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From "Radical Blunders" to Compositional Solutions: A Form-Functional Perspective on Beethoven's Early *Eroica* Continuity-Sketches

THOMAS POSEN

INTRODUCTION

In this article, I explore Beethoven's compositional process in the first movement of his Symphony No. 3 in E-flat Major, the *Eroica*, by reevaluating two supposed compositional "problems" with the first two exposition continuity-sketches. Contrary to prior studies that have interpreted these reputed compositional problems as "failed experiments" or "radical blunders,"¹ I suggest that Beethoven crafted these designs in the service of a greater compositional goal. I begin by highlighting how some prominent theorists framed and propagated the first supposed compositional "problem," then reassess it by reconstructing the first sketch, analyzing it with the theory of formal functions,² and performing it as a symphonic piano reduction. Analysis reveals fascinating tonal relationships and clever pitch-class cross references that Beethoven uses to expand the exposition and downplay the rhetoric of a lyrical subordinate

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¹ On Beethoven's "failed experiments," see Douglas Johnson, "Beethoven Scholars and Beethoven's Sketches." *19th-Century Music* 2, no. 1(1978): 14–15. Donald Francis Tovey implies that Beethoven made several "radical blunders in his first sketches" in a lecture on the sketches to the *Eroica* symphony; Donald Francis Tovey, "The Integrity of Music," in *A Musician Talks* (London and New York: Oxford University Press, 1941), 80.

² William E. Caplin, *Classical Form* (New York: Oxford University Press, 1998); *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press: 2013).

theme. With this analysis and additional evidence drawn from the first few pages in the *Eroica* sketchbook,³ I hypothesize that Beethoven worked on ways to displace typical features of the subordinate theme in the exposition to elevate the arrival of a new lyrical theme rhetorically late in the development. Finally, I reevaluate the second compositional “problem” in the context of his second continuity sketch (CS 1.2) and show how it similarly problematizes the rhetoric of a subordinate theme while expanding the exposition with a distinctive false exposition repeat.

Form-function theory provides an ideal framework for finding and understanding the strengths in Beethoven’s *Eroica* continuity-sketches for three primary reasons.⁴ First, the theory prioritizes the role of local harmonic progressions as a determinant of form. We can realize the harmonies that Beethoven implies in his single-line sketches with a high degree of objective accuracy. By contrast, other musical parameters such as texture, dynamics, or instrumentation, which are vital criteria for other sonata theories (e.g. Hepokoski and Darcy),⁵ are very sparse in the sketches and therefore difficult to reconstruct without substantial subjective interpretation. Second, the theory of formal functions minimizes motivic content as the basis of formal function. This feature is important for describing how Beethoven uses the same musical material for different formal functions in successive drafts, and conversely, how he preserves formal functions while changing their musical content. Third, the theory establishes well-defined formal categories that can be applied flexibly at all levels of hierarchy in the sketches.⁶ These strictly defined categories enable

³ The *Eroica* sketchbook is also known as *Landsberg 6*, which references the collector Ludwig Landsberg (1805–1858) who obtained the sketchbook from Artaria’s collection sometime before 1844. In this article, I refer to the sketchbook exclusively as the *Eroica* Sketchbook (abbreviated *ES*). For more on the history of the *Eroica* Sketchbook, see Lewis Lockwood and Alan Gosman, eds., *Beethoven’s “Eroica” Sketchbook: A Critical Edition*, 2 vols. (Urbana: University of Illinois Press, 2013), 5–8. The *Eroica* sketchbook is held in the Biblioteka Jagiellońska, Kraków (Mus. ms. autogr. Landsberg 6).

⁴ These features are strengths of form-function theory more generally; (Caplin, 1998, 3–5).

⁵ James A. Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press: 2006).

⁶ Caplin, *Classical Form*, 4.

an analyst to elucidate Beethoven’s formal and phrase-structural strategies in individual sketches and compare them across drafts with firm theoretical foundations in an aesthetically neutral environment.

