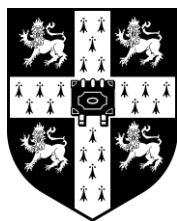


REINTERPRETING MUSICAL UNITY AND ITS CENTRALITY IN BEETHOVEN'S OP. 10 NO. 3

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“[I]t is particularly the intimate relationship of the individual themes to one another which produces the unity that firmly maintains a single feeling in the listener’s heart.” -

Hoffmann

Reinterpreting musical unity and its centrality in Beethoven’s op.10 no.3.

The concept of musical unity has underpinned Beethoven scholarship since the time of E. T. A. Hoffmann.¹ Delineating motivic unity has been central to this.² However, the complexity of Beethoven’s compositions merits a multifaceted analytical approach, not rejecting unity as a concept but scrutinising its position and seeking a multiplicity of unifying factors.

To understand the spirit of Beethoven’s music, Schlosser claims that “study of the score is absolutely necessary” and Knittel promises that such study will reveal the unity of Beethoven’s composition. Through an analysis of the Piano Sonata in D major, Op.10 No.3 I will explore the merit of Knittel’s assertion, explore the nature of musical ‘unity’ itself, in Beethoven and beyond, and establish a position within the current spectrum of academic thought.

¹ E. T. A. Hoffmann: E. T. A. Hoffmann’s Musical Writings: Kreisleriana, The Poet and the Composer, Music Criticism, ed. Charlton (Cambridge, Cambridge University Press, 1989), 250

² Irving 2002: 202

Reinterpreting musical unity and its centrality in Beethoven's op.10 no.3.

Introduction

In a lecture given in 1932 Anton Webern said, 'Unity.....there is a word we could discuss all day'³ – and scholars have indeed done so. The debate is an old one, dating back to the German Romantics, but in the past twenty five years, a body of musicological work has emerged, reassessing the role of unity in musical analysis and understanding.⁴ Kerman states that the genesis of unity as an important musical concept lies in a need to validate a particular corpus of work through the metaphor of organicism⁵. Street adds that aesthetic speculation by philosophers such as Hegel, Schopenhauer and Nietzsche encouraged an understanding of art as organism. In the twentieth century, Schenker, with his new reductionist method, further encouraged the fixation with unity. Just as philosophy informed the original debate, postmodernism and deconstructionism have inspired more recent challenges to the concept of unity both in general and in music specifically. Unity was originally associated with a particular genre of work, but the strength of the 'prevailing ideology' (to use Street's term) meant that new facets of experience uncovered by new music were ignored. In the same lecture Webern declared that 'unity is surely the indispensable thing if meaning is to exist'⁶. This attitude to unity was not really contested, and consequently recent writers have worked towards a more balanced concept of unity.

Street's essay of 1989 is perhaps the most out-spoken critique of unity, and the academic culture which has come to value it. Although Street himself recognises unity as an engrained element within our culture's musical ideology; what he really attacks is the 'championship of unity over diversity' which in his opinion represents nothing other than 'a generalised state of false consciousness: illusion rather than reality'⁷. An important point Street makes is that unity and disunity must be complementary as 'one cannot exist without the other'⁸. Street is no champion of disunity. Instead he champions a "third-way", what he describes as an 'allegorical understanding'. His argument is largely philosophical and much applies to art in general, rather than music in particular. What he is challenging is the objectivity of aesthetic experience,

³ Webern 1963: 42

⁴ I will consider: Street 1989: 77-123, Morgan 2003: 7-50, Maus 1999: 172-191 and Levy 1987: 3-27

⁵ Kerman 1980: 315

⁶ Webern 1960: 42

⁷ Street 1989: 80

⁸ *ibid.* 80

preferring the view that ambiguity is inevitable.

Street, in outlining his position, concludes that ‘for there to be any hope of redemption from the perils of organicist dogma, analysts must work to develop a broader, more humane criticism, free from the formalist obsession which organicism promotes.’⁹ Obsessions are rarely to be encouraged in analytical work, especially when they concern concepts that exist outside the realm of the musical works in question. In this respect, ‘humane criticism’ is a laudable aspiration. However, as the essay develops, Street’s tendency is to suggest lots of problems but few solutions. Post-modernism’s nature is to show the inherent contradiction in theories that exist, whilst providing little to replace them. Street seems to be aware of this and in his conclusion he appreciates the limits of his alternative; ‘allegorical consciousness does not fulfil the role of self-present panacea’¹⁰. Acknowledging the relationship between a fundamental belief in the merits of criticism and the post modern deconstruction which renders criticism almost redundant, does at least show an appreciation of the good intentions behind the academic project.

