-key-area material and the recapitulation, and in the quiet coda, where, in the words of William Kinderman, “Beethoven seem[s] to resolve his ‘C-minor mood’ once and for all.”<sup>54</sup>

#### ESTABLISHING RHYTHM AND METER

In support of key establishment at the beginning of a work or movement, Classic composers often provide a definitive rhythmic and/or metrical pattern, which helps to create an assimilable and memorable profile as a reference point. Whether a movement begins with a pickup or on the downbeat is crucial for the phrase structure and trajectory of the ensuing music. The first movement of

<sup>53</sup> William Kinderman draws a parallel between the juxtaposition of the lamenting arioso and the confident fugue in this sonata and the juxtaposition of the “Heiliger Dankgesang” and “Neue Kraft” sections in the slow movement of Op. 132. See William Kinderman, “Beethoven’s Last Quartets: Threshold to a Fourth Creative Period?,” in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana: University of Illinois Press, 2006), 279–322, at 292. This association is strengthened by the composer’s directions written on the music of the sonata. With the return of the “Gesang,” Beethoven writes “Ermattet, klagend” (“exhausted, lamenting”), and with the return of the fugue “Nach und nach wieder auflebend” (“coming more and more back to life”).

<sup>54</sup> See William Kinderman, “Contrast and Continuity in Beethoven’s Creative Process,” in *Beethoven and His World*, ed. Scott Burnham and Michael P. Steinberg (Princeton, New Jersey: Princeton University Press, 2000), 193–224, at 221.

Example 18. Haydn, String Quartet in E $\flat$  Major, Op. 33 No. 2, first movement, mm. 1–4

**Allegro moderato**

The musical score shows the first four measures of the first movement. The first violin part (Vln 1) is marked *cantabile* and begins with a melodic phrase that rises and then falls in waves. The second violin (Vln 2), viola (Vla), and cello (Vc) parts provide a rhythmic accompaniment of sixteenth-note patterns. The tempo is marked **Allegro moderato**.

Haydn's String Quartet, Op. 33 No. 2 (see Example 18), opens with a breathtakingly inspired and yet utterly natural-sounding first-violin theme, superbly balanced, rising and falling in waves, and with measure 1 opposed and answered by measure 3, which goes down instead of up, and measure 2 echoed and resolved by measure 4. It is strongly characterized by its opening two-sixteenth-note pickup, and these sixteenth notes feature prominently in every measure of the theme itself. Moreover, as the movement evolves, the two-sixteenth-note pickup becomes a central element in the movement's substance and phrase organization.<sup>55</sup>

The minuets of Haydn's string quartets, as they evolved over his lifetime, display a tendency away from the beat-focused courtly style to a more popular or

<sup>55</sup> For a discussion of the "NEW AND SPECIAL WAY" in which Haydn approached the composition of Op. 33, see Denis McCaldin, "The First Movements," in *Haydn the Innovator: A New Approach to the String Quartets*, ed. David Young (Todmorden: Arc Music, 2000), 33–56, at 43–44. Haydn had recently been released from the contractual clause that gave ownership of all his works to his prince. See Grave and Grave, *The String Quartets of Joseph Haydn*, 13; and Mara Parker, *The String Quartet, 1750–1797: Four Types of Musical Conversation* (Aldershot: Ashgate, 2002), 1–6. In December of 1781 Haydn wrote to the Swiss author Johann Caspar Lavater to ask him to spread the word about his new publication to "great patrons of music and the amateur gentlemen." See *The Collected Correspondence and London Notebooks of Joseph Haydn*, ed. H. C. Robbins Landon (London: Barrie and Rockliff, 1959), 33. Carl Czerny reported that Beethoven, too, spoke of taking a "new path" around 1802 or 1803. Carl Czerny, *On the Proper Performance of All Beethoven's Works for the Pianoforte*, trans. Paul Badura-Skoda (Vienna: Universal, 1970), 19. See also Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall (Oxford: Oxford University Press, 1991), 166–81.

rustic style with the measure as the accented unit, slower harmonic rhythm, and faster overall tempo. These qualities are all established in beginning measures.<sup>56</sup> Mozart's works also usually begin with a clearly defined rhythm to help establish the key. Examples range from the E $\flat$ -Major Symphony, K. 16, with its curiously curt and determined beginning, to the rolling triplets of Symphony No. 41 in C.

Beethoven tended to create his own rhythmic profiles that serve to begin a work and also to hold it together. The sonatas surveyed above all have definitive rhythmic outlines to frame their key-defining beginnings. The beginning of the Fourth Piano Concerto establishes its key and its binding rhythm at the outset. The opening motive of the String Quartet, Op. 18 No. 1, is notable as much for its rhythm as for its melodic outline. The Grave introduction to the Quintet for Piano and Winds begins with a sharply etched rhythm that reappears at defining moments during the opening. The dotted rhythm bouncing from degree 5 to degree 1 in the first measure of the Adagio of Beethoven's Fourth Symphony establishes a rhythmic pattern for the movement but also clearly establishes the key. The beginning of the Eighth Symphony is notable as much for its rhythm and its lilting 3/4 meter as for its formation of the F-Major tonic. The beginning of the String Quartet in F minor, Op. 95 (see Example 19) outlines both the downward and the upward versions of the harmonic minor scale and simultaneously projects the curiously backwards aspect of its rhythmic disposition of 4/4, starting with the sixteenth-note turn.

Example 19. Beethoven, String Quartet in F minor, Op. 95, first movement, mm. 1–2

**Allegro con brio**

The musical score displays four staves: Violin 1 (Vln 1), Violin 2 (Vln 2), Viola (Vla), and Violoncello (Vc). All staves are in F minor (three flats) and common time (C). The tempo is marked 'Allegro con brio'. The first measure of each part begins with a forte (*f*) dynamic and a sixteenth-note turn. The second measure continues the melodic line with a quarter note and a dotted quarter note.

<sup>56</sup> See Grave and Grave, *The String Quartets of Joseph Haydn*, 79–81.



## STOREHOUSE BEGINNINGS

The beginning of Haydn's Symphony No. 81 in G Major is a Storehouse Beginning, in which the beginning measures serve as a repository of material for all four movements. The development brings back the pitches of the G<sup>7</sup> chord and a lengthy passage in C Major, the key implied in the beginning measures. The sense of clarity obscured is compounded at the recapitulation, which has no specific point of return, only an area over which the elements of recapitulation are scattered.<sup>57</sup> The opening measures are reprised as the coda, creating a reverse recapitulation. The second movement highlights a juxtaposition between F<sup>#</sup> and F<sup>♮</sup>, the pitches that determined the ambiguity of the beginning of the first movement. The Minuet places these pitches simultaneously in measure 3 between bass and treble and continues to push towards C Major. And the development section of the last movement again presents the opposition of F<sup>#</sup> and F<sup>♮</sup> in the context of C Major.<sup>58</sup> The beginning of Symphony No. 96 also contains elements that can be traced to all four movements.<sup>59</sup> And James Webster has shown that the opening Adagio of Symphony No. 15 presents tiny motives that are developed in all the ensuing movements.<sup>60</sup> Another Storehouse Beginning is that of Haydn's Symphony No. 103, whose opening provides material for the whole of the first movement. Haydn's String Quartet, Op. 50 No. 4, in the unusual key of F<sup>#</sup> minor, begins with a unison statement, *forte*, that stresses the first and fifth degrees of the arpeggio, but ends on a low unison A<sup>♯</sup> (see Example 20). This delays the rec-

Example 20. Haydn String Quartet in F<sup>#</sup> minor, Op. 50 No. 4, first movement, mm. 1–2

**Allegro spirituoso**

The musical score shows four staves: Vln 1, Vln 2, Vla, and Vc. The key signature is two sharps (F# and C#), and the time signature is 3/4. The first measure is marked with a forte (*f*) dynamic. The notation shows a unison arpeggiated figure in all parts, starting on A<sup>#</sup> and moving up to C<sup>#</sup>, then down to F<sup>#</sup>. The second measure continues this figure.

<sup>57</sup> See Rosen, *The Classical Style*, 158–59.

<sup>58</sup> See Haimo, *Haydn's Symphonic Forms*, 147–77.

<sup>59</sup> *Ibid.*, 208–34; see also Karl Marx, "Über thematische Beziehung in Haydns Londoner Symphonien," *Haydn-Studien* 4 (1976–80), 1–19.

<sup>60</sup> See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 254–57.

ognition of the minor mode, which arrives as a surprise with the A. But this brief beginning also anticipates the importance of A as a key, for the second movement of the quartet is an Andante variation set, alternating A Major and A minor.

Beethoven also created Storehouse Beginnings. The opening pitches of his Piano Sonata in E Major, Op. 109, G# and B, act as structural unities throughout the sonata; the entire work ends with G# on top of the final chord.<sup>61</sup> But perhaps the most fertile of Storehouse Beginnings is the beginning of Beethoven's String Quartet in A minor, Op. 132, which lays out a brief but seamless fugato based on the four-note figure G#–A–F–E.<sup>62</sup> This figure, in different manifestations, is woven through not just the one quartet but also the two that follow it in compositional order: Op. 130 in Bb and Op. 131 in C# minor. It is also the basis for the original finale of Op. 130, the *Grosse Fuge*, which Beethoven published separately as Op. 133. Many commentators have drawn attention to this common thread,<sup>63</sup> but, as Joseph Kerman advised, we should not allow this observation to blind us to the individuality of the three works.<sup>64</sup> The first movement of Op. 132, which first introduces the generative figure (see Example 21), interweaves its essential elements (two half-steps, separated by a rising sixth) and many different permutations and note lengths into coalescing fragments of a march, brilliant violin figuration, and a tender aria. The Scherzo is based on two half-steps

Example 21. Beethoven, String Quartet in A minor, Op. 132,  
first movement, mm. 1–2, cello only



<sup>61</sup> See Nicholas Marston, "Schenker and Forte Reconsidered: Beethoven's Sketches for the Piano Sonata in E, Op. 109," *19th Century Music* 10 (1986–87), 24–42.

<sup>62</sup> As Lewis Lockwood, points out, A minor is a rare key for Beethoven as well as for Haydn and Mozart. Haydn wrote only two works in this key, Mozart only one piano sonata (K. 310). Apart from this quartet, the only Beethoven works in A minor are the Violin Sonatas, Op. 23 and Op. 47 ("Kreutzer"). See Lockwood, *Beethoven: The Music and the Life*, 452–53.

<sup>63</sup> See Paul Bekker, *Beethoven* (London: Dent, 1925), 327–28; Marion M. Scott, *Beethoven* (London: Dent, 1934), 266; Deryck Cooke, "The Unity of Beethoven's Late Quartets," *Music Review* 24 (1963), 30–49; and Joseph Ivan Mahaim, *Naissance et renaissance des derniers quatuors*, 2 vols. (Paris: Desclée de Brouwer, 1964), 309. See also Robert Simpson, "The Chamber Music for Strings," in *The Beethoven Reader: A Symposium by Leading Scholars*, ed. Denis Arnold and Nigel Fortune (New York: Norton, 1971), 241–78 at 267–68; Michael Steinberg, "The Late Quartets," in *The Beethoven Quartet Companion*, ed. Robert Winter and Robert Martin (Berkeley, California: University of California Press, 1994), 215–82, 265; Hatten, *Musical Meaning in Beethoven*, 56; Solomon, *Beethoven*, 420; and Lockwood, *Beethoven: The Music and the Life*, 455.

<sup>64</sup> Kerman, *The Beethoven Quartets* (New York: Knopf, 1967), 225–29.

separated by the interval of a third. The hymn of the central slow movement (the "Heiliger Dankgesang") has as its most prominent interval a rising sixth. The fourth movement effects the final coalescence of a march and ends with a recitative that stresses the G#–A–F–E pitches, while the finale harps consistently on the F–E half-step throughout. A slow introduction that recurs within the ensuing first movement is also a feature of the adjacent quartets of 1825–26, Op. 127 and Op. 130.

#### BEGINNING AS CALL TO ATTENTION

With audiences in the eighteenth century being notoriously inattentive, a tradition arose of a beginning that was not only an announcement of key but also a call to attention.<sup>65</sup> Mozart particularly mentioned the popularity of the *premier coup d'archet* in Paris, and his mocking of its conventionality shows that it was an expected opening gesture.<sup>66</sup> And not just in Paris. Mozart's very first symphony, K. 16 in E $\flat$ , begins with two and a half measures of a *forte* unison fanfare followed by half a measure of silence. This is then followed by eight measures of conventional sustained progressions *piano*. Other early symphonies begin with a similar dynamic contrast (for example, K. 45, K. 48, K. 81, and K. 84). And of course this call-to-attention technique carries through into Mozart's later works, including K. 318, K. 319, K. 338, and the "Haffner," "Linz," and "Prague" symphonies, the last two with slow introductions. Symphony No. 39 alternates loud and soft in single measures, Symphony No. 41 in two-measure pairs.

Haydn employed the call-to-attention beginning frequently in his symphonies. The beginning of Symphony No. 82 bursts out with the full orchestra on a strong rising arpeggio, *fortissimo*, with tremolo strings, which is answered by a gentle curving phrase on strings alone. Of the twelve "London" symphonies, seven (Nos. 93, 95, 96, 97, 98, 99, and 104) begin with a loud call to attention, though Haydn, typically, experiments with constantly differing ways of crafting it. Only four of the symphonies begin quietly (Nos. 94, 100, 101, and 102). And No. 103 is a special case. This begins with a solo drumroll, crescendo and

<sup>65</sup> László Somfai, in "The London Revision of Haydn's Instrumental Style," *Proceedings of the Royal Musical Association* 100 (1973–74), 159–74, described these opening gestures as "noise-killer effects." Melanie Lowe writes that "virtually all performances of the late eighteenth century, theatrical as well as musical, opened with the invigorating first movement of a symphony or an overture, and it was the responsibility, or function, of the opening moments of that symphony to grab hold of the audience's attention." See Melanie Lowe, *Pleasure and Meaning in the Classical Symphony* (Bloomington: Indiana University Press, 2007), 30. On beginnings as announcement, see also Rowell, "The Creation of Audible Time," 200.

<sup>66</sup> "What a fuss the oxen here make of this trick!" Letter to his father, June 12, 1778. See Emily Anderson, ed. and trans., *The Letters of Mozart and His Family*, 3rd ed. (New York: Norton, 1989), Letter No. 309a, 551–53, at 553.

decrescendo: yet another novel beginning. This would certainly have been an attention-getter, though in a surprising and witty way.<sup>67</sup>

A beginning with a call to attention, however, was not restricted to Haydn's big genres. The String Quartets, Op. 71 No. 1, in B $\flat$ , Op. 71 No. 3, in E $\flat$ , Op. 74 No. 1, in C Major, and Op. 74 No. 3, in G minor all start with striking opening gestures. These quartets were written for public performance in a large hall,<sup>68</sup> but, as Floyd Grave and Margaret Grave point out,

these admonishments to settle down and pay attention can be heard either as a practical response to the challenge of performing chamber music in a concert hall, or else as a stroke of ironic commentary on a real or imagined concert

<sup>67</sup> It is notable that for Haydn's first visit, the first group of symphonies exhibits five conventionally loud beginnings out of six. The second group of symphonies (Nos. 99–104), composed for his second visit – by which time he knew his audience, and they in turn would have been more familiar with his music and perhaps more attentive – contains four symphonies with quiet beginnings (including the “Drumroll”).

<sup>68</sup> Haydn's six quartets, Op. 71 and 74, later dedicated to Count Apponyi, were purpose-written for the Hanover Square Rooms in London. See Landon, *Haydn in England*, 322, 459; Reginald Barrett-Ayres, *Joseph Haydn and the String Quartet* (London: Barrie and Jenkins, 1974), 281; Simon McVeigh, *Concert Life in London from Mozart to Haydn* (Cambridge, UK: Cambridge University Press, 1993), 159; John Irving, “Reading Haydn's Quartets,” in *Haydn the Innovator: A New Approach to the String Quartets* ed. David Young (Todmorden: Arc Music, 2000), 11–31, at 12; and Grave and Grave, *The String Quartets of Joseph Haydn*, 283. A growing number of music enthusiasts were both performing and attending performances at the end of the eighteenth century. See James H. Johnson, *Listening in Paris: A Cultural History* (Berkeley, California: University of California Press, 1995), 197–206; and Daniel Cavicchi, *Listening and Longing: Music Lovers in the Age of Barnum* (Middletown, Connecticut: Wesleyan University Press, 2011), 142. Mary Hunter, “Haydn's London Piano Trios and His Salomon String Quartets: Private vs. Public?,” in *Haydn and His World*, ed. Elaine Sisman (Princeton, New Jersey: Princeton University Press, 1997), 103–30, suggested a refinement of the public–private dichotomy in favor of a more complex view of the social relations embodied in Haydn's late quartets and piano trios. And Grave and Grave, *The String Quartets of Joseph Haydn*, 283, point out that the dedication to Apponyi itself bears notice that the music could be privately enjoyed. Contemporary criticism seems to demonstrate that in Haydn's time a distinction was made between an extrovert “symphony style” and a more refined “sonata style” for solo keyboard compositions (see Michael Broyles, “The Two Instrumental Styles of Classicism,” *Journal of the American Musicological Society* 36 [1983], 210–42). Mark Evan Bonds has made the point that chamber music draws attention to the performers, whereas symphonic music, with its multiple players on (most of) the parts, “opened the way for the composer to emerge as the principal agent of artistic achievement.” See Mark Evan Bonds, “The Symphony as Pindaric Ode,” in *Haydn and His World*, ed. Sisman, 131–53, at 138. On the other hand, Tom Beghin, in “Haydn as Orator,” 201–54, suggests that in keyboard music the composer and the performer are, in a sense, the same: “Haydn, ‘the pianist,’ ‘the composer,’ [and] ‘the orator,’ therefore, must all be read as synonyms for one and the same person. It is this person who addresses an audience.” (p. 202.) In the case of the Sonatas Nos. 40–42, we have an account of Haydn playing them himself (*ibid.*, 201), but at any solo performance, surely, the listener(s) will be experiencing the music as a constantly shifting blend of utterance from performer or composer, and, perhaps – if the listener is also a performer – self.

environment, with its singular encounter between chamber performers on display and a large, relatively anonymous audience.<sup>69</sup>

In either case, the “call-to-attention” strategy survived Haydn’s return to Vienna: Op. 76 No. 1 in G Major begins with three staccato chords, *forte*.<sup>70</sup> Even ostensibly “private” works, such as four of Haydn’s late piano trios, also written after his return to Vienna,<sup>71</sup> have “call-to-attention” beginnings.<sup>72</sup>

A survey of Beethoven’s beginnings suggests that his calls to attention are, in general, different in kind from those of Haydn, being more fully integrated into the fabric of the movement.<sup>73</sup> A gesture very similar to those in Haydn’s Op. 71 No. 3 and Op. 74 No. 1 occurs at the opening of Beethoven’s String Quartet, Op. 59 No. 2 (see Example 22). Here we have two strong *coups d’archet*, going from i to V in E minor, followed by a measure’s rest. (E minor is a rare key for Beethoven, serving as the home key in only two works: this quartet and the Piano Sonata, Op. 90.)<sup>74</sup> The chords are even outside the sonata form, being separated from it

<sup>69</sup> Grave and Grave, *The String Quartets of Joseph Haydn*, 286. The only chamber work of Beethoven’s to appear in a public concert (apart from his solo piano improvisations) was the Septet, Op. 20, which was performed on April 2, 1800 at the Burgtheater.

<sup>70</sup> In his yearbook of musical life in Vienna and Prague in 1796, Johann Ferdinand von Schönfeld wrote of Haydn’s string quartets that they “are full of bewitching harmonies, and they have this special quality of immediately attracting one’s attention.” Johann Ferdinand Ritter von Schönfeld, *Jahrbuch der Tonkunst Wien und Prag 1796* (Vienna: Author, 1796), trans. in Kathrine Talbot, “A Yearbook of the Music of Vienna and Prague, 1796,” in *Haydn and His World*, ed. Sisman, 289–320, at 299.

<sup>71</sup> See Mary Sue Morrow, *Concert Life in Haydn’s Vienna: Aspects of a Developing Musical and Social Institution* (New York: Pendragon, 1989), 1–35.

<sup>72</sup> Trios Hob. XV: 24 in D Major, XV: 29 in Eb, XV: 18 in A Major, and XV: 27 in C Major. Commentators have noted that Haydn and Mozart tended to differentiate between chamber and symphonic styles in terms of cadential frequency, phrase length, phrase rhythm, length of development section, and acceptable frequency of repetition. See William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer, 1989), 131, and Haimo, *Haydn’s Symphonic Forms*, 10 and 270–72. This kind of differentiation was deliberately overridden by Beethoven, who adopted “symphonic” characteristics in many chamber works, including even solo piano sonatas.

<sup>73</sup> Could this be because Beethoven’s audiences were more attentive? Reviews of his concerts would suggest so. Despite received wisdom, Nicolas Slonimsky’s gleeful selection of reviews, and the frequent mention in contemporary commentary of “bizarreries,” most of the early reviews of Beethoven’s works were favorable if not adulatory. See Robin Wallace, “Beethoven’s Critics: An Appreciation,” in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 2, 1–13, at 4. See also Nicolas Slonimsky, *Lexicon of Musical Invective: Critical Assaults on Composers since Beethoven’s Time*, 2nd ed. (Seattle: University of Washington Press, 1965), 42–52. In part, of course, this change must be a result of the changing aesthetic attitudes towards works of art between the last part of the eighteenth century and the first part of the nineteenth.

<sup>74</sup> Haydn used it only occasionally: in the Symphony No. 44 (“Trauer”) and in the Keyboard Sonata Hob. XVI: 47, which begins, uniquely, with an Adagio. Mozart wrote one violin sonata in E minor, K. 304, composed at a time of great loss. The slow

Example 22. Beethoven, String Quartet in E minor, Op. 59 No. 2, first movement, mm. 1–8

**Allegro**

The musical score shows the first eight measures of the piece. The tempo is marked 'Allegro'. The key signature is one sharp (F#) and the time signature is 8/8. The first two measures are marked with a forte (*f*) dynamic and contain a double bar line. From measure 3, the dynamics shift to pianissimo (*pp*). The Violin 1 part has a melodic line with a slur over measures 3-4. The Violin 2 part has a rhythmic accompaniment. The Viola and Violoncello parts also have rhythmic accompaniment with slurs. The score ends at measure 8.

by a double bar. But after this call to attention the one-measure rest creates ambiguity of scansion, and the ensuing ninth chord, additional measure rest, and turn to the Neapolitan (as in the “Appassionata” Sonata) serve only to emphasize this affect and spread it out into the realm of rhythm, meter, and key. The idea of a collage of disparate elements becomes a characteristic of the whole of the first movement, and the opening chords are echoed in the closing quiet chords of the tonic. Of the opening two chords, Joseph Kerman wrote: “As an alert, compressed, peremptory gesture the first two bars beat even the Fifth Symphony.”<sup>75</sup>

movement of Beethoven’s Fourth Piano Concerto, which may depict the struggles of Orpheus in the underworld, is in E minor. Beethoven’s Piano Sonata, Op. 90 (the last movement is in E Major), has a first movement that is compressed and epigrammatic, like the first movement of the quartet.

<sup>75</sup> Joseph Kerman, *The Beethoven Quartets*, 120. Oulibicheff was blunt about these measures: “Le commencement de l’allegro au fond, n’est point un thème. C’est une simple proposition rythmique.” Alexandre Oulibicheff, *Beethoven, ses critiques, ses*

More cogent, perhaps, would be a comparison with the Third Symphony's two opening downbeats in 3/4, *forte* and in the whole orchestra, which precede the famous opening melody, *piano* and in the low strings. These downbeats have been regarded as disrupting the scansion of the opening of the symphony.<sup>76</sup> But they also serve as an announcement, displaying the full resources of the orchestra, with full complement of winds, three horns, trumpets and drums, and establishing a registral span that "clears the air" for an unusual concentration on the soft low strings. The strings lay out horizontally the notes of the E $\flat$  chord that the beginning announced vertically. As Lewis Lockwood has shown, Beethoven originally planned a slow introduction for this movement, which was replaced by the two-chord opening.<sup>77</sup> The second striking element of this beginning is, of course, the anomalous C $\sharp$  in the melody line of the cellos, appearing as it does in the powerfully assertive E $\flat$  context. This note, with its immediate upward resolution to D at this point and downward resolution to C $\natural$  in the recapitulation, has captured

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*glossateurs* (Leipzig: Brockhaus, 1857), 197. See also Leonard Ratner, *The Beethoven String Quartets: Compositional Strategies and Rhetoric* (Stanford, California: Stanford Bookstore, 1995), 133–34. Lewis Lockwood characterizes Op. 59 No. 2 as a work of "visionary originality." See Lewis Lockwood and the Juilliard String Quartet, *Inside Beethoven's Quartets: History, Interpretation, Performance* (Cambridge, Massachusetts: Harvard University Press, 2008), 100.

<sup>76</sup> Walter Riezler discusses the phrasing of the opening in his *Beethoven*, trans. G. D. H. Pidcock (New York: Dutton, 1938), 247–50. Schenker saw the opening phrase as including the first two measures. See Heinrich Schenker, "Beethoven's Third Symphony: Its True Content Described for the First Time," in *The Masterwork in Music*, 10–68, at 12. See also Heinrich Schenker, *Der Tonwille 5* (Vienna: Gutmann, 1923), 18–19: "Beethoven's mastery here resides not in the first two [measures] alone but in the continuation, in this manner of continuing" (trans. Drabkin in Schenker, *The Masterwork in Music*, 12–13, n. 8.) David Levy has pointed out to me in private communication that the first statement of the opening theme to begin at the start of a four-measure phrase is at m. 37, *fortissimo*, and that the coda finally brings in four full eight-measure statements. See also Michael Lewanski, "On the Eroica Symphony's Opening Chords," <http://www.michaellewanski.com/blog/2014/12/29/on-the-eroica-symphonys-opening-chords> (accessed March 18, 2015). Edward Cone saw both opening measures as a "double upbeat." See Cone, *Musical Form and Musical Performance*, 23. David Epstein analyzes the macrocosmic upbeat/downbeat duality of the beginning. See David Epstein, *Beyond Orpheus: Studies in Musical Structure* (Cambridge, Massachusetts: MIT Press, 1979), 121–22. A. B. Marx and Alexandre Oulibicheff read the opening as a programmatic picture of Napoleon on the battlefield. See Adolf Bernhard Marx, *Ludwig van Beethoven: Leben und Schaffen*, 2 vols., 3rd ed. (Berlin: Janke, 1875), vol. 1, 245–61; and Oulibicheff, *Beethoven, ses critiques, ses glossateurs*, 173–80. On the other hand, Scott Burnham sees "the inability of the piece itself to get started in a convincing fashion" as a representation of un-heroic vacillation, and he interprets the opening as functioning "simultaneously as an introduction ... and as an exposition of the main theme." See Burnham, *Beethoven Hero*, 5. Michael P. Steinberg asserts that "the very opening of the *Eroica* can be heard to contain the proposition of its deconstruction, of the deconstruction of the heroic style and its rhetoric of subjective assertion." Michael P. Steinberg, *Listening to Reason: Culture, Subjectivity, and Nineteenth-Century Music* (Princeton, New Jersey: Princeton University Press, 2006), 75.

<sup>77</sup> See Lewis Lockwood, "Beethoven's Earliest Sketches for the 'Eroica' Symphony," *The Musical Quarterly* 67 (1981), 457–78.

the attention of critics since the work's publication; and its attendant harmony, which Tovey characterized as a "cloud," has been recognized by all as influencing the direction and development of the entire movement.<sup>78</sup> Schenker wrote that the "upward impulse" of this half-step is "the first breath of the movement – it remains from this point on essential in providing substance."<sup>79</sup> The last movement of the Seventh Symphony begins with two downstrokes like the beginning of the "Eroica," but here the downstrokes on strings are followed by reverberative echoes on trumpets, drums, and strings and are separated by a measure of silence. The downstrokes and the rhythmic outline of their echoes become part of the ensuing melody, so that the beginning is both an announcement and a foretaste.<sup>80</sup>

Beethoven's two enormous Sonatas, Op. 101 and Op. 106 (the "Hammerklavier"), from 1816–18, are both substantial four-movement works, with the "Hammerklavier" weighing in at nearly 1,200 measures. The beginning of Op. 101 seems to open up into something already begun. The powerful martial beginning of Op. 106 is suitably grand for a work of such scope (see Example 23). But its hammering, annunciatory, *fortissimo*, seven-voiced chords (launched into action by an energetic leap of a tenth) announce a harmonic building-block of the whole sonata as well as suggesting a hail to the dedicatee.<sup>81</sup> The second iteration of the announcement moves a third higher, and each phrase ends with a falling-third interval. These elements are found in every movement of the sonata. The second key of the first-movement exposition is in G Major – a third below the tonic B♭. The development moves immediately into E♭ – a third below G – with

<sup>78</sup> See the review in *Allgemeine musikalische Zeitung* 9 (February 18, 1807), 321–33, trans. in *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, vol. 2, ed. and trans. ed. and trans. Senner, Wallace, and Meredith, 20–32; Donald Francis Tovey, *Symphonies*, vol. 1 of *Essays in Musical Analysis* (London: Oxford University Press, 1935), 30; and Lawrence Earp, "Tovey's 'Cloud' in the First Movement of the *Eroica*: An Analysis Based on Sketches for the Development and Coda," in *Beethoven Forum* 2, ed. Christopher Reynolds, Lewis Lockwood, and James Webster (1993), 55–84. See also Epstein, *Beyond Orpheus*, 111–38; and Reinhold Brinkmann, "In the Time(s) of the 'Eroica,'" in *Beethoven and His World*, ed. Scott Burnham and Michael P. Steinberg (Princeton, New Jersey: Princeton University Press, 2000), 1–26, at 18.

<sup>79</sup> Heinrich Schenker, "Beethoven's Third Symphony: Its True Content Described for the First Time," in *The Masterwork in Music*, 30.

<sup>80</sup> The rushing melody closely resembles Beethoven's arrangement of the Irish folk-song "Save Me from the Grave and Wise," No. 8 of his Twelve Irish Folk-Songs, WoO 154, which is in the Mixolydian mode. See Lockwood, *Beethoven: The Music and the Life*, 231.

<sup>81</sup> In a pocket sketchbook that was lost at the end of the nineteenth century ("Boldrini"), there was a sketch for the opening of this sonata, under which Beethoven had written the words "Vivat Rudolphus," referring to the Archduke Rudolph, his patron (and student) and the dedicatee of many of Beethoven's most important works (the Fourth and Fifth Piano Concertos, the Violin Sonata, Op. 96, the Piano Trio, Op. 97, this sonata, the Sonata, Op. 111, and the *Grosse Fuge*). It occurs to me to wonder whether the actual musical rhythm of this beginning might have been fitted (in Beethoven's mind if nowhere else) to the words "Vivat Rudolphus Erzherzog!" See Nottebohm, *Zweite Beethoveniana*, 127–28; and Douglas Johnson, Alan Tyson, and Robert Winter, *The Beethoven Sketchbooks: History, Reconstruction, Inventory* (Berkeley, California: University of California Press, 1985), 347–50.



Example 23. Beethoven, Piano Sonata in B♭ Major, Op. 106, first movement, mm. 1–4

Allegro

ff

Ped.

a fugue on the announcement theme; it ends in F♯, also a third below the tonic B♭. The Scherzo returns to B♭ and is based on a simple figure of rising and falling thirds. The (unlabeled) trio section in B♭ minor uses the same figure on the same pitches (adjusted for the new key from D–F–D to D♭–F–D♭). The huge and hugely expressive Adagio sostenuto begins with rising thirds in octaves.<sup>82</sup> Its key is F♯ minor (a third below the key of the first movement), and it has a big central section in D Major – a third below the movement’s tonic. Finally, the massive fugue of the last movement is built on sixteenth-note descending runs starting on successive descending thirds; a countersubject is initiated by emphatic octave leaps; and the second subject – as smooth and contrasting as could be – is in D Major, a third above the tonic, and is made of a U-shaped contour outlining a third. Thus Beethoven’s annunciatory opening of the “Hammerklavier” is annunciatory not just of the grandeur of the Archduke but of the thoroughgoing internal architecture and key relationships of this monumental composition.

A special kind of Beginning as Call to Attention is the beginning of Beethoven’s *Grosse Fuge*. The opening of the *Grosse Fuge*, Op. 133, originally planned as the last movement of the String Quartet, Op. 130, starts with a six-voice unison G, spread over four octaves, *forte* and held with a fermata. As if this were not arresting enough, the music then launches – with a dramatic lengthening of the first note – into unison statements, *fortissimo*, of the two-half-step motto that dominates many of the last quartets. This beginning now presents a table of contents of what is to follow, although in reverse order.<sup>83</sup> Beethoven labels it “Overtura.” A second version of the motto follows in 6/8 rhythm. And then a third version in 2/4, marked “meno mosso e moderato,” in F, with a countersubject. Finally version 4 comes in first violin alone, at last in the tonic B♭, in halting, tied eighth notes, *sempre pianissimo*. Only then is the fugue unleashed, in a square, regular phrase structure with a new subject, incorporating a diminished fifth in its wild leaps and driven by unstoppable rhythmic verve and the power of a march. The halting version 4 of the motto becomes its countersubject. Each of these

<sup>82</sup> This opening was a last-minute addition. See p. 133, n. 144.

<sup>83</sup> The concept is borrowed from Ratner, *Classic Music*, 269. See also Ratner, *The Beethoven String Quartets*, 288.

elements is then explored in the course of the massive movement. Beethoven has used his “Overtura” as a special kind of Beginning as Call to Attention: a call to attention that lays out what is to come in a reverse table of contents.<sup>84</sup>

#### BEGINNING AS SONORITY

The use of a particular sonority can make a special effect at the beginning of a movement, and the effect is enhanced by the rarity of its use. The slow movement of Haydn’s String Quartet, Op. 1 No. 6, utilizes two special effects simultaneously: the first violin sings its wide-ranging expressive aria *con sordino* throughout, while the lower strings play pizzicato throughout. The unison beginning of the slow movement (Adagio) of Haydn’s String Quartet, Op. 20 No. 2, with its dotted rhythms, wide leaps, and low tessitura in a dramatic C minor, projects an orchestral sonority.<sup>85</sup> The complete transformation of this beginning four measures later, with the cello playing the same theme softly against reiterated sixteenths, points up Haydn’s remarkable ear for sound as expression. A wonderful contrast of sonority occurs at the beginning of Haydn’s Piano Trio, Hob. XV: 28, in E Major. The first movement begins with the violin and cello playing pizzicato against the piano’s staccato (right hand in unison with the violin, left with the cello). This is followed by the piano singing out *cantabile* and *legato*, alone but richly ornamented chromatically in both hands.

The finale of Haydn’s String Quartet, Op. 50 No. 6, begins with a violin technique known as *bariolage*: playing a rapid alternation of two strings, one open, one stopped (see Example 24). It is a remarkable and striking sound<sup>86</sup> (here utilized, as often, on unison pitches), which, needless to say, is featured prominently throughout the movement, most especially at the end, when Haydn calls for it on the three upper strings simultaneously over a chromatic and then oscillating cello.<sup>87</sup>

Often the trio of a work – a new beginning – is marked out by special sonority: thinner texture, for example, or higher tessitura. In the case of the Trio of

<sup>84</sup> Barbara Barry, citing Maynard Solomon’s comment “In the openings of certain of his greatest works, Beethoven deliberately eradicates the implication of a safe haven” (Solomon, *Late Beethoven*, 15), describes the “Overtura” as anticipating later events but also as deliberately deflective, creating wrong-key stability, which is only resolved to the correct key in the coda. See Barbara Barry, “Out of this World: Modelling Beethoven’s *Grosse Fuge* in the Bubble-Wrap Universe,” *The Musical Times* 196 (2015), 33–48.

<sup>85</sup> David Young has pointed out the similarity of this beginning to that of the slow movement of Beethoven’s Fourth Piano Concerto. See Young, “The Slow Movements,” 66. C minor evoked drama and intensity in Haydn. See also the slow movement of the String Quartet, Op. 54 No. 2, with a beginning that is also low in range, thickly scored, and largely homophonic.

<sup>86</sup> Hence the nickname for this quartet: “The Frog.” Beethoven calls for this technique at the end of the first movement of his String Quartet, Op. 132.

<sup>87</sup> The insistent notes on A reflect the repeated pitches at the beginning of the slow movement and the Minuet and the Trio.

Example 24. Haydn, String Quartet in D Major, Op. 50 No. 6, finale,  
(a) beginning; (b) ending

a) **Allegro con spirito**

Violin 1  
Violin 2  
Viola  
Violoncello

5

b)

240

*p* *pp* *p* *pp* *p* *pp* *p* *pp*

Haydn's String Quartet, Op. 20 No. 6, the second violin is silent throughout, but the first strain has the remaining instruments playing throughout on their lowest strings, *sopra una corda*, lending a sense of darkness and pallor to the sound. In the Trio of Haydn's String Quartet, Op. 9 No. 4, only the two violins play, but the first violin plays double stops throughout, toying with the listeners'

apprehension of the texture. And a rare passage of *glissando* emphasizes the rustic character of the Trio of Op. 33 No. 2.

Beethoven frequently establishes a Beginning as Sonority. His Op. 20 begins with a delicious sound. This is the Septet for clarinet, bassoon, horn, violin, viola, cello, and contrabass, whose performing complement of only one instrument of each kind combines the suavity of strings with the richness of winds, and whose beginning lays out this sonority in a striking four-octave Eb chord. The piece was closely imitated by Schubert, over twenty years later, who added a second violin to the mix.

The second movement of Beethoven's String Quartet, Op. 59 No. 3, opens with the cello's low pizzicato ringing out *forte*, alone, as the movement begins. The pizzicato forms a persistent motive throughout the movement, and the last eight measures feature the cello plucking the melodic line against sustained chords in the higher strings up to the end of the movement. In the third movement of the String Quartet, Op. 127, however, the opening pizzicato is in all four instruments, and, after the opening four beats, it never returns.

Another remarkable sonority marks the opening Allegro of Beethoven's cantata, *Der glorreiche Augenblick*, Op. 136 (but composed 1814), which presents an unusual combination of solo soprano, solo violin, chorus, and orchestra – a combination that seems to have intrigued Beethoven, because we find it in *Die Weihe des Hauses*, Op. 124, and (with the other solo singers) in the Benedictus of the *Missa Solemnis*.<sup>88</sup> Beethoven's Mass in C, Op. 86, was commissioned by the grandson of Haydn's employer, Prince Nikolaus Esterházy, for a celebration in honor of his wife's name day at the prince's palace at Eisenstadt. Naturally Beethoven had Haydn very much on his mind for this work,<sup>89</sup> and the Beginning as Emulation nods towards Haydn's *Nicolaimesse*. Haydn's Mass was composed *circa* 1772 but had been recently revised. Both themes are contained in the span of a sixth. Haydn sets his opening in parallel thirds, first in the violins and then

<sup>88</sup> See Denis McCaldin, "The Choral Music," in *The Beethoven Reader: A Symposium by Leading Scholars*, ed. Denis Arnold and Nigel Fortune (New York: Norton, 1971), 387–410, at 391.

<sup>89</sup> He copied some passages of Haydn's *Schöpfungsmesse* into his sketchbook, and the Mass in C appears also to lean on Haydn's *Missa in tempore belli*, which is also in C. See Lockwood, *Beethoven: The Music and the Life*, 272; Jeremiah McGrann, "Beethoven's Mass in C, Opus 86: Genesis and Compositional Background" (Ph.D. dissertation, Harvard University, 1991); and Jeremiah McGrann, "An Exegesis of the Kyrie from Beethoven's Mass in C, Opus 86," *Religion and the Arts* 2 (1998), 182–220. Although Beethoven published only two liturgical works during his lifetime, his interest in church music, which may have been formed during his youthful employment as organist at the Bonn court, stayed with him throughout his life. Julia Ronge has shown that the sketchbooks contain multiple ideas and plans for sacred genres, including Mass movements, psalm and hymn settings, in all periods of his career. See Julia Ronge, "Beethoven's Unfinished Plans for Latin Church Music," unpublished paper delivered at the Fifth International New Beethoven Research Conference, Louisville, Kentucky, November 11–12, 2015.

in the sopranos and altos (see Example 25a); Beethoven opens with the sonority of sopranos and altos in parallel thirds (see Example 25b). And Beethoven, perhaps thinking even further of the Trinitarian symbolism of the three-part Kyrie–Christe–Kyrie Mass Ordinary movement, uses a key (E Major) for the Christe

Example 25. (a) Haydn, *Nicolaimesse*, Kyrie, mm. 9–10; (b) Beethoven, *Mass in C*, Op. 86, Kyrie, mm. 1–5

a) [Allegro moderato]

S  
Solo  
Ky - ri - e e - lei - son

A  
Solo  
Ky - ri - e e - lei - son

T

B

*p*

b) *Andante con moto assai vivace quasi allegretto ma non troppo*

S  
*p* Ky - ri - e e - lei - son,

A  
*p* Ky - ri - e e - lei - son,

T  
*p* Ky - ri - e

B  
*p* Ky - ri - e e - lei - son,

that is a third away from the C Major of the two Kyries.<sup>90</sup> The Gloria is modeled on a different Mass of Haydn's: the Mass in B♭, Hob. XXII: 13 (*Schöpfungsmesse*), of 1801.<sup>91</sup>

Fifteen years later, perhaps recalling this Beginning as Tribute, as well as harking back to an ancient tradition, Beethoven reiterates the Trinitarian impulse in the beginning of his *Missa Solemnis*. In the opening Kyrie, there are three statements by the chorus and three by the soloist. The Christe (in the relative minor) is a third below the Kyries.

#### BEGINNING AS TEXTURE

Texture can provide a striking effect at beginnings, and in this, as in so much else, Beethoven learned much from Haydn and Mozart. Haydn displays a special awareness of texture especially at the beginnings of his string quartets. He came of age at a time when early string-quartet texture was oriented primarily towards silhouetting the first violin against the other strings, but he enhanced and enriched this tradition.<sup>92</sup> The beginning of the Minuet of the String Quartet in F Major, Op. 50 No. 5, for example, features the first violin alone, and the first violin dominates the whole of the Minuet. But sometimes Haydn's establishment of the violin alone as the leading voice is a strategy that anticipates a reversal later in the movement. The beginning of the last movement of the String Quartet, Op. 76 No. 6, features the first violin in descending staccato gestures, which are punctuated by *forte* chords on the lower strings. At the beginning of the development the staccato gestures now appear on the cello, and the upper strings hammer out the chords, now double- and triple-stopped and frightening in their contrasting, higher-register intensity.<sup>93</sup>

The beginning of the String Quartet, Op. 64 No. 5, in D Major, features the lower strings only, saving the first violin for later (see Example 26). Preparation is made by keeping the three other strings low in range, sparse in texture, and non-affective in melodic outline, so space can be reserved in the upper register for the "lark" song, which thus bursts out with special *éclat*. Our delight is increased by our noticing that the sparse beginning measures are now repeated as accompaniment.

<sup>90</sup> See McCaldin, "The Choral Music," 395–96. Paul Ellison (*The Key to Beethoven*, 325–26) suggests that the keys represent respectively "the purity of God the Father" and "supplication to God the Son."

<sup>91</sup> See McGrann, "Beethoven's Mass in C, Opus 86," 202–11.

<sup>92</sup> The French quartet tradition was particularly lively in the mid to late eighteenth century, with composers such as Cambini, Chartrain, Dalayrac, Daveaux, St. Georges, Gossec, Vachon, and Viotti producing a large number of *quatuors concertants*. See Janet Levy, "The Quatuor Concertant in Paris in the Latter Half of the Eighteenth Century" (Ph.D. dissertation, Stanford University, 1971); and Ratner, *Classic Music*, 126.

<sup>93</sup> See Grave and Grave, *The String Quartets of Joseph Haydn*, 36–37.

## Example 26. Haydn, String Quartet in D Major, Op. 64 No. 5, mm. 1–12

## Allegro moderato

The musical score is presented in four systems, each with four staves. The instruments are Violin I (Vln I), Violin II (Vln II), Viola (Vla), and Violoncello (Vc). The key signature is D major (two sharps) and the time signature is common time (C). The tempo is marked "Allegro moderato".

**System 1 (mm. 1-4):** Vln I is silent. Vln II and Vla play a rhythmic eighth-note pattern starting in the second measure, marked *p*. Vc is silent in the first measure and enters in the second measure with the same eighth-note pattern, also marked *p*.

**System 2 (mm. 5-8):** Vln I remains silent. Vln II and Vla continue their eighth-note pattern. Vc plays a simple bass line of quarter notes. In the final measure (m. 8), Vln II has a dynamic marking of *mf* and plays a half note.

**System 3 (mm. 9-12):** Vln I enters in the first measure with a half note, followed by a melodic line in the second measure. Vln II and Vla continue their eighth-note pattern. Vc continues its bass line. The piece concludes in the fourth measure with a final chord in Vln I.

Occasionally the establishment of a Beginning as Texture in Haydn's quartets signals a movement whose principal characteristic seems to be an obsession with textural contrast. In the third movement (Largo sostenuto) of Op. 33 No. 2, textural contrast, announced by the beginning, evolves into the guiding principle of the movement. And the beginning of the first movement of Op. 50 No. 5 creates a crescendo of texture (see Example 27).<sup>94</sup>

Example 27. Haydn, String Quartet in F Major, Op. 50 No. 5, first movement, mm. 1–8

**Allegro moderato**

The musical score is presented in two systems. The first system covers measures 1 through 4, and the second system covers measures 4 through 8. The tempo is marked "Allegro moderato". The key signature is one flat (F major), and the time signature is 2/4. The instruments are Violin 1, Violin 2, Viola, and Cello. Dynamics range from piano (*p*) to forte (*f*).

A beginning that features an unexpected instrument (viola or cello) alone is an assertion of independence, a rebalancing of quartet voices, and (as a result) an intensification of polyphonic promise. A different strategic beginning occurs when an instrument is absent from the texture. Particularly when that instrument is the first violin, the sense of absence is strong, and the beginning calls for

<sup>94</sup> Hans Keller called this "a subtle climax of quartet textures." Hans Keller, *The Great Haydn Quartets: Their Interpretation* (London: Dent, 1986), 103.



a resolution at the return of the missing instrument.<sup>95</sup> On the other hand, a rich interchange of the four voices at the beginning of a movement, like that of the first movement of Op. 42, establishes a potential equality of leadership.

Texture can provide an explanation for formal manipulation. The beginning four measures of the Trio of Haydn's Op. 50 No. 5 surprisingly repeat the theme that began the preceding Minuet. However, the unison texture (following a solo violin passage), the *forte* dynamics replacing *piano*, and the shift into the tonic minor prevent our mistaking it for a misplaced repetition of the Minuet.<sup>96</sup>

Often a work begins with an additive strategy: gradually adding instruments to create the sonority of a full quartet. But the reverse is sometimes the case, as at the beginning of Haydn's String Quartet, Op. 54 No. 2, which starts out with all four instruments, *forte*, and then thins out to three voices – which is really two, for it is made up of a duet of the two violins with the first violin double-stopping – and then just one voice, with the first violin alone *piano* for two beats. This five-measure decrescendo of texture is concluded by a texture of nothing, since the sixth measure is empty.

Fugal beginnings are announced by their texture.<sup>97</sup> Haydn wrote fugues for the finales of Op. 20 No. 2, in C Major (self-importantly headed “Fuga a 4 soggetti”), Op. 20 No. 5, in F minor (“Fuga a due soggetti”), and Op. 20 No. 6, in A (“Fuga a 3 soggetti”), but in each case it is the beginning texture of one or two voices and the beginning profile of the subject that tells the listener how the movement is to be constructed.<sup>98</sup> In addition, the beginning of each quartet – in other words, each quartet's first movement – influences the style of the fugue that ends it.<sup>99</sup> For example, the serious and complex first movement of Op. 20 No. 5 is completed by the difficult, exploratory fugal finale; and the connection is similarly evident with the lighter (and more lighthearted) A-Major Quartet, Op. 20 No. 6; though it is perhaps less so with Op. 20 No. 2. In a later F-minor quartet, Op. 55 No. 2, it is in the Minuet, a place one would least expect it, that a clear double fugue is set out as the beginning. It is the contrapuntal entries of the first violin and viola alone for the first twelve measures that announces the

<sup>95</sup> A textural rarity at beginnings is provided by duets, e.g. the beginning of the finale of Op. 9 No. 3 and the Trio of Op. 33 No. 3.

<sup>96</sup> The trios of other quartets in the set refer back to their minuets, though less overtly. No. 3 in E $\flat$  has similar rhythmic profiles and rising phrases in each place; No. 2 in C outlines a wide arpeggio, falling in the Minuet and rising in the Trio. See Sutcliffe, *Haydn String Quartets, Op. 50, 57–58*.

<sup>97</sup> See Janet Levy, “Texture as a Sign in Classic and Early Romantic Music,” *Journal of the American Musicological Society* 35 (1982), 482–531.

<sup>98</sup> Ending a chamber work with a fugue was traditional in mid-century Vienna. See Warren Kirkendale, *Fugue and Fugato in Rococo and Classical Chamber Music*, 2nd rev. ed., trans. Margaret Bent and Warren Kirkendale (Durham, North Carolina: Duke University Press, 1979), 141–45.

<sup>99</sup> See Webster, *Haydn's “Farewell” Symphony and the Idea of Classical Style*, 294.

form. Another beginning that announces itself as fugue is the finale of Haydn's Op. 50 No. 4, in F# minor. Here the four entries a fifth apart, evenly separated by two measures, leave no doubt as to what the beginning portends. These special textural occasions also establish a measure of (temporary) equality among the instrumental voices.

A fugato can sometimes seem humorous. After a four-measure slow introduction, the beginning of the first movement of Haydn's String Quartet, Op. 71 No. 2, is marked by a fugato in such close stretto that it is almost parodistic (see Example 28). An exact repetition four measures later underscores the parody. After a three-chord call to attention, the beginning of Op. 76 No. 1 is definitely a parody. The first three entries are on the same pitch; the instruments drop out after their subject statements; the third entry (on second violin) is accompanied by a counter subject on the cello that is almost an inversion of the subject; and the fourth entry (on first violin) comes a tone too high. But contrapuntal texture is usually serious. The height of serious (and perhaps seriously self-conscious) contrapuntal texture comes in the last movement of Mozart's Symphony No. 41, K. 551, where five themes are combined in the coda in a contrapuntal *tour de force*.

Example 28. Haydn, String Quartet in D Major, Op. 71 No. 2, first movement, mm. 5–6

**Allegro**

Beethoven similarly utilized texture to create notable beginnings. The beginning of his Piano Sonata, Op. 2 No. 3, is marked by its turn figure, by its rhythmic profile, and by its abrupt end and immediate sequence (see Example 29).<sup>100</sup> (The beginning of the second-movement Adagio reprises these elements.) But

<sup>100</sup> Lewis Lockwood points out that this figure is similar to that used at the beginning of the String Quartet, Op. 18 No. 1. See Lockwood, *Beethoven: The Music and the Life*, 99.

Example 29. Beethoven, Piano Sonata in C Major, Op. 2 No. 3, first movement, mm. 1–4

**Allegro con brio**

The musical score shows the first four measures of the piece. The right hand begins with a piano (p) dynamic, playing a melodic line that features eighth-note triplets and quarter notes. The left hand provides a harmonic accompaniment with chords and single notes. The tempo is marked 'Allegro con brio'.

these observations are insufficient to characterize the beginning of this sonata's first movement without noting the texture – the doubling in thirds for both the motive and its sequential reiteration.<sup>101</sup> Wallace Berry writes of this phenomenon: “[W]hen the particular qualities of texture are so vital a factor in the identity and interest of thematic-motivic material ... it seems plausible to think and speak of texture as ‘motivic.’”<sup>102</sup> The melodic and rhythmic essence of this beginning provides material for the first key area exposition and much of the development, but it is the motive's expression in thirds that Beethoven saves as a signpost, and that duly signals the arrival of the recapitulation as well as the beginning of the coda, for it appears nowhere else.

The beginning of the C-Major Piano Concerto, Op. 15, derives its rhetorical effect from the strings-only beginning – *pianissimo* for the first twelve measures – and from its staccato, homophonic texture. The slow movement of Beethoven's String Quartet, Op. 18 No. 1, opens with a single 9/8 measure in the lower strings (see Example 30). But in part what is captivating about this measure is its texture: a low triple-grouped brushing, *mezzo-staccato* and *pianissimo*, establishing the anticipatory atmosphere and leaving registral space for the entry of the first violin, first mid-range and then gradually ascending into song, while the hushed accompaniment continues beneath. First-violin virtuosity returns in the Trio and at the beginning of the finale of this quartet. It is texture that rules the contrast among all four movements: the first with its migrating motto, the second focusing on song texture, the third homophonic (with a first-violin-dominated Trio), and the fourth beginning with the first violin in the spotlight and developing into shared counterpoint.

The anticipatory quality of the finale of Beethoven's String Quartet, Op. 18 No. 2, is signaled in part by its texture. A solo cello expounds a brief four-measure phrase, answered by all four instruments, ending on the dominant. Now the cello phrase and its answer move to vi. Two two-measure phrases lead to the “real” beginning at measure 21, when the tonic arrives and the instruments

<sup>101</sup> Rosen refers to this feature of the opening only as “famously awkward to play.” See Rosen, *Beethoven's Piano Sonatas*, 128.

<sup>102</sup> Wallace Berry, *Structural Functions in Music* (1976; rev. ed. New York: Dover, 1987), 254.

Example 30. Beethoven, String Quartet in F Major, Op. 18 No. 1, second movement, mm. 1–5

**Adagio affettuoso ed appassionato**

The musical score is presented in two systems. The first system contains measures 1 through 3. The second system contains measures 4 and 5. The instrumentation includes Violin 1 (Vln 1), Violin 2 (Vln 2), Viola (Vla), and Cello (Vc). The key signature is one flat (F major), and the time signature is 3/8. The tempo and mood are indicated as 'Adagio affettuoso ed appassionato'. Dynamics include *pp* (pianissimo) and a crescendo.

are paired – the two violins in octaves over repeated eighths in viola and cello. Dynamics – *piano* in the opening and a rapid crescendo to *forte* at the “real” beginning – reinforce the textural rhetoric. The solo violin in long notes marks the beginning of the String Quartet, Op. 18 No. 3, as tentative, but the ensuing dominant harmony and the rich cadence in mm. 8–10 resolve into certainty.<sup>103</sup> Texture dominates the grand operatic style of the beginning of the first movement of Beethoven’s String Quartet, Op. 18 No. 4, the dramatic minor-mode member of the opus. Low-string bowing on the first violin, homophonic accompaniment in the middle strings, and pulsating pedal eighth notes on the cello create the somber drama. And it is texture that creates the continuing drama of the punctuating incisives of triple-stopped chords only a few measures later. The

<sup>103</sup> See Ratner, “Texture: A Rhetorical Element,” 53.

mock-fugato entries of the finale of Beethoven's String Quartet, Op. 18 No. 5 (see Example 31a) – a quartet that throughout is modeled on Mozart's String Quartet, K. 464 – establish the festive *commedia dell'arte* atmosphere while tipping the hat to the finale of Mozart's "Prague" Symphony – a similarly *buffa* concoction (see Example 31b).

The beginning of the "Eroica" Symphony is notable for its two-chord, full-orchestra opening and its sudden drop to strings-only song texture, prominent cellos giving way to leading violins. The strings are without contrabasses and are joined by woodwinds only for the last two measures of the twelve-measure

Example 31. (a) Beethoven, String Quartet in A Major, Op. 18 No. 5, fourth movement, mm. 1–2; (b) Mozart, Symphony No. 38 ("Prague") in D Major, K. 504, last movement, mm. 1–5

a) **Allegro**

b) **Presto**

phrase.<sup>104</sup> The weirdness of the “*Introduzione*” to Beethoven’s String Quartet, Op. 59 No. 3, is derived from its beginning with a long diminished-seventh chord in close harmony, its strange progressions, appoggiaturas on the upbeat, and *sempre pp* dynamics, but also from its long-held homophonic texture, whose eerie smoothness admits no melodic gesture, only chromatic sliding and a gradual separation of high and low. The slow movement of the Fourth Symphony brings its drum motive (heard first on strings) out in front in the first measure, but the motive continues as accompaniment, as counterpoint, and even as principal motive during the remainder of the movement (see Example 32).

Example 32. Beethoven, Fourth Symphony in B $\flat$  Major, Op. 60, second movement, mm. 1–2

**Adagio**

Fl, Ob,  
Cl, Bn,  
Tpt, Timp

Vln 1

Vln 2

Vla

Vc

Cb

*p*

*cantabile*

*p*

The emphatic nature of the last movement of the Fifth Symphony is underlined by the tutti texture, the full orchestra being augmented for the first time by trombones at the center of the sound, while the outer edges are expanded

<sup>104</sup> The whole beginning movement of the “*Eroica*” was described as “very strongly scored.” See “Vienna, 28 January,” *Allgemeine musikalische Zeitung* 7 (February 13, 1805), 321–22, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 168. Wallace points out that “the opening of Beethoven’s “*Eroica*” Symphony may be the first passage in orchestral music to feature the entire cello section independently of the basses as a vehicle for thematic statement.” See *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, vol. 2, 79, n. 5.

(again for the first time in the work) by the sounds of piccolo and contrabassoon.<sup>105</sup> The effect of this overpowering texture is heightened by the joining of the last movement directly onto the end of the Scherzo without a pause. At the beginning of the Allegro of the *Egmont* overture, Beethoven divides the strings into five parts, giving the melody to the cellos and the bass line to the contrabasses. Pastoral drones naturally dominate the Sixth Symphony, especially the first and last movements, but it is the homophony of the 12/8 string murmuring that makes the second movement work. Beethoven creates six voices here, with the melody in the first violins, pizzicato cellos and basses, and a four-voice texture in the middle, with second violins, violas, and two solo cellos, for the ongoing murmur of the brook.

Notable texture can involve either redundancy or deficiency of instrumentation. In general, the traditional texture of church music was one in which all the voices were doubled at pitch by instruments. The effect can be heard in many of Haydn's Masses, in Mozart's Mass in C minor, K. 427, and in Beethoven's *Missa Solemnis*, Op. 123, though Beethoven, typically, uses the winds and brass more frequently than the strings favored by his predecessors. Many beginning passages in the *Missa Solemnis* are striking for their texture in other ways. The "Praeludium" (the second part of the Sanctus) has flutes and violas doubled, accompanied by *divisi* cellos, bassoons, and contrabasses, with no violins and no voices. This mystical texture "clears space" for the entry of a solo violin, ethereally alone with high flutes, preparing the way, in turn, for low horns and the choral basses intoning "Benedictus." The *Dona nobis pacem* establishes yet another new texture, with wind instruments lightly decorating the held notes of voices with horns.<sup>106</sup>

In some works, Beethoven, like Haydn, took advantage of the technique of leaving out instruments in order to create anticipation. At the beginning of both the second (Andante cantabile) and third (Rondo: Allegro ma non troppo) movements of the Quintet for Piano and Winds, Op. 16, Beethoven has the piano play alone for the first eight measures, thus making the arrival of the winds a resolution of absence. (In both cases, the peroration of the previous movement includes all the players.) A most unusual texture at the beginning of the last movement of the String Quartet, Op. 59 No. 1, has the modal cello theme (D minor with C#s) placed against a first-violin trill between C and D. The other instruments do not enter until the Cs have turned to C#s and seven measures have elapsed. The exquisitely crafted opening theme of the Cello Sonata, Op. 69,

<sup>105</sup> "At the outset of the Finale, all earthly burdens fall away, and the victorious spirit soars into the sun-filled transparent ether of eternal freedom." Johann Aloys Schlosser, *Ludwig van Beethoven: Eine Biographie desselben, verbunden mit Urtheilen über seine Werke* (Prague: Buchler, Stephani, and Schlosser, 1828), 84, trans. in Ian Bent, ed., *Music Analysis in the Nineteenth Century*, vol. 1: *Fugue, Form, and Style* (Cambridge, UK: Cambridge University Press, 1994), 311.

<sup>106</sup> See Ratner, *Classic Music*, 180; and Lockwood, *Beethoven: The Music and the Life*, 410.

Example 33. Beethoven, Cello Sonata in A Major, Op. 69, first movement, mm. 1–8

**Allegro ma non troppo**

Vc

*p dolce*

Pf

5

*p dolce*

comes on cello alone, and is answered (gently) by the piano (see Example 33). This beginning does many things. It establishes the cello as the principal voice of the duo, or at least as *primus inter pares*, bringing to fruition Beethoven's scheme to elevate the cello as a solo instrument, capable of independent expression and technique – a scheme begun earlier with the Op. 5 Cello Sonatas and the Triple Concerto for Piano, Violin, and Cello, Op. 56;<sup>107</sup> it projects the ethos of grandeur, beauty, and lyrical line that characterizes the entire sonata but especially the first movement; and it creates anticipation for the entry of the cello's partner, which is not to arrive until after six measures.

Beethoven's fugues are, of course, also marked by their distinctive beginning texture of spaced solo entries, such as at the beginning of the String Quartet, Op. 131, the sudden fugue of the last movement of the Piano Sonata, Op. 110, and the fugue of Op. 133, but in some of them, additional textural elements add to the special effect. The fugal last movement of the String Quartet, Op. 59 No. 3, gains its impetus from the beginning, in which the subject is laid out *allegro molto* by the solo viola, with unstoppable eighth notes and a statement

<sup>107</sup> In the Triple Concerto, the cello is the first voice heard in all three movements, and it is the cello that leads the *Largo* second movement *attacca* into the finale.



that goes on for ten measures. Later, the need for power overcomes the rules of counterpoint, as Beethoven doubles the parts, with first and second violins in octaves playing against viola and cello in octaves (m. 31). The Handelian fugue of the *Consecration of the House* overture, Op. 124, begins with trumpets and drums alone, in stark contrast to the full orchestral texture of the introductory passage.

The beginning of the slow movement of Beethoven's String Quartet in E $\flat$ , Op. 74, combines textures by balancing the exquisite singing of the first violin against the counterpoint of the lower strings (see Example 34). Note also the extraordinary subtlety of the way that the texture glides into homophony to underline gently the cadence at measures 8 and 9.

Example 34. Beethoven, String Quartet in E $\flat$  Major, Op. 74, second movement, mm. 1–9

Adagio ma non troppo

The musical score consists of two systems of staves. The first system shows measures 1 through 4. The second system shows measures 5 through 9. The parts are labeled Vln I, Vln II, Vla, and Vc. The key signature is E $\flat$  major (three flats) and the time signature is 3/8. The tempo is 'Adagio ma non troppo'. The first violin part is marked 'cantabile' and features a melodic line with a long slur. The second violin, viola, and cello parts are marked 'mezza voce' and provide counterpoint. The score shows the transition from a complex counterpoint texture to a more homophonic texture by measures 8 and 9.

It is the perpetual homophony of the first twenty-six measures of the Allegretto of the Seventh Symphony that makes its hushed rhythm so compelling and the arrival of the legato melody in counterpoint on violas and cellos in measure 27 so wondrous. The slight mystery of the beginning of Beethoven's Piano Sonata, Op. 28, is created by its quietly insistent pedal Ds and the distant spacing of the chords in the right hand. The power of the beginning of the "Hammerklavier" Sonata comes from its deep eighth-note anacrusis and the texture of the reiterated seven-voice chords. The rich emphatic chordal Maestoso at the beginning of Beethoven's String Quartet, Op. 127, is notable primarily for its texture, and texture marks its recognizable return in G at the beginning of the development and in C during the development, where it brilliantly exploits the open strings of the viola and cello. The Webernesque beginning of Beethoven's String Quartet, Op. 135, is entirely dependent upon its texture, a collage of tiny gestures, widely spaced in register, which is disparate and disorienting. The beginning of the last movement of Beethoven's Piano Trio, Op. 1 No. 1, derives its *joie de vivre* from the texture of leaping octaves in piano right hand alone, standing in contrast to the full-trio chords at the end of the previous movement (see Example 35). And the solemnity of the luminous theme for the last movement of the Piano Sonata, Op. 109, is drawn not only from its link to Bach's "Goldberg" theme, its andante tempo, its *mezza voce* dynamics, and its stately sarabande rhythm, but also from the close homophonic texture and gentle but inevitable contrary motion between the hands.

Example 35. Beethoven, Piano Trio in E $\flat$  Major, Op. 1 No. 1, last two measures of Scherzo and first four measures of finale

**[Allegro assai]**

219

Vln

Vc

Pf

ri - tar - dan - do

**Presto**

*p*

*All'unisono* provides special emphasis as a beginning texture.<sup>108</sup> Antecedents to Beethoven's use of the texture include the French-overture-style opening of the slow introduction to Mozart's Symphony No. 36 ("Linz"), which features unison texture, adding fifths only for the *tenuto* chords. Similarly, the slow introduction to Mozart's Symphony No. 38 ("Prague") begins with unison texture, so that by contrast the full chords of measure 4 that enunciate V/vi-vi seem unusually rich. The unison opening of Mozart's String Quartet, K. 590, establishes a classic Mozartean contrast: a *forte* antecedent phrase answered by a *piano* consequent phrase (see Example 36). But here the contrast is made more interesting

Example 36. Mozart, String Quartet in F Major, K. 590, first movement, mm. 1–6

**Allegro moderato**

The musical score consists of two systems. The first system contains measures 1 through 6. The second system contains measures 4 through 6. The instruments are Violin 1 (Vln 1), Violin 2 (Vln 2), Viola (Vla), and Violoncello (Vc). The key signature is one flat (F major), and the time signature is common time (4/4). The tempo is marked **Allegro moderato**. Dynamics are indicated by *p* (piano) and *f* (forte). The score shows a unison texture in measures 1-2, followed by a contrast in measure 4 where the strings play chords and the violins play a melodic line.

<sup>108</sup> *All'unisono* refers to octave doublings also. Floyd Grave and Margaret Grave write that "situations in which individual lines coalesce for a moment in blended harmony or unison declamation may give the impression that the ensemble has reached full agreement and is speaking as a single, unanimous voice." See Grave and Grave, *The String Quartets of Joseph Haydn*, 26.

by several features: the phrases are each three measures in length; the first measure of the first phrase is actually *piano*; and the antecedent is in unison, while the consequent is contrapuntal.

Mozart's Piano Concerto, K. 467, is in C Major, but its somber unison opening, low in the strings, suggests otherwise (see Example 37). After four measures, harmony returns, and after eleven measures comes a fully orchestrated and polyphonic version of the opening theme.

Example 37. Mozart, Piano Concerto in C Major, K. 467, first movement, mm. 1–4

**Allegro maestoso**

The unison beginning of Haydn's String Quartet, Op. 74 No. 3, gains its nickname "Rider" or "Horseman" from its opening unisons, triple meter, and grace notes on beats 2 and 3 of the beginning (see Example 38).

Unison texture marks another G-minor opening for the finale of Haydn's String Quartet, Op. 76 No. 1. The quartet is in G Major, but most of the last movement is in the minor. The beginning of this last movement is a strong unison, marked by triplet upbeats, *staccato* downward leaps, and trills, and every note stresses the minor key.

A unison followed by harmony is a move from a certain kind of simplicity (and it can be of many kinds) towards greater complexity, as our ears take in the arrival of harmonic richness. After the opening chord of Haydn's Piano Trio Hob. XV: 24, the violin and piano right hand play in unison for the first eleven measures. When, after the downbeat of measure 11, the violin begins a new phrase, accompanied by Alberti bass in the piano left hand, we are struck by its independence. The opening two measures of Beethoven's String Trio, Op. 9 No 1,

Example 38. Haydn, String Quartet in G minor, Op. 74 No. 3, first movement, mm. 1–8

**Allegro**

The musical score consists of two systems. The first system contains measures 1 through 4, and the second system contains measures 5 through 8. The key signature is G minor (two flats) and the time signature is 3/4. The tempo is marked 'Allegro'. The first four measures (mm. 1-4) show a unison texture where all four instruments play the same melodic line. The dynamic is marked 'f' (forte). The last four measures (mm. 5-8) show a counterpoint texture where the instruments play different parts. The dynamic is also marked 'f'.

are in unison (see Example 39). They are followed by sixteenth-note solo-violin gestures answered by brief comments on viola and cello in unison. Only in measure 6 does the music flourish into counterpoint.

It is the unison texture of the descending dotted-rhythm arpeggios that creates the sense of strut at the beginning of Beethoven's early B $\flat$  Piano Concerto, Op. 19 – a sense that contrasts strikingly with the ensuing legato phrase in song texture on strings alone.<sup>109</sup> A quiet C-minor unison rising arpeggio also opens the first movement of Beethoven's Third Piano Concerto. The theme itself continues with a descent, filling in the scale, and ends with dotted rhythms, all in unison. These three motivic cells, presented in the first four measures, dominate the whole movement. The somber character of the beginning of the

<sup>109</sup> This contrast – and the materials used to create it – is an echo of the beginning of Mozart's Piano Concerto, K. 595.

Example 39. Beethoven, String Trio in G Major, Op. 9 No. 1, first movement, mm. 1–7

**Adagio**

The musical score is for three staves: Violin (Vln), Viola (Vla), and Cello (Vc). The key signature is one sharp (F#) and the time signature is common time (C). The tempo is marked **Adagio**.  
 Measures 1-2: All three instruments play a unison melody starting with a quarter note G4, followed by an eighth-note triplet (A4, B4, C5), and then a quarter note D5. Dynamics are *ff* in the first measure and *sf* in the second.  
 Measures 3-4: The texture changes. The Violin and Cello play a sixteenth-note triplet (D5, E5, F#5) followed by a quarter note G5. The Viola plays a half note G4. Dynamics are *sf* for the Violin and Cello, and *pp* for the Viola.  
 Measures 5-7: The texture continues. The Violin and Cello play a sixteenth-note triplet (G5, A5, B5) followed by a quarter note C6. The Viola plays a half note G4. Dynamics are *pp* for the Viola and *p* for the Violin and Cello. A *cresc.* marking is present above the Violin and Cello staves in measure 5.

“Appassionata” Sonata, Op. 57, is powerfully enhanced by the very low register and unison texture in both hands. The startling beginning of Beethoven’s Fifth Symphony is strengthened by its unison texture. The first movement of Beethoven’s String Quartet, Op. 95, derives its remarkable impact from its kaleidoscope of textures, beginning with a stentorian epigrammatic gesture in unison. The hollow menace of the Furies in the slow movement of Beethoven’s Fourth Piano Concerto comes in unison strings. Less clipped but equally decisive is the beginning of Beethoven’s Piano Trio, Op. 70 No. 1 (see Example 40), with its four-octave unison, launching the cello out into the open air for its *dolce* theme, while the second movement of the same trio begins by creating a texture of dialogue between piano and strings.<sup>110</sup>

<sup>110</sup> E. T. A. Hoffmann drew attention to this unison opening in his review of the two Op. 70 trios: “It was all the more appropriate to let the idea that dominates the entire movement be played in four-octave unison; it impresses itself firmly and distinctively upon the listener so that he is able to keep track of it, like a brightly shining stream, in the midst of the most unusual twists and turns.” Ernst Theodor Amadeus Hoffmann, review, *Allgemeine musikalische Zeitung* 15 (March 3, 1813), 141–54, trans. in *The Critical*

Example 40. Beethoven, Piano Trio in D Major, Op. 70 No. 1, first movement, mm. 1–5

**Allegro vivace e con brio**

The musical score consists of three staves: Violin (Vln), Viola (Vc), and Piano (Pf). The key signature is two sharps (D major) and the time signature is 3/4. The tempo and mood are marked "Allegro vivace e con brio". The first measure (mm. 1-5) features a downward, double-dotted arpeggio in all parts, marked *ff* (fortissimo). The second measure continues with a similar pattern, marked *stacc.* (staccato). The third measure shows a triple-stopped chordal cadence. The fourth and fifth measures continue the rhythmic pattern.

The entire orchestra is in unison for the first strong, *fortissimo*, downward, double-dotted arpeggios of the first movement of the Ninth Symphony (at measure 17), expressing a powerful unanimity of intent and richly relieved by the triple- and quadruple-stopped chordal cadence at the phrase's end.<sup>111</sup>

The "Overtura" to Beethoven's *Grosse Fuge* presents four versions of the motivic device (two half-steps separated by a sixth) that permeates the last quartets, and the first two versions, in long notes and 6/8 rhythm respectively, are projected entirely in unison, reinforcing the significance of the critical melodic intervals. And the unison texture at the beginning of the finale of Beethoven's String Quartet, Op. 127 (see Example 41), is multivalent, for it stands in contrast to the thin texture followed by strong chords in the final measures of the preceding movement; it recalls the *maestoso* opening of the first movement; it provides a prelude to the Lydian first-violin melody that ensues; and it deliberately opens the finale in the wrong key.<sup>112</sup>

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*Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 2, 151.

<sup>111</sup> Christopher Reynolds shows how this motive is intensified by contrary-motion counterpoint in the development and recapitulation. See his *Wagner, Schumann, and the Lessons of Beethoven's Ninth* (Oakland, California: University of California Press, 2015), 13.

<sup>112</sup> I have discussed here only about a third of Beethoven's approximately thirty-three unison openings in the works with opus numbers. I say "approximately" because the number depends upon whether you count unisons that rapidly (within two measures) expand to fuller harmonies (I do not) or new beginnings – usually fast – after a – usually slow – introduction (I do). Beethoven uses unison beginnings with a fast tempo in the vast majority of cases (twenty-five), about equally divided between loud and soft dynamics. About a third of the unison beginnings are in a minor key, and more than half of these are in C minor.

Example 41. Beethoven, String Quartet in E $\flat$  Major, Op. 127, finale, mm. 1–4

**Finale**

*f*   *sf*   *p*

#### DYNAMICS AT BEGINNINGS

There is an affective difference and not just a dynamic difference between beginnings that are quiet and those that are loud. Loud beginnings are declamatory; quiet ones anticipatory, expectant. Emily Dolan suggests that Haydn's first movements proper "begin *piano*, typically with strings alone or with one or two other instruments, and then dramatically swell to a full tutti."<sup>113</sup> But the exceptions are striking: she cites two among the late symphonies – Nos. 97 and 102 – and we should add the opening of No. 52, in C minor, which begins with a loud zigzag harmonic statement, which is repeated (in a changed version) *piano*. In fact, the dynamics of beginnings are influenced by many factors. For the Haydn symphonies, the beginning dynamic seems to depend upon the tempo of the opening. Only thirteen of the symphonies with fast first movements begin quietly. On the other hand, those that begin with slow movements almost all begin quietly. Of the eleven with slow introductions, nine begin quietly.<sup>114</sup> Only five of Mozart's symphonies with fast first movements begin quietly. And four of these are early works; the only mature symphony in this category is No. 40, K. 550, in G minor. All three of Mozart's symphonies with slow introductions, however, begin loudly. Of all Mozart's opera overtures, *Figaro* and *Entführung*

<sup>113</sup> Emily I. Dolan, *The Orchestral Revolution: Haydn and the Technologies of Timbre* (Cambridge, UK: Cambridge University Press, 2013), 105. Slow introductions, she writes, became in the later eighteenth century "effective ways to build up orchestral energy, transforming the opening of a symphony into a process of beginning, with its own rhetoric." (Ibid.)

<sup>114</sup> These statistics are drawn from Elaine Sisman, "Genre, Gesture, and Meaning in Mozart's 'Prague' Symphony," in *Mozart Studies 2*, ed. Simon P. Keefe (Oxford: Oxford University Press, 1997), 27–84, at 35, nn. 27 and 28.



are the only ones to begin quietly: the latter, Elaine Sisman suggests, so that the Turkish instruments can burst in at the first tutti.<sup>115</sup>

Heinrich Schenker argued that formal structure and expression are so tightly bound in Beethoven's Ninth Symphony that if the score lacked all dynamic signs we would be able to supply them ourselves exactly as Beethoven wrote them.<sup>116</sup> This is an exaggeration utilized to make a point about the inseparability of content and expression. We know that dynamics are a vital part of the expressive overlay of a piece, but we also know that they are not immutable. The beginning of the string quartet that Beethoven placed at the beginning of his first set of quartets, Op. 18, is quiet. These four measures are repeated, *forte*, in measures 9–12. However, it is perfectly possible to imagine the dynamics reversed. The rhetoric of the opening of the quartet would be thus radically changed, but it would be viable. Similarly, the dynamics at the beginning of the String Quartet, Op. 130, are unexpected; indeed in both the Adagio and the Allegro sections they effect sudden and deliberate reversals of expectations.

The first two Beethoven symphonies, which have slow introductions, begin quietly at their allegros (their slow introductions begin *fp* and *ff-p*, respectively). After their (fully orchestrated, and, in the case of the Second Symphony, richly textured and dynamically and rhythmically highly diverse) slow introductions, the allegros begin on strings alone and *piano*. We might see the slow introductions, which are usually fully orchestrated, as heightening the effectiveness of these light beginnings at the allegros.<sup>117</sup>

Beethoven's quietly-opening piano sonatas are all three sonatas of Op. 2, Op. 7, Op. 10 No. 2, Op. 10 No. 3, both sonatas of Op. 14, Op. 22, Op. 26, both sonatas of Op. 27, Op. 28, all three sonatas of Op. 31, Op. 49 No. 1, Op. 53, Op. 54, Op. 57, Op. 81a, Op. 109, and Op. 110. Op. 49 No. 2 is unmarked, suggesting *mezza voce*. Implied *piano* begins Op. 78 and Op. 101.<sup>118</sup> Thus, counting those two sonatas whose quiet beginnings are implied, twenty-five out of thirty-two of Beethoven's sonatas begin quietly; apparently the composer liked to start these works with an implication rather than a declaration.<sup>119</sup> His Fourth Symphony begins quietly, and so do the

<sup>115</sup> See Elaine Sisman, "Symphonies and the Public Display of Topics," in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 91.

<sup>116</sup> See Schenker, *Beethovens neunte Sinfonie*, 48–49.

<sup>117</sup> Charles Rosen (*The Classical Style*, 349) suggested that a slow introduction "enabled the composer to use as a principal theme of the following Allegro a melody too light to serve as the opening of the entire work." This, however, ignores those many light beginnings without slow introductions, such as Haydn's Symphony No. 58 in F Major or (after one annunciatory downbeat) the cheeky little Vivace opening of his Symphony No. 61 in D Major.

<sup>118</sup> Op. 78 is in F# Major and begins with four measures of Adagio cantabile. Op. 101 is in A Major; the first movement is Allegretto ma non troppo ("Etwas lebhaft, und mit der innigsten Empfindung"); in m. 6 the dynamics are crescendo to *mezzo forte*.