THE TWO “PROBLEMS”

In the analytical commentary to their transcription of the *Eroica* sketchbook (henceforth *ES*), Lewis Lockwood and Alan Gosman summarize the form of Beethoven’s first exposition continuity sketch and explain how he “disrupts” certain sonata conventions:

Not surprisingly, the initial continuity draft (page 11, st. 1–8) has the elements of traditional sonata form: a first theme group beginning at st. 1, m. 3; a second theme group in the dominant key beginning at st. 4; and a closing theme in the dominant key on st. 8. However, Beethoven seriously disrupts these conventions by another aspect of this early sketch. The opening theme is introduced explicitly or implicitly, six times throughout the draft, frequently suggesting keys that are out of place.⁷

Appendix 1 reproduces Lockwood and Gosman’s transcription of the first exposition, adds measure numbers, overlays their analytical formal labels, and marks each entry of the main theme material with large-boxed numbers.⁸ Main theme entries 1–3 (beginning in mm. 3, 15, and 31) are explicitly notated, while entries 4–6 (beginning in mm. 72, 79, and 86) are implied with figuration and confirmed by subsequent exposition sketches. For clarity, I have added these implied main theme entries with small notes on an accompanying staff. Lockwood and Gosman’s transcription of the first continuity sketch follows Nottebohm’s closely, except they also include

⁷ Lockwood and Gosman, “*Eroica*” *Sketchbook*, 1:33.

⁸ The transcription also includes Gosman’s analytical labels from Alan Gosman, “Before Its Time: Beethoven’s Experiments with the Dominant Key Early in Sonata-Form Movements,” an unpublished paper delivered at the New Beethoven Research Conference in Vancouver, British Columbia, 2016. I am grateful to Alan Gosman for sending me the script to his conference presentation.

the music that Beethoven sketched on staff 8 (i.e., the material that corresponds to mm. 107–115 in Appendix 1).⁹

In their commentary, Lockwood and Gosman highlight two supposed compositional problems with the first exposition continuity sketch:

Two entries [of the main theme material] are particularly at odds with the conventions of sonata form. Beethoven's third entry [Appendix 1, m. 31] disregards the convention that the second theme should be the earliest statement in the dominant key. Here the opening theme appears in the dominant, prior to the second theme's arrival [m. 55]. The harmonic import of the second theme is weakened because it simply stays in, rather than announces the dominant key. The final entry [m. 86] is also problematic because with it Beethoven ignores the principle that the second theme group should remain in a subordinate key (here the dominant key B-flat) and not modulate back to the tonic key. The problem is exacerbated here since the tonic material is the opening theme.¹⁰

The first problem they identify, the main theme entering on dominant harmony before the "second theme" (Example 1, mm. 31–34), has a long prehistory that begins with Nottebohm. The second problem they mention, the main theme "modulating back to the tonic key" in the subordinate theme, appears to be newly identified.¹¹ Let us turn now to the first problem.

⁹ Gustav Nottebohm, *Ein Skizzenbuch von Beethoven aus dem Jahre 1803* (Leipzig: Breitkopf & Härtel, 1880), 6–7; Nottebohm's sketch constitutes mm. 1–104 of the transcription shown in Appendix 1.

¹⁰ Lockwood and Gosman, *"Eroica" Sketchbook*, 1:33.

¹¹ For their discussion of this second problem, see Lockwood and Gosman, *"Eroica" Sketchbook*, 1:34–35.

Example 1: CS 1.1, mm. 31–34; Main Theme material on the dominant (ES pg. 11, st. 2b)



Example 2: Op. 55, I., mm. 37–40; cue staff reduction of Transition, Part 2 Compound Basic Idea (final)



PROBLEM #1: B-FLAT MAJOR MAIN THEME MATERIAL BEFORE THE SUBORDINATE THEME

In his seminal monograph on the *Eroica* sketches, Nottebohm explained that it was “not hard to surmise” why Beethoven revised the dominant entry of main theme material (Example 1, mm. 31–34) to start with tonic harmony instead (Example 2), because “the modulation to B-flat major would simply have weakened the ensuing entry of the second group melody [i.e., Example 3] in the same key.”¹² This seemingly logical explanation for why Beethoven revised this passage has been adopted by numerous scholars since. For example, after summarizing Beethoven’s compositional approach as “a method of a man who thoroughly knows his own mind, and who needs no alcohol to encourage him to put down a crude sketch of his thoughts before he is ready to present them accurately,” Donald Francis Tovey explained that “Beethoven could cheerfully make the most radical