Street’s methodology; utilising arguments from philosophy and literary theory, is not particularly sympathetic to those who believe that analysis can, in some sense, “speak for itself”, free from philosophical theory. Morgan offers a more analytical, rather than philosophical take on the debate, covering some similar topics, but with a very different outcome. He addresses the trend for analysts to redress the balance, which has always been in favour of unity, by writing disunifying analysis. Morgan takes five different analyses, by Agawu, Chua, Dubiel, Korsyn and Kramer, which offer more analytical reflections on Street’s argument, and through analyses of his own attempts to assert the importance of unity as he understands it. This condition is quite important; as Morgan’s interpretation of ‘unity’ is quite different to that which Street condemns the ‘prevailing ideology’ for extolling. Morgan is quick to remind those with a philosophical persuasion that unity in the context of musical analysis is not the absolute unity in the sense that Bradley, as an idealist philosopher, would understand it¹¹. Rather, ‘the unity asserted by music analysts acknowledges the coexistence of distinct and contrasting elements, but finds that, however differentiated these may be, they work together to produce a common and coherent

⁹ Street 1989: 83

¹⁰ *ibid.* 118

¹¹ Morgan 2003: 21

goal'¹². Street addresses the 'prevailing ideology' as if the belief that unity is a natural law, innate to art, is still commonly held. Perhaps a few hang on to this metaphysical ideal, but Morgan suggests that a more commonly held view, which accepts unity as an analytical construct with the possibility for 'multiple and contradictory interpretations'¹³, is much more commonly held.

If Morgan provides a more analytical argument, then Maus provides a more subjective one. Despite proposing ways to question unity, his interest derives from a fundamental belief that 'unity of some kind is important, somehow, in many of my listening experiences'¹⁴. Maus dedicates much of his essay to assessing where, exactly, the unity that he perceives resides. He correctly diagnoses that unity should be made evident through experience, not analysis, criticising Cohn and Dempster for finding musical unity in analysis. However, Maus' response to this: to deny unity's importance within composition, seems misguided, as it denies the existence of any link between hearing and analysing. In dedicating time to the nature of experience Maus fails to realise that, in analysing a work, a musicologist will hear it tens, if not hundreds, of times. For Maus, experiences are temporal, each hearing constituting a different experience. If there is some connection in our perception of these experiences, (as invariably there is), for instance, each hearing conveys a sense of unity; this commonality must reside in the feature common to these experiences. Surely the composition itself is the most significant feature common to all our hearings of a particular work. Maus rejects this thesis for one where unity resides in 'an experience', 'story' and 'musical world'¹⁵. Maus sees his concept of musical worlds as refining the 'Deweyan notion of "a musical experience"¹⁶, and it provides the main metaphor for his concept of unity. Narrative is important to our perception of unity, (are not classical forms a narrative in one sense) and the experience of a work is also important, but pride of place must be given to the composition. Do we really hear music, (and derive a perception of unity) in terms of 'fictional worlds' and 'stories', or harmony, melody and rhythm?

In the second part of his essay Maus turns to the complications that language presents when attempting to express analytical arguments. For Maus, a lack of precision and specificity, of

¹² *ibid.* 21-22

¹³ Morgan 2003: 26

¹⁴ Maus 1999: 175

¹⁵ *ibid.* 182

¹⁶ *ibid.* 181

language has devalued much unifying analysis. Many words have similar connotations to unity: ‘coherence’, ‘integration’ and ‘synthesis’ are just a few suggested by Maus and by addressing their conventional definitions, shows that they are often used with too little thought by analysts such as Cone. Thankfully, Maus, though suggesting new languages as a way forward, does appreciate that perhaps the language we have, is serviceable, if used with ‘evocative precision’. Levy, in her essay¹⁷, is concerned almost exclusively with the use of language in analytical writing and the way that, either casually or covertly, value is attached to particular qualities in analysis, including ‘organicism’, ‘originality’, ‘counterpoint’, and ‘progress’. The reason for these embedded (usually positive) value judgments is that analysts tend to write about music that they like, and consequently want to understand better. Morgan writes that ‘analysis is based on the assumption that music “makes sense”’. Attaching ‘analysis’ to ‘making sense’ implies that analysis is a reasonable attempt to communicate about music, and as such, analysis acquires positive value in itself, manifested in academics writing.

Much of the opposition to unity stems from the position that all language must be metaphorical with an inherent ‘inability to free itself from its own limitations’¹⁸. Derrida, responsible for giving us the term ‘deconstruction’ sees the assumption that language has explicit meaning as misplaced. This interpretation of the relationship between truth and language, for Morgan, removes potential for ‘an objective account of music’¹⁹. This whole linguistic argument reflects the complexity and consequence of language itself. When writing analysis, one cannot escape language and its vagaries, but one can attempt to be rigorous when it comes to lexical choice and implication.

If Street’s failure is to offer practical guidance to analysts, Meyer is quite the opposite. Although he does not write about unity explicitly in discussing the nature of musical analysis, an implicit concern with unity becomes apparent in the process of studying and hearing music in detail. All academics, regardless of discipline, react to a set of stimuli and attempt to make sense of them. This often happens by noticing patterns and modelling connections between apparently unconnected phenomena. Meyer calls for analysts to be as ‘inclusive as possible’²⁰ in their

¹⁷ Levy 1987: 3-27

¹⁸ Morgan 2003: 22

¹⁹ *ibid.* 22

²⁰ Meyer 1973: 24

methodology. One, like Morgan in his analysis, should utilise ‘whatever seems particularly relevant [methodologically] for the passage in question’. Meyer senses that choice of analytical method should be a reactive rather than a predetermined construct. ‘In analyzing a Beethoven sonata, for instance, a number of techniques and theoretical approaches are appropriate: conventional harmonic analysis, motivic derivation, (judiciously employed), and character of music and so on.’²¹ Hopefully this diversity of method will result in the more ‘humane criticism’ that Street calls for.