<sup>119</sup> Miriam Sheer has suggested that quiet dynamics are a mark of Beethoven's late style. See Miriam Sheer, "Dynamics in Beethoven's Late Instrumental Works: A New

“Pastoral” and, of course, the Ninth: only three out of the later seven. The public needs calling to attention? However, three out of five piano concertos begin quietly: Nos. 1, 3, and 4. Of the Op. 18 String Quartets, all but No. 5 (the Mozart emulation) begin quietly, but all three quartets of Op. 59 begin *forte* or *mezzo forte*. Tentative as he starts a new genre and more forthright by 1806? Op. 74 begins *sotto voce*, while Op. 95 starts *forte*. Two different worlds? Four of the five late quartets start quietly. Beethoven’s last years are ruled by understatement? The only exception is Op. 127, with its opening Maestoso section, of which every other chord is *sforzando*.

#### BEGINNING IN MEDIAS RES

For a beginning that takes us *in medias res* (in this case into the middle of somber grief), the Andantino of Mozart’s Piano Concerto, K. 271, is a superb example (see Example 42). The melancholy C-minor throbbing in the low strings is the background for the violins playing as low as possible, muted, in a one-beat wordless canon interrupted by stunned gaps and effortful *fortepiano* accents. The music gathers strength only gradually, with leaps from C<sub>4</sub> to A<sub>4</sub> and then, crescendo, from C<sub>5</sub> to C<sub>6</sub>, only to fall chromatically to the half-cadence. This beginning of undisguised feeling, created in Salzburg in 1777, when Mozart was twenty-one years old, is strengthened with the force of intellect and a sense of long-range architecture: it is six-measures long, echoing the 3+3, orchestra-answered-by-piano, fanfare-and-response beginning of the first movement.

The first movement of Beethoven’s String Quartet, Op. 18 No. 1, also has a Beginning *in Medias Res*.<sup>120</sup> The tight little motive that we hear at the outset is one that saturates the first movement. Although Beethoven revised this quartet and reduced the number of appearances of the motive, it still dominates the exposition, the development, and the coda.<sup>121</sup> The beginning, however, is tentative. It is marked *piano*, and the two opening gestures are each followed by rests, making separate two-measure units. Continuity is not achieved until measure 5,

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Profile,” *Journal of Musicology* 16 (1998), 358–78. In his 1840 *Pianoforte-Schule* Carl Czerny provided character definitions for five of the principal gradations of dynamics from *pp* to *ff*. See Carl Czerny, *Vollständige theoretisch-practische Pianoforte-Schule von dem ersten Anfange bis zur höchsten Ausbildung fortschreitend, und mit allen Nöthingen, zu diesem Zwecke eigends componirten zahlreichen Beispielen in 4 Theilen*, vol. 3 (Vienna: Diabelli, 1840), 4; cited in Budde, “Analyse und Interpretation,” 103–04.

<sup>120</sup> Edward Said wrote that beginning a work by throwing the reader *in medias res* is a “convention that burdens the beginning with the pretense that it is not one.” Said, *Beginnings: Intention and Method*, 43.

<sup>121</sup> See Kerman, *The Beethoven Quartets*, 30–35; and Janet Levy, *Beethoven’s Compositional Choices: The Two Versions of Opus 18, No 1, First Movement*, Studies in the Criticism and Theory of Music (Philadelphia: University of Pennsylvania Press, 1982). Beethoven also revised the G-Major String Quartet, Op. 18 No. 2, especially its slow movement. See William Kinderman, “Transformational Processes in Beethoven’s Op. 18 Quartets,” in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana: University of Illinois Press, 2006), 13–30, at 19.

Example 42. Mozart, Piano Concerto in E $\flat$  Major, K. 271, second movement, mm. 1–7

**Andantino**

The score is in 3/4 time and E $\flat$  major. The tempo is **Andantino**. The instruments are Piano (Pf), Violin I (Vln 1), Violin II (Vln 2), Viola (Va), and Violoncello/Contrabass (Vc & Cb). The piano part plays a steady eighth-note accompaniment. The strings play a rhythmic pattern of eighth notes. The woodwinds (flute and clarinet) enter in measure 4 with a melodic line. Dynamics range from piano (*p*) to fortissimo (*ff*). The score includes performance markings such as *con sordino* and *cresc.* (crescendo). The woodwind part includes fingerings: 6 6 6 4 5.

when sustained notes support the trajectory, and the upper melodic line maintains its flow for four measures.<sup>122</sup> At measure 9 there is another beginning. These four measures are the same as the first four except that they are now played *forte*, providing simultaneously a feeling of arrival and of unrestrained departure. This now becomes a new Beginning *in Medias Res*, which moves onward through three diminished-seventh chords to a full cadence at measure 20.

Beethoven's C-minor String Quartet, Op. 18 No. 4, opens with a Beginning *in Medias Res* (see Example 43). After one pickup note on the low G string of the first violin, which creates momentary anticipation, the music plunges into a low texture of the minor mode, with the theme low on the first violin, and the urgent momentum created by reiterated pedal eighth notes on the cello. The range opens like a wedge, rising through an extension of the phrase to F6 in measure 10; the eighth-notes are expanded to all three accompanying instruments; and the period – unified by a thrusting turn-figure – pushes through to a *fortissimo* cadence (V/V–V–I) in seven voices on the downbeat of measure 13.<sup>123</sup>

Beethoven's song cycle *An die ferne Geliebte*, Op. 98, has no prelude, unlike "Adeläide" and countless other songs (see Example 44). It pushes us – gently – *in medias res* ("Auf dem Hügel sitz ich spähend" – "On the hillside sit I, gazing"), and the whole song, full as it is with yearning, images of natural beauty, and the conviction that music can span all distance, is captured in this simple phrase, lingering first on the fifth degree, rising in eighth-note steps to the tonic and then falling a gentle minor sixth.<sup>124</sup> The phrase's lilt is impelled by the 3/4 meter, its

<sup>122</sup> Barbara Barry has suggested that discontinuity becomes a feature of Beethoven's style beginning with Op. 18 and growing particularly prevalent in his middle and late periods. See Barbara Barry, "A View from the Bridge: Connecting Musicology and Music Theory in Beethoven's Op. 18 Quartets," *College Music Symposium* (2004), [http://symposium.music.org/index.php?option=com\\_k2&view=item&id=8555:a-view-from-the-bridge-connecting-musicology-and&Itemid=124](http://symposium.music.org/index.php?option=com_k2&view=item&id=8555:a-view-from-the-bridge-connecting-musicology-and&Itemid=124) (accessed November 1, 2015); and Barbara Barry, "In Beethoven's 'Clock Shop': Discontinuity in the Opus 18 Quartets," *The Musical Quarterly* 88 (2005), 320–37.

<sup>123</sup> Theodor Helm admired the "forward-driving" nature of this beginning, suggesting that neither Haydn nor Mozart could have achieved something like it. Theodor Helm, *Beethovens Streichquartette* (Leipzig: Frisch, 1885), 21.

<sup>124</sup> The minor sixth has a feeling of "rejectedness, of inner burning or of passion." Heiner Ruland, *Expanding Tonal Awareness: A Musical Exploration of the Evolution of Consciousness Guided by the Monochord* (Forest Row: Rudolf Steiner Press, 1992), 57. Other characterizations of its affect include "poignancy" ([http://www.simonheather.co.uk/pages/chapters/thehealingpowerofmusicalintervals\\_sample.pdf](http://www.simonheather.co.uk/pages/chapters/thehealingpowerofmusicalintervals_sample.pdf), 23, accessed September 21, 2017); "separation, tragedy, anguish" (<http://www.songwriting-unlimited.com/music-theory-intervals.html#axzz3SILFcqT4>, accessed September 21, 2017); "[poignant], emotional, loving or love lost feeling" (<http://www.sound-physics.com/Music-Physics/Musical-Intervals/>, accessed September 21, 2017); and "anguish" (William Forde Thompson, *Music, Thought, and Feeling: Understanding the Psychology of Music* [New York: Oxford University Press, 2009], 126, quoting Deryck Cooke, *The Language of Music* [Oxford: Oxford University Press, 1959]. Paul Ellison (*The Key to Beethoven*, 267–69) writes that the song expresses the two "praxes" of Eb Major: "unhappy love" and "love and devotion."

Example 43. Beethoven, String Quartet in C minor, Op. 18 No. 4, first movement, mm. 1–13

## Allegro ma non tanto

Violin 1: *p* (measures 1-2), *sf* (measures 3-4)  
Violin 2: *p* (measures 1-2), *sf* (measures 3-4)  
Viola: *p* (measures 1-2), *sf* (measures 3-4)  
Cello: *p* (measures 1-2), *sf* (measures 3-4)

Violin 1: *sf* (measures 5-8)  
Violin 2: *sf* (measures 5-8)  
Viola: *sf* (measures 5-8)  
Cello: *sf* (measures 5-8)

Violin 1: *cresc.* (measures 9-12), *ff* (measure 13)  
Violin 2: *cresc.* (measures 9-12), *ff* (measure 13)  
Viola: *cresc.* (measures 9-12), *ff* (measure 13)  
Cello: *cresc.* (measures 9-12), *ff* (measure 13)

Example 44. Beethoven, *An die ferne Geliebte*, Op. 98, beginning and ending

The image shows a musical score for the beginning and ending of Beethoven's 'An die ferne Geliebte'. The score is in 3/4 time and B-flat major. The beginning is marked 'Ziemlich langsam und mit Ausdruck' and the ending is marked '[Allegro molto e con brio]'. The piano part features a tonic chord in the right hand and a tonic octave in the bass. The vocal line enters on the second beat with the lyrics 'Auf dem Hü - gel sitz' ich spä - hend'. The ending features a crescendo from piano to fortissimo.

tempo (“Ziemlich langsam und mit Ausdruck” – “Fairly [reasonably, *appropriately*] slow and with expression”), and the extraordinarily subtle voicing and phrasing of the piano, whose downbeat, *piano*, sets the key with a tonic octave in the bass and a tonic chord of mid-range voicing in the right hand with the fifth on top, anticipating the singer’s pitch, which is not only practically helpful but, more importantly, acts to prepare the listener for the entrance of the voice, for the pitch is already in our ears. When the singer enters on the second beat – calm and unruffling, because of the tempo, because of the note repetition, and *because* we have the pitch already in our ears – the piano abandons the low octave and accompanies in unison and thirds for the two-quarter-note pickup and dotted-quarter-note downbeat that is the rhythmic motto of the entire composition. To set the second beat against the singer’s held dotted-quarter note, the full chord returns and is then silent as the voice rises to its highest pitch, leaving the singer/poet alone on the hilltop and then joining him as the minor-sixth fall concludes. But it is exactly this rising phrase with its minor-sixth fall – the beginning – that ends the entire cycle, leaving the singer/poet/listener where he or she – and the entire work – began. This is Beethoven at his most exquisite and understated.<sup>125</sup>

<sup>125</sup> Other Beethoven works in which the beginning theme returns not at the end but towards the end include the Cello Sonata, Op. 102 No. 1, and the Piano Sonata, Op. 101, in both of which the opening returns as introductory to the final movement. Kerman suggested that Beethoven himself wrote the poetry for the last stanza of *An die ferne Geliebte*, matching the corresponding stanza from the first song. See Joseph Kerman, “*An die ferne Geliebte*,” in *Beethoven Studies*, vol. 1, ed. Alan Tyson (Cambridge, UK: Cambridge University Press, 1973), 123–57, at 126–27. The sketches reveal that Beethoven originally intended the more obviously cyclic scheme of repeating the entire music of the first song for the last. See Nottebohm, *Zweite Beethoveniana*, 335. But the gentler solution moves with more subtlety from reference at the beginning of the last song to rhyme at the end. See Kerman, “*An die ferne Geliebte*,” 145–47; and Charles Rosen, *The Romantic Generation* (Cambridge, Massachusetts: Harvard University Press, 1995), 170–72. Nicholas Marston has argued sensitively for the gradual assumption of a singing role for the piano during the course of the cycle. See Nicholas Marston, “Voicing Beethoven’s Distant Beloved,” in *Beethoven and His World*, ed. Scott Burnham and Michael P. Steinberg (Princeton, New Jersey: Princeton University Press, 2000), 124–47.

Example 45. Beethoven, Piano Sonata in A Major, Op. 101, first movement, mm. 1–6

*Etwas lebhaft, und mit der innigsten Empfindung*  
**Allegretto ma non troppo**

The musical score consists of two systems of piano accompaniment. The first system shows measures 1 through 3. The right hand plays a melodic line with eighth notes and quarter notes, while the left hand provides a bass line with a chromatic descent. The second system shows measures 4 through 6. Measure 4 begins with a 'poco ritardando' marking. The right hand continues its melodic line, and the left hand provides harmonic support with chords and single notes. The score concludes with a final cadence in measure 6.

Beethoven's Piano Sonata, Op. 101, is big, brilliantly conceived, expansive in scope,<sup>126</sup> and masterful in execution (see Example 45). The opening “ad eventum festinat et in medias res/non secus ac notas auditorem rapit,” as Horace advised. It “hurries to the [main] event/and hurls the listener into the middle of things as though they were already known.” The opening two measures are in the dominant key (E Major) of the tonic, and they cadence on E. This beginning is an answer to something that has not been heard. It is like the beginning of the Sixth Symphony (“Pastoral”), where our “arrival at the country” is into a world that is already active. Poignancy is added by the contrary motion between the hands and a passing chromatic note in the bass. The first six measures are chiasmatic: the closing two are the same as the opening two, but they come to a rest on a minor chord of the submediant. Only then does the tempo resume, the dynamics increase, and the momentum take over. This special opening returns later in the sonata but not in the first movement. Its sense of completing a thought rather than starting it is heightened by referentiality and nostalgia when it comes back again after the Adagio and before the Allegro finale, interspersed with pregnant pauses.<sup>127</sup>

<sup>126</sup> The piece calls for the newest addition to contemporary pianos, low E<sub>1</sub> or “contra E.” This note was unusual enough to require Beethoven to practice writing it several times on the autograph score and to ask the publisher to add alphabetic letters for the lowest notes in the published edition. See Beethoven-Haus Bonn, NE 219, folios 1r, 5r, 13r, and 16r.

<sup>127</sup> Mellers sees powerful irony in this work: “Opus 101 begins as a lyrical song that proves to be a dream; continues with a corporeal march which, especially in its trio, glimpses the Word through the Flesh; aspires to an aria-hymn that dissolves in harmonic deliquescence; attempts a sonata-conflict, which, beginning optimistically, lapses into farce; calls unsuccessfully on fugal unity to restore order; and assays sonata again, which this time flickers out in pathos and bathos.” See Wilfrid Mellers, *Beethoven and the Voice of God* (New York: Oxford University Press, 1983), 161.

## BEGINNING AS TRANSITION

Sometimes a beginning is not only the start of something that is about to develop but also a reference back to something that has just ended. The use of a beginning to effect a transition between movements is particularly highly developed in Beethoven's string quartets. The first note of the third movement (Adagio molto e mesto) of the String Quartet, Op. 59 No. 1, a C<sub>4</sub> sounding in the second violin, creates a link between the B $\flat$  tonic of the previous movement and the F minor of the Adagio (see Example 46). With the final chord of the Allegretto sounding slightly unfinished because of the third on top, the C in the second violin now sounds as V of the subsequent F chord, retroactively turning the B $\flat$  into a IV chord of the new tonic.

Example 46. Beethoven, String Quartet in F Major, Op. 59 No. 1, last measure of second movement and first two measures of third movement

[Allegretto vivace  
e sempre scherzando]

Adagio molto e mesto

Vln 1

Vln 2

Vla

Vc

*f*

*p sotto voce*

*p sotto voce*

*p sotto voce*

*p sotto voce*

This link is one of three different means that Beethoven uses to connect all the movements of this quartet. The ending chord of the first movement becomes the dominant to the key of the next movement (F – B $\flat$ ). The third-movement Adagio just discussed ends with an eight-measure first-violin cadenza, first over chords, then over descending scales from the other instruments, then over nothing. The cadenza dissolves into a trill, and this trill continues unhesitatingly into the last movement over the entry of the “thème russe,” otherwise unaccompanied, in the cello. The trill also returns to cover the join between exposition and development and again in the coda.

The second movement of the String Quartet in F minor, Op. 95, begins with a simple descending cello scale, *mezza voce*, and with hesitant gaps between the notes, in D Major. This scale becomes substantive in the linking episode beginning at measure 65 and at the recapitulation. It is not outside the form, it is



Example 47 (*opposite*). Beethoven, String Quartet in F minor, Op. 95, (a) last two measures of first movement and first four measures of second movement; (b) last four measures of second movement and first measure of third movement; (c) last two measures of third movement; (d) last three measures of fourth movement before the coda and beginning of coda

essential to it, and the movement itself proves to be in D.<sup>128</sup> At the same time the scale leads us from the first movement to the second. Here is the sophisticated method: The first movement has stressed both the Neapolitan ( $G\flat$ ), with its half-step relation to the tonic, and major VI of the tonic,  $D\flat$ , which is used as the principal second key of the movement. In addition, Beethoven strongly juxtaposes other exactly parallel relationships. In the second key area, he effects a deceptive cadence from V to  $\flat$ VI ( $A\flat$  to A [=  $B\flat$ ]) at measure 38, again stressing the half-step, and then moves to D (m. 39 and mm. 49–50, which is the Neapolitan of the second key. Finally, the coda of the first movement (again by means of a deceptive cadence) begins in  $D\flat$  and harps on the descending (half-step) gesture  $D\flat$ –C on the lowest string of the cello. The last move is to a final sonority on an open F, with no third or fifth, by means of double parallel octaves! (See Example 47a.) Thus our descending solo cello line at the beginning of the next movement serves to bring us from F to D, and the D Major has already been anticipated in the previous movement. The single voice admits of no harmony, echoing the non-chordal last sonority just heard. And its first two notes are D to  $C\sharp$  (=  $D\flat$ ). Throughout the movement the pitch  $B\flat$  is prominently utilized, exploiting the same relationship ( $\flat$ VI) displayed in the first movement. Nor is this all, for the second movement ends with a cadence on tentative D-Major chords (*piano* and then *pianissimo*), the last of which has only two voices and no third or fifth, and then comes an additional diminished-seventh chord, effecting a transition between the Allegretto ma non troppo second movement and the flawlessly registered Allegro assai vivace ma serio (see Example 47b). Thus the Beginning as Transition is picked up, with retroactive justification, as an Ending as Transition, and this ending becomes a hesitant, highly abbreviated, beginning. Nor even is this all. The ending of the Allegro assai cadences abruptly with parallel octaves to an F without third or fifth (see Example 47c). The F-minor last movement also has an additional chord: after the “final” cadence – once again on tonic notes (F), once again in thin (only three-voice) texture, and once again without third or fifth – an additional chord is appended, *pianississimo*: a full chord in F Major (see Example 47d). And this is the beginning of an accelerated coda rounding

<sup>128</sup> Seow-Chin Ong has pointed out the parallelism between the juxtaposition of F minor and D Major in this quartet and that in the incidental music to *Egmont*, Op. 84, written in the same year. See Seow-Chin Ong, “Aspects of the Genesis of Beethoven’s String Quartet in F Minor, Op. 95,” in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana-Champaign, Illinois: University of Illinois Press, 2006), 132–67, at 132–33.

a) [Allegro con brio]

150

Vln I *pp*

Vln II *pp*

Vla *pp*

Vc *pp*

Allegretto ma non troppo

*mezza voce*

b) [Allegretto ma non troppo]

*attacca subito*

Allegro assai vivace ma serio

189

[*p*] *pp*

[*p*] *pp*

[*p*] *pp*

[*p*] *pp*

*f*

*f*

*f*

*f*

c) [Allegro assai vivace]

398

[*ff*]

[*ff*]

[*ff*]

[*ff*]

d) [Allegretto agitato]

130

*poco* ri - tardan - do

*pp* *ppp*

*ppp*

*p* *pp* *ppp*

*p* *pp* *ppp*

Allegro

*molto leggiermente*

*sempre piano*

*sempre piano*

*sempre piano*

*sempre piano*

the entire quartet off in the major mode.<sup>129</sup> We must not be surprised at the extraordinary subtlety of the use of beginnings and transitions in this quartet, for, as Beethoven wrote (in English), “the Quartett [sic] is written for a small circle of connoisseurs.”<sup>130</sup> I shall not speak here of the half-step obsession of the theme of the coda, nor of the slow introduction (*Larghetto*) to the last movement, with its frequent melodic half-steps, but let us briefly note the manner in which this *Larghetto* beginning accelerates into the *Allegretto agitato* by means of anticipation, in exactly the same way the second movement of the Fifth Piano Concerto of a year earlier (1809) anticipates and accelerates into its finale.

A solo cello also provides the transition between the first and second movements of the String Quartet, Op. 127. Here the key switch is only from tonic to subdominant, but the cello alone reiterates the E $\flat$  pitch from the end of the previous movement to form the root of a V<sup>7</sup> chord of Ab. At the beginning of the third movement (*Andante con moto, ma non troppo*) of the String Quartet, Op. 130, the opening note on the first violin alone is the B $\flat$  of the final chord of the second movement – again a chord with no third (see Example 48). The violin moves to B $\flat\flat$ , thus echoing the B $\flat$ –A move of the beginning of the first movement, while the turning motive of a dotted-eighth note, two thirty-seconds, and an eighth-note echoes the motive consisting of a quarter note, two eighths, and a quarter note of the preceding *Presto*. And here the transition of the first two measures, in addition to acting as a Beginning before the Beginning – for the action (theme and clockwork accompaniment) really begins in measure 3 – serves to bring the tonality from the B $\flat$  minor of the *Presto* to the D $\flat$  Major of the *Andante*.

The gruff cello outburst – alone and followed by a measure of silence – at the beginning of the fifth movement (*Presto*) of the String Quartet, Op. 131, has many functions (see Example 49): it is a transition from the fourth movement (the variation set, *Andante, ma non troppo e molto cantabile*), establishing the key of E as though the dominant V of the variations; it is a Beginning before the Beginning, anticipating the theme of the *Presto*, which doesn't start until measure 3; and it serves to link back to the short cello outbursts that interrupt

<sup>129</sup> Mark Evan Bonds has suggested that this coda is ironic, coming as it does at the end of a serious movement in the minor, and that Beethoven might perhaps even have intended it to be deliberately incomprehensible. See his “Irony and Incomprehensibility: Beethoven's ‘Serioso’ String Quartet in F Minor, Op. 95, and the Path to the Late Style,” *Journal of the American Musicological Society* 70 (2017), 285–356. I, however, continue to find the coda profoundly poignant rather than incomprehensible, an expression of “Oh well, what can one do?” after a brilliantly crafted and deeply tragic four-movement artistic creation. This is not so much irony as a kind of resigned *sprezzatura* that does not undermine what has gone before but returns the listener to the spirit of enforced acceptance that is the necessary human accompaniment of tragedy. Beethoven had engaged in exactly this kind of rhetoric in the last movement of his earlier String Quartet, Op. 18 No. 6, where a prestissimo coda sweeps away all traces of the “Malinconia” so profoundly explored earlier.

<sup>130</sup> Letter to Sir George Smart, October, 1816: *Briefwechsel Gesamtausgabe*, Letter No. 983, vol. 3, 305; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 664, vol. 2, 604.

Example 48. Beethoven, String Quartet in B $\flat$  Major, Op. 130, last two measures of second movement and first three measures of third movement

**[Presto]**  
104

Vln 1  
*f in tempo*

Vln 2  
*f in tempo*

Vla  
*f in tempo*

Vc  
*f in tempo*

*Poco scherzoso*  
*Andante con moto ma non troppo*

*p* *p dolce* *p* *p* *p* *p*

Detailed description: This musical score block contains two systems. The first system, marked [Presto] and starting at measure 104, shows the final two measures of the second movement. It features four staves: Violin 1, Violin 2, Viola, and Violoncello. All parts are marked with a forte dynamic (f) and the instruction 'in tempo'. The second system, marked 'Poco scherzoso' and 'Andante con moto ma non troppo', shows the first three measures of the third movement. The Violin 1 part begins with a piano (p) dynamic and a 'dolce' marking. The Violoncello part has a piano (p) dynamic. The Viola and Violin 2 parts also have piano (p) dynamics. The score includes various musical notations such as slurs, accents, and dynamic markings.

Example 49. Beethoven, String Quartet in C $\sharp$  minor, Op. 131, movement no. 5, mm. 1–2

**No. 5. Presto**

Vln 1

Vln 2

Vla

Vc  
arco  
*f*

Detailed description: This musical score block shows the first two measures of the fifth movement, 'No. 5. Presto', in C sharp minor. It consists of four staves: Violin 1, Violin 2, Viola, and Violoncello. The first measure is mostly silent for all instruments, with a first-measure rest (1) indicated above each staff. In the second measure, the Violoncello part begins with a forte (f) dynamic and is marked 'arco'. The other three staves (Violin 1, Violin 2, and Viola) also have first-measure rests (1) indicated above them. The key signature has three sharps (F#, C#, G#) and the time signature is common time (C).

the highly expressive (unmarked) sixth variation, Adagio, ma non troppo e semplice, of the fourth movement.

There are links of different kinds that join all the seven movements of the Op. 131 String Quartet, which is in C# minor, a key used as a work's tonic only one other time by Beethoven (the Piano Sonata, Op. 27 No. 2 – the “Moonlight” Sonata).<sup>131</sup> The first movement ends on V of the second; the third movement begins with similar detached quarter-note chords as the end of the second, except that they are in the relative minor. The third movement ends on the dominant of the fourth movement, and the fourth movement moves into the fifth as a half cadence. The fifth movement leads *attacca* into the sixth, and the first violin plays directly from the end of the sixth into the seventh. As Leonard Ratner has pointed out, additional motivic and harmonic unity lead to a “grand unified trajectory” across the entire quartet, in a manner unprecedented in Beethoven's works.<sup>132</sup> Thus all beginnings in this work, except for the first, are contingent beginnings, their impact mitigated by the continuity of the whole.

The first note of the third movement (Lento assai, cantante e tranquillo) of the String Quartet, Op. 135, on solo viola, is an F, matching the keynote of the previous movement, and suggesting F minor when the second violin enters on A $\flat$ , but serving to effect the transition to the  $\flat$ VI (D $\flat$  Major) of the new movement, by sounding the only common tone between the two tonic chords (see Example 50).

When a composer writes *attacca* at the end of one movement, he is changing the quality of beginning for the next movement. This new beginning becomes less an embarkation for new horizons and more the continuation of a journey. The time in between – a time for completion and renewal – is compressed or entirely suppressed, making the beginning both less definitive and more dependent. Most often, this suppression occurs between a slow section or movement and an ensuing fast one (often the last movement), suggesting that what is being deliberately suppressed is the luxury of contemplation or reverie and what is being encouraged is the recognition of continuance. Eight of Haydn's keyboard sonatas (15 percent) and seven of the piano trios (about 17 percent) contain run-on movement pairs, almost always involving a connection between the slow

<sup>131</sup> Sharp-side minor keys were rare in this period. See Appendix. C# minor was described as “terrifying” by the 1802 reviewer of the Op. 26 and Op. 27 Piano Sonatas (*Allgemeine musikalische Zeitung* 4 [June 30, 1802], 650–53) and as suitable for “penitential lamentation [and] intimate conversation with God” by Christian Friedrich Daniel Schubart. See *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 177–78, and Steblin, *A History of Key Characteristics*, 123. Beethoven will have known Bach's C#-minor Prelude and Fugue from the *Well-Tempered Klavier*, a work he was familiar with from childhood. See Thayer, *Thayer's Life of Beethoven*, 66; Solomon, *Beethoven*, 34; and Lockwood, *Beethoven: The Music and the Life*, 34.

<sup>132</sup> See Ratner, *The Beethoven String Quartets*, 235–62, and Ratner, *Classic Music*, 325.

Example 50. Beethoven String Quartet in F Major, Op. 135, third movement, mm. 1–4

**Lento assai, cantante e tranquillo**

movement and the finale.<sup>133</sup> (They are in three movements.) The special case of Haydn’s “Farewell” Symphony, however, moves from the finale into a slow movement. The supposed last (fourth, Presto) movement ends on the dominant, and the performers launch (*attacca*) into an additional last movement, the famous “departure” movement, which is an Adagio.<sup>134</sup>

In the years 1803–08 Beethoven seemed to develop a predilection for slow movements running into finales. The “Waldstein” Piano Sonata, Op. 53, has two big movements, the second of which is preceded by an “Introduzione” of twenty-nine measures. This begins with harmonic reminiscences of the first movement and embarks upon a darkly melancholic aria form before being cut short to launch, *attacca*, into the final Rondo. Thus it serves as a connecting device in both directions, while maintaining ambiguity as to its own identity. The Rondo alla Polacca finale of the Triple Concerto, Op. 56, is launched directly out of the slow movement by the cello’s reiterated Gs in the treble register. The slow middle movement of the “Appassionata” Piano Sonata, Op. 57, is a calm variation set, *Andante con moto*, in D $\flat$  Major, positioned between two tense and energetic movements in F minor. It ends with a deceptive cadence to two held diminished-seventh chords, which are then reiterated *attacca* in pounding rhythms to start the *Allegro* finale. The slow movement of Beethoven’s G-Major Fourth Piano Concerto, Op. 58, is in the relative E minor. It leads (“segue il Rondo”) from a rolled E-minor sustained chord with an F $\sharp$  appoggiatura into the finale, which begins not on the tonic but on C. The tonic doesn’t arrive until forty measures later, moving from E minor, through C Major and D Major, to

<sup>133</sup> See Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 187–89.

<sup>134</sup> This being such an unusual symphony in every respect, the key launched into is not the expected F $\sharp$  minor but its relative major, A.

G, and thus making the connection between movements part of a long-range harmonic plan. Similarly, the strangely accented rondo theme of the finale of the Fifth Piano Concerto, Op. 73, is “attacked” from the preceding Adagio slow movement, ending as it does with a slow anticipation of this theme, also on the solo piano. The slow movement of the Cello Sonata in A Major, Op. 69, ends on two dominant-seventh chords, which read  $I^7$  in the key of the movement,  $V^7$  in the home key. The cello alone then leads chromatically and *ad libitum* into the finale. A later instance of this technique is the *attacca* at the end of the fully developed slow movement of the Cello Sonata, Op. 102 No. 2, which serves a different purpose.<sup>135</sup> The slow movement’s pause on  $V^7$  could be to prepare a cadence for the slow movement itself (it is cast in the tonic minor) or for a plunge into the finale. It is neither. It introduces the highly tentative opening fragment of a thematic motive, first on cello and then on piano. Both forays end in fermatas. Only then do the fragments coalesce into a full subject for the ensuing fugato (see Example 51).<sup>136</sup>

The *attacca* direction can appear in other positions as well, either near the beginning or near the end of a work. In the following instances, the direction links sections that are connected not just temporally but also integrally. The Grave opening of the “Pathétique” Piano Sonata, Op. 13, has an improvisatory quality, with its powerful chords, sudden changes of dynamic, and dotted rhythms. After ten measures it plunges *attacca* into the energetic, driven Allegro di molto e con brio. But it forms a part of that movement too, for it returns twice in the course of the Allegro and at crucial formal moments, between the exposition and the development and between the recapitulation and the coda. Beethoven joins movements by the direction *attacca* in the “quasi una fantasia” sonatas of Op. 27. All movements are connected, except the second and third of Op. 27 No 2. The sixteen-measure Adagio beginning of the Piano Sonata, Op. 81a (“Das Lebewohl”), leads *attacca* into the following Allegro. It is not a slow introduction either. Rather, it is a part of the whole first movement, for its principal

<sup>135</sup> The first movement of this sonata, with its four-sixteenth-note beginning, recalls similar rhythmic experiments with the Piano Sonata, Op. 22, and the String Quartet, Op. 95.

<sup>136</sup> When the slow movement is in second position rather than in third, there can occasionally occur a run-on into the minuet, thus modulating the finality of the ending of the slow movement and the salience of the beginning of the minuet. Each of Haydn’s String Quartets, Op. 20 No. 2 and Op. 54 No. 2, both of which are in C Major, has a slow movement in the tonic minor, which moves directly into a minuet in the major. (Both trios revert to the minor.) The strong, expressive Adagio of Op. 20 No. 2 ends on separated dominant chords with the direction “Segue Menuetto,” and the slow movement of Op. 54 No. 2 ends on the dominant with a fermata, directing *attacca*. The ostensibly three-movement Keyboard Sonata, Hob. XVI: 30, in A Major is in fact through-composed, because the end of the opening Allegro runs directly into the beginning of the central Adagio, and the Adagio ends with a dominant preparation for the beginning of the minuet-and-variations finale.

Example 51. Beethoven, Cello Sonata in D Major, Op. 102 No. 2, last movement, mm. 1–14

**Allegro**

**Allegro fugato**

**Allegro fugato**

musical motive is embodied in the material of the entire Allegro: the exposition, the development, and the coda. The “La Malinconia” beginning of the last movement of Beethoven’s String Quartet, Op. 18 No. 6, is forty-four adagio measures long and thus almost an independent entity. But the *attacca* direction turns it into an integral part of the jaunty rondo finale. It returns three times, the first in a ten-measure extract, the second for less than two measures. The last return is a ghostly one, for only the tempo of the “Malinconia” is heard, controlling the theme of the rondo. The two different worlds have reached a rapprochement.

Sometimes the word *attacca* is not written, but the music forces the move. Of the Haydn keyboard sonatas and trios with run-on movements, only about half



have the instructions written out.<sup>137</sup> In Symphony No. 86 in D, there is no fermata at the end of the introduction. Repeated eighth notes on the dominant lead directly into the Allegro spiritoso (with rapid repeated notes in the three accompanying string parts). The last measure of the slow introduction to Symphony No. 97 in C Major leads directly – that is melodically, rhythmically, and harmonically – and without pause into the Vivace. Even the meter is unchanged. On occasion, the harmony carries the music from one movement to another in an unorthodox manner. The slow introduction of Haydn's C-Major Symphony, No. 90, does not end on the dominant. It *resolves* to the dominant across the double bar. The tonic comes at measure 4. Exactly the same strategy occurs in Symphony No. 92 in G. All these are beginnings whose quality of beginning is modulated by the incomplete ending nature of their previous movements.

The eerie *sempre pianissimo* ending of the third movement of Beethoven's Fifth Symphony leads without pause (via a crescendo on a dominant seventh) into the *fortissimo* outburst of the final Allegro, whose fully chordal fanfare-style beginning is emphasized by the sudden addition of new instruments to the orchestral fabric – for heft: three trombones; for upwards expansion of the tessitura: a piccolo; downwards: a contrabassoon. In the piano sonatas, other connections without the direction *attacca* include the Largo of Op. 106, which is clearly introductory to the Allegro risoluto; the link between the second and third movements (“Absence” and “Return”) of Op. 81a; and that between the third and fourth movements of the Sonata, Op. 101. At one point Beethoven thought that the first two quick movements of the Piano Sonata, Op. 109 should be joined by an *attacca*, but he changed his mind. The autograph manuscript shows the word, but it is cancelled.<sup>138</sup> And David Levy has suggested that in the Ninth Symphony “had it not been for the inconvenient necessity of re-tuning the timpani and changing the crooks of the natural horns and trumpets, Beethoven might very well have indicated that the last movement should ensue in an uninterrupted *segue*.”<sup>139</sup>

#### BEGINNING AS SEED

Watching a tiny seed turn into a plant is a demonstration of the astounding force of nature. The seed splits at the top to reveal a curled tendril that unfolds upwards. At the same time a pale root pushes out from below. As the plant grows both up and down, we come to terms with the immense potential packed into the seed. (Compare the size of a sunflower seed to the plant that grows from it or an acorn to an oak.) Beethoven more than any other composer cre-

<sup>137</sup> See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 189.

<sup>138</sup> See Lockwood, *Beethoven: The Music and the Life*, 387.

<sup>139</sup> David Benjamin Levy, *Beethoven: The Ninth Symphony*, rev. ed., Yale Music Masterworks (New Haven: Yale University Press, 2003), 93–94.

ated beginnings that are seeds packed with potential.<sup>140</sup> The opening of the Fifth Piano Concerto is an ostentatious series of solo-keyboard flourishes supported by carefully spaced pillars of I–IV–V chords in the full orchestra, *fortissimo*. These range over most of the keyboard of the most up-to-date piano of the time: five octaves and a third, from A<sub>2</sub> to C<sub>7</sub>, mapping out the widest possible registral (and with the orchestra, dynamic) space.<sup>141</sup> This beginning is provided with referents in the run-up to the entrance of the soloist on the first theme and the cascading scales and runs that lead into the recapitulation. Now comes the next beginning, a Beginning as Seed, presenting the main theme of the first movement (see Example 52). This is on strings alone, fortified for one brief moment by the horns. The register is middle to low, so that our attention, previously expanded by the cadenza, is now narrowly focused. The dynamic is *forte*, but this is a considerably lower level than the previous *fortissimo* of the full orchestra. And the range of the melody is also narrow, contained in the space of a minor seventh. The theme is six measures long, but these fall into strict two-measure units, 2+2+2. Measures 3 and 4 are almost identical to measures 1 and 2. Measures 5 and 6 round out the phrase with a cadence. Both measures 1 and 2 and measures 3 and 4 are heard over an unchanging tonic harmony on repeated sixteenth notes. Our principal seed, therefore, is made up of the first two measures. In these two measures are contained all the elements for the growth, development, and full flourishing of this approximately twenty-minute first movement. There are three elements: (1) a turn figure around the keynote E $\flat$ ; (2) a descending arpeggio of three notes on the third, first, and sixth degrees of the scale (G–E $\flat$ –C); and (3) a dotted-eighth-and sixteenth-note military

<sup>140</sup> E. T. A. Hoffmann's famous review of Beethoven's Fifth Symphony, published in 1810, includes the following: "[O]nly those of deeper vision have witnessed the evolution of a beautiful tree, buds and leaves, blossoms and fruits, from a germinal seed – so too will only the deepest penetration into the inner structure of Beethoven's music reveal the extent of the master's thoughtfulness. Such thoughtfulness is indistinguishable from true genius." *Allgemeine musikalische Zeitung* 12 (July 4 and 11, 1810), 630–42 and 652–59. See also Schlosser, *Ludwig van Beethoven*, 84–85, trans. in Bent, ed., *Music Analysis in the Nineteenth Century*, vol. 1, 311: "The works of [Beethoven's] last period are characterized by an inner compulsion. Features that arise are always intrinsically prepared and determined by those that precede them ... and the whole, in its well-regulated inner coherence, achieves a vigorous unity. In just the same way, the fruit springs from the blossom, and the blossom itself from the burgeoning, totally controlled germination of the tree." Janet Levy, "Covert and Casual Values in Recent Writings about Music," *The Journal of Musicology* 5 (1987), 3–27, at 5–7, denigrated the use of this metaphor as hiding covert values.

<sup>141</sup> See Derek Melville, "Beethoven's Pianos," in *The Beethoven Reader: A Symposium by Leading Scholars*, ed. Denis Arnold and Nigel Fortune (New York: Norton, 1971), 41–67. By the time of the "Emperor" Concerto, the range of the piano had been extended to six octaves. Beethoven probably wrote the concerto with the new Streicher instrument in mind. See Siegbert Rampe, *Beethovens Klaviere und seine Improvisation-Klangwelt und Aufführungspraxis*, Musikwissenschaftliche Schriften 49 (Munich: Katzbichler, 2015).

Example 52. Beethoven, Fifth Piano Concerto in E $\flat$  Major, Op. 73, first movement, mm. 11–12

[Allegro]

figure from dominant to tonic. (Here the horns, cellos, and basses reinforce the rhythm.) The turn figure on E $\flat$  is so distinctive that it acts both as a signpost and as a unit for sequential travel again and again in the movement. The descending arpeggio (G–E $\flat$ –C) provides constant potential for modulation, and its formation as vi, the relative minor, provides an opening to the many minor passages in the development section of the movement. The dotted rhythmic gesture is a staple of inner strength that can provide a firm accompaniment or be multiplied into substantive statements of preparation. And finally, of course, the individual units can be combined to create a contrapuntal texture of richness and power. There are contrasting elements in the movement (the double-identity second-key-area material – first as tiptoeing staccato strings, *pianissimo* and minor, and then as legato horns, *dolce* and major – is an important one), but the beginning seed provides the vast majority of the genetic material for this extended and powerful Allegro.

Sometimes a Beginning as Seed presents not melodic, rhythmic, or harmonic elements but a structural concept. As Charles Rosen showed, the structural concept behind the Piano Sonata in B $\flat$ , Op. 106 (“Hammerklavier”), is that of

descending thirds.<sup>142</sup> Every movement of this enormous composition (almost 1,200 measures) is based on the idea, and “the use of descending thirds is almost obsessive, ultimately affecting every detail in the work.”<sup>143</sup> Let us summarize this obsession. The first key of the first movement is B $\flat$ , the second key G Major, the development mostly in E $\flat$  (the composer highlights the identification of these keys by changes of key signature). The recapitulation interpolates a lengthy passage in G $\flat$ . The themes of both Scherzo and Trio are textbook designs of small gestures in rising and falling thirds. The slow movement is in F $\sharp$  minor, a third away from the B $\flat$  of the first two movements, and it opens with a pair of rising thirds in bare octaves.<sup>144</sup> Its second key is D, a third below the first. The slow introduction to the last movement is based on a series of descending thirds interspersed with improvisatory passages, and the fugue of the last movement begins with a leap of a tenth into a formal pattern that descends from B $\flat$  to G $\flat$  to E $\flat$  minor, and from B minor to G Major to E $\flat$  Major and then from D to B $\flat$ .

But what is crucial here is the way the beginning of the entire sonata embodies the conceptual basis of the work (see Example 53). The beginning is made up of two highly contrasting periods, each ending with a fermata. The first period, *fortissimo*, staccato, has two parts, rhyming, separated by rests, and a third apart. Each ends with a falling third. The second period, *piano*, legato, has thirds built

<sup>142</sup> Rosen, *The Classical Style*, 404–35.

<sup>143</sup> *Ibid.*, 407.

<sup>144</sup> This opening is another mode-misleading beginning, for it implies A Major, with an expected completion of the arpeggio to E at the beginning of the second measure; the F minor comes as a gentle surprise. We know that Beethoven added this one-measure beginning to the slow movement of the “Hammerklavier” Sonata at a very late stage. See his letter dated April 16, 1819 to Ferdinand Ries in London: *Briefwechsel Gesamtausgabe*, Letter No. 1309, vol. 4, 278; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 940, vol. 2, 806. Sieghard Brandenburg suggests that the letter is misdated by two months and was probably sent on June 16. See *Briefwechsel Gesamtausgabe*, vol. 4, 279. Barry Cooper thought that – based on the date of the letter’s arrival in London – even the day might be wrong. See Barry Cooper, review of *Ludwig van Beethoven: Briefwechsel Gesamtausgabe*, ed. Sieghard Brandenburg, 7 vols. (Munich: Henle, 1996–98), *Journal of the Royal Musical Association* 125 (2000), 127–31, at 128. Robert Hatten writes that the return of the octaves in the coda of this movement expresses “utter desolation . . . next to the registral density of the [preceding] outburst” and that “one can infer a reason for preparing this texture from the beginning: to allow it to develop in significance as an enunciation of the profoundly objective.” See Hatten, *Musical Meaning in Beethoven*, 26. Apparently Brahms had second and then third thoughts about the beginning of the first movement of his Fourth Symphony. He wrote four measures that he contemplated adding to this beginning, but he later erased them. See Louise Litterick, “Brahms the Indecisive: Notes on the First Movement of the Fourth Symphony,” in *Brahms 2: Biographical, Documentary, and Analytical Studies*, ed. Michael Musgrave (Cambridge, UK: Cambridge University Press, 1987), 223–35; cited in Heather Platt, *Johannes Brahms: A Research and Information Guide* (New York: Routledge, 2012), 12.

Example 53. Beethoven, Piano Sonata in B $\flat$  Major, Op. 106, first movement, mm. 1–8

**Allegro**

The musical score is presented in two systems. The first system shows measures 1 through 4. The bass clef part begins with a forte (*ff*) dynamic, playing a series of chords. The treble clef part begins with a piano (*p*) dynamic, playing a melodic line. The second system shows measures 5 through 8. The bass clef part continues with a melodic line, and the treble clef part continues with a melodic line, ending with a *ritard.* marking.

into every gesture, two eighths rising a third to a half note, sequenced three times to rise a third from first gesture to third. Thus the beginning contains the conceptual seed of the whole sonata.

A similar harmonic plan governs the first movement of the Piano Trio, Op. 97 (“Archduke”), also in B $\flat$ , also dedicated to Archduke Rudolph, and also a large four-movement cycle.<sup>145</sup> Here, too, the second key is G Major, and the cello theme is built on a chain of descending thirds. Again the development goes to E $\flat$ . The beginning theme begins with a rising third and features a prominent, repeated, descending third from B $\flat$  to G.

Other Beginnings as Seed tend later to trace an evolutionary or accretive trajectory. Such beginnings include those of the Op. 35 “Eroica” Variations and the last movement of the “Eroica” Symphony, the first and last movements of the String Quartet, Op. 59 No. 1, the Allegretto of the Seventh Symphony, and the beginning of the orchestral presentation of the “Freude” theme in the Ninth Symphony. In these movements the beginning is thin, bare, and low; to it are added layer after layer, until the beginning has grown into a full-throated acclamation, employing all the resources at hand, with a wide registral span and powerful dynamics. The layered growth is like that of a bulb (not just onion, but also amaryllis, agapanthus, and narcissus) or pearl.

<sup>145</sup> See David B. Greene, *Temporal Processes in Beethoven's Music* (New York: Gordon and Breach, 1982), 99–124.

## WHEN DOES A BEGINNING END?

In a speech at the Lord Mayor's Luncheon at Mansion House in London on November 10, 1942, after the defeat of Rommel's forces in Egypt, Prime Minister Winston Churchill famously said, "Now this is not the end. It is not even the beginning of the end. But it is, perhaps, the end of the beginning."<sup>146</sup> Determining the end of the beginning in music is sometimes straightforward. Call-to-Attention Beginnings, like those of the late string quartets of Haydn adduced above, are generally clearly separated from what follows. The opening gestures of Key-Establishing Beginnings often have clearly defined boundaries, as do those loud unison or arpeggio statements that are common at the beginnings of first movements. The opening full-orchestra *fortissimo* tonic unison of Haydn's Symphony No. 90 in C Major is followed by quiet staccato eighth notes, and it never returns. Where slow introductions end is also usually obvious, even when they lead *attacca* into the first movement proper, although the occasions on which elements from them recur later suggest a limitation to their ending; and if they reappear literally, they have not ended. A special beginning whose ending is clear is that for the opening of Beethoven's Fifth Piano Concerto, discussed above: a series of piano flourishes, supported on great big orchestral pillars of I, IV, and V chords and introducing something else: the principal theme of the first movement.

Some beginnings, however, lead more fluidly into what follows. The beginning of Mozart's "Prague" Symphony has a slow introduction with the conventional *forte* unison statement followed by rolled repetitions, but these lead directly into a rising *piano* arpeggio of separated eighth notes, which in turn lead to surprising harmonies, sinuously chromatic lines, and loud syncopations; but the arresting unisons do not return.

We know that a typical Mozart beginning when there is no slow introduction is a loud opening gesture followed by a quiet phrase, setting up a juxtaposition of contrasting affects that the composer exploits in what follows. In these cases (such as the Symphony in C, K. 200, the D-Major Symphony, K. 297, and the "Jupiter" Symphony, K. 551), both motives are incorporated into the ensuing movement, and the beginning does not have an ending boundary.<sup>147</sup> In fact, the sense of the beginning's having ended gradually dissipates as the music unfolds. A reverse phenomenon occurs with the beginning of the Symphony in A Major, K. 201. Here the quiet beginning, on strings alone, is lengthy – twelve measures in all – and is substantive, entering *in medias res*, with downward octave leaps and bustling eighth-note figures, rising stepwise. But then this beginning (or at least

<sup>146</sup> <http://www.churchill-society-london.org.uk/EndoBegn.html> (accessed May 9, 2016).

<sup>147</sup> With the Eb Sinfonia Concertante for Violin and Viola, K. 364, the opening fanfare chords return much later as a kind of mini-ritornello between opening statements of the soloists.

the first six measures of it) is repeated loudly, with the lower strings in canon and the added accompaniment of oboes and horns. The second beginning makes an end for the first beginning, thus separating it off, while simultaneously suggesting that it was just a warm-up for the “real” beginning at measure 13. But it is not made “redundant,” like a Beginning before the Beginning; rather its presence is turned into a “soft opening,” preparing the listener for the more intense version that is to come. Although the idea of a passage of quiet music followed by a loud version of the same music is conceptually simple, this is an unusual strategy among the scores of rhetorical strategies that Mozart devised for his beginnings.

Frequently a beginning is incorporated into the continuing music of the slow introduction, such as in Haydn's D-Major Symphony, No. 96, where the descending *forte* arpeggio is used first to introduce the tonic key and six measures later to switch into the minor mode. The B $\flat$  unison at the beginning of Symphony No. 102 returns verbatim after four measures of quiet, lightly scored string phrases, leaving open the question – which had seemed resolved – of where the beginning ends. After two strongly dotted full-orchestra unisons, first rising tonic to dominant (in D, which turns out to be minor), and then falling tonic to the dominant an octave lower, each ending on a fermata, the question of where the beginning of Symphony No. 104 ends also seems resolved. But Haydn builds the entire ensuing slow introduction on this double-dotted rhythm, and he repeats the opening gesture four measures later on F and then again on D, after an additional five measures, but this time with a twist. The second half of the gesture is suddenly very quiet, and it falls to the wrong note. This beginning doesn't end until the end of the slow introduction two measures later.

## CHAPTER THREE

# Unconventional Beginnings

### BEGINNINGS TO CONFOUND

SOME beginnings involve a deliberate feint towards a *wrong key*, so that the arrival of the right key comes accompanied by freshness and surprise. We can see this in the slow introduction to Beethoven's First Symphony, where the first sound is a V<sup>7</sup> chord: C<sup>7</sup> moving to F.<sup>1</sup> But the second measure gives us a G<sup>7</sup> chord that again defeats expectations, since it moves deceptively to A minor. Next, a measure of D Major crescendos to cadence on G. With constant underminings (the G chord is followed by a short phrase containing both G# and F#!), the real tonic of the movement is considerably delayed, being confirmed only at measure 8. It takes twelve measures of this Adagio molto introduction before a further definitive cadence onto C heralds the clear arrival of the Allegro con brio and its principal theme, now insistently affirming the tonic.<sup>2</sup> After its first phrase, however, this tonic moves up a step to a statement on the second degree before returning home. This is a move that became a favorite of Beethoven's, being found again in the Scherzo of the String Quartet, Op. 18 No. 1, the *Prometheus*

<sup>1</sup> Beethoven must have studied Haydn's Symphony No. 97, with its misleading opening and its direct entrance into the ensuing Allegro. See A. Peter Brown, *The First Golden Age of the Viennese Symphony: Haydn, Mozart, Beethoven, and Schubert* (Bloomington, Indiana: Indiana University Press, 2002), 269. When sketching an earlier C-Major symphony Beethoven also borrowed from the same Haydn symphony. See Douglas Johnson, "Beethoven's Early Sketches in the 'Fischhof Miscellany,' Berlin Autograph 28" (Ph.D. dissertation, University of Michigan, 1978), 464. Beethoven's beginning for the First Symphony was criticized in an 1805 review as being "not suitable for the opening of a grand concert in a spacious opera house." See Johann Friedrich Reichardt, "Grand Concert Performance in the Royal Opera House for the Benefit of the Widows of Musicians of the Royal Orchestra on 16, 23, and 30 December 1804," *Berlinische musikalische Zeitung* 1 (1805), 7, trans. in *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 167.

<sup>2</sup> Daniel Hertz suggests that Beethoven "was evidently aiming for a slow introduction less grandiose than those in Haydn's last six London symphonies or in Mozart's Symphonies No. 38 ("Prague") and No. 39 in Eb." See Daniel Hertz, *Mozart, Haydn and Early Beethoven, 1781-1802* (New York: Norton, 2009), 766. Carl Schachter suggests Mozart's "Jupiter" as a model. See Carl Schachter, "Mozart's Last and Beethoven's First: Echoes of K. 551 in the First Movement of Opus 21," in *Mozart Studies*, ed. Cliff Eisen (Oxford: Oxford University Press, 1991), 227-51.



overture, the String Quintet, Op. 29, and the String Quartet, Op. 59 No. 3.<sup>3</sup> Moves to the *flat*-second degree, the Neapolitan, occur in the “Appassionata” Piano Sonata and the String Quartet, Op. 59 No. 2, and – forcefully – in the Op. 95 String Quartet. Here in the symphony, the slow introduction acts as an alert for harmonic excursions, however brief, to come.

The beginning of the finale of Beethoven’s Fourth Piano Concerto in G (see Example 54) is in the wrong key. (It also is irregular in phrasing, with two ten-measure phrases.) It insists on C Major with a half-cadence in G; and the piano repetition of the orchestral opening phrase (an octave higher) is played over a C drone. (Both have only very sudden cadences to G.) And here also this wrong key is advance warning, in this case for a long-range modulation from the slow movement’s E minor (which leads *attacca* to the finale) to the G-Major “right” key of the rondo: E minor (= G Major vi) – C (IV) – D (V) – G (I). The modulation takes place over forty measures and across movements, but it has an inexorable logic, as do all of Beethoven’s harmonic surprises.

An even longer-range deception occurs at the beginning of the Piano Sonata, Op. 53 in C Major (“Waldstein”). Pounding low chords on C move through V<sup>7</sup> of G to G with low (third measure) and then high (fourth measure) terse bursts against them. The pounding drops to B $\flat$ . Again through V<sup>7</sup> to F. Again the terse figures. And in measure 9 the right hand goes even higher, holds the high note longer than expected, and finally cascades through a flurry of sixteenth notes to a half-cadence in C minor and a fermata.<sup>4</sup> A complete cadence in C Major does not arrive. And the second key is E.

A beginning in the wrong key may also be seen in the curiously off-center opening of the last movement of Beethoven’s String Quartet, Op. 59 No. 2. The piece begins on the downbeat three beats before it should, and this eccentricity of phrasing makes much of the movement stagger. The beginning is in C Major, which is major VI of the tonic, a way of refreshing the home key (to which it only returns fifty-six measures later), which, in either its major or minor form, has been the basis of every movement so far. C is iterated constantly – one might say obstinately – both in the pedal bass (frequently in double-stops) and in the forceful cadences. The last movement of Beethoven’s String Quartet, Op. 127,

<sup>3</sup> Tovey contrasts the beginning “dryly architectural treatment” of the First Symphony with that of the “quiet melodic breadth” of the String Quintet. Tovey, *Beethoven*, 86. Oulibicheff regards the beginning of the String Quintet as unforgettable in quite another way: “Quel dilettante, s’il l’avait entendu jamais, pourrait oublier le commencement du premier allegro, ce thème, qui vacille sur ses bases, frémissant d’une sainte horreur, comme la pensée d’un prophète, en travail de quelque grande révélation.” Oulibicheff, *Beethoven*, 146. John Daverio asserted that it was the lyricism of the beginning of the quintet that was a “breakthrough.” See John Daverio, “Manner, Tone, and Tendency in Beethoven’s Chamber Music for Strings,” in *The Cambridge Companion to Beethoven*, ed. Glenn Stanley (Cambridge, UK: Cambridge University Press, 2000), 147–64.

<sup>4</sup> Rosen (*The Classical Style*, 399) inexplicably heard C Major.

Example 54. Beethoven, Fourth Piano Concerto in G Major, Op. 58, last movement, mm. 1–20

**Vivace**

Vln 1  
Vln 2  
Vla  
Vc & Cb

*pp*

6

11 **SOLO**  
*mf*  
uno Violoncello

16

*tr*

begins ambiguously, suggesting G minor, though the tonic is E $\flat$  Major. Several other Beethoven works open on a harmony away from the tonic: the first movement of the Piano Sonata, Op. 31 No. 3, begins on a supertonic seventh chord; the opening chord of the *Prometheus* overture is a seventh chord on the tonic; and the first movement of the String Quartet, Op. 135, begins with a Phrygian cadence to the dominant.

A *mode*-misleading beginning can occur when the last movement of a major work begins in the minor. Haydn carried this deception to extremes in the last movements of his String Quartets, Op. 76 No. 1, in G Major, and Op. 76 No. 3, in C Major ("Emperor"). In the last movement of Op. 76 No. 3 the major does not return until the coda of the finale itself. While it is not clear how many listeners in Haydn's audiences would have known that the mode would ultimately turn to the major, he certainly kept the *Kenner* among them waiting for as long as he could.<sup>5</sup>

We have looked at Wrong Key Beginnings, in which the beginning of a work or movement deliberately suggests a key that is not the eventual tonic. A different kind of beginning is one in which the key is simply *in doubt*: a Beginning as Mystery. Rather than deliberately misleading, the beginning establishes a tonal mystery. Again, Haydn had a predilection for this kind of beginning, both in his chamber music and in his symphonies. The opening of the last movement of Haydn's Keyboard Sonata, Hob. XVI: 42, does not establish a tonic. In fact it has no clear key.<sup>6</sup> László Somfai has called this opening "a puzzle or a labyrinth game."<sup>7</sup> Haydn's String Quartet, Op. 17 No. 4, is the minor quartet of the set, but we wouldn't know it from the first two notes. In Haydn's String Quartet, Op. 50 No. 1, the cello begins with two measures, unaccompanied, of B $\flat$  quarter notes,

<sup>5</sup> The question as to the kind of listener a modern analyst should assume is discussed in Haimo, *Haydn's Symphonic Forms*, 106: "As [= Since] a central premise of the normative principle is the composer's calculation of the listener's expectations, we must assume that our listener is a highly educated listener from Haydn's time, perhaps another musician or an intelligent amateur with a passion for music." Hepokoski and Darcy refer to this person as an "informed listener." See Hepokoski and Darcy, *Elements of Sonata Theory*, 605. Leonard Meyer, in *Emotion and Meaning in Music*, "Meaning in Music and Information Theory," *The Journal of Aesthetics and Art Criticism* 15 (1957), 412–24, and *Music, the Arts, and Ideas* (Chicago: University of Chicago Press, 1967), implies, and Titchener and Broyles, in "Meyer, Meaning, and Music," 17–25, specify, an "ideal auditor," who is a "very well-placed judge or critic, [who] knows the style of the piece and the styles of the period and thus has an experiential basis" for informed musical expectations. (p. 17.) Of course the same listener changes as a listener upon each hearing of a work. This is well described by Cone, "Three Ways of Reading a Detective Story or a Brahms Intermezzo," 554–74.

<sup>6</sup> See Sisman, "Haydn's Solo Keyboard Music," 270–307. The sonata has been closely analyzed in rhetorical terms by Beghin, "Haydn as Orator," 201–54.

<sup>7</sup> László Somfai, *Keyboard Sonatas of Joseph Haydn: Instruments and Performance Practice, Genres and Styles* (Chicago: University of Chicago Press, 1995), 302.

suggesting a tonic, but when the other three instruments enter, they play a diminished chord, turning the cello's B $\flat$  into the seventh of the chord.<sup>8</sup>

There was something about B minor that encouraged ambiguity in Haydn's quartets. The first of his Op. 33 quartets is in B minor, but its beginning is in D.<sup>9</sup> There are many new techniques in Op. 33, but the sense of beginning in Op. 33 No. 1 is one of the foremost. The beginning of the beginning movement of the beginning quartet<sup>10</sup> pretends that it will be in the major. In most sets of quartets (either of three or of six) that include a minor work, it is almost always in the middle of the set.<sup>11</sup> Op. 33 is therefore exceptional in this regard, but its exceptionalism is

<sup>8</sup> Webster points out that beginnings that are ambiguous as to key generally involve thin texture, usually in the higher register. See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 131. Haydn's Symphony No. 97, in C Major, has a thirteen-measure slow introduction that is deliberately ambiguous as to key from the outset. Although the first chord is a unison C, and the second violins reiterate C eighth notes, the second measure turns these into members of a diminished-seventh chord.

<sup>9</sup> The clarity of its opening is contested: for several measures A $\sharp$  and A $\natural$  are in conflict, the melody insisting on the former, and the accompaniment on the latter. (Several times the notes appear simultaneously.) It is notable that Hummel's pirated edition of 1780 (one on which most subsequent editions were based) attempted to soften the ambiguity of this opening by adding a B and an A $\sharp$  to the second violin part in m. 2. By m. 6, an A $\sharp$  has crept into the melody as well. But this is fleeting. Continuation brings repeated clashes, including a touch of the Neapolitan at m. 10, until a final confirmatory cadence into B minor at m. 11 (with a five-voiced chord, *forte*) and a new theme resolve the conflict. D Major returns in its "proper" place in the movement as the second key area, so the rationale of this opening is that Haydn has brought the dialectic that is inherent in every sonata form movement – between the two principal keys of the exposition – out into the open, so to speak: up to the very front of the piece. Charles Rosen points out that this opening of the first movement of the first quartet of Haydn's new set of quartets was Haydn's "manifesto" of what he claimed to be his "new and special" style, but his suggestion is that the newness resides in the transformation of accompaniment to melody. See Rosen, *The Classical Style*, 115–17. A similar chromatic clash occurs at the opening of Op. 55 No. 3 (*Vivace assai*). Here E $\flat$  and E $\sharp$  succeed each other in rapid succession, both in the same voice and in different voices. The opposition carries through the first key area and is inverted in the second.

<sup>10</sup> The order of the works in this set is in doubt. See László Somfai, "An Introduction to the Study of Haydn's String Quartet Autographs (with Special Attention to Opus 77/G)," in *The String Quartets of Haydn, Mozart, and Beethoven: Studies of the Autograph Manuscripts. A Conference at Isham Memorial Library, March 15–17, 1979*, ed. Christoph Wolff and Robert Riggs (Cambridge, Massachusetts: Harvard University Press, 1980), 5–51. The first edition (Artaria, 1782) began with the G-Major quartet ("No. 5"). The traditional order, with the B-minor quartet at the beginning, originates from the Paris edition (Sieber, 1783). The modern edition places this quartet as No. 3 in the set. See *Haydn: Streichquartette Heft V, Russische Quartette, Opus 33*, ed. Sonja Gerlach and Georg Feder (Munich: Henle, 2006).

<sup>11</sup> For example Op. 9 No. 4, Op. 17 No. 4, Op. 20 Nos. 3 and 5, Op. 50 No. 4, Op. 55 (a set of three) No. 2, Op. 64 No. 2, and Op. 76 No. 2. Op. 74 (three quartets, which, together with Op. 71, formed a set of six) has its minor quartet last, at No. 3. Mozart's K. 421 in D minor is the second in his Opus 10, the set of six quartets dedicated to Haydn. Beethoven put the minor quartet fourth in his Op. 18 set of six, second in his

disguised by a pretense: that the work is in the major. Only after four measures do we discover that the convention has been overturned.<sup>12</sup> Similarly, at the beginning of the first movement of the String Quartet, Op. 64 No. 2, which is also in B minor, the first violin sounds in D Major before the arrival of the dominant seventh of B minor and a deceptive cadence halfway through measure 3. The real tonic does not arrive until measure 5.

The slow movement of Haydn's Symphony No. 35 begins as though in the tonic of the previous movement – B♭ – but its real key – E♭ – is not confirmed until measure 5. The finale of Haydn's Symphony No. 62 opens with some non-key (one that would contain chords of F Major, A<sup>9</sup>, E minor, G minor, G<sup>2</sup>, and A<sup>4</sup>).<sup>13</sup> Every other movement in the symphony has started on the tonic, making this strange keyless opening the more striking.<sup>14</sup>

Op. 59 set of three, and second in his projected set of three for Prince Galitzin (Op. 127 in E♭, Op. 132 in A minor, Op. 130 in B♭). Many contemporary sets of quartets include no minor work. Dittersdorf's quartets are all in major keys. Of Viotti's seventeen string quartets, only one is in a minor key, and it is placed second in a set of three (White ii, No. 17 in C minor). Among other particularly prolific contemporaries were Luigi Boccherini and Ignaz Pleyel. In his very early quartet sets, Boccherini occasionally placed a minor work first, in Op. 2 (1769) and Op. 9 (1772), but it also comes second (Op. 8) and last (Op. 15 and Op. 24). Later, the minor quartet in a set never comes first: in the late 1770s and 1780s, second and fifth in Op. 32, second and sixth in Op. 26, and fifth in Op. 22 and Op. 33; and by the 1790s, second in Op. 44, third in Op. 48, last of four in Op. 52, and fourth (of six) in Op. 58. Many of Pleyel's sets contain all major quartets (Op. 1 [Benton 301–06], Benton 319–24, Benton 325–30, Benton 346–51, Benton 381–86, Benton 359–64, and [sets of three] Benton 334–36 and Benton 343–45). In the sets that contain a minor quartet, it comes third (Benton 307–12 and Benton 313–18), third and sixth (Benton 353–58), second of three (Benton 340–42) or last of three (Benton 331–33, Benton 337–39, and Benton 365–67). Four of Pleyel's sets of three (Benton 331–33, Benton 334–36, Benton 337–39, Benton 340–42) were dedicated to the King of Prussia, and one (Benton 365–67) to Boccherini.

<sup>12</sup> David Schroeder sees an important social and cultural component in Haydn's string quartets and especially in Op. 33. Since the genre places four different people in a harmonious context, and accompaniments can become melodies and vice versa, social differences are erased in favor of equality. See David P. Schroeder, *Haydn and the Enlightenment: The Late Symphonies and Their Audience* (Oxford: Oxford University Press, 1990), 62.

<sup>13</sup> Among the Haydn symphonies and string quartets, Charles Rosen and James Webster have analyzed several beginnings that are ambiguous as to key, a strategy that Webster characterizes as “destabilizing.” Such beginnings occur four more often in the later works than in the earlier. See Webster, *Haydn's “Farewell” Symphony and the Idea of Classical Style*, 127 and 131, and Rosen, *The Classical Style*, 120–36.

<sup>14</sup> In m. 7 the affirmation of the tonic (D Major) is very strong: the whole orchestra – with full wind section (flute, oboes, horns, and bassoons) – enters, *forte*; the tessitura is greatly expanded – to four and a half and then five octaves; and the phrase structure becomes regularized (2+2) + (2+2). However, Haydn does something particularly clever with this beginning. Its sense of non-belonging, of standing outside the main movement because of its multiple non-conformances, is cancelled after m. 6 by the sequential continuity of its rising half-note gesture, the repetition of its rhythmic pro-

Example 55. Beethoven, Piano Sonata in E $\flat$  Major, Op. 31 No. 3, first movement, mm. 1–6

**Allegro**

Beethoven also deployed the Beginning as Mystery in his middle-period piano sonatas and string quartets. His Piano Sonata, Op. 31 No. 3 (see Example 55), has a most unconventional beginning. The first chord is ii $\flat_7$ , which put Tovey on his high horse (a position in which he spent a considerable amount of time) and flummoxed Rosen.<sup>15</sup> The sonority is reiterated repeatedly, in a low register, and leads to a diminished seventh, which is also held and then repeated, crescendo, until we reach the tonic, *sforzando*, in  $\flat_4$  position, which is held and then resolved in a wittily conventional cadential gesture. All this leads to variegated repeats of the opening, and, of course, utilization of all its salient elements throughout the movement.

While the opening of the “Appassionata” Sonata, Op. 57 (see Example 56), does outline the tonic arpeggio – first down and then up through two octaves

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file (half, half, dotted half, four sixteenths), and the continuation of its eighth-note accompaniment. (Its repetition – with richer orchestration – at the recapitulation serves as its final acceptance to “legitimacy.”) Additionally we should note the ambiguity of the non-belonging status of the very first measure of the movement. In itself this rising gesture from first to second measure moves from belonging to non-belonging, since its first two notes are part of a D-Major arpeggio and therefore would suggest that the movement will begin in the tonic, as did all three other movements; however its third note, C $\sharp_4$ , at the downbeat of m. 2, counteracts the key. At this very moment of non-conformance, however, the regular eighth-note pulsation of the accompaniment begins. So the dotted half note on C $\sharp_4$  both does not belong and is at the same time incorporated into a regular scheme. The delightful Trio of the Minuet, with its bassoon solo, is in G. Rosen mentions this opening briefly in his *The Classical Style*, 113–14.

<sup>15</sup> Tovey: “The honest old empiric name of ‘Added Sixth’ correctly describes the chord on which the first figure ... is announced twice. Its present bass is A $\flat$ , which, in the judgment of human ears, as distinguished from abstract theories, may pass for its “root.” ... Music being an art manifested in works of art, not an exact *a priori* science like Palmistry or Judicial Astrology, the only correct theory of chords is an account of the way in which they happen.” Donald Francis Tovey, *A Companion to Beethoven’s Pianoforte Sonatas (Complete Analysis)* (London: Associated Board of the Royal Academy of Music and the Royal College of Music, 1931), 137. Rosen: “The first chord mixes the allied harmonies of IV and ii (A $\flat$  Major and F minor, subdominant and supertonic).” Rosen, *Beethoven Piano Sonatas*, 174.

Example 56. Beethoven, Piano Sonata in F minor, Op. 57 ("Appassionata"), first movement, mm. 1–8

Allegro assai

The musical score shows the first eight measures of the piece. It is written for piano in F minor, 12/8 time. The tempo is marked 'Allegro assai'. The dynamic is 'pp' (pianissimo). The score is in a unison texture, with the right and left hands playing the same notes. The right hand has a dotted rhythm and an arpeggio outline. The left hand has a similar dotted rhythm and arpeggio. The music concludes with a cadence on a diminished chord.

in 12/8 – the unusual key (F minor), the unison texture, the *pianissimo* dynamic, the dotted rhythms, and the secondary-dominant coloring of the third measure lend the beginning a mystery that is only enhanced by the reiteration of the whole phrase a half-step higher, to cadence on a diminished chord. This opening becomes integral to the entire movement. Its closing gesture – V–V/V–V – anchors the whole of the first key area, while the dotted 12/8 rhythm and arpeggio outline of the beginning phrase characterize the principal theme of the second key area also – a unification that serves to emphasize the contrast between the tense F minor and the relaxed, *cantabile* A $\flat$ .<sup>16</sup> The tonic, F minor, is a key associated with strong, tragic feeling for Beethoven,<sup>17</sup> and it is the key he chose for the dungeon scene and Florestan's aria in the last act of *Fidelio*, music he was working on at the same time as the original conception of this sonata.<sup>18</sup>

The last movement of this same sonata begins with the extreme ambiguity of four and a half measures of a repeated diminished-seventh chord, a chord that also forms the basis of ensuing sixteenth-note runs, first in the right and then in both hands, before the ultimate arrival of the main key and first theme in measure 20.

<sup>16</sup> Rosen (*The Classical Style*, 442–44) suggests that the diminished-seventh chords of the opening are a springboard for the rest of the movement.

<sup>17</sup> See p. 68, n. 32.

<sup>18</sup> See Theodore Albrecht, "Beethoven's *Leonore*: A New Compositional Chronology," *Journal of Musicology* 7 (1989), 165–90; and Kinderman, "Contrast and Continuity in Beethoven's Creative Process," 197–98.

The Sonata in E, Op. 90, stands alone. It was the only piano sonata Beethoven wrote in the seven years from 1809 to 1816. Its two-movement E-minor/E-Major form is unique for Beethoven, though he may have had inspiration from Mozart's Violin Sonata, K. 304,<sup>19</sup> and its unusual charm is signaled by the directions (in German for the first time in the piano sonatas): "Mit Lebhaftigkeit und durchaus mit Empfindung und Ausdruck" ("With liveliness and throughout with sentiment and expression"). Its opening is cast in a regular eight-measure, alternating *forte-piano*, series of parallel statements, but the harmonic trajectory is disconcerting, moving first to V of III and then to G Major itself before ending in B minor. A gently syncopated descent pauses on B Major. This slippery opening, therefore, presages harmonic instability, which is carried out to the full in the kaleidoscopic presentation of apparently unrelated ideas through to A minor and then, with a half-step kick, up to B $\flat$  Major, before moving through diminished-seventh chords to the completely unexpected B minor for the second-key-area material and the remainder of the exposition.

As for Beethoven's middle-period string quartets, the finale of the String Quartet, Op. 59 No. 1, would be expected to be in F Major, since the previous movements are in the tonic major, the subdominant, and the tonic minor of F. But it has ambiguous tonality. The cello theme begins on D, and it is accompanied only by the first violin trilling between C $\sharp$  and D two octaves higher. (The theme's second note is C $\sharp$ .) This lends the theme a modal flavor, which well suits Beethoven's designation of it as "Thème Russe."<sup>20</sup> A C $\sharp$ , suggesting D minor, does not appear until the end of the fifth measure in the first violin and the end of the sixth measure in the cello. Leaning towards D minor in the context of F Major is a notable characteristic of the first movement, and, as Leonard Ratner pointed out, the "textural dispersion" between the cello and the violin helps to maintain the ambiguity.<sup>21</sup> And in terms of its harmonic ambiguity, the finale echoes this first movement.

"Si tratta questo pezzo con molto di sentimento." Thus run the instructions from Beethoven for the second movement, Molto Adagio, of the String Quartet, Op. 59 No. 2 (see Example 57); and the movement begins with a harmonized

<sup>19</sup> Mozart's sonata is his only violin sonata (out of over thirty) that is in a minor key. Like Beethoven's Op. 90, it is in E minor, and it has only two movements. Also the second movement has an important central section in the tonic major.

<sup>20</sup> Indeed Beethoven found this theme in the collection of Russian folk-songs by Nicolai Alexandrovich Lvov: *Sobraniye russkikh narodnikh pesen s ikh golosami, na muziku polozhi Ivan Prach* (Moscow, 1790), which appeared in an enlarged new edition in 1806. Here the theme is slow and in G minor/B $\flat$ . See Lockwood, *Beethoven: The Music and the Life*, 317.

<sup>21</sup> See Ratner, "Texture: A Rhetorical Element," 57.



Example 57. Beethoven, String Quartet in E minor, Op. 59 No. 2, second movement, mm. 1–2

**Molto adagio**

chorale in half notes.<sup>22</sup> The movement is in E Major (the tonic major, as in the Trio),<sup>23</sup> a key that seems to have suggested to Beethoven a certain heavenly sublimity. He turned to it for the Adagio of his Piano Sonata, Op. 2 No. 3; Leonore's uplifting aria "Komm, Hoffnung" in the first act of *Fidelio*; the transcendental variation movement of the Piano Sonata, Op. 109; and the song "Abendlied unterm gestirnten Himmel", WoO150 (1820). According to Czerny, Beethoven said that the inspiration for this quartet movement came from his contemplation of the "starry sky."<sup>24</sup> Here the ambiguity is expressed by a harmonic progression that is unconventional, for the chords move in E Major from I to V to ii to vi: a reverse cadential progression. In microcosm this mirrors the harmonic direction of the movement as a whole, for this also travels backwards: *up* the circle of fifths, from E to B to F#.

The barcarolle of the String Quartet, Op. 59 No. 3, is in A minor, with its delicious augmented second suggesting an "exotic" flavor. (It has been shown that Beethoven borrowed this arrangement of a Russian folk-song from an article on

<sup>22</sup> The chorale idea is taken up again in the slow movement of the String Quartet, Op. 132. The instructions recall those for the slow movement of the String Quartet, Op. 18 No. 1: "Questo pezzo si deve trattare colla più gran delicatezza." See Nicholas Marston, "Chamber Music for Strings Alone," in *The Beethoven Compendium: A Guide to Beethoven's Life and Music*, ed. Barry Cooper (London: Thames and Hudson, 1991), 232–39, at 234.

<sup>23</sup> The only other Beethoven quartet that has the same keynote throughout is Op. 18 No. 4 in C minor. Here it is also the second movement that is in the major.

<sup>24</sup> See Thayer, *Thayer's Life of Beethoven*, 75.

folk music in the July, 1804 issue of the *Allgemeine musikalische Zeitung*.<sup>25</sup>) But the song is not grounded on A. The cello's pizzicato pedal intones E, the dominant, making the harmony uncertain, while the texture of violin and cello alone contribute to the unmoored sensation.<sup>26</sup>

Another middle-period quartet in which the beginning key is a mystery is the slow introduction (*Poco Adagio*) to Beethoven's String Quartet in E $\flat$ , Op. 74 (see Example 58). The persistent D $\flat$ s in the first five measures lead us to hear the opening in A $\flat$ , which is later revealed as the key of the second movement, a slow rondo (like the slow movement of the "Pathétique" Sonata), marked "Adagio ma non troppo." The D $\flat$ s are maintained as the seventh degree of chords of V of IV

Example 58. Beethoven, String Quartet in E $\flat$  Major, Op. 74, slow introduction to first movement, mm. 1–9

**Poco adagio**

The musical score consists of four staves: Violin 1 (Vln 1), Violin 2 (Vln 2), Viola (Vla), and Cello (Vc). The tempo is marked "Poco adagio" and the dynamics are "sotto voce". The key signature is E-flat major (three flats). The first system contains measures 1-4, and the second system contains measures 5-9. The cello part features a prominent D-flat pedal point in the first five measures.

<sup>25</sup> See Mark Ferraguto, "Beethoven à la moujik: Russianness and Learned Style in the 'Razumovsky' String Quartets," *Journal of the American Musicological Society* 67 (2014), 77–124.

<sup>26</sup> See Ratner, "Texture: A Rhetorical Element," 59–60.

(mm. 13 and 17) and finally reinterpreted as V of the Neapolitan (m. 23) before an upward chromatic slide to D $\sharp$  gives us V<sup>7</sup> of I and the Allegro's downbeat on the true tonic, E $\flat$ .<sup>27</sup> The beginning gesture of the slow introduction, marked by a falling sixth and a rising fourth, influences the thematic material of the Allegro.<sup>28</sup> Nicholas Marston has suggested that this slow introduction with its questing harmonies and long slow chromatic rise of over an octave during the last seven measures might be Beethoven's response to the death of Haydn, in May of 1809.<sup>29</sup>

The opening of Beethoven's second setting of "An die Hoffnung," Op. 94 (1813), is exceedingly mysterious, if not murky.<sup>30</sup> It is in B $\flat$  minor, though it wanders unpredictably and *poco sostenuto* over a chromatically descending bass to a diminished-seventh chord introducing the unaccompanied voice's anguished question: "Ob ein Gott sei?" ("Is there a God?").<sup>31</sup> This beginning prepares us for the unusual nature of the song: a recitative and aria, with the aria in G Major and then in E $\flat$ , C Major, D minor, and B Major, setting a largely despairing text.

Then there is the key that doesn't exist. The Fantasia (Adagio) that is the second movement of Haydn's E $\flat$ -Major String Quartet, Op. 76 No. 6, has no key signature at the beginning. But the music visits B Major, C $\sharp$  minor, E Major, G Major, B $\flat$  Major, and A $\flat$  Major, until at measure 60 the music settles for the remainder of the movement into the very unusual key of B Major (and dense polyphonic texture) with five sharps indicated.<sup>32</sup> Mozart's Fantasia for Piano, K. 475, also has no signature except for during the short B $\flat$  Andantino section in the middle, though it ends in C minor.