¹² Gustav Nottebohm, *Two Beethoven Sketchbooks: A Description with Musical Extracts*, trans. Jonathan Katz (London: Victor Gollancz, 1979), 54. Beethoven revised this passage with his typical “Vi = de” notation, where the “Vi” marks the point that the material indicated by “=de” should be inserted. “Vide” in Latin means “see” or “refer to.” See Lockwood and Gosman, *“Eroica” Sketchbook*, 1:11, staff 2 and 10, staff 5.

blunders in his first sketches with the certainty that the next day five minute's work would substitute, if not the right thing, something altered in the right way."¹³ The "radical blunder" referred to here is, in Tovey's words, the "persistent intrusion of a passage on the dominant for which there was no room in the exposition," that is, the dominant entry of main theme material that Nottebohm first highlighted (Example 1, mm. 31–34). According to Tovey, Beethoven may not have been drunk when he wrote the passage but writing the main theme material in B-flat major before the subordinate theme in the same key was an obvious gaffe in need of correction.

Example 3: CS 1.1, mm. 55–62; Compound Basic Idea (*ES*, page 11, st. 4)



More recently, Alan Gosman reinvigorated the discussion about this B-flat major main theme material (Example 1) in a 2016 conference presentation titled, "Before its Time: Beethoven's Experiments with the Dominant Key Early in Sonata-Form Movements." He recapitulated Nottebohm's and Tovey's observations:

I worry about the repercussions of having a dominant presentation of the opening theme prior [Example 1] to the entry of the second theme [Example 3]. There is no need to foreshadow the expected dominant key of the second theme in such a heavy-handed manner. As a result, the dominant version of the opening theme undermines the second theme's arrival.¹⁴

In other words, Beethoven tried to bring back the main theme material on the dominant before the arrival of the subordinate theme group in the first

¹³ Tovey, "Integrity of Music," 80.

¹⁴ Alan Gosman, "Before Its Time: Beethoven's Experiments with the Dominant Key Early in Sonata-Form Movements," unpublished paper delivered at the New Beethoven Research Conference in Vancouver, British Columbia, 2016.

sketch, but this experiment was ultimately rejected because it weakened the harmonic contrast of the subordinate theme. As Lockwood and Gosman put it, much like Tovey did half a century prior, "The original B-flat entry of the theme . . . is unsuitable for its originally intended place in the exposition."¹⁵

At first glance, Nottebohm's, Tovey's, and Gosman's explanation for why Beethoven revised this so-called "errant" entry of dominant main theme material seems cogent. But further inquiry into subsequent sketches reveals that this explanation twists Beethoven's compositional process into something more puzzling and mysterious. As Tovey observed, "Beethoven wrote several sketches of this opening before he could get rid of a tiresome tendency of the main theme to appear on the dominant before its proper third statement."¹⁶ Lockwood and Gosman expressed similar surprise when they discovered Beethoven's resistance to revise the problems they identified in the first sketch:

It is difficult to imagine that these untenable thematic assertions had any chance of surviving through to the final version. Yet a surprising number of future drafts stubbornly maintain the opening theme's intrusion into domains typically reserved for other themes and other keys . . . These "errant" sketches are not simply deleted from later drafts of the final version. Instead, Beethoven struggles to preserve some, if not most, of their features in a variety of ways.¹⁷

The general sentiment in these statements attest to the challenges that scholars have encountered while trying to understand Beethoven's compositional process for these early exposition sketches. Why did he keep writing the seeming "errant" entries of the main theme material in subsequent drafts? If we accept Nottebohm's explanation for why

¹⁵ Lockwood and Gosman, *"Eroica" Sketchbook*, 1:34.

¹⁶ Tovey, "Integrity of Music," 82. For a similar instance of the main theme material entering on B-flat major before the start of the passage that corresponds to the final version's subordinate theme (i.e., the theme starting in m. 57 of Appendix 5) see CS 3.1 (Landsberg 6, page 14, staff 5) and CS 4.1 (page 20, staff 6).