Morgan points out that all analysis has an aim which in his case is ‘a predisposition to find unity’. Given that each analysis has its particular bias, Morgan reassures the ‘unity-oriented’ analyst that this bias does not prevent an appreciation of different types and levels of unity. For Kerman the unity concept, rather conveniently, is particularly relevant to the German Instrumental tradition. Just as the critical concept of unity emerged with this repertory, much of the challenge to unity, as shown by the five analyses that Morgan tackles, is associated with the same body of works. A preoccupation with unity in connection with these works does not have to be a dubious, self-justifying cultural construct. Could it not be a reflection of a common experience of this music, which informs us that unity, in some appropriate sense, is a considerable factor, with analysis attempting to codify, and describe, factors that are important contributors to the experience. Much of the more vocal criticism of unity is nullified by a less totalitarian interpretation of musical unity. This new interpretation represents a rejection of the concept of “musical unity” and the encouragement of more specific, analytically constructed unities. It does not seem obvious that the “unity” of a twelve tone composition and the “unity” of a Beethoven sonata should have many features in common. Armed with this interpretation of unity, as analytical construct and response to a personal experience and the voices of the skeptics, warning against obsessions and linguistic frivolity; it is time to respond to Morgan’s calls for us to find new unities in ‘Mozart, Haydn, Beethoven and Brahms’²².

Analysis of Op.10 No.3:

Since Hoffmann’s famous review of the Fifth symphony in 1811, writers, including Tovey, Kerman and Réti have commented upon unity, within Beethoven’s works in particular. In this

²¹ *ibid.* 24

²² Morgan 2003: 44

respect, the unity-oriented analysis here will walk a well trodden musicological path. However, criticism contemporary with this work is in different vein. For example, In 1799 op.10, (Piano Sonatas 5, 6 and 7) was reviewed in the *Allgemeine musikalische Zeitung*. The reviewer believes that, in principle, the collection is worthy of ‘much praise’²³ but Beethoven is warned against his ‘occasionally too liberal style of composing, entrances of unprepared intervals and the frequent harshness of transition notes’²⁴. Elsewhere in the review Beethoven is criticised for his ‘abundance of ideas’²⁵ which are arranged by means of ‘a bizarre manner so as to bring about an obscure artificiality or an artificial obscurity, which is disadvantageous rather than advantageous to the effect of the entire piece.’²⁶ This could not be more different from Réti’s interpretation²⁷ which suggests that all the sonatas major themes come from the same motivic cells and so are not different ideas, but different manifestations of the same idea.

Since these very first reviews there has been little in the way of focussed analysis on this particular piano sonata. It is treated in both Rosen’s and Tovey’s works on the piano sonatas as a whole, but with little more than narrative accounts of surface phenomena.²⁸ The most detailed account, at least of the opening of the sonata²⁹, is provided by Marston in an essay focussing on Beethoven’s more famous, ‘Hammerklavier’ Sonata. Marston traces the history of ‘A to B’ back from the ‘Hammerklavier’ to the earlier sonata, op.10 no.3 and in doing so outlines a brief account of the development section of the sonata’s first movement, up to the (rather unexpected) B♭ in mm.133. Despite acknowledging that ‘the move up from A to B♭ following the pause is calculated to come as a surprise’³⁰ he then continues to show that B♭ has been prepared throughout the exposition, and can be explained as a ‘composing out’ of earlier A♯s in mm.13-14 and mm.20. These “unexpected” or “surprising” moments are often at the heart of unity debates. Kramer and Morgan disagree in their analysis of the first movement of Mozart’s Symphony no.40 about whether mm.247-251 have ‘motivic precedent or consequent’³¹. In his response Morgan aims to demonstrate that, contrary to Kramer’s analysis, there is a justification

²³ Senner 1999: 142

²⁴ *ibid.* 142

²⁵ *ibid.* 142

²⁶ *ibid.* 142

²⁷ Réti, Rudolph: ‘Thematic Patterns in Sonatas of Beethoven’, (London, Faber and Faber, 1967)

²⁸ In fairness to Tovey, he never claims to be offering anything more than a ‘bar by bar’ analysis.

²⁹ Wintle 1985: 145-183 gives a very thorough account of the 2nd Movement.

³⁰ Marston 1998: 97

³¹ Kramer 1993: [?]

for these bars in the harmonic scheme of the whole movement. In this context Marston offers a unifying explanation of this “surprise” by interpreting it as a consequence of previous events. Perhaps more would be gained in a unity-oriented analysis not by justifying mm.133, but by interpreting it in the context of the whole sonata. In itself mm.133, explicable by previous events or not, is just a move from the dominant to \flat VI. At the beginning of the development section in sonata form we would expect to see a departure from tonic-dominant tonality. However in the context of the whole sonata this departure can transform into something rather different.