<sup>27</sup> There are no sketches for this introduction, and Beethoven was still working it out in the autograph. See Lewis Lockwood, "Beethoven's 'Harp' Quartet: The Sketches in Context," in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana-Champaign, Illinois: University of Illinois Press, 2006), 89–108, at 92.

<sup>28</sup> See Arnold Schoenberg, *The Musical Idea*, ed. and trans. Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 187–89, and Lockwood, "Beethoven's 'Harp' Quartet," 89–108, at 92.

<sup>29</sup> Nicholas Marston, "'Haydn's Geist aus Beethovens Händen'? Fantasy and Farewell in the Quartet in E $\flat$ , Op. 74," in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana-Champaign, Illinois: University of Illinois Press, 2006), 109–31, at 125. See also A. B. Marx, *Ludwig van Beethoven: Leben und Schaffen*, 6th ed. (Berlin: Otto Janke, 1908), 312.

<sup>30</sup> An earlier setting, Op. 32, is from 1805 and employs strophic organization of the three stanzas.

<sup>31</sup> The marking *poco sostenuto* appears frequently for serious movements in Beethoven: they include this song; the beginning of the Seventh Symphony; the beginning of the Piano Trio, Op. 70 No. 2; the penultimate number "süßer Schlaf" in the incidental music for *Egmont*; and the third of the *Equali* for four trombones, WoO 30. The words "Ob ein Gott sei" and those from the rest of the introduction are omitted in Op. 32. Paul Ellison (*The Key to Beethoven*, 276) writes that the opening B $\flat$  minor "prepares the listener for the profound theological nature of the first vocal entry" and that the ensuing tonal instability is "the ultimate affective tool with which to deal with a question so profound."

<sup>32</sup> Hans Keller noted a close identity between the first two measures of this movement and the first two measures of the slow movement of Op. 76 No. 4. See Keller, *The Great Haydn Quartets*, 230.

There is little more ambiguous in musical harmony than the diminished-seventh chord, so a beginning based on that harmony is completely mysterious. Beethoven exploited this harmonic mystery to great effect in two beginnings. The String Quartet, Op. 59 No. 3, begins with this chord. It shifts to a dominant seventh, which is then reinterpreted as an augmented-sixth chord of E, which itself dissolves. It is not until some forty measures later that the real tonic of the movement, C Major, is established.<sup>33</sup> (And even then the listener is misled, for C is approached by means of C<sup>7</sup> (measure 41), as though we were going to F.) Finally, the *Maestoso* beginning of Beethoven's Piano Sonata, Op. 111 flings out a strongly dotted descending jump of a diminished seventh, followed by a chord of the diminished seventh, thus undermining all sense of harmony until a gentle cadence to C minor. Further diminished-seventh chords and a lengthy and tonally wandering passage, continuing the jerky rhythms, compound the uncertainty until a G pedal grounds the harmony for the strongly etched C-minor *Allegro*.<sup>34</sup> This beginning is recalled in brief *adagio* reminiscences during the *Ab* second-key-area material and the recapitulation, and, obliquely perhaps, in the unexpectedly quiet ending of the movement.

The mystery of a beginning can be rhythmic or metrical as well as harmonic. At the beginning of the last movement (Rondo – *Allegro*) of Beethoven's Piano Sonata, Op. 10 No. 3 (see Example 59), both the metric placement and the harmony are ambiguous.<sup>35</sup> The opening gesture is one of three eighth notes, followed, after two beats' rest, by a repetition of the gesture. A continuation introduces syncopation in the left hand and leads directly to a *forte* arrival on the highest note of the phrase. After this a further continuation is not stable. It

Example 59. Beethoven, Piano Sonata in D Major, Op. 10 No. 3, last movement, mm. 1–9, *hypothetical*

<sup>33</sup> The slow introduction to this movement may be another reminiscence of the opening of Mozart's String Quartet in C Major (the same key), K. 465.

<sup>34</sup> Lewis Lockwood points out that all three available diminished-seventh chords are invoked during this opening, a technique utilized also at the beginning of Act II of *Fidelio*. See Lockwood, *Beethoven: The Music and the Life*, 389.

<sup>35</sup> Kinderman writes that the rondo is "characterized by an unpredictable humor." William Kinderman, "Beethoven's High Comic Style in the Piano Sonatas of the 1790s, or Beethoven, Uncle Toby, and the 'Muckcart Driver,'" *Beethoven Forum* 5, ed. Christopher Reynolds and James Webster (1996), 119–38, at 133.

breaks into sixteenth notes, and ends with two fermatas. The elusiveness of the metrical layout continues with three-eighth-note gestures in a compressed time span, a deceptive cadence, two and a half beats' rest, a *fortissimo* outburst of the three-eighth-note gesture, and finally an authentic cadence leading to the first episode and, at the ninth measure, the first regularly metrical passage since the beginning. This rhythmic ambiguity is accompanied by harmonic ambiguity. The opening chords are either I–IV–IV in D or V–I–I in G. Since our work's tonic is D, we are more likely to hear the former, which strengthens the likelihood of our hearing the beginning as it is transcribed hypothetically above, with the first note on the downbeat. But it is not. Beethoven actually scores the music as shown in Example 60.

Our hearing of this beginning changes as the music unfolds. Since the movement is in rondo form, this opening, stating the refrain, recurs, allowing the metrical and harmonic ambiguity increasingly to dissipate upon each recurrence. Beethoven's varied recomposition of the refrain at its returns, adding responses and counterpoint and partially filling the gaps made by rests, also serves to clarify the written rhythmic and harmonic profile of the music.<sup>36</sup>

The G-Major Piano Sonata, Op. 31 No. 1, also misplaces its beginning beat (see Example 61). The right hand anticipates the left by a sixteenth for the first nine measures.<sup>37</sup> Rather like the sudden turn to a conventional cadence and rhythm in measure 9 of the rondo mentioned above, here the eccentricity is put in its place by on-beat chords to the dominant in measures 10 and 11. A sequential restatement of this beginning occurs on  $\flat$ VII, with a cadence to its dominant, and the first tonic on-beat cadence doesn't come until measures 25–26.

There are other movements in which Beethoven suggests in his beginnings that the downbeat is in a place other than where it is notated. In the Trio of the String Quartet, Op. 18 No. 5, *sforzandi* imply that the downbeat is on the third beat of the (3/4) measure. In the finale of the String Quartet, Op. 74, and the Allegro ma non tanto of the String Quartet, Op. 132, the harmony puts the downbeat on the second half of the 2/4 measures and the second beat of the 3/4 measures respectively; and in the Allegro assai vivace ma serio of the String Quartet, Op. 95, the downbeat is misplaced first by means of durational accent and subsequently by means of textural accent.<sup>38</sup>

<sup>36</sup> See Churgin, *Transcendent Mastery*, 164–66.

<sup>37</sup> Uhde describes this opening as follows: "An idea that is not by its nature anacrustic is forced to enter 'too early,' so that an upbeat results after all. This little musical antinomy, this contradiction between Nature and Will, is comparable to a battery, providing electricity for the movement." From Whiting's unpublished translation of Uhde, *Beethovens Klaviermusik*.

<sup>38</sup> See Harald Krebs, "Metrical Dissonance and Metrical Revision in Beethoven's String Quartets," in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana-Champaign, Illinois: University of Illinois Press, 2006), 31–59, at 32–39. Krebs characterizes the technique here as "displacement dissonance."

Example 60. Beethoven, Piano Sonata in D Major, Op. 10 No. 3, last movement, mm. 1–9, as written

**Allegro**

The musical score for Example 60 consists of three systems of piano and bass staves. The first system (measures 1-3) begins with a piano (*p*) introduction, followed by a crescendo (*cresc.*) leading to a fortissimo (*f*) section. The second system (measures 4-6) starts with a piano (*p*) section, followed by a piano-pianissimo (*pp*) section, and then a piano (*p*) section with a crescendo (*cresc.*). The third system (measures 7-9) begins with a fortissimo (*ff*) section, followed by a piano (*p*) section.

Example 61. Beethoven, Piano Sonata in G Major, Op. 31 No. 1, first movement, mm. 1–11

**Allegro vivace**

The musical score for Example 61 consists of two systems of piano and bass staves. The first system (measures 1-5) begins with a piano (*p*) introduction, followed by a fortissimo (*f*) section. The second system (measures 6-11) starts with a piano (*p*) section, followed by a fortissimo (*f*) section, and then a piano (*p*) section.

A favorite metrical ambiguity is that between duple and triple meter, and a favorite position for this beginning strategy is in the dance movement of the four-movement cycle. Whether they are labeled minuets or scherzos, these movements tend to have rhythmic ambiguity as an inherent quality. The Scherzo of Beethoven's Piano Sonata, Op. 14 No. 2, sounds from the beginning as though it is in 2/4; only at the third measure does 3/4 assert itself. The Trio of Beethoven's String Quartet, Op. 18 No. 1, has a brief duple passage in measures 3 and 4, the metrical "dissonance" being disruptive on its arrival and on its continuation.<sup>39</sup> The Scherzo of Beethoven's String Quartet, Op. 18 No. 6 (see Example 62), projects *two* duple meters against the notated 3/4.<sup>40</sup> The two violins play an implied 2/4 and the viola and cello an implied 6/8. Only with an added eighth note at the very end of measure 3 does the meter become (very briefly) clarified, as the instruments come together for a half-cadence on the following downbeat. Beethoven did write notated duple scherzos later in life, but here the duple groupings are set into an "official" template of triple meter.<sup>41</sup>

Another beginning that misleads as to rhythm starts the D-minor slow movement of Beethoven's Cello Sonata, Op. 102 No. 2. An eighth-note pickup to the narrow singing phrase in mid-register, expected each time for the remaining three iterations of the phrase, is simply not repeated. The finale of Beethoven's String Quartet, Op. 59 No. 2, begins with what sounds like a phrase conclusion

<sup>39</sup> The term "metrical dissonance" comes from Krebs, "Metrical Dissonance and Metrical Revision in Beethoven's String Quartets," 31–59, where these Beethoven examples are discussed. The Minuet (a scherzo in all but name) of Haydn's String Quartet, Op. 77 No. 2, begins with a projection of two against three. The first violin plays a phrase that can easily be parsed in 2/4, while the lower strings play conventional 3/4 patterns. This metrical ambiguity pervades the Minuet, and of course Haydn runs through all the possible permutations of instrumental juxtaposition. The Trio (of course) embraces the triple meter as solidly as possible. Similarly, the first violin in the Minuet of Haydn's String Quartet, Op. 77 No. 2, plays duple fragments against the triple meter of the other instruments; but this lasts only for four measures. For the next four all the other instruments are converted into duple time. Two additional measures round out the phrase. David Wyn Jones points out that while the quartets of Op. 33 use the title "scherzo," these movements are no wittier than other minuets by Haydn. After Op. 33 Haydn reverted to the label "minuet and trio," but many of these movements seem to call for faster playing; and three of the quartets – Op. 76 No. 1 and Op. 77 Nos. 1 and 2 – have minuets with the additional tempo marking "presto," suggesting that they are scherzos. See David Wyn Jones, "Minuets and Trios in Haydn's Quartets," in *Haydn the Innovator: A New Approach to the String Quartets*, ed. David Young (Todmorden: Arc Music, 2000), 81–97, at 85–86 and 93–94.

<sup>40</sup> Haydn projects two *triple* meters simultaneously at the beginning of the Trio of the Symphony No. 92, one beginning on beat 3 of the measure, the other on beat 1. The tug-of-war continues through both strains, and Haydn keeps the game fresh by constantly manipulating which instruments (winds? strings? oboe? low strings? high winds?) can be relied upon for stability. The answer, naturally, is none of them.

<sup>41</sup> This three-fold tension (2/4 against 6/8 against 3/4) would have been mostly appreciated by the intended principal audience for the quartet: the players themselves.

Example 62. Beethoven, String Quartet in B $\flat$  Major, Op. 18 No. 6, third movement, mm. 1–4

**Allegro**

Vln 1  
*p sf sf sf*

Vln 2  
*p sf sf sf*

Vla  
*p*

Vc  
*p*

Example 63. Beethoven, String Quartet in E minor, Op. 59 No. 2, fourth movement, mm. 1–3

**Presto**

Vln 1  
*fp*

Vln 2  
*fp*

Vla  
*fp*

Vc  
*fp*

(see Example 63). This beginning is also in the wrong key (C Major, which is VI of the tonic) and introduces a phrase that because of its lopsided beginning lasts for nine measures instead of eight.

Sacred vocal music was not immune from this kind of rhythmic ambiguity. In fact Beethoven uses it to programmatic effect in the Gloria of the *Missa Solemnis*, where the rising scale from degree 1 to degree 5 of the beginning deliberately misleads as to meter. It is designated as 3/4, but it sounds as 4/4, anticipating the



text underlay and allowing the composer to place his emphatic repeated eighth notes on the downbeat. This tension is resolved only with the entry of the horns and basses of the chorus on "Et in terra pax" in measure 43.<sup>42</sup>

Another kind of beginning mystery is a mystery as to form. The beginning of Haydn's Symphony No. 49 in F minor sounds like a slow introduction, with a six-measure phrase that ends on a half-cadence, prolonged by a fermata (see Example 64). The phrase itself contains a hiccup, since the full cadence at the beginning of the fourth measure is pushed aside by an offbeat accent on the second beat of the measure, leading to the phrase extension. This does not lead to an allegro; it leads to a varied restatement of the opening measures. Ultimately we discover that the slow tempo (*Adagio*) is a feature of the entire movement, not just of the opening, and that the symphony will fall into the pattern of the *sinfonia da chiesa*: slow-fast-(minuet)-fast.<sup>43</sup> Once an allegro sonata movement had become established as the conventional beginning for a work, a slow introduction was surprising. But as slow introductions to first movements became more common, a beginning that is slow but turns out to comprise the whole movement was a new kind of surprise.

<sup>42</sup> Beginnings can be employed to encourage a "mishearing" of meter. The Allegretto (second movement) of Haydn's Symphony No. 62 opens with a measure of apparent triplet arpeggios on the second violins, *con sordini* and *piano*. The triplets turn out to be half measures of 6/8, but we don't really hear this until m. 9. The finale of Haydn's String Quartet, Op. 76 No. 6, is in the unusual meter of 3/4, and its fragmentary material and displaced punctuation lead to perplexing confusion. The beginning of Haydn's String Quartet, Op. 77 No. 2, notated in 4/4, can be heard in a multitude of rhythmic groupings. And the finale of Haydn's Symphony No. 80 begins with what sounds like a downbeat but gradually becomes clarified as a syncopated upbeat. Haydn enjoyed creating a beginning with irregular phrasing. The first movement of his Keyboard Sonata, Hob. XVI: 19, in D Major begins with two wildly disparate phrases, the first of three measures, the second of five. At the beginning of the Keyboard Sonata in A $\flat$ , No. 46, he finds an even more unusual way of dividing up the eight measures: the phrases fall into patterns of 3+2½+2½. The beginning of the third movement of his String Quartet, Op. 64 No. 2, is a five-measure phrase, created by a redundant repetition of m. 2 to create m. 3 and push the end of the phrase to m. 5, leading ultimately to seven- and nine-measure phrase lengths – in what Hans Keller called "a veritable orgy of irregularity." See Keller, *The Great Haydn Quartets*, 154. This asymmetry is also heard in the second movement, a double-variation *Adagio ma non troppo*, in which the second theme falls into a five-plus-four-measure pattern. Floyd Grave and Margaret Grave draw attention to the 5+5 phrasing of the minuets of Haydn's String Quartets, Op. 20 No. 3 and Op. 54 No. 1, and the Trio of Haydn's String Quartet, Op. 64 No. 4. See Grave and Grave, *The String Quartets of Joseph Haydn*, 275.

<sup>43</sup> This movement has been discussed in detail in Haimo, *Haydn's Symphonic Forms*, 70–84. Symphonies by composers such as Hofmann, Ordóñez, Padre Martini, Sammartini, Michael Haydn, and Dittersdorf were still fairly commonly performed in church in the late eighteenth century, but Symphony No. 49 (1768) was Haydn's last in this form. Earlier *da chiesa* symphonies of Haydn's include Nos. 5, 11, 18, 21, and 22. Church reforms by Emperor Joseph II made instrumental music rare in Austria during the liturgy after 1783. See Neal Zaslaw, "Mozart, Haydn, and the *Sinfonia da chiesa*," *The Journal of Musicology* 1 (1982), 95–124.

Example 64. Haydn, Symphony No. 49 in F minor, first movement, mm. 1–6

**Adagio**

2 Ob

2 Hn  
in F

Vln 1

Vln 2

Vla

Vc. Bn.  
Cb

*p*

*p*

*p*

*p*

*p*

Both of Beethoven's piano sonatas of Op. 27 – No. 1 in E $\flat$  and No. 2 in C $\sharp$  minor (the “Moonlight”) – open with slow movements, though each of these may be rationalized by the label “quasi una fantasia.” Other beginning slow movements in the piano sonatas are those of Op. 26 (an *Andante con variazioni*), Op. 49 No. 1 (*Andante*) and Op. 54 (*In tempo d'un menuetto*) – both of these are two-movement sonatas – and Op. 110 (*Moderato cantabile molto espressivo*).

The Scherzo of Beethoven's Piano Sonata, Op. 7, begins with an eight-measure phrase ending on the dominant, suggesting that it will be answered by a consequent phrase of equal length returning to the tonic (E $\flat$ ), but after four more measures the music stops, fragments, stutters, and then breaks out into syncopated harmonies, offbeat accents, and running eighth notes, concluding after an additional sixteen measures. The second half of this unusual two-reprise form is seventy-one measures long, involving canons, a shift to the tonic minor, whole-measure rests, suspensions, *pianissimo* dynamics, and a codetta. The Trio is *minore*, with continuous triplets. Thus the formal promise of the beginning is belied by the very unusual rhetoric of the remainder of the movement.<sup>44</sup>

<sup>44</sup> See Schmidt-Beste, *The Sonata*, 113–14. Schmidt-Beste points out that Beethoven often does not label his scherzos as such, providing them, as in Op. 7, only with tempo markings, thus allowing him to move further from the dance heritage of the minuet and

The slow movement (*Poco adagio, quasi andante*) of Beethoven's Horn Sonata, Op. 17, which is in a mournful F minor, turns out not to be a slow movement, for after sixteen measures it flowers into a flourish for piano right hand and ends on a dominant fermata, leading directly into the rondo finale. Formal ambiguity colors the "Introduzione" of the "Waldstein" Piano Sonata, Op. 53. It begins like a slow movement, and it turns into a short aria form, but it also ends on the dominant and leads into the finale. Similarly, the *Adagio cantabile* of Beethoven's Cello Sonata, Op. 69, begins as a slow movement but ends too soon and leads directly into the finale. And after twenty-eight measures the sixth (!) movement, *Adagio quasi un poco andante*, of Beethoven's String Quartet, Op. 131, in the minor dominant, breaks abruptly into the last movement.

The basic construction of a beginning can announce the form of the ensuing movement.<sup>45</sup> A *cantabile* melody in two-reprise form at the beginning of a movement often announces a set of variations. A finale that begins with a square-cut, catchy theme with regular phrasing, diatonic harmony, and notable rhythm frequently invokes a rondo (for example, the finale of Haydn's Piano Trio, Hob. XV: 27, in C Major, the finale of Mozart's Clarinet Concerto in A Major, K. 622, or the finale of Beethoven's Violin Sonata, Op. 12 No. 1, in D Major).<sup>46</sup> But the very regularity of such a beginning invites composers who delight in trickery to utilize it to deceive and amuse, as Gretchen Wheelock and Danuta Mirka have demonstrated.<sup>47</sup> The rondo of Haydn's String Quartet, Op. 33 No. 2, in E $\flat$  (the "Joke"), where the beginning comes back to make questions out of the ending, is perhaps the best known of these Classic-era movements in which a composer creates a mystery by manipulating the outlines of the form.

A movement that is confounding in every possible realm is the Minuet and Trio from Haydn's "Farewell" Symphony. This movement, from an overtly programmatic work, utilizes ambiguity of form, key, texture, instrumentation, rhythm, and dynamics for the deliberate projection of instability and irresolution.<sup>48</sup> Key is undermined; frequent syncopation creates rhythmical and metric

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even craft some scherzos in duple meter. Only the formal ternary form is maintained. (Ibid., 114.) Nottebohm showed from the sketches that the entire sonata evolved from this movement. See Nottebohm, *Zweite Beethoveniana*, 508–11. The relationship is further discussed in Kinderman, "Contrast and Continuity in Beethoven's Creative Process," 193–224, at 195–97.

<sup>45</sup> Hans Keller, discussing the finale of Haydn's String Quartet, Op. 55 No. 2, writes that "Haydn was the first composer to make us expect a form, not in view of his successive structural events, but in view of the sheer character of his themes." Keller, *The Great Haydn Quartets*, 133.

<sup>46</sup> Haydn's rondos are also often signaled by the movement's beginning with a rounded binary form, but, of course, these are usually fast.

<sup>47</sup> See Wheelock, *Haydn's Ingenious Jesting with Art*, 143–46, and Mirka, *Metric Manipulations in Haydn and Mozart*, 300.

<sup>48</sup> See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 64–71.

confusion; and form is obscured by putting strong cadences in the wrong place, using linking phrases across sectional divisions, and inserting variants of internal “repetitions.” In addition, dynamics change with disruptive frequency, and rapid textural shifts as well as instrumental changes reinforce the abrupt dynamic switching. Beginnings are integral to this disruption.

There is even a beginning that pretends to be overly *unambiguous*. By this I mean the establishment of a very closed, four-square opening that seems to stop too soon. In Mozart, Haydn, and early Beethoven, square-cut beginnings promise an organized explanation. The beginning of Mozart’s Divertimento in B $\flat$ , K. 287, for two horns and strings, presents two four-measure phrases, both of which start and end on the tonic (see Example 65a). The “closing” nature of this beginning is demonstrated by Mozart’s bringing it back for the coda. The two phrases are, with some subtle differences of scoring, the same. They offer up a characteristic Mozartean alternation of *forte staccato* and *piano legato*. In a way, therefore, this beginning is hermetic; only its positioning at the beginning allows for the promise of continuation. But within this closed and unambiguous world, Mozart creates a wealth of ambiguity. Let me count the ways. The first two chords are declarations of I and IV in fully voiced root position. But the listener doesn’t know this. The listener hears B $\flat$  followed by E $\flat$ , which sounds like V–I in E $\flat$ . It is not until measure 3 that the identity of B $\flat$  as the tonic is suggested. From there our *piano legato* phrase moves to a definitive cadence on B $\flat$ , *forte*, at the downbeat of measure 5. So during the first four measures, our certainty that E $\flat$  is the tonic re-adjusts to the fact that B $\flat$  is, in fact, the tonic. But at the same time as the downbeat of measure 5 is the ending of the first phrase, it is simultaneously the beginning of the second (repeated first) phrase. This second phrase (with the exception of the subtle scoring changes – note the violas and horns) is the same as the first, again starting *forte* with two staccato chords and again continuing *piano* with legato articulation. But we don’t hear it as the same, because of the bi-valence of the first chord and because, now that we know what the tonic is, we don’t hear the first progression as V–I, but as I–IV. Its position as the second phrase also marks it in our minds as the last, since a three-fold repetition of an opening four-measure phrase is conventionally highly unlikely. The ending of the second phrase does in fact launch into an accelerated sense of momentum, as the violas begin a reiterated eighth-note accompaniment, and the violins start to play a new idea also based on eighth notes. Therefore the two four-measure phrases at the beginning of the divertimento are the same and not the same. Their harmony sounds differently in each case, their beginnings are different (one a definitive beginning, the other both an end and a beginning), and the first is an antecedent and the second a consequent. The internal balance of the phrases also leads to ambiguity, for, rather than a 2+2 organization, the balance (imbalance) is 1+3. This creates a double function for the first two chords.

Example 65. Mozart, Divertimento in B $\flat$  Major, K. 287, first movement, mm. 1–9,  
(a) as written; (b) hypothetical

a) **Allegro**

2 Hn in B $\flat$  alto  
Vln 1  
Vln 2  
Vla  
Basso

5

Let us re-write this beginning (see Example 65b). In this version, the first two chords are annunciatory, and the legato phrase then spans four measures, leading to a normal cadence at the beginning of measure 5, with just the first of the two chords, followed by two quarter rests. Again the two chords, and again the legato phrase. This would provide a different beginning. A look at this re-written

b) **Allegro**

2 Hn in B $\flat$  alto

Vln 1

Vln 2

Vla

Basso

5

version, with its “normalized” scansion, allows us to see how Mozart has integrated his beginning chords into his beginning phrase, how he has elided (the fictive) measures 5 and 6 into one measure, and how the end of the second phrase is also elided into the beginning of the continuation.

## BEGINNING AS WIT OR HUMOR

Wit and humor overlap, but there is enough of a distinction to make the two words useful. Wit induces a smile; humor a chuckle. Wit is narrow and sometimes dry; humor broad and less intellectual. Music can embrace either or both. Haydn became famous for his *Laune* – whim, caprice, fancy. The first strains of the Minuet and Trio of his Symphony No. 47 are written so that they can be played backwards – note for note and with all dynamic markings in place – as the second strains.

The one-beat opening of Symphony No. 61 in D, *forte*, on full orchestra (and as full as possible, with the first and second violins and violas all triple-stopping, combined with a timpani whack) is immediately followed by a perky little staccato theme, narrow, bouncy, full of sixteenths and staccato eighths, *piano*, and on high strings alone (until the last two measures when the cellos and basses confirm the half-cadence). The wit at the beginning of Haydn's Symphony No. 81 follows an announcement of the tonic with its *forte* six-voice string chord in G and drumming eighth notes on G<sub>3</sub> in the cellos with a complete cancellation of that key in measure 3.

Perhaps because the string quartet is a more intimate genre, Haydn's wit is particularly on display in these works.<sup>49</sup> The last movement of Op. 33 No. 2 doesn't end; it just begins again. The beginning three-note motive of the Scherzo of Op. 33 No. 6 is incongruously stuck in by the viola at the end of the second reprise. The finale of Op. 50 No. 2 sounds like an *opera buffa* ensemble, with simultaneous ideas, both paired and opposed, and a derisive echo all packed into the first two measures.<sup>50</sup> The beginning of Haydn's String Quartet, Op. 50 No. 3, in E $\flat$  is an exercise in humor.<sup>51</sup> The Minuet of his String Quartet, Op. 71 No. 2, is an amusing game of up and down. And humor can arrive in the form of an incongruous juxtaposition. The lighthearted tune in the first violin at the beginning of the last movement of the String Quartet, Op. 64 No. 6, is answered after four measures by a stern unison in all four strings, low, chromatic, and alternating staccato descents with a legato turn. The heavy, twelve-voice E $\flat$  chord that begins Haydn's String Quartet, Op. 71 No. 3, is carefully set outside the form of the first movement: neither the exposition repeat nor the recapitulation includes it, and, indeed, Haydn places the tempo marking that marks the beginning of the movement after it (see Example 66). It is simultaneously a call to attention, an announcement of key, a flexing of muscles for the performers, and – because

<sup>49</sup> For Haydn's pervasive quality of wit, see Wheelock, *Haydn's Ingenious Jesting with Art*; Steven E. Paul, "Wit, Comedy, and Humour in the Instrumental Music of Franz Joseph Haydn" (Ph.D. diss., Cambridge University, 1980); and Andreas Ballstaedt, "'Humor' und 'Witz' in Joseph Haydn's Musik," *Archiv für Musikwissenschaft* 55 (1998), 195–219.

<sup>50</sup> See Grave and Grave, *The String Quartets of Joseph Haydn*, 231.

<sup>51</sup> See Sutcliffe, *Haydn String Quartets*, Op. 50, 85.

Example 66. Haydn, String Quartet in E $\flat$  Major, Op. 71 No. 3, first movement, mm. 1–6

Vivace

between it and the lively, rather lighthearted start of the exposition stands an imprecise pause (a fermata measure) – a creator of expectation. In retrospect it is humorous, for its stentorian quality stands in contrast to the wit and gaiety of the first theme and, indeed, the movement as a whole.

The first movement of Op. 76 No. 1 begins with three powerful nine-voiced chords, implying a sense of self-importance, which only dissipates as a lone cello continues *piano*, mocking the puffed-up opening. (The other instruments then enter in turn, from low to high.)

Haydn's *Laune* showed in his piano trios too. The last movement of the Piano Trio, Hob. XV: 27, in C Major balances a leaping gesture with a descending run, but both end with offbeat accents, accentuated by rests (see Example 67a). The humor comes from these accents and the brevity of the gestures, all of which are emphasized by the complete symmetry of the phrasing. Partly, too, the humor of this movement comes from the contrast between its self-consciousness and the more serious beginning of the first movement of the same work, where the leaping right hand of the piano expresses a “look at me” attitude (see Example 67b). In the first movement, the gesture is sequenced; in the last, it is simply repeated verbatim. The reference is clarified by the two-measure phrases and the offbeat endings in the opening themes of both movements.

Beethoven was more serious than Haydn (most people were). Nonetheless there are moments of wit or humor in his works too. William Kinderman suggests parallels between Laurence Sterne's humor and that of Beethoven in the piano sonatas of the 1790s.<sup>52</sup> Leonard Meyer calls the beginning of the last movement

<sup>52</sup> Kinderman, “Beethoven's High Comic Style in the Piano Sonatas of the 1790s,” 119–38.



Example 67. Haydn, Piano Trio in C Major, Hob. XV: 27, (a) third movement, mm. 1–8; (b) first movement, mm. 1–4

a) **Presto**

The musical score for Example 67a is presented in two systems. The first system contains measures 1 through 4, and the second system contains measures 5 through 8. The score is for a Piano Trio in C Major, Hob. XV: 27, third movement, marked Presto. It consists of three staves: Violin (Vln), Viola (Vc), and Piano (Pf). The Violin and Viola parts are mostly rests, while the Piano part has a complex rhythmic pattern with sixteenth and thirty-second notes. The score is divided into two systems, with the second system starting at measure 5.

of Beethoven's Fourth Symphony "brusquely witty and genially willful."<sup>53</sup> He shows how skillfully Beethoven manipulates rhythm, conventional expectations of melodic continuation, changes of register, and the interruption of full-orchestra chords to disrupt the flow of the music and delight the ear of the listener. The Eighth Symphony plays tonal jokes in its first movement (though you wouldn't know it from the beginning).<sup>54</sup> But for a work that perches on the edge of humor, wit, seriousness, and eyebrow-raising flamboyance, there is no better example than Beethoven's Fantasia for Piano, Op. 77 (see Example 68). Indeed it

<sup>53</sup> Meyer, *Explaining Music*, 221.

<sup>54</sup> Humor in the Eighth Symphony is discussed in Ernst Laff, "Der musikalische Humor in Beethovens achter Symphonie," *Archiv für Musikwissenschaft* 19–20 (1962), 213–24; Lockwood, *Beethoven: The Music and the Life*, 234; Benet Casablancas Domingo, *El humor en la musica: broma, parodia e ironia* (Barcelona: Galaxia Gutenberg, 2014), 2, n. 2; Lewis Lockwood, *Beethoven's Symphonies: An Artistic Vision* (New York: Norton, 2015), 169–72.

b) **Allegro**

The musical score is for a piece in G minor, marked 'Allegro'. It consists of three staves: Violin (Vln), Viola (Vc), and Piano (Pf). The first system shows the beginning of the piece. The Violin and Viola parts start with a forte (f) dynamic, while the Piano part starts with a piano (p) dynamic. The second system begins at measure 3, marked with a '3' above the staff. The Piano part features a complex texture with multiple layers of notes and rests, and includes a 'ten.' (tension) marking. The dynamic markings are f and p.

is not really an example, for in its multiple layers it is unique. And it is probably this extraordinary mingling of registers that prevents its being performed very often. Although fantasies or fantasias were an opportunity for works of irregular construction, there is no work by either Haydn, Mozart, or Beethoven of such irregularity.<sup>55</sup> It begins in G minor and moves through F minor, A $\flat$  Major, and D Major to end in B Major. It is jerky and disruptive, with constant changes of tempo (Allegro – Poco adagio – Allegro – Poco adagio – L'istesso tempo – Allegro – L'istesso tempo di sopra – Allegro ma non troppo – Allegro con

<sup>55</sup> "Eine Fuge zu machen ist keine Kunst, ich habe deren zu Dutzenden in meiner Studienzeit gemacht. Aber die Phantasie will auch ihr Recht behaupten, und heut' zu Tage muss in die alt hergebrachte Form ein anderes, ein wirklich poetisches Element kommen." So said Beethoven to Karl Holz, according to Holz. See Wilhelm von Lenz, *Beethoven: Eine Kunststudie*, vol. 5 (Hamburg: Hoffmann & Campe, 1860), 219. Uhde writes: "Beethoven's Fantasy Op. 77 goes very far in the direction of improvisation, probably further than any other piece in the whole classical literature." From Whiting's unpublished translation of Uhde, *Beethovens Klaviermusik*.

Example 68. Beethoven, Fantasia for Piano, Op. 77, (a) beginning; (b) ending

a) **Allegro** **Poco adagio**

**f** **p**

**Allegro** **Poco adagio**

**f** **p**

**L'istesso tempo**

*espressivo*

**Allegro** **L'istesso tempo di sopra**

**f** **p**

Example 68a (continued)

11

*espressivo*

15

*p cresc.*

b)

269

Adagio

*p f p più piano*

272

*pp pp f f*

Lea \* Lea \* Lea \*

brio – Adagio – Non troppo presto – Adagio – Presto – Più presto – Adagio – Allegretto – Non troppo presto – Tempo primo – Adagio), switches of meter ( $4/4 - 2/4 - 6/8 - 2/4 - 6/8 - 2/4$ ), rapid alternations of affect (*espressivo dolce con brio – leggiermente*), and a constant kaleidoscope of dynamics (ranging from *f* to *p*, *ff* with *sforzandi*, and *pp* – or even *ppp* – to *ff* within a single measure). Halfway through this potpourri, it settles incongruously into a set of variations in B Major, a structure whose recognizability is ludicrous in this context, and then touches impertinently on C before the slow and then brusquely fast ending (marked, in the left hand, in one-hundred-twenty-eighth notes). It is filled with pauses, unmeasured rests, ornamented passages, singing lines, brutal staccatos, virtuoso filigree, and pounding chords. Scholarly explanations of this piece range from “improvisatory,” “a medieval drama,” “questions and efforts,” underlying unity (one tone!), unity by the interval of a third, and harmonic connection to the Fifth Piano Concerto and the Piano Sonata, Op. 78, written about the same time.<sup>56</sup> But Hugh Macdonald has suggested persuasively that “disunity, diversity, illogicality, inconsistencies, and contradictions [are] themselves the principal idea of the piece.”<sup>57</sup>

How to begin a work like this? Beethoven decides on two rapidly descending thirty-second-note scales in allegro tempo, separated by a pause, spanning four octaves. Then come two measures of a gently lilting phrase in G minor. More plunging scales. And it turns out that if there is any recurring motive in the piece it is these startling scales, which race downwards, and occasionally upwards as well, reaching their apotheosis near the end, when the scale completes a run down and then up and then down again. And the ending juxtaposes scale fragments in both hands in opposite directions. Macdonald, however, warned against looking for order in the piece: “Beethoven ... would surely smile at our well-meaning attempts to find the structural point of the work.”<sup>58</sup>

<sup>56</sup> Suggestions respectively by Czerny, Lenz, Paul Bekker, Jürgen Uhde, and Jürgen von Oppen. See Hugh Macdonald, “Beethoven’s Game of Cat and Mouse,” in *Beethoven’s Century: Essays on Composers and Themes* (Rochester, New York: University of Rochester Press, 2008), 3–15, at 7–8. See also Paul Mies, “... quasi una fantasia,” in *Colloquium Amicorum: Joseph Schmidt-Görg zum 70. Geburtstag*, ed. Siegfried Kross and Hans Schmidt (Bonn: Beethoven-Haus, 1967), 239–49; and Sean Schulze, “A Neglected Opus: An Examination of the Structural Procedures Employed in Beethoven’s ‘Fantaisie pour le Pianoforte,’ Opus 77,” *The Beethoven Journal* 19 (2004), 72–82. Lewis Lockwood writes that “it has all the earmarks of a written-out improvisatory composition.” See Lockwood, *Beethoven’s Symphonies*, 73.

<sup>57</sup> Macdonald, “Beethoven’s Game of Cat and Mouse,” 8. He further explicates: “The point of the work is that it has no structural point.” It is “a deliberate attempt to stress the disruptive elements of music.” *Ibid.*, 9.

<sup>58</sup> *Ibid.*, 9.

## BEGINNING AS ICONOCLASM

Occasionally a beginning is deliberately designed to break a convention. The beginning of Mozart's *E♭* Piano Concerto, K. 271, does this by bringing in the soloist after one measure of the first movement (see Example 69). But the iconoclasm is carried out with music of such balance and beauty that no offense can be taken. Here the surprise is heightened by the abrupt phrasing. An arpeggiated orchestral fanfare on the full orchestra (full, at this stage of Mozart's career, meant strings, oboes, and horns) is answered by a gentle, conjunct, arch-shaped phrase on solo piano. The symmetry (fanfare: *E♭*<sub>5</sub> ending on *B♭*<sub>4</sub>, I–V; piano: *B♭*<sub>4</sub> ending on *E♭*<sub>5</sub>, V–I) and elegance of this exchange disguises an asymmetry: the phrase structure is  $(1\frac{1}{2}+1\frac{1}{2}) \times 2$ , created by elision. Instant and exact repetition for the second phrase grounds the irregularity and tells us that it is not a mistake. After this the formal exposition begins in measure 7. But, of course, everything that happens in the rest of the movement is colored by this beginning. The principal theme is made up of elements from both the fanfare and the piano's response. The "real" entrance of the piano is now not this entrance, but the one at m. 56. The drama is now not one of a new and much-anticipated appearance of the soloist, as is the norm for classical concertos, but of a welcome return to an eloquence only briefly begun.<sup>59</sup> This second ("real") entrance too is unconventional, but, like the opening iconoclasm, gently so. It overlaps the close of the orchestral exposition, and it does so not with a theme, but with a trill, calling attention to itself while simultaneously blending with the orchestra's continuing flow. Its affect is, as Rosen puts it, of "witty insouciance."<sup>60</sup> The fanfare returns in the development, and the piano's response is now continued, sequentially, a surprise of a surprise. Finally the fanfare-plus-response returns, twice, before the cadenza at the close of the movement.

Mozart never repeated this particular assault on the convention of concerto beginnings (though "assault" is too strong a word for such a gentle and masterly stroke). The composer who learned from it the most was Beethoven, whose Fourth and Fifth Piano Concertos begin with the piano (the former, literally, with the piano alone; the latter with spectacular piano runs and flourishes interspersed with full-orchestra chords).

Other iconoclastic beginnings of Beethoven include the hammering opening of the Fifth Symphony and its immediate pause; the first chord of the Allegretto of the Seventh Symphony, which is in *I*<sub>4</sub> position; the diminished-seventh chords at the beginning of the String Quartet, Op. 59 No. 3, and the Piano Sonata, Op. 111;

<sup>59</sup> "... as if continuing a conversation." Rosen, *The Classical Style*, 198.

<sup>60</sup> *Ibid.*

Example 69. Mozart, Piano Concerto in E $\flat$  Major, K. 271, first movement, mm. 1–7

**Allegro**

2 Ob *a 2*

2 Hn in E $\flat$  *a 2*

Pf *f*

2 Vln *f*

Vla *f*

Vc & Cb *f*

4

*f* *f* *f* *f* *f* *f* *f* *f*

*p* *p* *p* *p* *p* *p* *p* *p*

and the last movement of the Ninth Symphony, with its “horror fanfare”<sup>61</sup> of B $\flat$  superimposed on D minor and review of previous movements. The beginning of the String Quartet, Op. 95 (see Example 70), with its initial sixteenth notes, *forte* dynamics, legato bowing giving way to staccato, differently inflected descending and ascending scale fragments, and unison texture – all of which is followed by silence and then by brutally brusque aggressive leaps – must have thoroughly startled its first auditors. After two beats more of silence in which they might have absorbed this manic beginning, they were thrust instantly into a new tonality a half-step higher, as the music shifts – by means of a melodic tritone – into the Neapolitan. And an extraordinary iconoclastic beginning is that of the finale

Example 70. Beethoven, String Quartet in F minor, Op. 95, first movement, mm. 1–5

**Allegro con brio**

The musical score consists of two systems of four staves each. The first system shows measures 1 through 3. Measures 1 and 2 feature a unison texture of sixteenth notes in all four parts, marked with a forte (*f*) dynamic. After two beats of silence in measure 3, the music shifts to a new tonality. The second system shows measures 4 through 5, continuing the unison texture with staccato articulation and a melodic tritone shift.

<sup>61</sup> The term was coined by Wagner. See Richard Wagner, “Zum Vortrag der neunten Symphonie Beethovens,” *Musikalisches Wochenblatt* (April 4, 1873), 209–13; (April 11, 1873), 225–31.



of Op. 130, the *Grosse Fuge*, with its table of contents. Opening a movement with solo timpani was also extremely rare, and Beethoven did so softly at the beginning of the Violin Concerto, and very loudly in the opening measures of the Scherzo of the Ninth (a solo repeated four times in the F Major “Ritmo di tre battute” section).

Haydn occasionally chose a home key that was exceedingly rare: his Piano Trio, Hob. XV: 31, is in E $\flat$  minor (six flats), and his Symphony No. 46 is in B Major (five sharps).<sup>62</sup> But Beethoven was even more frequently radical: he chose C $\sharp$  minor (four sharps) both for a string quartet (Op. 131) and for a piano sonata (Op. 27 No. 2), and his Piano Sonata, Op. 78, is in F $\sharp$  Major (six sharps). These would have raised the eyebrows of the performers, if not of the listeners.<sup>63</sup> (The Appendix puts the rarity of these choices, especially the sharp keys, into context.) Although “iconoclasm” may be too strong a word for the unconventional ordering of works within a set, we should here take note of those sets of piano sonatas in which, against tradition, Beethoven put the minor work first: Op. 2, in which the first sonata is in F minor; Op. 10, in which the C-minor sonata comes first; and Op. 49, whose first sonata is in G minor.

<sup>62</sup> The radicalism of this key has a precedent in the B-Major Symphony (Fischer 17) of Georg Matthias Monn, who was one of the Viennese pre-classical composers who may have influenced early Haydn.

<sup>63</sup> Even for a work in four sharps – the String Quartet in C $\sharp$  minor, Op. 131 – Beethoven had written to his publisher: “Don’t be frightened by the four sharps.” *Briefwechsel Gesamtausgabe*, Letter No. 2215, vol. 6, 294–95; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1531, vol. 3, 1312.

## CHAPTER FOUR

### Beginning as Structural Unit

#### SLOW INTRODUCTIONS

A slow introduction encompasses the same functions as the prologue to an Elizabethan drama, which variously prefigures the outlines of the plot (*Romeo and Juliet*),<sup>1</sup> acts as an apologia for the limitations of the stage (*Henry V*)<sup>2</sup> or as a simple elaboration of the title (*Doctor Faustus*),<sup>3</sup> or sets the scene by outlining what has transpired before the action of the play begins – and, in the case of *Troilus and Cressida*, by then launching it *in medias res*:

Now expectation, tickling skittish spirits,  
On one and other side, Trojan and Greek,  
Sets all on hazard. And hither am I come  
A prologue arm'd, but not in confidence  
Of author's pen or actor's voice, but suited  
In like conditions as our argument,

- <sup>1</sup> Two households, both alike in dignity,  
In fair Verona, where we lay our scene,  
From ancient grudge break to new mutiny,  
Where civil blood makes civil hands unclean.  
From forth the fatal loins of these two foes  
A pair of star-cross'd lovers take their life.

(William Shakespeare, *Romeo and Juliet*, Prologue)

- <sup>2</sup> But pardon, and gentles all,  
The flat unraised spirits that have dared  
On this unworthy scaffold to bring forth  
So great an object: can this cockpit hold  
The vasty fields of France? or may we cram  
Within this wooden O the very casques  
That did affright the air at Agincourt?  
O, pardon! since a crooked figure may  
Attest in little place a million;  
And let us, ciphers to this great accompt,  
On your imaginary forces work.

(William Shakespeare, *Henry V*, Prologue)

- <sup>3</sup> Only this, gentles – we must now perform  
The form of Faustus's fortunes, good or bad.

(Christopher Marlowe, *Doctor Faustus*, "Chorus")

To tell you, fair beholders, that our play  
 Leaps o'er the vault and firstlings of those broils,  
*Beginning in the middle*; starting thence away  
 To what may be digested in a play.  
 Like or find fault; do as your pleasures are:  
 Now good or bad, 'tis but the chance of war.<sup>4</sup>

Elizabethan prologues were liminal events, like slow introductions, demanding the attention of a noisy audience, standing between non-event and event, and ushering listeners from the quotidian world to the world of heightened feeling and imagination.<sup>5</sup>

A slow introduction is a special case of a beginning designed to delay a beginning. It was in the tradition of eighteenth-century introductions to promote a sense of wandering. They tend to traverse many keys, sometimes obscure, and involve a thick texture woven out of varied note lengths.<sup>6</sup> Arrival at the “real” beginning generally brings tonal stability, a more transparent texture, and a clear-cut theme. The sense of arrival, mingled with relief and renewed anticipation, is palpable.<sup>7</sup> This design was deployed effectively by both Haydn and Mozart, and by the latter part of their careers the slow introduction had become normative.

<sup>4</sup> William Shakespeare, *Troilus and Cressida*, Prologue (my italics).

<sup>5</sup> See Douglas Bruster and Robert Weimann, *Prologues to Shakespeare's Theatre: Performance and Liminality in Early Modern Drama* (London: Routledge, 2004).

<sup>6</sup> “Introductions of this type play a large part in setting the dramatic stage of the listener’s consciousness.” Glenn Spring and Jere Hutcheson, *Musical Form and Analysis: Time, Pattern, Proportion* (New York: McGraw Hill, 1995), 106. Lewis Rowell has pointed out that slow introductions followed by fast movements have analogues in many non-Western musics and that even in Western music there are historical precedents in the pairings of prelude and fugue and of recitative and aria: “I consider this to be a very deep-seated human response to the idea of time as first *becoming*, then as *being* – a cosmological statement in tonal form.” See Rowell, “The Creation of Audible Time,” 206. Edward Cone regarded an introduction as “an expanded upbeat.” See Cone, *Musical Form and Musical Performance*, 24.

<sup>7</sup> Hepokoski and Darcy tried to categorize the possible trajectories of slow introductions by positing a concept of four functional “zones.” But they admit that it is difficult to do: “By no means do all introductions make use of all four zones. An introduction may omit, elide, or intermix one or more zones. ... One may also encounter an idiosyncratic introduction in which the zone-concept seems inapplicable or strained as a background interpretive device.” Hepokoski and Darcy, *Elements of Sonata Theory*, 297. The idea of the slow introduction was already fairly common in predecessors and contemporaries of Haydn and Mozart, such as Leopold Hofmann, Ordonez, Dittersdorf, Gassmann, Georg Matthias Monn, and Vanhal. Wenzel Pichl (1741–1805) particularly favored the slow introduction. Nearly half of his symphonies after 1768 display this feature. See David Wyn Jones, “... und so musste ich original werden’: How Original was Haydn in His Symphonies?,” *Atti dell’ Accademia Roveretana degli Agiati di Scienze, Lettere ed Arti* 2 (1992), 37–56, at 49. Hofmann uses it regularly from the 1750s on, and it is common in symphonies by Gassmann. It does not become a frequent element for Haydn until the mid-1770s. *Ibid.* See also Marianne Dankwardt, *Die*

Eleven of Haydn's last twelve ("London") symphonies begin with a slow introduction, and so do some of the symphonies before that: three of the six "Paris" Symphonies and three out of the symphonies Nos. 88 to 92.<sup>8</sup> Some appear independent of the allegro that follows, and others – for example, No. 73 in D Major ("La Chasse"), No. 81 in G Major, No. 97 in C Major, No. 98 in B $\flat$ , No. 100 in G Major ("Military"), and No. 103 in E $\flat$  ("Drumroll") – present material that returns, thus linking the introduction organically to what follows, though the relationship may be subtly disguised.<sup>9</sup> Haydn's slow introductions often employ tonic arpeggios, dotted rhythms, a statement in the tonic minor, a preparatory dominant area, and a fermata. Up to Symphony No. 88, Haydn usually used a different meter in the introduction from that employed in the ensuing fast movement. But beginning with Symphony No. 90 (1788), he used the same meter for both, which enabled him to make the rhythmic, thematic, and motivic connections that interested him more and more in his later works.<sup>10</sup>

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*langsame Einleitung: Ihre Herkunft und ihr Bau bei Haydn und Mozart*, 2 vols. (Tutzing: Schneider, 1977). These statistics would seem to contradict Elaine Sisman's assertion ("Genre, Gesture, and Meaning," 33) that "slow introductions were by no means ubiquitous or even expected in symphonies of the mid-1780s." In his *Versuch einer Anleitung zur Composition*, 3 vols. (vol. 1, Rudolstadt: Böhme, 1782; vol. 2, Leipzig: Böhme, 1787; vol. 3, Leipzig: Böhme, 1793), Koch describes the introduction as "slow and serious. ... It requires neither characteristic figures nor a special meter. Rather it can appear in all meters and use all figures [that] have an earnest character." See *Heinrich Christoph Koch: Introductory Essay on Composition*, trans. Nancy Kovaleff Baker, Music Theory Translation Series (New Haven: Yale University Press, 1983), 199.

<sup>8</sup> See Peter Benary, "Die langsamen Einleitungen in Joseph Haydns Londoner Sinfonien," in *Studien zur Instrumentalmusik: Lothar Hoffmann-Erbrecht zum 60. Geburtstag*, Frankfurter Beiträge zur Musikwissenschaft, ed. Anke Bingmann, Klaus Hortschansky, and Winfried Kirsch (Tutzing: Schneider, 1988), 239–51.

<sup>9</sup> See H. C. Robbins Landon, *The Symphonies of Joseph Haydn* (London: Universal, 1955), 408–10; Danckwardt, *Die langsame Einleitung*, 112–13; Gail E. Menk, "The Symphonic Introductions of Joseph Haydn" (Ph.D. diss., University of Southern California, 1971); and Raimund Bard, *Untersuchungen zur motivischen Arbeit in Haydns sinfonischen Spätwerk* (Kassel: Bärenreiter, 1982). On a first hearing, this sense of a relationship between the slow introduction and the allegro can, of course, happen only retrospectively, when we recognize in the allegro material that we have heard before. During subsequent hearings – or after closer analysis – we know the relationship and can hear and enjoy it in both directions: forwards and backwards.

<sup>10</sup> See Haimo, *Haydn's Symphonic Forms*, 209–10. Webster points out that Haydn tended increasingly to establish a relationship between introduction and ensuing movement in his later works: "[I]n general, the later the work, the closer and more pervasive the relations." Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 162. In Symphony No. 99 the relationship between introduction and symphony is particularly pervasive. The slow introduction presents the organizing principle of key relations by thirds. Then the first movement moves from the tonic E $\flat$  to C Major and G; the slow movement is in G; the Trio in C Major. "So thorough and systematic an exploration," writes James Webster, "throughout a symphony, of tonal implications first presented in the slow introduction was not to be heard again until Beethoven's Seventh." *Ibid.*, 329.

It is notable that the only symphony of Haydn's set of twelve "London" Symphonies without a slow introduction is also the only minor symphony in the set (No. 95, in C minor).<sup>11</sup> In fact, none of Haydn's symphonies in minor keys are provided with slow introductions.<sup>12</sup> Neither of Mozart's two minor symphonies has a slow introduction. Four of Beethoven's symphonies have slow introductions (Nos. 1, 2, 4, and 7), and none of these is in a minor key. It seems plausible that the minor key was considered enough of a rarity and therefore sufficiently unconventional that the addition of a slow introduction would be "to gild refined gold, to paint the lily, to throw a perfume on the violet," to indulge, in other words – as the Earl of Salisbury continues – in "wasteful and ridiculous excess."<sup>13</sup>

<sup>11</sup> The "London" Symphonies were written between 1791 and 1795 especially for his two trips to England and were deliberately created to make an effect. Hepokoski and Darcy write that a substantial introduction "thematizes the claim of the formality of the occasion and the seriousness of the composition." Hepokoski and Darcy, *Elements of Sonata Theory*, 295.

<sup>12</sup> However, one of the D-Major "London" symphonies – No. 101, "The Clock" – begins quietly with a slow introduction in the tonic minor, and one – No. 104 – also has a slow introduction in D minor, though its opening is a *fortissimo* fanfare from tonic to fifth, so that its minor quality is not apparent until the third measure.

<sup>13</sup> Shakespeare, *King John*, Act IV, Scene 2. However, the C-minor symphony of Joseph Martin Kraus (1783), which is in three movements only, has a *Larghetto* slow introduction to the first movement. Vanhal's Symphony in D Major (c. 1779, Bryan D17) has a lengthy (sixty-two-measure) slow introduction (*Andante molto*) in D minor. (Vanhal was, apart from being Haydn and Mozart's quartet partner, the composer of a very large number of symphonies between the mid 1760s and 1781 and one of the most important composers of symphonies in Austria in the second half of the eighteenth century. See Jones, "... und so musste ich original werden," 50. The Carl Stamitz Symphony in D Major ("La Chasse," D10) has a dramatic slow introduction. Kozeluch appends slow introductions to two of his eleven symphonies. Paul Wranitzky's Symphonies in D, Op. 36, and C minor, Op. 11 No. 1, have slow introductions. His *Grand Characteristic Symphony for Peace with the French Republic*, Op. 31, also begins with a slow section, though this is programmatic of the Revolution. (The "peace," based on the 1797 Treaty of Campo Formio, lasted only fifteen months.) Hofmann has a slow introduction to his Symphony in D Major (1762, Badley D4). See John Irving, "The Viennese Symphony 1750–1827," in *The Cambridge Companion to the Symphony*, ed. Julian Horton (Cambridge, UK: Cambridge University Press, 2013), 24. In the years around 1770 Haydn concentrated on minor keys for his symphonies. There are seven symphonies all in minor keys from 1765 to 1774 (No. 26 in D minor, No. 34 in D minor, No. 39 in G minor, No. 44 in E minor, No. 45 in F# minor, No. 49 in F minor, and No. 52 in C minor): none of these have slow introductions, though Nos. 34 and 49 have beginning slow movements. Vanhal also seems to have concentrated on minor-key symphonies around this time, writing eleven symphonies in minor keys between about 1765 and 1776. But other contemporary composers did not. The minor-key symphonies of Dittersdorf and Ordóñez represent a relatively small proportion of their output and are spread across their careers; Gassmann wrote only two minor-key symphonies; Michael Haydn only one. Albrechtsberger, Dussek, Hofmann, and Pichl wrote no symphonies in minor keys. See Jones, "... und so musste ich original werden," 51–53.

An orchestral introduction forms the beginning to the Kyrie of Haydn's *B♭ Harmoniemesse*. This is full of dynamic contrasts, with the sudden irruption of a unison G♭ half note in the fifth measure, obstinate repeated notes, staccato, and the completely unprepared and unexpected arrival of the full chorus, *fortissimo* (Haydn's autograph manuscript score has the word written out in fresh dark ink under the figured bass, in addition to the abbreviation *ff* or *f* in the parts) on a diminished-seventh chord.<sup>14</sup> Mass settings from the Classic period often begin with a slow Kyrie that opens the Kyrie–Christe–Kyrie movement, and this also performs the function of a slow introduction to the Mass as a whole.<sup>15</sup> The powerful contrasts here are emphasized by the unusually full wind band: flute, two oboes, two clarinets, two bassoons, and two horns, in addition to two trumpets, and timpani (hence the nickname).<sup>16</sup>

Mozart's general interest in the idea and execution of beginnings and in slow introductions in particular is shown by the fact that he probably added slow introductions to some of his string arrangements of Bach fugues.<sup>17</sup> And of course we know that he wrote a slow introduction to the three-movement symphony in G Major, long known as his own Symphony No. 37, but which in fact is a work by his older Salzburg contemporary Michael Haydn. Mozart wrote slow introductions for three of his last five symphonies (Nos. 36 in C Major ["Linz"], 38 in D Major ["Prague"], and 39 in E♭ Major), but in these he indulged in a special rhetorical effect, which was to have the slow introduction build up to an anti-climax. The slow introduction to the "Linz" (see Example 71) features the double-dotted rhythms characteristic of French overtures (reinforced by trumpets and drums).<sup>18</sup> It is only nineteen measures long, but its poignancy is

<sup>14</sup> The autograph is in the Bibliothèque Nationale and available online at [http://imslp.org/wiki/Mass\\_in\\_B-flat\\_major,\\_Hob.XXII:14\\_%28Haydn,\\_Joseph%29](http://imslp.org/wiki/Mass_in_B-flat_major,_Hob.XXII:14_%28Haydn,_Joseph%29) (accessed March 5, 2015).

<sup>15</sup> The resemblance has been pointed out by Martin Chusid and James Webster. See Martin Chusid, "Some Observations on Liturgy, Text, and Structure in Haydn's Late Masses," in *Studies in Eighteenth-Century Music: A Tribute to Karl Geiringer on His Seventieth Birthday*, ed. H. C. Robbins Landon and Roger E. Chapman (New York: Oxford University Press, 1970), 125–35; and James Webster, "The Creation, Haydn's Late Vocal Music, and the Musical Sublime," in *Haydn and His World*, ed. Elaine Sisman (Princeton, New Jersey: Princeton University Press, 1997), 57–102, at 70.

<sup>16</sup> In the late eighteenth and early nineteenth centuries, the word *Harmonie* referred to a wind band, made up of six or eight wind instruments, which played at banquets and outdoor events.

<sup>17</sup> See Ernst Lewicki, "Mozarts Verhältnis zu J. S. Bach," *Mitteilungen der Berliner Mozart-Gemeinde* 15 (1903), 163–79; Alfred Einstein, "Mozart's Four String Trio Preludes to Fugues of Bach," *Musical Times* 77 (1936), 209–16; and Warren Kirkendale, "More Slow Introductions by Mozart to Fugues of J. S. Bach?," *Journal of the American Musicological Society* 17 (1964), 43–65.

<sup>18</sup> Unusually, Mozart brings back the trumpets and drums for his slow movement (Andante, in F), although they only play the notes of the C triad throughout (with

Example 71. Mozart, Symphony No. 36 in C Major, last four measures of slow introduction and first four measures of first movement

[Adagio]

20

2 Ob *f*

2 Bn *p* *fp* *pp* *ff*

2 Hn in C *p* *pp* *ff*

2 Tpt in C *p* *pp* *ff*

Timp in C & G *pp* *ff*

Vln I *p fp* *fp* *fp fp fp f ff*

Vln II *p fp* *fp* *fp fp fp f ff*

Vla *p* *fp* *fp fp fp f ff*

Vc + Cb. *p* *fp* *fp fp fp f ff*

powerful, marked by chromatic lines disturbed further by suddenly-loud eighth notes and *fp* accents.<sup>19</sup> The last gesture is an anticipatory *fortissimo* dotted fanfare on the dominant. But this anticipation leads to an anti-climax: a mid-range tune

one D). Haydn may have learned from this example. The Andante of his Symphony No. 88 (written four years after Mozart's symphony) also uses trumpets and drums. And Beethoven sketched a symphony in C – some years before his First Symphony – that he did not bring to completion, with a slow introduction modeled on that of Mozart's "Linz." However, Beethoven's First Symphony, also in C, and also with an andante in F, follows Mozart's and Haydn's practice by including the trumpets and drums in the slow movement. See Zaslaw, *Mozart's Symphonies*, 388.

<sup>19</sup> Fortunately, the *Neue Mozart Ausgabe* has clarified that the leaden *on-beat* accents that mar so many recordings of this work should be played on the offbeats of m. 18.

## Example 71 (continued)

**Allegro spiritoso**

24

The musical score consists of four systems of staves. The first system has a treble clef staff with a whole rest and a bass clef staff with a melodic line starting on G4, marked 'a 2' and 'p'. The second system has two treble clef staves and a bass clef staff, all with whole rests. The third system has a treble clef staff with a melodic line starting on G4, marked 'p', and a bass clef staff with a melodic line starting on G2, also marked 'p'. The fourth system has a treble clef staff with a sixteenth-note pattern, marked 'p', and a bass clef staff with a melodic line starting on G2, marked 'p'.

in the first violins that starts with two whole notes that are lost in the Alberti figurations of the second violins, the held G of the violas, and the repeated quarter-note pedal Cs of the cellos, basses, and bassoons. Only in the third measure do we realize that a theme has been emerging. This build-up leads to very little. (It goes without saying that this very little becomes quite a lot rather soon in the evolving *Allegro spiritoso*.)<sup>20</sup>

The slow introduction to *Symphony No. 38 in D Major, K. 504* (“Prague”), is the longest of Mozart’s mature symphonic introductions (see Example 72).<sup>21</sup> It, too, leads to an anti-climactic *Allegro* beginning, but it contains a wealth of

<sup>20</sup> Mozart used this designation also for the first movements of his *Symphonies No. 23 in D Major, K. 181*, and *No. 28 In C Major, K. 200*.

<sup>21</sup> This introduction is analyzed in Ratner, *Classic Music*, 104–06; and Sisman, “Genre, Gesture, and Meaning,” 33–45. Ratner (*Classic Music*, 315) describes it as “[t]he most impressive introduction in Classic music.”



Example 72. Mozart, Symphony No. 38 in D Major, last four measures of slow introduction and first seven measures of first movement

[Adagio]

33

2 Fl

[p]

2 Ob

p

2 Bn

[p]

2 Hn in D

[p]

2 Tpt in D

[p]

Timp in D & A

[p]

Vln 1

[p]

Vln 2

[p]

Vla

[p]

Vc & Cb

[p]

6

6

surprises before that point. The opening unisons are imitative of drumstrokes, rather than full fanfares, but they do not return – something we would expect in a strong annunciatory beginning.<sup>22</sup> Rather, we hear a series of highly varied gestures, including a fully developmental passage, which is primarily in D minor,

<sup>22</sup> Melanie Lowe has suggested that the stability of openings (with their dotted rhythms, fanfare types, and ceremonial march-like character) is expressive of nobility, regality, and order, “as the constancy of the sovereign was the most stabilizing force for the European citizenry of the time.” See Lowe, *Pleasure and Meaning in the Classical Symphony*, 32. And Janet Levy points out the “authoritative” quality of unison passages, which impose order and embody unanimity. See Levy, “Texture as a Sign in Classic and Early Romantic Music,” 507–09.

## Example 72 (continued)

35

*pp*

*pp*

*pp*

*pp*

*pp*

*pp*

*pp*

*pp*

*pp*

*pp*

*pp*

though it moves through B $\flat$  Major, F $^7$ , D $^7$ , G minor, and a diminished-seventh chord on G $\sharp$  to reach an extended dominant preparation on A.<sup>23</sup> All this creates high expectation.<sup>24</sup> But again our expectation is thwarted, or at least only very

<sup>23</sup> Mozart may have borrowed some of these ideas from the opening of Haydn's Symphony No. 75, also in D Major. Two years before the composition of the "Prague," he wrote down the incipit to Haydn's symphony. See Sisman, "Genre, Gesture, and Meaning," 45.

<sup>24</sup> The resemblance of the minor area of this introduction to the overture to *Don Giovanni*, written a year later, has been widely noted. See Ratner, *Classic Music*, 315; Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart: 'Le nozze di Figaro' and 'Don Giovanni'* (Chicago: University of Chicago Press, 1983), 198 and 362, n. 4; and Sisman, "Genre, Gesture, and Meaning," 28 and 42. Sisman also suggests a shorter reference to Act II of *Die Zauberflöte*. (*Ibid.*, 42.)

## Example 72 (continued)

**Allegro**  
37

2 Fl  
2 Ob  
2 Bn  
2 Hn  
in D  
2 Tpt  
in D  
Timp in  
D & A  
Vln 1  
Vln 2  
Vla  
Vc &  
Cb

*p*

modestly rewarded, for all we get is nothing. Or as close to nothing as the beginning of an allegro can get: syncopated first violins, *piano*, alone on the single pitch D<sub>4</sub>. Low strings, also syncopated, add very little of substance. It is only after six measures of this that the winds, trumpets, and drums give us a proper motive. And, of course, the syncopated passage of little promise becomes a perfect foil for that motive. Mozart has used an elaborate beginning to lead to defeated expectation and a concomitant challenge: how to turn disappointment into even greater satisfaction.

The slow introduction to Mozart's Symphony No. 39 in E<sub>b</sub> (see Example 73) is noble, portentous, and grand, with its trumpets and drums, pervasive dotted rhythms, downward-rushing scales (answered later by upward-rushing scales in the bass), and descent into murky harmonies, syncopated strings, and chromatic

wind chords (clarinets and no oboes).<sup>25</sup> Chromatic descending lines in stark octaves – opened by rising intervals of a diminished seventh followed by a tritone – lead into the Allegro. But this arrival is once again anti-climactic.<sup>26</sup> The preparatory I<sub>4</sub>–V in E $\flat$  in a full chord in winds and strings, across the range of the orchestra, from B $\flat$ <sub>2</sub> in the basses to F<sub>5</sub> in the flute, is completed by a single E $\flat$ <sub>3</sub>, *piano*, in the bass.<sup>27</sup> The effect of this anti-climax is to allow the Allegro opening to be deliberately diffuse and undefined, yet another beginning ploy to control an array of rhetorical effects throughout the first movement.<sup>28</sup> And, of course, this

<sup>25</sup> Various antecedents for slow introductions to symphonies have been proposed, including the French overture and the fanfare. See Ratner, *Classic Music*, 315; George Gow Waterman, “French Overture,” *Grove Music Online* (accessed April 21, 2017); Wolfgang Börner, “Was eine Sache nicht im ersten Moment enthüllt: Die Pariser Sinfonien von Joseph Haydn,” *Musik und Gesellschaft* 32 (1982), 135–40, at 140; and Dankwardt, *Die langsame Einleitung*, 219–34. Haydn’s Keyboard Sonata, Hob. XVI: 52, in E $\flat$  deliberately evokes the French overture in its grand opening.

<sup>26</sup> See Peter Kivy, *The Fine Art of Repetition: Essays in the Philosophy of Music* (Cambridge, UK: Cambridge University Press, 1993), 319–20. I have sometimes wondered whether it is this anti-climax that has led to the undervaluing of this symphony in comparison with its companions, K. 550 in G minor and K. 551 in C Major (“Jupiter”). Neal Zaslaw writes that “compared to the extensive critical and analytical literature devoted to [K. 550] and 551, that for K. 543 is modest.” Zaslaw, *Mozart’s Symphonies*, 433. It should also be noted that the overall sound of the symphony is softer than usual because of the inclusion of clarinets and omission of oboes. This orchestration is matched only by the Piano Concerto, K. 482, which is also in E $\flat$ .

<sup>27</sup> Rosen (*The Classical Style*, 349) does not hear the conclusion until three measures later, with the E $\flat$  in the middle of the first violin phrase.

<sup>28</sup> In her introduction to *The Oxford Handbook of Topic Theory*, Danuta Mirka points out that “topic” theory – a theory originally advanced by Leonard Ratner in his 1980 book *Classic Music* – has now spread out to include not only the types and styles identified by Ratner, but also affects, figures, meters, harmonic progressions, and patterns of accompaniment. See Danuta Mirka, “Introduction,” in *The Oxford Handbook of Topic Theory*, ed. Mirka, 1–57, at 2. This expansion can be traced through Allanbrook, *Rhythmic Gesture in Mozart*; V. Kofi Agawu, *Playing with Signs*; Robert Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana University Press, 2004); Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington: Indiana University Press, 2006); V. Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (New York: Oxford University Press, 2009); John David Wilson, “Topos and Tonality in the Age of Beethoven” (Ph.D. dissertation, Universität für Musik und Darstellende Kunst Wien, 2012); and Wye Jamison Allanbrook, *The Secular Commedia: Comic Mimesis in Late Eighteenth-Century Music*, ed. Mary Ann Smart and Richard Taruskin (Berkeley: University of California Press, 2014). The list of possible topics has now doubled from what it was in Ratner’s original formulation to over sixty and seems to have reached a point at which there now appears to be no portion of the music that is understood to be free of a topic. There is surely some usefulness in realizing that much of eighteenth-century and early nineteenth-century music is referential to elements in the prevailing sound world of contemporary performers and listeners. But topic theory has problems as an interpretive device: it is descriptive rather than analytical, for the naming of such references is not equivalent to an analytic understanding of them; it is reductive rather than expansive; it propounds a taxonomical naming; and it leaves no room in the music either for connective tissue in which a topic is maintained or for

Example 73. Mozart, Symphony No. 39 in E $\flat$  Major, last seven measures of slow introduction and first measure of first movement

[Adagio]

2 Fl  
2 Cl  
in B $\flat$   
2 Bn  
2 Hn  
in E $\flat$   
2 Tpt  
in E $\flat$   
Timp in  
E $\flat$  & B $\flat$   
Vln 1  
Vln 2  
Vla  
Vc &  
Cb

powerful contrast of two beginnings allows a new rhetoric of recapitulation. The strong development simply stops. An empty measure ensues. And three measures of quietly descending chromatic woodwinds lead once again into the *piano* E $\flat$  in the bass.

The slow introduction to Beethoven's First Symphony begins by aiming at a wrong key, F, and then, only by deception, at C. The tonic is confirmed only at measure 8. The Adagio molto wanders for twelve measures before sliding into

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newly conceived material. Under this theory, the music is but a tapestry of found materials, a tissue of things that are other, and the theory provides no distinction between the artistic results of a state of composing according to received convention on the one hand and a random potpourri of allusions on the other.

## Example 73 (continued)

Allegro

The musical score consists of seven systems of staves. The first system includes a treble clef staff with a piano (*p*) dynamic marking and a bass clef staff. The second system includes a treble clef staff with a piano (*p*) dynamic marking and a bass clef staff. The third system includes a treble clef staff with a piano (*p*) dynamic marking and a bass clef staff. The fourth system includes a treble clef staff with a piano (*p*) dynamic marking and a bass clef staff. The fifth system includes a treble clef staff with a piano (*p*) dynamic marking and a bass clef staff. The sixth system includes a treble clef staff with a piano (*p*) dynamic marking and a bass clef staff. The seventh system includes a treble clef staff with a piano (*p*) dynamic marking and a bass clef staff. A vertical bar line is located at the end of measure 25.

the Allegro con brio. The slow introduction to Beethoven's Second Symphony is significantly expanded – to thirty-three measures – and it follows the conventional pattern described above, except that its opening is a clear (and *fortissimo*) announcement of the D-Major tonic of the movement.<sup>29</sup> Traversal of many keys ensues, mostly in the minor, as well as the laying out of a wide palette of orchestral color, trills, triplets, thirty-second-note runs, Mannheim “rockets,” and a dramatic descending run on the violins into the main theme of the Allegro,

<sup>29</sup> Mozart's D-Major “Prague” must have been a source here. See Roger Kamien, “The Slow Introduction of Mozart's Symphony No. 38 in D, K. 504 (‘Prague’): A Possible Model for the Slow Introduction of Beethoven's Symphony No. 2 in D, Op. 36,” *Israel Studies in Musicology* 5 (1990), 113–30; and Lockwood, *Beethoven's Symphonies*, 34.

similar to that in the First Symphony. Even the contrast of tempos is the same: Adagio molto running into Allegro con brio. But Beethoven's rhetorical storehouse is here more fully stocked and more generously utilized. The effect is to create delay, to increase anticipation and therefore resolution, and to display in advance the resources that will be deployed in the "real" first movement.

The Adagio introduction to Beethoven's Fourth Symphony is thirty-eight measures long. It incorporates another approach to the muddying of key clarity (and also of formal structure). While the beginning lays out a sustained chord on the keynote B $\flat$  in unison on the winds (goosed by a pizzicato B $\flat$  on the strings at the outset), the next entry of the strings is on G $\flat$ , turning the B $\flat$  into the third of a G $\flat$ -Major passage. This collapses onto its dominant, and the G $\flat$  is then reinterpreted as F $\sharp$ , allowing the music to move to B Major, so close to and yet so far from our eventual tonic. By means of his by-now quite polished sleight-of-hand, Beethoven slips into C and then into A Major, whose single A pitches become the third of F $^7$ , now *fortissimo* and now plainly the dominant of B $\flat$ , which arrives with a series of *upward* rushes this time into the principal theme for the first key of B $\flat$ . But here Beethoven muddies form as well as harmony by disguising his beginning. The first four measures of the Allegro vivace are also the last four measures of the slow introduction, with their maintaining of the dominant harmony, the repetitions of the upward gestures, and the continuation of the *fortissimo* dynamic (Beethoven writes "sempre").<sup>30</sup> The "actual" beginning of our first movement, as determined by key, light string texture, *piano* dynamic, and simple outlining of the tonic arpeggio, does not come until the fifth measure of the Allegro.<sup>31</sup> A subtle change of orchestration (one flute instead of two) signals (with a nod to Mozart) that the composer is here more interested in subtlety than in grandeur. And this beginning is integrated (again retrospectively on first hearing and prospectively on subsequent hearings) into the rest of the work, as the first significant harmony of the introduction, G $\flat$ , and its relationship to the home key of B $\flat$ , play a role in all three subsequent movements.<sup>32</sup>

<sup>30</sup> Yoel Greenberg has shown how, in some of Haydn's symphonies, the end of the slow introduction seems to "generate" the beginning of the ensuing allegro. See Yoel Greenberg, "Minding a Gap: 'Active Transitions' from the Slow Introduction to the Fast Section in Haydn's Symphonies," *Journal of Musicology* 29 (2012), 292–322.

<sup>31</sup> Although Beethoven puts his double bar after m. 6 of the Allegro, he could just as easily have put it after m. 4, since the last two measures of the ending of the exposition are identical to mm. 5 and 6 of the Allegro opening.

<sup>32</sup> Maynard Solomon colorfully characterized this beginning in his essay "The End of a Beginning": "In the openings of certain of his greatest works, Beethoven deliberately eradicates the implication of a safe haven. Instead, reckless of his listeners' comfort, he turns from validating the expected to inventing places where no one has ever gone before, in beginnings that suggest heightened, altered, and anxious states. These imply not safety but terror; not the comfort of an earthly pastoral but the remote sublimity of the immeasurable heavens; not the warm Arcadian greensward but distant, astral, or enigmatic regions." (p.15.)

The Seventh Symphony is another “Pastoral.” Its first movement is in 6/8, featuring pedal-points, trills, lots of flute and oboe, lots of rhythmic repetition, and an incompletely developed second key area. The slow introduction (*Poco sostenuto*), however, is rich and lengthy: sixty-two measures long and with an expansively patient opening that itself does not arrive at a confirmation of the home key until measure 15.<sup>33</sup> Even the slow introduction has its own second key area – C Major,  $\flat$ III of the tonic – with its own second theme: lyrical, on the woodwinds, and with decorative (bird-like?) accompanying trills on the violins. A second appearance of the woodwind theme is on F Major ( $\flat$ VI), which slips in the space of a sixteenth-note to a unison E, and the dominant preparation is underway. Again a teasing delay leads into the *Vivace*. But the opening measures of this first movement recall the deliberate misdirection of the introduction, as, from the first *staccato forte* chord on the tonic at the downbeat, the harmony changes every two measures, through E, A<sup>7</sup>, D, and F (anticipating the second appearance of the second theme) before side-slipping into E (a move that anticipates the approach to the final dominant preparation of the whole). The rising sixteenth-note gesture of the introduction is mirrored in the accompaniment to the *fortissimo* statements of the principal theme of the *Vivace*, and the flat-side appearances of the woodwind theme in the introduction are picked up in the arrival of C Major in the exposition and the opening of the development, which is also in C.

The “pre-echo” functions of last few measures of the introductions to the Fourth and Seventh Symphonies are brought to a peak in the opening of the Ninth, which might be said to open with a slow introduction also, although it is, of course, not indicated as such. This opening is, in the entire repertoire of Classic music, the one that most smoothly bridges that boundary between expectant silence and the commencement of sound. The first sixteen measures of the *Allegro ma non troppo, un poco maestoso*, scatter A–E fragments across a tremolo A/E accompaniment and sustained tones of those two pitches. But the increasingly close distribution of those notes, the *stretto* entries of the winds, and the *crescendo* provide to the listener a sense of acceleration into the first full D-minor statement (mm. 17–21) of the theme – itself a descending dotted arpeggio of the tonic (simultaneously an arrival, a new beginning, and the “real” start of the movement). Here the function of the slow introduction is fully merged into the opening of the movement proper.<sup>34</sup> Again, the movement *could* have

<sup>33</sup> Berlioz regarded this beginning highly. “No more original mode of opening could be imagined,” he wrote. Berlioz, *A Critical Study of Beethoven's Nine Symphonies*, 61.

<sup>34</sup> Treitler argues that there is essentially no beginning to this movement. “But where is the beginning? Not in the beginning of the theme, for that is already a culmination. And not in the very opening. There is no hard-edged beginning. At first the opening seems like an introduction. But it is not that in the accustomed sense because each new ‘beginning,’ with the exception of the coda, is a return to the opening.” Treitler, “History, Criticism, and Beethoven's Ninth Symphony,” 195. Thomas Clifton



opened with the pickup to measure 17, but then the remarkable sense of coalescence, of fragments gathering to create a whole, of star formation – and the extraordinary effect of this opening on later composers, such as Mahler and especially Bruckner – would have been lost to us.

Slow introductions were generally reserved for public music: symphonies, overtures, and some serenades.<sup>35</sup> Mozart wrote slow introductions for the Serenade in D Major, K. 320 (“The Posthorn”), and the “Gran Partita” Serenade, K. 361, in B♭. We also find them in overtures such as those to Mozart’s operas *Don Giovanni*, *Così fan tutte*, and *Die Zauberflöte*. But slow introductions can lend grandeur or promote a sense of importance in a chamber work as well. Mozart composed a slow introduction for the first movement of his early String Quartet, K. 171, which comes back at the end of the movement.<sup>36</sup> Haydn began the first movement of his String Quartet, Op. 71 No. 2, in D Major with a four-measure Adagio. A famous slow introduction is that for Mozart’s String Quartet, K. 465 (“Dissonant”), whose harmonic excursions have been much analyzed (and will be discussed further below). The Larghetto introduction to

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hears two beginnings. See Clifton, *Music as Heard*, 83–88. Edward Cone describes the beginning as “the gradual emergence of a huge upbeat.” See Cone, *Musical Form and Musical Performance*, 18.