¹⁷ Lockwood and Gosman, *"Eroica" Sketchbook*, 1:33.

Beethoven revised the dominant entry of main theme material before the arrival of the subordinate theme, we face a perplexing dilemma: the explanation for Beethoven's revision makes sense, but his overall compositional process becomes inexplicable because he doesn't revise the passages as we might expect.

To overcome the dilemma of creating logical explanations that do not comport with what we find in later sketches, I propose that we change our perspective from one that critiques the dominant entry to one that valorizes it. In other words, let us treat the problem as if it were a solution to some greater compositional plan. Our question can turn from "why did Beethoven remove or revise this passage?" to "what was Beethoven trying to achieve with this design?" In what follows, let us try to answer this new question by reappraising the first continuity sketch (CS 1.1) with the tools of form function theory.

REVALUATING PROBLEM #1: B-FLAT MAJOR MAIN THEME MATERIAL

ANALYSIS OF CONTINUITY SKETCH 1.1 (ES 6, PG. 11, ST. 1–8)

To keep track of the different sketch variants, the reader may find it easier to reference the the examples using the measure numbers listed with each example call-out in the full, analyzed scores in the appendices. In all of the appendices, examples, and videos, normal-sized notes represent Beethoven's notes and smaller notes indicate additions by this author. The location of each in-text example is referenced in the example headings by *ES* followed by the page number and staff, where "a" refers to the left-hand side of the staff and "b" refers to the right-hand side. Unless otherwise specified, measure numbers in this section refer exclusively to CS 1.1 (Appendix 2).

Before we examine the sketch in greater detail, watch Video 1 (<https://youtu.be/QvAVOGUspa8>). Video 1 provides an annotated piano performance and analysis of the first reconstructed sketch. In this video and all subsequent videos, the screen is portioned into four rows. The top row

shows Beethoven’s single-line continuity sketch that was used to reconstruct the pieces. A small black bar moves across the sketch material to aid in reading Beethoven’s messy handwriting. The second row provides the name of the large-scale form-function of the passage or section. The third row shows the analyzed and reconstructed sketch. The fourth row shows my piano performance of the sketch, which differs slightly in some areas from what is proposed in the third row. Given that Beethoven did not write down the complete figuration for his sketch, it seems plausible that he varied his performances of this additional material while composing. The performances and sketch reconstructions are not intended to be authoritative realizations or ideal performances—they are meant solely to help us hear the single-line shorthand that Beethoven used to represent a more complete musical idea.

• • •

Now that we have heard one possible reconstruction of the first exposition sketch, let us begin reappraising the first supposed compositional problem. From a form-functional perspective, the B-flat-major main theme material (i.e., the Compound Basic Idea, henceforth CBI; Example 1, mm. 31–34) can be analyzed in two different ways. In the first reading, the CBI expresses dominant harmony in the home key, which begins the second part of a two-part Transition (henceforth Tr P2) (Example 4, mm. 31–43). In the second reading, the CBI brings tonic harmony in the subordinate key, which starts the first part of the subordinate theme (henceforth ST P1) (Example 5, mm. 31–43). It might seem as though having two separate but equal form-functional readings of this passage—Tr on the one hand and ST on the other—indicates the passage’s lack of formal clarity, which could suggest a weakness in Beethoven’s design.¹⁸ On the contrary, I hypothesize that these dual interpretations are crucial to understanding the larger goals of this material that Beethoven may have intended. Before

¹⁸ Form-function theory does not require there to be a single reading of a passage, and multiple interpretations for a single passage do not carry any negative associations. Multiple form-functional interpretations merely reflect the complexity of some passages’ intrinsic temporal expressions.

we entertain this hypothesis, however, let me first flesh out both form-function interpretations and detail the formal consequences that result.

Example 4: CS 1.1, mm. 31–43; interpreted as modulating Transition, Part 2 (*ES* pg. 11, st. 2)

Transition, Part 2 (Modulating)

CBI Continuation sequence SotD

b.i. c.i. => model % % ext. => cad.