In the fourth movement, Beethoven writes another aural ‘surprise’, in mm.33. At the end of the first return of the rondo theme a move to $B\flat$ is emphasised by a series of *sf* markings in the right hand³². As Morgan says, ‘unexpected moments typify classical-period music’³³, but being typical of the genre does not lessen the immediate impact on the ear. In this respect, an aural surprise is, to an analyst, typical, if totally unpredictable. It is not the appearance of this second harmonic shift that is the issue, but the resemblance that it bears to the first. Even in these two, apparently isolated instances it is the same tonality that occurs and within this lies the focus and direction of this analysis. How unity is created, not by motivic, or other surface connections, but by harmonic function and what Coren pinpoints as ‘the placement of specific harmonic functions at analogous structural positions in different movements’ will be the main thrust.³⁴

It is worth pointing out at this early stage that what is striking about this sonata is not harmonic language or harmonic function specifically. If we describe the move into the development section of op.10 no.3 as from A, functioning as V of I, to $B\flat$ as \flat VI then we can find similar examples in previous works by Beethoven and others. In the development section of the first movement his Piano Sonata in A op.2 no.2, Beethoven writes a very similar progression from G, functioning as V of a local tonic, C, to $A\flat$, the flattened tonic. Although not identical, this is obviously very similar. In his article ‘Remote keys and Multi-Movement Unity: Haydn in the 1790s’ Haimo is mainly concerned with the relationships of keys between movements. Haimo highlights Haydn’s op.77 no.1 which has alternating movements in G major, the tonic, and $E\flat$ major, the flattened

³² Although the [*ff*] marked in the Associated Board edition, (ed. Craxton) at the start of bar 33 has no precedent in the first edition.

³³ Morgan 2003: 20

³⁴ Coren 1977: 81

submediant. Not only this, but he describes a ‘spectacular shift’³⁵ in the Menuet, where ‘instead of the expected authentic cadence, there is a deceptive cadence-and not to the diatonic VI, but rather to the \flat VI’³⁶ which initiates the Trio in $E\flat$. This shows that \flat VI was a key active on a number of harmonic levels, with Haydn writing a number of movements in \flat VI but also moving from V to \flat VI on a more local level.

There is an undeniable similarity in harmonic rhetoric between the first and last movements, specifically between mm.132 to 133 in the first movement, and between mm.32 and 33 in the last movement: both are progressions from A as V of I, to \flat VI. Addressing the structural placement of harmony, it is clear that both occur as the first, and most significant, harmonic excursion within each movement. Obviously in the first movement there has been a modulation to A before the modulation to $B\flat$, but in the context of sonata form, a modulation to the dominant at the end of the exposition does not really constitute a “significant harmonic excursion”. The conventional concept of sonata form conveniently gives the title “development section” to mm.133-183 in the first movement and although not associated with rondo form, a similar title seems appropriate for mm.33-55 in the fourth. The specifics of the modulation to these “development” sections are similar, but there are many, more subtle similarities between the two in terms of harmonic shape, best expressed, (or at least most easily) by the following pair of diagrams:³⁷

Ex. 1: Mvt. I, mm.133-183

The musical score shows a progression of chords in the right hand (treble clef) and left hand (bass clef). The right hand starts with a chord in measure 133, followed by a series of chords in measures 141, 149, 157, 160, 161, 165, 167, and 183. The left hand provides a harmonic accompaniment with chords in measures 133, 141, 149, 157, 160, 161, 165, 167, and 183. The score is in a key signature of one sharp (F#) and a common time signature (C).

³⁵ Haimo 1990: 254

³⁶ *ibid.* 254

³⁷ These diagrams, although not strictly Schenkerian, are obviously reductionist and betray a belief in a structural hearing of harmony. They aim to plot the basic harmonic processes which enable a shift from $B\flat$ to the dominant chord that they both eventually reach, in order to ease a comparison of these sections. This is relatively simple for the first movement, but more complicated for the fourth.

Ex. 2: Mvt. IV, mm.32-55

These diagrams show that in both movements an initial move is made from A to B \flat . There follows in both cases, moves down a chain of thirds from B \flat major to G minor and then to E \flat major. Because the chords are in root position, the bass movement follows the same pattern. There is a little less correlation in the following section, with a false entry of the theme in the Rondo, but fundamentally, both find their way eventually to B \flat where they started, which resolves onto chord V in preparation for a recapitulation, (either in the conventional context of sonata form, or as an exact repetition of the rondo theme.) The dominance of B \flat in both of these development sections shows quite clearly that in the outer movements of this sonata, the most significant tonality, apart from tonic and dominant, is B \flat . A simplified diagram summarising both movements could be drawn as follows:

Ex. 3: Mvt. I and IV, background sketch for development sections

Obviously in simplifying the diagram some of each movement's idiosyncrasies are lost, but it shows very clearly that the same harmonic pattern is pursued in both areas. Both of these

development sections are in B \flat , which in turn, is framed by the dominant. This could lead to an interpretation of the development section as a chromatic ornamentation of the dominant. Rosen understands VI to be close to the dominant, responsible for heightening tension whereas \flat VI is associated with the subdominant and a lowering of tension.³⁸ Here it would seem that \flat VI functioning as we might expect VI to, as it is close to V and increases tonal tension.