<sup>35</sup> A small number of concertos have slow introductions, e.g., C. P. E. Bach’s Harpsichord Concertos in E♭ Major, W. 41/H. 469 (1769), and G Major, W. 43 No. 5/H. 475 (1772), and Anton Rosetti’s Grand Concerto in F Major for Two Horns (c. 1785). See *Heinrich Christoph Koch: Introductory Essay*, 211. Elaine Sisman writes of the public function of symphonies in *Mozart, The “Jupiter” Symphony*, Cambridge Music Handbooks (Cambridge, UK: Cambridge University Press, 1993), 1–2. Sulzer’s *Allgemeine Theorie* declares that chamber music is for “connoisseurs and amateurs” and can therefore be “more learned and elaborate” than public music. Sulzer, *Allgemeine Theorie*, “Cammermusik,” vol. 1, 441. Koch writes that symphonies must distinguish themselves through “power and emphasis,” whereas chamber music must be “highly refined.” Koch, *Versuch*, vol. 3, 316. Hepokoski and Darcy link introductions and codas as “paragenetic spaces,” areas of the composition that are outside the basic structure of sonata form. Hepokoski and Darcy, *Elements of Sonata Theory*, 281. In Sulzer’s *Allgemeine Theorie* (vol. 4, 478–79), the symphony is described as “zu dem Ausdruck des Grossen, des Feyerlichen und Erhabenen vorzüglich geschickt” (“particularly well suited to the grand, the ceremonial, and the sublime”). See Richard Will, *The Characteristic Symphony in the Age of Haydn and Beethoven* (Cambridge, UK: Cambridge University Press, 2002), 115. And sometimes Beethoven was criticized for not writing a sufficiently impressive beginning. Johann Friedrich Reichardt said of one concert in 1806 that “for the opening of these concerts, a different symphony could have been chosen than the one by Beethoven in C [the First Symphony]. ... One of the two Mozart symphonies with their gorgeous unison ... would have opened the first concert better than the ambiguous though ingenious beginning of this Beethoven symphony.” See “J. F. R.,” “Concerts by the Royal Orchestra for Widows and Orphans,” *Berlinische musikalische Zeitung* 2 (1806), 1, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. Senner, Wallace, and Meredith, vol. 1, 169.

<sup>36</sup> This pattern falls into the Hepokoski–Darcy classification “The Introduction-Coda Frame.” See Hepokoski and Darcy, *Elements of Sonata Theory*, 304–05.

Mozart's String Quintet in D Major, K. 593, returns just before the end of the movement.<sup>37</sup>

Curiously, of the four piano sonatas of Beethoven that have slow introductions, three are in minor keys (WoO 47 No. 2, Op. 13, and Op. 111). The fourth is the E $\flat$ -Major Sonata, Op. 81a, "Das Lebewohl," which has an explicitly programmatic agenda. Perhaps it was felt that a piano sonata was more open to the improvisatory tone that a slow introduction evokes or, being restricted to a single instrument, could simply not be over-gilded as could a full symphony with its multiple orchestral colors. There was one precedent in Mozart's keyboard music: the slow introduction to the four-hand Piano Sonata in F Major, K. 497. And contemporary models for Beethoven may have been Clementi's Op. 34 (composed in 1795 – two years before Beethoven began work on the "Pathétique"), whose second sonata has a slow introduction, and his Op. 40 No. 2 (1802), which also has a slow introduction. Both of these works are in minor keys: the former in G minor, the latter in B minor.<sup>38</sup> More than his predecessors Beethoven tended to make his introductions substantively involved in the structure of the movements they open.<sup>39</sup>

Beethoven prefaces the Piano Trio, Op. 1 No. 2, and both of the Op. 5 Cello Sonatas with slow introductions. The trio's introduction features elaborate figuration in the piano right hand, while the strings are mostly restricted to an accompanying role. The cello sonatas have no slow movements, so the introductions provide opportunities for singing lines in what Lewis Lockwood has called "Beethoven's long-term project of liberating the cello from its subordinate and supporting functions and giving it a leading role."<sup>40</sup> The slow introduction to the second sonata is especially extended and dramatic, with expressive dialogue between the instruments, thirty-second-note figuration in the piano's right hand, and, in the cello, long-breathed chromatic phrases, sudden *fps*, cross-beat bowings, and resonant descents to the open C string, balanced by passionate outcries on the A string. And in the E $\flat$  Piano Trio, Op. 70 No. 2, the Poco sostenuto opening (which has the same marking as the Seventh Symphony's slow introduction) returns at the coda and anticipates a key scheme that incorporates two Allegretto central movements, one in C Major and one in A $\flat$  – the same (quite unusual) overall key scheme as the Piano Sonata, Op. 27 No. 1, which also has a

<sup>37</sup> Hepokoski and Darcy do not have a category for this special kind of recall, which I label a "Nostalgia Return."

<sup>38</sup> Clementi's Op. 40 No. 3 is a D-Major sonata with a D-minor slow introduction. A slow introduction must be distinguished from an opening slow movement. The only Haydn keyboard sonata to begin with an *adagio* is Hob. XVI: 47 in E minor.

<sup>39</sup> See Schmidt-Beste, *The Sonata*, 107.

<sup>40</sup> Lockwood, *Beethoven: The Music and the Life*, 101.

home key of E $\flat$  and also brings its slow opening section back before the end of the first movement.<sup>41</sup>

There is one slow introduction in Beethoven that seems incongruous in context. It is the elaborate and harmonically complex introduction to the "Kakadu" Variations for Piano Trio, Op. 121a. This forty-six-measure Adagio assai is an ambitious, substantial exploration of many musical ideas that stands as an oddly unsuitable introduction to the lighthearted, Papageno-like, theme-and-variation set that follows. Lewis Lockwood has suggested that an interval of at least ten years separates the two parts of the work, while Hugh Macdonald regards the disparity as "the most elaborate joke in Beethoven."<sup>42</sup>

The *ne plus ultra* of doubt leading to certainty, which is the primary affective import of slow introductions is, of course, the opening of Haydn's *Creation*. Haydn avoids cadences and allows the phrases to melt into each other; never reaches a root-position chord in the relative major but uses the  $\flat$ VII harmony; and casts the music in a slow tempo with irregular phrasing and syncopated strings.<sup>43</sup> Here fifty-eight measures of C minor,<sup>44</sup> shot through with disruptive gestures of all kinds, including violent dynamic contrasts, rising triplet figures in the bass, chromatic sighs, lengthy suspensions, long descending lines, syncopations offset by one sixteenth note, lonely solo utterances, sextuplet tremolos, and murky dissonances, depicting Chaos, lead to the recitative of the beginning of Genesis and the radiant four-measure *fortissimo* outburst of C Major on "And there was LIGHT!"<sup>45</sup>

<sup>41</sup> See Marston, "Haydns Geist aus Beethovens Händen'?", 121.

<sup>42</sup> See Lewis Lockwood "Beethoven's 'Kakadu' Variations: A Study in Paradox," in *Pianist, Scholar, Connoisseur: Essays in Honor of Jacob Lateiner*, ed. Bruce Brubaker and Jane Gottlieb (New York: Pendragon, 2000), 95–108; and Macdonald, "Beethoven's Game of Cat and Mouse," 11.

<sup>43</sup> See Rosen, *The Classical Style*, 372.

<sup>44</sup> Haydn's use of C minor has not been as much discussed as that of Beethoven, but his works in this key share a tendency towards pathos and strong affect. Before the *Creation*, Haydn's works in C minor include the Keyboard Sonata, Hob. XVI: 20, the Piano Trio, Hob. XV: 13, the String Quartet, Op. 17 No. 4, Symphonies Nos. 52, 78, and 95, the earthquake in the *Seven Last Words*, and the storm in *The Seasons*. See Jessica Waldoff, "Does Haydn Have a 'C-Minor Mood'?", in *Engaging Haydn: Culture, Context, and Criticism*, ed. Mary Hunter and Richard Will (Cambridge, UK: Cambridge University Press, 2012), 158–86, at 186. C minor clearly suggested a special atmosphere to Mozart also. He adopted it for the Piano Concerto, K. 421; the Mass, K. 427; the Piano Sonata, K. 457; the Piano Fantasy, K. 475; and the Masonic Funeral Music, K. 477.

<sup>45</sup> The passage has been much discussed, but Schenker and then Tovey were the first to point out how Haydn has used artistic means to achieve the impossible: an orderly representation of chaos. See Heinrich Schenker, "Haydn: Die Schöpfung: Die Vorstellung des Chaos," in *Das Meisterwerk in der Musik 2* (Munich: Drei Masken, 1926), 159–70; and Donald Francis Tovey, *Vocal Music*, vol. 5 of *Essays in Musical Analysis* (Oxford: Oxford University Press, 1937), 114–18. And James Webster has drawn attention to Haydn's run-on linking of different movement types in his late

A similar Beginning as Chaos is the beginning of the last movement of Beethoven's Ninth. The first sound is that of an aggressively dissonant minor/major seventh chord (the beginning of the "horror" fanfare), and the intervening groping towards stability incorporates instrumental recitatives, references to earlier movements, an instrumental pre-echo of the chorale melody, and a baritone soloist. A settled opening, exorcising the chaos of the beginning, does not come for over 200 measures.

The question arises as to the expendability of introductions. As introductions, of course, they precede the main event. They are also – conceptually, at least – *unnecessary*.<sup>46</sup> The conventional structure of the whole composition – four movements in the traditional pattern – would work without them. Nobody would notice the absence of the slow introduction if it were not there: it is a bonus.<sup>47</sup> And so the principal purpose of the slow introduction is rhetorical: to delay the start of the conventional opening movement by means of a discursive (sometimes also contemplative) additional opening; to display resources – both orchestral and compositional; and sometimes even to hint at motivic material that we will hear – with a *frisson* of recognition – later in the piece.<sup>48</sup> The value and contribution of a musical effect can be judged by conceiving the music without it. It is often in the "unnecessary" gesture that a composer's imaginative power may be most clearly glimpsed.<sup>49</sup>

Slow introductions to last movements are unusual. A well-known example is the "La Malinconia" Adagio introduction to the last movement of Beethoven's

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sacred vocal music (in this passage he describes them as "overture [sic], recitative, chorus") to create sublime effects. See Webster, "The *Creation*, Haydn's Late Vocal Music, and the Musical Sublime," 57–102.

<sup>46</sup> Walter Riezler writes that "To omit the beautiful introduction to Mozart's great E-flat symphony would, indeed, be to eliminate an 'effect' and, perhaps, to destroy the architecture of the work; but it would in no way rob the Allegro of its vital meaning or its depth of expression." See Riezler, *Beethoven*, 105.

<sup>47</sup> This is true despite our very strong psychological tendency to explain all "final" thoughts of composers as necessary and inevitable. It is even true of those slow introductions that anticipate material of the ensuing allegro.

<sup>48</sup> Rudolf von Tobel discussed the relationship of slow introductions and ensuing movements in Rudolf von Tobel, *Die Formenwelt der klassischen Instrumentalmusik*, Berner Veröffentlichungen zur Musikforschung 6 (Bern: Haupt, 1935). And in 1796 Francesco Galeazzi elevated the idea to a formal principle: "It is good practice that the Introduction (if there is one) be sometimes recalled in the course of the melody, so that it should not seem a detached section and be entirely separated from the rest, since the fundamental rule for the conduct [of the composition] consists of the *unity of ideas*." See Bathia Churgin, "Francesco Galeazzi's Description (1796) of Sonata Form," *Journal of the American Musicological Society* 21 (1968), 188–99, at 191.

<sup>49</sup> In his orotund fashion, Tovey wrote that "it would be absurd to call the west front of Peterborough Cathedral a mere introduction, when it is obviously the most impressive part of the building; and it would be not less absurd to see merely prefatory features in such huge designs as the introductions to the G-minor Violoncello Sonata, Op. 5 No. 2, and the Seventh Symphony." Tovey, *Beethoven*, 81–82.

String Quartet in B $\flat$  Major, Op. 18 No. 6. The harmonic twists and turns of this piece (Beethoven himself describes it as a “pezzo,” even though it ends with an anticipatory function on the dominant of the ensuing Allegretto) are remarkable, moving to B minor and then through a slew of diminished-seventh chords, strongly dislocated by register, to B Major, and then *upwards* through the circle of fifths to C minor, and finally through a powerful chromatic ratcheting rise to the tonic minor, before hitting the dominant for one sixteenth note and *attacca subito il Allegretto*.<sup>50</sup> Here, too, the music of the “Malinconia” comes back in a Nostalgia Return, but in ways that are highly sophisticated. The first time (mm. 195–204) a short, compressed version of the opening dissolves onto the dominant on A minor, the key in which the rondo theme sputters to life, only to collapse after three aborted measures (mm. 205–08). Another even briefer (one-and-a-half-measure) reference to the “Malinconia” introduces a more successful return of the rondo theme in G Major and by means of a V/v (= C minor = ii)–V<sup>7</sup>–I progression once again in the tonic. All seems well until the last page, when the music slows, and the rondo theme is suggested – highly tentatively – in two two-measure attempts, but this time subsumed into the *tempo* of the “Malinconia,” thus integrating the two very disparate elements – and their attendant psychological worlds – before a final Prestissimo confirmation of the theme and a definitive close. This is one of Beethoven’s boldest experiments in beginnings – and one to which he later had recourse on special occasions in other works.

I have suggested elsewhere that not only the idea of a slow introduction to this last movement but also its crucial turn figure may have been suggested to Beethoven by the slow introduction to the first movement of Mozart’s “Dissonant” Quartet, K. 465.<sup>51</sup> And as one member of the six quartets of Op. 10, dedicated to Haydn, whose fifth quartet in A Major we know that Beethoven knew intimately, the “Dissonant” may also have been a work that Beethoven was familiar with.<sup>52</sup> But there are two other, quite extraordinary, precedents for a slow

<sup>50</sup> William Kinderman suggests that the beginning of the Allegretto quasi Allegro picks up motivic elements from “La Malinconia,” including the descending third D–B $\flat$ , the diminished fifth, and the turn figure. See Kinderman, “Transformational Processes in Beethoven’s Op. 18 Quartets,” 27. See also Kerman, *The Beethoven Quartets*, 76–82; and William J. Mitchell, “Beethoven’s La Malinconia from the String Quartet, Opus 18, No. 6: Techniques and Structure,” *The Music Forum* 3, ed. William J. Mitchell and Felix Salzer (New York: Columbia University Press, 1973), 269–80. An 1824 review referred to “a gloomy Adagio, which exhausts all harmonic devices.” See “Concert in Berlin,” *Der Freymüthige* 21 (February 10, 1824), 120, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 156.

<sup>51</sup> See Jeremy Yudkin “Beethoven’s ‘Mozart’ Quartet,” 70–71.

<sup>52</sup> Lewis Lockwood has suggested that Beethoven’s String Quartets, Op. 59 No. 3, and Op. 74, as well as the *Leonore* overtures, Nos. 1 and 2, may have been “conceived in the image of” Mozart’s slow introduction. See Lockwood and the Juilliard String Quartet, *Inside Beethoven’s Quartets*, 10.

introduction to a last movement, although there is no evidence that Beethoven had them in mind when he wrote his “Malinconia.” They are, first, Mozart’s String Quintet in G minor, K. 516, where the sublime Eb-Major slow movement (Adagio ma non troppo) is followed by thirty-two measures of *another* Adagio, this time in G minor, with harmonic excursions to distant realms, *sforzando* exclamations, and sighing falls of diminished fifths and minor sevenths, all colored by a persistent pizzicato figure on the cello, which rises through arpeggios and then falls an octave, and by chromatic slippage at every level. Mozart could have put his slow movement in the more conventional place and had the Minuet and Trio intervene between these slow highly expressive areas, but he did not. The very end of this remarkable slow introduction briefly touches on D<sup>7</sup> to launch the G-Major finale. The second precedent is the startling Adagio that stands at the opening to the last movement of Haydn’s (continually surprising) Op. 54 No. 2 in C Major.<sup>53</sup> This too is long, even longer than Mozart’s: fifty-six measures, in fact, leading the listener to believe that a second slow movement has taken the place of the finale. (Here the Minuet and Trio are in third place.) A balanced eight-measure phrase is repeated, leading to a fully developed thirty-two-measure lyrical aria form featuring a decorative first violin. The music then turns to the minor and a *pianissimo* dominant followed by the conventional fermata. But the progress of the solidly good-humored Presto that finally does arrive is twice interrupted by grand pauses and leads to a return of the Adagio, which ends the movement! Webster charts nine “stages” of listener expectation, reversal, and reinterpretation in this unique finale.<sup>54</sup>

Beethoven created a much shorter and simpler last-movement slow introduction for his First Symphony (see Example 74), the one with the deliberately misleading *first-movement* Adagio molto. The five-measure Adagio at the front of the finale has two parts: the first a call-to-attention on a *fortissimo* unison G with a fermata, the second a teasing series of increasing climbs that anticipate the final sixteenth-note scalar opening of the Allegro molto e vivace.<sup>55</sup>

Beethoven picked up this teasing idea in other, later works, such as the anticipatory measures at the end of the slow movement of the Fifth (“Emperor”) Piano

<sup>53</sup> The first movement begins strikingly off-balance, with two five-bar phrases, each of which is followed by a grand pause. The minor-mode slow movement leads *attacca* into the Minuet and its minor-mode Trio.

<sup>54</sup> Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 301–07. In his analysis of this movement, Edward Cone had drawn attention to “a series of mistaken interpretations, all encouraged by the composer, and cleverly ordered in such a way that the subsequent correction of each merely exposes the listener to the next error.” See Cone, “The Uses of Convention,” 289.

<sup>55</sup> Lewis Rowell discusses this passage in his “The Creation of Audible Time,” 204. Lewis Lockwood (*Beethoven’s Symphonies*, 25) calls this humorous beginning “something like a miniature sketch-process.”

Example 74. Beethoven, First Symphony in C Major, Op. 21, last movement, slow introduction and first three measures of *Allegro molto e vivace*

The musical score is arranged in a standard orchestral format. The top section includes woodwinds (2 Flutes, 2 Oboes, 2 Clarinets in C, 2 Bassoons) and brass (2 Horns in C, 2 Trumpets in C, Timpani in C & G). The bottom section includes strings (Violin 1, Violin 2, Viola, Violoncello & Contrabass). The tempo is marked *Adagio* at the beginning of the introduction. The first three measures of the *Allegro molto e vivace* section are shown, with the first violin part featuring a *p* dynamic and a triplet figure. The woodwinds and brass parts are marked *ff* throughout the introduction and the first measure of the fast section.

Concerto. These certainly constitute a slow introduction to the finale, similarly teasing, though they have not been analyzed as such because they are written at the end of the *Adagio*. Here Beethoven plays his changing-key-by-side-slip game, moving from B Major into the E $\flat$  of the last movement by having paired bassoons move from B $\natural$  to B $\flat$  and handing the note over to a sustained pair of horns.

The “slow introduction” to the last movement of the E $\flat$  Piano Sonata, Op. 27 No. 1, is an extended *Adagio con espressione* in A $\flat$ , almost, but not quite, a movement in its own right. (The “quasi una fantasia” label indicates a succession of linked sections, each of which is not quite self-contained.)<sup>56</sup> However one

<sup>56</sup> Lockwood, *Beethoven: The Music and the Life*, 135.

## Example 74 (continued)

Allegro molto e vivace

The musical score is divided into three systems. The first two systems each consist of four staves (two treble and two bass clefs). The third system consists of four staves (two treble and two bass clefs). The tempo is marked 'Allegro molto e vivace'. The score includes dynamics such as *p* and *pp*, and a repeat sign at the end of the first two systems.

views it, it precedes the finale directly (as the other movements lead into it). But its importance in this context is that it returns to round out the finale (with the addition of a brief Presto coda). Its return is now in  $E_b$  and abbreviated, ending with a delaying flourish to bring in the last few presto measures.<sup>57</sup> The concept of “framing” is not quite right here.<sup>58</sup> Although a viewer can see a frame on a picture in an instant, a listener doesn’t hear a frame when a composition is heard

<sup>57</sup> The key scheme of the sonata lays out two non-tonic middle movements, a plan followed by only two other works of Beethoven: the Piano Trio, Op. 70 No. 2, and the String Quartet, Op. 74. All three have  $E_b$  as the home key. See Nicholas Marston, “Haydns Geist aus Beethovens Händen?,” 121.

<sup>58</sup> Edward Cone discussed the difference between the kinds of frames used for plays, pictures, and novels and those for music, which are made up of silence. See Cone, *Musical Form and Musical Performance*, 15–16.



linearly. We hear first the Adagio con espressione, then the finale, then the return of the Adagio, closed off by a brief Presto. The return of the Adagio is significantly modified, so that it is both recognizable and different. The first appearance is in the subdominant and lasts twenty-six measures (the last three of which are runs and trills and an improvisatory delaying descent). The second appearance is subsumed into the tonic and is thus recapitulatory, rhyming the first appearance rather than matching it. Although it rhymes the music exactly, a fifth higher, for the first six measures, it then slips into a close imitation (a fourth lower) of the last few measures of the Adagio with its trills and improvisatory delay. This is not a frame, but a Nostalgia Return.

Beethoven's delightful Septet, Op. 20, has slow introductions for both first and last movements. The work is in the form of a divertimento, with two slow movements – an Adagio and an Andante with variations – as well as a Minuet and a Scherzo. The first and last movements are fast. Two slow introductions round out the structure, creating a pattern of eight fast and slow tempos that alternate throughout.

Table 2. Alternating Fast and Slow Tempos in Beethoven's Septet, Op. 20

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Adagio – Allegro con brio
Adagio cantabile
Tempo di menuetto
Andante: Tema con variazioni
Scherzo: Allegro molto e vivace
Andante con moto alla marcia – Vivace

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The slow introduction to the first movement is eighteen measures of long chords, displaying the rich sonority of the winds and strings (clarinet, bassoon, horn, violin, viola, cello, bass),<sup>59</sup> interspersed with chromatic violin arabesques, *forte–piano* alternations, and a descending plunge on the clarinet before landing on the conventional dominant. The last movement begins with a mock-pathetic introduction, with exaggerated displays of the minor mode. By projecting a chromatic line in the solo violin, it hints at the first-movement introduction and adds a (slightly artificial) sense of cyclic unity in a work that is otherwise colorfully disparate.

Haydn composed slow introductions to both the first movement and the last movement of his Symphony No. 103. The music of the first movement's slow introduction (see Example 75) returns during the ensuing Allegro con spirito, first

<sup>59</sup> There seems to be no precedent for this exact combination of instruments (see B. Cooper, *Beethoven*, 92), although wind bands of various combinations were a staple of eighteenth-century outdoor entertainment, and divertimentos ("Parthia," "Feldpartita," serenade, etc.) for winds were common in the works of Haydn and Mozart and their contemporaries.

Example 75. Haydn, Symphony No. 103 in E $\flat$  Major, first and last two measures of slow introduction and beginning of Allegro con spirito

The image displays a musical score for Haydn's Symphony No. 103, showing the transition from Adagio to Allegro con spirito. The score is arranged in two systems, each with eight staves representing different instruments: 2 Flutes, 2 Oboes, 2 Clarinets in B $\flat$ , 2 Bassoons, 2 Horns in E $\flat$ , 2 Trumpets in E $\flat$ , Timpani in E $\flat$  & B $\flat$ , Violin I, Violin II, Viola, and Violoncello/Contrabass. The first system (measures 35-36) is marked Adagio. The second system (measures 37-38) is marked Allegro con spirito. The score includes various dynamics such as *p* (piano), *ff* (fortissimo), and *p e sostenuto* (piano and sustained). The key signature is E $\flat$  Major and the time signature is 3/4. The score is in Italian, with terms like 'Solo', 'Intrada', and 'p e sostenuto'.

disguised among the fast notes of the Allegro con spirito and, then literally, in its original adagio tempo, in that movement's coda.<sup>60</sup> Its motion into the E $\flat$ -Major Allegro is unusual: it ends on unison low Gs, rather than the conventional B $\flat$ s,

<sup>60</sup> Other Haydn works in which openings return as codas include the second movement of Symphony No. 6, the first movement of Symphony No. 15, and the second movement of Symphony No. 21.

and the Allegro's perky 6/8 first theme begins on G, two octaves higher.<sup>61</sup> And this slow introduction even has its own introduction, the eponymous drumroll in its first measure.

The last movement's introduction is also disguised, since it does not have a separate tempo marking, but its long notes create a sense of slowness (see Example 76). This is a horn call, in whole notes, complete with direct fifths, that stands at the opening of the finale.<sup>62</sup> Brilliantly, the horn call is then repeated, in tempo and combined with the main (monothematic) theme of the Allegro (actually – with a touch of circularity – another Allegro con spirito), at the first occurrence and then again during the movement (m. 158) and at the recapitulation of this sonata-rondo movement (at m. 264).

Example 76. Haydn, Symphony No. 103 in E $\flat$  Major, last movement, mm. 1–8

**Allegro con spirito**

A generally unremarked introduction to a last movement (though it is not slow) is the “Storm” of Beethoven’s “Pastoral” Symphony. Often referred to as an added movement, thus pushing the total number of movements in the work to

<sup>61</sup> A truly attentive listener (a *Kenner*) might keep the E $\flat$  tonic in mind and hear this as a curiously misdirected or unfinished ending of the Adagio on the mediant and a “proper” return to the tonic at the Allegro. A listener less focused on long-range harmony (a *Liebhaber*) will have been persuaded by the local harmonic action – a modulation in m. 34 to C minor, and the low insistence on G for five measures, enhanced by the implied augmented sixth on A $\flat$  – that the slow introduction will cadence into an allegro in C. In either case, the listener will experience surprise at the juxtaposition.

<sup>62</sup> Webster calls these openings “gesture[s] of annunciation.” Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 331.

five – an interpretation supported by its significant length (155 measures)<sup>63</sup> – it may also be seen, with its murky F-minor tonality, dominant ending, and ascending flute scale directly into the finale, as introductory to the “Shepherds’ Song” of the last movement.

A special class of introductions is occupied by fast introductions. These fulfill a similar function to slow introductions in that they stand apart from the music of the movement proper, but their psychological effect is different. If a slow introduction is grandiose, expatiatory, contemplative, discursive, or anticipatory, then a fast introduction, especially to a first movement, is deliberately misleading. It masquerades, however briefly, as the movement itself. Beethoven’s *Fidelio* overture begins with a call to attention – four measures of *Allegro forte* – but immediately thereafter begins a slow passage, which gets going for eight measures, only to be interrupted by a return of the *Allegro*, which, in turn, stops abruptly again, in order to lead to a longer slow passage, which now settles into a “normal” slow introduction to the overture proper. The beginning of Beethoven’s Piano Sonata, Op. 109 has a similar effect, although there, as we have seen, the ultimate – retrospective – rationalization of the contrasting passages is more thoroughgoing.<sup>64</sup>

Song introductions usually take the form of a piano prelude, and like other beginnings, they can be various. The almost concerto-like ritornello in Beethoven’s “Lied aus der Ferne,” WoO 137, which does anticipate the content of the vocal stanza, is twenty-two measures long. “Adelaïde” is in two parts, the first *Larghetto*, the second *Allegro molto*. The graceful melody of the first part (“Einsam wandelt dein Freund in Frühlings Garten”) is pre-echoed in decorated fashion by the piano right hand, while the left plays elegant, balanced triplet arpeggios (see Example 77). The second part is strong and is also introduced by the piano. (Paul Ellison describes the two “praxes” of Beethoven’s use of B♭ Major in this song, the first “amoroso,” the second “bold” and “martial.”) The song was written in 1794–95, soon after Beethoven’s arrival in Vienna, and published in 1797, but later numbered Op. 46<sup>65</sup>

<sup>63</sup> And also thus matching the number of movements in Knecht’s symphonic *Portrait musicale de la nature* of 1784.

<sup>64</sup> Uhde, quoting Rilke, proposes that the first two movements of Op. 109 are, in effect, introductory to the great variation finale: “It would be an exaggeration to characterize the first two movements as ‘preludes,’ and yet they could not exist independently as self-contained structures. ... The two movements give advance notice, often in recondite paraphrase, of the finale.” From Whiting’s unpublished translation of Uhde, *Beethovens Klaviermusik*.

<sup>65</sup> See Leslie Orrey, “The Songs,” in *The Beethoven Reader: A Symposium by Leading Scholars*, ed. Denis Arnold and Nigel Fortune (New York: Norton, 1971), 411–39. Amanda Glauert shows that most of Haydn’s roughly forty Lieder have piano preludes. See Amanda Glauert, “The Lieder of Carl Philipp Emanuel Bach, Haydn, Mozart, and Beethoven,” in *The Cambridge Companion to the Lied*, ed. James Parsons (Cambridge, UK: Cambridge University Press, 2004), 63–84.

## Example 77. Beethoven, "Adelaide," Op. 46, mm. 1–8

**Larghetto**

Pf  
*dolce e p*

3  
Ein - sam

6  
wan - delt dein Freund im Früh - lings Gar - ten

Beethoven's short setting of Christian Ludwig Reissig's "Sehnsucht," WoO 146, from 1815, has as its beginning a short piano prelude that presents a pre-echo of the entry of the voice. The magnificent song cycle *An die ferne Geliebte*, Op. 98, however, has a single quarter-note tonic chord on the downbeat before the entrance of the voice. Many songs start out with voice and piano together, but there are also many in which the beginning is a short prelude on the piano alone. In the Six Songs of Op. 75 (1. "Mignon," 2. "Neue Liebe, Neues Leben," 3. "Aus Goethe's Faust," 4. "Gretel's Warnung," 5. "An den fernen Geliebten," and 6. "Der Zufriedene"), for example, two of the songs have piano preludes (Nos. 3 and 5), and these are only a few measures long. But the five-measure beginning of "Aus Goethe's Faust" (No. 3) establishes the new key of G minor (the first minor tonic in the set); inaugurates the quirky, childlike atmosphere of the song, with its fairy story of the king and the flea; and creates a recognizable motive that is

used later to separate the different stanzas of the song.<sup>66</sup> The two-measure piano beginning for the tiny last song, “Der Zufriedene” (only fifteen measures), with its lightly philosophical, drinking-buddy theme, introduces the triplet sixteenths that will enliven the song’s texture towards the end and allows Beethoven to tell his listeners (and performers) that he has brought the music back to A Major, the key of the first song in the set. All of the songs in the folk-song collection *Twenty Irish Songs*, WoO 153, have instrumental preludes.<sup>67</sup> These range from two measures (No. 10, “O Thou Hapless Soldier”) to twelve (No. 8, “Farewell, Mirth and Hilarity”), but the accompaniment here is a piano trio, not just piano alone.

### OVERTURES

The word “overture” means an opening. Overtures therefore represent the only orchestral genre that stands entirely as a beginning. It was only after Beethoven that single-movement overtures specifically composed to be independent became common,<sup>68</sup> although overtures written as introductory were sometimes performed as separate works even in the time of Haydn and Mozart.<sup>69</sup> During Haydn’s life as a composer he produced fifteen principal stage works,<sup>70</sup> from 1762 to 1791, in various forms, including *comedia*, *burletta*, *festa teatrale*, *Singspiel*, and *dramma*, and his beginning music for these works ranges from lightly comic to stately to powerful and is often in the Italian fast–slow–fast format. The character of the music serves as a general preparation for the subject matter of the work, though without anticipating musical themes or motives from them. The overture

<sup>66</sup> Ellison (*The Key to Beethoven*, 193–94) describes the G minor as expressing “discontent.”

<sup>67</sup> The publisher, George Thomson, had asked his arrangers, who had previously included Pleyel, Koželuch, and Haydn, to supply introductions. See B. Cooper, *Beethoven*, 204.

<sup>68</sup> This distinction is complicated by terminology, since in the eighteenth century the terms “overture” and “symphony” were often interchangeable. Even in 1791 Haydn’s symphonies for London were advertised – and reported on – as “(Grand) Overtures.” See H. C. Robbins Landon, *Haydn: A Documentary Study* (New York: Rizzoli, 1981), 122, 123, 125.

<sup>69</sup> See Nicholas Temperley, “Overture,” *Grove Music Online* (accessed April 30, 2017). The earliest important examples of overtures designed as independent works are those of Mendelssohn and Berlioz, though there are some forerunners, such as occasional pieces by Hofmann, Andreas Jakob Romberg, Schubert, Weber, and Winter. Wilhelm von Lenz thought that the first movement of the “Eroica” Symphony was so powerful in itself that it was like “an overture raised to the power of a symphony.” See Lenz, *Beethoven*, Part 3, Section 2: *Kritischer Katalog sämtlicher Werke Beethovens mit Analysen derselben*, and Part 2, First Half (Op. 21 to Op. 55) (Hamburg: Hofmann and Campe, 1860), 300.

<sup>70</sup> This count does not include minor theatrical works, such as pasticcios and marionette operas. Caryl Clark cites the work-list in *Grove Music Online* as numbering twenty-six works altogether, from 1751 to 1796. See her “Haydn in the Theater: The Operas,” in *The Cambridge Companion to Haydn*, ed. Caryl Clark (Cambridge: Cambridge University Press, 2005), 176–200, at 195.

for the one-act wedding opera *Acide e Galatea* (a *fiesta teatrale*, first produced 1763) has three movements, fast–slow–fast, and its opening D-Major Allegro molto is suitably ceremonial and in sonatina form. *Lo speziale* (*The Apothecary*, 1768), a full-length, three-act *dramma giocoso* to a Goldoni libretto, but with only four singing roles, shows how stock characters and situations permeated the air in which opera composers such as Mozart lived and breathed in the last few decades of the eighteenth century. Its first aria is by an apprentice complaining about his job (cf. Leporello), the young lover is a trouser role (cf. Cherubino), and rival lovers don disguises (*Così fan tutte*) – as a notary (Despina) and as a Pasha (*Die Entführung*) – while the plot draws heavily from standard *commedia dell'arte* story lines. The beginning of the overture, in G Major, is suitably bustling and unsettled. The *topos* of the harem underlies the plot for *L'incontro improvviso*, and the prince's slave is named Osmin (cf. *Die Entführung*). Here the three-part overture is in D minor, featuring “Turkish” music with trumpets, bass drum, and cymbals. Also in D minor is the fast–slow–fast overture to *Philemon und Baucis*, setting up a storm scene. The only Metastasio opera of Haydn is *L'isola disabitata* (*The Desert Island*), whose G-minor overture establishes the setting for the island where our heroine has been abandoned. The whirling four-measure opening to *Armida* (a *dramma eroico*), followed by a long-breathed cantabile melody on strings alone (a striking juxtaposition that is repeated) anticipates a very similar beginning strategy in Beethoven's *Fidelio* overture.

Haydn sometimes raided his overtures for his symphonic works. The bouncing 6/8 overture to *La fedeltà premiata* with its raucous horn calls found a new purpose as the finale to Symphony No. 73 (the “Hunt”). Its meter is very unusual, presumably inspired by the facts that the opera is set in Cumae, whose people worship Diana, goddess of hunting, and that the first act is set in a temple dedicated to Diana; otherwise the idea of an overture serving equally as a symphonic finale might give us pause. Haydn also supplied an overture to his first oratorio *Il ritorno di Tobia* (in C minor) and a D-minor *maestoso* “Introduzione” – paralleling the final C-minor *presto* “Terremoto” (“Earthquake”) – for *The Seven Last Words*. Haydn's last opera *L'anima del filosofo* (*Orfeo ed Euridice*) was written for public performance in London (as opposed to the private performances of the Esterházy operas) and is his only *dramma per musica* and his only opera in four acts, but, because of a bureaucratic problem at the theater, it was never performed.<sup>71</sup> The ambitious scoring and scope of the overture put its beginning character into the category of grand public announcements, parallel to the beginnings of the “London” Symphonies and the String Quartets, Op. 71 and Op. 74. Had it been performed, we might know it now as his “London” opera (and it might thereby have taken its place in the modern repertoire, as the “London” Symphonies have).

<sup>71</sup> See Griesinger, *Biographische Notizen über Joseph Haydn*, 116; and Clark, “Haydn in the Theater,” 195–96.

Mozart's overtures mostly follow the tradition of beginning with a stately, annunciatory, or martial rhythmic statement, but as we shall see, some of the overtures lead directly into the first act of the opera they introduce, and some of them also anticipate crucial moments in the work proper. The "Intrada" to his first opera, *Apollo et Hyacinthus*, K. 38, is a miniature one-movement sonata-allegro in 3/4. The opening call to attention of *Il rè pastore*, K. 208, moves ultimately to a quiet ending that leads directly into the opening aria of Act I. *Idomeneo* is an *opera seria*, but it reflects a French influence from its libretto, which is by Antoine Danchet. Its D-Major overture is also open rather than closed, for its coda introduces B $\flat$ s, and its final D-Major chords are quiet. They act not as terminal tonics but as dominant chords, leading into the G minor of the first scene.

With the Singspiel *Die Entführung aus dem Serail* Mozart invokes a different strategy of beginning. The overture is fast-slow-fast, in an ABA pattern, with the central slow section comprising a tentative C-minor Andante. But this Andante returns – in C Major – to form Belmonte's opening aria, "Hier soll ich dich denn sehen." Thus the overture is structurally anticipatory, though we don't know it until we hear the aria. And when we do, its familiarity is accompanied by a transformation – from doubt to determination. The overture to *Le nozze di Figaro* is the embodiment of high spirits, on full orchestra with trumpets and drums. Its sinuous beginning, with *pianissimo* phrases in presto tempo expanding from one to two to four measures, plays a joke by withholding the expected *fortissimo* contrast for four extra *piano* measures on woodwinds. This overture, however, is self-contained, ending with downward-rushing scales and multiple reiterations of the tonic chord.

Three of Mozart's other overtures contain music that recurs in the opera itself. The *Don Giovanni* overture upends convention by beginning in dark and ominous D minor, riven by heavy syncopation, dissonant suspensions, flashing outbursts, and chromatic wandering.<sup>72</sup> This gives way to a light-hearted D-Major Molto allegro, which ultimately ends on C and launches us, dominant C to tonic F, into the first aria – Leporello's complaint about his job. We find out only later that the ominous beginning is a pre-echo of the work's climax, where the Commendatore returns, ultimately to drag Giovanni down to hell. The juxtaposition of darkness and light in this beginning music is a representation of the duality of the opera as a whole. The overture to *Così fan tutte* combines many of these beginning functions. Its stentorian one-measure call to attention alternates with a tender oboe melody in the opening Andante, juxtaposing conventionally masculine and feminine characters, while introducing an anticipatory touch of the military (the two officers). The overture comes to a full and definitive close, but not before a separate new descending phrase is played once quietly in thin texture and then repeated firmly. Again this is an anticipation, but not of a whole scene. It anticipates the music in

<sup>72</sup> For a discussion of the use of D minor in Mozart's operas, see Martin Chusid, "The Significance of D Minor in Mozart's Dramatic Music," *Mozart-Jahrbuch* 1965/66, 87–93.



Act II, Scene 13, in which Don Alfonso first suggests – and is then joined in definitive agreement by Ferrando and Guglielmo – that women are all the same: “Cosi fan tutte!” The *Zauberflöte* overture is a substantial work, displaying the Masonic symbolism of threes. (The opera includes three ladies, three spirits, three temples, three priests, and three slaves.) The overture is in the key of E♭ Major, with a key signature of three flats, and its opening Adagio call-to-attention chords are three spaced affirmations on E♭, C minor, and E♭, separated by fermatas. (The last chord is in first inversion, suggesting that the tonic has been somehow unsettled by the appearance of the minor.) The three chords return, now all on the dominant and just on brass (including three trombones) and winds, to interrupt the perky string fugato of the Allegro, this time with confirmatory reiterations, creating three-fold statements. Once again the beginning overture is anticipatory, for the three chords are those that accompany the approach of Tamino to the three temple doors.

Most of Beethoven's overtures were composed not for operas, since he wrote only one, but for ceremonial occasions, a ballet, and the beginning of plays, and they establish atmosphere rather than anticipating dramatic action. Beethoven's first overture was the opening for the ballet *Die Geschöpfe des Prometheus* (*The Creatures of Prometheus*), Op. 43. It is very square – sixteen measures, divided into even parts – but its opening plays the same trick as that of the First Symphony, where the first chord is C<sup>7</sup>, leading the music (and us) to F, before moving to an augmented sixth chord and then to G as the dominant of the correct key, from where all behaves correctly and with appropriate premonitory drama. Beethoven's compositions *King Stephen* and *The Ruins of Athens* (later revived, with different words, a new overture, and an added chorus, as *The Consecration of the House* for the opening of the renovated Josephstadt Theater in Vienna) were both designed for a single occasion: the opening of a new theater in Pest in Hungary.<sup>73</sup> Both are patriotic Singspiels for chorus and orchestra. *King Stephen* begins with suitably regal separated octave calls on trumpets and horns. *The Ruins of Athens* has three beginnings: a G-minor Andante con moto with sparse sixteenths in the bass leading to diminished-seventh chords and a 6/8 string melody that fails to get underway; a Marcia moderato in the major, but without dotted rhythms and with an oboe obbligato that also leads nowhere; and an Allegro ma non troppo that does finally gain momentum. The first tonic cadence does not arrive until the thirty-seventh measure of the overture. Perhaps the failed sections depict the ruins of the Athens that will later be replaced as a cultural center, according to the Singspiel's plot, by the city of Pest.

Throughout his life Beethoven expressed admiration for Handel, but the only truly Handelian work he wrote is the new overture for *The Consecration of the House*. It is noble and stately, with slow harmonic rhythm against descending suspensions and grand gestures supplemented by trumpet calls and drum tattoos. The orchestra is very big (full woodwind, trumpets, drums, four horns, three

<sup>73</sup> See B. Cooper, *Beethoven*, 219, 322.

trombones), and the beginning displays these forces at the outset, with widely separated chords moving from tonic to dominant.

The *Egmont* overture, on the other hand, has a beginning that is fully integrated into the work by means of a chiastic structure that brings the opening of the overture back as the second theme of the Allegro, while the second half of the Sostenuito leads into the Allegro as the first theme. The Allegro itself rather unexpectedly continues the F minor of the beginning Sostenuito section, and F Major does not come until the point at which a third section – Allegro con brio (originally the “victory symphony” destined for the end of Goethe’s play – brings in a level of triumph and exuberance that matches the finale of the Fifth Symphony (even incorporating the same high-flying piccolo). This final section reverses the direction of the falling gestures of the beginning music so that now every motive moves upwards.

The *Coriolan* overture (see Example 78) is another essay in C-minor/C-Major contrast, but here the beginning is a gesture whose potency continues throughout the work. It is a simple gesture: a long held note, *fortissimo*, on a unison C. This gesture is made dramatic by its being followed by a short staccato chord, and each static iteration of the C is followed by a chord that is harmonically dynamic, moving from IV to vii<sup>7</sup> to vii<sup>7</sup> of V to V to I, when a new nervous gesture appears. But the long-held unisons prove to be multi-functional, appearing as a part of the first theme, in the development, and again in the coda.<sup>74</sup> The last pizzicato unison Cs are an echo of this beginning, from whose simplest of all possible notes Beethoven has made a powerful statement of strength, resolve, and heroism.<sup>75</sup> Here the slow introduction is not one at all, for the opening long notes are two measures long in Allegro con brio, the tempo of the overture, thus integrating the beginning even more firmly into the fabric of the Allegro itself.<sup>76</sup>

For his only completed opera *Fidelio*, which went through several revisions, Beethoven wrote four overtures. The first three are called by the original name of the opera *Leonore* and were written in the following order: No. 2 (1805), No. 3 (1806), No. 1 (1808).<sup>77</sup> They are all in C Major. All three anticipate the action

<sup>74</sup> *Ibid.*, 177.

<sup>75</sup> Barry Cooper points out that with the *Coriolan* overture, Beethoven did not run the risk of spoiling the climax, as he had with two of the *Leonore* overtures, since what was designated to follow this overture was a play – Heinrich Collin’s *Coriolan* – not an opera. *Ibid.*, 178.

<sup>76</sup> E. T. A. Hoffmann wrote that “the first fourteen measures are ... written in such a way that they sound like an Andante.” See [Ernst Theodor Amadeus Hoffmann,] review, *Allgemeine musikalische Zeitung* 14 (August 5, 1812), 519–26.

<sup>77</sup> See Lockwood, *Beethoven: The Music and the Life*, 261. Beethoven’s opera title was *Leonore, oder Der Triumph der ehelichen Liebe* (*Leonore, or The Triumph of Married Love*), but the Theater an der Wien insisted on using the billing *Fidelio*, to distinguish the work from that of Ferdinando Paer (*Leonora*, 1804). See *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 184, n. 4 and 219, n. 20.

Example 78. Beethoven, Overture to *Coriolan*, Op. 62, mm. 1–14

**Allegro con brio**

2 Fl  
2 Ob  
2 Cl  
in B $\flat$   
2 Bn  
2 Hn  
in E $\flat$   
2 Tpt  
in C  
Timp  
in C & G  
Vln 1  
Vln 2  
Vla  
Vc  
Vc &  
Cb

*ff*

of the opera by containing a pre-echo of Florestan's great Act-II aria "In des Lebens Frühlingstagen." And Nos. 2 and 3 even anticipate the turning point of the whole story by introducing the offstage trumpet, the *deus ex machina* that saves Florestan's life. In his final version of the opera, for 1814, Beethoven completely re-conceptualized the idea of a beginning and wrote an overture (*Fidelio*)

that has no foreshadowing either of Florestan's aria or of the trumpet, or indeed of any of the principal themes of the opera itself. Far more subtly, its link is by key to the first of the arias of Leonore herself, the central figure and heroine of the work. Although he admired the *Leonore* overtures, Wagner realized the problem inherent in their representing the drama instead of introducing it. Indeed he suggested that in comparison with the greatest of them, *Leonore* No. 3, the opera itself pales. "Far from giving us a mere musical introduction to the drama, it sets that drama more complete[ly] and movingly before us than ever happens in the broken action that ensues. This work is no longer an overture but the mightiest of dramas in itself."<sup>78</sup> Ultimately Beethoven chose a beginning that introduces the main work rather than pre-empting it.

Beethoven had begun his unfinished opera *Vestas Feuer* with a heavy scene in which the heroine's father, who is opposed to her love affair, is gradually persuaded to support it. *Fidelio*, on the other hand, has a lighthearted beginning, in which the jailer's daughter falls in love with Fidelio (the disguised Leonore). The scene was kept even after Beethoven's lengthy and substantial revisions. The final version of 1814 has been seen as a telling political statement on Beethoven's part. Nicholas Mathew writes that *Fidelio* "was readily interpretable as a metaphor for the emancipation of Europe from Napoleon."<sup>79</sup> Solomon states that "the new version could readily be perceived as a celebration of the victory over the Napoleonic forces and as an allegory of the liberation of Europe from a contemporary tyrant and usurper."<sup>80</sup> One of the performances of the revision took place during the Congress of Vienna, on the Kaiser's name day and four months after his victorious return to Vienna.<sup>81</sup> Nonetheless Beethoven retained the beginning. Its lightheartedness is in contrast with the seriousness and darkness of the scenes in the dungeon, which are the heart of Beethoven's expressive intent. And the new 1814 *Fidelio* overture leads smoothly into the first scene (the duet between Marzelline and Jacquino, which Beethoven moved from its original second position) as well as establishing the key of E Major for Leonore's first aria, "Komm,

<sup>78</sup> Richard Wagner, *De l'ouverture (Über die Ouvertüre)*, 1841, trans. William Ashton Ellis as *On the Overture*, The Wagner Library, 157, [https://archive.org/stream/CollectionOfRichardWagnerProseWorks/WagnerProseWorks\\_djvu.txt](https://archive.org/stream/CollectionOfRichardWagnerProseWorks/WagnerProseWorks_djvu.txt) (accessed April 1, 2015). See also Alexander Rehding, *Music and Monumentality: Commemoration and Wonderment in Nineteenth-Century Germany* (New York: Oxford University Press, 2009), 114–15; and Thomas Grey, "Wagner, the Overture, and the Aesthetics of Musical Form," *Nineteenth-Century Music* 12 (1988), 3–22. Tovey felt that *Leonore* No. 3 "annihilates the first act." See Donald Francis Tovey, *Illustrative Music*, vol. 4 of *Essays in Musical Analysis* (London: Oxford University Press, 1937), 42.

<sup>79</sup> Nicholas Mathew, *Political Beethoven* (Cambridge, UK: Cambridge University Press, 2013), 36.

<sup>80</sup> Solomon, *Beethoven*, 288.

<sup>81</sup> The performance took place at the Kärntnertheater on May 23, 1814.

Hoffnung.”<sup>82</sup> Beethoven's first attempts at beginning the opera with the various *Leonore* overtures were, he must have finally realized, inappropriate, not only for their contrast with the opening scene but more importantly because they spoil the dénouement of the whole opera by anticipating the critical trumpet calls.<sup>83</sup>

#### THEME FOR VARIATIONS

Variations, either as independent sets or as movements within a larger work, also have important beginnings: their themes. Whether explicitly marked as such or disguised, themes that give rise to variations lay out a beginning template for the remainder of the movement, often, but not always, in two-reprise form; and in the case of variations that depart progressively from the original only to return to it in either identical or slightly changed form, their beginning is also their end.<sup>84</sup> Variation beginnings are beginnings in their own category: they establish a template as well as a key, and everything that happens afterwards is heard with only the beginning in mind. A particular sense of security and balance is provided when the variations do conform to the pattern, and when they do not, the sense of departure is greater than in movements when other kinds of departure and contrast are expected.

If the theme of a variation movement does not immediately make it clear that it will be the subject of variations, which it sometimes does, then the repetition after the first eight measures suggests that it will be either a theme and variations or a rondo. Rondos, however, are usually faster than variation sets. Beethoven

<sup>82</sup> Solomon describes the new overture as a “festive curtain raiser” (Solomon, *Beethoven*, 259). For Michael Steinberg it is “an allegory ... of the ethical determination that will be at the core of this drama.” Steinberg, *Listening to Reason*, 75.

<sup>83</sup> In his lengthy essay on Beethoven, with particular emphasis on *Fidelio*, philosopher and music writer Amadeus Wendt criticized the earlier version for different reasons: “One of its most prominent features, the entry of the trumpet ... only becomes comprehensible at the end of the opera and cannot be seen as contributing to the overture, since the rhythmic, melodic, and harmonic context is completely disrupted and disturbed through too harsh a transition. Therefore this trumpet signal appears only a frivolity that is completely extraneous to the deep seriousness of the overture as a whole.” See Amadeus Wendt, “Thoughts about Recent Musical Art and van Beethoven's Music, Specifically His *Fidelio*,” *Allgemeine musikalische Zeitung* 17 (May 24, 31, June 7, 14, 21, and 28, 1815), 345–53, 365–72, 381–89, 397–404, 413–20, and 429–36, trans. in *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 2, 185–222, at 207–08.

<sup>84</sup> Theories of variation construction were put forward in Sulzer's *Allgemeine Theorie*, in Rousseau's *Dictionnaire de musique*; and by Johann Friedrich Daube, *Der musikalische Dilettant* (Vienna: von Trattner, 1773); and Johann Friedrich Christmann, *Elementarbuch der Tonkunst*, 2 vols. (Speier: Bossler, 1782–90). Vogler (*Verbesserung der Forkel'schen Veränderungen*, 5–6) described the constraints and the opportunities of the form in rhetorical terms. See Elaine Sisman, “Tradition and Transformation in the Alternating Variations of Haydn and Beethoven,” *Acta Musicologica* 62 (1990), 152–82.

composed many independent variation sets, but several are part of multi-movement cycles.

Beethoven's slow movements in variation form include the *Andante cantabile* of the Op. 1 No. 3 Piano Trio; the *Andante con moto* of the Violin Sonata, Op. 12 No. 1; the *Andante* of the Piano Sonata, Op. 14 No. 2; the *Andante cantabile* of the String Quartet in A, Op. 18 No. 5; the *Andante* of the Septet, Op. 20; the *Andante* of the Violin Sonata, Op. 47 ("Kreutzer"); the *Andante con moto* of the "Appassionata" Sonata, Op. 57; the *Andante cantabile, ma però con moto* of the Piano Trio, Op. 97 in B $\flat$  ("Archduke"); the last movements of the Piano Sonatas Opp. 109 and 111; the *Adagio* of the Ninth Symphony; and, in the late quartets, the exquisite *Adagio ma non troppo e molto cantabile* of Op. 127, the *Andante ma non troppo e molto cantabile* of Op. 131, the middle movement (the "Heiliger Dankesang") of Op. 132, and the transcendent *Lento assai, cantante e tranquillo* of Op. 135.

A variation set can encompass two themes, each of which receives variations either in alternation or in a more irregular pattern. Such movements provide opportunities for composers to present two clear beginnings in turn. Two themes, both varied, are presented in the slow movement (*Andante con moto*) of the Fifth Symphony, the second movement (*Allegretto*) of the Piano Trio, Op. 70 No. 2, the second movement (*Allegretto*) of the Seventh Symphony, and the slow movement (*Adagio molto e cantabile*) of the Ninth.<sup>85</sup> The alternating variations of the slow movement of the Ninth are more profound and ethereal than any of these previous sets, but the presentation of the themes is more straightforward: a B $\flat$ -Major theme alternating with a D-Major theme (until the last two B $\flat$ -Major variations before the coda), the former with a two-measure beginning-before-the-beginning, elegantly piling bassoons and clarinets into repeated upbeat gestures. The juxtaposition of keys echoes the same juxtaposition, in reverse order and with the D in the minor mode, from the first movement. The "Heiliger Dankesang" of Op. 132 may also be construed as a double-variation movement, although, of course, it is much more than that.

Here, once again, the initiator seems to have been Haydn. The opening movements of Haydn's Trios, Hob. XV: 13, Hob. XV: 19, and Hob. XV: 31, alternate two themes. Two of these juxtapose major and minor. The two themes of the Trio No. 31 are in E $\flat$  minor and E $\flat$  Major. Haydn's Piano Trio, Hob. XV: 13, opens with alternating themes in C minor and C Major, while Beethoven's Piano Trio, Op. 70 No. 2, reverses the plan, presenting alternating variations in C Major and C minor.

<sup>85</sup> The proximate influence for these variations with two themes was Haydn, though there are precedents in the music of C. P. E. Bach. See Sisman, "Tradition and Transformation," 158–59. Haydn seems to have invented the idea of using theme-and-variations form for a symphonic slow movement. For Beethoven it may have been the *Andante* of Haydn's Symphony No. 103 that inspired his Fifth Symphony and Ninth Symphony slow movements. Mozart wrote no variation movements for any of his symphonies.

Variation sets can be beginnings of works, though this is less usual. First-movement variation sets create an opening for a work that announces itself immediately as less demanding and more self-contained than the intellectual challenge and promise of the expected sonata form. Haydn's String Quartets, Op. 9 No. 5, Op. 17 No. 3, Op. 55 No. 2, and Op. 76 No. 6 all begin with variation movements. All of them are non-fast (*Poco adagio*, *Andante grazioso*, *Andante*, and *Allegretto*), and all of them are in 2/4. Four of his keyboard sonatas also begin with variation movements: Hob. XVI: 39 (*Allegro con brio*, 2/4), Hob. XVI: 40 (*Allegretto*, 6/8), Hob. XVI: 42 (*Andante*, 3/4), and Hob. XVI: 48 (*Andante*, 3/4). All but one of these eight movements are not fast, and all but two of them are in 2/4 or 6/8 – marks of simplicity and attractiveness. Mozart started his A-Major Piano Sonata, K. 331, with the delightful and well-known set of variations on a theme that is both *Andante grazioso* and in 6/8 (see Example 79). Similarly, the first movement of Beethoven's Piano Sonata, Op. 26 in A flat, is a 3/8 *Andante con variazioni*, in which the lengthy theme is in the form AA'BA', where the second and third As are very slightly ornamented, and the B section is ten measures long instead of the prevailing eight.

Example 79. Mozart, Piano Sonata in A Major, K. 331, first movement, mm. 1–4

**Andante grazioso**

This kind of relaxed tone is more normal for the last movement in a cycle, and sometimes it is accomplished by a variation set as a finale rather than a rondo. Beethoven's last movements in variation form include the finale of the "Eroica," with its curious separation of bass and theme, and the *Allegretto con variazioni* of the String Quartet, Op. 74, where the second half of the two-reprise form is extended to twelve measures, with obvious consequences for the remainder of the movement.<sup>86</sup> Mozart ends his Clarinet Quintet with an *Allegretto con variazioni*, thus beginning and ending his last movement with an impression of delight and charm rather than of high spirits. The last-movement *Poco allegretto*

<sup>86</sup> The idea of composing any variation movements in symphonies also seems to have been new with Haydn, beginning with the finales of his symphonies Nos. 72 and 73 in the mid 1760s. Later he uses it also in slow movements. The nature of a slow introduction is perhaps made clear by the obvious non-viability of a variation set as a slow introduction: it is too stable. Even in the 1780s no other composer, except for Haydn's brother Michael Haydn, used variation movements in symphonies.

of Beethoven's Violin Sonata, Op. 96, aims for the same atmosphere, with a set of variations on a cheerful folk-like theme, which modulates from G to B Major in the middle. Another gentle finale in variation form is the last movement of the Violin Sonata, Op. 30 No. 1. The last-movement variation set (4/4, Allegretto) of the Clarinet Trio, Op. 11, on the popular late eighteenth-century Viennese hit "Pria ch'io l'impegno,"<sup>87</sup> has it both ways: by featuring a variation set in last place the work ends lightly, but the movement includes a final Allegro in 6/8, which borrows from the excitement of a rondo finale.

Beethoven, however, discovered great depth in last-movement variation sets, and in order to convey this depth, he had to invent beginnings for them of both profundity and promise.<sup>88</sup> The last movement of the Piano Sonata, Op. 109, begins with a luminous E-Major theme that recalls the "Goldberg" aria of Bach in its sarabande-like quality. Two reprises set up a pattern for the remainder of the work and establish a mood of introspection and profundity, from which the increasingly virtuosic "division" variations depart, but which is recalled at the end, when the theme returns, without repeats and simplified, as though purified. The beginning thus returns to close the movement and the work. There is no such return in the last movement of the Piano Sonata, Op. 111, an "Arietta," Adagio molto semplice e cantabile. The beginning sixteen-bar two-reprise theme in C Major here sets a standard of simplicity that is not returned to: the "division" variations progress through increasingly fast note values to a coda of high trills and low rumbles to the *pianissimo* ending. When in a variation set, according to convention, one of the later variations moves to the minor (Op. 26, Op. 111) or to a flatter major (Op. 127, Op. 131), the return of the beginning theme or the beginning key has a recapitulatory effect.<sup>89</sup>

Different strategies can attend the composition of an independent set of variations. At an early stage Beethoven devised a risibly simple-minded beginning theme for his Variations in Eb, Op. 44 (composed 1790s) (see Example 80). Fourteen variations unfold in martial, *dolce*, triplet, and furious sixteenth-note styles, as well as two slow minor variations, to an Andante and then a headlong Presto coda.

However, as we have seen, another trio variation set, the "Kakadu" Variations, Op. 121a, which was originally composed in 1803, revised in 1816, and then perhaps revised again in 1824,<sup>90</sup> starts with a separate imposing modulATORY Adagio assai in G minor of considerable length. Then the simple G-Major theme, from

<sup>87</sup> The song came from Joseph Weigl's comic opera *L'amor marinaro* (1797).

<sup>88</sup> Yet again his model may have been Haydn. Haydn's Andante con variazioni of 1793 is both profound and moving, but if the lesson was learned from Haydn, it took a long time to take hold. Most of Beethoven's searching variation sets come from nearly thirty years later.

<sup>89</sup> Marston, "The Sense of an Ending," 90.

<sup>90</sup> See Lockwood, "Beethoven's 'Kakadu' Variations," 95–108.



Example 80. Beethoven, Variations in E $\flat$  Major for Piano Trio, Op. 44, theme, mm. 1–5

**Andante**

The musical score consists of three staves: Violin (Vln), Viola (Vc), and Piano (Pf). The key signature is E-flat major (three flats) and the time signature is 3/4. The tempo is marked 'Andante'. The music is written in a simple, rhythmic style with a piano (*p*) dynamic marking. The melody is primarily eighth and quarter notes, with some rests. The piano part provides a simple harmonic accompaniment.

Wenzel Müller's opera *Die Schwestern von Prag* (1794), undergoes increasing "divisions" for eight variations. The ninth variation returns to the mode and tempo of the Adagio opening, and the last variation, serving double duty as coda, is sectional and as complex harmonically and contrapuntally as the lengthy introduction. Here Beethoven's more mature rhetoric of beginnings is appended to the simpler strategy of his youth.

It is notable that Beethoven emphasizes the *singing* quality of themes laid out for variation, an idea possibly influenced by the model for the theme of Op. 109, Bach's theme for the "Goldberg" Variations, labeled "aria" by the composer. Beethoven wrote "Gesang mit innigster Empfindung" in his autograph of Op. 109: "Song with innermost feeling," but the printed editions have the adjective "Gesangvoll" ("songful").<sup>91</sup> Other references either direct or indirect to the singing quality of some of his instrumental music include the "Klagender Gesang" of the Piano Sonata, Op. 110, the "Heiliger Dankgesang" of the String Quartet, Op. 132, and the Cavatina of the String Quartet, Op. 130; the recitatives scattered throughout the piano sonatas and string quartets, not to mention the passages "selon le caractère d'un Recitatif, mais in tempo" for the cellos and basses in the last movement of the Ninth Symphony; and the *cantabile* nature, either designated or patent, in a large number of other instrumental movements throughout

<sup>91</sup> The autograph is Washington, DC, Library of Congress, ML30.8b.B4 op. 109 1820 case. A facsimile edition is *Ludwig van Beethoven: Klaviersonate E-Dur, Op. 109*, Meisterwerke der Musik im Faksimile 14 (Laaber: Laaber, 2011). The heading may be seen on folio 11 recto. "Gesang" is also the term he uses in the sketches for this last movement. See William Kinderman, *Artaria 195: Beethoven's Sketchbook for the Missa Solemnis and the Piano Sonata in E Major, Opus 109*, 3 vols. (Urbana: University of Illinois Press, 2003), vol. 2, 36; vol. 1, 82.

Beethoven's oeuvre.<sup>92</sup> Of all Beethoven's slow variation sets mentioned here, almost all include the word "cantabile" or "cantante" or "Gesang" in their markings; the only exceptions are the slow movement of the Fifth Symphony and the humorously naïve "Tema" of Op. 44.

The *ne plus ultra* of Beethoven's variation sets is of course the "Diabelli" set of Op. 120, whose scope and ambition mark Beethoven's most overt homage to Bach's "Goldberg" Variations.<sup>93</sup> Here the relationship of the beginning to the remainder of the work is the apogee of the idea of transformation and revelation. The composer shows how the tiniest details of the trivial theme can become the basis of grand ideas and expressive intensity. Light or trivial themes had begun many of his variation sets throughout his life, but none were lighter or more trivial than this.<sup>94</sup> And no set of variations, not even those of the "Eroica," had turned into the panoply of styles, the grand display of skill and compositional depth that Beethoven laid out in Op. 120. Many commentators have written enlighteningly about this remarkable work.<sup>95</sup> Here I shall emphasize only the crucial aspects of its beginning theme – macroscopically: its rustic simplicity emphasized by its waltz meter, "lively" tempo marking, foursquare thirty-two-measure two-reprise

<sup>92</sup> Kerman, *The Beethoven Quartets*, 191–222; Stanley, "Voices and Their Rhythms in the First Movement of Beethoven's Piano Sonata, Op. 109," 107.

<sup>93</sup> I have mentioned the reflections of the "Goldberg" Variations in Op. 109 as well. But there are earlier connections. In a letter to his publisher of October, 1802 regarding the Op. 35 "Prometheus" set, Beethoven claimed that it had thirty variations, rather than the actual fifteen, thirty being the number of the "Goldberg" set. *Briefwechsel Gesamtausgabe*, Letter No. 108, vol. 1, 126; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 62, vol. 1, 76. Op. 35 also contains a canon (Variation 7) and ends with a fugue. Of course, no composer embarking on fugue writing, as Beethoven did increasingly towards the end of his life, could have avoided having Bach (to whom he referred early in 1801 as the "Urvater der Harmonie") in the forefront of his mind. *Briefwechsel Gesamtausgabe*, Letter No. 54, vol. 1, 63; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 44, vol. 1, 47. See also Alfred Kanwischer, *From Bach's Goldberg to Beethoven's Diabelli: Influence and Independence* (Lanham, Maryland: Rowman and Littlefield, 2014) for a full comparison of Bach's work and Beethoven's; and Martin Zenck, *Die Bach-Rezeption des späten Beethoven: Zum Verhältnis von Musikhistoriographie und Rezeptionsgeschichtsschreibung der "Klassik,"* Archiv für Musikwissenschaft 24 (Stuttgart: Franz Steiner, 1986) for a more general analysis of the influence of Bach on late Beethoven.

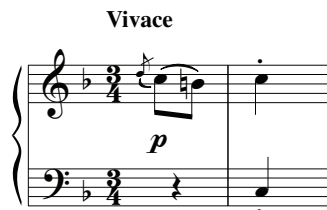
<sup>94</sup> Maynard Solomon preferred the characterization "quotidian," suggesting that the theme is adopted by Beethoven for his remarkable set of variations precisely because of its ordinariness. See Solomon, "The End of a Beginning," 11–26, 17, 18, 20, and 23.

<sup>95</sup> See Alfred Brendel, "Must Classical Music Be Entirely Serious?," in *Music Sounded Out* (London: Robson, 1990), 12–35; Maynard Solomon, "The End of a Beginning," 11–26; Maynard Solomon, "The Shape of a Journey: The 'Diabelli' Variations," in Solomon, *Late Beethoven*, 179–97; William Kinderman, *Beethoven's Diabelli Variations*, Studies in Musical Genesis and Structure (New York: Oxford University Press, 1987); and Lockwood, *Beethoven: The Music and the Life*, 391–95. See also Matthew Bengtson, "Interpretive Questions in the 'Diabelli' Variations," *Beethoven Forum* 12 (2005), 97–110. 33 *Variations* (2007) is a play by Moisés Kaufman, involving a musicologist studying Beethoven's composition.

form, key of C Major, and I–V, V–I harmonic scheme; and microscopically: those tiny features that crucially undermine this simplicity: the crescendos, offbeat accents, and range of dynamic markings throughout, the fourth leaps down and then up in the first strain, echoed by third leaps up in the second, and the move from *forte* to *piano* in the first strain and from *fortissimo* to *forte* in the second, which emphasizes the tone of deliberate and self-conscious *unpretension*. William Kinderman has also shown that the beginning of the variations, Variation 1, was added by Beethoven at a late stage of composition, together with two other variations placed in the middle and near the end of the work.<sup>96</sup> These are designed to expose the unpretentious nature of several features of the tune, creating a down-to-earth contrast with the sophistication of some of the other variation movements.

The very beginning of the beginning theme of the Diabelli Variations is the most important gesture of all: the grace note before the first eighth, repeated after four measures and picked up again in the second strain. This tiniest note of all encapsulates in a split second precisely that tone of insouciance, of studied nonchalance, that gives the opening of the Diabelli Variations its special aspect of openness and promise, enabling the remaining encyclopedia of craft, tone, and expression to take place. What I describe in many words, Beethoven accomplishes in one *acciaccatura* (see Example 81).

Example 81. Beethoven, Thirty-Three Variations on a Waltz by Diabelli, Op. 120, beginning



These very carefully thought-out ways of making the simple sophisticated echo a technique of Beethoven's first essayed in the Six Variations on a Swiss Song, WoO 64, from the early 1790s, thirty years earlier, in which the extraordinarily simple tune (and all the ensuing variations) are given lift and life by the phrasing – three measures plus three measures, answered by five measures – a technique brought to perfect balance in the “Alla danza tedesca” of the String Quartet, Op. 130 (see Example 82), where the music (crucially “*alla danza tedesca*”: *in the style of a German dance, not a German dance*), is harmonically as distant from the previous movement as possible (G Major after D $\flat$  Major, a

<sup>96</sup> See Kinderman, *Beethoven's Diabelli Variations*, 74–75.

Example 82. Beethoven, String Quartet in B $\flat$  Major, Op. 130, fourth movement, mm. 1–8

**Alla danza tedesca**  
**Allegro assai**

Vln 1  
Vln 2  
Vla  
Vc

tritone away), and whose “simple” 3/8 perfectly square, two-measure phrases are made rich and elegant by full scoring and are very slightly distorted, removed from simplicity, by overly sensitive dynamic swells on the first of each pair of measures, moving to sudden *piano* on the second; and this perhaps even mincing particularity is enhanced by the slightest of pauses after the beginning measure of each pair, indicated by a sixteenth-note rest in the melody.<sup>97</sup>

<sup>97</sup> Ludwig Misch, in “Alla danza tedesca,” in *Beethoven Studies* (Norman: University of Oklahoma Press, 1953), 15–17, suggested that G Major was associated in Beethoven’s mind with the character of a German dance. He drew attention to the connections between this movement and the first movement (*Presto alla tedesca*) of the Piano Sonata in G Major, Op. 79. Leonard Ratner described the “odd, humorous effect” of this movement, “befitting the somewhat precious treatment that Beethoven gave to the familiar topic of the movement, a German waltz, through finicky dynamics, phrasing, and over-elegant, often capricious scoring.” See Ratner, *Classic Music*, 101. And William Kinderman underscores the common focus on G in this movement, the Cavatina that follows it, and the *Grosse Fuge*, the movement that originally followed the Cavatina. See Kinderman, “Beethoven’s Last Quartets,” 301.



## CHAPTER FIVE

# Special Beginnings

### BEGINNING BEFORE THE BEGINNING

ONE of the most sophisticated rhetorical strategies in eighteenth-century and early nineteenth-century music is the Beginning before the Beginning.<sup>1</sup> With this strategy, some music – a gesture, a measure or two, or several measures – precedes what is the substantive opening of the movement. An early but effective use of this beginning occurs at the opening of the slow movement of Beethoven's String Quartet in F Major, Op. 18 No. 1. This is the slow movement in D minor that is associated with the tomb scene in Shakespeare's *Romeo and Juliet* – an association suggested by Beethoven's annotations in his sketches and contemporary reports and elaborated by several scholars.<sup>2</sup> D minor had powerful overtones for Beethoven. Not only was it the key of Mozart's

<sup>1</sup> I borrow this phrase from Leonard Ratner, who introduced it in his Stanford graduate seminars on the Beethoven string quartets.

<sup>2</sup> The evidence for the association includes descriptive remarks in Beethoven's sketches for the movement and his reported comments to a friend. See Thayer, *Thayer's Life of Beethoven*, 261. See also Owen Jander, "Orpheus Revisited: A Ten-Year Retrospect on the Andante con moto of Beethoven's Fourth Piano Concerto," *19th Century Music* 19 (1995), 31–49, at 32. This idea was much more fully explored in an unpublished paper, kindly supplied to me many years ago by the author. Jander suggested that, in addition to the scene in Shakespeare, Beethoven drew from three contemporary operas: Georg Benda's *Romeo und Julie* (premiered in 1776), Daniel Steibelt's *Roméo et Juliette* (1793), and Antonio Zingarelli's *Giulietta e Romeo* (1796). See also Myron Schwager, "Beethoven's Programs: What Is Provable?," *The Beethoven Newsletter* 4 (1989), 49–55; and Bernd Edelmann, "Die poetische Idee des Adagio von Beethovens Quartett Op. 18, Nr 1," in *Rudolph Bockholdt Festschrift zum 60. Geburtstag*, ed Norbert Dubowy and Sören Meyer-Eller (Pfaffenhofen: Ludwig, 1992), 247–67. Steven M. Whiting, in his "Beethoven Translating Shakespeare: Dramatic Models for the Slow Movement of the String Quartet, Op. 18 No. 1," *Journal of the American Musicological Society* 71 (2018), 795–838, demonstrates that the Benda, Steibelt, and Zingarelli works (as well as others, such as those by Christian Felix Weisse [1769], Jean-François Ducis [1772], and Joachim Eschenburg [1779]) are less likely to have been the source for Beethoven's inspiration than the elegant blank-verse rendering of August Schlegel, whose translations of Shakespeare later became legendary, and whose edition of many of the plays began, in 1797, with *Romeo und Julia* (*Shakespeares dramatische Werke*, with Caroline Schlegel, Ludwig and Dorothea Tieck, 9 vols. [Berlin: Unger, 1797–1810]). Beethoven may also have read a preliminary translation of the tomb scene (published as "Probe einer neuen Uebersetzung von Shakespeares Werken," *Deutschland* 2, No. 5 [1796], 248–59) when he was in Berlin in May, 1796. To these observations I would add only a precisification of Beethoven's Berlin sojourn, which was probably from May 20 to the end of June, 1796 (see Michael Ladenburger, *Beethoven auf Reisen* [Bonn: Beethoven-Haus, 2016], 100).

Chant  
et  
Accompagné  
de  
PIANO.

DIDON

Ah! quand tu fais mon déplaisir, in. grat, je veux me plaindre et non pas t'at...tendrir.

Plate 1: Texted setting of Mozart, String Quartet in D minor, K. 421, first movement, mm. 1–4, in Jérôme-Joseph de Momigny, *Cours complet d'harmonie et de composition* (Paris: Author, 1806), vol. 3, 109–10

powerfully expressive String Quartet, K. 421; *Don Giovanni*, with its evocation of death and the underworld; his *Requiem*; and his brooding Piano Concerto, K. 466, for which Beethoven wrote cadenzas; but Beethoven himself had already explored the expressive nature of the key in the slow movement of the Piano Sonata, Op. 10 No. 3, which he marked (unusually) “*Largo e mesto*,” “Broad and sad”).<sup>3</sup> For both Haydn and Mozart, *largo* was slower than *adagio*,<sup>4</sup> and only one

<sup>3</sup> The slow movement of Haydn’s Quartet in D Major, Op. 76 No. 5, is marked “*Largo cantabile e mesto*.” Haydn’s music is more peaceful than Beethoven’s. It is in the unusual key of F# Major, which Ratner describes as “luminous” (Ratner, *Classic Music*, 323). Tovey wrote that Beethoven’s slow movement is “not only Beethoven’s first essay in tragedy, but is by far the most tragic piece of music that had ever been written up to that time.” Tovey, *Beethoven*, 92. In 1806 Jérôme-Joseph de Momigny published an extraordinary verbal setting of the entire first movement of Mozart’s D-minor String Quartet, K. 421, in which the abandoned Dido expresses her “douleur,” “chagrin,” and “indignation” over the departure of Aeneas. See Momigny, *Cours complet d’harmonie et de composition*, vol. 2, 392–97; vol. 3 (plates), 109–56. “J’ai cru que la meilleure manière d’en faire connaître la véritable expression, à mes lecteurs, était d’y joindre des paroles” (“I thought that the best way of getting my readers to know the true meaning of the music was to add words to it.” (vol. 1, 371.) Plate 1 (above) shows his text underlay for the well-known first-violin theme at the beginning.

Words were also set – during Haydn’s lifetime – to the slow movements of Haydn’s Symphony No. 53 and the String Quartet, Op. 50 No. 1. See Landon, *Haydn in England*, 199–200. Hans Keller’s first published “functional analysis” was of K. 421. See Hans Keller, “FA No. 1: Mozart, K. 421,” *The Score* (1958), 56–64. See also Nicholas Cook, *A Guide to Musical Analysis* (Oxford: Oxford University Press, 1994), 91–92. In a parallel development, Arnold Schering found literary equivalents for all Beethoven’s symphonies and some of his piano sonatas. See Arnold Schering, *Beethoven in neuer Deutung* (Leipzig: Kahnt, 1934); and Arnold Schering, *Beethoven und die Dichtung* (Berlin: Junker und Dünhaupt, 1936). A list of some of these parallels is given in William S. Newman, *The Sonata in the Classic Era*, 2nd ed., 2 vols. (New York: Norton, 1972), vol. 2, 504–05. The idea that textual or narrative equivalents could be found for musical works was supported by André Grétry in his *Mémoires ou essai sur la musique* (Paris: Author, 1789) and in articles by Johann August Apel but was ridiculed by Johann Gottlieb Spazier in his *Grétrys Versuche über die Musik* (Leipzig: Breitkopf & Härtel, 1800) and by Friedrich Rochlitz in his *Für Freunde der Tonkunst* (Leipzig: Knobloch, 1824–32). Haydn’s works in D minor include the Symphonies, Nos. 26, 34, and 80 and the String Quartets, Op. 9 No. 4, Op. 42, and Op. 76 No. 2.

<sup>4</sup> See Neal Zaslaw, “Mozart’s Tempo Conventions,” in *International Musicological Society, Report of the Eleventh Congress, Copenhagen 1972*, vol. 2, ed. Henrik Glahn, Søren Sørensen, and Peter Ryom (Copenhagen: Wilhelm Hansen, 1974), 720–33;

other movement of Beethoven uses the designation “*mesto*”: the deeply felt slow movement of the String Quartet, Op. 59 No. 1, *Adagio molto e mesto* (which also has a much smaller but important Beginning before the Beginning).<sup>5</sup> Beethoven marks the Romeo and Juliet slow movement “*Adagio affettuoso ed appassionato*” (*affettuoso* is “tender, with feeling”), and *affettuoso* alone is used by Bach for the exquisite slow movement of the Fifth Brandenburg Concerto, BWV 1050, for solo flute, solo violin, and harpsichord. D minor was the key that Beethoven later chose for his expressive “Tempest” Piano Sonata, Op. 31 No. 2, the somber slow movements of the Piano Trio, Op. 70 No. 1 (the “Ghost”), and the Cello Sonata, Op. 102 No. 2 (marked, revealingly, “*Adagio con molto sentimento d’affetto*”), the *Larghetto* marking Clärchen’s death in the incidental music to *Egmont*, Op. 84, and, of course, his last symphony, the Ninth.<sup>6</sup> These parallels can only support the movement’s association with the double tragedy at the dénouement of Shakespeare’s play, though Beethoven gave no public evidence of the linkage in title or in subtitle, only in his private sketches. The movement is in 9/8 with a broad, singing, finely spun first-violin melody draped over throbbing eighth notes in the lower strings (see Example 83).<sup>7</sup> The movement could have begun

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and Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 185, where he points out that Haydn reserves *largo* for special occasions. Among other composers and theorists the order of progression in tempo markings was far less clear. Some writers defined *adagio* as slower than *largo*. See Clive Brown, *Classical and Romantic Performing Practice 1750–1900* (Oxford: Oxford University Press, 1999), 336–374, especially 343.

<sup>5</sup> Other uses of the term appear in keyboard works of C. P. E. Bach, the slow movement of Haydn’s Quartet in D Major, Op. 76 No. 5 (cited above), and two Clementi piano sonatas: the third movement of Op. 7 No. 1 and the second movement of Op. 40 No. 2. See Churgin, *Transcendent Mastery*, 146.