31 32 33 34 35 36 37 38 39 40 [st. 3] 41 42 43

8^{ov}

HC

Example 5: CS 1.1, mm. 31–43; interpreted as Subordinate Theme, Part 1 (*ES* pg. 11, st. 2)

Subordinate Theme, Part 1

CBI Continuation sequence SotD

b.i. c.i. => model % % ext.

31 32 33 34 35 36 37 38 39 40 [st. 3] 41 42 43

8^{ov}

HC

INTERPRETATION #1: MM. 31–42 AS A MODULATING TRANSITION, PART 2

After a main theme (mm. 1–15) that matches exactly the final version, a non-modulating transition (mm. 15–22) with a post-cadential standing on the dominant (henceforth SotD, mm. 23–30) follows (Example 6, mm. 15–30), which corresponds closely with final version of the piece. Because this first part of the transition does not modulate by confirming the subordinate key with a half cadence (HC) (i.e., F major as V of B-flat major), a listener may anticipate a subsequent modulating transition, part 2 (henceforth, Tr P2) to accomplish this task. When the B-flat-major main theme material arrives in m. 31 (Example 4), we can hear it continuing the dominant harmony

prolonged in the prior SotD (Example 6, mm. 23–30). This dominant CBI (Example 4, mm. 31–34) therefore begins the second, modulating part of the exposition's two-part transition.¹⁹

Example 6: CS 1.1, mm. 15–30; Non-modulating Transition, Part 1 and Post-Cadential Standing on the Dominant (*ES* pg. 11, st. 1b–2a)

Transition, Part 1 (Non-Modulating)

CBI b.i. c.i. => model Continuation => Cadential sequence %

15 16 17 18 19 20 21 22

I I⁶ b⁶ V⁷ ii b⁶ V⁷ IV 6 It^{b6}

[PAC] Elided

Standing on the Dominant

4-m. idea "b.i." "c.i." % % %

23 24 25 26 27 28 29 30

V V₄ (vii°7) V V₄ (vii°7)

[HC] Elided

The B-flat-major harmony that starts the modulating Tr P2 (Example 4, mm. 31–34) is unusual, given that the tonal goal of the transition is to modulate into B-flat major. Nevertheless, the clear standard pivot harmony (submediant becomes the supertonic in the subordinate key in m. 35) and subsequent subordinate key HC (m. 43) supports reading this passage as the second, modulating part of a two-part transition.²⁰ A listener would

¹⁹ Caplin explains that in a two-part transition, “frequently, the second part of a two-part transition begins with the basic idea of the main theme supported by the home-key tonic” (Caplin, *Classical Form*, 137). Thus, although the dominant harmony is unusual, the re-entrance of main theme material is typical for the second part of a two-part transition.

²⁰ Caplin explains that the move to the submediant, which pivots to become the supertonic in the subordinate key, is so common that it is akin to “waving a flag” to a listener to inform

likely hear the second, modulating part of the transition as a transposed version of the first, non-modulating part (compare Tr P1 with Tr P2 in Example 7). In the second part of the transition, the stepwise sequencing of the contrasting idea signals a modulating continuation (Example 4, mm. 33–38), which is followed by a subordinate key HC in m. 43 (SK-HC) (Example 8), and post-cadential SotD (mm. 43–54). Figure 1 summarizes the formal functions of mm. 1–54 in a diagram.

Example 7: CS 1.1, Transition Part 1 (A. top system, mm. 15–22) compared to Transition Part 2 (B. bottom system, mm. 31–38)

A.

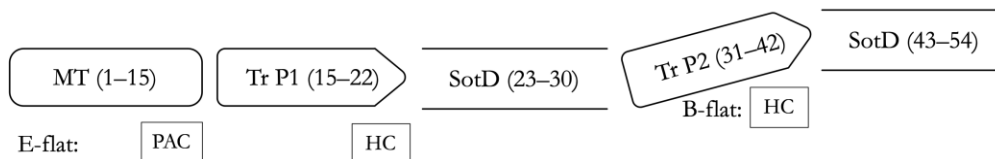
B.