For a unifying argument to be created through the use of B \flat , it must surely be prominent in some way in the inner two movements. Haimo considers the implications of key structure throughout multi-movement works; a potentially fruitful avenue. The sonata is entirely tonic based with all movements in D; the *Largo e mesto* in the minor and the other three movements in the major. In Beethoven's early works tonic key schemes are unusual, but not unheard of: both op.2 no.1 and op.10 no.2 have all their movements in F. There is a difference between the use of remote keys in harmonic syntax and the use of remote keys in multi-movement key schemes but they do complement each other. This is a case where the choice of key for the movement affects the harmony within it, as the choice of D minor allows extensive exploitation of B \flat , both harmonically and melodically. One could speculate why Beethoven chooses this particular route. It could just be to allow B \flat to be significant, but it seems more likely that given the first modulation in the sonata is from D major to B minor³⁹, he felt that he had already exhausted some of the potentiality of the relative minor.

Matthews describes the second movement as 'one of the profoundest earlier slow movements'⁴⁰ and it set the precedent for some of the great slow movements to come in Beethoven's work. One of the reasons for this apparent profundity could be the movement's saturation with B \flat . In the opening 6 bars, 5 are harmonised using chords IV and VII. These chords both contain B \flat , and, when combined with the 6 repeated B \flat s in mm.5, the effect is one dominated by B \flat . This is confirmed in mm.7, where the B \natural sounds like such a departure from everything heard previously. However, this concentration of B \flat does not continue to the same extent throughout the movement. B \flat is still heard, but not in a way that could be considered unusual: it is primarily

³⁸ Rosen 1997: 26

³⁹ Beethoven reaches V of VI in mm.22 and there follows an 8 bar transition theme, which leads to F# minor, and then A major for the second group. The Fischhof sketches show that Beethoven considered a move to B minor even earlier in the exposition, repeating the opening, but transposed into B minor.

⁴⁰ Matthews 1985: 23

associated with the movement's opening rhetoric. When the opening material is recapitulated at mm.44 the focus on B♭ also returns, but with greater intensity. The recapitulation is initiated by a B♭ in the bar before by a leap from C♯ up to a long B♭, marked with an *sf*, giving it even more weight. In the recapitulation, B♭ appears in the opening bar and is this time present in all of the first 7 bars of the restatement. In the exposition Beethoven modulates to C major in mm.17, finally cadencing in A minor. If this pattern were to be repeated in the recapitulation, with a final cadence in D minor we would expect a modulation to F major, but instead Beethoven takes us again to B♭ in mm.56. In the closing, cadential material, B♭ is still given weight as it is used as it is the root of the chord preceding chord V on four occasions between mm.56 and 61.

A motivic analysis of Mvt. IV: Rondo

Although motivic analysis is not the main focus of the treatment here, it would be wrong to ignore it totally. The interpretation of motivic connections has been very active in Beethoven literature, as it is intertwined with the organicism metaphor favoured by the German Romantics. In his summary of analytical methods Meyer notes, with reference to Beethoven, that although a number of analytical approaches may be valid, it is 'motivic derivation'⁴¹ that has been 'judiciously employed'⁴². It is the first movement of this sonata that has received most attention in this respect and in Rosen's brief summary of the Presto, motivic connections are his main focus. This obsession with motivicism is deeply engrained and manifests itself in number of different ways, including rather suspect editing. Craxton, when editing the Associated Board edition of the sonata includes beamings in the fourth movement that are not to be found in the first edition, which clearly aim to forge a motivic link between this passage and an inversion of the opening three quavers. Whether one can justifiably make such a connection, is debatable, but in editing in this way, an analytical interpretation is being presented.⁴³

Réti provides the most determined treatment of motivic unity across the whole sonata. With a disregard for surface differences he attempts to show that all the themes from the sonata originate in the motivic material stated in the opening four bars. There are certain works of this period which do display such a connection, and the concept of 'cyclic' form certainly exists in the

⁴¹ Meyer 1973: 24

⁴² *ibid.* 24

⁴³ See Appendix 1 for details of the differences between the Associated Board, ed. Craxton and the first, (Eder) editions.

later romantic period, the most famous example being the reappearance of the *idée fixe* in Berlioz's 'Symphonie Fantastique'. However in Réti's case the connections all seem rather forced, dismissing elements such as gesture and character from his rather unsympathetic analysis. Misch points out that overt motivic links between movements of Beethoven's works, and others of this period, are rather unusual, and those which show such links, op.101 and op.110 are examples, are 'the exception rather than the rule'⁴⁴.