<sup>6</sup> Verbal descriptions of the affective qualities of various keys have been compiled from theorists including Johann Mattheson, Jean-Jacques Rousseau, William Jones, John Hawkins, Carl Ludwig Junker, Georg Joseph Vogler, Justus Johannes Heinrich Ribock, Christian Friedrich Daniel Schubart, Heinrich Christoph Koch, Georg Friedrich Wolf, Justin Heinrich Knecht, Johann Jakob Heinse, Francesco Galeazzi, André-Ernest-Modeste Grétry, and Carlo Gervasoni in Steblin, *A History of Key Characteristics*. John Wilson has connected Ratner’s concept of topics to key characteristics; see John Wilson, “Topos and Tonality in the Age of Beethoven.” A subsequent article focused on Beethoven’s sense of the affect of D minor: see John Wilson, “Beethoven, D Minor, and ‘Ombra’: From Operatic Tradition to Instrumental Topos,” in *Beethoven: Studien und Interpretationen*, vol. 6, ed. Mieczysław Tomaszewski (Kraków: Akademia Muzyczna, 2015), 191–203. Paul Ellison has surveyed the association of key and meaning in Beethoven’s songs and choral music and applied it to elucidate the web of meanings he thinks are implied in the D-minor sonata. See Paul M. Ellison, “The Largo/Allegro from Beethoven’s ‘Tempest’ Sonata: Affective Tonality as a Key to Meaning,” *The Beethoven Journal* 27 (2012), 13–25, and Ellison, *The Key to Beethoven*, especially 361–86.

<sup>7</sup> An 1826 review referred to the movement’s “beautiful melancholy and elegiac depth.” See J. P. S., “News: Berlin, 16 November 1826: Quartet Music,” *Berliner allgemeine musikalische Zeitung* 3 (November 22, 1826), 382, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 156.



Example 83: Beethoven, String Quartet in F Major, Op. 18 No. 1,  
second movement, mm. 1–4

**Adagio affettuoso ed appassionato**

*pp*

in measure 2. But Beethoven precedes the entrance of the first violin with a full measure of the accompaniment: cello, viola, and second violin in low, close voicing, *mezzo-staccato*, *pianissimo*, i–i–V in D minor, in three-note groups that might be triplets (the meter does not become clear until perhaps measure 5) – a Beginning before the Beginning. Why?

The question is, of course, itself rhetorical: I pose it in order to make some tentative suggestions. First I suggest that it is worth pondering the fact that the movement could begin a measure later and that therefore the Beginning before the Beginning has an identity separate from – but linked to – the “second” beginning and, consequently, that the composer created this identity for rhetorical (expressive, functional, organizational, structural) purposes. I also suggest that we can as critical listeners contemplate the musical and psychological effect of this measure by imagining the movement without it and then experiencing the movement with it. Its principal effect is to establish the dark and gloomy atmosphere (whether pictorial or otherwise) that Beethoven wishes to utilize for the first key area of this movement. Much of the movement (the second key area, in F, and its rhyme in the recapitulation, in D Major) is in the major mode – in fact, the movement is partially dependent upon the contrast between minor and major polarities – so establishing the minor mood at the outset must have seemed important to Beethoven. Doing so simultaneously with the entrance of the first violin would have lessened its impact. Our attention is focused entirely on the accompaniment for the three seconds or so of the first measure, and when the first violin enters our attention is fully divided: we hear both the accompaniment and the melody. In fact the “non-necessity” of the first measure is made clear by the fact that its content is repeated almost note for note in

measure 2 (the exception is the first eighth note in the second violin, which is on D instead of on A, to resolve the C#s in the preceding measure). Darkness and gloom are, of course, not only in the key, but also in the low tread of the register, the dynamics, and the articulation, all of which must be performed under the directions “Slow, with feeling, and passionate.” The superfluity of the beginning is further registered as the first half of the violin’s song falls into four measures *without* the first measure. But the second half corrects the imbalance by means of elision, and it ends (rather weakly, it must be said, given its promise and despite the harmonic and melodic diminished sevenths) on the dominant at the start of measure 9. The importance of the first measure is therefore also structural, for its existence serves to correct the elision in the second half of the phrase. Even if the key-, mood-, and atmosphere-establishing importance of this Beginning before the Beginning is mitigated at the (rescored) recapitulation, this careful organizational aspect is confirmed by the repetition of the opening measure at that point. Theatricality is woven into this whole movement: witness the outbursts of the development section; the diminished-seventh chord, dying dynamics, and lengthy pauses before the recapitulation; the reappearance of the cello’s song (missing from the recapitulation) in the coda; and the coda’s reiterated outbursts, *fortissimo* tremolos on a diminished-seventh chord, and final melodic outlining of a diminished seventh in the first violin’s operatic flourish.

A strikingly similar one-measure Beginning before the Beginning occurs at the opening of the slow movement (Andante) of Mozart’s Piano Concerto in C Major, K. 467 (see Example 84).<sup>8</sup> The movement is in 4/4, but Mozart crafts an accompaniment in triplets in the lower strings, on a chord in F. Both the rhythm and the sonority are very much like those of the Beethoven quartet. The dynamic is *piano*, and although the mode is major, this key will sound subdued, since it is the subdominant of the C-Major first movement, rather as the D minor sounds subdued in the F-Major context of Beethoven’s first movement. Mozart’s preceding Allegro maestoso has approached its end with a flourish of the full orchestra with trumpets and drums in conclusive fanfares, but the last four measures prepare for the hushed Andante with a quiet ending. And the Andante is hushed further by having the strings play *con sordino*. Over a pizzicato bass the muted second violins and violas *divisi* set up a throbbing triplet rhythm. Against these iterative triplets, cellos and basses pluck 1–3–5 of the arpeggio of F in eighth notes on the first three beats of the first measure. Once the first violins enter,

<sup>8</sup> It is emblematic of how commentators have tended to ignore these one-measure Beginnings before the Beginning that even the astute and sensitive Charles Rosen completely omits this one from his lengthy analysis of the work. He describes this opening as starting with m. 2, and he neglects the fact that the solo piano repeats the first measure when it enters: “The opening twenty-two measures ... are split by Mozart into three parts ... : A (mm. 2–7) [sic], B (8–11), and C (12–22). ... After the ritornello the piano plays A and B in the tonic.” See Rosen, *The Classical Style*, 238.

Example 84: Mozart, Piano Concerto in C Major, K. 467, second movement, mm. 1-7

**Andante**

Fl, 2 Ob  
2 Bn, 2 Hn

Pf

Vln 1

Vln 2

Vla

Vc

*p*

*p sordino*

*p sordino*

*p sordino*

*p pizz.*

4

4

with their ethereal song, our attention can still maintain a measure of focus on the throbbing of the triplets and the pulse of the pizzicato.<sup>9</sup>

Mozart does not incorporate the beginning measure into his phrase scansion, however. In this sense his Beginning before the Beginning is structurally more “redundant” than Beethoven’s (and thus rhetorically more important). Mozart’s phrases after the first measure fall into patterns of 3+3 (each ending with plaintive appoggiaturas), 2+2 (with the over-two-octave downward leaps), and 8 (with the long expressive suspensions), plus a three-measure final close. The “redundancy” of this beginning measure is argued by the fact that it is reiterated verbatim in measure 2. Now it accompanies the melody of the first violins, also muted, in their singing phrases. In every sense, therefore, the opening measure is unnecessary. In every sense, that is, but psychological, musical, and artistic – though we wouldn’t have learned these things had Mozart not taught us. The first measure draws our attention to the triplet throb, pointing out its vital contribution to the sense of the whole, for the triplets (moving from strings to piano to winds, and back) constitute the principal means of continuity throughout the movement, contributing a sense of forward motion simultaneously with a sense of stasis and repose, and there are only three consecutive measures in the entire movement that are without them. How powerfully suspended are the measures (mm. 70–72) when the triplets stop. (And how powerfully resumptive when they return.) Something else that the beginning measure does is to suggest that our opening three-measure phrase is in fact made up of a more normative four measures, a suggestion that keeps us in balance until the new, less expected, balance of 3+3 is established. Under the triplets, the pizzicato bass is also established in our consciousness. This bass ictus comes on beats 1, 2, and 3, but not on 4, setting up another pattern of expectation for our sense-absorbing brains – a pattern that is subverted in measure 3, when the bass pizzicato surprises us by hitting on beat 4 as well. This leads us more tuggingly into the cadence in measure 4 (when the three-beat pattern is re-established) – a cadence that is expressively delayed by a chromatic appoggiatura. All these elements are reprised for the consequent phrase (mm. 5–7). But before we leave this very special beginning, let us note the miraculous balance of the two melodic phrases on the first violins. The variety of note lengths is extraordinary (I count eight); and let us note also the eighth-note appoggiatura in measure 7, where we expect a quarter note: tiny surprises, all of these, and laden with expressive power. But the two phrases are in perfect balance: each is two and a half measures long; each is in the high singing tessitura of the violin; each rises and then falls halfway, to within a fourth of its highest

<sup>9</sup> The placement of the eighth notes in the bass displays Mozart’s intuitive feel for the smallest touch. Each measure has notes on the first three beats only. However, in m. 3 a note on the fourth beat is added. This additional tiny impulse in the bass nudges the music to the half-cadence. The same happens as m. 6 reaches towards the full cadence. Four notes occur in m. 16 as we approach the end of the long, suspended phrases, and from this point on every measure has four notes until the end of the paragraph.

note (C6 to G5 and D6 to A5); each outlines chord tones – the first skipping up an arpeggio to the fifth degree of the tonic, the second rising to the flat seventh degree of C, creating a dominant seventh that emphasizes the return to F – and each resolution is delayed by a chromatic dissonance (a tritone in the first antecedent phrase, an augmented second in the consequent phrase) before reaching repose. The vital importance of the Beginning before the Beginning measure is underscored both by its transformed appearance in the winds alone (m. 22) to close this miraculous opening paragraph (it also closes the entire movement) and by its immediate reappearance as another beginning in the left hand of the solo piano (m. 23).

We do not know for certain whether Beethoven knew the Mozart concerto (as if his tribute to it were not sufficient proof). What we do know is that he knew its companion, the D-minor Concerto, K. 466, well, for he wrote cadenzas for it. William Kinderman has suggested that Beethoven's C-minor Concerto, Op. 37, borrows organizational ideas from K. 467.<sup>10</sup> But even if Beethoven heard it (or saw it) only once, he would not have forgotten it, especially its slow movement, for, with its poised dream-state, gentle impulse, and hushed wonder, this movement is unforgettable.

A parallel Beginning before the Beginning with a repeated eighth-note accompaniment (this time in duplets and without the bass) opens Haydn's String Quartet, Op. 33 No. 3, in C (see Example 85). Again the accompaniment is reiterated when the melody arrives, and again the beginning measure creates a rounded phrase (six measures). The pattern recurs at the end of the exposition (m. 59), at the beginning (m. 60), middle (m. 98), and end (m. 108) of the development, and at the beginning of the recapitulation (also m. 108), and, markedly, in the coda (mm. 158–64).

A beginning that has the same three-note, 1–3–5, arpeggiated rise in eighth notes in the bass as in the Mozart piano concerto occurs in the second movement (Largo) in G Major of Haydn's Symphony No. 86 (see Example 86), a movement that Haydn labeled "Capriccio," a term (seemingly interchangeable with "Fantasia") that he used for movements of blurred formal outline and unconventional key progressions, such as the second movements of the String Quartets, Op. 20 No. 2 and Op. 76 No. 6.<sup>11</sup> Here the first measure simply outlines in separated eighth notes the first, third, and fifth degrees of the tonic G, before the full orchestra enters, crescendo, to a sustained phrase with a long suspension at its

<sup>10</sup> William Kinderman, *Beethoven* (Berkeley: University of California Press, 1995), 64.

<sup>11</sup> Other examples include the Capriccio in G Major on "Acht Sauschneider müssen sein," Hob. XVII: 1, which Elaine Sisman calls "a study in circularities" (Sisman, "Haydn's Solo Keyboard Music," 272); the Fantasia (Haydn referred to it himself as a Capriccio) in C Major, Hob. XVII: 4; the second movement of the String Quartet in C Major, Op. 20 No. 2; and the "A" version of the finale of Symphony No. 53. For more on Haydn's engagement with the fantasia see Annette Richards, *The Free Fantasia and the Musical Picturesque* (Cambridge, UK: Cambridge University Press, 2001), 101–44.

Example 85: Haydn, String Quartet in C Major, Op. 33 No. 3, first movement, mm. 1–6

**Allegro moderato**

The musical score for Example 85 consists of two systems. The first system covers measures 1 through 6. It is in C major, 3/4 time, and marked "Allegro moderato". The staves are Vln 1, Vln 2, Vla, and Vc. In measure 1, Vln 1 has a half rest, and Vln 2 has a whole note. In measure 2, Vln 1 has a whole note, and Vln 2 has a half note. In measure 3, Vln 1 has a half note, and Vln 2 has a quarter note. In measure 4, Vln 1 has a quarter note, and Vln 2 has an eighth note. In measure 5, Vln 1 has an eighth note, and Vln 2 has a sixteenth note. In measure 6, Vln 1 has a sixteenth note, and Vln 2 has a thirty-second note. The dynamic markings are *p* in measure 2, *cresc.* in measure 3, and *cresc.* in measure 4. The second system covers measures 7 through 9. It is in C major, 3/4 time, and marked *f*. The staves are Vln 1, Vln 2, Vla, and Vc. In measure 7, Vln 1 has a quarter note, Vln 2 has a half note, Vla has a half note, and Vc has a quarter note. In measure 8, Vln 1 has a quarter note, Vln 2 has a half note, Vla has a half note, and Vc has a quarter note. In measure 9, Vln 1 has a quarter note, Vln 2 has a half note, Vla has a half note, and Vc has a quarter note. The dynamic marking is *f* in measure 7.

apex and a cadence at measure 4. A consequent phrase with a similar beginning cadences at measure 8. Here the opening measure is an integral part of the phrase – first, because it creates parallel four-measure phrases, and second, because the eighth-note pattern continues upwards in the cellos to create a simple countermelody to that in the first violins and winds. Also, neither the pitches nor the harmony are repeated for the second measure. Nonetheless, Haydn draws our attention to the rising bass (and the countermelody) by having it start alone. Divided attention in the subsequent measures enriches our experience by enabling us to hear the music’s suspensions, sustained winds, diminished-seventh dissonance, and ultimate resolution simultaneously with the countermelody and the tread of the bass.

Other examples of a Beginning before the Beginning that start with what becomes accompaniment occur in Beethoven’s late string quartets. In the alternate finale for Beethoven’s String Quartet, Op. 130, the second violin bounces up

Example 86 (*overleaf*): Haydn, Symphony No. 86 in D Major, second movement, mm. 1–8

Capriccio  
Largo

Musical score for measures 1-4 of Capriccio Largo. The score is in 3/4 time with a key signature of one sharp (F#). The instruments and their parts are:

- Fl**: Flute, measures 1-4.
- 2 Ob**: Oboe, measures 1-4.
- 2 Bn**: Bassoon, measures 1-4. Includes a first alternative marked *a 2*.
- 2 Hn in G**: Horn in G, measures 1-4.
- Vln 1**: Violin I, measures 1-4.
- Vln 2**: Violin II, measures 1-4.
- Vla**: Viola, measures 1-4.
- Vc & Cb**: Violoncello and Contrabass, measures 1-4.

Dynamic markings include *p* (piano) and *pp* (pianissimo).

Musical score for measures 5-8 of Capriccio Largo. The score continues from measure 5. The instruments and their parts are:

- Fl**: Flute, measures 5-8.
- 2 Ob**: Oboe, measures 5-8.
- 2 Bn**: Bassoon, measures 5-8.
- 2 Hn in G**: Horn in G, measures 5-8.
- Vln 1**: Violin I, measures 5-8.
- Vln 2**: Violin II, measures 5-8.
- Vla**: Viola, measures 5-8.
- Vc & Cb**: Violoncello and Contrabass, measures 5-8.

Dynamic markings include *fz* (forzando).

Example 87: Beethoven, String Quartet in B $\flat$  Major, Op. 130, alternate finale, mm. 1–4

**Allegro**

*pp*  
*pp*  
*pp*  
*pp*  
*sempre staccato*  
*pp*

and down on the G pedal (the movement begins on VI) for two measures before the entrance of the first violin's principal theme (see Example 87).

In Op. 132 the beginning of the last movement (see Example 88a) sets up a rocking rhythm among lower strings before the entrance of the principal theme on the first violin: a theme whose kinship to the second-key-area theme of the first movement, where the accompaniment is a kind of hocket with triplets (*non legato*) between cello and viola, also starting early (see Example 88b), is made apparent by the similarity of strategy regarding these anticipations.<sup>12</sup>

The Beginning before the Beginning of the Piano Sonata in D Major, Op. 28, is made up of three low Ds (on D $_2$ ) in the left hand (see Example 89). The tempo is allegro, the meter 3/4, the dynamic *piano*, the key D Major. The left-hand tonic pedal continues at that pitch or an octave higher for thirty-nine measures. But ambiguity abounds in this beginning. The first chord heard, in measure 2, is I $^7$ , sounding like the dominant of G; a move towards a cadence on G (the I $^4_4$  chord) in the third measure (second of the theme) is syncopated, confusing the meter; the cadence to the tonic at measure 7 (m. 6 of the theme) is followed by an extension of three more measures of music and another cadence, resulting in a ten-measure phrase which sounds (without the Beginning before the Beginning) like a nine-measure phrase, and the whole is underpinned by the quarter-note tonic pedal on D. Beethoven counterpoises obscurity and hazy outlines with stability, and the Beginning before the Beginning establishes the stability, with its gravitational pull of the tonic, its stolid reiteration, and the reliable pulse of the meter – although quietly – before anything else happens. This Beginning before the Beginning is echoed at the beginning of the second movement and

<sup>12</sup> See Roger Kamien, "Conflicting Metrical Patterns in Accompaniment and Melody in Works by Mozart and Beethoven: A Preliminary Study," *Journal of Music Theory* 37 (1993), 311–48.



Example 88: Beethoven, String Quartet in A minor, Op. 132, (a) fifth movement, mm. 1–4;  
 (b) first movement, mm. 48–52

a) **Allegro appassionato**

Vln 1

Vln 2

Vla

Vc

*p*

*espressivo*

b) **[Assai sostenuto]**

Vln 1

Vln 2

Vla

Vc

*p*

*p dolce*

*p non legato*

*p non legato*

Vln 1

Vln 2

Vla

Vc

reiterated at the opening of the last movement of this sonata, a 6/8 rondo. In the finale, rhythmic alternation of an upper note with the pedal D underpins the first sixteen measures, and the movement starts *piano* with two measures in the left hand alone. Presumably the same rationale applies: stability of the tonic, establishment of the dance-like rhythmic profile, *allegro non troppo tempo*, and *piano* dynamic, all before the rondo theme (also syncopated, as in the first movement) arrives. These tonic pedals, gentle contours, and thematic repetitions, as well as the meter of the finale, have established a “pastoral” connection and a sobriquet for the sonata.

Example 89: Beethoven, Piano Sonata in D Major, Op. 28, first movement, mm. 1–10

The image shows a musical score for the first movement of Beethoven's Piano Sonata in D Major, Op. 28, measures 1 through 10. The score is written for piano and is in 3/4 time, marked 'Allegro'. The right hand begins with a trill on D4, followed by a series of chords and melodic lines. The left hand plays a steady eighth-note pedal point on D3. Dynamics include piano (p) and forte (f). The score is presented in a standard musical notation format with a treble and bass clef, a key signature of two sharps (D major), and a 3/4 time signature.

Another beginning that establishes a “pastoral” mood is that of the first movement of the Violin Sonata, Op. 96.<sup>13</sup> Here the violin begins alone – this is the only violin sonata to begin thus – and the beginning note is a trill. The phrase is immediately echoed in the piano. The rhythm is calm, the harmony static, with tonic chords carried across measures. This gentle beginning establishes the character of the first movement, with its moderate tempo, balanced proportions, pre-vaillingly major tonality, and frequent parallel thirds and sixths.<sup>14</sup> The dynamics are also restrained, not reaching beyond *forte*, and there are extended passages of *piano*.<sup>15</sup> The violin keeps to a modest range, reaching up only to E6, and sounding primarily on its lower strings. Rhythmic activity is confined mostly to eighths and quarter notes.<sup>16</sup> The “pastoral” quality that this beginning establishes is thus carried throughout the first movement and evoked elsewhere in the work, with drones and a simple canon in the Trio and with the openly folk nature of the finale’s principal theme. The tentative nature of this Beginning before the Beginning

<sup>13</sup> For the “pastoral” associations of this sonata, see the 1819 review published in *Ludwig van Beethoven: Die Werke im Spiegel seiner Zeit. Gesammelte Konzertberichte und Rezensionen bis 1830*, ed. Stefan Kunze (Laaber: Laaber, 1987), 325; Lenz, *Beethoven*, 269–70; and Maynard Solomon, “Pastoral, Rhetoric, Structure: The Violin Sonata in G, Op. 96,” in Solomon, *Late Beethoven*, 71–91.

<sup>14</sup> See Churgin, *Transcendent Mastery*, 199–209.

<sup>15</sup> See Sheer, “Dynamics in Beethoven’s Late Instrumental Works” 358–78.

<sup>16</sup> See Churgin, *Transcendent Mastery*, 212–14.

is reinforced by its appearing in the violin alone. At the repeat of the exposition, the phrase is accompanied by the piano.

The Beginning before the Beginning of the slow movement (*Adagio*) of the Fourth Symphony of Beethoven is a drum motive (compare the timpani strokes in the dungeon scene of *Fidelio*) played on violins. This short-long, dominant-to-tonic, dotted pattern recurs throughout the movement, first as accompaniment (mm. 6–7), then as interruptive outburst (m. 9), then as connective tissue (mm. 60–62), and finally (m. 64 and m. 102, the penultimate measure) on the timpani, where it belongs (see Example 90).

Example 90: Beethoven, Fourth Symphony in B $\flat$  Major, Op. 60, second movement, mm. 1–2

**Adagio**

Fl. 2 Ob,  
2 Cl. 2 Bn,  
2 Hn. 2 Tpt,  
Timp

Vln 1  
*p*

Vln 2  
*p*

Vla  
*p*

Vc & Cb  
*p*

*cantabile*

*Vc*

Composed in the same year as the symphony is another Beethoven work that depends strongly on timpani strokes: the Violin Concerto. Here the timpani strokes are played by the timpani – in another Beginning before the Beginning. The first movement of the concerto could have begun in measure 2, and we would be none the wiser. However, Beethoven ties the entire movement together with the rhythm of the timpani strokes. The movement has been excellently analyzed by Bathia Churgin.<sup>17</sup> She points out how the opening rhythm is woven into the whole movement in various forms and patterns: in iterations of three, four, or five; in quarter-note, eighth-note, and sixteenth-note forms; as theme or accompaniment; in various positions in the measure; and utilizing variants of variants in a technique named by Jan LaRue as “multistage variance.”<sup>18</sup> By appending

<sup>17</sup> *Ibid.*, 15–20.

<sup>18</sup> LaRue, “Multistage Variance,” 265–74.

his Beginning before the Beginning Beethoven draws attention to the principal building block of the movement and encourages us to follow its transformations and elaborations as the music unfolds.<sup>19</sup>

Beethoven's Piano Sonata, Op. 31 No. 2, begins with an eight-voice rolled chord, *pianissimo*, on A Major, with a fermata (see Example 91a). It is only when the light Allegro starts with cadences to D minor that we make the instant adjustment and realize that the opening chord was not the tonic but the dominant.<sup>20</sup> Very quickly the music pauses on a half cadence. The gesture is repeated – but this time with a C arpeggio leading to cadences on F. And the principal theme in the tonic does not arrive until the twenty-first measure of the piece. This is an elaborate and lengthy Beginning before the Beginning. Its meaning is manifest not only in the simple delay it causes before the appearance of the main thrust of the argument (marked by driving triplets and a powerfully rising bass arpeggio – derived from the rolled chords – that is answered by an essentially flat-contoured turn in the right hand), in its distracting moves away from the main key, and in its paired eighth-note motive – so different from the principal theme – but by its completely integral relationship to the unfolding of the movement as a whole. The rolled chords and the upward arpeggio return as an insertion after the exposition and before the development, now in a much broader sweep (four octaves instead of two and a half) and with a threefold iteration, which moves from D Major to F# Major, the key in which the development begins. Then, at the end of the development, another insertion brings back the rolled chord and the paired eighth-note phrases bracketed by brief and expressive instrumental recitatives (right hand only). But this is not all. The paired eighth-note phrases from the Beginning before the Beginning are integrated elsewhere as well. They appear, somewhat altered, as the basis for the second key-area theme (in A minor, adding to the stormy cast of this sonata (nicknamed “The Tempest”).<sup>21</sup> Finally, the rolled-chord gesture that forms so prominent an opening of the first movement returns as the (unrepeated) tonic opening and Beginning before the Beginning of the subsequent B $\flat$  Adagio second movement.<sup>22</sup> (See Example 91b.) The home key of

<sup>19</sup> Other Beethoven movements that are unified by a rhythmic motive include the first movement of the Fourth Piano Concerto, the second movement of the String Quartet, Op. 59 No. 1, and all the movements of the Fifth Symphony. In addition to unification by rhythmic motives, Beethoven seems to have had a preference for repeated notes on the same pitch.

<sup>20</sup> Barry Cooper notes that this was the first time Beethoven began a sonata with a dominant chord. See Cooper, *Beethoven*, 116–17.

<sup>21</sup> This is Beethoven's only piano sonata in D minor.

<sup>22</sup> The beginning of Op. 31 No. 2 has attracted much commentary. In an essay at *Music Theory Online*, Hepokoski presents a compact commentary on the beginning, extracted from a more detailed analysis in a book dedicated to the sonata. Hepokoski suggests that the special rhetoric of this beginning is an elegant and powerful “deformation” of a normative Po–P1–Po–P1 sonata-form opening, but he does not take into account later occurrences of the *largo* arpeggio gesture. He does agree with my assessment of the first

Example 91: Beethoven, Piano Sonata in D minor, Op. 31 No. 2, (a) first movement, mm. 1–22; (b) second movement, m. 1

a) **Largo** **Allegro**

6 **Adagio** **Largo** **Allegro**

11 **Allegro**

15 **Allegro**

19 **Allegro**

b) **Adagio**

this sonata (D minor), contrasted with the B $\flat$  Major of the second movement, the instrumental recitatives, and especially the hesitant beginning, create a template that is revisited in the Ninth Symphony.

The Beginning before the Beginning (two eighth-note chords) of the second movement (Adagio, ma non troppo) of Beethoven's String Quartet, Op. 74, does two contradictory things at once (see Example 92). It settles the subdominant key (A $\flat$ ), and at the same time it unsettles the meter (3/8) by suggesting a duple meter, an impression which lasts until the downbeat of measure 3. The unsettling is gently done, however, and quickly resolved. Presumably Beethoven did not want his listeners entirely complacent at the outset of this movement, perhaps so that the symmetrical 4+4 phrasing, gentle lyricism, and traditional harmonic moves (I–V, V–I) of the rondo theme would be thereby more pleasing. (In addition to the possibilities of omitting these two chords and beginning the movement at measure 2, the composer could have written three eighth-note chords, or one. Either of these would have reinforced the meter rather than throwing it into doubt.) This Beginning before the Beginning is entirely unnecessary in grammatical, harmonic, and syntactical terms. Its meaning is purely affective.

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twenty measures of this movement as a large-scale anacrusis to the new beginning at m. 21. See James Hepokoski, "Approaching the First Movement of Beethoven's Tempest Sonata through Sonata Theory," in *Beethoven's Tempest Sonata: Perspectives of Analysis and Performance*, ed. Pieter Bergé, William E. Caplin, and Jeroen D'hoë (Leuven: Peeters, 2009), 181–212; and James Hepokoski, "Formal Process, Sonata Theory, and the First Movement of Beethoven's 'Tempest' Sonata," *Music Theory Online* 16 (2010), <http://www.mtosmt.org/issues/mto.10.16.2/mto.10.16.2.hepokoski.html> (accessed January 19, 2015). See also A. B. Marx, *Ludwig van Beethoven: Leben und Schaffen*, 6th ed., 191; Barry Cooper, "The Origins of Beethoven's D Minor Sonata Op. 31 no. 2," *Music & Letters* 62 (1981), 261–80; Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, 116–17; Janet Schmalfeldt, "Form as the Process of Becoming: The Beethoven–Hegelian Tradition and the 'Tempest' Sonata," in *Beethoven Forum* 4, ed. Lewis Lockwood and James Webster (1991), 37–71; Janet Schmalfeldt, "The Beethoven–Hegelian Tradition and the 'Tempest' Sonata," in Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form* (New York: Oxford University Press, 2011), 23–59; Lawrence Kramer, "Primitive Encounters: Beethoven's 'Tempest' Sonata, Musical Meaning, and Enlightenment Anthropology," in *Beethoven Forum* 6, ed. Glenn Stanley (1998), 31–65, reprinted in Lawrence Kramer, *Critical Musicology and the Responsibility of Response* (Farnham, : Ashgate, 2006), 109–44; Pieter Bergé, ed., *Beethoven's Tempest Sonata: Perspectives of Analysis and Performance* (Leuven: Peeters, 2009); William E. Caplin, "Beethoven's 'Tempest' Exposition: A Response to Janet Schmalfeldt," *Music Theory Online* 16 (2010), <http://www.mtosmt.org/issues/mto.10.16.2/mto.10.16.2.caplin.html> (accessed January 19, 2015); and Ellison, "The Largo/Allegro from Beethoven's 'Tempest' Sonata." Ellison (*The Key to Beethoven*, 368) characterizes the beginning of this movement as "quasi operatic." Czerny described the first movement as "perfect." See Czerny, "On the Proper Performance," 53. Elmar Budde ("Analyse und Interpretation," 122) writes that "Sowenig der rezitativische Anfangsakkord als Thema angesprochen werden kann, so wenig hat der Allegro-beginn des Satzes in T. 3 thematischen Charakter. Er bewegt sich harmonisch im Bereich der Dominante (A-dur) und erweckt den Eindruck eines Nachsatzes." Schindler claimed that Beethoven described the slow movement as a "portrait of depression." Anton Schindler, *Beethoven as I Knew Him*, ed. Donald W. MacArdle, trans. Constance S. Jolly (Chapel Hill: University of North Carolina Press, 1966), 406.

Example 92: Beethoven, String Quartet in E $\flat$  Major, Op. 74, second movement, mm. 1–4

**Adagio ma non troppo**

*cantabile*

*mezza voce*

*mezza voce*

*mezza voce*

At the beginning of the Cavatina (movement 5, *Adagio molto espressivo*) of Beethoven's String Quartet, Op. 130, the end of the first measure includes the pickup to the long-breathed melody on first violin, but the measure starts with the rich accompaniment in the lower strings.<sup>23</sup> (See Example 93.) This Beginning before the Beginning acts like those of the slow movement of Mozart's Piano Concerto, K. 467, and the slow movement of Beethoven's String Quartet, Op. 18 No. 1, in that it first draws attention to the accompaniment: here to the *sotto voce* intertwining and fully scored counterpoint that accompanies the violin's hushed song and especially to the rise and fall of the second violin, whose "fills" in measures 3, 10, 17, and 19 pave the way for its "pre-echo" of the second theme (again *sotto voce*) in measure 23.

The end of the second movement (*Vivace*) of Beethoven's String Quartet, Op. 135, is made up of a series of high-scored offbeat chords on F Major. The first note of the third movement (*Lento assai, cantante e tranquillo*) provides a link, being also an F, on solo viola. The second note is an A $\flat$ , on second violin. Both are pitched low (see Example 94). This obviously suggests F minor, the tonic minor of the first and second movements. But the D $\flat$ s that enter in the next measure, first on first violin and then in octaves on the cello, twist the harmony to the new tonic, D $\flat$  Major ( $\flat$ VI). All this is a Beginning before the Beginning for the low and somber but, as Beethoven wrote, "tranquil" melody that begins in measure 3 and is now presented in balanced four-plus-four-measure phrases. This Beginning before the Beginning helps to link the two movements, smooth the

<sup>23</sup> For more on this movement and its associations with opera, see Lewis Lockwood, "On the Cavatina of Beethoven's String Quartet in B-flat Major, Opus 130," in *Liedstudien: Wolfgang Osthoff zum 60. Geburtstag*, ed. Wolfgang Osthoff, Martin Just, and Reinhard Wiesend (Tutzing: Hans Schneider, 1989), 293–305; reprinted in Lewis Lockwood, *Beethoven: Studies in the Creative Process* (Cambridge, Massachusetts: Harvard University Press, 1992), 209–17.

Example 93: Beethoven, String Quartet in B $\flat$  Major, Op. 130, fifth movement, mm. 1–3

**Adagio molto espressivo**

The musical score shows four staves: Vln 1, Vln 2, Vla, and Vc. The key signature has two flats (B-flat major). The time signature is 3/4. The tempo is Adagio molto espressivo. The first measure (m. 1) starts with a whole rest in Vln 1, followed by a half note G4 in Vln 2, a half note F4 in Vla, and a half note E4 in Vc. The second measure (m. 2) begins with a half note G4 in Vln 1, a half note G4 in Vln 2, a half note G4 in Vla, and a half note G4 in Vc. The third measure (m. 3) continues with a half note G4 in Vln 1, a half note G4 in Vln 2, a half note G4 in Vla, and a half note G4 in Vc. Dynamics include *sotto voce* and *p*. Articulations include accents and slurs.

transition to the new key, and provide a moment of repose between the nervous (and in part manic) energy of the Vivace and the severe beauty of the Lento.<sup>24</sup>

Occasionally there appears a beginning that is deliberately out of the scheme of the movement as a whole. The third movement of Beethoven's String Quartet, Op. 127, is a Scherzando vivace in 3/4, mixing staccato and legato figures, counterpoint, homophony, and song texture in fascinating juxtaposition. Resemblances may be heard to the dotted rhythms of the Scherzo of Op. 95 and the headlong Trio of Op. 74. All of it is played *arco*. All of it, that is, except for the first four beats, which sound in duple meter, I–V–I–V, and are played double-stopped, *pizzicato*. This sound does not recur. The opening misleads, for although it provides anticipation for the curious 2/4 Allegro interjections that disrupt the Scherzo, it belies the ensuing meter, and throughout the movement a level of tension is created as we expect the return of the *pizzicato* passage, which never arrives.<sup>25</sup> (See Example 95.) Beethoven seems to have added these measures at the last minute.<sup>26</sup> And the

<sup>24</sup> The exact relationship of the designation "lento" to "adagio" is uncertain. See C. Brown, *Classical and Romantic Performing Practice*, 343.

<sup>25</sup> This rhetorical device goes against the "unity principle" described as prevailing in Haydn's music by Haimo, *Haydn's Symphonic Forms*, 4–5. "A distinctive event that appeared only at the beginning of the composition would be anomalous, having no relationship to the remainder of the movement." (*Ibid.*, 5.) An anonymous reviewer of my book manuscript suggested that "the motivic contour of the gesture, outlining Eb–D–Eb–F, is reflected in the ensuing 4-note motivic groups, the first two of which encompass this rising stepwise motion Eb–D–Eb–F, the same contour as contained in the opening *pizzicato* motto. Moreover, this theme, with its rising stepwise contour, transforms the shape of the broad Adagio theme of the preceding variation movement, and this relation is further clarified by the sketches. Thus, despite outer appearances, some form of the 'unity principle' is still at work here."

<sup>26</sup> In "The Sense of a Beginning: Late Stage Revision and Introductory Material in the Autograph Manuscript of the Scherzo of Beethoven's String Quartet in E-flat Major, Op. 127," a paper delivered at the Seventh New Beethoven Research Conference,



Example 94: Beethoven, String Quartet in F Major, Op. 135, third movement, mm. 1–4

**Lento assai, cantante e tranquillo**

sense of oddity is enhanced by Beethoven's more usual use of pizzicato as a *closing* gesture. See, for example, the ending of the first movement of Beethoven's String Quartet, Op. 18 No. 2, the ending of the *Coriolan* overture, and the childlike pizzicato in the coda of the last movement of the String Quartet, Op. 135 (echoing the touches of pizzicato in the coda of the same quartet's first movement).

Each one of the four movements of Beethoven's Ninth Symphony has a Beginning before the Beginning.<sup>27</sup> The first movement has several beginnings, as does the last, and these will be discussed in detail below. But the second-movement Scherzo has a Beginning before the Beginning that stands outside the repetition scheme of the form: eight measures designed for disequilibrium. The second, fourth, seventh, and eighth of these measures are silent. The first four measures are balanced 2+2: sound + rest, sound + rest. But the fifth measure is

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Rochester, New York, November 8–9, 2017, Lucy Turner pointed out that the pizzicato measures were added even after the preparation of the manuscript for a copyist. The author generously supplied me with a copy of her paper before the conference. We disagree only in that Turner describes the pizzicato opening as creating a sense of “stability” at the outset of the movement. In his article “Die Quellen zur Entstehungsgeschichte von Beethovens Streichquartett Es-dur Op. 127,” *Beethoven-Jahrbuch* 10 (1978–81) (Bonn: Beethoven-Haus, 1983), 221–76, Sieghard Brandenburg reviewed the sketches and autograph manuscripts for the quartet. The autograph of the Scherzo was closely analyzed by Alfred Orel in “Das Autograph des Scherzos aus Beethovens Streichquartett op. 127,” in *Festschrift Hans Engel zum 70. Geburtstag*, ed. Horst Heussner (Kassel: Bärenreiter, 1964), 274–80, but Turner adds some vital observations.

<sup>27</sup> Lewis Lockwood refers to them as “introductions,” “prologues,” or “opening segments.” See his “The Four ‘Introductions’ in the Ninth Symphony,” in *Probleme der symphonischen Tradition im 19. Jahrhundert. Internationales Musikwissenschaftliches Colloquium Bonn 1989: Kongressbericht*, ed. Siegfried Kross (Tutzing: Schneider, 1990), 97–112, at 97.

Example 95: Beethoven, String Quartet in E♭ Major, Op. 127, third movement, mm. 1–4

**Scherzo**  
**Vivace**

a timpani solo, and its following measure (measure 6) is not a rest but a sudden eruption of sound in all the winds, strings, and trumpets. Then the next two measures are silent. The Scherzo's first strain and its real melody begin in measure 9.<sup>28</sup> The timpani solo anticipates but cannot prepare us for the shocking timpani outbursts in the “Tempo di tre battute” passage of the second strain, and the premature eruption of measure 6 helps – by contrast – to smooth out the clever shift from triple to duple meter for the Trio. The slow movement is a set of variations on two themes, the first in B♭, the second in D, echoing and reversing the keys of the first movement. But the first theme does not start in measure 1. It starts in measure 3, for it is preceded by a Beginning before the Beginning: a soft phrase on clarinets and bassoons (soon joined by mid-range *piano* strings) to set up the key for the first quiet theme.<sup>29</sup> This beginning does not return, but it is recalled in the soft woodwind phrase-end echoes of Theme 1, and the heavenly clarinet-dominated

<sup>28</sup> The Scherzo of Louis Spohr's “Historical Symphony” (1839) is designed to imitate the style of Beethoven and starts with the timpani alone (tuned to G, D, and E♭), opening the movement in a determined duple meter against which the orchestra vacillates between 2/4 and 3/4. The timpani are the most notable feature of the movement. See Louis Spohr's *Symphony No. 6, Op. 116* (“Historische Symphonie im Styl und Geschmack vier verschiedener Zeitabschnitte für Orchester”). The Scherzo is subtitled “Beethoven'sche Periode, 1810.”

<sup>29</sup> Michael Tusa points out that there is a thread in the history of the reception of this movement that associates it with religious meditation. See Michael C. Tusa, “Noch einmal: Form and Content in the Finale of the Ninth Symphony,” in *Beethoven Forum* 7, ed. Lewis Lockwood, Christopher Reynolds, and Elaine Sisman (1999), 113–38. This is bolstered by the fact that in one sketch Beethoven referred to the Adagio as a cavatina, an operatic aria frequently involving prayer (e.g. the Countess's “Porgi, amor” in *Le nozze di Figaro*). See Nicholas Marston, “Beethoven's ‘Anti-Organicism’? The Origins of the Slow Movement of the Ninth Symphony,” in *The Creative Process, Studies in the History of Music* 3 (New York: Broude, 1992), 169–200.

Adagio transition between Variation 1 of Theme 2 and Variation 2 of Theme 1 (mm. 83 ff.). Indeed, the themes are distinguished by, among many other things, their woodwind colors: clarinet and bassoon (sometimes with horn) for Theme 1, flute and oboe (sometimes with bassoon) for Theme 2 (though this point over-simplifies the rich employment of the winds throughout and the admixture of fuller wind sonorities as the movement progresses).

Finally, a case of multiple Beginnings before the Beginning (see Example 96). At the beginning of the second movement (Allegretto) of Haydn's Symphony No. 62, the second violins play triplet arpeggio figures. These are groups of eighth notes in 6/8 meter, but we don't know this yet. Against these figures, the cellos and then the first violins project sighing figures, the last of which resolves upwards to the tonic at the end of measure 4. The first measure is therefore a Beginning before the Beginning, establishing the key, the tempo, and the accompaniment

Example 96: Haydn, Symphony No. 62 in D Major, second movement, mm. 1–12

**Allegretto**

Fl, 2 Ob,  
2 Bn, 2 Hn

Vln 1

Vln 2

Vla

Vc & Cb

*con sordini*

*p*

*con sordini*

*p*

*Vc*

*p*

7

before the sighing figures enter. The closure of the pattern is made by the reversal of the third sigh from down to up and the clear V–I cadence at the end of the four-measure group. A second, almost identical, four-measure phrase ensues, with the arpeggios (now in the cellos) and the second “sigh” moved down an octave. Again there is an early cadence. But it turns out that both four-measure phrases are longer-range Beginnings before the Beginning, for now the accompanying meter begins to coalesce more clearly into 6/8, thus clarifying (and rectifying) our apprehension of what we have so far heard; and by measure 11 a real theme begins, with its three-note pickup starting in measure 10. But a measure and one-third has intervened between the four-measure Beginnings and the three-note pickup. This is a pre-echo of the pickup and its accompaniment, also “redundant” to the syntax, grammar, and phraseology of the apparent theme and therefore another Beginning before the Beginning – the “real” beginning that starts in measure 11. But simultaneously, the pickup and its pre-echo are reiterations of the sigh that resolves upwards to the tonic (pitch 7 to pitch 8) in measure 8, so that this last Beginning before the Beginning looks backward as well as forward. Further, the “triplet” arpeggio groupings of the first two Beginnings before the Beginning become integral to both the first and second theme of the exposition of this movement, so that as the music unfolds, and as we discover that our “theme” doesn’t really evolve but stays rather stubbornly and unexpectedly pinned to the idea of the triplet arpeggios, our apprehension of the multiple Beginnings before the Beginning is reassessed. They become less redundant and more “gathered in” to the substance of the music as the movement continues. This gathering-in is an evolving process.

#### MULTIPLE BEGINNINGS

The last movement of the “Eroica” Symphony is a special case of Multiple Beginnings, each of which causes listener revision, reappraisal, and reinterpretation.<sup>30</sup> The movement bursts out in sixteenth-note racing unison string flourishes, a one-measure military fanfare and – adding the winds, brass, and timpani – emphatic, stentorian, staccato chords on the dominant and then a pause. What can this portend other than a fully orchestrated theme of nobility and grandeur? And yet what we get is a silly little pizzicato theme that, when repeated, is made sillier still by mocking echoes from the winds.<sup>31</sup> A threefold fortissimo interrup-

<sup>30</sup> Another, very different, special case involves the “double finale” of Haydn’s “Farewell” Symphony, in which there are two last movements – a Presto in sonata form that breaks off before the final cadence with a close on the dominant, which leads *attacca* into the second finale, and a final, petering-out Adagio. See Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 13–16, 73–82.

<sup>31</sup> The review in the *Allgemeine musikalische Zeitung* (“News. Prague,” *Allgemeine musikalische Zeitung* 9 [June 17, 1807], 610) refers to the composer “play[ing] games with the audience.” See *The Critical Reception of Beethoven’s Compositions by His German*

Example 97: Beethoven, Third Symphony in E $\flat$  Major ("Eroica"),  
fourth movement, mm. 76–79

[Allegro molto]

76

2 Fl *p*

2 Ob *dolce*

Cl in B $\flat$  *dolce*

2 Bn *dolce*

2 Hn in E $\flat$  *p*

Hn 3

Vln 1 *p*

Vln 2 *p*

Vla *p*

Vc & Cb *pizz.* *p*

tion from winds, brass, and timpani is ridiculed by a gap and then a single quiet repetition. Finally the pizzicato theme concludes on the tonic. Again three-fold interruptions, and again quiet repetition, this time on alternating strings and winds. Again the conclusion of the pizzicato theme, this time also with mocking echoes. Now follow regular-phrased variations on the silly theme, a little less silly now, and incorporating the pauses and interruptions into the onward

*Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, 34. Lockwood (*Beethoven's Symphonies*, 74) writes that "one must admit that it is only in the last phases of the finale that many feel the epic qualities that had been embodied in the earlier movements" and that the finale has had a "mixed reception."

flow. By now we have reached measure 75, and several beginnings have taken place. But Beethoven reserves his biggest surprise and most definitive beginning for measure 76: the *real* theme arrives, a flowing, lilting melody in the winds, repeated by the strings.<sup>32</sup> (See Example 97.) But this melody has the silly theme as its bass! And even the earlier interruptions and pauses are woven into the presentation (and subsequent variations) of the real theme.<sup>33</sup>

In the Op. 35 Variations on which the finale of the “Eroica” is based, Beethoven gives the whole game away: the opening is labeled “Introduzione col basso del tema,” with one fully voiced E $\flat$  chord in *fortissimo* preceding the bass theme in octaves; and the ensuing elaborations of the bass (*a due*, *a tre*, and *a quattro*) add counterpoint, expand the range, and thicken the texture. The *a due* and *a tre* versions put the bass underneath a treble counterpoint, the first of which even prefigures the upcoming main theme. When the theme arrives, it, too, is labeled; and the fifteen variations are numbered, including the conventional *minore* (No. 14) and the slow variation (No. 15), which, although last of the series, is followed by an elaborate fugue, a return of the main theme (Andante con moto), and a coda. (Another chord progression as the basis for variations, together with its standard melody, occurs in WoO 80, the C-minor variations on “La Folia.”)

All this signposting is deliberately avoided in the “Eroica.” The one-chord announcement is expanded into an eleven-measure flurry, and nothing signals the function of the opening bass theme. The main theme is not labeled as such, nor are any of the variations numbered. In the year (1802–03) between the completion of the piano variations and the completion of the “Eroica,” Beethoven had developed a vivid new sense of the rhetoric of beginnings.<sup>34</sup>

Beethoven’s Piano Sonata in B $\flat$ , Op. 22 (see Example 98), begins with two measures of tonic chords and then a quarter-note rising arpeggio that reaches

<sup>32</sup> Beethoven was fascinated by the implications of this theme, which appears in the finale of the *Prometheus* ballet, Op. 43, the Contredanse, WoO 14 No. 7, and the Variations and Fugue of Op. 35. The dance theme is in the style of an *Englischer*, a contradance characterized by an eighth-note pickup, 2/4 meter, and flowing dotted rhythms. The *Englischer* itself held democratic overtones in the Vienna of the early nineteenth century, and Beethoven may have identified with the mythical hero of the ballet, the “sublime spirit,” Prometheus, as someone with a moral duty to provide enlightenment to mankind. See Constantin Floros, *Beethovens Eroica und Prometheus Musik: Sujet-Studien*, Veröffentlichungen zur Musikforschung 3 (Wilmhelmshaven: Heinrichshofen, 1978), 37; Thomas Sipe, *Beethoven: Eroica Symphony*, Cambridge Music Handbooks (Cambridge, UK: Cambridge University Press, 1998), 12–13, 19–20; Jan Swafford, *Beethoven: Anguish and Triumph* (New York: Houghton Mifflin Harcourt, 2014), 267–68. Alexander Ringer has suggested that Beethoven, consciously or unconsciously, got the theme from Clementi. See Alexander Ringer, “Clementi and the ‘Eroica,’” *The Musical Quarterly* 47 (1961), 454–68.

<sup>33</sup> Lewis Lockwood (*Beethoven: The Music and the Life*, 205) calls the overall form of this movement “a blended form for which we have no name.”

<sup>34</sup> Alan Walker writes, “You need not prove that the Eroica is a masterpiece before you can be certain that it is a masterpiece. ... [I]ts mastery is self-evident.” Alan Walker, *An Anatomy of Musical Criticism* (Philadelphia: Chilton, 1968), xii.

Example 98: Beethoven, Piano Sonata in B $\flat$  Major, Op. 22, first movement, mm. 1–5

**Allegro con brio**

The musical score consists of two systems. The first system contains measures 1 through 3. The right hand plays a sixteenth-note turn figure (G4, A4, B4, A4, G4) over a piano introduction. The left hand provides a bass line with chords. Dynamics include *p* and *cresc.*. The second system contains measures 4 and 5. The right hand features a triplet of sixteenth notes (G4, A4, B4) and a half note (C5). The left hand continues with a bass line. The dynamic is *fp*.

B $\flat$ 5. Both the chords and the arpeggio are decorated with sixteenth-note turn figures to create a variety of figuration. These opening measures incorporate multiple levels of beginning. There are, in effect, four beginnings, each one of which would satisfy the interpretation of a beginning. The first three are anticipatory, and each could function alone, but the conjunction of all three is cumulative. Thus the first gesture moves from I to I to I. But the effect is not static. The metrical placement puts the accent on the second chord, and the melodic arch shape, with the highest pitch on the second chord, reinforces this accentuation. A further reinforcement is created by the pitches of the sixteenth-note turn figure, whose second and fourth notes belong to the V chord. The last of these sixteenth notes turns our I chord (extremely briefly) into I $\sharp$  and the note's placement on degree 5 creates a fleeting dominant function. Thus chord 1 moves definitively to chord 2. Chord 3 represents a fall in impetus, with its harmonic reiteration, rhythmic repetition, and falling melodic register. Chord 1 is anticipatory or a "pickup" to chords 2 and 3. But at a higher level the three chords are themselves anticipatory. To what, we don't yet know. A rest ensues, increasing the anticipation, and the gesture with the three chords is repeated verbatim, at the same dynamic level and in the same metrical position. Thus what we have heard is a pickup to a pickup. But the repetition changes the valence of the two gestures. The anticipatory strength of the second gesture is necessarily at a higher level than that of the first by the mere fact of repetition. We know – through experience, training, and exposure, and generic, historical, and stylistic conditioning – that in music of the Classic period the gestures cannot be indefinitely repeated, and so the second one must be closer to resolution or arrival than the first. Again a rest prolongs the anticipation. Now comes chord 1 with its sixteenth-note turn once again. For a very brief moment we are led to believe – disbelieving – that the three-chord gesture will be presented yet again. It even moves to chord 2. But

rapidly everything changes. First, the bass chords, with their low octave B $\flat$ s, are missing, which creates greater expectation and less stasis; second, the phrase is under the direction of a crescendo, which imparts trajectory; third, one of the chord tones of the turn figure has been replaced with a chromatic note, lending instability and momentum to the chord. Now the phrase moves by sequence rapidly up the arpeggio of B $\flat$ , each note accompanied by a sequential pattern of the partially chromatic turn figure, and with no accompaniment. Anticipation is therefore now at its height, and this longer phrase becomes the pickup to the downbeat of measure 4, where a B $\flat$  is sounded, with its own dynamic accent (*fp*), agogic accent (dotted half note), harmonic accent (tonic note), metrical accent (downbeat), and registral accent (B $\flat$ <sub>5</sub>). The sense of arrival is palpable, and it is enhanced by the return of the bass – which has been absent for a measure and a half – playing sixteenth-note rising tonic arpeggios. This is a masterly beginning, made up of a series of beginnings, each of a different valence, cumulative in effect. The sense of increasing anticipation and the power of subsequent arrival may be gauged by imagining (or playing) the sonata beginning at measure 4. Grammatically, harmonically, thematically, everything works. The “only” thing missing is the powerful rhetoric of Beethoven’s multiple beginnings.<sup>35</sup>

The String Quartet, Op. 130, has two beginnings that are so disparate that they seem to belong to two different works. Daniel Chua describes the opposition between the Adagio and Allegro sections of this first movement as “a complete muddle of contrasts,” and the presentation of them both as “duplicity” or “double-mindedness.”<sup>36</sup> The whole movement is made up of the juxtapositions of these disparate beginnings, which occur eight times in the course of 234 measures.<sup>37</sup>

The multiple beginnings of the Ninth Symphony are particularly remarkable.<sup>38</sup> The first movement begins several times: once at the first tremolo; a second time at the first full statement of the theme at measure 17; a third time at a

<sup>35</sup> This opening has been differently analyzed in Berry, *Structural Functions in Music*, 328. Beethoven thought highly of this sonata, which he called “a grand solo sonata” and labeled as “first-rate.” *Briefwechsel Gesamtausgabe*, Letter No. 54, vol. 1, 63; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 44, vol. 1, 47. The German is “hat sich gewaschen,” which is an idiom more readily translatable as “is really quite something.”

<sup>36</sup> Daniel K. L. Chua, *The “Galitzin” Quartets of Beethoven: Opp. 127, 132, 130* (Princeton, New Jersey: Princeton University Press, 1995), 204.

<sup>37</sup> Of course the quartet also has two endings: the *Grosse Fuge* and the alternate finale that Beethoven composed after he decided to publish the *Grosse Fuge* separately as Op. 133. Barbara Barry has pointed out that the result is not just two different endings but two different quartets. See Barbara Barry, “Recycling the End of the ‘Leibquartett’: Models, Meaning and Propriety in Beethoven’s Quartet in B-flat Major, Opus 130,” *The Journal of Musicology* 13 (1995), 355–76.

<sup>38</sup> Lewis Lockwood, in his “The Four ‘Introductions’ in the Ninth Symphony,” writes that Beethoven “achieves a degree of consistency in the openings of all movements of the symphony which surpasses that of any other work.” (p. 97.)



recommencement of the tremolo in D minor at measure 36; and a fourth time at a restatement of the theme in B $\flat$  at measure 51. This “real” start has now become “realer” than the first full thematic statement, because it has succeeded it – in a sense *supplanted* it both because of its position and its tonality – and because it does not peter out, as the first statement did; rather it opens out (mm. 55–63ff.) to new vistas and the whole of the exposition of the movement. The rhetoric of this beginning has no precedent: a tentative opening is sprinkled with stardust that coalesces into a strong theme, but this theme in a minor key collapses – to be succeeded by similar but different stardust that coalesces into a similar but different theme, which, built of a major key a third below (VI), proves equal to the task of truly beginning. The multiple beginnings of the first movement of the Ninth prepare the way for the multiple beginnings of the *last* movement of the Ninth, with its “horror” fanfare, bass instrument recitative, alternating Presto and recitative sections, snippets of earlier movements, instrumental anticipation of the chorale melody, and solo baritone appeal (to the performers?) “O Freunde.” All this comes *before* the “real” beginning of the last movement: the vocal rendering of the chorale, which does not arrive until measure 241.<sup>39</sup> In this, the most extravagant of Beethoven’s multiple beginnings, the entry at measure 241 is the seventh beginning of the movement.

#### BEGINNINGS THAT RETURN

Not all beginnings that return are unusual. The return of the opening material in the home key is expected in a sonata form, in a rounded binary form, or in a rondo movement. But the return of a beginning that is a prefix, such as a slow introduction – an apparently self-contained opener to the main event – radically changes our apprehension of its meaning. I call these reappearances Nostalgia Returns, since we cannot help thinking back to their earlier appearance when they come, although, as we shall see, they are not all purely nostalgic. In returning, they are transformed: from new to familiar, from introduction to reminiscence. The music may be the same, but its emotional resonance has shifted. Such beginnings-and-returns are surprisingly frequent in Beethoven’s music, and almost always these beginnings are slow.

The Andante maestoso that interrupts the (very brief) development in the first movement of the F-minor Piano Sonata, WoO 47 No. 2, is not a literal repeat of the slow introduction (it begins in B $\flat$  minor instead of the tonic and gradually modulates through to a fermata on the dominant), but it is overtly a Nostalgia Return. This was composed when Beethoven was twelve years old. The Nostalgia Returns of the “Pathétique” Piano Sonata, Op. 13, are more strategic. The Grave

<sup>39</sup> James Webster, “The Form of the Finale of Beethoven’s Ninth Symphony,” in *Beethoven Forum* 1, ed. Lewis Lockwood and James Webster (1992), 25–62, argues that the finale of the Ninth is through-composed and “multivalent.” (pp. 27–28.)

beginning of the first movement returns twice, the first time after the end of the exposition and the second just before the brief coda. But both these returns are drastically shortened (from ten measures to four), and the second return has rests in place of the strong downbeat chords of both previous versions and is mostly quiet. This too coincides with our processes of memory. As recollections continue to come to us, the stimulus needed for nostalgia lessens.<sup>40</sup> At the same time, the “intense satisfaction” of recognition is undimmed.<sup>41</sup>

An unusual and well-known slow introduction is the famous “La Malinconia” beginning of the last movement of the String Quartet, Op. 18 No. 6. At forty-four *adagio* measures, it is almost an additional slow movement in its own right, but its returns show that it is integral to the whole finale, for there are three returns of this *Adagio* towards the end of the *Allegretto* finale. The first is only ten measures, with references to the first four original measures and then to measures 9–14 of the beginning. Then the *Allegretto* attempts to restart, only to cede almost immediately to two more measures of “Malinconia.” Finally, all seems to re-right itself until the last interruption. This is the most sophisticated of these Nostalgia Returns. We hear a pause, we hear the *adagio* tempo; but these two measures, as though contemplating the beginning without reiterating it, subsume the theme of the *Allegretto* into the tempo of “Malinconia.” Nostalgia, here a painful memory, has not departed entirely. A final *Prestissimo* pretends not to care.

The *Adagio con espressione* of the *E♭* Piano Sonata, Op. 27 No. 1, sounds like a slow movement in the subdominant, though it is part of a continuous series of connected tempo changes in this “Sonata quasi una fantasia.” Yet it dissolves directly into the *Allegro vivace* finale. It comes back as a Nostalgia Return just before the *Presto* coda. But it comes back abbreviated and in the tonic, ending with an *ad libitum* flourish to bring in the last few measures. So its return is recapitulatory as well as nostalgic, thus resolving as well as looking back.

The rolled chords that begin the “Tempest” Sonata return immediately, after an intervening four measures of *Allegro*, then again to inspire the second key-area material, then again before the development, then again before the recapitulation, and finally as the opening of the second movement.

The slow introduction to the first movement (*Poco sostenuto*) of the Piano Trio, Op. 70 No. 2, is preparatory in every way, focusing on the dominant and anticipating the rising motive of the *Allegro*, but it too returns just before the end of the movement. The pensive quality of this abridged return is here anticipated by the beginning of the second-key-area material which sounds slow, because it is in long notes, and sounds melancholy, because it comes first in *B♭* minor and then (at the recapitulation) in *E♭* minor. But the links go further than that,

<sup>40</sup> F. S. Barrett and P. Janata, “Neural Responses to Nostalgia-Evoking Music Modeled by Elements of Dynamic Musical Structure and Individual Differences in Affective Traits,” *Neuropsychologia* 91 (2016), 234–46.

<sup>41</sup> Storr, *Music and the Mind*, 176.

because both the slow introduction and the second-key-area material employ fugal counterpoint on a subject that features slow descending notes. A short return to the Allegro's first eight measures ends the movement.

Song was Beethoven's medium for the overt expression of the feeling of longing, and for this he seems to have favored the Beginning-as-Ending strategy. WoO 134 (1808) presents Goethe's poem "Sehnsucht" ("Yearning") in four different short settings, the first two and last in G minor, the third in Eb Major.<sup>42</sup> Goethe's second stanza ends with a repetition of the first two lines: "Nur wer die Sehnsucht kennt/Weiss was ich leide" ("Only the person who knows yearning/Understands what I suffer"), and this gives Beethoven the opportunity to return to the beginning by repeating his first musical phrase at the end of each song. The first three settings are strophic. But the fourth setting brings the cycle back to its beginning key, and it sets out an even stronger return to its beginning by presenting a separately through-composed second stanza and a dramatic tonicization of the dominant on a fermata in order to emphasize the return to the first line (and the music) of the first stanza, including a lingering repetition of the second clause: "ja, weiss was ich leide!"<sup>43</sup>

<sup>42</sup> The poem comes from Goethe's *Wilhelm Meisters Lehrjahre* (Berlin: Unger, 1795–96). Mignon's song attracted dozens of composers in addition to Beethoven, including Schubert, Tchaikovsky, and Wolf. See Willoughby, *The Classical Age of German Literature*, 112, and *The LiederNet Archive*, [http://www.rcmusic.org/lieder/get\\_text.html?TextId=17759](http://www.rcmusic.org/lieder/get_text.html?TextId=17759) (accessed March 4, 2015). Why Beethoven wrote four settings for one publication is not certain. His own self-deprecating comment on the matter is written on the autograph score (Bonn, Beethoven-Haus, Sammlung H. C. Bodmer, HCB Mh 33): "Nb: Ich hatte nicht Zeit genug, um ein Gutes hervorzubringen, daher Mehrere Versuche Ludwig van Beethoven" ("NB: I did not have enough time to produce one good one, hence several attempts. Ludwig van Beethoven"). A similar remark can also be found on a sketch leaf (Bonn, Beethoven-Haus, Sammlung H. C. Bodmer, HCB Mh 76): "Es mangelte an Zeit, um dieses Lied nur einmal zu kürzen" ("There was not enough time to shorten this Lied even once"). Barry Cooper suggests that Beethoven meant what he said, because condensing the brief versions into one good one would have taken more time than presenting all four. Cooper, *Beethoven*, 186. Paul Ellison (*The Key to Beethoven*, 215–18) suggests that the G minor connotes "discontent" and "melancholy" and the Eb-Major "unhappy love."

<sup>43</sup> Seventeen of Beethoven's compositions are based on works of Goethe. The writer is mentioned frequently in Beethoven's letters, and an entry in the conversation books a few years before he died shows that Beethoven intended one day to compose a work based on *Faust*. By contrast there are only four compositions based on Schiller texts: the songs WoO 104, WoO 163, and WoO 166, and the "Ode to Joy." Beethoven spoke to Czerny of the difficulty of setting Schiller's poems to music. See Thayer, *Thayer's Life of Beethoven*, 472. However, there is no doubt that in the last part of his life, Beethoven had Schiller frequently on his mind. Quotations from and allusions to that writer appear throughout the letters, the conversation books, and his diary (the *Tagebuch*). He underlined passages that mirrored his own philosophical beliefs, he shared in Schiller's Enlightenment views, and he copied out three runic sayings from a Schiller essay and kept them under glass on his writing desk. See Maynard Solomon, "Beethoven and Schiller," in *Beethoven, Performers, and Critics: The International Beethoven Congress, Detroit, 1977*, ed. Robert Winter and Bruce Carr (Detroit: Wayne State University Press, 1980), 162–75, at 167.

The very last page of the Mass in C, Op. 86 (“dona nobis pacem, pacem, pacem, dona nobis pacem, pacem, pacem!”), apart from its own iterative and recapitulatory text, overtly returns to the beginning, not of the Agnus movement but of the entire Mass, restating the music of the very opening of the first-movement Kyrie, in a nod to traditional Mass settings. Lest the performers miss this cycling back to the beginning, Beethoven makes it very clear. He heads the last page with the tempo marking “Andante con moto, tempo del Kyrie.”<sup>44</sup> In the Op. 98 song cycle, *An die ferne Geliebte*, the music of the first stanza returns in the last in an overtly cyclic manner, suggesting the resolution of longing through music, and the resolution is confirmed by the echo of the rising phrase of the second and third measures of the very beginning of the work at the very end (see p. 119).

A slightly different plan is deployed in the Piano Sonata, Op. 101. The beginning of the first movement, *Allegretto ma non troppo*, seems already to imply nostalgia, as though it has been sounding before we begin to listen and is referring back to or answering something that happened earlier. Its return is not in the first movement, nor even in the second, but after the slow introduction to the third. It seems to interrupt the continuance of what might have been a fully developed slow movement, and it also delays the launching of the finale, though it breaks off before it has been completed, allowing the finale to start. The meanings here are multiple: nostalgia, of course, but also intervention, willful delay, and hesitation, although its original sense of completing something already begun clings to it.

Beethoven invokes a very similar strategy for his next work. The apparent slow movement of the Cello Sonata, Op. 102 No. 1, turns out to be just an elaborately decorated slow introduction to the *Allegro vivace* finale, and it does not return. But intervening between this slow introduction and the *Allegro* is an unexpected seven-measure reminiscence of the *Andante* from the very beginning of the work.

In the Piano Sonata, Op. 110, there are two beginnings that return. The material of the introductory first four measures of the first movement returns both in the development and in the recapitulation. The “Klagender Gesang” (“Lamenting Song”) of the last movement also returns, modified, between appearances of a fugue. The modifications are not structural but melodic and tonal – here G minor instead of A $\flat$  minor – but also affective, so that the return is not just nostalgic

<sup>44</sup> It should be said that the original tempo marking of the Kyrie is a little more complex than “Andante con moto.” In a classic instance of preserved dithering, Beethoven actually wrote “Andante con moto assai vivace quasi allegretto ma non troppo.” The Mass in C was adduced earlier as an example of Beethoven’s emulation of Haydn, specifically the *Nicolaimesse*. The *Nicolaimesse* also recapitulates music from the Kyrie in the concluding *Dona nobis pacem*. Webster writes that this was a common practice in Austria, though there are no other examples in Haydn’s Masses. See Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 184.

but also forward-looking, for the song is now labeled “ermattet” (“exhausted”) as well as “klagender,” and it is followed by the fugue (now inverted), which is “wieder auflebend” (“coming alive again”), in a drama that presages that of the slow movement of the String Quartet, Op. 132: from the “Heiliger Dankgesang” (“Holy Song of Thanks”) to “Neue Kraft fühlend” (“Feeling New Strength”).

A searching Largo stands as the beginning of the last movement of the “Hammerklavier” Sonata, Op. 106. It returns also, but after only five measures of an Allegro, coming too soon for nostalgia but soon enough for intervention and denial. It gradually accelerates into the real fugal finale (Allegro risoluto).

All five of Beethoven's late string quartets employ the rhetoric of beginnings that return. Taking them in chronological order of composition, the six-measure E $\flat$  Maestoso beginning of Op. 127 returns twice, once at the beginning of the development, rescored, in G, and again about three quarters of the way through the development, this time also rescored and in C, but compressed into four measures. The four-note figure that underlies the last quartets begins Op. 132, and its two half-step intervals, one ascending, the other descending (G $\sharp$  up to A, F down to E), may be found, hidden in the first-movement accompaniment and out in the open in the melodies of the last movement. In these quartets the returns seem less nostalgic than structural. But the beginning of Op. 130, an Adagio ma non troppo, is saturated with the half-step intervals of the germinal figure. Its fourteen-measure span comes back, shortened to four measures, then three times to two measures, once again to four measures, and twice more to a single measure, before the movement ends. These returns create a continuing series of pullbacks and radical juxtapositions of tempo and affect in the music. The constant pullbacks and sudden slowings in movements 5 and 7 of Op. 131 (eight in movement 5 and ten in movement 7) are moments for contemplation rather than recall, though the Poco adagio measures just before the end of movement 7 (the last movement) are nostalgic returns of that movement's opening theme.

Op. 135, Beethoven's last work, has a verbal heading in front of its last movement, a two-part question-and-answer heading, or rather a three-part heading: a question, the answer, and the answer repeated. The question features a rising diminished fourth, Grave; the first answer provides a descent from degree 5 to degree 2 in F Major, the second answer a descent from 4 to 1, cadentially, in the same key; both are allegro. The questioning phrase is used to create the slow twelve-measure beginning of the movement; the answer forms the principal material of the first key area in the Allegro. These elements return in a very sophisticated manner. Just before the recapitulation, the question phrase returns, accompanied by frightening tremolos and augmented chords. As the dynamics decrease, the answer gradually emerges to accompany the question, turning the question answering. And at the beginning of the short coda, the answering phrases appear, three times, *piano* and then *pianissimo*, in high, thin texture, ending each time with a fermata, turning the answer questioning.

There are a few precedents to these remarkable Beginnings that Return in Beethoven's music. Haydn brings back the music of his beginning in the first movement of his Symphony No. 103. The first part of the slow introduction comes back, but not until just before the last measures of the Allegro con spirito first movement. In its original iteration, the opening part of the slow introduction is arranged into six-measure parallel phrases, the first moving to a half-cadence and the second to a full cadence on the tonic (E $\flat$ ). When it returns, Haydn has the second phrase end a measure early, on a dominant chord, so that the cadence to the tonic comes on the return of the Allegro for the final measures. This is a pure Nostalgia Return.

In a slow introduction to a slow(-ish) movement, the second movement of Haydn's early Symphony No. 6 ("Le Midi"), the solo violin intersperses Vivaldi-like cadenzas among the sustained string chords. The music returns, shorn of the solo violin but with more elaborate lower string parts, to end the movement. The slow introduction to the first movement of Haydn's Symphony No. 15, composed at about the same time, is so substantial (thirty-three measures of Adagio in 3/4) and its return at the end of the movement, after a 4/4 Presto of no repeats, almost equally so (twenty-three measures), that the return seems less like a recollection than a structural member, creating a tripartite movement form, slow-fast-slow, in the style of the French overture. The beginning of Haydn's Symphony No. 21, also from the early 1760s, has a different kind of Beginning that Returns. The second-movement Presto (the first movement is slow) begins with nine measures of eighth-note unison texture on strings. For an eight-measure ending of the movement, the eighth-note figures and the unison texture return. This beginning is used to form bookends for the movement. A special case of a Beginning that Returns is the ending of Haydn's "Joke" Quartet, Op. 33 No. 2, where the very beginning of the last movement comes back again after several previous false endings; and these last two measures – identical to the first two, except that here they are *pianissimo* instead of *piano* – arrive only after a "definitive" ending and an extra-long grand pause. Haydn's String Quartet in C Major, Op. 54 No. 2 (1788), is unconventional in many ways. The two most striking are the key plan and the movement plan, both of which present thoroughgoing and consistent alternation. After an opening Vivace movement in C Major come a C-minor Adagio, a C-Major Minuet with a C-minor Trio, and a *second* Adagio in C Major, towards the end of which a large portion is recomposed in C minor. Then comes a Presto movement (C Major), which turns out not to be a movement but an interruption,<sup>45</sup> for the second Adagio comes back to end the whole work. So the key alternations are major-minor-major-minor-major-minor-major, and the movement (tempo) alternations are Vivace-Adagio-Minuet-Adagio-Presto-Adagio. Here

<sup>45</sup> Interruptions are part of Haydn's *game-plan*, for grand pauses notably interrupt the flow of the music in the first movement and the Presto of the last.

the return of the beginning of the last movement is less a Nostalgia Return than a re-assertion of primacy.

Opening chords return from the beginnings of overtures at dramatic high-points in Mozart's *Don Giovanni* and *Die Zauberflöte*. Finally, there is Mozart's String Quintet in D Major, K. 593, from 1790, where the Larghetto introduction makes a surprising Nostalgia Return during the coda of the first movement. The passage is nearly the same length as the introduction, though it reaches the expectant dominant through a slightly different harmonic route.

#### BEGINNING AS ENDING

A special kind of rhetoric attends the Beginning as Ending. In this kind of beginning a composer deliberately begins a work with an ending gesture, which is almost always cadential.<sup>46</sup> A Beginning as Ending can paradoxically be used to move the music forward. We know that the ending is too soon and thus are made more expectant of what is to follow. The effect is similar to that in elision, where the last note or chord of a phrase functions simultaneously as the first note or chord of a new phrase. In Beethoven's Piano Sonata, Op. 10 No. 2, the join between the exposition and the development offers a chain of such elisions, in what Edward Lippman has called a "powerful logic of consecution."<sup>47</sup> Having a Beginning as Ending provides a sense of surplus: whatever comes next is a dividend on the beginning.<sup>48</sup>

The slow introduction of Haydn's Symphony No. 97 in C Major (see Example 99) begins with an ending. Its potential as ending is proven by the fact that it does, in fact, also end the slow introduction. Its grammar is entirely cadential: I–vii<sup>7</sup>/V–I<sup>6</sup>–V–I. But the meaning of this passage is different in the two locations. At the end of the slow introduction it fulfills the normal implications of its

<sup>46</sup> Mattheson wrote in his *Capellmeister*: "Cadences may be found ... in every piece. However when they are used at the beginning of a piece, they become something special." Johann Mattheson, *Der vollkommene Capellmeister*, trans. in Hans Lenneberg, "Johann Mattheson on Affect and Rhetoric in Music (I)," *Journal of Music Theory* 2 (1958), 47–84, at 70. Cited in Meyer, *Explaining Music*, 212. Carl Dahlhaus, however, makes claims for the mutually exclusive nature of music designed for beginnings and that for endings. See "Harmony," 3, ii, *Grove Music Online* (accessed February 16, 2015). He does not discuss the deliberate rhetorical misplacement of these gestures. For more on this strategy see Hermann Danuser, "Das Ende als Anfang: Ausblick von einer Schlussfigur bei Joseph Haydn," in *Studien zur Musikgeschichte: Eine Festschrift für Ludwig Finscher*, ed. Annegrit Laubenthal (Kassel: Bärenreiter, 1995), 818–27.

<sup>47</sup> Edward A. Lippman, *The Philosophy and Aesthetics of Music* (Lincoln, Nebraska: University of Nebraska Press, 1999), 49.

<sup>48</sup> Janet Levy suggests that such manipulation of expectations can create rhetorical momentum for the movement as a whole. See Levy, "Gesture, Form, and Syntax in Haydn's Music," 355–62. Jonathan Kramer writes that putting an ending at the beginning causes confusion and that "the development and possible resolution of such a disorientation can become a major force in the work." (Kramer, *The Time of Music*, 150.)

## Example 99: Haydn, Symphony No. 97 in C Major, slow introduction, mm. 1–4

Adagio

The musical score is arranged in two systems. The first system includes 2 Fl, 2 Ob, 2 Bn, 2 Hn in C, 2 Tpt, and Timp in C & G. The second system includes Vln 1, Vln 2, Vla, Vc, and Cb. The tempo is marked Adagio. The key signature is C major. The time signature is 3/4. The score shows the first four measures of the piece. The woodwinds and brass are marked with a forte (f) dynamic throughout. The strings enter in the second measure with a piano (p) dynamic and continue with a piano (p) dynamic throughout the section.

grammar: it closes the section, leading directly into the Vivace (which itself has a Beginning as Ending, opening with powerful, reiterated V–I cadences to the tonic – nine of them, in fact, within the first eight measures). But at the beginning of the work, the meaning is not of closure but of future potential: it cannot be an ending, because it stands at the beginning. Thus the tension between grammar and rhetoric that is established at the beginning lasts until the ending.

A very rapid closing gesture is used at the beginning of Haydn's String Quartet, Op. 33 No. 5 in G (see Example 100): a snappy V–I cadence but *pianissimo*.<sup>49</sup> This stands outside the sonata form of the movement, though it anticipates a gesture that is central to the exposition.

<sup>49</sup> See Heartz, *Mozart, Haydn and Early Beethoven*, 377.



Example 100: Haydn, String Quartet in G Major, Op. 33 No. 5, first movement, mm. 1–4

**Vivace assai**

The score shows four staves: Vln 1, Vln 2, Vla, and Vc. The first measure is marked *pianissimo* (*pp*). The second measure is marked *poco f*. The tempo is *Vivace assai*.

The loud, *marcato* cadential progression at the beginning of Haydn's String Quartet in B $\flat$ , Op. 71 No. 1, is an ending (see Example 101). It moves confidently and conventionally in B $\flat$  from I to ii<sup>7</sup> to I<sup>4</sup> to V<sup>7</sup> and back to I, with double- and triple-stopped chords, *fortissimo*. And this all comes before the exposition begins.

Example 101: Haydn, String Quartet in B $\flat$  Major, Op. 71 No. 1, first movement, mm. 1–4

**Allegro**

The score shows four staves: Vln 1, Vln 2, Vla, and Vc. The first measure is marked *ff*. The second measure is marked *mezza voce*. The tempo is *Allegro*.

A Beginning as Ending opens Beethoven's String Quartet, Op. 18 No. 2, in G Major (see Example 102a). The opening eight measures fall into two four-measure phrases (A+B) and further into four two-measure sub-phrases (a<sub>1</sub>+a<sub>2</sub> and b<sub>1</sub>+b<sub>2</sub>). Phrase A moves from I to V, while phrase B stays on I (with small local cadences in the sub-phrases). But the rigid balance belies the disparate array of gestures (topics), which leaves much to be explained. A *tirata* (a<sub>1</sub>) is followed by

Example 102 (*opposite*): Beethoven, String Quartet in G Major, Op. 18 No. 2, first movement, (a) beginning; (b) ending

a) **Allegro**

Musical score for section a) measures 1-4. The score is for four instruments: Violin 1 (Vln 1), Violin 2 (Vln 2), Viola (Vla), and Violoncello (Vc). The key signature is one sharp (F#) and the time signature is 2/4. The tempo is marked **Allegro**. The dynamic marking is *p* (piano). The Vln 1 part features a rapid sixteenth-note run in the first measure. The Vln 2 part has a melodic line with some rests. The Vla part has a steady eighth-note accompaniment. The Vc part has a bass line with some rests.

Musical score for section a) measures 5-8. The score continues for the four instruments. The Vln 1 part has a melodic line with some rests. The Vln 2 part has a melodic line with some rests. The Vla part has a steady eighth-note accompaniment. The Vc part has a bass line with some rests.

b)

Musical score for section b) measures 241-244. The score is for four instruments: Violin 1 (Vln 1), Violin 2 (Vln 2), Viola (Vla), and Violoncello (Vc). The key signature is one sharp (F#) and the time signature is 2/4. The dynamic marking is *pp* (pianissimo). The Vln 1 part features a rapid sixteenth-note run in the first measure. The Vln 2 part has a melodic line with some rests. The Vla part has a steady eighth-note accompaniment. The Vc part has a bass line with some rests.

Musical score for section b) measures 245-248. The score continues for the four instruments. The Vln 1 part has a melodic line with some rests. The Vln 2 part has a melodic line with some rests. The Vla part has a steady eighth-note accompaniment. The Vc part has a bass line with some rests. The dynamic marking is *pizz.* (pizzicato) for the Vln 1 and Vln 2 parts in the later measures.

a fanfare (a<sub>2</sub>), both of which are answered by two singing-style gestures (b<sub>1</sub> and b<sub>2</sub>), of such *galanterie* that they imply formal *Complimentieren* (bows or curtseys).<sup>50</sup> These elaborations are contained in tight structural bonds. Each sub-phrase is separated from the one that follows: a<sub>1</sub> from a<sub>2</sub> and a<sub>2</sub> from b<sub>1</sub> by rests, b<sub>1</sub> from b<sub>2</sub> by rests in the lower parts and by register in the first violin. Although its positioning necessarily implies that a Beginning as Ending will be followed by more music, the extremely “closed” nature of this beginning – in structure, in harmony, and in the three-quarters-of-a-measure rest at its end – encourages its use as an actual close. And Beethoven exploits this feature by using phrase B at the end of the exposition (mm. 77–81) and the entire eight-measure beginning to end the movement (see Example 102b). It is a measure of Beethoven’s growing mastery of his materials that in this, the third of the Op. 18 quartets in order of composition, he deftly rescors his beginning for his ending. Sub-phrase a<sub>1</sub> is now without its sustained lower strings. All three instruments of sub-phrase b<sub>1</sub> are pitched an octave higher than before, and the closing sub-phrase b<sub>2</sub> answers an octave lower than before (the registral gap thus increasing from an octave and a fourth to three octaves and a fourth), with the melody in the viola, and the other strings pizzicato, with declarative double-stops in first and second violins, and the leading-tone moving to the octave at the top of the chord on the first violin.