Street, in one of his few references to Beethoven wrote that 'if Beethoven's symphonic structures can be taken as more integrated than his predecessors...it may follow that the individual movements are less integrated.'⁴⁵ In response to this challenge, a motivic analysis of the final movement, (one that has not received as much of this thematic attention as others) may show that one movement of a larger work can make perfect sense in itself, whilst still containing elements that create a greater unity. The opening of the Rondo is something of a conundrum. Firstly, it does not sound definitively in D major. On the first beat of the opening two bars it is a G major chord that is sounded. It is not until bar 9 that we hear a V-I progression in D major. The other most noticeably idiosyncratic element of the opening theme is the rhythm and questioning gesture⁴⁶, with rests being a particularly strong feature. What the theme presents is a compositional problem. The rising line in the highest part coupled with the space created by rests requires closure, creating a questioning statement that demands an answer.

Throughout the movement Beethoven searches for closure, gradually transforming the theme each time it returns. The first return in mm.25 is unchanged apart from the move to B \flat right at the very end. There is an incomplete return of the theme in mm.46 in F major, perhaps better labelled as a false entry, with the three bars of theme which are heard offering tonal rather than thematic development. It is not until the second full return in mm.56 that Beethoven begins the process of thematic alteration that will eventually allow the movement to come to a close. He begins by filling in some of the rests in mm.57 and 60. However the gestures are still the same, but in canon, displaced by two quavers. By the third return in mm.84 real progress is being made. The three rising quavers in the right hand are answered by three falling quavers in the left hand

⁴⁴ Summary of Misch's position in *Die Faktoren der Einheit*, is given in by Coren 1977: 80-81

⁴⁵ Street 1989: 92

⁴⁶ This sense that the opening three notes are a 'question' in some sense is also picked up in Rosen's hearing of the work. See: Rosen 2002: 140

and this pattern continues with the quavers being embellished with passing notes, becoming runs of semiquavers. The final problem is the focus on subdominant harmony. At mm.92 Beethoven takes the three notes from the opening bar but answers them immediately with the falling gesture. This new seven quaver figure is repeated sequentially, rising a fifth by mm.94 so that finally it resolves on D. It does not end here, as after a pause on the dominant in mm.99 we are reminded of the problems encountered in the movement, both motivically with the reappearance of the rests, but also harmonically with the reintroduction of B \flat . Finally, over a tonic pedal, the original statement is inverted until the questioning statement F \sharp -G-B in the treble is answered by G-F \sharp -D in the bass in the penultimate bar.

There seems no doubt that Beethoven writes an awkward rondo theme in order that he can “compose out” the problems that it poses. This provides the movement with direction, and ultimately the sense of resolution perceptible at the close of the movement. In answer to Street’s question it would seem that Beethoven had no trouble composing an ‘integrated movement’⁴⁷ that is also integrated as part of a larger structure. Whether the result is ‘less integrated’⁴⁸ is impossible to know. Beethoven chose to write this Rondo as the fourth movement of a much larger sonata and we can only hear it as such.

Registral Analysis

It has been established that there are two similar sections in the outer movements, which are in B \flat and framed by A. Beethoven uses pauses quite extensively in the outer movements and comparing these makes registral connections possible which reinforce this framing effect. It is important that these connections have the specificity of pitch rather than just pitch class.

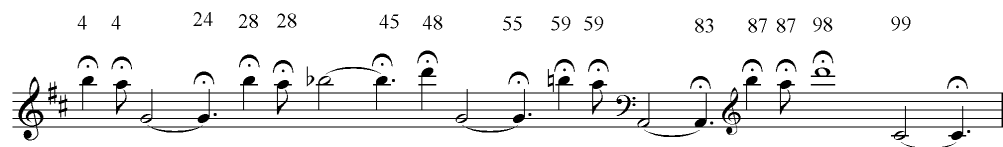
Ex. 5: Mvt. I:



⁴⁷ Street 1989: 92

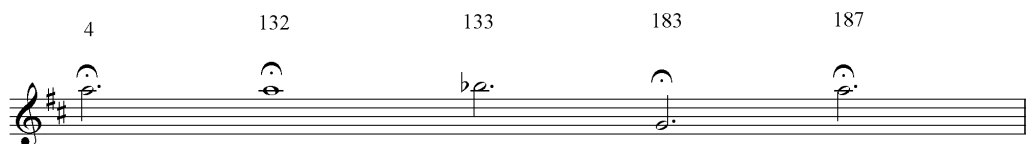
⁴⁸ Street 1989: 92

Ex. 6: Mvt. IV:



These sketches have some obvious similarities, which by a little simplification can be made even clearer. The exposition of the first movement is framed by A, ending exactly where we started. The bb^2 in mm.133 although not actually a pause, must be the most important note structurally in the development, and at the beginning of the recapitulation we have returned to a^2 once again, justifying the following simplification:

Ex. 7: Mvt. I:



If, in the fourth movement, we interpret the b^2 which always resolves on to the a^2 as an appoggiatura, then we can simplify the movement as follows:⁴⁹

Ex. 8: Mvt. IV:



Now the extent of the registral connection is clear with both movements moving from a^2 to bb^2 , then g^1 before a return to a^2 and, in the case of the fourth movement, resolving from the leading note to a final tonic. The first movement presents an unresolved dominant, decorated by bb^2 , and in the final movement the same a^2 is presented with the same decoration by bb^2 , but this time resolving on to the tonic.

Having established harmonic and tonal links between the outer movements, a large scale registral connection is perhaps unsurprising, but the specificity of pitch adds another dimension to the

⁴⁹ Although the final D in mm.106 is not a pause, it is included as the final resolution of the C# pause and closes the movement.

two movement's relationship. It is the nature of outer movements to share tonality and to have similarities in tempo, character and mood, so finding links here is less surprising, but there are also some similar registral links within the inner movements which differ radically in these respects. Neither of them follow the kind of scheme seen in the outer movements and there are no pauses to mark out important structural pitches. However at the end of the both the second and third movement, we hear an intimation of the relationship that dominates the work. In mm.77 and 78 we hear the two pitches, $b\flat^2$ and a^2 , and in this small juxtaposition is a small indication of a much larger force at work in the sonata. The same juxtaposition occurs in the final four bars of the Menuet, this time an octave lower. There is an argument that the Menuet and Trio supports the large scale transformation between the outer movements by being static in this respect. The Menuet opens on a^1 and finishes with the same a^1 at the top of a D major chord; it has not made progress, rather it has taken up the A from the first movement, and passed it on, to be resolved in the Rondo.

Sketch Analysis

Thus far there has been little mention of the third movement and in the whole movement there is only one $B\flat$, the one just mentioned. This makes debate about $B\flat$ as a unifying link look rather tenuous. At this point it is worth turning to Beethoven's sketches to see if they shed any light on the situation. There are two groups of sketches containing material used in this sonata, the Kafka sketches⁵⁰ as transcribed by Kerman, and the Fischhof sketches⁵¹ as transcribed by Johnson. I will rely on these transcriptions for a comparison with what we now know as op.10 no.3.

Let us first consider the material found in the 'Fischhof Miscellany'. In the sketches for the Trio, instead of a modulation from G to D Beethoven sketches a modulation to $B\flat$. He essentially writes a repeat of the opening, but in $B\flat$. However he alters the theme so that $B\flat$ is heard more often. In fact in this sketch for the trio, after G, $B\flat$ is the most sounded pitch class in the left hand. Obviously as this modulation does not end up in the final composition it is no evidence for unity but it does show that Beethoven was using $B\flat$. Other evidence for $B\flat$'s central role in Beethoven's mind is the three different approaches to $B\flat$ in his sketch for the slow movement. The final difference in the treatment of $B\flat$ between sketch and score, are the absence of $B\flat$ in

⁵⁰ Kerman 1970: 19-23

⁵¹ Johnson 1977: 37-44

the sketch for the descending sequence in the exposition of the first movement at bar 83. The sequence is sketched, but does descend down as far as the B \flat .

Ex. 9: Sketch for the trio⁵², F44V, st. 1-4

[Trio]

The musical score for Ex. 9 consists of four staves of music in G major. The first staff is a treble clef with a key signature of one sharp (F#). The second staff ends with a double bar line and a repeat sign, followed by a fermata over a B4 note. The third and fourth staves contain various accidentals: flat (b) and square brackets with flat ([b]).

Ex. 10: Three sketches for an approach to B \flat in Mvt. II, F44R, st. 2-3

The musical score for Ex. 10 consists of three staves of music in B-flat major. The first staff shows a descending sequence of eighth notes. The second staff shows a descending sequence of quarter notes. The third staff shows a descending sequence of eighth notes with various accidentals: flat (b) and square brackets with flat ([b]).

⁵² Johnson 1977:1, states that the reader may have to add accidentals to successfully interpret some of the transcriptions. The accidentals in square brackets are Johnson's own; those in curved brackets are my own additions where they appear to be required.

Ex. 11: Mvt. I: Descending sequence not getting as far as B \flat , F45V, st. 8-9



The Kafka sketches do not contain any significant reference to B \flat . However, Beethoven sketches the Trio in A \flat major, a very significant departure from anything else in the sonata. This shows the boundaries of harmonic invention within which Beethoven worked. It makes B \flat seem rather tame, and G major, the tonality Beethoven finally settles on, even more so. It is impossible to know why Beethoven settled upon G major as the tonality for the trio, but it could be interpreted as a retreat to convention, especially as he uses third-related keys for other trios, for example in the second movement of op.10 no.2 which goes to D \flat within F minor. Nonetheless, the use of the subdominant, conventional or not, provides a tonal link to the fourth movement with the opening of the rondo theme's focus on G major. Although not referring to B \flat , there are two sketches which concern B \flat , or rather, its absence. Ex. 13 shows two possible modulations that correspond to mm.32-33 but instead of moving to \flat VI they show moves to V of VI and V⁷ of \flat II. Obviously B \flat was not the only modulation that Beethoven considered, but it was the one that he chose.

Ex. 12: Two potential modulations to occur at the of the rondo theme, 157r, st. 1+2, 157r, st. 9/3+10



Ex. 13: Sketch for the trio in A \flat major, 59v, st. 1



It is difficult to know what conclusions to draw from sketches, especially when concerning musical outcomes that are not in the final composition. However in this instance they do present a significant body of evidence, confirming that in the composition of this sonata, B \flat consciously or not, received special treatment, with varying results. In some places Beethoven chose B \flat when other options failed to deliver the effect he desired, and in other places the opposite is true; but either way, Beethoven's use of B \flat changed and evolved throughout. If the composition did not confirm this to be the case, these sketches demonstrate that B \flat major received attention in the conception of this sonata that no other key did.