A very similar Beginning as Ending starts Beethoven’s Eighth Symphony (see Example 103a). In fact the opening sub-phrase closely resembles sub-phrase b<sub>1</sub> of the quartet, and its sustained tonic accompaniment resembles sub-phrase a<sub>1</sub> of the quartet. The first four measures end on a V<sup>7</sup> half-cadence. The answer comes in the winds, making a consequent phrase. But this time the answer avoids closure, leading to a further consequent (mm. 9–11) that leads by elision to a further antecedent (mm. 12ff.). The closed beginning therefore opens out to the movement as a whole. But the beginning of the beginning (comprising the first two measures) is closed enough to serve here too as an ending. It saturates the development section before returning, *pianissimo* and accompanied by eighth-note winds, perhaps a mite self-consciously, to close the movement (see Example 103b).<sup>51</sup>

There are some wonderful examples of a Beginning as Ending being used as a joke. The Trio of Mozart’s Symphony No. 41 begins with a V–I cadence in the tonic.<sup>52</sup> Then comes the phrase to which it is the ending, to which is appended the ending again. And then the phrase again with its own (faster) close. This is (deliberately and delightfully) confusing enough, but in the second half of the Trio the joke is amplified, as the cadence returns at the end of a short passage through the circle of fifths (B–E–A–D–G–C). Here it does double duty as the

<sup>50</sup> For more on the question of “topics” such as these, see p. 44, and p. 181, n. 28.

<sup>51</sup> This beginning and its consequences are discussed in Walker, *An Anatomy of Musical Criticism*, 45–49. See also Lockwood, *Beethoven’s Symphonies*, 174–80.

<sup>52</sup> Ratner (*Classic Music*, 39–40) calls this a “cadence out of countenance.”

Example 103: Beethoven, Eighth Symphony in F Major, Op. 93, first movement,  
(a) beginning; (b) ending

a) **Allegro vivace e con brio**

Musical score for the beginning of the first movement (Allegro vivace e con brio). The score is in 3/4 time and F major. It features a full orchestral ensemble. The dynamics are marked *f* (forte) throughout. The instruments and their parts are:

- 2 Fl (Flutes)
- 2 Ob (Oboes)
- 2 Cl in B $\flat$  (Clarinets in B-flat)
- 2 Bn (Bassoons)
- 2 Hn in F (Horns in F)
- 2 Tpt in F (Trumpets in F)
- Timp in F & C (Timpani in F and C)
- Vln 1 (Violin 1)
- Vln 2 (Violin 2)
- Vla (Viola)
- Vc (Violoncello)
- Cb (Contrabass)

b)

Musical score for the ending of the first movement (Allegro vivace e con brio). The score is in 3/4 time and F major. It features a full orchestral ensemble. The dynamics are marked *pp* (pianissimo) throughout. The instruments and their parts are:

- 2 Fl (Flutes)
- 2 Ob (Oboes)
- 2 Cl in B $\flat$  (Clarinets in B-flat)
- 2 Bn (Bassoons)
- 2 Hn in F (Horns in F)
- 2 Tpt in F (Trumpets in F)
- Timp in F & C (Timpani in F and C)
- Vln 1 (Violin 1)
- Vln 2 (Violin 2)
- Vla (Viola)
- Vc (Violoncello)
- Cb (Contrabass)

The score begins at measure 372.

end of the circle-of-fifths passage and the beginning of the internal repeat of the first reprise of the Trio.<sup>53</sup>

Another joke comes in the last movement of Haydn's "Joke" Quartet, Op. 33 No. 2 in E $\flat$ . The beginning doesn't sound like an ending, but it comes nonetheless at the end of the movement (and of the whole work). Haydn compounds the joke at the end by following the "final" statement of the rondo theme with four measures of a mock-serious Adagio, and by then presenting the four phrases of the rondo theme separately with a *gran pausa* after each one. Compounding the compounding, he then finishes with the beginning phrase. Beginning again after an apparent finish is a joke that Haydn plays at the end of the finale of Symphony No. 90. After *fortissimo* hammering cadences in the tonic, followed by four measures of rest, Haydn appends the beginning of the movement but in the wrong key. It takes a while to end properly. The joke is different from the one that ends the "Farewell" Symphony, No. 45 in F $\sharp$  minor. In this famous case, a lengthy Adagio takes the place of the recapitulation of the "final" Presto movement, and the instruments' parts end (and presumably the players leave the stage) one at a time until there are only the two violins left. The final sonority is the not-very-final interval of a sixth, so that the ultimate effect is not in fact a very different joke (are you finished?) from that of the string quartet. It was not without reason that Haydn was known by his contemporaries as a "musikalische Spassmacher" ("musical jokester").<sup>54</sup>

Beethoven was not so much of a musical jokester, but Variation 22 of the Diabelli Variations (itself a large composition based on something amusingly small) is a lighthearted mashup of the Diabelli theme with Leporello's comic opening aria from *Don Giovanni* ("Nott' e giorno faticar"). Here the beginning cadential chords, in four-octave staccato unison, *piano*, return to end the variation, also *piano*, after a *fortissimo* crash onto C<sup>7</sup> in *altissimo*. A Beginning as Ending starts Beethoven's last quartet – and his last complete work – the String Quartet, Op. 135, in F Major (see Example 104a). We need not enter a discussion here of teleology or of "lateness" in a composer's style to agree that here are mastery and subtlety of a high degree.<sup>55</sup> In our survey of beginnings, this one belongs

<sup>53</sup> Jonathan Kramer (*The Time of Music*, 146–48) discusses this passage. Because of the deliberate change of instrumentation, however, from full orchestra to winds, I cannot hear – as he does – the cadence gesture as an additional ending to the Minuet as well as the beginning of the Trio, although I do recognize that the harmony has not changed.

<sup>54</sup> *Musikalischer Almanach auf das Jahr 1782*, 19–20. Cited in Bonds, "Haydn, Laurence Sterne, and the Origins of Musical Irony," 59. See also Steven E. Paul, "Comedy, Wit, and Humor in Haydn's Instrumental Music," in *Haydn Studies: Proceedings of the International Haydn Conference, Washington, D.C., 1975*, ed. Jens Peter Larsen, Howard Serwer, and James Webster (New York: Norton, 1981); and Wheelock, *Haydn's Ingenious Jesting with Art*.

<sup>55</sup> Kristin M. Knittel, "'Late,' Last, and Least: On Being Beethoven's Quartet in F Major, Op. 135," *Music and Letters* 87 (2006), 16–51.

Example 104: Beethoven, String Quartet in F Major, Op. 135, first movement,  
(a) beginning; (b) ending

a) **Allegretto**

Violin 1  
Violin 2  
Viola  
Violoncello

6

b) <sup>192</sup>

Violin 1  
Violin 2  
Viola  
Violoncello

to two classes, the Beginning as Ending and the non-tonic beginning (Beginning as Mystery). It begins away from the tonic with descending half-steps in the bass, though the downbeat of measure 2 can retrospectively be heard as the dominant, and the opening phrase closes on a ii chord with a brief *sforzando* in the middle of measure 4. But, like the opening of Op. 18 No. 2, this is far too soon.

The consequent phrase is made up of a new dotted gesture and should comprise measures 4–6 and 8–10, but two additional measures – measures 6–8 with their instant echoes – are inserted, extending the opening to ten measures, unbalancing the phrase and making the definitive – and curiously conventional – ending still more definitive. Commentators on this last quartet have stressed a “classical,” conservative quality about its style. Kerman goes overboard on this, writing of “self-conscious classicism” and “Haydnesque” technique, and asserts that Op. 135 “turns sharply back, not forward, more so than any other work in a decade.”<sup>56</sup> But, if anything, the technique here is Webernesque, not Haydnesque. Its spare texture, germinal figures, compression, silences, registral opposition, and radical juxtaposition of motives are closer in spirit to the twentieth-century master of kaleidoscopic fragmentation and understatement. Beethoven is not looking back, but forward – not to Webern, of course, for it is not given to us to see a hundred years into the future – but towards a new style of intense compression and epigrammatic terseness. This beginning returns to close the movement with the same kind of formal courtesy as the music of Op. 18 No. 2 (Example 104b).<sup>57</sup>

A slightly different technique of Beginning as Ending marks Beethoven's String Trio (“Serenade”), Op. 8, for violin, viola, and cello. Here the beginning is a two-reprise march in D. The continuation of this first movement is a lengthy Adagio. Because this is a serenade, there are several movements, with two dance movements (a Minuet and an Allegretto alla polacca) surrounding a central slow movement, which itself is an alternation of slow (Adagio) and fast (Allegro molto). The last movement is a theme and variations. And Beethoven brings back the entire two-reprise march as the final variation, simultaneously ending the last movement, creating a sense of cyclic return, and demonstrating how the first-movement march and the last-movement theme are related. The alternation of styles and of tempos is carried to extremes in this work, as can be seen in Table 3, which features thirteen switches back and forth between fast and slow tempos. Though Beethoven was following the example of earlier divertimento and serenade works, in which outer movements enclosed a series of slow movements and

<sup>56</sup> Kerman, *The Beethoven Quartets*, 354–55. But see Lockwood, *Beethoven: The Music and the Life*, 483; and Robert Winter's remarks published in *The String Quartets of Haydn, Mozart, and Beethoven: Studies of the Autograph Manuscripts. A Conference at Isham Memorial Library, March 15–17, 1979*, ed. Christoph Wolff and Robert Riggs (Cambridge, Massachusetts: Harvard University Press, 1980), 324. See also Martin Staehelin, “Another Approach to Beethoven's Last String Quartet Oeuvre: The Unfinished String Quintet of 1826/27,” in *The String Quartets of Haydn, Mozart, and Beethoven: Studies of the Autograph Manuscripts*, 302–28, at 324.

<sup>57</sup> Jonathan Kramer (*The Time of Music*, 152) points out that in its last appearance fuller voicing, a touch of subdominant harmony at the end of m. 189, a fermata in m. 191, and a third in the final chord make the ending more final. I would add to these observations the pizzicato in the cello and the adding of the cello to the last unison gesture. A rewarding study could be made of composers' methods of rescoring repeated or returning passages in music.

Table 3: Movement, Tempo, and Key Sequence of Beethoven's Serenade in D Major, Op. 8

I. Marcia (Allegro) Adagio	D Major
II. Menuetto (Allegretto) Trio	D Major G Major
III. Adagio Scherzo (Allegro molto) Adagio (Tempo primo) Allegro molto Adagio	D minor D Major D minor D Major D minor
IV. Allegretto alla polacca	F Major
V. Andante quasi allegretto (theme and variations) Variation 1 (thirty-second notes and triplet sixteenths) Variation 2 (viola; thirty-seconds and triplet sixteenths) Variation 3 (syncopations) Variation 4 (cello) Allegro in 6/8 Tempo 1 (theme on cello) Marcia (Allegro)	D Major D Major D Major D minor D Major D Major modulating to B $\flat$ B $\flat$ returning to D Major D Major

minuets, he was clearly in an experimental mood in this work (it was published in 1797), and in addition to the constant, almost obsessive, alternation of fast and slow tempos and admixture of key colorings, his boldest move was to bring back his entire beginning as an ending.<sup>58</sup>

The beginning (Adagio) of the *Prometheus* overture opens with a third-inversion seventh chord on the tonic C and then moves emphatically and dramatically to a fermata on G, so these first four measures sound like the end of this slow introduction.<sup>59</sup> This beginning is a Churchillian Beginning as Ending of the Beginning.

<sup>58</sup> Elaine Sisman, "Memory and Invention at the Threshold of Beethoven's Late Style," in *Beethoven and His World*, ed. Scott Burnham and Michael P. Steinberg (Princeton, New Jersey: Princeton University Press, 2000), 51–87, aptly describes this return as "less a reminiscence than a bookend." (p. 53.)

<sup>59</sup> Haydn's String Quartet, Op. 33 No. 4, also begins with a V $\frac{4}{2}$  chord.



A unique Beginning as Ending comes at the start of the Allegretto of Beethoven's Seventh Symphony (see Example 105a). This is an A-minor chord, the key of the movement, in just the winds (without flutes). But it is in  $\frac{6}{4}$  position, unstable and anticipatory of a cadence that is not forthcoming. It is held for five beats, or two and a half measures of the  $\frac{2}{4}$  meter. It melts from *forte* to *pianissimo* and overlaps by one quarter note with the beginning of the renowned long-short-short-long theme of the movement. This exact chord in identical voicing

Example 105: Beethoven, Seventh Symphony in A Major, Op. 92, second movement, (a) beginning; (b) ending

a) **Allegretto**

b) 276

The musical score is presented in two systems, (a) and (b), each with multiple staves for different instruments. The time signature is 2/4. The key signature is one flat (A minor).

**System (a) - Beginning:** The woodwinds (2 Oboes, 2 Clarinets in A, 2 Bassoons, 2 Horns in E, 2 Trumpets in D) play a sustained A-minor chord in 6/4 position. The dynamics start at *f* and gradually decrease to *pp* over five beats. The strings (Violins 1 & 2, Viola, Violoncello, Contrabass) are silent. The percussion (Timpani in A & E) is also silent.

**System (b) - Ending:** The woodwinds play the same A-minor chord in 6/4 position, but with a dynamic shift to *f* and a final accent (>) on the first note. The strings (Violins 1 & 2, Viola, Violoncello, Contrabass) play a rhythmic pattern starting with *ten.* (tenuendo) and *p* (piano). The percussion (Timpani in A & E) is silent.

ends the movement, overlapping by one measure at its beginning with the elided cadential gesture in the strings. The chord ends one eighth note earlier than its earlier appearance. Here, like all endings that reiterate beginnings, it is the same and not the same, coming at the end. It also does not end, for it is a  $\frac{6}{4}$  chord, unstable and anticipatory of a cadence that is not forthcoming (Example 105b).<sup>60</sup>

Some Beginnings as Ending return as though to prove their ending function. The Minuet of Haydn's String Quartet in C Major, Op. 9 No. 1, begins with four measures of mostly homophonic texture, descending cadentially over a pedal C in the cello. These measures return to close the Minuet (and the movement).

The last movement of Haydn's String Quartet, Op. 76 No. 5, has a definitive ending as its beginning (see Example 106). Indeed, this beginning is also a Beginning before the Beginning, so detached is this opening close. The gesture is a conventional ending: V-I [gap], V-I [gap], V-I-V-I-V-I. The gesture arrives in its appropriate place at the end of the movement (supplied with two additional chords), but here it stands at the beginning, out of place and out of time. For the "real" beginning of the movement starts at the end of measure 6, with reiterated eighths on second violin and viola to provide the accompaniment for the ensuing tune on the first violin, later echoed by the cello. And, with typical economy, Haydn uses the closing gesture both to punctuate the texture at necessary moments and as a modulating device.

Example 106: Haydn, String Quartet in D Major, Op. 76 No. 5, fourth movement, mm. 1–8

Presto

<sup>60</sup> Another movement that "ends" on a  $I_4^6$  chord is the second movement (Scherzo) of Beethoven's Piano Sonata, Op. 106 ("Hammerklavier").

Another powerful ending begins Haydn's String Quartet, Op. 76 No. 1. It returns only at the end of the last movement. And a more subtle correlation of beginning and ending occurs in Haydn's String Quartet, Op. 20 No. 3 (see Example 107), where the main motive of the countersubject of the first movement's beginning, a descending diminished fourth, B $\flat$  to F $\sharp$ , in the cello becomes the main part of the main theme of the beginning of the last movement, first heard in the second violin (and accompanied, slyly, by a cello figure that repeats the rhythm of the first-movement cello countersubject, this time going up rather than down).

Example 107: Haydn, String Quartet in G minor, Op. 20 No. 3,  
(a) first movement, mm. 1–2; (b) last movement, m. 1

But some Beginnings as Ending do not return, although their formulation is still that of an ending. Haydn's Symphony No. 97 in C begins with a four-measure phrase that is entirely cadential: I–vii<sup>7</sup>/V–V–I; but though it is an ending, it does not recur at the end of the movement.<sup>61</sup> The second movement of Mozart's Piano Concerto, K. 459, also has a beginning that is an ending (see Example 108). A two-measure gesture in the whole orchestra moves from I to V to I and from scale degrees 3 to 5 to 1. In this case also the gesture is not repeated at the end of the movement.

<sup>61</sup> See Leonard B. Meyer, "Toward a Theory of Style," in *The Concept of Style*, ed. Berel Lang (rev. ed. Ithaca, New York: Cornell University Press, 1979), 21–71, at 33–38; and Burton S. Rosner and Leonard B. Meyer, "Melodic Processes and the Perception of Music," in Diana Deutsch, *The Psychology of Music*, Academic Press Series in Cognition and Perception, ed. Diana Deutsch (New York: Academic Press, 1982), 317–43, at 318–19.

Example 108: Mozart, Piano Concerto in F Major, K. 459, second movement, mm. 1–2

**Allegretto**

The musical score is arranged in a system with ten staves. From top to bottom, the staves are for: Flute (Fl), 2 Oboes (2 Ob), 2 Bassoons (2 Bn), 2 Horns in C (2 Hn in C), Piano (Pf), Violin 1 (Vln 1), Violin 2 (Vln 2), 2 Violas (2 Vla), and Violoncello and Contrabass (Vc & Cb). The tempo is marked 'Allegretto'. The key signature is one flat (F major). The time signature is 6/8. The score shows the beginning of the piece, marked 'p cresc.' for piano and crescendo. The instruments listed are Flute (Fl), 2 Oboes (2 Ob), 2 Bassoons (2 Bn), 2 Horns in C (2 Hn in C), Piano (Pf), Violin 1 (Vln 1), Violin 2 (Vln 2), 2 Violas (2 Vla), and Violoncello and Contrabass (Vc & Cb).

#### BEGINNING AS EMULATION

So far in this book I have shown how Beethoven's beginnings may be viewed in the context of the work of his forebears Haydn and Mozart. But there is a special kind of beginning that deliberately recognizes the special relationship that existed between Beethoven and the composers he admired the most, as well as between Haydn and Mozart themselves.

One of Mozart's slow introductions, that for the String Quartet, K. 465 (the "Dissonant" – so labeled specifically because of its Adagio beginning), is a *cause célèbre* among critics, historians, and theorists for its harmonic adventures; and its relationship to the rest of the piece has been much discussed. Marshall Brown

said that it “called the [entire] genre into question.”<sup>62</sup> Maynard Solomon has described it as an “alien universe,” “the center of symbiotic terror.”<sup>63</sup> (Views such as these and other explanations of this introduction are summarized in Simon Keefe’s book on Mozart’s mature instrumental music.<sup>64</sup>) Mark Evan Bonds has demonstrated that the slow introduction is modeled on the opening of the first movement of Haydn’s String Quartet, Op. 33 No. 3, also in C Major, which also deliberately delays the establishment of the tonic key.<sup>65</sup> He also shows how Mozart, in K. 465 and the others of the “Haydn” Quartets, is offering not only homage to the older composer but also competition.<sup>66</sup>

This kind of beginning, evincing varying proportions of homage, tribute, and one-upmanship, is not uncommon. Mozart’s String Quintet in C, K. 515, from 1787, has an asymmetrical opening with pulsating eighth notes in the second violin and the violas and a three-measure widely-reaching staccato arpeggio ascent in the cello, ranging over two octaves and a third, answered by a two-measure legato response, *dolce*, in the first violin. This pays tribute and offers competition to Haydn’s Op. 33 No. 3, from six years earlier, also in C Major, which

<sup>62</sup> Marshall Brown, “Mozart and After: The Revolution in Musical Consciousness,” *Critical Enquiry* 7 (1980–81), 701.

<sup>63</sup> Maynard Solomon, *Mozart: A Life* (New York: HarperCollins, 1995), 200.

<sup>64</sup> Simon P. Keefe, *Simon P. Keefe, Mozart’s Viennese Instrumental Music: A Study of Stylistic Re-Invention* (Woodbridge: Boydell & Brewer, 2007), 89–94. Slow introductions in general in the music of Haydn, Mozart, and later composers have been discussed in Rudolf Klinkhammer, *Die langsame Einleitung in der Instrumentalmusik der Klassik und Romantik* (Regensburg: Bosse, 1971); Dankwardt, *Die langsame Einleitung*; and Eberhard Müller-Arp, *Die langsame Einleitung bei Haydn, Mozart und Beethoven: Tradition und Innovation in der Instrumentalmusik der Wiener Klassik*, *Hamburger Beiträge zur Musikwissenschaft* 41 (Hamburg: Wagner, 1991). See also R. A. Sharpe, *Music and Humanism: An Essay in the Aesthetics of Music* (Oxford: Oxford University Press, 2000), 147.

<sup>65</sup> See Mark Evan Bonds, “The Sincerest Form of Flattery? Mozart’s ‘Haydn’ Quartets and the Question of Influence,” *Studi Musicali* 22 (1993), 365–409. Bonds writes that “one of the most intriguing aspects of Op. 33 in general is how Haydn begins his movements, especially first movements.” (p. 380.) Christian Esch, “Haydn’s Streichquartett Op. 54/1 und Mozarts K. 465,” *Haydn-Studien* 6 (1994), 148–55, however, suggests that the connection is between the Mozart “Dissonant” and Haydn’s Op. 54 No. 1.

<sup>66</sup> Bonds, “The Sincerest Form of Flattery?,” 378, 407, 409. Dean Sutcliffe pointed out that it took the normally extremely productive Mozart from 1782 to 1785 to put together the six quartets for his set dedicated to Haydn and that Beethoven waited until he was nearly thirty to publish his first quartets. “While Haydn’s example gave the string quartet a prestige as a compositional vehicle that has lasted to some extent to the present day, it also acted as an inhibiting factor on his successors.” See Sutcliffe, *Haydn String Quartets, Op. 50, 2*. Haydn’s return gesture in his Op. 50 Quartets (1787) was magisterial and restrained. The acknowledgments include the adoption of a swifter pulse and expanded phrase length, a richer use of chromatic coloring, and the use of elegant bridging elements between phrases. See Landon, *Haydn at Eszterhaza*, 626; and Grave and Grave, *The String Quartets of Joseph Haydn*, 241–42.

combines a singing legato first violin line over pulsating eighth notes in the second violin and viola with a two-octave arpeggio ascent in the cello. Haydn's phrase length is five measures, Mozart's 3+2.

Mozart's last chamber work, the String Quintet in E $\flat$ , K. 614, also shakes hands with a Haydn quartet: the last of the Op. 64 set, No. 6, also in E $\flat$ . The handshake is proffered with a smile: Mozart inverts the pattern of Haydn's last-movement 2/4 Presto theme in his last-movement 2/4 Allegro theme. When this theme is itself inverted (in mm. 25–30 and the coda), Mozart is employing a Haydn technique,<sup>67</sup> but, in a gesture of great wit, he is simultaneously bringing his theme back into the shape of Haydn's original (see Examples 109a–c).

In his early piano sonatas, string quartets, and symphonies Beethoven presented himself as a worthy successor to Haydn, who, then elderly, was still a revered presence in Viennese society.<sup>68</sup> In addition to inhabiting the roles of teacher and student, Haydn and Beethoven traveled in similar circles, belonged to the same social class, pursued related careers, and shared the same patrons. Count Anton Georg Apponyi was the dedicatee of Haydn's Op. 71/74 in 1793. In 1795 Apponyi requested quartets from Beethoven (they were not forthcoming). Haydn dedicated his Op. 77 Quartets, composed in 1799, to Prince Joseph Franz Maximilian Lobkowitz, the same dedicatee as Beethoven's first set of string quartets, Op. 18, published in 1801 (and the Third, Fifth, and Sixth Symphonies, the Triple Concerto, the Op. 74 String Quartet, and the song cycle *An die ferne Geliebte*, Op. 98). Finally, in 1801 Haydn was asked for some string quintets by Count Moritz von Fries. Haydn's last (unfinished) quartet, Op. 103, was dedicated to him, as was Beethoven's String Quintet, Op. 29.<sup>69</sup>

<sup>67</sup> Rosen, *The Classical Style*, 287.

<sup>68</sup> See Yudkin, "Beethoven's 'Mozart' Quartet," 69–70. In Beethoven's conversation books, Mozart is mentioned more than eighty times and invariably with admiration. Haydn appears about thirty times, often with respect and occasionally critically. See Karl-Heinz Köhler, "The Conversation Books: Aspects of a New Picture of Beethoven," in *Beethoven, Performers, and Critics: The International Beethoven Congress, Detroit, 1977*, ed. Robert Winter and Bruce Carr (Detroit: Wayne State University Press, 1980), 147–61, at 158. Both are described as "great men" in Beethoven's letters. See, for example, the letter of April, 1824 to the copyist Peter Gläser, *Briefwechsel Gesamtausgabe*, Letter No. 1814, vol. 5, 304; Anderson, ed. and trans. (*The Letters of Beethoven*, Letter No. 1275, vol. 3, 1118). It is notable that whereas Beethoven modeled several complete compositions on those of Mozart, he seems not to have done so with Haydn. However, a large number of compositional processes appear to have been learned – directly or indirectly – from Haydn. See Webster, "Traditional Elements in Beethoven's Middle-Period String Quartets," 94–133, at 96.

<sup>69</sup> See Webster, "Traditional Elements in Beethoven's Middle-Period String Quartets," 97–98.

Example 109 (a): Mozart, String Quintet in E $\flat$  Major, K. 614, last movement, mm. 1–4

**Allegro**

Vln 1 *p* *sf* *p*

Vln 2 *p* *sf* *p*

Vla 1 *p* *sf* *p*

Vla 2 *p* *sf*

Vc *sf* *p*

Example 109 (b): Haydn, String Quartet in E $\flat$  Major, Op. 64 No. 6, last movement, mm. 1–4

**Presto**

Vln 1 *p* *sf* *p*

Vln 2 *p* *sf* *p*

Vla *p* *sf* *p*

Vc *p* *sf* *p*

Example 109 (c): Mozart, String Quintet in E $\flat$  Major, K. 614, last movement, coda,  
mm. 312–15

**[Allegro]**

Vln 1 *p* *mf* *p*

Vln 2 *p* *mf*

Vla 1 *p* *mf*

Vla 2 *p* *mf*

Vc *p* *mf*

The ways in which the work of predecessors affects successors has been effectively described by Harold Bloom.<sup>70</sup> Successors must fight the “strength” of predecessors, “swerve” from them,<sup>71</sup> or fully integrate their work into their own sense of selves in order to create. And the concept was elaborated by the literary critic Mikhail Bakhtin:

One’s own discourse and one’s own voice, although born of another and dynamically stimulated by another, will sooner or later begin to liberate themselves from the authority of the other’s discourse.<sup>72</sup>

This theory was put forward by Alan Walker with regard to composers:

History is full of composers who successfully developed by swallowing the artistic character-traits of other composers and digesting them into a satisfactory synthesis. On the other hand, there are also other composers, weaker personalities to be sure, who identify so compulsively with others ... they lose their real identity and become a mere extension of their more powerful models.<sup>73</sup>

<sup>70</sup> See Harold Bloom, *The Anxiety of Influence: A Theory of Poetry* (New York: Oxford University Press, 1973); and Harold Bloom, *A Map of Misreading* (New York: Oxford University Press, 1975). See also W. J. Bate, *The Burden of the Past and the English Poet* (Cambridge, Massachusetts: Harvard University Press, 1970); Bonds, *Wordless Rhetoric*; Bonds, “The Sincerest Form of Flattery?,” 365–409; and Yudkin, “Beethoven’s ‘Mozart’ Quartet.” Christopher Reynolds, *Motives for Allusion: Context and Content in Nineteenth-Century Music* (Cambridge, Massachusetts: Harvard University Press, 2003), provides a sophisticated view of the “richly expressive powers of musical allusion.” (p. xii.)

<sup>71</sup> Tomaschek reported (many years after Beethoven’s death) that Beethoven had once told an enquirer that he “doesn’t like to listen to the music of others since he doesn’t want to jeopardize his originality.” Wenzel Johann Tomaschek, “Autobiography,” *Libussa 4 (Jahrbuch für 1845)*, 374–75, quoted in Carl Dahlhaus, “La Malinconia,” in *Ludwig van Beethoven*, ed. Ludwig Finscher (Darmstadt: Wissenschaftliche Buchgesellschaft, 1983), 200–11.

<sup>72</sup> M. M. Bakhtin, *The Dialogic Imagination: Four Essays* (from *Voprosy literaturny i estetiky* [*Questions of Literature and Aesthetics*, 1975], trans. Caryl Emerson and Michael Holmquist, ed. Michael Holmquist (Austin, Texas: University of Texas Press, 1981), 348.

<sup>73</sup> Walker, *An Anatomy of Musical Criticism*, 90. Walker also suggested that identification is also the secret of a listener’s appreciation of a work. “It is one of his symptoms of identification that, whenever he hears the work in question, it is as if he himself were creating it.” (Ibid.) See also Geza Révész, *Introduction to the Psychology of Music* (1946; trans. G. I. C. de Courcy 1954; Mineola, New York: Dover, 2001), 134: “The musical person ... experiences the art work so inwardly and so profoundly that he feels as though he were creating it.” Sam Shepard’s play *The Tooth of Crime* depicts the de-throning of an aging rock musician by a younger upstart who imitates his style.



Lewis Lockwood has identified three stages of Beethoven's engagement with the music of Mozart: imitation, appropriation, and assimilation.<sup>74</sup> Edward Said also pointed out that it is at the beginning that a work differentiates itself from other works: "A beginning immediately establishes relationships with works already existing, relationships of either continuity or antagonism or some mixture of both."<sup>75</sup> More complexly, Paul Valéry wrote, in an essay about Mallarmé, to whose influence he was indebted, that derived activity is essential to intellectual production of all types:

Whether in science or the arts, if we look for the source of an achievement we can observe that *what a man does* either repeats or refutes *what someone else has done* – repeats it in other tones, refines or amplifies or simplifies it, loads or overloads it with meaning; or else rebuts, overturns, destroys, and denies it, but thereby assumes it and has invisibly used it. ... [T]here is nothing in the critical field that should be of greater philosophical interest or prove more rewarding to analysis than the progressive modification of one mind by the work of another.<sup>76</sup>

Beethoven was clearly aware that the icons of artistic achievement for him and for his contemporaries were Haydn and Mozart. He had been sent to Vienna to receive "Mozart's spirit from Haydn's hands"; he looked constantly at the works of these masters for inspiration; and his contemporaries compared him throughout his life to these two composers. Contemporary reviews of Beethoven's works repeatedly refer to Haydn, Mozart, and Beethoven in the same sentence. Comparisons were mixed. On the one hand, "Since the death of Mozart ... I have never found this kind of pleasure anywhere to the degree provided to me in Beethoven."<sup>77</sup> On the other, "Cherubini and Beethoven follow [Mozart] in similar ways ... for Beethoven, excesses of bombast and exhaustion to the point

<sup>74</sup> See Lewis Lockwood, "Beethoven before 1800: The Mozart Legacy," in *Beethoven Forum* 3, ed. Glenn Stanley (1994), 39–52, at 49.

<sup>75</sup> Said, *Beginnings*, 3. Said draws attention to Coleridge's poem "To William Wordsworth," in which Coleridge imitates Wordsworth (especially his poem *The Prelude*, which is addressed to Coleridge), praises him, and deprecates himself. The difference between quotation and parody was discussed in Harry Goldschmidt, "Zitat oder Parodie?," *Beiträge zur Musikwissenschaft* 12 (1970), 171–98, though the clarity and objectivity by which one can make such a distinction is challenged in Lars Elleström, *Divine Madness: On Interpreting Literature, Music, and the Visual Arts Ironically* (Lewisburg, Pennsylvania: Bucknell University Press, 2002), especially p. 158.

<sup>76</sup> Paul Valéry, "Letter about Mallarmé," in *Leonardo, Poe, Mallarmé*, trans. Malcolm Cowley and James R. Lawler (Princeton, New Jersey: Princeton University Press, 1972), 240–53, at 241. Quoted in Said, *Beginnings*, 15. I have reversed the order of the sentences.

<sup>77</sup> "The Most Famous Female and Male Keyboard Players in Vienna, Vienna, the 22nd of April, 1799," *Allgemeine musikalische Zeitung* 1 (May 15, 1799), 523–25, trans. in *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 28.

of disgust.”<sup>78</sup> By 1802 Beethoven was able to compare himself with Haydn and Mozart, at least with regard to a particular compositional skill. In July of 1802 he wrote to his publisher Breitkopf & Härtel in Leipzig:

I firmly maintain that only *Mozart* could arrange for other instruments the works he composed for the pianoforte; and *Haydn* could do this too. And without wishing to force my company on these two great men, I make the same statement about *my own pianoforte sonatas also*.<sup>79</sup>

Still in 1806 reviewers found that *Fidelio* “failed to achieve that happy, striking, irresistible expression of passion that grips us so irresistibly in Mozart’s and Cherubini’s works” and that *Christus am Ölberge* was “far removed from that sublimity that is indispensable to this genre and that predominates even in Haydn’s oratorio.”<sup>80</sup> By 1808 engravings of Haydn, Mozart, and Beethoven had appeared (in that order) in the respected musical journal *Allgemeine musikalische Zeitung*, and by 1813 E. T. A. Hoffmann could write: “[Beethoven] deserves to be placed on a level with Haydn and Mozart since he separates what is merely himself from the innermost kingdom of notes and rules over it as an absolute lord.”<sup>81</sup> And in an echo an anonymous reviewer wrote in 1815:

That the symphony, this most magnificent development of the self-begetting and self-forming genius of musical art, has been raised to a peak by J. Haydn, Mozart, and Beethoven, is certainly as much beyond doubt as the fact that the last-named artist now rules preeminently among the living as lord and master of this realm.<sup>82</sup>

<sup>78</sup> “On the Purposeful Use of the Elements of Music,” *Allgemeine musikalische Zeitung* 8 (December 25, 1805), 198–99, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 37.

<sup>79</sup> *Briefwechsel Gesamtausgabe*, Letter No. 97, vol. 1, 116; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 59, vol. 1, 75 (italics represent Beethoven’s own underlinings).

<sup>80</sup> See review in *Der Freymüthige* 4 (January 14, 1806) and “A Letter from Vienna to the Editor, 20 January 1806,” *Berlinische musikalische Zeitung* 2 (1806), 42–43, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 2, 176 and 177.

<sup>81</sup> See [Ernst Theodor Amadeus Hoffmann], review, *Allgemeine musikalische Zeitung* 15 (March 3, 1813), 141–54, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 2, 95–112, at 97.

<sup>82</sup> See K. B., “Miscellaneous,” *Allgemeine musikalische Zeitung* 17 (October 11, 1815), 693–94, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 2, 145–46.

By 1826, in a review of a performance of Beethoven's String Quartet, Op. 18 No. 1, the author wrote that Beethoven "showed himself worthy of his forerunners" and that the performance displayed "Haydn's humor, Mozart's soul, and Beethoven's sublime genius."<sup>83</sup>

Pursuing the thread of emulation, homage, and competition from Mozart (K. 465) imitating Haydn (Op. 33 No. 3) into a further generation, we see that Beethoven's Op. 59 No. 3, like both the Haydn and Mozart works in C Major, also starts with a slow introduction – a beginning that (like Mozart's K. 465) also inhabits the minor world, also is cast in 3/4 meter, also leads to a lively 4/4 Allegro, and also includes a descending chromatic bass. Mozart's "dissonances" are echoed in Beethoven's diminished sevenths. The opening chords of both movements are not on the tonic. Beethoven even borrowed ideas from Mozart's ensuing Allegro: connections can be traced both in the first key area and in the second.<sup>84</sup> Beethoven picks up his C minor in the transitional coda of the Minuet, which also acts as another introduction, in this case to the last movement. Mozart brings back his C minor in the Trio of his Minuet. Typically, however, Beethoven goes further in his later harmonic references to this slow introduction. The well-known exotic barcarolle of the slow movement, with its "Eastern" melody and augmented seconds over a pizzicato drone bass, reprises the keys (A minor, C, E $\flat$ , and F minor) that are touched upon in the introduction.<sup>85</sup> In fact the idea of looking back through Mozart to Haydn, evinced in his Op. 18 quartets, seems to have occurred to Beethoven again as he started work on his "Rasumovsky" Quartets in 1805. The beginning of the first quartet of the set, Op. 59 No. 1, with its ambiguously voiced, thin-textured chords, reiterated eighth-note pulse, and 4/4 meter, also echoes the beginning of Haydn's Op. 33 No. 3. Similarly the Trio of Op. 59 No. 2 ("Maggiore") and the Trio ("Alternativo") of Haydn's Op. 76 No. 6, with their quasi double fugues, share the same insouciant joy in contrapuntal manipulation.<sup>86</sup>

Beethoven began his career very early using the device of Beginning as Emulation. The first of his set of three Piano Quartets, WoO 36 No. 1, in E $\flat$ , is

<sup>83</sup> See J. P. S., "News: Berlin, 16 November 1826: Quartet Music," *Berliner allgemeine musikalische Zeitung* 3 (November 22, 1826), 382, trans. in *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 156.

<sup>84</sup> See Webster, "Traditional Elements in Beethoven's Middle-Period String Quartets," 103–04; Kerman, *The Beethoven Quartets*, 134–36; and Ludwig Finscher, "Beethovens Streichquartett Opus 59, 3: Versuch einer Interpretation," in *Zur musikalischen Analyse*, ed. Gerhard Schumacher (Darmstadt: Wissenschaftliche Buchhandlung, 1974), 122–60.

<sup>85</sup> See Kerman, *The Beethoven Quartets*, 150. See also Ratner, *The Beethoven String Quartets*, 157–59.

<sup>86</sup> See Webster, "Traditional Elements in Beethoven's Middle-Period String Quartets," 120; and Warren Kirkendale, *Fuge und Fugato in der Kammermusik des Rokoko und der Klassik* (Tutzing: Schneider, 1966), 273–75.

plainly modeled on Mozart's Violin Sonata, K. 379, following not only its movement plan but also the opening theme at the beginning of the first movement. And the other two quartets in the set seem to borrow from Mozart's Violin Sonatas, K. 380 and K. 296.<sup>87</sup> Several other works from his early years use Mozart as a model. The C-minor Piano Trio, Op. 1 No. 3, borrows extensively from Mozart's C-Minor Piano Concerto, K. 491, and Beethoven's famous "C-minor mood" may have been borrowed from Mozart (or Haydn).<sup>88</sup> The beginning of the Piano Sonata, Op. 2 No. 1, in F minor (see Example 110), seems to be a double tribute, both to Haydn and to Mozart. The set is dedicated to Haydn, and the key is that of Haydn's recent and striking *Andante con variazioni* (Hob. XVII: 6), while the rising opening gesture recalls the finale of Mozart's Symphony No. 40 in G minor, K. 550, and the beginning of his C-minor Piano Sonata, K. 457.

Example 110: Beethoven, Piano Sonata in F minor, Op. 2 No. 1, first movement, mm. 1–8

**Allegro**

The musical score for Example 110 consists of two systems of piano and right-hand parts. The first system (measures 1-4) begins with a piano (*p*) dynamic. The right hand starts with a quarter note G4, followed by quarter notes A4, Bb4, and C5. The left hand has a whole rest. In measure 2, the right hand has a quarter note C5, followed by quarter notes Bb4, A4, and G4. The left hand has a whole rest. In measure 3, the right hand has a quarter note G4, followed by a triplet of eighth notes (A4, Bb4, C5). The left hand has a whole rest. In measure 4, the right hand has a quarter note C5, followed by quarter notes Bb4, A4, and G4. The left hand has a whole rest. The second system (measures 5-8) begins with a mezzo-forte (*sf*) dynamic. The right hand starts with a quarter note G4, followed by quarter notes A4, Bb4, and C5. The left hand has a whole rest. In measure 6, the right hand has a quarter note C5, followed by a triplet of eighth notes (A4, Bb4, C5). The left hand has a whole rest. In measure 7, the right hand has a quarter note G4, followed by quarter notes A4, Bb4, and C5. The left hand has a whole rest. In measure 8, the right hand has a quarter note C5, followed by quarter notes Bb4, A4, and G4. The left hand has a whole rest. The score ends with a double bar line.

K. 457, Mozart's only sonata in C minor, may also be heard behind Beethoven's "Pathétique" Piano Sonata, Op. 13, also in C minor. The first episode of the slow movement of Mozart's sonata seems to have served as a model for the beginning

<sup>87</sup> See Solomon, *Beethoven*, 66; and Lockwood, "Beethoven before 1800," 39–52, at 47–49. Lockwood points out that Beethoven's employer in Bonn, the Elector Max Franz, was a Mozart enthusiast, so much so that he attempted to appoint Mozart as Kapellmeister to his court in 1785, and that the Electoral library in Bonn contained many works by Mozart.

<sup>88</sup> See Michael C. Tusa, "Beethoven's 'C-Minor Mood': Some Thoughts on the Structural Implications of Key Choice," in *Beethoven Forum* 2, ed. Christopher Reynolds and Lewis Lockwood (1993), 1–27. See also Waldoff, "Does Haydn Have a 'C-Minor Mood'?", 158–86; and James R. Currie, *Music and the Politics of Negation* (Bloomington, Indiana: Indiana University Press, 2012), 61–63 and n. 48.

theme of the slow movement of the “Pathétique.” In fact the overall layout of the two works is similar. Beethoven’s Clarinet Trio in B $\flat$ , Op. 11, has Mozart’s Trio in E $\flat$  for Clarinet, Viola, and Piano, K. 498 (the “Kegelstatt” Trio), in mind. And his Quintet for Piano and Winds, Op. 16, in E $\flat$  is an emulation of Mozart’s Quintet for Piano and Winds, K. 452, also in E $\flat$ , though its last movement is modeled on Mozart’s Piano Concerto in the same key: K. 482.<sup>89</sup>

Beethoven’s early String Trio in E $\flat$ , Op. 3 (1796), is overtly (one might say shamelessly, but there is evidence that Beethoven tried to cover his tracks, which may have been motivated by shame) modeled on Mozart’s Divertimento in E $\flat$ , K. 563. Beethoven must have begun his work on the Trio with a close study of Mozart’s composition and its movement plan. The resemblance is partly disguised by the titles. Mozart’s divertimentos (labeled as serenade, *Nachtmusik*, cassation, etc.) were usually for winds or for strings in four parts. This is his only work for string trio. Beethoven’s Op. 3 is a divertimento in all but name. Mozart’s Divertimento encloses two slow movements and two minuets. So does Beethoven’s. Mozart’s first slow movement is an Adagio in 3/4 in the subdominant A $\flat$ ; the second is a variation movement, Andante, in 2/4 and B $\flat$ , with the penultimate variation in B $\flat$  minor and a return to the “maggiore” for the last variation. Beethoven’s slow movements deliberately reverse this pattern. His first slow movement is an Andante in B $\flat$  in 3/8 meter, beginning with a two-reprise theme, as though a theme with variations; his second is an Adagio in 3/4 and in A $\flat$  – an almost precise reversal of Mozart’s scheme. Mozart’s first minuet is an Allegretto in the tonic; his second is also an Allegretto in the tonic, but this second minuet has two trios, the first in A $\flat$ , the second in B $\flat$  (echoing the keys of the slow movements), and a coda. Beethoven’s first minuet is in the tonic, but it also has a coda. His second minuet has only one trio, but it is in C minor, the relative minor of the tonic, perhaps a reflection of Mozart’s use of the minor mode in his variation movement. Both opening movements are substantial sonata forms in 4/4. Mozart’s last movement is a catchy 6/8 rondo; Beethoven’s is a sonata form with a catchy tune in 2/4, the simple-meter parallel of 6/8. As if to underline the parallel, Beethoven’s development section is almost entirely devoted to triplets.<sup>90</sup> (See Table 4.)

<sup>89</sup> See William Kinderman, “A Tale of Two Quintets: Mozart’s K. 452 and Beethoven’s Opus 16,” in *Variations on the Canon: Essays on Music from Bach to Boulez in Honor of Charles Rosen on His Eightieth Birthday*, ed. Robert Curry, David Gable, and Robert Marshall (Rochester: University of Rochester Press, 2008), 55–77. See also Roberta Zajkowski, “The Piano and Wind Quintets of Mozart and Beethoven: Reception and Relationship” (DMA document, The Ohio State University, 2010).

<sup>90</sup> Elaine Sisman suggests that the finale borrows from the last movement of Haydn’s String Quartet, Op. 20 No. 1. See Elaine Sisman, “The Spirit of Mozart from Haydn’s Hands: Beethoven’s Musical Inheritance,” in *The Cambridge Companion to Beethoven*, ed. Glenn Stanley (Cambridge, UK: Cambridge University Press, 2000), 45–63, at 52–54.

Table 4: Comparison of Movement Names, Tempos, Keys, Meters, and Forms in Mozart's Divertimento in E $\flat$  Major, K. 563, and Beethoven's String Trio in E $\flat$  Major, Op. 3

Mvt.	Mozart, Divertimento in E $\flat$ , K. 563				Beethoven, String Trio in E $\flat$ , Op. 3		
I	Allegro	E $\flat$	4/4	Sonata form	Allegro con brio	E $\flat$	4/4 Sonata form
II	Adagio	A $\flat$	3/4	Sonata form	Andante	B $\flat$	3/8 Sonata form
III	Menuetto: Allegretto	E $\flat$	3/4	Ternary	Menuetto: Allegretto	E $\flat$	3/4 Ternary (with coda)
IV	Andante	B $\flat$	2/4	Variations	Adagio	A $\flat$	3/4 Sonata form
V	Allegretto	E $\flat$	3/4	Ternary (with coda) (Trio No. 1 in A $\flat$ , Trio No. 2 in B $\flat$ , coda)	Menuetto: Moderato	E $\flat$	3/4 (Trio in C minor)
VI	Allegro	E $\flat$	6/8	Sonata-rondo	Finale: Allegro	E $\flat$	2/4 Rondo

Beethoven's so-called "second" Piano Concerto, Op. 19 in B $\flat$ , was actually the first one he conceived, possibly soon after his arrival in Vienna. It is perhaps natural that, in contemplating this work, he relied on a model presented to him by Mozart, who was the undisputed master of the piano concerto and who had died less than a year earlier in the same city.<sup>91</sup> Beethoven's Op. 19 (see Example 111a) takes as its key B $\flat$  Major, the same key as Mozart's last piano concerto, K. 595 (see Example 111b); it uses the same orchestration: winds with no clarinets and only one flute; and it uses exactly the same rhetoric in its opening page: a dotted staccato descending wind arpeggio, *forte*, set against a smooth lyrical string phrase. The only principal difference is that Beethoven has reversed the sequence of the gestures, starting, perhaps characteristically, with the stronger, louder phrase.<sup>92</sup> (He has also ignored Mozart's Beginning before the Beginning: one measure of murmuring accompaniment in the strings before the entry of the violin melody. Perhaps he was not yet ready to take advantage of this sophisticated device in his first essay in such a prominent genre.)

<sup>91</sup> Beethoven finished the concerto in 1795, though he had begun work on it already in the late 1780s. See B. Cooper, *Beethoven*, 49; and Lockwood, *Beethoven: The Music and the Life*, 144. The "Eroica" Sketchbook ("Landsberg 6") contains an outline of the theme of the finale of Mozart's K. 595. See Rachel Wade, "Beethoven's Eroica Sketchbook," *Fontes Artis Musicae* 24 (1977), 254–89, at 272.

<sup>92</sup> Other differences include the length and symmetry of the contrasting gestures (Mozart: 1+4+1+3+1+3; Beethoven: 2+2+2+2) and Beethoven's reinforcing of the winds with the strings, thus lessening the timbral contrast while increasing the dynamic one (and, concomitantly, the strength of the opening). These few measures of comparison are revealing indicators of the difference between seasoned sophistication and eager but youthful emulation.

Example 111 (a): Beethoven, Second Piano Concerto in B $\flat$  Major, Op. 19,  
first movement, mm. 1–8

**Allegro con brio**

The score is arranged in two systems. The first system contains measures 1 through 4, and the second system contains measures 5 through 8. The instruments are listed on the left of each staff: Fl, 2 Ob, 2 Bn, 2 Hn in B $\flat$ , Vln 1, Vln 2, Vla, and Vc & Cb. The tempo is marked **Allegro con brio**. The key signature is two flats (B $\flat$  major), and the time signature is 3/4. Dynamics are indicated by *f* (fortissimo) and *p* (piano). The score shows a dynamic shift from *f* to *p* between measures 4 and 5. The woodwinds and strings play a rhythmic accompaniment, while the flutes and violins have melodic lines. The second system begins with a measure rest in the flute part, indicating it is not playing in measure 5.

Example 111 (b): Mozart, Piano Concerto in B $\flat$  Major, K. 595, first movement,  
mm. 1–10

**Allegro**

Fl, 2 Ob,  
2 Bn, 2 Hn

Vln 1

Vln 2

Va

Vc & Cb

5

*p*

*f*

*f*

*f*

*f*

*p*

*p*

*p*

*p*

While working on his Op. 18 set of string quartets, Beethoven copied out portions of Mozart's String Quartet, K. 464, in A and the entirety of his String Quartet, K. 387, in G.<sup>93</sup> The reliance of Beethoven's Op. 18 No. 5 String Quartet in

<sup>93</sup> See Richard Kramer, "Ambiguities in *La Malinconia*: What the Sketches Say," in *Beethoven Studies*, vol. 3, ed. Alan Tyson (Cambridge: Cambridge University Press, 1982), 29–47, at 30 n. 2.



A Major on Mozart's K. 464 is overt.<sup>94</sup> Beethoven imitated not just the movement concepts, key patterns, and movement order but also many other organizational details and rhetoric. And throughout his first decade in Vienna, he wrote several sets of variations that were based on (and therefore obviously began with) popular tunes from Mozart operas: the Variations on "Se vuol ballare" from *Le nozze di Figaro* for Violin and Piano, WoO 40; the Variations on "Là ci darem la mano" from *Don Giovanni* for Two Oboes and English Horn, WoO 28; the Variations on "Ein Mädchen oder Weibchen" from *Die Zauberflöte* for Cello and Piano, Op. 66; and the Variations on "Bei Männern welche Liebe fühlen" from *Die Zauberflöte* for Cello and Piano, WoO 46.

The beginning movement of Beethoven's First Symphony, Op. 21, in C Major borrows from Mozart's last symphony, K. 551, in C Major.<sup>95</sup> The slow introduction to Beethoven's Second Symphony in D Major, Op. 36, emulates that for Mozart's "Prague" Symphony, K. 504, in D Major.<sup>96</sup> Another C-minor borrowing may be seen in Beethoven's Third Piano Concerto, Op. 37 (see Example 112a). He seems to have borrowed both the idea of the beginning *piano*-and-then-*forte* opening unison theme, low in the strings, and the gripping and unusual strategy of continuing the piano part until the end of the movement from Mozart's Piano Concerto in C minor, K. 491 (see Example 112b). Both first movements begin with a rising statement 1–3 (Beethoven's next note is 5, Mozart's 6), and both feature rippling arpeggios on the piano in the last pages (Mozart almost to the final measure, Beethoven moving into a powerful four-octave descending scale just before the end). And Beethoven's admiration for and reliance upon Mozart as a model did not end with his own maturation as a composer. Alan Gosman has suggested that the conventional running scales in the sketches of the "Waldstein" Piano Sonata, Op. 53 – some of which made their way into the final version – were Beethoven's means of temporarily "silencing" Mozart's

<sup>94</sup> See Yudkin, "Beethoven's 'Mozart' Quartet."

<sup>95</sup> See Schachter, "Mozart's Last and Beethoven's First," 227–51.

<sup>96</sup> See Kamien, "The Slow Introduction of Mozart's Symphony No. 38 in D, K. 504 ('Prague')," 113–30. It is notable that these symphonies lean more on Mozart than on Haydn, for in Vienna at the turn of the century, Haydn was regarded as the indisputable master of the genre. The 1799 catalogue of the principal music dealer in Vienna, Johann Traeg, lists over 500 symphonies, nearly a quarter of which are by Haydn. See David Wyn Jones, *The Symphony in Beethoven's Vienna* (Cambridge, UK: Cambridge University Press, 2006), 15. The catalogue is available in facsimile in Alexander Weinmann, *Johann Traeg: Die Musikalienverzeichnisse von 1799 und 1804 (Handschrift und Sortiment)*, Beiträge zur Geschichte des Alt-Wiener Musikverlages, series 2, 17 (Vienna: Universal, 1973), 1–364. As we shall see, it was not until four years after the publication of the Second Symphony that Beethoven felt able to borrow ideas for his symphonies from Haydn. Jones also suggests that the influences on the First Symphony include those of other composers such as Paul Wranitzky and Franz Krommer. See Jones, *The Symphony in Beethoven's Vienna*, 160–62 and 174.

Example 112 (a): Beethoven, Third Piano Concerto in C minor, Op. 37, first movement, mm. 1–4

**Allegro con brio**

Vln 1  
Vln 2  
Vla  
Vc & Cb

Example 112 (b): Mozart, Piano Concerto in C minor, K. 491, first movement, mm. 1–4

**Allegro**

Vln 1  
Vln 2  
Vla  
Vc, Cb, Bn, Pf

voice and creating a “protected space” in which to come up with ideas for a new work.<sup>97</sup> Beethoven also copied out further passages from *Don Giovanni* and *Die Zauberflöte*,<sup>98</sup> and while working on his *Missa Solemnis* in 1819–20, he wrote out an analysis of the fugue from the Kyrie of Mozart’s Requiem.<sup>99</sup> Op. 59 No. 3 borrows from Mozart’s “Dissonant” Quartet, as we have seen. One of the movements of one of his last string quartets, Op. 132 (see Example 113a), completed

<sup>97</sup> On the genesis of this sonata see Gosman, “From Melodic Patterns to Themes,” 97–98.

<sup>98</sup> See Lockwood, “Beethoven before 1800,” 39–52, at 46.

<sup>99</sup> See Bathia Churgin, “Beethoven and Mozart’s Requiem: A New Connection,” *Journal of Musicology* 5 (1987), 457–77.

Example 113 (a): Beethoven, String Quartet in A minor, Op. 132, second movement, mm. 1–16

**Allegro ma non tanto**

**Allegro ma non tanto**

Vln 1

Vln 2

Vla

Vc

6

11

*p*

*pp*

less than two years before he died – the *Allegro ma non tanto* – is clearly based on the Mozart quartet he had copied out and borrowed from when he was in his twenties: K. 464 in A (see Example 113b).<sup>100</sup>

<sup>100</sup> See Yudkin, “Beethoven’s ‘Mozart’ Quartet,” 71–72. As late as 1826 comes this comment of Beethoven in a letter to Maximilian Stadler: “I have always counted myself among the greatest admirers of Mozart, and I shall remain so until my last breath.” *Briefwechsel Gesamtausgabe*, Letter No. 2113, vol. 6, 214–15; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1468, vol. 3, 1276–77.

Example 113 (b): Mozart, String Quartet in A Major, K. 464, second movement, mm. 1–12

Minuetto

The musical score is titled "Minuetto" and is in 3/4 time with a key signature of two sharps (F# and C#). It consists of two systems of four staves each. The first system covers measures 1 through 6, and the second system covers measures 7 through 12. The dynamics are marked as *f* (forte) and *p* (piano) throughout. The notation includes quarter notes, eighth notes, and rests, with some notes beamed together. The overall texture is light and rhythmic.

Haydn stood as a more potent source of anxiety.<sup>101</sup> He was Beethoven's teacher when the younger man arrived in Vienna, and he lived (and was universally admired) until 1809, remaining productive (in the same town) until 1802. But the gradual development of Beethoven's skills and self-esteem made possible his overcoming of this challenge also. He relied often on Haydn's example, although less often than on that of Mozart, for, among others, his Piano Trio, Op. 1 No 3,<sup>102</sup> the Sonatas, Op. 2 (which are dedicated to Haydn), the finale of the Op. 3 String Trio (where the older composer is Haydn behind Mozart), the last movement of the Piano Sonata in E $\flat$ , Op. 7, the slow movement of his Piano Sonata in D, Op. 10 No. 3, significant portions of the Op. 18 quartets (especially Op. 18

<sup>101</sup> Maynard Solomon writes that "Beethoven's difficulty with Haydn was that he learned too much from him – more than he could acknowledge." Solomon, *Beethoven*, 70.

<sup>102</sup> Douglas Johnson has suggested a relationship between Op. 1 No. 3 and Haydn's Symphony No. 95 both in their first movements and in their Andante cantabile variations in E $\flat$ . See Johnson, "1794–1795: Decisive Years in Beethoven's Early Development," 1–28.

No. 2), the first two symphonies, the opening chord progression of the overture to the *Prometheus* ballet, Op. 43, the Fourth Symphony (closely modeled on Haydn's Symphony No. 102), the Fifth Symphony (with many parallels to Haydn's "Farewell" Symphony), the "Pastoral" Symphony (responding, partly, to the nature scenes in Haydn's *Die Schöpfung* and *Die Jahreszeiten*), and the Mass in C, Op. 86, written for the grandson of Haydn's patron and for performance at the same court where Haydn had spent much of his career.<sup>103</sup> We have copies of Haydn works in Beethoven's hand: the complete String Quartet, Op. 20 No. 1, and a passage from the finale of the Symphony No. 99. Beethoven's Piano Trio, Op. 70 No. 2, emulates Haydn's Piano Trio Hob. XV: 13. Features of Beethoven's "Rasumovsky" Quartets and the String Quartet, Op. 74, may be traced to parallels in several of Haydn's quartets: Op. 33 No. 3, Op. 71 No. 3, Op. 74 No. 1, and Op. 76 No. 6.

The last movement of Beethoven's *E<sub>b</sub>* Quartet, Op. 74 (see Example 114a), is a two-reprise variation set, in *E<sub>b</sub>*, cadencing surprisingly on the major mediant G (= III or V of vi) at the end of the first reprise (eight measures) and on D (VII or V of iii) after four measures of the second reprise (which then returns to the tonic *E<sub>b</sub>* after an extension to a twelve-measure period). The scansion of the periods is deliberately strange – phrases that should start on the first beat of each measure start on the second – and the harmonic rhythm supports this strangeness. Staccato eighth notes rectify the scansion only at the end of each reprise, bringing the melodic and harmonic rhythm back into phase. Apart from the harmonic and rhythmic oddities, the main features of Beethoven's theme are its brief repetitive, detached gestures, its dotted rhythms, its offbeat scansion, and its extension in the second half. All these features – not to mention the Allegretto marking, key, and 2/4 meter, and the melodic contour of the first half of the theme – are shared with the beginning of Haydn's Op. 76 No. 6 (see Example 114b). James Webster elegantly describes these two variation sets as "masterly movements which glory in their consummate modesty."<sup>104</sup> But Beethoven is never content to create a beginning that is not logically justified. The harmonic and rhythmic oddities are rationalized in the course of the movement. The staccato eighth notes form the central motive of the first variation. And the G remains as the cadential goal of the first reprise of all the variations

<sup>103</sup> See Karl Nef, "Haydn-Reminiszenzen bei Beethoven," *Sammelbände der Internationalen Musikgesellschaft* 13 (1912), 336–48; Ludwig Misch, *Die Faktoren der Einheit in der Mehrsätzigkeit der Werke Beethovens* (Munich: Henle, 1958); and Mark Ferraguto, "Beethoven's Fourth Symphony: Reception, Aesthetics, Performance History" (Ph.D. dissertation, Cornell University, 2012).

<sup>104</sup> Webster, "Traditional Elements in Beethoven's Middle-Period String Quartets," 123. See also Marston, "'Haydn's Geist aus Beethovens Händen?'," 109–31. Marston characterizes Op. 74 as a work "that engages profoundly with its heritage, invoking and confronting the mature Haydn head-on, in the substance of the final work of that composer's last completed quartet opus: an opus published, moreover, in 1799, when Beethoven was hard at work on his own first set of quartets." (p. 125.)

Example 114 (a): Beethoven, String Quartet in E $\flat$  Major, Op. 74, last movement, mm. 1–20

**Allegretto con Variazioni**

The musical score is presented in four systems, each with four staves (Violin I, Violin II, Viola, and Violoncello). The key signature is two flats (E $\flat$  major) and the time signature is 2/4. The first system (mm. 1-6) begins with a piano (*p*) dynamic and a crescendo leading to fortissimo (*f*). The second system (mm. 7-13) starts with pianissimo (*pp*) and includes a first ending bracket. The third system (mm. 14-20) features fortissimo (*f*) and fortississimo (*sf*) dynamics.

except for Variation 6, where it lies as the third at the top of the E $\flat$  chord. The unlikely D (VII) of the second reprise becomes D $\flat$  ( $\flat$ VII) for the second reprise of Variation 6. And after a furious few allegro measures climaxing in *fortissimo* at the end of the coda, the movement ends *piano*, with two soft eighth-note chords, the last of which has G (the third) on top. None of this is borrowed from Haydn.

Example 114 (b): Haydn, String Quartet in E $\flat$  Major, Op. 76 No. 6, first movement, mm. 1–36

Allegretto

The musical score is presented in four staves, corresponding to the Violin I, Violin II, Viola, and Cello/Double Bass parts. The key signature is E $\flat$  major (three flats) and the time signature is 2/4. The tempo is marked 'Allegretto'. The score is divided into three systems of six measures each. Measure numbers 1, 7, and 13 are indicated at the beginning of their respective systems. Dynamic markings of *f* (forte) and *p* (piano) are placed below the notes in various measures. The first system (measures 1-6) shows a rhythmic pattern of eighth and sixteenth notes with alternating dynamics. The second system (measures 7-12) includes a repeat sign and a double bar line, with dynamics alternating between *f* and *p*. The third system (measures 13-18) continues the rhythmic pattern with dynamics of *p* and *f*.

Beethoven experienced the influence of his two forebears in different ways. Lewis Lockwood writes, “My sense is that the Haydn legacy is strong and palpable in certain works and genres but that it does not constitute an enduring issue of life purpose and career, from early to late, on the scale that is posed for Beethoven by the Mozart legacy.”<sup>105</sup>

<sup>105</sup> Lockwood, “Beethoven before 1800,” 51.

## Example 114 (b): (continued)

The musical score is presented in three systems, each with four staves. The key signature is two flats (B-flat and E-flat), and the time signature is 4/4. The first system (measures 20-25) features a melodic line in the upper staves with a trill (tr) in measure 21 and dynamic markings of *f* and *p*. The lower staves provide harmonic support with chords and bass lines. The second system (measures 26-30) continues the melodic development with slurs and ties. The third system (measures 31-37) concludes the passage with a final cadence, indicated by double bar lines and repeat dots.

Emulation involves a reference to another work. Those who might be expected to recognize it are the emulating composer himself, the composer being emulated (if she or he is still alive), some knowledgeable listeners, and perhaps some other experts, depending upon how hidden the reference is and how knowledgeable the experts. But some references might be noted only by the performers themselves. László Somfai has shown that the opening of Haydn's String Quartet,



Op. 76 No. 3, encodes a reference to the *Kaiserlied* that is the basis of the Poco Adagio variation movement that gives the quartet its name (“Emperor”).<sup>106</sup> The first movement beginning is a presentation of a kind of motto, G–E–F–D–C, whose unusual musical formulation and constant reappearance draw attention to the verbal parallel to the notes – **Gott Erhalte Franz den Caesar** (the last word substituting for the non-settable “Kaiser”). In fact Somfai suggests that the whole quartet is a deliberately patriotic work, a kind of chamber-music parallel to the *Missa in tempore belli*. But the encoding of a verbal formula into notes as the beginning of a composition is an unusual gesture, even though we know that Beethoven played with the well-known B–A–C–H motive both seriously and humorously, as can be seen in his sketches for an overture based on this motto; in his writing the motto on a letter to a lawyer who shared Johann Sebastian’s last name; and in his using the motto as the basis for one of his canons (WoO 191).<sup>107</sup>

#### BEGINNING AS OBEISANCE

Deference to his patron caused Beethoven to include Russian themes in the String Quartets, Op. 59 Nos. 1–3, commissioned by Count Andrey Razumovsky, Russian ambassador to the imperial court, who supported a “house” string quartet at his palace in Vienna. Haydn’s Op. 50 set of string quartets was dedicated to the King of Prussia, Friedrich Wilhelm II (ruled 1786–97), who was the nephew of Frederick the Great and a serious supporter of the arts. He also was a talented amateur cellist. The beginning of the first movement of the first quartet of the set, Op. 50 No. 1, in B $\flat$  (see Example 115) opens with a tug of the forelock to the king: two measures of cello solo.<sup>108</sup> However, the solo does not place great

<sup>106</sup> See László Somfai, “‘Learned Style’ in Two Late String Quartet Movements of Haydn,” *Studia Musicologica Academiae Scientiarum Hungaricae* 28 (1986), 325–49, at 326–36. The movement is in G, the dominant of the first movement, a choice that, as Dean Sutcliffe points out, Haydn reserved for special occasions. See Sutcliffe, *Haydn String Quartets*, Op. 50, 63.

<sup>107</sup> See Peter McCallum, “The Process within the Product: Exploratory Transitional Passages in Beethoven’s Late Quartet Sketches,” in *Genetic Criticism and the Creative Process: Essays from Music, Literature, and Theater*, ed. William Kinderman and Joseph E. Jones (Rochester, New York: University of Rochester Press, 2009), 123–50, at 128–33. For Beethoven’s letters of August, 1824 to Johann Baptist Bach and of September, 1825 to Friedrich Kuhlau, see *Briefwechsel Gesamtausgabe*, Letter No. 1855, vol. 5, 343 and Letter No. 2051, vol. 6, 156; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1302, vol. 3, 1134 and Letter No. 1427, vol. 3, 1245. The composer Friedrich Kuhlau visited Beethoven in 1825 and improvised a canon on B–A–C–H. Beethoven responded the next day with a canon of his own on the same notes, setting the words “Kühl, nicht lau” (“Cool, not warm”), WoO 191, referring to the champagne they had shared the night before.

<sup>108</sup> Grave and Grave (*The String Quartets of Joseph Haydn*, 223) argue that Haydn did not have the king in mind when he wrote the cello parts for Op. 50, because “composition of the set was evidently underway prior to any specific plans for the dedication.” However, Haydn wrote to his publisher in February of 1787 that the first quartet was

Example 115: Haydn, String Quartet in B $\flat$  Major, Op. 50 No. 1, first movement, mm. 1–4

**Allegro**

The musical score shows four staves: Vln 1 (Violin 1), Vln 2 (Violin 2), Vla (Viola), and Vc (Cello). The key signature is B $\flat$  major and the time signature is common time. The Cello part (Vc) plays a steady eighth-note pattern on the tonic (B $\flat$ ) from the beginning, marked *p*. The Violin 1 part (Vln 1) enters in measure 3 with a melodic line marked *dolce*. The Violin 2 part (Vln 2) enters in measure 3 with a sustained note marked *p*. The Viola part (Vla) enters in measure 3 with a melodic line marked *p*.

demands on the royal bowing hand (or the fingering hand, for that matter): it is a string of eight B $\flat$  quarter notes, followed (after the other instruments enter) by thirteen more.<sup>109</sup> This is a rather unusual beginning, therefore: not just an establishment of a tonic pedal for the first iteration of the main theme but also an acknowledgment of a princely patron. When the other instruments enter, however, the B $\flat$  becomes the seventh of a diminished-seventh chord, a moment that the king was very unlikely to anticipate. The beginning is thus transformed – from convention to surprise and from a focus on the king to a focus on the composer, whose mastery and inventiveness had captivated the king earlier the same year.<sup>110</sup> Thus the beginning blends an act of obeisance with a statement of self-regard.<sup>111</sup>

In contrast to Haydn, Mozart has the cello silent in the first eight measures of his first quartet, K. 575, of the three (K. 575, K. 589, and K. 590) that he dedicated (though only privately) to the Prussian king.<sup>112</sup> However, when it does enter, it also plays repeated quarter notes on the tonic (seventeen in a row). Only in measure 23 does the cello begin to have a prominent melodic role. Mozart's

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almost ready, and in the same month there was correspondence with a Prussian official regarding the dedication. See Rosen, *The Classical Style*, 124; Grave and Grave, *The String Quartets of Joseph Haydn*, 222–23; and Sutcliffe, *Haydn String Quartets*, Op. 50, 66.

<sup>109</sup> See Rosen, *The Classical Style*, 123.

<sup>110</sup> See Sutcliffe, *Haydn String Quartets*, Op. 50, 28–31.

<sup>111</sup> Janet Levy has pointed out the resemblance of the beginning of this quartet to the ending of Haydn's Symphony, No. 89. See Levy, "Gesture, Form, and Syntax in Haydn's Music," 355.

<sup>112</sup> See Alan Tyson, "New Light on Mozart's 'Prussian' Quartets," *The Musical Times* 116 (1975), 126–30. The dedication is confirmed in Mozart's *Verzeichnüss aller meiner Werke*, but when the quartets were published, the dedication was absent.

"Prussian" Quartets were composed two years after Haydn's Op. 50 set. Is Mozart commenting on Haydn's comment? The second quartet of the set also has the king wait five measures before his entrance (this time to restate the first violin's opening theme).

#### BEGINNING AS CONTEMPLATION

There are, in Beethoven's late music, beginning passages preceding a movement (usually a last movement) that appear to depict the composer thinking about what to do next. An improvisatory quality hovers over these beginnings, suggesting that the composer is contemplating his options before settling on a solution. Peter McCallum notes that such a passage occurs at the beginning of the last movement of the Ninth Symphony.<sup>113</sup> This famous beginning, however, is different from the others, in that Beethoven is here, among other things, reviewing past beginnings, as representative of past solutions, in order to reject them. In the Piano Sonata, Op. 101, however, what sounds like a slow movement, *Adagio ma non troppo, con affetto*, comes in third position. But after only eighteen measures there is a sudden shift to E Major and an improvisatory flourish, which leads into a Nostalgia Return of the beginning of the first movement. This peters out before a determined ("mit Entschlossenheit") *presto* passage, building up strength with trills, leads into the finale. The cumulative effect of all this is to give a sense of the composer casting about for a solution to the problem of the finale. A similar situation obtains with the Cello Sonata, Op. 102 No. 1. The second movement begins with a nine-measure chromatic *Adagio*, filled with elaborate roudades both on piano and cello, which leads into a modified Nostalgia Return of the gentle 6/8 *Andante* that began the sonata. This also becomes elaborate and cadences, after only seven measures, on C, and a definite gesture (*allegro vivace*) in the piano is answered by the cello. But a fermata stops the action. This brief exchange is repeated (cello first this time). Again a fermata. Only now does the movement (*Allegro vivace*) get underway without hesitation in C Major. This Beginning as Contemplation also depicts the composer trying out various possibilities or, as McCallum puts it, "fancifully staging the creator reviewing his options,"<sup>114</sup> before laying out his fully realized last movement.

The massive last movement of the "Hammerklavier" Sonata, Op. 106, is also preceded by a contemplative, improvisatory *Largo*, first in F, then in G $\flat$ , then in B, of only a few measures. An *Allegro* fugato ensues but is interrupted after only five measures by a return to the figures and feel of the *Largo*. A pounding alternating-hand passage accelerates to *prestissimo*, slows, dissolves into trills, and then embarks upon the first powerful fugue of the finale. Twenty measures before the end of the movement, three measures of *poco adagio* recall the feeling but

<sup>113</sup> See McCallum, "The Process within the Product," 123.

<sup>114</sup> *Ibid.*

not the content of the contemplation. Similarly, between the fourth-movement march and the last-movement rondo of the String Quartet, Op. 132, there intervenes a violin recitative, first over tremolos in the lower strings, then, like a recitative *accompagnato*, punctuated by chords, and then alone, changing tempo from *più allegro* to *ritard.*, to *in tempo*, to *ritard.*, to *accel.*, *immer gewschwinder*, presto, and then poco adagio before launching into the finale. A great deal of contemplation is embodied in this beginning.

In his sketches Beethoven wrestled with similar passages before the final movements of all five of his late quartets, ultimately establishing a new technique for pushing rhetorical weight onto the last movements, an aim he had been pursuing since his earliest maturity.<sup>115</sup> In the case of Op. 127, the transition is created by the added coda to the Scherzando vivace and the Beginning before the Beginning of the finale, and in the case of Op. 130, by the “Overtura” or Beginning as Table of Contents that opens the *Grosse Fuge*.<sup>116</sup> (This effect is lost when the alternate finale is played.) The transition was discarded for Op. 131, but the sense of questioning and of contemplation is represented by the multiple passages (ten, in all) within the last movement itself that ask for *poco ritenuto* or *ritardando* on long notes and the six measures of poco adagio before the climactic ending in twelve-voiced major chords.<sup>117</sup> Op. 135 turns the idea of questioning into a literal question, made verbally explicit on the score: “Muss es sein?” In this Grave beginning, the aggression of the question is gradually tamed to bare C octaves, adagio and *pianissimo*, and the Allegro finale gives the breezy answer. At the end of the development, the Grave returns, more aggressive still, with tremolos and augmented chords (extremely rare for this time), ultimately to combine question and answer. Only once more does the contemplating music return: at the beginning of the coda, before the music-box or xylophone plink of the pizzicato passage that precedes the forceful *arco* ending, but this time the answer motive is played with fermatas and with curious, thinly-voiced dissonant harmonies. The answer, here, is made questioning.

<sup>115</sup> *Ibid.*, 124.

<sup>116</sup> See Barry, “Recycling the End of the ‘Leibquartett’,” 355–76. See also Richard Kramer, “Between Cavatina and Overture: Opus 130 and the Voices of Narrative,” in *Beethoven Forum* 1, ed. Lewis Lockwood and James Webster (1992), 164–89.

<sup>117</sup> William Kinderman drew attention to the parallels between Beethoven’s Piano Sonata in C# minor and this quartet in the same key. Both start with slow movements, whose thematic material is transformed into decisive action in fast finales. See Kinderman, “Beethoven’s Last Quartets,” 309–10. Kerman called this “the retrieval of the fugue into the finale.” See Joseph Kerman, “Opus 131 and the Uncanny,” in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana-Champaign, Illinois: University of Illinois Press, 2006), 262–78, at 275.



## CHAPTER SIX

# Beginning as Public Statement

### BEGINNING AN OPUS

**I**N a book of essays on the importance of order in poetry collections, *Poems in Their Place: The Intertextuality and Order of Poetic Collections*, the editor, Neil Fraistat, points out how little attention readers pay to the order and presentation of items in a book. “The decisions poets make about the presentation of their works,” he writes, “play a meaningful role in the poetic process, and hence ought to figure in the reading process.”<sup>1</sup> The fact that Beethoven placed the F-Major quartet first in the set of six that was published as his Op. 18, despite the fact that it was the second one he composed, exemplifies another kind of beginning: the Beginning as Public Statement. There are many “sets” of works published as groups in Beethoven’s oeuvre, and in this he was following a tradition of eighteenth-century and early nineteenth-century publishing practice. Almost all of Haydn’s quartets were published in groups of six (some intended as groups of six, but published in subsets of three),<sup>2</sup> as were Mozart’s (although they are less apparent to us today with our separation of all Mozart’s works under individual Köchel numbers.)<sup>3</sup> Each set contains works with different tonic keys, and normally one in each set is in a minor key.<sup>4</sup> In his Op. 18 Beethoven was obviously emulating his forebears, but he, like they, had a choice as to the order in which they would be publicly presented. In some instances, for example in the Op. 18 set, we know that the final (published) order is different from the order in

<sup>1</sup> Neil Fraistat, *Poems in Their Place: The Intertextuality and Order of Poetic Collections* (Chapel Hill, North Carolina: University of North Carolina Press, 1986), 3.

<sup>2</sup> Almost all the quartets Haydn composed were intended as members of a set of six – including Op. 54/55 and Op. 71/74 – and both Op. 64 and Op. 76 were originally separated into two groups. Elaine Sisman has laid out the history of “work groups” and the significance of the number six in Sisman, “Six of One,” 79–107. Haydn also published three sets of six piano sonatas among his works in this genre.

<sup>3</sup> Mozart’s “Haydn” Quartets, K. 387, K. 421, K. 428, K. 458, K. 464, and K. 465, were published as a set of six (his Op. 10) in 1785, and the “Prussian” Quartets (K. 575, K. 589, and K. 590) were a set of three, composed in 1789–90, though it is possible that Mozart originally planned a set of six. See Tyson, “New Light on Mozart’s ‘Prussian’ Quartets,” 126–30; and Alan Tyson, “Mozart’s ‘Haydn’ Quartets: The Contribution of Paper Studies,” in *The String Quartets of Haydn, Mozart, and Beethoven: Studies of the Autograph Manuscripts. A Conference at Isham Memorial Library, March 15–17, 1979*, ed. Christoph Wolff and Robert Riggs (Cambridge, Massachusetts: Harvard University Press, 1980), 179–90, at 183. Other works that Mozart grouped into sets of six include the Piano Sonatas, K. 279–84, and the Violin Sonatas, K. 301–06.

<sup>4</sup> This is true for Opp. 9, 17, 33, 50, 54/55, 64, and 76. All the quartets in Opp. 1 and 2 are in major keys, and Op. 20 has two quartets in minor keys.

which the works were composed, showing that the ordering of the works was a deliberate *ex post facto* decision. The composer is making a pitch for approbation or for sales appeal, creating a Beginning as Public Statement. But even if the final order is the order in which the works were composed, this does not mean that no deliberate organization is taking place.<sup>5</sup> When a composer is contemplating a set of six works, he may well bear the arrangement of the entire opus in mind and compose accordingly, starting with the work that is designed to begin the set and creating a first movement that by virtue of its key, affect, style of presentation, tempo, and meter can stand as a Beginning as Public Statement. By means of a study of the surviving autograph scores, László Somfai showed that this was the case for many of Haydn's sets of string quartets.<sup>6</sup> And Somfai's work has been supplemented by that of Floyd Grave and Margaret Grave.<sup>7</sup>

Haydn seemed to like to begin a set with a declarative allegro in either 4/4 or *alla breve* meter. After Op. 20, he also tended to put a major-key work first. Haydn's Op. 17 set of quartets was composed in the order 2, 1, 4, 6, 3, 5 with reference to the conventional numbering,<sup>8</sup> and Op. 17 No. 2, in F Major with a 4/4 Moderato opening movement, marked by "an extremely rich rhythmic vocabulary," makes an impressive beginning.<sup>9</sup> There is evidence that the three quartets in Op. 20 with fugal finales (Nos. 5, 6, and 2) were composed in that order and were intended as an initial subgroup,<sup>10</sup> in F (minor), A, and C, outlining a triad,

<sup>5</sup> Elaine Sisman writes: "With the composer's attention fixed beyond the individual work, new opportunities for looking forward and backward, making emotional appeals, and praising beauty come to the fore, so that connections are forged not only between movements of a work, but between [sic] the works themselves." See Sisman, "Rhetorical Truth in Haydn's Chamber Music," 299. Sisman expresses this in more detail in Sisman, "Six of One," at 91, where she observes: "Works take up position within the opus, just as kinds of movements, characters, and gestures take up positions within the individual works."