Conclusion

The analysis above began with an observation of similarities between particular moments in the first and fourth movement; described by Coren as 'the placement of specific harmonic functions at analogous structural position in different movements.' From this a much more complete and multi-dimensional analysis has evolved offering a comprehensive insight into a level of unity, achieved through a particular key and pitch, in a sonata, which has yet to receive significant analytical scrutiny.

The reception of Beethoven's work has been affected by the predominance of the Beethoven Myth as Knittel describes it.⁵³ An added complication is one that Levy identifies in that analysts find in Beethoven's compositions, 'traits that came to be revered late in the century as signs of organic wholeness'⁵⁴. In his essay Irving describes the emergence of 'cyclic' form in the compositions of Schumann and Mendelssohn as resulting from Romanticism's predilection for lyrical themes, a justification of virtuosic works by the use of monothematicism⁵⁵ and a philosophical encouragement of foreground concerns in the arts by Schlegel, Tieck and Wackenroder⁵⁶. The cultural requirement for a cyclic precedent in Beethoven's work results in the desire to use motivic patterns to show intermovemental unity, epitomised by R ti's work. As Knittel says, musicologists have tended 'to read the evidence in a way that benefits their version

⁵³ Knittel 2002: 118-150

⁵⁴ Levy 1987: 27

⁵⁵ Irving 2002: 195

⁵⁶ *ibid.*: 193

of Beethoven's music⁵⁷. Of course 'cyclic' form, with its principally melodic and thematic concern, and the more harmonic criterion used here are rather different, but they share a more general interest in unity across large multi-movement works, which in some ways is more important than the nature of this unity's construction. By championing the motivic model in Beethoven, as a precursor to later developments, the related harmonic model has been rather ignored. As an indication of the prevailing attitude, MacDonald⁵⁸ states that 18th century examples are rare and rather suggests that it is a 19th century phenomenon⁵⁹, particularly important for the late French symphonists. Influenced by a later Romantic aesthetic philosophy, Beethoven's works have been related, consciously or not, to a later corpus, and in doing so, more meritorious (and rather more subtle) links have been ignored. D'Indy's study of Franck is littered with references to Beethoven, seeing Franck's art as 'allied to that of the latest sonatas and quartets of Beethoven'⁶⁰ interpreting the form of Franck's cyclic works⁶¹ as an amplification of a process, initiated by Beethoven⁶². In more recent study, Irving, when discussing the 'cyclic' peak reached in Schumann's 4th Symphony states that the "Classic" symphony had consisted of, usually, four movements, each of which was a self-contained whole, pursuing its own argument separately from the others'. Admittedly op.10 no.3 is no symphony⁶³ but it does show that integration in large multi-movement works occurred earlier than is often appreciated.

Haimo and Webster have encouraged an earlier understanding of multi-movement unity in Haydn, but they are part of an active debate with Hoyt providing a critical review⁶⁴. Even considering Beethoven in particular, other have recognised these larger, multi-movement links. In the course of his essay, Coren brings up the work of Misch, whose major work in this field, *Die Faktoren der Einheit in der Hersätzigkeit der Werke Beethovens*, has failed to attract a review in English. Thankfully Coren summarises Misch's main arguments and interests, and they are similar to my own. 'Misch's central thesis is that...coherence is due to a unity of style peculiar to each individual work....this unity, he argues, can be sensed in the working of practically any musical parameters

⁵⁷ Knittel 2002: 132

⁵⁸ Hugh MacDonald: 'Cyclic Form', in *The New Grove Dictionary of Music and Musicians*, Second edition, edited by Stanley Sadie, Vol. 6, (2001) 797-798

⁵⁹ MacDonald 2001: 798

⁶⁰ D'Indy 1929: 109

⁶¹ D'Indy highlights Franck's *Symphony in D minor* and *Sonata in A for Violin and Piano*

⁶² D'Indy 1929: 109

⁶³ Although it is similar in duration both to Beethoven's 1st and 8th symphonies.

⁶⁴ Hoyt 1995: 264-284

that can be abstracted analytically from the music.’ In the case of op.10 no.3, the consistent exploitation of B♭ appears to be the ‘unity of style’ peculiar to this particular work. Unfortunately, these insights have not yet had the impact they deserve, either in championing a fresh attitude towards Beethoven’s works, or contextualising Beethoven’s achievements more generally. Much of Beethoven reception can be summarised as follows; ‘where tonal function had once exercised unchallenged dominance, thematic organisation now staked a powerful claim to the long-range control of musical structure’⁶⁵. My analysis, among others, attempts to redress this balance in favour of a model which sees unity residing in harmonic function, tonality, gesture and key, and in doing so we may find a truer link between Beethoven and those who followed in his footsteps.

⁶⁵ Irving 2002: 202

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Word Count:

Excluding footnotes: 6,494

Including footnotes: 6,977