<sup>6</sup> László Somfai, "An Introduction to the Study of Haydn's String Quartet Autographs," 5–51. There are more quartet autographs than autographs for other genres, and they are almost all final scores.

<sup>7</sup> Grave and Grave, *The String Quartets of Joseph Haydn*, especially 157–58 and 178.

<sup>8</sup> The order of composition is that of the autograph manuscript and Haydn's "Entwurf-Katalog." See Grave and Grave, *The String Quartets of Joseph Haydn*, 157.

<sup>9</sup> Somfai showed that Haydn liked to alternate the characters of opening movements in his sets and suggested that many of the sets show a pattern of starting strongly, becoming weaker and less inspired towards the end, and then "feeling new strength" for the last work of the set ("An Introduction to the Study of Haydn's String Quartet Autographs," 12–13). Floyd Grave and Margaret Grave feel that Op. 17 No. 2 "makes a bright splash but is otherwise not particularly well suited for the role of a starting point." Grave and Grave, *The String Quartets of Joseph Haydn*, 157–58.

<sup>10</sup> Using the traditional numbering, the correct order, represented in the "Entwurf-Katalog" and in the new edition (*Haydn: Streichquartette Heft IV, Sonnenquartette, Opus 20*, ed. Sonja Gerlach and Georg Feder [Munich: Henle, 2009]) would be 5, 6, 2, 3, 4, 1. Other sets were initially published as two groups of three: Opp. 54 and 55, Opp. 71 and 74, and Op. 76 (originally Opp. 75 and 76).

increasing in the number of *soggetti* and moving from learned, to lighthearted, to mixed styles.<sup>11</sup> The beginning of the F-minor quartet, the first in the set, is an Allegro moderato in 4/4.<sup>12</sup> Op. 33 was composed in the order in which it was first published.<sup>13</sup> The beginning of the first movement of the first quartet (No. 5) pretends that it will be in the major, as is the norm for first works of sets. But it takes ten measures for us to discover that the work is actually in the minor. Haydn wanted this pleasant deception – drawing attention both to his wit and to his skill – to be at the forefront of his “new and entirely special” opus, his first set of quartets published for his own reputation and reward.<sup>14</sup> The ordering of Op. 50 was decided during composition. Op. 50 No. 1 is in B♭, and its opening movement is an *alla breve* Allegro. Op. 54 No. 1 in G has a first movement that is a driving 4/4 Allegro con brio. (The far-reaching key spread of Op. 54/55, which includes three sharps, four sharps, and four flats, is reserved for the inner quartets of the set: Op. 54 No. 3 in E Major, Op. 55 No. 1 in A Major, and Op. 55 No. 2 in F minor). Op. 64 begins with a C-Major quartet, whose first movement is in *alla breve* meter in a march style. (Haydn did re-order some of these works after composition, but the C-Major quartet was both composed first and placed first in the set.)<sup>15</sup> The first movement of the first quartet (B♭) in Op. 71 is in 4/4, Allegro, and opens with double-stopped annunciatory chords, *fortissimo*, before moving to a singing first-violin theme. The three quartets of Op. 74 (composed in the same order as the publication) are experimental in their exploration of remote key relationships among movements. The experiment is announced in the first quartet (which is in C Major and has its Trio in A Major). The experiment gains

<sup>11</sup> See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 299–300; and Grave and Grave, *The String Quartets of Joseph Haydn*, 178.

<sup>12</sup> Although Haydn put the F-minor quartet first, publishers, beginning in 1779, preferred to start the set with the brighter and more amiable E♭ Major (“No. 1”).

<sup>13</sup> Somfai argued that the first quartet should be the one in G Major (“No. 5”), although this begins with a 2/4 Vivace assai. See Somfai, “An Introduction to the Study of Haydn’s String Quartet Autographs,” 12, 35. The first movement of “No. 1” is an Allegro moderato in 4/4, which must be weighed in its favor as a starting work.

<sup>14</sup> It should be noted, however, that Haydn seemed to regard his previous set of quartets, Op. 20, as something special also. His traditionally pious expressions of thanksgiving and dedication are especially florid in these works. See Grave and Grave, *The String Quartets of Joseph Haydn*, 178. Towards the end of his life all of Haydn’s quartets (with the exception of the most recent) were published in a *Collection complete des quatuors d’Haydn* by Ignaz Pleyel. See Grave and Grave, *The String Quartets of Joseph Haydn*, 18. Haydn wrote to Pleyel that the edition was “exceptionally beautiful” and that Pleyel would be “remembered for [it] forever.” See *The Collected Correspondence and London Notebooks of Joseph Haydn*, 212.

<sup>15</sup> Op. 64 contains works in the same six keys as those of Op. 33, but the order is different. The order of Op. 33 is B minor, E♭, C, B♭, G, D. The order of Op. 64 is C, B minor, B♭, G, D, E♭.



in boldness in the later quartets.<sup>16</sup> Op. 76 (probably composed in the same order as the publication) begins with a strong G-Major Allegro con spirito, and the opening *forte* annunciatory chords, double- and triple-stopped, are followed by self-consciously clever counterpoint.<sup>17</sup>

Mozart's six "Milanese" Quartets, K. 155–60, were clearly composed with a final order in mind, for they follow the circle of fifths: D–G–C–F–B $\flat$ –E $\flat$ . They also seem to have been composed in this order.<sup>18</sup> The quartets K. 168–73, known as the "Viennese" Quartets, begin with K. 168 in F Major, the first movement of which, an Allegro in 4/4, begins strongly, if abruptly, with a fully scored three-measure phrase, ending with a cadence. This establishes an irregularity of phrase structure that characterizes the whole movement. Mozart's "Haydn" quartets were certainly composed in order of final publication.<sup>19</sup> They open with the quartet in G Major, K. 387. The first movement is a richly scored and highly chromatic Allegro vivace assai in 4/4. The first of the "Prussian" Quartets is K. 575 in D, with an *alla breve* Allegretto based on a tonic pedal.<sup>20</sup>

<sup>16</sup> Op. 74 No. 2, which is in F Major, has its Trio in D $\flat$ , and that key's equivalent (C $\sharp$ ) appears substantively in the first movement. Op. 74 No. 3 is in G minor, but its slow movement is in E Major! See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 318.

<sup>17</sup> The definitive order of the sets is not always clear for Haydn. He tended to offer his sets "exclusively" to different publishers with different ordering of the quartets within them, "so as to put them off his trail." See Sutcliffe, *Haydn String Quartets*, Op. 50, 9. John Irving goes so far as to refer to Haydn's "duplicité." See Irving, "Reading Haydn's Quartets," 11–31, at 16. Irving suggests that for each set "Haydn aimed to provide a varied profile, within which each quartet stood out for its individuality rather than its conformity to a stereotype." (p. 15.) By drawing attention to the publication history of Haydn's string quartet sets and citing publishers' advertisements, Irving also demonstrates their broad international dissemination, longevity, and reputation as productions of significant artistic value (pp. 14–15.) Elaine Sisman points out that originally Op. 76 was made up of two groups of three quartets and that the first and the last in each group refer or "speak" to each other. See Sisman, "Rhetorical Truth in Haydn's Chamber Music," 303–14.

<sup>18</sup> Wolfgang Plath believed that the decision to organize these works into a set was made after they were composed. See Wolfgang Plath, foreword to *Wolfgang Amadeus Mozart: Neue Ausgabe sämtlicher Werke*, series 7, workgroup 20, section 1: *Streichquartette*, vol. 1, ed. Karl Heinz Füssel, Wolfgang Plath, and Wolfgang Rehm (Kassel: Bärenreiter, 1966).

<sup>19</sup> See Tyson, "Mozart's 'Haydn' Quartets," 179–90.

<sup>20</sup> Within a work the order of *movements* may be determined by the character of the beginning movement. Haydn's Op. 9 (the first set in four movements) has beginning movements in moderate tempo, so the minuets invariably come second. In his later quartets the minuets come either second or third, depending upon the nature of the first movement. In all the quartets of Op. 20 and Op. 33, for example, the minuet comes second when the first movement is moderato and third when the first movement is faster. In later works the minuet tends to come third, unless there is a special reason for placing it second. See David Young, "The Slow Movements," 58. Deducing from a chart compiled by Young, one can determine that the minuets come third in about

Beethoven follows this concept. For the beginning of the set of the Op. 18 Quartets, he chose the one in F, which he had composed second. Although Op. 18 No. 1 begins in 3/4, the movement is allegro and strongly profiled and pervaded by its arresting opening motive. Again, we have to extrapolate as to his reasons for choosing the order in his published sets of works, and again, in part, our hypotheses can be guided by the character of the works chosen.<sup>21</sup> For all the quartet sets, the rationale seems to have been to select a strong opening and to place a minor work at or near the middle of the set. In the case of Op. 18 No. 1, the choice must have been determined by the power of the first movement and its beginning, though the emotionally wrought Adagio affettuoso ed appassionato slow movement, with its evocation of the vault scene in Shakespeare's *Romeo and Juliet*, the taut Scherzo, and the highly energetic final sonata-rondo clearly confirmed Beethoven's decision.<sup>22</sup>

Beethoven's Op. 18 was his only traditional and formal set of six (although there are some song cycles and collections of bagatelles); most other formal groupings were in twos or threes. A set of three had precedents in the groupings of some of Haydn's quartets and could be considered a smaller version of a set of six, for it could have a "middle," a position for the contrast of a minor work, set against two varied works in major keys. A group of two, however, is of a different kind, since it establishes a pairing or a dialectic rather than a synoptic perusal or display. Sets of six or more are the seven bagatelles of Op. 33, the eleven bagatelles of Op. 119, the six bagatelles of Op. 126, the six songs of Op. 48 and Op. 75, and the eight songs of Op. 52. Sets of three include the piano trios of Op. 1, the piano sonatas of Op. 2, Op. 10, Op. 31, and perhaps Op. 109–11, the string trios of Op. 9, the string quartets of Op. 59, the three songs of Op. 83, and the string quartets, Op. 127, Op. 132, and Op. 130. Sets of two include the cello sonatas of Op. 5 and

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half of Haydn's sixty-eight principal quartets and second in about two fifths of them. The same pattern may be found in many of Mozart's later quartets and string quintets. Beethoven's String Quartets, Op. 18 No. 5 (which is modeled on Mozart's K. 464) and Op. 135 (whose first movement is an Allegretto), also have their slow movements in third position. Some of Haydn's earlier symphonies (Nos. 5, 11, 18, 21, 22, 34, and 49) begin with slow movements. Therefore the order of the remaining movements is (necessarily) fast–minuet–finale. See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 177. A special case (one could argue that most of Haydn's works are special cases) is the Symphony No. 15, whose first movement is in ABA form, Adagio–Presto–Adagio. Here, because the last part of the first movement is slow, the Minuet comes second and the slow movement third.

<sup>21</sup> William Kinderman writes, "Beethoven must have regarded it as an appropriate opening salvo in this magnum opus of his early Vienna years." William Kinderman, introduction to *The String Quartets of Beethoven*, ed. Kinderman, 1–12, at 2–3.

<sup>22</sup> Lewis Lockwood suggests that the choice rested on the fact that the F-Major quartet was "the longest and most elaborate of the six." See Lockwood and the Juilliard String Quartet, *Inside Beethoven's Quartets*, 13.

Op. 102, the piano sonatas of Op. 14, Op. 27, and Op. 49, the rondos for piano of Op. 51, and the piano trios of Op. 70.

For his Op. 1, a set of three piano trios, the third, in C minor, would have made a strong impression, but convention ruled against a beginning in a minor key.<sup>23</sup> The well-behaved E♭ trio was chosen instead. Convention, however, did not prevail with the three Op. 2 Sonatas, and Beethoven placed the F-minor sonata, with its opening “rocket” gesture and concomitant tribute to Mozart, at the head of the set. Op. 5 is a set of two cello sonatas, in F Major and G minor. Both have slow introductions that are sufficiently lengthy to obviate a slow movement, and both follow this with an allegro and a rondo finale. Beethoven begins with the major key. The three string trios of Op. 9 also end with a strong C-minor work, like Op. 1, but he chose the G-Major trio, with its *fortissimo* unisons on degrees 3–1–5 and descent to the tonic at the start of the slow introduction, to open the set, rather than the one in D Major, with its light Allegretto start.

Another flouting of convention occurred with the three Op. 10 Piano Sonatas, in C minor, F, and D. Beethoven puts the C-minor work at the beginning. By now the ability of C minor to draw out his most powerful and dramatic work must have been clear to him (and perhaps to his admirers).<sup>24</sup> Op. 10 No. 1 begins with a Mozartean juxtaposition of loud and soft, but there is nothing Mozartean about the leaping right-hand gesture of the opening and especially the startling elision and interruption of the soft answering gesture by another strong chord on a diminished seventh and more leaps. Op. 14 comprises two sonatas. The choice here is not so evident, for both are in major keys, and both begin *piano*, but perhaps it was the long-breathed continuity and legato phrasing of the beginning of the E-Major sonata as against the short, nervous phrases of the G Major that influenced the decision. With the two “fantasy” sonatas of Op. 27, the definitive though *pianissimo* Andante theme of the E♭ work makes a clearer beginning than the mist of the “Moonlight.” With the three sonatas of Op. 31, putting the “Tempest” Sonata in D minor in the middle of the set seems appropriate, so the choice for a starter was between the G Major and the E♭. This cannot have been difficult: the E♭ sonata is highly ambiguous as to its opening key. The G Major was placed first.

Op. 33 is the first group of bagatelles (“trifles,” short piano works) that Beethoven published – a miscellany assembled from earlier, unpretentious little pieces. These he put into order for publication, and in so doing, chose the Andante grazioso quasi allegretto in E♭ Major to head the set. This is a charming little rondo, with enough fast notes and scale runs to challenge any amateur or dilettante of the

<sup>23</sup> The three piano quartets of WoO 36 were not published until after Beethoven's death, but the first of these is also in E♭. The very early “Kurfürst” (“Elector”) Piano Sonatas were published in the order E♭, F minor, D Major.

<sup>24</sup> A review of the C-minor “Pathétique” Sonata praised it for giving “much expression to the very vigorous agitation of an earnest soul.” *Allgemeine musikalische Zeitung* 2 (February 19, 1800), 373–74, trans. in *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, ed. and trans. Senner, Wallace, and Meredith, vol. 1, 147.

time. It creates a beginning to a group of seven that contains an A-Major Andante in the middle and a hectic, headlong *Ab Presto* to close. (The parallels between the organization of this group and the much later set of bagatelles that Beethoven composed as a cycle suggest a deliberate ordering to the group.)

Op. 48 is a set of songs to poems by Christian Gellert (1715–69), one of the early Enlightenment writers, whose works often had moral and religious aims. The six poems that Beethoven set for Op. 48 were chosen by him from a large collection of Gellert's, entitled *54 geistliche Oden und Lieder* (1757).<sup>25</sup> Joanna Biermann has written about this work and points out that Beethoven was involved at several stages in the ordering of the songs – which he had composed separately – including after the production of the autograph and after the first printing.<sup>26</sup> He experimented with the order of some of the middle songs and with the choice of a song to end the set, but in all cases the beginning song was fixed: “Bitten” in E Major, with the most substantial piano prelude of all the songs, which is a supplication for God to listen (not only to this opening request but also to the following songs/prayers).<sup>27</sup>

With the two “easy” sonatas of Op. 49, the order was perhaps considered less important. In fact Beethoven may not even have been consulted: Tovey says that the composer's brother sent them to be published without his permission.<sup>28</sup> Both are easy to hear as well as to play; both are in two movements – the first Andante followed by Rondo, the second Allegro non troppo followed by Tempo di Menuetto; both are in relatively easy keys. The first of the two, in G minor, however, is more substantial than the second. Tovey calls this a “highly finished little work,”<sup>29</sup> and Rosen even described it as “deeply affecting and distinguished.”<sup>30</sup>

<sup>25</sup> Christian Gellert, *C. F. Gellerts sämtliche Schriften*, 2 vols. (Berlin: Pauli, 1772), vol. 2 (consulted online), published online by the Gutenberg Project, 2007: <http://www.gutenberg.org/files/22167/22167-h/22167-h.htm> (accessed April 10, 2015). C. P. E. Bach had set all of the poems in a collection published just a year after the publication of the texts.

<sup>26</sup> See Joanna Cobb Biermann, “Cyclical Ordering in Beethoven's Gellert Lieder, Op. 48: A New Source,” *Beethoven Forum* 11 (2004), 162–80.

<sup>27</sup> Biermann suggests that the songs, coming as they do after the crisis expressed in the Heiligenstadt Testament, represent a reconciliation of the composer towards the Creator he had cursed for the affliction of his deafness. *Ibid.*, 176.

<sup>28</sup> See Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 148. Uhde suggests a rationale for the order: “Strangely, Beethoven did not publish the sonatas in chronological order of their composition. The reason for setting the earlier sonata in second place may be traced – here as in Op. 31 – to the notion of ‘temporal articulation.’ The principal themes of the first sonata unleash stronger initiative. The themes strive, in both the first and the second movements, away from the tonic, as befits a sense of beginning. The thematic incipits in the second sonata, by contrast, flow right back into the tonic from which they departed. Their effect is thus more ‘eschatological.’” From Whiting's unpublished translation of Uhde, *Beethovens Klaviermusik*.

<sup>29</sup> Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 141.

<sup>30</sup> Rosen, *Beethoven Piano Sonatas*, 178.

The two rondos of Op. 51 are also fairly easy, the first in C Major, *Moderato e grazioso*, the second *Andante cantabile e grazioso* in G. Perhaps tonic before dominant? *Moderato* before *Andante*? Op. 52 is a set of eight songs, a mixed bag, with texts by Claudius, Mereau, Ültzen, Goethe, Bürger, and Lessing. They date from much earlier than the opus number suggests and were roundly criticized in a review.<sup>31</sup> But the first song is folk-like, in A minor, with an A-Major refrain, and has fourteen stanzas. Its comic vein and faintly endearing quality may have suggested it as a beginning for the set.<sup>32</sup>

The placement of Op. 59 No. 1 at the head of the set of “Rasumovsky” Quartets was an obvious choice. Like Op. 18 No. 1 it is brawny and self-confident.<sup>33</sup> Unlike that of Op. 18, its first movement has symphonic breadth and scope, with its cello theme emerging against a thin, harmonically ambiguous, three-voice texture to arrive, nineteen measures later, at a great *fortissimo* climax on the tonic, in six voices, spread out across five octaves.<sup>34</sup> This beginning anticipates the beginning of the last movement, which also features the cello stating the principal theme, in the same register, against a similarly thin texture. The whole first movement has vast ambition.<sup>35</sup> But this striking first movement is matched by the ensuing

<sup>31</sup> “Could these eight songs also be by this outstanding artist, often admirable even in his mistakes? [The journal had just concluded reviews of the ‘Kreutzer’ Sonata and the trio arrangement of the Septet.] ... His name is in large letters on the title page, the publisher is given, the songs came out in Vienna, the composer’s dwelling place, they even bear the number of one of his newest works. Let whoever can understand how something so completely commonplace, poor, dull, at times even ridiculous could not only come from such a man but actually be published by him!” *Allgemeine musikalische Zeitung* 7 (August 28, 1805), 769–72, trans. in *The Critical Reception of Beethoven’s Compositions by His German Contemporaries*, ed. Senner, Wallace, and Meredith, vol. 1, 225.

<sup>32</sup> The review continues: “Only the first of these songs, because of a touch of the comical, and the seventh ... are bearable.” *Ibid.*

<sup>33</sup> Beethoven’s letters between July of 1806 and June of 1807 to his publishers and others support the notion that the quartets were composed in the order of their publication. See *Briefwechsel Gesamtausgabe*, Letters Nos. 254, 256, 260, 278, 279, 281, 287, vol. 1, 286, 288, 292, 310, 311, 312, 317; Anderson, ed. and trans., *The Letters of Beethoven*, Letters Nos. 132, 134, 137, 141, 142, 143, 148, vol. 1, 150, 152, 153, 157, 166, 167, 168, 172.

<sup>34</sup> The opening of the quartet has been analyzed in Ratner, “Texture: A Rhetorical Element,” 51–62, 53–54. Lewis Lockwood, “Process versus Limits: A View of the Quartet in F Major, Opus 59 No. 1,” in *Beethoven: Studies in the Creative Process*, 198–208, draws attention to the structural importance of register in this movement. Register in all the quartets of Op. 59 is discussed in Malcolm Miller, “Peak Experience: High Register and Structure in the ‘Razumovsky’ Quartets, Op. 59,” in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana: University of Illinois Press, 2006), 60–88. Lewis Lockwood also describes this build-up and climax as a “trope on the opening of Op. 18 No. 1.” See Lockwood and the Juilliard String Quartet, *Inside Beethoven’s Quartets*, 120.

<sup>35</sup> Nancy November has suggested that the middle quartets of Beethoven are “theatrical,” in the sense that they engage with both public and private emotions, the intimate and the dramatic, old and new. “These engaging dualities are central to the theatricality of the middle-period quartets and are an essential part of these works’ unique,

movements, all of which partake in some measure of the drama of sonata form. The moving Adagio molto e mesto in F minor suggests mourning and a death scene.<sup>36</sup> The parallel with the slow movement of Op. 18 No. 1 is drawn closer by the existence of a note in the sketches. While the note in the earlier quartet's sketches referred to the vault scene in Shakespeare's *Romeo and Juliet*, this one describes a "weeping willow or acacia tree at my brother's grave." Beethoven's two brothers were alive, and much has been made of the psychological import of this, but we should note that Beethoven's mother had lost an infant son eighteen months before Beethoven was born.<sup>37</sup> (Another interpretation suggests a Masonic "brother" rather than a biological one;<sup>38</sup> and yet another that Beethoven was grieving – or indulging in irony – over his brother Kaspar Karl's unsuitable marriage.<sup>39</sup>) The Scherzo is startlingly original, and the vigorous finale is built around a labeled Russian theme, stated in the cello in the same range and in the same manner as the beginning of the first movement. The achievement of this quartet has led many to compare it to the achievement of the "Eroica."<sup>40</sup> Appropriately, Beethoven placed it at the head of three superb quartets, the second in E minor, the third in C.<sup>41</sup>

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exploratory character." Nancy November, *Beethoven's Theatrical Quartets: Opp. 59, 74 and 95* (Cambridge, UK: Cambridge University Press, 2014), 7.

<sup>36</sup> See p. 68, n. 32. The connection of this movement to the dungeon scene in *Fidelio*, and particularly to that scene's orchestral introduction, has been argued in November, *Beethoven's Theatrical Quartets*, 70–75.

<sup>37</sup> See Lockwood, *Beethoven: The Music and the Life*, 5–6. See also George Alexander Fischer, *Beethoven: A Character Study, Together with Wagner's Indebtedness to Beethoven* (New York: Dodd, Mead, 1905), 65; and November, *Beethoven's Theatrical Quartets*, 69. His mother lost three later children in infancy, one of whom was also a brother to Beethoven.

<sup>38</sup> See Maynard Solomon, "Beethoven, Freemasonry, and the *Tagebuch* of 1812–1818", in *Beethoven Forum* 8, ed. Lewis Lockwood, Christopher Reynolds, and Elaine Sisman (2000), 101–46, at 116; reprinted as "The Masonic Thread" and "The Masonic Imagination," in Maynard Solomon, *Late Beethoven: Music, Thought, Imagination* (Berkeley: University of California Press, 2003), 135–38, and 159–78.

<sup>39</sup> Gerd Indorf, *Beethovens Streichquartette: Kulturgeschichtliche Aspekte und Werkinterpretation*, 2nd ed. (Freiburg: Rombach, 2007), 262.

<sup>40</sup> See Kerman, *The Beethoven Quartets*, 102; and Lockwood, *Beethoven: The Music and the Life*, 316, 318.

<sup>41</sup> The quartets received a mixed reaction when first published, being understood as difficult but promising. The Scherzo of No. 1, in particular, confounded them. See November, *Beethoven's Theatrical Quartets*, 51. And Thayer wrote that "no work of Beethoven's met with a more discouraging reception from musicians than these now famous quartets." See Thayer, *Thayer's Life of Beethoven*, 409. Yet by mid-century they had been fully accepted as masterpieces. In 1852, Wilhelm von Lenz wrote of the "Rasumovsky" Quartets, "Les trois quatuors dédiés au prince Rasoumowski, op. 59 ... sont, à notre avis, l'apogée de son style dans la musique de chambre, les dignes rivaux des plus grands chefs-d'oeuvre que l'histoire de l'esprit humain connaisse." Wilhelm von Lenz, *Beethoven et ses trois styles* (1852; rev. ed. by M. D. Calvocoressi: Paris: Legoux, 1909), 244. Lewis Lockwood suggests that behind the ordering of the three quartets of Op. 59 "lurk Mozart's famous last three symphonies ... of which the last, the so-called Jupiter,

The choice of the D-Major Piano Trio, Op. 70 No. 1, to open the set of two trios must also have been easy. The work is very substantial, with a fully developed first movement – both halves repeated plus a coda – with a powerful opening in four-octave *unisono*, *fortissimo* and in low register. This is a Beginning before the Beginning, for the principal theme of the first movement now enters on cello, *dolce*, with gentle Alberti accompaniment in the piano. The subsequent movements are an exquisite slow movement in D minor and a big Presto finale (which has its own Beginning before the Beginning and early fermata stops). The second trio of the set is quite unconventional. It opens with a quiet slow introduction, Poco sostenuto, one instrument at a time, in a fugato; it has two inner movements, both of which are allegrettos, and a strong, witty finale; and its overall key scheme moves down by thirds, from E $\flat$  to C to A $\flat$ .

Op. 75 comprises six songs, ordered as a set. At the beginning Beethoven placed Goethe's "Mignon," from Goethe's *Wilhelm Meisters Lehrjahre* of 1795, from which Mignon's song "Sehnsucht" is also drawn. It is the most fully developed of the set, with an expressive turn to the minor and faster passages for Mignon's cries of "Dahin! Dahin!" It has become a favorite, better known by its first line "Kennst du das Land, wo die Zitronen blühn?" The three songs of Op. 83 are all by Goethe: "Wonne der Wehmuth," a different "Sehnsucht" (Beethoven had already supplied four short settings of the other Goethe poem with the same title in his WoO 134 of 1808), and "Mit einem gamahlten Bande."<sup>42</sup> The first song is the most accomplished. It has been described as "one of the pearls in Beethoven's Lied oeuvre,"<sup>43</sup> and despite its simplicity is deeply felt. It is an Andante espressivo in E Major and is held together by a light, *mezzo-staccato* descending scale figure in the piano right hand, perhaps representing the "Thränen" ("tears") of the text. The song cycle *An die ferne Geliebte* was composed as a cycle, with an overall order, a return to the beginning at its end, and a carefully arranged key sequence. It is one of the highlights of Beethoven's compositional output, but it did not require a separate process of song placement or choosing a beginning outside the compositional process. The two cello sonatas of Op. 102 are strongly differentiated. It is difficult to know what determined the choice of beginner with this pair. The first sonata claims to be in C Major: that is, its opening introduction

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is a glowing C-Major work with a contrapuntal finale, as is Op. 59 No. 3." See Lockwood and the Juilliard String Quartet, *Inside Beethoven's Quartets*, 100.

<sup>42</sup> A further short setting (only two pages) in E Major of a different poem of the same title, "Sehnsucht," this time by Christian Ludwig Reissig, forms WoO 146 from 1815. Its beginning is a short piano prelude that presents a pre-echo of the entry of the voice. The sketches for this work are discussed in Lewis Lockwood, "Beethoven's Sketches for *Sehnsucht*, WoO 146," in *Beethoven Studies*, vol. 1, ed. Alan Tyson (New York: Norton, 1973), 97–122, reprinted in Lockwood, *Beethoven: Studies in the Creative Process*, 95–117.

<sup>43</sup> Jochen Köhler, "About the Lieder of Ludwig van Beethoven," trans. Debbie Hogg, <http://www.beethovenlieder.de/en/About-Beethovens-Lieder.php> (accessed April 12, 2015).

is in C, and its last movement is in C. However, the first-movement Allegro is in A minor. The sonata also has a slow introduction to each of the two movements, the first an Andante, imbued with lyrical expression, opening with cello alone, directed to play “teneramente” as well as *piano, dolce cantabile*. The slow introduction to the last movement is a highly florid Adagio, which leads into a modified return of the beginning Andante before the finale proper. This sonata therefore has two slow-introduction beginnings, and the last movement has two beginnings, the second of which is a Nostalgia Return. When the final Allegro vivace begins, it does so as a Beginning as Contemplation, with two fermatas in the first four measures. The D-Major Cello Sonata, Op. 102 No. 2, is superficially less unusual, with three movements, an Allegro con brio beginning and an Allegro finale enclosing a D-minor Adagio con molto sentimento d’affetto. As we have seen, D minor drew out Beethoven’s most expressive music: the slow movement of the Piano Sonata, Op. 10 No. 3, Largo e mesto; the *Romeo and Juliet* slow movement of the String Quartet, Op. 18 No. 1; the “Tempest” Piano Sonata, Op. 31 No. 2; the somber Largo of the Piano Trio, Op. 70 No. 1; the Larghetto in the incidental music to *Egmont*; and the first and second movements of the Ninth Symphony. At the end of the Adagio, a deceptive cadence leads to a brief coda and *attacca* into the finale, which, however, also has a brief Beginning as Contemplation, as the music mulls a fugato subject, with (like the first sonata of the pair) two fermatas in four measures before a full launch.

The Piano Sonatas, Op. 109, 110, and 111 are both a group and not. They were the result of a commission, and Beethoven referred in a letter to his publisher of April, 1820 to a “work [consisting] of three sonatas.”<sup>44</sup> However, they were not published as a group, and Beethoven composed them in the numbered order and sent each to the publisher as it was finished. Therefore, although he may have had in mind an opus grouping at the start, we don’t know whether he would have revised the order had they been published together. The key order, as the opus numbers stand, is E Major, A $\flat$ , and C minor, and the movement plan of each sonata is unprecedented and individualized. Lewis Lockwood describes the form of these sonatas as “emerging as the material of a given movement realizes its potential from beginning to end.” He calls this “the process of emergence” and asserts about the three sonatas that “though such a feeling can always be inferred from true masterworks, here it is more palpable than almost anywhere else in Beethoven.”<sup>45</sup> Op. 119 is a set of eleven bagatelles, the first five drawn from much earlier work,

<sup>44</sup> *Briefwechsel Gesamtausgabe*, Letter No. 1388, vol. 4, 395; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1021, vol. 2, 891. Siegfried Mauser suggests that because of the connections among them, the three sonatas are even more closely related than those of Op. 10 or Op. 31, both also groups of three. See Siegfried Mauser, “Die rätselhafte Vermächtnis: Die Sonaten Op. 109, 110, und 111,” his introduction to the facsimile edition of Op. 109: *Ludwig van Beethoven: Klaviersonate E-dur, Op. 109, Meisterwerke der Musik im Faksimile 14* (Laaber: Laaber, 2011), 7.

<sup>45</sup> Lockwood, *Beethoven: The Music and the Life*, 386.



the last five from pieces Beethoven had recently published in a book of piano studies. No. 6 seems to have been newly composed to link the two groups.<sup>46</sup> Here the decision as to a beginning must again have been influenced by substantiality, for the first item in the collection is the longest and least “trifling.”<sup>47</sup> The Op. 126 set of Bagatelles was not made up of earlier work but of newly composed pieces. Beethoven arranged these into a deliberately organized cycle, with an overall key pattern of descending thirds.<sup>48</sup> The collection may be seen as a single work made up of six movements with a balanced scheme: ingratiating andantes as Nos. 1, 3, and 6, and an Allegro, Presto, and Quasi allegretto as Nos. 2, 4, and 5. The central slow movement is a singing Andante, and the finale begins and ends fast, *presto*, but contains an Andante amabile e con moto. (This is a piece that has a Beginning as Ending: the first headlong six measures are repeated verbatim at the end.) The beginning of the work is an Andante con moto, which the composer labels “cantabile e compiacevole,”<sup>49</sup> in G Major and 3/4 time. Its suppressed and aphoristic style creates a beginning full of promise for the remainder of the set.

Beethoven's last group of works consisted of the three string quartets commissioned by Prince Nikolai Borisovich Galitzin. That Beethoven was ultimately inspired to write five quartets is well known, but the three that he completed first (in the order: Op. 127 in E♭, Op. 132 in A minor, and Op. 130 in B♭) were intended as a fulfilment of that commission. They represent an increasing level of unconventionality – four movements, five movements, six movements – and they were written – conventionally – with the minor-key work in the middle.<sup>50</sup> It is likely that his contemplation of Op. 127 (see Example 116) as the beginning of a set of

<sup>46</sup> Martin Cooper draws attention to the mixture of canon and recitative in the slow introduction to this piece. See Martin Cooper, *Beethoven: The Last Decade, 1817–1827*, rev. ed. (Oxford: Oxford University Press, 1985), 215.

<sup>47</sup> Beethoven justified the price he was asking for some of these works by stressing that “some of them are rather long.” (Italics represent Beethoven's underlining.) *Briefwechsel Gesamtausgabe*, Letter No. 1478, vol. 4, 508; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1085, vol. 2, 955.

<sup>48</sup> See Edward T. Cone, “Beethoven's Experiments in Composition: The Late Bagatelles,” in *Beethoven Studies*, vol. 2, ed. Alan Tyson (Oxford: Oxford University Press, 1977), 84–105. See also Janet Schmalfeldt, “On the Relation of Analysis to Performance: Beethoven's ‘Bagatelles’ Op. 126, Nos. 2 and 5,” *Journal of Music Theory* 29 (1985), 1–31.

<sup>49</sup> A rare direction, perhaps emblematic of the composer's desire to please. Also deliberately pleasing are the other andantes: “cantabile e grazioso” and “amabile.” Again, in a later letter, Beethoven wrote of this group that “several ... are rather more fully worked out and probably the best of this kind [that] I have composed.” *Briefwechsel Gesamtausgabe*, Letter No. 1901, vol. 5, 386; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1321, vol. 3, 1150.

<sup>50</sup> Despite initial resistance, the late quartets came to be accepted as anticipatory of the musical avant-garde by mid-century. William Kinderman lists the appreciative publications, including Hermann Hirschbach's essay “Über Beethovens letzte Streichquartette” in the *Neue Zeitschrift für Musik* of 1839 and A. B. Marx's *Ludwig van Beethoven: Leben und Schaffen* of 1859. Wagner was an enthusiast of Op. 131 already by 1854. See Kinderman, introduction to *The String Quartets of Beethoven*, ed. Kinderman, 8–9.

Example 116. Beethoven, String Quartet in E $\flat$  Major, Op. 127, slow introduction to first movement, mm. 1–6

**Maestoso**

three influenced his conception of the work as a whole. The beginning movement of this beginning quartet has a slow introduction: a *Maestoso* of only a few measures, richly voiced, that dissolves into the *Allegro*.<sup>51</sup> This slow introduction is harmonically non-redundant, for it reaches the subdominant key out of which the *Allegro* emerges. But, despite its brevity, the introduction is striking – for it is a *Beginning as Texture* – and it returns twice during the movement, once to open the development section and again towards the end of it. These returns are deceptive. Both are in new keys. The first, coming at the end of the exposition, pretends to signal a repeat of the first part of the movement, but it is in G Major instead of in E $\flat$ . This relates to the key that Beethoven chose for his second key area – G minor – and it launches the development’s harmonic excursions. The second return is towards the end of the development. This one pretends to open the recapitulation, but it is in C Major (and it embodies a fuller sonority even

<sup>51</sup> Michael Steinberg describes the voicing of this passage in Steinberg, “The Late Quartets,” 215–82, at 218–19. The sense of dissolve is discussed in Meyer, *Explaining Music*, 100–102. Birgit Lodes writes that “[t]he beginning of the *Allegro* theme is inconceivable without the foregoing *Maestoso* measures.” See Birgit Lodes, “So träumte mir, ich reiste ... nach Indien’: Temporality and Mythology in Op. 127/I,” in *The String Quartets of Beethoven*, ed. William Kinderman (Urbana: University of Illinois Press, 2006), 168–213, at 172. Lodes points out that Beethoven’s use of “*maestoso*” is (in vocal works such as *Fidelio*; *Der glorreiche Augenblick*, Op. 136; *Kantate auf den Tod Kaiser Josephs II*, WoO 87; and *Kantate auf die Erhebung Leopolds II*, WoO 88) frequently in the context of “the sublime and powerful divine.” (p. 197.) Lockwood suggests that the three rising tonic chords of the beginning may have Masonic overtones (see Lockwood, *Beethoven: The Music and the Life*, 446); Lodes additionally points to the three-fold occurrence of the *Maestoso* in the movement. (p. 202.)

than the other appearances, because of the open strings on both the cello and the viola). It proves to represent the dominant of F minor, thus bringing in Ab and sliding into the recapitulation. In this remarkable case of Beethoven's last "group" of works, the beginning work's first movement's beginning establishes beginnings for all the movements, for they all have special beginnings.<sup>52</sup> The highly vocal slow movement, *Adagio ma non troppo e molto cantabile*, shares its 12/8 meter with the *Benedictus* of the *Missa Solemnis*, a relationship that explains some, but not all, of its timeless beauty.<sup>53</sup> This variation set is in the subdominant, with Eb as its second key, a link to the first movement. But the link is made explicit in the extraordinary beginning of the *Adagio* (see Example 117), where the first note, a solo Eb on the cello's lowest string, is the same as that instrument's last note from the first movement. From that Beginning as Transition the other instruments enter in turn (moving from low to high) to create a V<sup>7</sup> chord, with the second note entering (on the viola) being the seventh of the chord, and the last note entering doubling this seventh. These first two measures are also a Beginning before the Beginning.

As we have seen, the first four notes of the Scherzo are also a "redundant" beginning. Played pizzicato (the only such sounds in the movement – indeed in the whole quartet), and suggesting duple time, they stand outside the form of the entire movement, never to return. And the *Maestoso* at the very beginning of the work is (texturally) recalled one more time at the beginning of the finale, with its four measures of unison before the entrance of the folksy theme with its "exotic" Lydian fourth (see Example 118). Multiple recalls are made here, for this harmonically ambiguous Beginning before the Beginning is – if anything – in G minor, the second key of the first movement; its *sforzando* evokes the several *sforzandi* of the *Maestoso*; its octave leap recollects the spaced chord at the beginning of the *Adagio*; and it sounds in triple meter, against the actual *alla breve* of the movement, recalling the (opposite) counter-rhythm of the beginning of the Scherzo.<sup>54</sup>

<sup>52</sup> Lewis Lockwood suggested that this idea may have been carried over from the Ninth Symphony. See Lockwood, "The Four 'Introductions' in the Ninth Symphony," 97–98.

<sup>53</sup> Adorno regarded the *Missa Solemnis* as an "alienated masterpiece." See Theodor Adorno, *Verfremdetes Hauptwerk: Zur Missa Solemnis. Sonderdruck aus Prisma der gegenwärtigen Musik, Tendenzen und Probleme des zeitgenössischen Schaffens* (Hamburg: Furche, 1959).

<sup>54</sup> Stephen Rumph believes that the slow introductions of the three "Galitzin" quartets (Op. 127, Op. 132, and Op. 130) "problematize" the relationship between opening and continuance. See Stephen C. Rumph, *Beethoven after Napoleon: Political Romanticism in the Late Works* (Berkeley, California: University of California Press, 2004), 139. In Op. 127, what sounds like an introduction turns into a complete movement. In Op. 132, a musical motive carries over from the *Assai sostenuto* to the *Allegro*. In Op. 130, the *Adagio ma non troppo* is returned to seven times during the course of the ensuing *Allegro*. "Like Leibnizian monads, they harbor the secrets of their own development. ... In both form and theme Beethoven was probing the dialectic of flux and permanence, time and eternity." (*Ibid.*, 140.)

Example 117. Beethoven, String Quartet in E♭ Major, Op. 127,  
second movement, mm. 1–2

*Adagio ma non troppo e molto cantabile*

Example 118. Beethoven, String Quartet in E♭ Major, Op. 127,  
fourth movement, mm. 1–4

**Finale**

#### BEGINNING WITH WORDS

At the beginning of this book, literary titles in Shakespeare, Sterne, and Melville were shown to have strongly influenced the apprehension of the works they head. A Word Beginning in music is imbued with similar power to affect both the performance and the reception of a work.

Some of Beethoven's works are in fact begun with words. These may appear in the title of the work or of a movement or written amid the notes themselves.<sup>55</sup> The first category of such beginnings includes words intended for a potential buyer. The title *Grande Sonate*, used for Beethoven's Op. 7, which bespeaks ambition and scope (four movements, nearly thirty minutes), was utilized by publishers frequently, and several of Beethoven's works bear this title.<sup>56</sup> (An opposite ploy was the similarly French term *facile* ("easy"), appearing, for example, on the title page of Op. 49.) The force of the title of the *Grande Sonate pathétique*, Op. 13, is derived both from its claim of grandeur and from the rhetorical sense of the final adjective as outlined by contemporary writers such as Schiller, Sulzer, and Koch: full of feeling, emotional, passionate. Contemporary reviews confirm this assessment by drawing attention to the "passionate" quality of the music, its "noble melancholy," and "powerful and beautiful expression."<sup>57</sup> This title and others on title pages would have been seen both by purchasers and performers.

But many titles would have been seen only by performers, for example the "La Malinconia" heading for the slow introduction to the last movement of Beethoven's String Quartet, Op. 18 No. 6, – melancholy, the abstract noun, being one of the four temperaments associated with the "humor" black bile, which leads to despondency.<sup>58</sup> The epigraph does not really explain the music, which has been discussed earlier, and which indulges in arcane harmonic explorations, harking back to Mozart's String Quartet, K. 465, and Haydn's String Quartet, Op. 54 No. 2, in C Major, though the music does, perhaps, explain the epigraph. The third movement of the Piano Sonata, Op. 26, again for the eyes of the performer, is somberly entitled "Marcia funebre sulla morte d'un Eroe," a topic famously recapitulated two years later in the second movement of the "Eroica" Symphony,

<sup>55</sup> The question of words as they relate to music is discussed in Leo Treitler, "Beethoven's 'Expressive' Markings," *Beethoven Forum* 7, ed. Lewis Lockwood, Christopher Reynolds, and Elaine Sisman (1999), 89–112; reprinted in Leo Treitler, *Reflections on Musical Meaning and Its Representations* (Bloomington, Indiana: Indiana University Press, 2011), 50–67.

<sup>56</sup> Opp. 7, 13, 22, 26, and 69.

<sup>57</sup> See Senner, Wallace, and Meredith, eds. and trans., *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, vol. 1, 147–48; and Christine Logan, "Interpretation through the Application of Music Scholarship: Reflections on Beethoven's 'Grande Sonate Pathétique,' No. 8, in C Minor, Op. 13, 1798–9," in *10th Australasian Piano Pedagogy Conference Proceedings*, 1–17, at 1–3, <http://www.appca.com.au/pdf/papers2011/Logan%202011%20APPC%20Lively%20Interpretation%20Through%20Application%20of%20Musical%20Scholarship,%20Reflections%20on%20Beethoven%27s%20Sonata%20Op.%20%2013.pdf> (accessed March 16, 2016).

<sup>58</sup> A C-minor trio sonata by C. P. E. Bach, H. 579, was described by the composer as "Ein Gespräch zwischen einem Sanguineus und einem Melancholicus" ("A conversation between a sanguine [= cheerful, optimistic] [person] and a melancholy [person]"). See the first page (unnumbered) of the composer's "Vorbericht" to the first edition of the sonata (Nuremberg: Schmid, 1751). See also Dahlhaus, "La Malinconia," 200–11.

entitled “Marcia funebre.”<sup>59</sup> The symphony’s overt associations with Bonaparte are not anticipated in the sonata, where Beethoven was simply trying to evoke a particular mood with a “character” piece.<sup>60</sup> The piano-sonata movement is in the extremely unusual key of A♭ minor (seven flats),<sup>61</sup> while the symphony’s overall tonic of E♭ Major allows Beethoven to cast the slow movement in C minor. From about this same time dates the tiny Bagatelle, WoO54, in which Beethoven seems to be experimenting yet again with a juxtaposition of major and minor, here with the common tonic C, in an ABA pattern of two-reprise forms. It is cast in 3/8 meter, and each section has eight measures, except for the second reprise of the *minore*, which is extended to fourteen. The bagatelle has no tempo markings, but Beethoven resorts to words: the first part is labeled “Lustig” (“happy”), the second “Traurig” (“sad”). These word concepts appealed to Beethoven as descriptors for his music. Lewis Lockwood has pointed out that in the “Eroica” Sketchbook (Landsberg 6 [1803–04], p. 159) there is a short passage of five measures, which might be in A Major or in F Major, that Beethoven has labeled “Iustige Sinfonie.”<sup>62</sup> (In this case, in his private sketchbook, the title is for the composer alone.)

The titles for the Piano Sonata, Op. 81a, “Das Lebewohl” (“The Farewell”), are also aimed at the performer, although one can imagine them (and other “private” titles in sonatas and string quartets) being shared with a small audience in a salon. All three movements are titled: the second is “Abwesenheit” (“Absence”), the third “Das Wiedersehen” (“Reunion”). This overtly programmatic approach reprises the role of the titles to the movements in the “Pastoral,” and there is another parallel in the appearance in the beginning of the score of the word “Le-be-wohl,” distributed syllabically, as though for a sung text, over the first three chords. In this sonata it seems as though Beethoven was determined to hand both his performers and his listeners the keys to his meaning in words.

<sup>59</sup> The funeral march of the “Eroica” was anticipated by Wranitzky’s *Grand Characteristic Symphony for Peace with the French Republic*, Op. 31, which features a funeral march in its second movement. David Wyn Jones also raises the “tantalizing possibility” that Beethoven also had in mind Anton Eberl’s *Symphony in E♭*, which features a march in C minor turning to C Major as its slow movement. See Jones, *The Symphony in Beethoven’s Vienna, 171–72*.

<sup>60</sup> See Lockwood, *Beethoven: The Music and the Life*, 134.

<sup>61</sup> This is the only movement in Beethoven known to me that is in this key, though the “Klagender Gesang” in the last movement of the Piano Sonata, Op. 110, reaches A♭ minor through the addition of one accidental to its six-flat signature.

<sup>62</sup> The manuscript is Berlin, Staatsbibliothek Mus. Ms. aut. Beethoven Landsberg 6, now held by the Biblioteka Jagiellońska in Kraków, Poland. See *Beethoven’s “Eroica” Sketchbook: A Critical Edition*, ed. Lewis Lockwood and Alan Gosman, 2 vols. (Urbana: University of Illinois Press, 2013), vol. 1, 159; vol. 2, 159. Lockwood and Gosman have transcribed the passage in A Major, but in private communication Lockwood informed me that a case could be made for the passage being in F.

In his autograph of his String Quartet, Op. 95 (though it did not appear in the published edition), Beethoven provided the title “Quartetto serioso,” as though we would not have guessed this character from the music, which is in F minor, condensed, and powerful. The third movement invokes the same adjective: *Allegro assai vivace ma serioso*. In a letter to Sir George Smart of October, 1816, he refers, in English, to the work’s severity: the quartet, he writes, “is never to be performed in public.”<sup>63</sup> The Piano Sonata, Op. 110 has a series of sections that precede the last movement, including the moving lament entitled “Klagender Gesang” right in the score. The lament returns towards the end of the movement. By now Beethoven is laying out in words some of his most profound programmatic directions to the performer, as if to make certain that his meaning is grasped.

Starting with Op. 90, Beethoven began to put the movement headings of his piano sonatas in German. By the time of the next sonata (Op. 101), he determined that every piano sonata should also be entitled “für das Hammerklavier.”<sup>64</sup> This impulse may come from patriotic motives, though the details of his movement headings (“Mit Lebhaftigkeit und durchaus mit Empfindung und Ausdruck,” “Geschwinde, doch nicht zu sehr, und mit Entschlossenheit,” for example) suggest a more significant concern over the exact emotional nuances of his music.

Two of Beethoven’s late string quartets have Beginnings with Words. In Op. 132, the central slow movement bears his most elaborate title: “Heiliger Dankgesang eines Genesenen an die Gottheit, in der lydischen Tonart” (“Holy Song of Thanks from a Convalescent to the Godhead, in the Lydian Mode”). We know that Beethoven had been ill, and we know that he attributed his recovery to his doctor. But beyond the human advice, Beethoven clearly felt gratitude for divine intervention, and he intended to convey it in words as well as in notes.<sup>65</sup> The movement intersperses segments of a slow hymn with passages of “Neue Kraft fühlend” (“Feeling New Strength”), whose cumulative effect is gradually to mold the hymn into a living entity, with melodic shape and rhythmic direction, in this, one of the longest slow movements Beethoven wrote.<sup>66</sup>

<sup>63</sup> *Briefwechsel Gesamtausgabe*, Letter No. 983, vol. 3, 305; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 664, vol. 2, 606. He obviously changed his mind, for the work was published later that same year.

<sup>64</sup> *Briefwechsel Gesamtausgabe*, Letter No. 1071, vol. 4, 16–17; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 737, vol. 2, 654.

<sup>65</sup> See Kevin Korsyn, “J. W. N. Sullivan and the *Heiliger Dankgesang*: Questions of Meaning in Late Beethoven,” in *Beethoven Forum* 2, ed. Christopher Reynolds, Lewis Lockwood, and James Webster (1993), 133–74. Daniel Chua characterizes the *Heiliger Dankgesang* as “one of the strangest and most outrageous of Beethoven’s creations.” See Chua, *The “Galitzin” Quartets of Beethoven*, 152.

<sup>66</sup> Interpretations that regard the sections as independent miss the crucial effect that the “Neue Kraft” sections have on the returns of the “Dankgesang.” See, for example, Korsyn, “J. W. N. Sullivan and the *Heiliger Dankgesang*,” who writes that the two sections “seem more like independent movements than anything that Beethoven had

Then there is “Muss es sein?,” the questioning motto Beethoven writes over a questioning musical gesture (in F minor) at the head of the score of the last movement of his last string quartet (his last work). It is paralleled (and answered, syntactically in words and harmonically in notes) by two musical gestures “setting” the words “Es muss sein! Es muss sein!” in F Major. These gestures dominate the last movement of the quartet. An overall “explanation” heads the movement: “Der schwer gefasste Entschluss” (“The Resolution Arrived at with Difficulty”). If Beethoven intended clarity of exegesis here, he failed, for generations of commentators have disputed the meaning of these mottos and the movement’s heading. Is it fear and then acceptance of death? Is it a humorous reference to a tightwad acquaintance characterized in the four-voice canon, WoO 196?<sup>67</sup> Is it a reference to payment of the housekeeper’s wages?<sup>68</sup> Is it a reference to Beethoven’s unwillingness to compose this last movement or even the quartet as a whole?<sup>69</sup> Or perhaps the word “es” is a pun, meaning both “it” and “Eb”: “Must Eb be?”<sup>70</sup> (A very strange Eb does turn up unwontedly high in the cello range in mm. 247–49.) Kerman hears this last movement as operatic farce.<sup>71</sup> Lewis Lockwood suggests that Beethoven did not intend clarity. He writes, “What is the meaning of the inscription? We do not know, and are not meant to know in any specific sense, what is being asked and answered.”<sup>72</sup> What I hear is a profound existential struggle at the outset, resolved into resignation

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dared within a single design” (p. 159), and Kinderman, “Beethoven’s Last Quartets,” who feels that “the initial contrast between the Lydian chorale and ‘Feeling new strength’ is so profound that we may experience two separate, coexisting beginnings rather than a true sequence of ideas.” (p. 317.)

<sup>67</sup> Kinderman (“Beethoven’s High Comic Style in the Piano Sonatas of the 1790s,” 136) is determined to convince us that it is.

<sup>68</sup> See Anton Schindler, *Biographie von Ludwig van Beethoven* (Münster: Aschendorff, 1840), 263; and Lenz, *Beethoven*, vol. 3 (Hamburg: Hoffmann und Campe, 1860), 269. See also Thayer, *Thayer’s Life of Beethoven*, 976–77; Bekker, *Beethoven*, 555; J. W. N. Sullivan, *Beethoven: His Spiritual Development* (New York: Knopf, 1927), 254; Joseph de Marliave, *Beethoven’s Quartets*, trans. Hilda Andrews (1928; repr. New York: Dover, 1961), 371–79; Romain Rolland, *Beethoven: Les grandes époques créatrices*, vol. 5: *Les derniers quatuors* (Paris: du Sablier, 1943), 299–300; Rudolph Reti, *The Thematic Process in Beethoven* (New York: Macmillan, 1951), 206–18; Philip Radcliffe, *Beethoven’s String Quartets* (1965; reissue: Cambridge, UK: Cambridge University Press, 1978), 165–74; Kerman, *The Beethoven Quartets*, 362–67; Christopher Reynolds, “The Representational Impulse in Late Beethoven, II: String Quartet in F Major, Op. 135,” *Acta Musicologica* 60 (1988), 180–94; Solomon, *Beethoven*, 424–25; Kinderman, *Beethoven*, 328–34; and Lockwood, *Beethoven: The Music and the Life*, 479–87.

<sup>69</sup> Two letters to a publisher in Paris state respectively that Beethoven didn’t want to compose the work at all and that he could not bring himself to compose the last movement. *Briefwechsel Gesamtausgabe*, Letter No. 2224, vol. 6, 303–4; Anderson, ed. and trans., *The Letters of Beethoven*, Letters Nos. 1538 and 1538a, vol. 3, 1318–19.

<sup>70</sup> See Reynolds, “The Representational Impulse in Late Beethoven, II,” 180–94.

<sup>71</sup> Kerman, *The Beethoven Quartets*, 363.

<sup>72</sup> Lockwood, *Beethoven: The Music and the Life*, 482.



and acceptance at the end, punctuated by nostalgia and renewed struggle. This is surely not too complicated a scenario for the work of one of the most insightful and expressive artists of our civilization.<sup>73</sup> The movement begins with a slow introduction *sans pareil*: a Grave that pits the questioning phrase, rising gradually but implacably up a jagged chromatic line (G–C–D $\flat$ –E–F), against aggressively dismissive, hammering seventh chords, which are slowly brought to quiescence, very much in the manner of Orpheus taming the Furies in the slow movement of the Fourth Piano Concerto.<sup>74</sup> After this beginning, the beginning of the Allegro sounds almost jaunty, based on the “Es muss sein!” motto, invoking a consolatory subdominant and a second idea that stems from the exposition of the first movement of the String Quartet, Op. 131. The second key is A Major (Beethoven had a predilection for the juxtaposition of F and A),<sup>75</sup> which picks up the key of the climactic passage at the end of the Trio, and the section ends with a childlike nursery rhyme and clear but untroubled statements of “Es muss sein!” But at the recapitulation of the movement the terror of the Grave’s question returns, heightened by powerful tremolos and the appearance of a most unusual sonority for 1826, that of the augmented triad. Here Beethoven combines the question and its answer, and even turns the questioning into answering, as again the Furies are subdued. The final pages effect a resolution, even if arrived at with difficulty, that one can only describe as magical. An Allegro in the tonic major, combining the first and second ideas of the exposition and subsuming a carefree version of the mottos’ rhythm, breezes into D Major, as the rhyme of A, and then back into F. The insouciance is poignantly captured in Beethoven’s message to the performers at the end of the recapitulation: “Si repete la seconda parte al suo piacere” (“You can repeat the second part or not, as you wish”). When was the last time Beethoven didn’t care about performance details? The brief coda (thirty-three measures) manages much. In both a reflection and balancing of the opening of the development (the entire movement is self-consciously well-behaved and symmetrical as to form), the “Es muss sein!” answering phrase becomes questioning, in a high, thin texture as a final (plaintive?) posing of the question, as

<sup>73</sup> My thinking about this last movement was encouraged by a seminar on the Beethoven string quartets given by Leonard Ratner at Stanford University in 1980.

<sup>74</sup> See A. B. Marx, *Ludwig van Beethoven: Leben und Schaffen* (Berlin: Janke, 1859), vol. 2, 77; and Owen Jander, “Beethoven’s ‘Orpheus in Hades’: The ‘Andante con moto’ of the Fourth Piano Concerto,” *19th Century Music* 8 (1985), 195–212.

<sup>75</sup> Examples include the Cello Sonata, Op. 5 No. 1 in F, whose development begins (and is written out) in A Major. Similarly, the development of the F-Major String Quartet, Op. 18 No. 1, plunges out in A. The “Kreutzer” Violin Sonata in A, Op. 47, has a slow movement in F Major. The introduction to the first movement of the A-Major Seventh Symphony has episodes in F Major, and the Scherzo of the same symphony is in F. The second movement, Vivace alla Marcia, of the A-Major Piano Sonata, Op. 101, is in F Major. And in the second movement (Vivace) of this quartet, Op. 135, the music moves wholesale from F to G to A, where it becomes obsessive and slightly mad, before switching back directly from F to A.

a Nostalgia Return of the beginning, and as a final opportunity for a supply of the answer. But the answer is not the stern “Es muss sein!” motto but a return of the nursery rhyme, now pizzicato, as though plinked out on a child’s xylophone. More magic: the nursery rhyme morphs into the motto answer, clear, untroubled, and final.

More straightforward Word Beginnings are those of public works. These titles would be widely seen by the general public and by concert-goers on concert announcements, and they would therefore create initial (beginning) impressions in their minds.<sup>76</sup> The Third Symphony, originally intended to be entitled *Bonaparte*, ended up with the published title *Sinfonia Eroica, composta per festeggiare il sovvenire di un grande Uomo* (“Heroic Symphony, Composed to Celebrate the Memory of a Great Man”).<sup>77</sup> Lewis Lockwood suggests that the hero of the symphony is not just Bonaparte or indeed any one person, but “a composite of heroes of different types and different situations.”<sup>78</sup> And Beethoven admired heroes and heroines, among them Leonore and Florestan (*Fidelio*), Jesus (*Christus am Ölberge*), Coriolanus, and Egmont. The overall title and the movement titles of the “Pastoral” Symphony are in line with the tradition of the *symphonie caractéristique*.<sup>79</sup> In 1784 Justin Heinrich Knecht published a symphony entitled *Le portrait musical de la nature, ou Grande sinfonie (Pastoralsymphonie)*, which also has five movements, also with streams, also with birds, and also with a descriptive program in words. David Wyn Jones has detailed the Austrian pastoral tradition behind Beethoven. It included pastoral Masses by composers such as Bixi, Eberlich, Kozeluch, Vanhal, and Haydn himself (*Missa Sancti Nicolai*, 1772); the Christmas-season *pastorella*, cultivated by Haydn, Michael Haydn,

<sup>76</sup> Beethoven gave twelve academy concerts in Vienna during his lifetime, seven of which occurred between December 1813 and December 1814. See Erica Buurman, “Beethoven’s ‘Third Symphony’ of 1812,” unpublished paper delivered at the Fifth International New Beethoven Research Conference, Louisville, Kentucky, November 11–12, 2015. In Vienna regular symphonic concerts became a feature of the concert calendar only after the founding of the Gesellschaft der Musikfreunde in 1812.

<sup>77</sup> David Wyn Jones points out that symphonies for other contemporary “great men” had been written before the “Eroica” by Anton and Paul Wranitzky. See Jones, *The Symphony in Beethoven’s Vienna*, 175.

<sup>78</sup> Lockwood, *Beethoven: The Music and the Life*, 213.

<sup>79</sup> A French tradition, popular in the late eighteenth and early nineteenth centuries. See Will, *The Characteristic Symphony in the Age of Haydn and Beethoven*. The Viennese composer Paul Wranitzky, an intimate of Haydn and Mozart, and, as director of the Burgtheater orchestra, conductor of important premieres of both Haydn and Beethoven, entitled his Symphony, Op. 31, of 1797 in French: *Grande symphonie caractéristique pour la paix avec la République française*. See Milan Poštoľka, rev. Roger Hickman, “Wranitzky [Vranický, Wraniczky, Wranizky], Paul [Pavel,” *Grove Music Online* (accessed March 20, 2015). Programmatic symphonies were also common in Austria and Bohemia in the second half of the eighteenth century. Dittersdorf produced nineteen; Wenzel Pichl sixteen. Other composers included Hoffmeister, Hofmann, Kozeluch, Leopold Mozart, Salieri, Süßmayr, Vanhal, and Zimmermann. See Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style*, 226–27.

Dittersdorf, Hofmann, and Vanhal; pastoral symphonies, often played as individual movements between items of the Mass Ordinary in church; and program symphonies, which included nature topics, but also emotional states (hope, gaiety, etc.), battles, journeys, and so on.<sup>80</sup> Jones also suggests that the “Pastoral” Symphony was partly a response to Haydn’s nature settings in *Die Schöpfung* and *Die Jahreszeiten*.

Beethoven’s ambivalence about programmatic titles is well documented. This is even expressed in the “Pastoral” Symphony’s subtitle – “mehr Ausdruck der Empfindung als Malerei” (“more the expression of feeling than painting”) – and is found in various comments distributed throughout his sketchbook for the symphony: “One leaves it to the listener to discover the situations”; “The whole will be understood even without a description, as it is more feeling than tone-painting”; and “Each act of tone-painting, as soon as it is pushed too far in instrumental music, loses its force.”<sup>81</sup> And some ten years later, to a poet, in a tone both obliging and proud:

The description of a picture belongs to painting. And in this respect the poet too, whose sphere in this case is not so restricted as mine, may consider himself to be more favored than my Muse. On the other hand my sphere extends further into other regions, and our empire cannot be so easily reached.<sup>82</sup>

And yet reliance upon words reaches its most literal in the annotations written directly into the score of the slow movement of the “Pastoral” Symphony – over the bird calls of the “Nachtigall” (“nightingale”), the “Wachtel” (“quail”), and the “Kuckuck” (“cuckoo”).

An explanatory title heads Op. 91, the programmatic and simple-minded orchestral extravaganza that Beethoven wrote to celebrate Wellington’s victory over Napoleon at the battle of Vittoria in June of 1813. The title, too, is simple-minded: *Wellington’s Victory, or the Battle of Vittoria*. Part I depicts the battle,

<sup>80</sup> See David Wyn Jones, *Beethoven: Pastoral Symphony* (Cambridge, UK: Cambridge University Press, 1995), 14–17. In his article on Haydn’s “originality,” Jones states that “[t]he willingness to be stimulated by an extra-musical idea seems to have been one of the features that distinguished the symphony in Austria from elsewhere in Europe.” See Jones, “... und so musste ich original werden,” 48. Other important discussions of the pastoral of the eighteenth and early nineteenth centuries include Michael Beckerman, “Mozart’s Pastoral,” *Mozart-Jahrbuch 1991, Bericht über den Internationalen Mozart-Kongress Salzburg 1991*, ed. Rudolph Angermüller et al., 93–100; and Simon Schama, *Landscape and Memory* (New York: Knopf, 1995).

<sup>81</sup> See Dagmar Weise, *Ein Skizzenbuch zur Pastoralensymphonie Op. 68 und zu den Trios Op. 70, 1 und 2* (Bonn: Beethoven-Haus, 1961); and Lockwood, *Beethoven: The Music and the Life*, 225.

<sup>82</sup> Letter of July 1817 to Wilhelm Christian Leonhard Gerhard, an acquaintance of Beethoven, businessman, and part-time poet. *Briefwechsel Gesamtausgabe*, Letter No. 1141, vol. 4, 82; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 788, vol. 2, 689.

complete with patriotic marches, trumpets and drums, and cannons. Part II is a "Victory Symphony," with the British national anthem and a rousing ending.

Then there is the beginning that does not have words written on it, but that might have words in the composer's imagination. Owen Jander has suggested not only that the slow movement of the Fourth Piano Concerto depicts Orpheus in the Underworld (a widely disseminated notion, stemming from A. B. Marx in 1859),<sup>83</sup> but that the first and last movements may also (Jander writes "incontestably") have connections to the Orpheus story.<sup>84</sup> The first movement corresponds to the first "episode" of the Orpheus story, in which Orpheus charms the animals, the stones, and the trees with his lyre and his voice. The beginning of this movement (the five-measure opening on piano alone) would depict Orpheus tuning his lyre. The last movement seems to tell of the revenge of the Bacchantes, whom Orpheus has scorned. In this interpretation the last movement begins with agitation and menace (a ten-measure phrase, with marked rhythm, *pianissimo*, on strings alone, moving, surprisingly, from the wrong key of C Major to a cadence on the right key of G). And at measure 32 the full orchestra enters *fortissimo* with trumpets and drums, as the Bacchantes leap on Orpheus "to the sound of wind instruments and drums," as Ovid describes the scene in his *Metamorphoses*.<sup>85</sup>

<sup>83</sup> See A. B. Marx, *Ludwig van Beethoven: Leben und Schaffen*, 6th ed., 78ff.

<sup>84</sup> See Jander, "Beethoven's 'Orpheus in Hades,'" 195–212; Jander, "Orpheus Revisited," 44. But see also Edward T. Cone, "Beethoven's Orpheus – or Jander's?," *19th Century Music* 8 (1984–85), 283–86.

<sup>85</sup> Ovid, *Metamorphoses*, Book XI, lines 13–19.



## CHAPTER SEVEN

# Fighting for Perfection

### BEGINNINGS, MIDDLES, AND ENDS

WE have several instances of Beethoven's struggles with endings. The most well-known are the endings of the String Quartet, Op. 130, and the last movement of the Ninth Symphony. Beethoven was persuaded to remove the *Grosse Fuge* as the finale of Op. 130, publish it separately, and write a completely new last movement. The vacillation over the last movement of the Ninth is shown in his sketches for an instrumental finale, even labeled as such in Beethoven's hand.<sup>1</sup> A letter in the *Allgemeine musikalische Zeitung* of 1864 reported the following: "Sometime after the first performance of the Ninth Symphony, Beethoven, within a small circle of his most devoted friends ... said that he realized he had committed a blunder with the last movement of the symphony; he wanted, therefore, to discard it and in its place write an instrumental movement without voices."<sup>2</sup> Another big fugal finale also gave Beethoven pause: he authorized the publication of his "Hammerklavier" Sonata, Op. 106, in four different ways, two of which would omit the fugue. In the end the Viennese edition came out complete, and the London edition in two parts, with the finale separately. But there are other instances. He discarded his first attempt at a last movement for the Violin Sonata, Op. 30 No. 1 (it later took its place as the last movement of the Violin Sonata, Op. 47 [the "Kreutzer"]). And he made substantial alterations to the endings of movements even as he was writing out the "final" version in fair copy. The autographs of the String Quartets, Op. 59 Nos. 1 and 2, display alterations in six of the movement endings,<sup>3</sup> and Beethoven contemplated five different movement plans for the String Quartet, Op. 131.<sup>4</sup> The

<sup>1</sup> See Nottebohm, *Zweite Beethoveniana*, 181–82.

<sup>2</sup> Solomon, *Late Beethoven*, 216–17. See also D. B. Levy, *Beethoven: The Ninth Symphony*, 93–94. Beethoven permitted a performance of the *Missa Solemnis* with beginning, middle, and end, omitting the Gloria and the Sanctus and presenting the Kyrie, Credo, and Agnus Dei as "Three Grand Hymns." See Solomon, *Late Beethoven*, 214.

<sup>3</sup> See Emil Platen, "Beethovens Autographen als Ausgangspunkt morphologischer Untersuchungen," in *Bericht über den internationalen musikwissenschaftlichen Kongress: Bonn 1970*, ed. Carl Dahlhaus et al. (Kassel: Bärenreiter, 1971), 534–36; and Lewis Lockwood, "Beethoven and the Problem of Closure: Some Examples from the Middle-Period Chamber Music" in *Beiträge zu Beethovens Kammermusik: Symposion Bonn 1984*, Veröffentlichungen des Beethovenhauses in Bonn, Series 4, 10, ed. Sieghard Brandenburg and Helmut Loos (Munich: Henle, 1987), 254–72.

<sup>4</sup> See Robert Winter, *Compositional Origins of Beethoven's Opus 131*, Studies in Musicology (Ann Arbor: UMI, 1982); and D. Johnson, Tyson and Winter, *The Beethoven Sketchbooks*, 482. Barbara Barry, "Teleology and Structural Determinants in Beethoven's C-sharp

autograph scores of the Fifth and Eighth Symphonies show multiple variants for endings.<sup>5</sup>

Then there is the “absence” of an ending. The Piano Sonata, Op. 111, has only two movements, of which its second is the “Arietta” variation movement, *Adagio molto semplice e cantabile*. Friends and publishers were puzzled, but it is clear that Beethoven intended no additional finale.<sup>6</sup> Regarding Beethoven’s endings in general Solomon writes:

The capacity for endless metamorphosis is at the heart of [Beethoven’s] imaginative gift, but it itself runs the danger of yielding to the chaotic; it defeats form, and it makes endings improbable, for it will not accept any ultimate resting place or indeed any other implication of finality. That may be why Beethoven needed not only to devise new endings but to revise old ones. By changing finales he casts uncertainty on his story’s outcome; like Scheherazade, he keeps fate at bay by perpetual narrative.<sup>7</sup>

There are other two-movement piano sonatas, which, unlike Op. 111, seem to lack a middle. Some, such as the two of Op. 49 (*Andante–Rondo* and *Allegro–Minuet*), do not pretend to be other than attractive, insubstantial works with only two movements; but others are in a different mold. Op. 54 stands between the powerful “Waldstein” and the even more powerful “Appassionata.” Both of its movements – *In tempo d’un menuetto* and *Allegretto* – are in F Major, and both project an elegant restraint. The Sonata, Op. 78, is in the very rare key of F# Major. Although pianists don’t mind playing on black keys, the lack of equal temperament on contemporary pianos must have created some strange moments. The first movement is a delightful *Allegro ma non troppo*, with a brief introduction, and the second (last) an *Allegro vivace* in sonatina form. And Op. 90, with its balance of minor and major movements – the first lively, the second “singing” – has no slow movement, though the second movement is so capti-

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Minor Quartet, Op. 131,” *College Music Symposium* 30 (1990), 57–73, [http://symposium.music.org/index.php?option=com\\_k2&view=item&id=2060:teleology-and-structural-determinants-in-beethovens-c%20-%20minor-quartet-op-131#x4](http://symposium.music.org/index.php?option=com_k2&view=item&id=2060:teleology-and-structural-determinants-in-beethovens-c%20-%20minor-quartet-op-131#x4) (accessed November 1, 2015), demonstrates the remarkable “dialectic of coherence and disjunction” in this quartet.

<sup>5</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven Mendelssohn-Stiftung 8. Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven, L. v. 20. Beethoven-Haus Bonn, Bodmer, BMh 8/48.

<sup>6</sup> See William Drabkin, “The Sketches for Beethoven’s Piano Sonata in C Minor, Opus 111” (Ph.D. dissertation, Princeton University, 1977), 257–62.

<sup>7</sup> Solomon, *Late Beethoven*, 223–24.

vating, we hardly notice. In all these cases, if anything is “missing,” it is a middle movement.<sup>8</sup>

Beethoven’s struggle with middles is dramatically illustrated by his removing the lengthy Andante (later published as the *Andante favori*) from the “Waldstein” Piano Sonata, Op. 53, and replacing it with the cloudy twenty-nine-measure “Introduzione” (Adagio molto) to the last movement. The finished sonata plays with ambiguity regarding its middle. The “Introduzione” to the finale sounds at first like a slow movement, but its murky aria form is abbreviated, ends on the dominant, and leads *attacca* into the finale. Alan Gosman has suggested that Beethoven decided upon the change because the opening of the original Andante resembled the second theme of the first movement, thus looking backwards, whereas the “Introduzione” points forward.<sup>9</sup> Kinderman had previously proposed that the substitution brings into the sonata the tragic quality of the dungeon scene of the last act of *Fidelio*, a work that Beethoven was completing at the time the sonata was conceived.<sup>10</sup> A similar organizational plan obtains with the Cello Sonata, Op. 69. After a broadly conceived Allegro and a lengthy Scherzo in the minor, we come to an elegiac Adagio cantabile, which interweaves singing lines on both instruments. But it is in the dominant key, and this too comes to an early stop on a I<sup>7</sup> chord (=V<sup>7</sup> of the finale), which leads, via a wispy descent on solo cello, *ad libitum*, into the last movement.

But Beethoven also had second thoughts about beginnings. He wrote four different overtures for his opera *Fidelio*, which went through several revisions. And the first movement of the String Quartet, Op. 59 No. 3, which was at first going to emulate Mozart’s Clarinet Quintet, K. 581, ended up borrowing from Mozart’s String Quartet, K. 465.<sup>11</sup> The beginning Vivace movement of the Piano Sonata, Op. 109, was originally intended to be an independent étude.<sup>12</sup> (And here again, after the profound and emotionally capacious Andante molto cantabile ed

<sup>8</sup> Citing William Blake, E. T. A. Hoffmann, Turner, and others, Lawrence Kramer has drawn attention to an artistic device of the Romantic era he calls “expressive doubling”: the presentation of two artistic utterances, the first of which seems complete until the second is experienced. “When the two terms are considered together, the effect is compelling, hermeneutically provocative; each term energizes the other as if a spark had leapt between them.” See Lawrence Kramer, *Music as Cultural Practice, 1800–1900* (Berkeley, California: University of California Press, 1990), 21–71, at 24.

<sup>9</sup> See Gosman, “From Melodic Patterns to Themes,” 105–06.

<sup>10</sup> See Kinderman, “Contrast and Continuity in Beethoven’s Creative Process,” 198–203. The notion that sketches already contain the finished version of an idea is put forward in Walker, *An Anatomy of Musical Criticism*, 65–67.

<sup>11</sup> See Nottebohm, *Zweite Beethoveniana*, 86; and Alan Tyson, “The Razumovsky Quartets: Some Aspects of the Sources,” in *Beethoven Studies*, vol. 3, ed. Alan Tyson (Cambridge, UK: Cambridge University Press, 1982), 107–40, at 121.

<sup>12</sup> See William Meredith, “The Origins of Beethoven’s Op. 109,” *The Musical Times* 126 (1985), 713–16; and Nicholas Marston, *Beethoven’s Piano Sonata in E, Op. 109* (Oxford: Oxford University Press, 1995), 29–37.



espressivo, a fast finale is absent, although the many tempo changes of this variation set make an additional movement less expected.) And before settling on the Maestoso introduction to the Op. 111 Piano Sonata, Beethoven contemplated opening the sonata with a fugue. He also considered bringing back the introduction at the end of the development of the first movement and towards the end of the next movement as well.<sup>13</sup>

The sketchbooks, only some of which have been closely analyzed, display vividly Beethoven's struggles with beginnings. The gritty little motive at the opening of the String Quartet, Op. 18 No. 1, took much labor to hammer into its current potent shape. He began it in 3/4, tried it out in 4/4, and returned to 3/4.<sup>14</sup> Beethoven also began (in 1799) with a different version of the whole quartet. He revised it ("for only now have I learnt how to write quartets"), making what he called "drastic alterations," before publication two years later.<sup>15</sup> There is also a sketch that shows a beginning for the last movement that is different again from both completed versions.<sup>16</sup> The slow introduction of the Second Symphony was also originally in duple meter. An early sketch for the first movement of a symphony in C was later transformed into the main theme of the finale of the First Symphony.<sup>17</sup> Beethoven often contemplated the beginnings of several different works simultaneously. The sketchbook known as "Grasnick 1," which Beethoven used from the middle of 1798 until the end of January 1799, contains extensive sketches for the String Quartet, Op. 18 No. 3, and the beginnings of work on Op. 18 No. 1. But mixed in with the quartet sketches are ideas for his first two piano concertos; two songs (Op. 128 and WoO 126); the Rondo for Piano, Op. 51 No.

<sup>13</sup> See Drabkin, "The Sketches for Beethoven's Piano Sonata in C Minor, Opus 111," 89.

<sup>14</sup> Lewis Lockwood points out that the combination of 3/4 and allegro con brio is rare in Beethoven. See Lockwood and the Juilliard String Quartet, *Inside Beethoven's Quartets*, 22.

<sup>15</sup> *Briefwechsel Gesamtausgabe*, Letter No. 67, vol. 1, 84; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 53, vol. 1, 65. In this same letter, from July 1, 1801, Beethoven simultaneously laments the early symptoms of hearing loss, rejoices in his productivity and financial success ("I have been composing a good deal," "Everything I compose now can be sold immediately five times over and be well paid for too"), and boasts of his keyboard skills ("My pianoforte playing too has considerably improved"). Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 53, vol. 1, 64–65. The "drastic alterations" – mostly to the first and last movements – include tighter construction, more idiomatic string writing, fewer extreme gestures, and clearer organization of the inner voices. See Lockwood, *Beethoven: The Music and the Life*, 164; J. Levy, *Beethoven's Compositional Choices*; and Kerman, *The Beethoven Quartets*, 32.

<sup>16</sup> See Ludwig Nohl, "Eine Beethoven'sche Skizze," *Recensionen und Mittheilungen über Theater und Musik* 11 (1865), 695–97, cited in Richard Kramer, "'Das Organische der Fuge': On the Autograph of Beethoven's String Quartet in F Major, Opus 59, No. 1," in *The String Quartets of Haydn, Mozart, and Beethoven: Studies of the Autograph Manuscripts. A Conference at Isham Memorial Library, March 15–17, 1979*, ed. Christoph Wolff and Robert Riggs (Cambridge, Massachusetts: Harvard University Press, 1980), 223–65, at 225.

<sup>17</sup> See D. Johnson, "Beethoven's Early Sketches in the 'Fischhof Miscellany,' Berlin Autograph 28," 833–34.

2; the Septet, Op. 20; and a set of piano variations on an aria by Salieri, WoO 73.<sup>18</sup> The first movement of the “Appassionata” Piano Sonata involved very extensive work with sketches.<sup>19</sup> Drafts for the oratorio *Christus am Ölberge* cover seventy-five pages of the so-called “Wielhorsky” Sketchbook.<sup>20</sup> The String Quartet, Op. 131, took up over *six hundred* pages of ideas, drafts, and jottings.<sup>21</sup> And slow introductions were contemplated for the first movement of the “Eroica” and the last movement of the String Quartet, Op. 127.<sup>22</sup> Indeed the sketchbooks contain beginning drafts for dozens of works that were never completed, including several operas and over thirty symphonies, and a (sixth) piano concerto (Hess 15, now Unv. 6), which got as far as a full-score draft of the first movement before being abandoned.<sup>23</sup>

Sometimes, however, Beethoven was clear about his beginnings from the outset. The movement plan for the three-movement Violin Sonata in Eb, Op. 12 No. 3, as well as various ideas for its thematic content, are outlined in the early sketches.<sup>24</sup> The style-concept of the String Quartet, Op. 18 No. 2, with its light, graceful affect (Beethoven wrote “une [sic] style bien légère [sic]”) and its “bowing” or “curtsey” opening, was conceived already during the composition of the first quartet of the set.<sup>25</sup> The initial ideas for the Piano Sonata, Op. 26, in Ab already include the idea (and the theme) for an opening variations movement as well as the idea for a march in the very unusual key of Ab minor. (This eventually became the well-known Ab-minor “Marcia funebre sulla morte d’un Eroe,” with its anticipation of the C-minor slow movement of the “Eroica” Symphony.) The sketches for the second and fourth movements of the Piano Sonata, Op. 28, are very similar to the beginnings of these movements in their final form.<sup>26</sup> The

<sup>18</sup> See Lockwood, *Beethoven: The Music and the Life*, 127–28.

<sup>19</sup> *Ibid.*, 297.

<sup>20</sup> See Theodore Albrecht, “The Fortnight Fallacy: A Revised Chronology for Beethoven’s *Christ on the Mount of Olives*, Op. 85, and Wielhorsky Sketchbook,” *Journal of Musicological Research* 11 (1991), 263–84.

<sup>21</sup> See Winter, *Compositional Origins of Beethoven’s Opus 131*.

<sup>22</sup> See Lockwood, *Beethoven: The Music and the Life*, 204 and 446.

<sup>23</sup> See Lockwood, “Beethoven’s Unfinished Piano Concerto of 1815: Sources and Problems,” *The Musical Quarterly* 56 (1970), 624–46, reprinted in *The Creative World of Beethoven*, ed. Paul Henry Lang (New York: Norton, 1971), 122–44. The designation Unv. 6 is from the new work catalogue: Kurt Dorfmueller, Norbert Gertsch, and Julia Ronge, eds., *Ludwig van Beethoven, Thematisch-Bibliographisches Werkverzeichnis* (Munich: Henle, 2014).

<sup>24</sup> See D. Johnson, “Beethoven’s Early Sketches in the ‘Fischhof Miscellany,’ Berlin Autograph 28,” 343.

<sup>25</sup> Berlin, Staatsbibliothek zu Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven Grasnick 1, 27v. See also Thayer, *Thayer’s Life of Beethoven*, 261.

<sup>26</sup> The sketches are found on the leaf, Bonn HCB BSk 10/58, which was formerly part of the “Sauer” Sketchbook. See Erica Buurman, “Beethoven’s Compositional Approach to Multi-Movement Structures in His Instrumental Works” (Ph.D. dissertation, Manchester University, 2013), 90–91, and D. Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 120.

beginning of the first movement of the Violin Sonata, Op. 30 No. 1, is clearly adumbrated in the sketches, and the beginnings of the first and last movements of Op. 30 No. 2 are almost identical in the sketches and in the finished versions.<sup>27</sup> The curious concept behind Op. 34, a variation set in which the six variations are all in different keys, is laid out in full in the first sketches. The idea of a slow introduction to the Second Symphony was there from the start. Because he had already decided on the variation movement for the finale of his “Eroica” Symphony, Beethoven was able to plan the other movements, including the opening, accordingly: the earliest sketches include beginning plans for all three of the other movements.<sup>28</sup> Beethoven is reported to have been inspired to compose the chorale theme of the Molto Adagio of the String Quartet, Op. 59 No. 2, while “looking at the stars,”<sup>29</sup> and the sketches show an outline for the theme that is quite similar to that of the finished work. The theme for the rondo finale of the Violin Concerto, Op. 61, is already formed in the first sketches, as is the idea for the four-note rhythmic motto of the first movement.<sup>30</sup> (In her dissertation Erica Buurman points out that Beethoven’s initial drafts for outer movements are frequently closer to his finished versions than those for inner movements.)<sup>31</sup> The D-minor otherworld of the slow movement of the Piano Trio, Op. 70 No. 1, *Largo assai ed espressivo*, was conceived already while Beethoven was in the midst of sketching out ideas for an opera on *Macbeth*.<sup>32</sup> The idea of moving directly from the slow movement of the Op. 96 Violin Sonata into the Scherzo is already present in the sketches.<sup>33</sup> We know that Beethoven always intended a slow movement in F# and a fugal finale for the “Hammerklavier” Piano Sonata,<sup>34</sup> and the sketch for the beginning of the Piano Sonata, Op. 110, is almost exactly the same as the beginning of the final version.<sup>35</sup> The whole grand plan of the *Missa Solemnis* was

<sup>27</sup> The sketches are contained in the “Kessler” Sketchbook. See Richard Kramer, “The Sketches for Beethoven’s Violin Sonatas, Opus 30: History, Transcription, Analysis” (Ph.D. dissertation, Princeton University, 1973).

<sup>28</sup> See Lockwood, “Beethoven’s Earliest Sketches for the ‘Eroica’ Symphony,” 457–78.

<sup>29</sup> Czerny, *On the Proper Performance of All Beethoven’s Works for the Pianoforte*, 9.

<sup>30</sup> These ideas and others that are quite different from the final version of the second movement are found in “Landsberg 10.” See Buurman, “Beethoven’s Compositional Approach to Multi-Movement Structures in His Instrumental Works,” 131–32.

<sup>31</sup> See *ibid.*, 132. Buurman also shows that for some works, Beethoven began with movement plans (number and style of movements, movement order, key scheme) before filling in thematic material. *Ibid.*, 194.

<sup>32</sup> See Lockwood, *Beethoven: The Music and the Life*, 306. Over his lifetime Beethoven contemplated setting about fifty different libretti for operas.

<sup>33</sup> “Petter” Sketchbook, folio 72v.

<sup>34</sup> “Boldrini” Sketchbook, now lost, described in Nottebohm, *Zweite Beethoveniana*, 349–55.

<sup>35</sup> “Artaria 197,” 64–65.

laid out ahead of time.<sup>36</sup> An outline of all the movements of the Ninth Symphony was drawn up at the beginning of the compositional process.<sup>37</sup> Plans for the Eb Maestoso chordal opening of the String Quartet, Op. 127, are present in the earliest sketches.<sup>38</sup> The beginning sketches for the String Quartet, Op. 130, describe in words the concept for the beginning of the work: “einer ernsthaftigen und schwergängigen Einleitung” – “a serious and difficult introduction.”<sup>39</sup> Despite his vacillation about movement plans for the Op. 131 String Quartet, all his plans are consistent about beginning the work with a fugue in C# minor. Sometimes, however, plans are changed by events. The “Heiliger Dankgesang” – the central and most weighty of the movements of the String Quartet, Op. 132, and one of the longest instrumental movements Beethoven wrote – was added to the quartet after his recovery from an illness. The movement was incorporated into a work whose overall shape had already been substantially planned.<sup>40</sup>

For Beethoven we have an enormous quantity of sketch material (several thousand pages) as against scored fragments.<sup>41</sup> The reverse is true for Mozart. Mozart’s drafts consist far more in unfinished beginnings than in sketched ideas. There are over 150 such drafts, which Christoph Wolff has suggested should be classified by type: “fragment” – a composition that was broken off before completion; “draft” – a working score for a composition that was later completed; and “version” for an alternative form of a finished work.<sup>42</sup> It seems as though Mozart often wrote out different beginnings for a work before deciding on the one he

<sup>36</sup> See M. Cooper, *Beethoven: The Last Decade*, 223.

<sup>37</sup> Nottebohm, *Zweite Beethoveniana: Nachgelassene Aufsätze*, 166–67.

<sup>38</sup> “Engelmann” Sketchbook, 1.

<sup>39</sup> See Klaus Kropfinger, “Das gespaltene Werk: Beethovens Streichquartett Op. 130/133,” in *Beiträge zu Beethovens Kammermusik: Symposium Bonn 1984*, Veröffentlichungen des Beethovenhauses in Bonn, Series 4, 10, ed. Sieghard Brandenburg and Helmut Loos (Munich: Henle, 1987), 296–335, at 305. Beethoven was also clear in his mind about the ending: the finale was always going to be a fugue. *Ibid.*, 305.

<sup>40</sup> See Buurman, “Beethoven’s Compositional Approach to Multi-Movement Structures in His Instrumental Works,” 228–29. Buurman also discusses movement plans that did not come to fruition in finished works (pp. 63–73).

<sup>41</sup> And this is not counting the pages that may have been lost. See William Kinderman, “Beyond the Text,” 106: “The content and chronology of [the sketchbook] Grasnick 3 lends [sic] support to the view that a very substantial number of the sketches that Beethoven must have made have not survived.” Lewis Lockwood describes the surviving material as a “precious hoard” and Beethoven’s “memory bank.” See Lewis Lockwood, “From Conceptual Image to Realization: Some Thoughts on Beethoven’s Sketches,” in *Genetic Criticism and the Creative Process: Essays from Music, Literature, and Theater*, ed. William Kinderman and Joseph E. Jones (Rochester, New York: University of Rochester Press, 2009), 108–22, at 110.

<sup>42</sup> See Christoph Wolff, “Creative Exuberance vs. Critical Choice: Thoughts on Mozart’s Quartet Fragments,” in *The String Quartets of Haydn, Mozart, and Beethoven: Studies of the Autograph Manuscripts. A Conference at Isham Memorial Library, March 15–17, 1979*, ed. Christoph Wolff and Robert Riggs (Cambridge, Massachusetts: Harvard University Press, 1980), 179–90, at 183.

wished to pursue.<sup>43</sup> In particular, he seems to have been concerned with unifying the cyclic connection among movements in a work and thus especially with the beginnings of finales and their connection to first movements.<sup>44</sup> For example, he begins the last movement of the A-Major String Quartet, K. 464, and continues for 170 measures before breaking off. The realization seems to have come to him that because of the polyphonic texture and chromatic coloring of the first movement, a similar approach should govern the last movement. Thus the first attempt was abandoned, and a new finale, incorporating these links, was composed. An eight-measure beginning for the last movement of the String Quartet, K. 575, was abandoned in favor of a theme that echoes that of the first movement. The beginning of a finale for the String Quartet, K. 590, lasts for sixteen measures before stopping. Mozart seems to have felt that its 6/8 meter was inappropriate, for he replaces it with an Allegretto in 2/4. Whether composed before or after this fragment, the second movement of the quartet comes down to us in 6/8. (We know that Mozart retained considerable flexibility in this regard, for he always began a new movement on a new paper bifolio.)<sup>45</sup> And the last movement of the String Quartet, K. 589, was already in 6/8. The first and last movements in all three of the “Prussian” Quartets have matching characters of meter and tempo:<sup>46</sup>

	First movement	Last movement
K. 575	Allegretto, <i>alla breve</i>	Allegretto, <i>alla breve</i>
K. 589	Allegro, 3/4	Allegro assai, 6/8
K. 590	Allegro moderato, <i>alla breve</i>	Allegro, 2/4

Something of the same patterning seems to obtain – though less consistently – with the Mozart “Haydn” Quartets:

	First movement	Last movement
K. 387	Allegro vivace assai, 4/4	Molto allegro, 4/4
K. 421	Allegro, 4/4	Allegro ma non troppo, 6/8
K. 428	Allegro non troppo, <i>alla breve</i>	Allegro vivace, 2/4
K. 458	Allegro vivace assai, 6/8	Allegro assai, 2/4
K. 464	Allegro, 3/4	Allegro, 4/4
K. 465	(Adagio, 3/4) – Allegro, 4/4	Allegro, 2/4

<sup>43</sup> See Erich Hertzmann, “Mozart’s Creative Process,” *The Musical Quarterly* 43 (1957), 187–200; reprinted in *The Creative World of Mozart*, ed. Paul Henry Lang (New York: Norton, 1963), 17–30; and Wolff, “Creative Exuberance vs. Critical Choice,” 197.

<sup>44</sup> See Wolff, “Creative Exuberance vs. Critical Choice,” 197–99.

<sup>45</sup> *Ibid.* 198. He did the same with the musical numbers of operas. (*Ibid.*, 200.)

<sup>46</sup> *Ibid.*, 199.

*Alla breve* meters in first movements seem to be matched with *alla breve* or 2/4 in finales. A 6/8 meter in the first movement correlates with 2/4 in the finale. 3/4 is answered by 6/8. A fast Allegro vivace assai in 4/4 is answered by a fast Molto allegro in 4/4. But there are other pairs that are not so commensurable: Allegro 3/4 and Allegro 4/4, for example (K. 464), or Allegro 4/4 and Allegro ma non troppo 6/8 (K. 421). There are also abandoned Mozart beginnings for first movements of three quartets (10 measures for a quartet in E Major, 24½ measures for one in G minor, and 54 measures for a quartet in E minor). Wolff makes the important point that abandoning these fragments meant abandoning the projected quartets altogether.<sup>47</sup> For Mozart, therefore, a first-movement beginning implied a far larger set of consequences than those associated with just a strategic or rhetorical experiment. First-movement beginnings seem to have entrained an entire compositional concept, and the rejection of the beginning – for reasons we cannot always know – meant the rejection of a whole work.

For Haydn, surviving sketch material is relatively rare.<sup>48</sup> He seems to have worked out his ideas at the keyboard and then written them down.<sup>49</sup> Only in his last years did Haydn begin to sketch out thoughts for his works (e.g. for *The Creation*, *The Seasons*, and his final Mass). The sketches were not beginnings later discarded, as with Mozart, nor putatively finished works that were subject to continued editing and revision, as with Beethoven: they served as memory-aids. It is difficult, therefore, to get a clear idea of how Haydn worked out most of his

<sup>47</sup> *Ibid.*, 200.

<sup>48</sup> For a study of the sketches, see Hollace A. Schafer, “A Wisely Ordered Phantasie’: Joseph Haydn’s Creative Process from Sketches and Drafts for Instrumental Music” (Ph.D. dissertation, Brandeis University, 1987).

<sup>49</sup> An eyewitness described the process: “At eight o’clock, Haydn ate breakfast. Right afterwards he sat down at the piano and improvised for as long as he needed to find the ideas that served his purpose, which he immediately put down on paper.” Dies, *Biographische Nachrichten über Joseph Haydn*, 211. Haydn’s first biographer, Georg Griesinger, quoted him as saying, “I sit down [at the piano] and begin to improvise, according to my mood. ... If I have an idea, I work as hard as I can, according to the rules of the art, to develop or support it. ... I was never a quick writer and always composed thoughtfully and deliberately. ... I never write anything down until I know what it is.” Griesinger, *Biographische Notizen über Joseph Haydn*, 14–17. An unreliable source reported Beethoven as saying, “I see and hear [the fundamental idea] in all its extent and dimensions stand before my mind ... and there remains for me nothing but the labor of writing it down.” See Thayer, *Thayer’s Life of Beethoven*, 126. But see also Solomon, “Beethoven’s Creative Process,” 126–38, and William Meredith, “Beethoven’s Creativity,” 1, 8–12. Schoenberg asserted that “a real composer’s musical conception ... is one single act. ... [Everything is] there at once, though in embryonic state.” Arnold Schoenberg, “Folkloristic Symphonies,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martin’s, 1975), 161–66, at 165. And Hindemith described his habit of seeing “a flash of lightning” in which was illuminated “a composition in its entirety ... a complete musical form.” Paul Hindemith, *A Composer’s World: Horizons and Limitations* (Cambridge, Massachusetts: Harvard University Press, 1953), 60.

beginnings.<sup>50</sup> The principal exception is a group of thirty-six pages of densely written sketches for *The Creation*, where we can see that Haydn pondered various beginning possibilities for recitatives, arias, and other passages in the oratorio.<sup>51</sup> It is revealing that he worked especially carefully on the very beginning of the work, the representation of “Chaos,” for which three fully scored sketches are preserved. Completed autographs (“fair copies”) of many works exist, however, mostly for string quartets, which Haydn sent to publishers so that they could be used as the basis for engraving the finished works, or gave to patrons or to friends, or (in only two cases) kept for himself.<sup>52</sup> Unlike Beethoven’s autographs, however, Haydn’s do not display the continued working out of ideas and revisions in the process of making the “final” copy.

#### BEGINNINGS IN BEETHOVEN’S AUTOGRAPH MANUSCRIPTS

It is well known that Beethoven did not stop perfecting his work until it was no longer possible to do so. When he had arrived at a version that he considered complete, he wrote out a “fair copy” from which a professional copyist could make a clear and accurate version to be sent to the publisher.<sup>53</sup> The number of these autograph manuscripts that have survived is remarkable, although he does not seem to have saved the early ones, and even after 1800 there are a few gaps (the Fourth Piano Concerto and the “Hammerklavier” Sonata, for example).<sup>54</sup>

<sup>50</sup> Robert O. Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007), 369–98, (consulted online) [https://books.google.com/books?id=ItghP4WKVvMC&pg=PA383&lpg=PA383&dq=haydn+sketches&source=bl&ots=aMc\\_WUj0jw&sig=WBQ3OwtPPK3KBhgsALrUY46xNT4&hl=en&sa=X&ei=QrI3VdzTLMeXgwTQ5YcBg&ved=0CEwQ6AEwCQ#v=onepage&q=haydn%20sketches&f=false](https://books.google.com/books?id=ItghP4WKVvMC&pg=PA383&lpg=PA383&dq=haydn+sketches&source=bl&ots=aMc_WUj0jw&sig=WBQ3OwtPPK3KBhgsALrUY46xNT4&hl=en&sa=X&ei=QrI3VdzTLMeXgwTQ5YcBg&ved=0CEwQ6AEwCQ#v=onepage&q=haydn%20sketches&f=false) (accessed April 22, 2015), discusses the sketches for the slow movement of Haydn’s String Quartet, Op. 20 No. 3. It is clear, however, that a process of careful intellection took place as Haydn planned his work, mostly in the service of continual experimentation and variety. To take just one example, the beginning movements of the Op. 50 set of six string quartets utilize five different meters, including 3/4, *alla breve*, 4/4, 2/4, and 6/8.

<sup>51</sup> See Haydn, *Franz Joseph, 1732–1809: Die Schöpfung Hob. XXI:2. Skizzen*, ed. Annette Oppermann (Munich: Henle, 2012); Karl Geiringer, “Haydn’s Sketches for ‘The Creation,’” trans. Manton Monroe Marble, *The Musical Quarterly* 18 (1932), 299–308; and Karl Geiringer, *Haydn: A Creative Life in Music* (Berkeley: University of California Press, 1982), 384.

<sup>52</sup> See Somfai, “An Introduction to the Study of Haydn’s String Quartet Autographs,” 7–9.

<sup>53</sup> The terms “clear” and “accurate” are idealistic. Beethoven’s fulminations about his copyists’ incompetence are legion. However, the autographs are not always easily legible either.

<sup>54</sup> We have autograph scores of Symphonies Nos. 4 to 9; all the concertos except the Fourth Piano Concerto (though there is extant a copyist’s copy with emendations by the composer); all the string quartets after Op. 18; and all the piano sonatas after Op. 26, except Op. 27 No. 1, all of Op. 31, both sonatas of Op. 49, Op. 81a, and the “Hammerklavier.”

Often, however, Beethoven had second thoughts as he wrote, and the autograph scores then turned into further opportunities for re-working and revision,<sup>55</sup> including pasting over pages with new ones or tearing out whole pages and replacing them. Even after the professional copyist had made the “final” version, Beethoven sometimes changed or added material in that copy.<sup>56</sup> Occasionally Beethoven managed to persuade the publisher to make a last-minute change even after the plates had been engraved. (Such cases include the Cello Sonatas, Op. 102, and the Fifth Symphony. In the latter case the last-minute thought involved the crucial elongation of the second fermata at the beginning of the first movement of the Fifth Symphony and at all the later recurrences of that famous phrase. See Plates 2a and 2b.) He sent lists of changes or errata after works were published.<sup>57</sup> He made alterations in the printed parts; he issued further corrections after first performances; he supervised the preparation and/or correction of later copies for performance or presentation. (In the case of the Ninth Symphony there are nine original sources of materials, including the autograph score, the publisher’s score, a presentation copy, two printed editions, addenda, amended vocal texts, and correction lists.)

a)  $5^{\text{me}}$   
SINFONIE. *All<sup>o</sup> con brio.* *FF* *P* *P*

b)  $5^{\text{me}}$   
SINFONIE. *All<sup>o</sup> con brio.* *FF* *P* *P*

Plate 2. Beethoven, Fifth Symphony in C minor, first-violin part, (a) original first edition (Breitkopf & Härtel, 1329) and (b) later impression from corrected plates

<sup>55</sup> A spectacular example is the autograph of the Piano Sonata, Op. 110. The pages for the fugue of the finale are filled with deletions and rewritings, and some pages resemble the detailed working-out and utilize the shorthand that Beethoven usually reserved for his sketchbooks. See Alan Tyson, “Sketches and Autographs,” in *The Beethoven Reader: A Symposium by Leading Scholars*, ed. Denis Arnold and Nigel Fortune (New York: Norton, 1971), 443–58, at 457–58.

<sup>56</sup> The cancellation of the dedication of the “Eroica” Symphony was carried out on the copyist’s “final” copy. And Lockwood, *Beethoven: Studies in the Creative Process*, 39–41, describes Beethoven’s intervention in the copy of the Op. 69 Cello Sonata.

<sup>57</sup> For example, the letter to Breitkopf & Härtel on July 26, 1809, followed up by yet another letter on August 3, regarding Op. 69, after it had been published, or the letter to Ferdinand Ries in London on March 8, 1819 with a list of thirty-three errors in the parts of the String Quintet, Op. 104 (an arrangement of the Piano Trio in C minor, Op. 1 No. 3), or another letter to Ries on the twentieth of the same month, listing over one hundred errors in just the last three movements of the Piano Sonata in B $\flat$ , Op. 106 (“Hammerklavier”).



A complete survey of all of the surviving autographs will require a substantial study; and examination and analysis of the vast number of changes, second thoughts, cancellations, and re-composition of all these pages will take decades to produce; but close examination of a number of them reveals some aspects of the composer's approach to writing beginnings. I have studied some of Beethoven's autograph scores in museums and libraries in Europe and the United States, including the Staatsbibliothek zu Berlin Preussischer Kulturbesitz, the Beethoven-Haus in Bonn, the Music Collection of the Former Prussian State Library at the Jagiellonian Library in Kraków, and the Juilliard School of Music and the Morgan Library in New York.<sup>58</sup> Comments here are restricted to beginnings – that is, to first pages of works and of movements of works – and are necessarily provisional. First, one notices the clarity and the ambition with which Beethoven begins to write out some of these manuscripts. The measure rulings are often firm and straight, and the amount of room laid out for the opening measures is capacious. Even within the measures Beethoven seems to space out his notes more than usual, giving a relaxed, deliberate look to beginnings. Reflected in these opening pages is a sense of occasion and even of triumph in the act of finally producing the finished score of a work that may have taken many months of arduous sketching to produce. This sense of occasion is often indicated literally by the fact that Beethoven often writes on these scores the place and the date on which he begins to write them out. For example, the autograph of the Piano Sonata, Op. 90, is headed “Vienna, on the 16th of August, 1814.” And on the autograph of the Piano Trio, Op. 97, Beethoven wrote both the beginning date of his work (March 3, 1811) and the ending date (March 26, 1811). Nonetheless, despite his self-confidence, this ruthlessly self-critical composer often made changes even in the very beginnings of works or the beginnings of movements of works after having written down – or in the process of writing down – his “fair copy.”

Autograph scores in the Berlin Staatsbibliothek<sup>59</sup> include the Op. 15 Piano Concerto (partial); the Piano Concerto, Op. 19; the first two string quartets of Op. 59; the Fourth Symphony; the Fifth Symphony; the Eighth Symphony; the Piano Trio, Op. 70 No. 2; the Fifth Piano Concerto, Op. 73; the Piano Sonatas, Op. 110 and Op. 111; the Ninth Symphony; and the String Quartet, Op. 132. With the Fifth and the Ninth Symphonies, Beethoven's changes display vividly his concern with the rhetorical impact of symphonic beginnings. On the first page of the autograph score of the Fifth Symphony,<sup>60</sup> Beethoven's initial thought was

<sup>58</sup> I am grateful to these institutions for providing access to the manuscripts. Some manuscripts elsewhere to which I did not have physical access I examined in digital form. A list of autographs available online may be found at <https://www.bu.edu/beethovencenter/beethoven-autographs-online/>.

<sup>59</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Musikabteilung. My thanks to Dr. Martina Rebmann, Director of the Music Division, for allowing me to inspect these manuscripts.

<sup>60</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven Mend.-Stift. 8.

to include the flutes in the opening four-note gesture – an instrumentation he later cancelled, retaining only the strings and the clarinets and thus focusing the sonority on the lower octaves (see Plate 3). This middle- and low-register beginning is thus both firm and severe, affects that one can imagine being lessened by including the higher flutes. This idea must have occurred to him at exactly the moment he was about to write the second, answering gesture, for in that passage the flute parts are not written in.

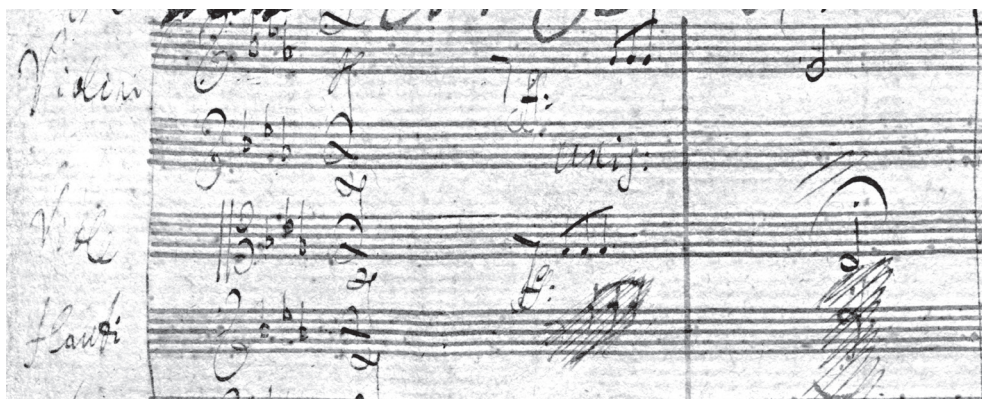


Plate 3. Beethoven, Fifth Symphony in C minor, Op. 67, first movement, mm. 1–2, autograph, folio 1 recto, cancelled flute parts

At the triumphant beginning of the last movement we see Beethoven refining his ideas of how to present such a spectacular moment. There is some fussing with the notes in the woodwinds, but his focus is mostly on the voicing of the chords in the three (newly present) trombones. The trombone parts themselves (alto, tenor, and bass) are written on staves normally dedicated to trumpets, timpani, and contrabasses, and Beethoven wrote the names of these latter instruments by mistake, only later correcting his error, although the clefs for the trombones are correct.<sup>61</sup> Beethoven also wanted to make sure that he (and presumably his publisher) noted the “arrival” of the trombones at this point, so he wrote “tromboni obligati” at the top of the page. But a clear afterthought shows Beethoven deciding to support the dotted-half + eighth + eighth-rest rhythm of the violins in the second measure with the trombones.<sup>62</sup>

The autograph of the Ninth Symphony in Berlin<sup>63</sup> – the first three movements only – has a small number of last-minute changes at beginnings, but the most

<sup>61</sup> I would like to thank David Levy and Jens Dufner for enlightening correspondence on this matter.

<sup>62</sup> Curiously, the bassoon parts look as though they were written in at a different time (Beethoven has used different ink and a different-size quill), but the idea of a contra-bassoon doubling the basses is clearly part of the original (“final”) plan.

<sup>63</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven 2.

interesting are those to the first and second movements. For the first movement, the addition is the crucial dynamic marking *sempre pianissimo* to the fifth and sixth measures and their tiny pickup. It is this dynamic direction that helps to create the unmatched sense of expectation and hushed potentiality that marks that symphony's famous beginning. It would be wonderful to be able to report that in the second-movement Scherzo the extraordinarily effective empty fourth measure at the opening is a last-minute idea, for Beethoven at first put notes into it, but the possibility that this was just a mistake in the act of writing cannot be ruled out. However, the other great rhetorical stroke – the solo timpani outburst directly after that measure – was in fact changed at a very late stage. Originally the gesture was accompanied by the contrabasses and possibly even the violins.

It is with tempo that Beethoven seems to have been the most undecided at beginnings. The beginning of the incomplete score of the Op. 15 Piano Concerto, also in Berlin,<sup>64</sup> betrays some uncertainty over the dynamics of the first movement and the voicing of the inner parts, but for the second movement a tempo modification after the word "Largo" is cancelled. Some tempo modification is also cancelled after the words "Rondo. Allegro" for the last movement. And for the Op. 19 Piano Concerto,<sup>65</sup> the tempo marking for the first movement ("Allegro con brio") was added later. The tempo marking "Adagio" and the bassoon parts were also added later to the slow movement. And there is no tempo marking at all for the finale. In the autograph of the String Quartet, Op. 59 No. 1,<sup>66</sup> the marking "Allegretto molto vivace e molto scherzando" for the second movement is changed to "Allegretto vivace e sempre scherzando." The autograph of the String Quartet, Op. 59 No. 2,<sup>67</sup> shows considerable uncertainty over tempos. For the first movement, the words "non molto" were added later to the tempo "Allo." and then crossed out at an even later stage. For the second movement the word "molto" before "adagio" has been crossed out in red and then re-added in pencil. (The word "espressivo" was added in pencil and then crossed out in pencil.) Beethoven vacillated considerably about the tempo of the last movement. "Allegro" is crossed out heavily and replaced with "Presto," which is then crossed out and replaced with "Allegro," which is then also crossed out. The final determination to settle on "Presto" is written in red (see Plate 4).

Even for the Fifth Symphony the tempo of the first movement was not settled in Beethoven's mind as he wrote the autograph. A modification (perhaps "molto") after the original "Allo." (= Allegro) has been cancelled and replaced with the words "con moto." For the first movement (Poco sostenuto) of the Piano

<sup>64</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven 12.

<sup>65</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven 13.

<sup>66</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven Mend.-Stift. 10.

<sup>67</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven 21.

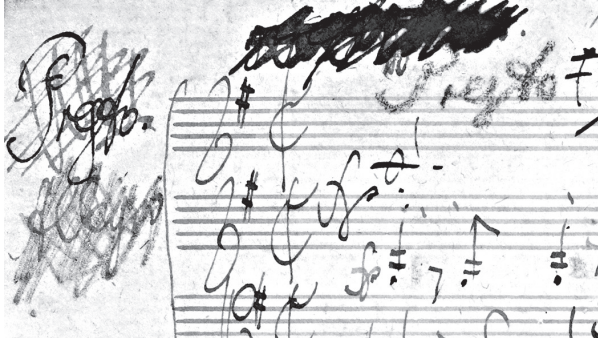


Plate 4. Beethoven, String Quartet in E minor, Op. 59 No. 2, last movement, autograph, folio 23 recto, tempo markings

Trio, Op. 70 No. 2, the autograph<sup>68</sup> has the “poco” written in, crossed out, and then reinstated. One remarkable example of Beethoven’s ambivalence about tempo is the marking for the Kyrie of the Mass in C, Op. 86. Here his modification of the basic *andante* tempo is fourfold: “*Andante con moto* (1) *assai vivace* (2) *quasi allegretto* (3) *ma non troppo* (4).” This extravagant marking is in the first edition<sup>69</sup> (see Plate 5), not in the autograph,<sup>70</sup> which bears no tempo marking at all and must represent a stage prior to Beethoven’s complex thinking on the matter.

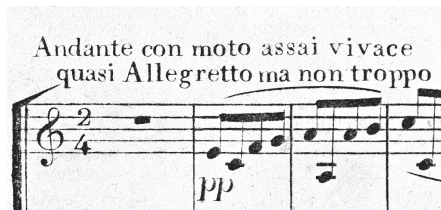


Plate 5. Beethoven, Mass in C, Op. 86, first movement, Kyrie, first edition, p. 1, tempo marking

On the other hand, his tempo marking for the slow movement of the Fifth Piano Concerto, Op. 73,<sup>71</sup> *Adagio un poco mosso*, is unambiguous and is clearly modified further in the direction of “movement” by the *alla breve* marking, which

<sup>68</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven Artaria 175/1 and 175/2.

<sup>69</sup> Beethoven-Haus Bonn, Bodmer, HCB C BMd 5.

<sup>70</sup> Beethoven-Haus Bonn, BH 68.

<sup>71</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven 15.

was incorrectly transcribed as 4/4 in the complete edition, leading to countless leaden performances.<sup>72</sup>

Julia Ronge has suggested that the vacillation evidenced by some of these markings is not based on Beethoven's uncertainty about tempos but about the imprecision of the words available to him with which to describe tempo.<sup>73</sup> And it is certainly true that Beethoven was himself ambivalent about the power of words to convey meaning.<sup>74</sup> In a letter of 1817 to Ignaz von Mosel, composer, conductor, and author, Beethoven complains of the uselessness of tempo indications. He suggested jettisoning tempo words and replacing them with simple metronome marks:

I have for a long time been thinking about abandoning those absurd descriptive words, Allegro, Andante, Adagio, Presto; and Maelzel's metronome gives us the best opportunity to do so. I now give you *my word* that I shall *never again* use them in any of my new compositions.<sup>75</sup>

But in fact, of course, he continued to use verbal tempo indications at the beginning of movements, and in a much later letter, perhaps dissatisfied with the inaccuracy of contemporary metronomes or ambivalent about replacing subjective tempo and character indications with an objective numbering system, he wrote, "The devil take all mechanical things!"<sup>76</sup> And for his last works, although he did supply his publisher with metronome markings for the Ninth Symphony, he never did so – despite repeated promises<sup>77</sup> – for the *Missa Solemnis* or for the last quartets. In this view, therefore, the autographs would show Beethoven search-

<sup>72</sup> See Kinderman, "Beyond the Text," 107.

<sup>73</sup> Personal communication.

<sup>74</sup> Penetrating discussions about the indirectness of the relationship between words and music are Hatten, *Musical Meaning in Beethoven*, 251–53; and Treitler, "Beethoven's 'Expressive' Markings," 89–94.

<sup>75</sup> *Briefwechsel Gesamtausgabe*, Letter No. 1196, vol. 4, 130; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 845, vol. 2, 727 (italics indicate Beethoven's original underlinings).

<sup>76</sup> *Briefwechsel Gesamtausgabe*, Letter No. 2187, vol. 6, 269; Anderson, ed. and trans., *The Letters of Beethoven*, Letter No. 1498, vol. 3, 1295. Michael Ladenburger discusses actual metronomes from Beethoven's time, including one that may have been in the composer's possession, in his "Ein stummer Zeuge oder neue Überlegungen zu einem viel diskutierten Thema: Beethoven und das Metronom," in *Bonner Beethoven-Studien* 12 (Bonn: Beethoven-Haus, 2016), 81–101. Ladenburger points out that the desire for more precise tempo markings was of a piece with the late eighteenth- and early nineteenth-century move towards objective and precise measurement of length and standardization of musical pitch in the Napoleonic era. (Ibid., 88.) It was in 1793 that the meter was defined as one ten-millionth of the distance from the North Pole to the equator along a meridian through Paris (of course).

<sup>77</sup> There were no fewer than eight such promises over a period of fifteen months, from November 1825 to February 1827.

ing not for a precise tempo but for the words to describe a tempo that was already precise in his mind.

Op. 132 is the only late string quartet autograph to be complete in one location.<sup>78</sup> Beethoven's late tempo modification was the direction "assai vivace," which is added in pencil to the "Alla marcia" of the fourth movement. There are many other small details of correction or refinement in all the movements of the quartet, but the most notable late addition is that of the first introductory measure of the Più allegro violin recitative passage that joins the fourth and fifth movements. Here it is clear that the first four rising eighth notes in viola and cello, *piano*, are a last-minute addition (see Plate 6). Some of Beethoven's most effective rhetorical strokes, like this one, were last-minute ideas, put into the "fair copy" after months of work in his mind and in sketchbooks. Perhaps it was the act of writing out what was supposed to be the final version of a work and seeing it in score on paper that occasioned these extra bursts of creative energy.<sup>79</sup>

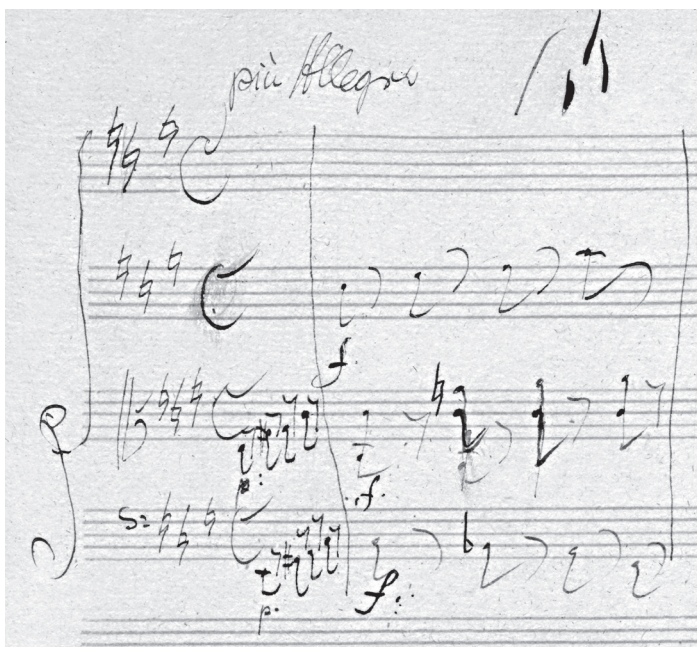


Plate 6. Beethoven, String Quartet in A minor, Op. 132, passage linking fourth and fifth movements, autograph manuscript, p. 93

<sup>78</sup> Staatsbibliothek zu Berlin Preussischer Kulturbesitz, Mus. ms. autogr. Beethoven Mend.-Stift. 11. Facsimile ed.: *Ludwig van Beethoven, Streichquartett a-moll, Op. 132: Vollständige Faksimileausgabe der Handschrift Mus. ms. autogr. Beethoven Mend.-Stift. 11 der Staatsbibliothek zu Berlin – Preussischer Kulturbesitz* (Munich: Henle, 2011).

<sup>79</sup> We might reasonably ask what kinds of books, representing the intermediate stage between the sketchbooks and the autograph scores, are extant. The answer is that there are none. Either they have all disappeared, or Beethoven did not use them.

In the autograph of the first movement of the Piano Trio, Op. 70 No. 1,<sup>80</sup> the beginning is stable, although later in the movement there are wholesale changes, with entire pages crossed out and radical re-composition. The beginning nine measures of the slow movement are written on a bifolio that is new, made up of different paper, and ruled with ten staves instead of the prevailing fourteen of the interior leaves. It is also written in a different hand. The outer bifolio of the first signature of the last movement is slightly shorter in height than the inner leaves, and there are many emendations of voicing and harmony in the very first measures. The autograph for the Violin Sonata, Op. 96,<sup>81</sup> is a unified manuscript of several gatherings, made up from the same paper and rulings. It has few corrections at beginnings, though the last movement, *Poco allegretto*, shows erasures and a re-voicing of the piano left hand in measures 2 and 5.

I have noted above how the beginning of the Scherzo *vivace* movement of the String Quartet, Op. 127, presents four pizzicato chords that have no analogue in the remainder of the movement and are never repeated. In the autograph score<sup>82</sup> it is clear that these chords were added as a last-minute idea, with the second-violin chords in the first measure then erased and amended, as is also the second-measure downbeat in the cello. The spacing of the bar lines shows that the original measure has now been subdivided into two measures, in order to make room for the added pizzicato opening. Because the repeat begins at measure 3, the pizzicato is never heard again. (In the manuscript the Scherzo reprise after the Trio is indicated by just the first violin part, which is written out.)

The Beethoven-Haus in Bonn holds by far the largest collection of autographs, consisting of dozens of works in both partial and complete form. Among the complete works in autograph score are the Piano Sonatas, Op. 28, Op. 53 ("Waldstein"), Op. 78, Op. 79, Op. 90, and Op. 101; the Bagatelles, Op. 33; the Op. 34 Piano Variations in F; the "Eroica" Variations, Op. 35; the Op. 77 Fantasia for Piano; the Diabelli Variations; the Op. 126 Bagatelles; the song cycle *An die ferne Geliebte*; the String Quartet, Op. 59 No. 3; the Violin Romance No. 1, Op. 40; the *Coriolan* overture; and the Sixth Symphony. Important autographs that are incomplete include single movements from the Piano Sonatas, Op. 110 and 111 and the String Quartets, Op. 127 and Op. 135; two of the Gellert songs, Op. 48; the first movement of the Op. 69 Cello Sonata; two numbers from *Fidelio*; and the Kyrie and some of the Gloria of the Mass in C, as well as some cadenzas for the Third and Fourth Piano Concertos. There are also a significant number of unpublished works and works by other composers in Beethoven's hand.

Some of these manuscripts display more examples of Beethoven's searching for the correct tempo. The autograph score of the Violin Sonata in C minor,

<sup>80</sup> New York, Morgan Library, Mary Flagler Cary Music Collection, Cary 61.

<sup>81</sup> New York, Morgan Library, MA 16.

<sup>82</sup> New York, Juilliard School of Music, Manuscript Collection, 27 B393ps Op. 127sc.

Op. 30 No. 2,<sup>83</sup> shows that the original tempo “Allegro spiritoso[?]” has been changed to “Allegro con brio,” particularly notable in the light of my observations earlier regarding the frequent association in Beethoven’s works of C minor and his designation “con brio.” The word “cantabile” has been added to the original “Adagio” marking of the second movement. The third-movement Scherzo is newly marked “allegro,” and, in red crayon, the instruction has been added that it should be played without repeats. The beginning page of the Bagatelles, Op. 33,<sup>84</sup> shows that the original tempo indication for the first bagatelle was “Andante grazioso.” The words “quasi allegretto” have been added as an afterthought. For No. 2 the designation “Scherzo allegro” has been added in pencil. The third piece in the autograph – erroneously labeled No. 7 – has the tempo marking “Allegretto,” added later. The tempo of No. 4 was changed from Allegretto to Allegro (and then perhaps even later: “ma non troppo”). No. 6 (“con una certa espressione parlante”) is Allegretto in the autograph, but “quasi Andante” was added for the first edition.<sup>85</sup> And No. 7, Presto, has the words “Allegro” in pen and “molto” in pencil both heavily cancelled. The addition of “con brio” to the “Allegro” marking of the beginning of the “Waldstein” Sonata<sup>86</sup> is an afterthought. The beginning of the String Quartet, Op. 59 No. 3,<sup>87</sup> was originally marked “Poco adagio.” This was deleted in favor of “Andante con moto.”

The autograph of the Piano Sonata in C, Op. 53 (“Waldstein”),<sup>88</sup> shows not only the addition of the “Introduzione” (new folios 14 and 15) to the last movement in place of the previously planned Andante (which was torn out and published separately) but also the way in which Beethoven must have re-thought the beginning of the final Rondo. A half-folio, containing this beginning, is sewn onto the bottom of folio 15 verso (see Plate 7).

What I have described as Beethoven’s “sense of occasion” when he began the writing out of an autograph score (and his later impatience with this sense) is amusingly indicated by the autograph of the Violin Romance No. 1, Op. 40.<sup>89</sup> On the first page the score is very carefully laid out with the winds occupying the first five staves (with separate staves for the two bassoons), followed by a space, followed by four staves for the strings, followed by a space, and the solo violin part is written on the lowest staff. The staves that are left empty to separate the

<sup>83</sup> Beethoven-Haus Bonn, Bodmer, Mh 26.

<sup>84</sup> Beethoven-Haus Bonn, Bodmer, Mh 5.

<sup>85</sup> Vienna: Bureau des Arts et d’Industrie, n.d. [1803].

<sup>86</sup> Beethoven-Haus Bonn, Bodmer, Mh 7. These early autographs were used as engraver’s copies by the publisher. Beethoven hired professional copyists only sporadically until about 1804–05. See Alan Tyson, “Notes on Five of Beethoven’s Copyists,” *Journal of the American Musicological Society* 23 (1970), 439–71, at 442–44.

<sup>87</sup> Beethoven-Haus Bonn, BH 62.

<sup>88</sup> Beethoven-Haus Bonn, Bodmer, HCB Mh 7.

<sup>89</sup> Beethoven-Haus Bonn, Bodmer, BMh 9/49.



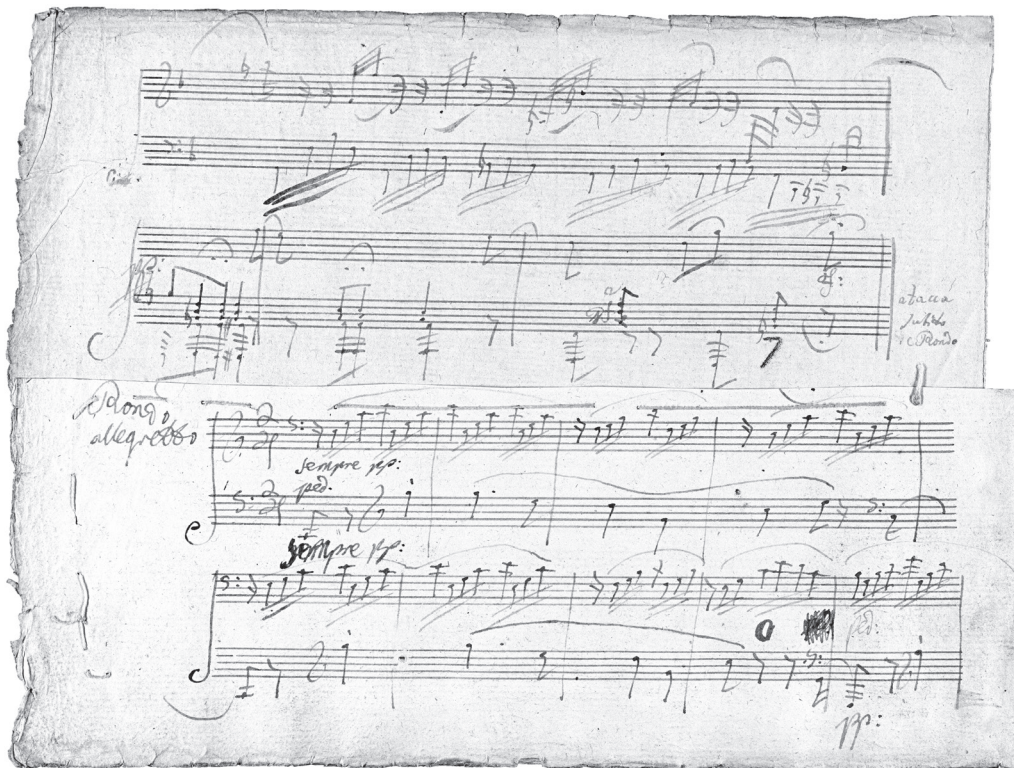


Plate 7. Beethoven, Piano Sonata in C Major, Op. 53 (“Waldstein”), beginning of last movement, partial sheet sewn into place, autograph, folio 15 verso

winds, strings, and solo part are each marked “spatium” (“space”), presumably to indicate to his copyist that the gaps are intentional. This plan is faithfully carried out for five pages, but by the sixth the space between the winds and strings has been forgotten and by the seventh that between the strings and the solo violin. It has become too much trouble for Beethoven to keep track of where each space is supposed to be maintained. “The devil take the space,” writes the composer directly onto the score (see Plate 8).<sup>90</sup>

No tempo is given, although the other violin romance of Beethoven, Op. 50, is marked “Adagio cantabile,” and Beethoven’s brother Kaspar Karl offered both of them for sale as “2 adagios for violin with complete instrumental accompaniment.”<sup>91</sup> The autograph of the String Quartet, Op. 135, shows again how a stroke of genius can occur at the last minute. The brief mid-range melodic echo in

<sup>90</sup> “Hol der Teufel das Spatium.” Beethoven-Haus Bonn, Bodmer, BMh 9/49, folio 5r.

<sup>91</sup> Thayer, *Thayer's Life of Beethoven*, 314.

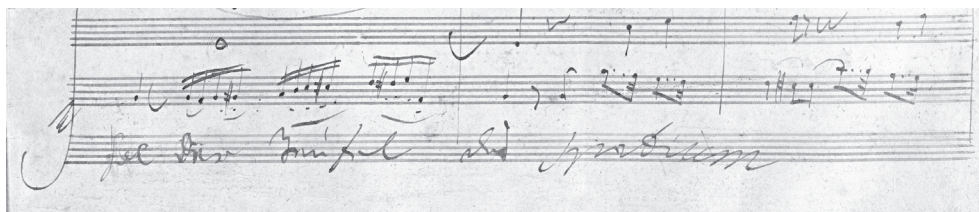


Plate 8. Beethoven, Violin Romance No. 1, Op. 40, autograph, folio 5 recto, staff 12

second violin and viola of measure 6 is clearly a last-minute thought. A measure before it, without the echo, is cancelled.<sup>92</sup>

The library of the Jagiellonian University in Kraków holds Beethoven autographs of the Septet, Op. 20; the Piano Sonata in A♭, Op. 26; the third movement only of the Eighth Symphony, and the String Quartet, Op. 131. No significant changes, emendations, or addenda are visible on the manuscripts of the Septet, the Sonata, or the symphony movement, but once again tempo markings at the beginning of movements are a cause for revision or review. The modification “*ma non troppo e molto espressivo*” is a later addition to the “*Adagio*” marking of the beginning of the string quartet; “*Allegro vivace*” is modified to “*Allegro molto vivace*” for the second movement or section; and the indications for the tempo of the variation movement (“*Andante ma non troppo*”) and one of its variations (“*Andante*”) are added later in pencil. Even these were not the final tempos that Beethoven settled on: they were modified further for the first edition.<sup>93</sup>

The process of Beethoven’s evolving intentions regarding the beginnings of his works will be further revealed as scholars embark on a more thorough analysis of paper, codicological formation, rastration, ink, pencil, crayon, handwriting, layout, measure size, clefs, tempo markings, and the various layers of correction and emendation in the composer’s autograph manuscripts. Also vital will be the relationship of these manuscripts to the ensuing professional copies (where they exist) and Beethoven’s interventions in them, the engraving and printing process up to and after publication, the errata lists he sent to publishers, and his corrections in printed parts.

<sup>92</sup> See Beethoven-Haus Bonn, Bodmer, BMh 7/47, folio 1.

<sup>93</sup> Mainz: Schott, n.d. [1827].



## CHAPTER EIGHT

### Conclusions

RESEARCH in neuroscience has revealed some vitally important discoveries about how our brains deal with new information, and this is true in conversation, reading, and looking at pictures, as well as in listening to music. In music the findings are powerfully suggestive. Before beginnings, our level of anticipation is at its highest: we are engrained with detailed expectations regarding pitch, intervals, consonance, phrasing, dynamics, rhythm, duration, tempo, meter, texture, and timbre. In performance, where music lives, beginnings are preceded by silence. When sound begins, our brains attend with strongly heightened focus; we decode beginnings with astounding speed; we form instant predictions as we listen and amend them with equal rapidity. These skills are innate and based on our evolutionary history. We are pleased when the music conforms to expectations and even more pleased when the music offers us surprises and then returns to conformity. We are constantly evaluating and re-evaluating what we hear. Our responses to music coincide with the deepest processes of our brains.

Musicologists have made much of the assumption that beginnings in Classic music are always direct, stable, and reliably predictive. None of these things are true. Beginnings are multifarious, vastly varied, sometimes direct, often deliberately misleading. First movements are beginning beginnings, and the beginnings of later movements are also beginnings, though of slightly lesser valence, just as the third beat in a 4/4 measure has a lesser organizational power than the first. First-movement beginnings may stand as reference points not just within the movement but later in the work also; but they may not. In a Classic structure, the key of the first movement (usually) dictates the key of the last movement and that of some of the other movements as well. And the tempo of the first movement often dictates which movements are chosen to be in second and third places. Thus, a common beginning strategy in first movements is the establishment of key, through unisons, chords, tonic pedals, dominant–tonic harmonies, arpeggios, or scales, or a combination of these elements. Especially in his early works, as one of his stratagems to announce the key, and relying on the influence of Haydn and Mozart, Beethoven often deployed rising tonic arpeggios or tonic chords at his beginnings. But in his middle years and later, beginnings became more ambiguous, less harmonically clear. They may be programmatic (Piano Sonata in Eb, Op. 81a [“Das Lebewohl”]), or misdirecting (Piano Sonata in E, Op. 109), or gently suspended (Piano Sonata in Ab, Op. 110), or harmonically completely unstable (Piano Sonata in C minor, Op. 111).

The establishment of a rhythmic profile is also often the business of beginnings, and this can be seen in all three of the principal composers of the Classic era, in whose music beginning rhythms serve to rationalize and serve as reference

points for what evolves. Haydn frequently continued a beginning rhythm throughout a movement (though he also manipulated beginning rhythms of minuets towards the sparser, fleeter accents of scherzos). Mozart used rhythm to help establish key. But Beethoven expanded the sense of beginning rhythm as a reference point into an organizing principle for movements that are held together throughout by simple and compelling rhythmic motives, which he prefers at beginnings; such as in the first movements of the Fourth Piano Concerto, the Violin Concerto, and the Fifth Symphony, the slow movement of the String Quartet, Op. 59 No. 3, the Allegretto of the Seventh Symphony, the Scherzo of the Ninth, and the last movements of the Op. 90 Piano Sonata and the String Quartet, Op. 131.

Some beginnings lay out a condensation of intervallic material for the remainder of the work. In Beethoven's later compositions, the most notable of these beginnings is the four-note figure featuring a rising half-step, the leap of a sixth, and a falling half-step (G# to A, A to F, F to E). It comes at the beginning of the String Quartet, Op. 132, and appears in various guises not just in that quartet but also in the two vastly ambitious quartets that follow it: Op. 130 and Op. 131. In Op. 130, the original last movement, the *Grosse Fuge*, summons up that figure at the beginning in four manifestations, which themselves serve as a repository of material for the entire over-fifteen-minute movement itself.

A beginning that is intended to quiet a restive audience is common in eighteenth-century works, especially symphonies, though Haydn's later quartets also feature beginnings that demand attention. Beethoven's calls to attention tend to resonate far beyond the beginnings of the works they open. The beginnings of the first movements of the "Eroica," the String Quartet, Op. 59 No. 2, and the "Hammerklavier" Sonata and the beginnings of the last movements of the Seventh Symphony and the String Quartet, Op. 130, are attention-getting, but they also convey meanings, not just of melodic outline or harmonic implication but also of scansion, texture, structural organization, and intervallic relationships that carry through the movement or even, in the former cases, through the whole work that they begin.

Sonority, texture, and dynamics also play a vital rhetorical role at beginnings. Pizzicato, *sordino*, *bariolage*, staccato, *una corda*, *glissando*, double- (or triple-) stopping, and other special effects are immediately striking, of course, especially in chamber music. The effects are usually called upon to play roles other than mere novelty: to highlight a *cantabile* melody (Haydn, String Quartet, Op. 1 No. 6), to effect a later contrast, (Haydn, String Quartet, Op. 20 No. 2), to announce instrumental color (Beethoven, Septet, Op. 20), to evoke exoticism (Beethoven, String Quartet, Op. 59 No. 3, second movement), or to create rhythmic ambiguity and evoke an anticipation that is never fulfilled (Beethoven, String Quartet, Op. 127, third movement).

Withholding instruments in a string quartet creates special textures that can be used as reference points or as a means of creating intensity, as the instruments

are added back; or the reverse, as they are subtracted. The addition of several orchestral instruments for the first time in a last movement (Beethoven's Fifth Symphony, for example) can be both startling and climactic. Solo instrument (or instrumental group) beginnings are frequently a sign of fugal procedures to come; but a solo violin in the midst of an orchestral work creates a celestial effect (the "Praeludium" of the *Missa Solemnis*). Low texture is anticipatory or somber or dramatic, while pedal points in the bass suggest a pastoral allusion (Beethoven's Piano Sonata, Op. 28, his Sixth Symphony). In a largely contrapuntal world, homophony is oddly compelling (the Allegretto of Beethoven's Seventh Symphony, the last movement of his Piano Sonata, Op. 109). And unison texture is even more so. It catches the ear by means of contrast and can then be a foil for the newly contrasting return of harmony or counterpoint.

In Haydn's and Mozart's symphonies, dynamics are often associated with tempo. Fast beginnings in Haydn are usually loud, although Mozart's three slow introductions are also loud. Only three of Beethoven's symphonies begin quietly, but two-thirds of his piano sonatas do so. A Mozart fingerprint is a beginning phrase that is quiet and is then repeated loudly. Beethoven sometimes borrowed this technique, as, for example, at the beginning of the String Quartet, Op. 18 No. 1, or, in a far more sophisticated, long-range, and nuanced manner, at the beginning of the Ninth Symphony.

An effective beginning is one that starts by taking us into the middle of things, as though the music had been going on before we began to listen. This is strikingly so – and psychologically so apposite – with the beginning of Beethoven's "Pastoral" Symphony, when we know that nature certainly goes on whether we are there or not. Another "nature" work, the song cycle *An die ferne Geliebte*, Op. 98, also starts *in medias res*, "on the hillside." The Piano Sonata, Op. 101, begins with a phrase that sounds like an answer – to what we don't yet know.

Beginnings of middle movements often mediate between endings and beginnings, effecting a transition between them. This is particularly in evidence in Beethoven's string quartets, starting with the Op. 59 set and picked up again as a technique in the (often multi-movement) late quartets. But the Op. 95 quartet is a very special case: a scale links the first and second movements, and its harmonic motion helps both to end the second movement and to begin the third, while the third-movement ending parallels the ending of the first movement, and the fourth-movement ending – before the accelerated coda – has echoes of both beginnings.

Run-on movements (usually slow movement to finale) are fairly common in Haydn's keyboard sonatas and piano trios, so that the beginnings of the finales are less new beginnings than continuations. In his thirties (1800–10) Beethoven adopted this effect of suppressing pauses before finales and thus linking the endings of his slow movements to the beginnings of his last movements, creating a "no time to breathe" experience for listeners. This happens in the Fifth Symphony (in this case the link is from an Allegro to the finale), the Fourth and

Fifth Piano Concertos, the Triple Concerto, the “Waldstein,” “Appassionata,” and “Lebewohl” Piano Sonatas, and the Op. 69 Cello Sonata. Even later, the two piano sonatas, Opp. 101 and 106, and the Cello Sonata, Op. 102 No. 2, return to this rhetoric of continuity, when a last-movement beginning is entered directly from a preceding movement and evades a preparatory silence. This kind of beginning can occur in other movements as well. The Grave opening of the “Pathétique” Piano Sonata, Op. 13, serves as the beginning of the Allegro that ensues as well, since there is no pause between them. Almost all the movements of both sonatas of Op. 27, the two “fantasia” sonatas, are connected, adding to the improvisatory sense that the genre implies.

Sometimes beginnings contain enough material for the entirety of what ensues. After opening flourishes, the two-measure *a tempo* beginning of Beethoven's Fifth Piano Concerto, with its turn figure, descending arpeggio, and dotted figure, provides all the motives that sustain the whole fifteen-minute movement. Even more remarkable is the conceptual idea of the beginning of the “Hammerklavier” Sonata. The falling thirds presented in the first four measures rule the structure of the whole 1,200-measure composition. And potential can reside in a beginning's inadequacy. We expect more. Thin, low beginnings form a nucleus around which layers of sound accumulate. The last movement of the “Eroica,” the Allegretto of the Seventh Symphony, and the presentation of the “Freude” theme of the last movement of the Ninth are spectacular examples of this kind of growth from sparse beginning to full-throated display.

Because convention rules so much in Classic music, unconventional beginnings are especially noteworthy. Some beginnings suggest the wrong key, or rather a key that is not the tonic of the work. Beethoven's very first symphony does this, as does the last movement of his Fourth Piano Concerto. The first movement of the “Waldstein” Piano Sonata doesn't settle on its tonic at all in the opening exposition. Other Beethoven beginnings are on “wrong” chords or harmonies or simply – but firmly – ambiguous as to key. Haydn was particularly fond of the latter trick, played in a multiplicity of ways, both in his chamber music and in his symphonies. Haydn could suggest tempos or rhythms that aren't there or that metamorphose into others; introduce movement structures that disappear; misplace cadences, elide divisions, reverse dynamic expectations, and vary supposed “repeats.” Mozart used subtle phrase elision to shift a beginning from balance to imbalance and turn an annunciatory opening into a phrase member. And Beethoven's mysterious beginnings involve phrase-length irregularity, rhythmic uncertainty, elusive or misleading or missing downbeats, metrical tension (usually between duple and triple meters), and misdirection as to form. We take pleasure in all these deceptions, contained as they are within a macroscopically reliable framework.

Beginnings can be overtly witty. Haydn, the jokester, composed piano trios and string quartets that open with music that works both backwards and forwards, one-beat loud chords that are instantly forgotten, and sharply defined

motives that recur irrelevantly at the end of sections. Even Beethoven could be witty: his Fantasia, Op. 77, is unpredictable throughout, and its beginning, with rapid descending scales that go nowhere, sets the scene.

Breaking rules is also most effective at beginnings. Mozart's Piano Concerto, K. 271 brings in the soloist at the beginning, against the rules. Beethoven waited until his Fourth and Fifth Piano Concertos, nearly thirty years later, to do the same. Haydn experimented with keys in five sharps and six flats, while Beethoven even wrote a work in F# Major (six sharps).<sup>1</sup>

A structural unit at a beginning sets up expectations for continuations. Such units include slow introductions, overtures, and themes for variations. Slow introductions are – grammatically – redundant: their absence would not mar a work's structure. But slow introductions can launch or delay a beginning, and such delay (postponing the arrival of another beginning) heightens expectation. Slow introductions to symphonies became common towards the end of the eighteenth century: we find them in eleven out of Haydn's twelve last symphonies and in three of Mozart's last five. Beethoven wrote slow introductions for only four of his symphonies, though his experiments with beginnings are far-ranging in other ways. But all three composers avoided placing slow introductions in front of minor symphonies. I hypothesize that the presentation of a minor key at the beginning of a work would have been startling enough in an era when fewer than 10 percent of symphonies were composed in minor keys.

Mozart's slow introductions employ a reversal of the normal rhetoric. Rather than lead to a triumphant arrival at the allegros, they are anti-climactic. The powerful full-orchestra dominant *fortissimo* fanfare of the "Linz" leads to low *piano* murmurings on low strings alone. The lengthy, harmonically searching, slow introduction of the "Prague" leads to a syncopated quiet rustle on first violins only. The grandly impressive slow introduction to the Symphony No. 39 ends, at the start of the Allegro, on a single note in the bass.

Beethoven's slow introductions (to his First, Second, Fourth, and Seventh Symphonies) become progressively longer, richer, and more developmental, with the endings of those for the Fourth and Seventh providing "pre-echoes" of the beginnings of the first movements proper, and the slow introduction of the Seventh being almost a complete movement in itself. The beginning of the Ninth opens with a kind of "pre-echo." It is not slow but it sounds as though it might be. This beginning moves the listener from silence to sound in the most seamless way possible.

Slow introductions for string quartets by Haydn and Mozart lend the ostentation of public music to what was generally regarded as the private sphere. The slow introduction to Mozart's String Quartet, K. 465 ("Dissonant"), is a *locus classicus* of musical obscurity (and of harmonic analysis) and may have been a

<sup>1</sup> For charts of key distribution in the principal works of Beethoven, compared with the works of Haydn and Mozart, see the Appendix.



model for Beethoven's Op. 18 No. 6 String Quartet. Models for the four slow introductions in Beethoven's piano sonatas may have been the slow introduction to Mozart's four-hand Piano Sonata, K. 497, or possibly two contemporary sonatas of Clementi. Beethoven provided slow introductions for his Piano Trios, Op. 1 No. 2 and Op. 70 No. 2, as well as for the two Op. 5 Cello Sonatas. In the trios, the slow introductions provide *gravitas*; in the cello sonatas, they provide something of an opening substitute for slow movements.

Occasionally a slow introduction will precede a last movement. These introductions are especially disruptive. Beethoven's "La Malinconia" introduction to the last movement of his Op. 18 No. 6 String Quartet is harmonically and registrally wrenching. Such an introduction is less introductory than one that comes before the first movement, but it is more disturbing. The Adagio before the last movement of Haydn's String Quartet, Op. 54 No. 2, is so long (fifty-six measures) that it persuades the listener that an extra slow movement has taken the place of the finale. The anticipated Presto finally arrives, suggesting a re-establishment of propriety, but it ends after less than a minute, and the Adagio returns and ends the movement. Haydn matches the slow introduction to the first movement of his Symphony No. 103 with a slow introduction to its last movement. But the matching is subtle as well as overt. There are hidden appearances of the slow music in the fast sections of both movements.

Beginning introductions to first movements can also be fast. They are especially misleading, for they pretend to be the first movement proper.

Overtures are movement-long beginnings. Haydn's opera overtures do not anticipate melodies from the work itself, but they establish the atmosphere of the drama to come or rise to the grandeur of the public occasion expected, as in Haydn's opera designed for London. Mozart's opera overtures often lead directly into the first act, and three anticipate music to come. In *Don Giovanni* and *Die Zauberflöte*, the music comes back to accompany crucial moments in the drama: the Don's being dragged to Hell and the approach of Tamino to the doors of the temple; in *Così*, a phrase comes back to accompany the singing of the title maxim. We recognize the salience of these moments by the original, beginning, position of the music. Beethoven's overtures were mostly composed for ceremonies, ballets, or plays and establish atmosphere for public events. The overture to performances of Goethe's play *Egmont* opens with the music that becomes the second theme of the Allegro, while the integration of the beginning in the *Coriolanus* overture is even more thoroughgoing, since the opening *fortissimo* unisons appear several times in the ensuing music. Beethoven's first three overtures for *Fidelio* all anticipate music from the opera, including Florestan's principal aria, and two of them even anticipate (spoil?) the *dénouement* with its crucial offstage trumpet calls. In his final attempt at this overture, Beethoven eliminated both of these ideas.

Multiple beginnings, in which a work or movement begins several times, feint in misleading directions before arriving at the beginning that proves substantive.

The misleading can be tonal, thematic, accentual, metric, or related to tempo. Sometimes double beginnings remain unreconciled, so that both beginnings continue in juxtaposition throughout the movement. This happens, for example, in Beethoven's String Quartet, Op. 130. And Beethoven's Ninth Symphony has four beginnings for its first movement and seven for its last. The integration of these elements is more successful in the first movement than in the fourth. Some multiple beginnings enact a composer improvising, searching for a way forward, in the same way that a fantasia enacts the improvisations of a performer. These allow us to experience the sensation of paths not taken, thoughts broken off.

With Nostalgia Returns of beginnings, we recognize something already experienced. The ways in which these beginnings and returns can be manipulated are endless, so the return (or returns) can evoke a wide range of emotions, from pleasant recognition to a sense of organic growth and transformation. The return(s) may be modified or even disguised, revealed only upon repeated hearings or through analysis. The returns in the final movement of Beethoven's last quartet are profoundly expressive, encouraging the listener to hold two thoughts in mind at the same time (both "Must it be?" and "It must be!").

Some beginnings are endings. A peremptory ending to start a piece upends expectation and yet reinforces anticipation, for we know that the piece has not ended. But if the beginning comes back as the ending, listeners experience a special sense of closure. Or they smile; for some beginnings as endings are jokes, such as the beginning/ending of the Trio of Mozart's Symphony No. 41 or the beginning/ending of the finale of Haydn's String Quartet, Op. 33 No. 2.

Verbal beginnings can precede the music: titles of both private works (sonata, trio, quartet) and public works (symphony, opera, Mass). Most of the titles on private works would have been seen by the performers only (though the performers were also the audience): "La Malinconia" (Op. 18 No. 6), "Marcia funebre" (the Piano Sonata, Op. 26), "Lustig" and "Traurig" (WoO 54), "Das Lebewohl" (Op. 81a), "Heiliger Dankgesang" (Op. 132), and "Der schwer gefasste Entschluss" (Op. 135). These titles affect musical apprehension today: if known, they expand the experience of many listeners, especially at beginnings, when the title is most vividly in mind; and even connoisseurs cannot avoid latching on to them. Titles can come in the middle of movements, surpassing even those affective descriptions ("con molto di sentimento," "affettuoso," "mit der innigsten Empfindung") that Beethoven used more and more frequently. These are certainly directions for the performers to lead the experience of the listeners. The title "Klagender Gesang" appears after the beginning of the last movement of Op. 110.

There are also titles as publishers' advertising copy. The titles "Grande Sonate" (Opp. 7, 13, 22, 26, 69) and even "Deux Sonates faciles" (Op. 49) are designed to lure shoppers, but they also condition the experience of the performer/audience. Public titles, too, are a kind of advertising, appearing on playbills as well as on scores, but they also direct listening. These titles include *Sinfonia Eroica*

for the Third Symphony, the title and the numerous additional inscriptions for the "Pastoral" Symphony, and "*Wellingtons Sieg oder die Schlacht bei Vittoria*" ("Wellington's Victory, or the Battle of Vittoria"), performed during the Congress of Vienna.

Beethoven vacillated over some beginnings. The four overtures for his opera *Fidelio* are a notable case in point. He changed his mind over the beginnings of the String Quartet, Op. 59 No. 3, and the Piano Sonatas, Op. 109 and Op. 111, and he changed it many times over the beginning of the String Quartet, Op. 18 No. 1 (and the beginning of its last movement). The introduction to the Second Symphony was originally in a different meter. Completely different beginnings were planned for the first movement of the "Eroica" and the last movement of the String Quartet, Op. 127. Many beginnings never turned into finished works, as was frequently the case for Mozart. And Beethoven's autograph manuscripts (his supposedly final copies) display constant revision of beginnings. One of the items that Beethoven changed his mind about the most was tempo, or at least what words to use to describe tempo. Sometimes, at the very last moment, he added some music to the beginning of a movement or section of a composition. The four notes at the beginning of the section that links the fourth and fifth movements of Op. 132 are new. The pizzicato chords at the beginning of the Scherzo of Op. 127 were added at the last minute. A new introduction was added to the last movement of the "Waldstein" Sonata. Interior melodic echoes were added to the beginning of Op. 135. The rising thirds that open the slow movement of the "Hammerklavier" Sonata were sent in to the publisher by means of a letter. Beethoven even persuaded the publisher of his Fifth Symphony to correct the engraved plates (a time-consuming and expensive process) after the first hundred copies of all the parts had already been printed. And correction lists, changes in instrument parts, revised manuscripts, and further edits by letter are common.

In most music, just as with cats, the naming of things is a difficult matter;<sup>2</sup> thus many of the categories I have proposed in this book are overlapping and permeable. The beginning of Haydn's String Quartet in E $\flat$  Major, Op. 71 No. 3, for instance (see Example 66 on p. 161), is simultaneously unconventional, witty, a call to attention, and a beginning before the beginning. But, however you name them, beginnings have vital roles and should receive more notice from analysts and others who think carefully about music. Beethoven and his contemporaries knew instinctively what neuroscience has only recently confirmed: that our most intense concentration, heightened awareness, and active listening occur right at the beginning of things, at that all-important moment when silence becomes sound.

<sup>2</sup> T. S. Eliot, "The Naming of Cats," in *Old Possum's Book of Practical Cats* (London: Faber and Faber, 1939), 1–2, at 1: "The Naming of Cats is a difficult matter."

## Appendix

### Key Distribution in the Principal Works of Beethoven

#### THE SYMPHONIES

Symphony	<i>C minor</i>	E $\flat$ Major	B $\flat$ Major	<i>D minor</i>	F Major	<b>C Major</b>	D Major	A Major
1						*		
2							*	
3		*						
4			*					
5	*							
6					*			
7								*
8					*			
9				*				

The range of the symphonies is from three flats to three sharps, with two of the nine symphonies (22 percent) in minor keys. There is a leaning to the flat side, with six symphonies in flat keys, two in sharp keys. Mozart's symphonies range from three flats to three sharps, with only two in minor keys (K. 183 and K. 550, both in G minor). Haydn, with a greater number of symphonies (over a hundred), encompasses four flats (No. 49 in F minor), four sharps (Nos. 12 and 29 in E Major), and even five sharps (No. 46 in B Major). (However, Symphony No. 46 is a special case, since, as James Webster has pointed out, it is one of a pair with the "Farewell" Symphony and may also be programmatic.<sup>1</sup>) Eleven of Haydn's symphonies are in minor keys, with three in C minor, three in D minor, and two in G minor. Only two are in sharp minor keys: the special "Farewell" and the symphony immediately adjacent to it, Symphony No. 44 in E minor.

<sup>1</sup> See Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, 267–87.

## THE STRING QUARTETS

Opus	<i>F</i> <i>minor</i>	<i>C</i> <i>minor</i>	<i>E<math>\flat</math></i> Major	<i>B<math>\flat</math></i> Major	<i>F</i> Major	<i>A</i> <i>minor</i>	<b>C</b> <b>Major</b>	<i>E</i> <i>minor</i>	<i>G</i> Major	<i>D</i> Major	<i>A</i> Major	<i>C<math>\sharp</math></i> <i>minor</i>
18, 1					*							
18, 2									*			
18, 3										*		
18, 4		*										
18, 5											*	
18, 6				*								
59, 1					*							
59, 2								*				
59, 3							*					
74			*									
95	*											
127			*									
130				*								
131												*
132						*						
135					*							

The range is from four flats to three sharps, but there are more quartets in flat keys (nine) than in sharp keys (five). Five of the sixteen quartets are in minor keys (31 percent). Haydn's quartets range from four flats to four sharps, although more than half are in major keys with no more than two flats or two sharps. As in Beethoven, there is a preference for the flat side. Twelve of Haydn's sixty-eight quartets are in minor keys; four of these are in D minor. Only three are in sharp minor keys. Mozart's range is three flats to three sharps, with only a slight preference for the flat side. Of Mozart's twenty-three quartets, two are in D minor: K. 173 and K. 421.

## THE PIANO CONCERTOS

Concerto	<i>C minor</i>	E $\flat$ Major	B $\flat$ Major	<b>C Major</b>	G Major
1				*	
2			*		
3	*				
4					*
5		*			

The range is from three flats to one sharp, with an emphasis on the flat side. Only one concerto out of the five is in a minor key. Adding the Triple Concerto (in C Major) and the Violin Concerto (in D Major) to the list, the balance between the flat side and the sharp side is more even, but the single concerto in the minor now counts as only 14 percent of the total.



## THE PIANO SONATAS

The range of keys among the piano sonatas, a genre more personal and more experimental for Beethoven, is far wider than that for the other genres. The sonatas cover a range of sixteen keys, from four flats to six sharps, though the flat side is still somewhat favored (seventeen as opposed to thirteen). Six minor keys are employed, with nine of the thirty-two sonatas (28 percent) in minor keys. If one includes the “Kurfürst” Sonatas of WoO 47, in E $\flat$ , F minor, and D, the range is the same, and the number of keys employed remains the same, but the percentage of minor keys (ten sonatas out of thirty-five) rises to 29 percent. For Haydn’s over fifty piano sonatas, the range is from four flats (A $\flat$  Major, Nos. 43 and 46) to five sharps (B Major, Hob. XVI: 2c). Seven are in minor keys, and five of these are sharp minor. Mozart’s piano sonatas range from C minor to A Major, with only two out of eighteen sonatas in minor keys (K. 310 in A minor and K. 457 in C minor); none are in sharp minor keys.



## THE PIANO TRIOS

Opus	<i>C minor</i>	<i>E♭ Major</i>	<i>B♭ Major</i>	<i>G Major</i>	<i>D Major</i>
1, 1		*			
1, 2				*	
1, 3	*				
70, 1					*
70, 2		*			
97			*		

The piano trios range from three flats to two sharps, favoring the flat side, and only one out of six works is in a minor key. The three piano quartets of WoO 36 are in *E♭*, *D*, and *C Major*. Haydn's piano trios range from six flats (Piano Trio No. 31 in *E♭ minor*) to four sharps (No. 28 in *E Major*). Eight (of forty-one) are in minor keys with only two in sharp minor. Mozart's Piano Trios range from two flats to one sharp. All are in major keys.

## THE VIOLIN SONATAS

Opus	<i>C minor</i>	<i>E♭ Major</i>	<i>F Major</i>	<i>A minor</i>	<i>G Major</i>	<i>D Major</i>	<i>A Major</i>
12, 1						*	
12, 2							*
12, 3		*					
23				*			
24			*				
30, 1							*
30, 2	*						
30, 3					*		
47				*			
96					*		

The violin sonatas range from three flats to three sharps, equally distributed on the flat and sharp sides, but with three out of ten works (33 percent) being in minor keys. Only one of Mozart's thirty-three violin sonatas is in a minor key (K. 304 in *E minor*). Haydn's only original violin sonata is in *G Major*.

## THE CELLO SONATAS

Opus	<i>G minor</i>	F Major	<b>C Major</b>	D Major	A Major
5, 1		*			
5, 2	*				
69					*
102, 1			*		
102, 2				*	

The cello sonatas, ranging only from two flats to three sharps, are equally distributed from flat side to sharp side, and only one of the five works is in a minor key.

## THE OVERTURES

Overture	<i>F minor</i>	<i>C minor</i>	E $\flat$ Major	<b>C Major</b>	G Major	E Major
<i>Prometheus</i> , Op. 43				*		
<i>Coriolan</i> , Op. 62		*				
<i>Leonore</i> No. 2, Op. 72a				*		
<i>Leonore</i> No. 3, Op. 72b				*		
<i>Leonore</i> No. 1, Op. 138				*		
<i>Fidelio</i> , Op. 72						*
<i>Egmont</i> , Op. 84	*					
<i>The Ruins of Athens</i> , Op. 113					*	
<i>Namensfeier</i> , Op. 115				*		
<i>King Stephen</i> , Op. 117			*			
<i>Consecration of the House</i> , Op. 124				*		

Over half of the overtures (six out of eleven) are in C Major. This number is artificially enhanced by the three versions of the *Leonore* overture, but nonetheless the proportion is striking. There are two minor overtures (18 percent). Eight of the eleven overtures (73 percent) are on the neutral or sharp side.

## THE CHORAL WORKS

Work	<i>C minor</i>	<b>C Major</b>	D Major
Choral Fantasy	*		
<i>Christus am Ölberge</i>		*	
Mass in C		*	
<i>Meerestille</i>			*
<i>Missa Solemnis</i>			*
<i>Der glorreiche Augenblick</i>		*	

Five out of six (83 percent) of the major choral works are on the neutral or sharp side. If one adds the two early cantatas (“On the Death of Emperor Joseph II,” WoO 87, in C minor, and “On the Accession of Emperor Leopold II,” WoO 88, in D Major), the proportion changes to six out of eight (75 percent). Haydn’s full Masses are all in major keys with the exception of the *Missa in Angustiis* (1798). Five of the thirteen are in B♭ Major; five are neutral or sharp.

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JEREMY YUDKIN is Professor of Music and Co-Director of the Center for Beethoven Research at Boston University.

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