Example 8: CS 1.1, mm. 43–54; Post-Cadential Standing on the Dominant to Transition, Part 2 (*ES* pg. 11, st. 3)

Standing on the Dominant
4-m. idea

them that the modulation is about to take place (Caplin, *Analyzing Classical Form*, 317; see also *Classical Form*, 127).

Figure 1: CS 1.1, mm. 1–54; Form function diagram



In addition to the unconventional B-flat-major beginning, Tr P2 is distinctive for its unusual continuation. After the tonicized, customary pivot harmony (i.e., C minor as vi => ii in Example 9, mm. 35–36), Beethoven chromatically sequences the contrasting idea to further tonicize the remote keys of D-flat major and E-flat minor (mm. 37–40). Compared to the corresponding passage in the final piece, the additional stepwise ascent in the sketch Tr P2 is longer and more harmonically and contrapuntally complex (compare the sketch in Example 9, mm. 31–42, with the corresponding final version of this passage in Example 10). It is challenging to realize a fully successful figuration to place atop the bass voice in the sketch, for instance, because the chromatically ascending stepwise triadic pattern exposes parallel motion. In my reconstruction of this passage (Example 9, mm. 31–42), the upper voices follow a leapfrog-like motion in mm. 34, 36, 38, and 40 to avoid parallel octaves with the bass. Given that he could have avoided these difficulties and easily modulated to B-flat after the C minor pivot harmony in m. 35–36—as he does in the final version shown in Example 10—what was he trying to accomplish with this unconventional chromatic stepwise ascent in the sketch?

Example 9: CS 1.1, mm. 31–43; interpreted as Modulating Transition, Part 2 (*ES* pg. 11, st. 2) [Reproduced Example 4]

The musical score for Example 9, mm. 31–43, is titled "Transition, Part 2 (Modulating)". It features a piano part with treble and bass staves. The score is annotated with various labels: "CBI" above measures 31–32, "Continuation sequence" above measures 33–36, and "SotD" above measures 37–43. Harmonic labels below the staff include "Eb major: V" (m. 31), "(Bb major)" (m. 32), "Bb major: ii" (m. 33), "(Db major)" (m. 37), "(Eb minor)" (m. 39), and "V 9/7" (m. 43). A box labeled "HC" is located at the end of the score. The score also includes a "Continuation sequence" label above measures 33–36 and an "ext." label above measure 41.

Example 10: Op. 55 I., mm. 37–44 (final)

Transition Part 2: Modulating

To understand why he may have crafted this atypical Tr P2, which tonicizes the more remote keys of D-flat major and E-flat minor after the common submediant pivot (C minor), we need to better understand the material that follows the second SotD. At the beginning of the fourth staff on page 11 of the sketchbook, Beethoven writes a clear compound presentation by repeating a 4-m. CBI that initiates the start of the ST P1. An excerpt of the compound presentation copied from the facsimile is shown in Example 11²¹ and a reconstruction of this passage is shown in Example 12, mm. 55–62. A continuation follows this compound presentation in mm. 63–65 (Example 13) with a new two-measure idea that brings a faster surface rhythm. This idea is immediately shortened into a one-measure fragment in m. 65, and a cadential progression concludes the first part of the ST with an internal HC in m. 70 (V6/4), whose suspensions resolve in m. 71 (V5/3). In my reconstruction of the continuation (Example 13), I harmonize Beethoven’s ascending upper line in mm. 66–69 with a descending $\hat{6}$, $b\hat{6}$, $\hat{5}$ motion in the bass (i.e., G in mm. 66–68, G-flat in m. 69, and F in m. 70) and use a German augmented sixth chord in m. 69 to emphasize the HC (F major as V of B-flat major) as Beethoven commonly does in other pieces and earlier in the TrP1 in mm. 22–23. In sum, the music in mm. 55–71 forms a tight-knit compound sentence theme type that closes with a HC.²² Figure 2 summarizes the formal layout of the music analyzed up to this point (mm. 1–71).

²¹ In Example 11, the faint vertical line and two messy dots at the beginning of the staff indicate the repetition of the Compound Basic Idea, which builds a clear Compound Presentation.

²² The half-cadence is understood to be an “internal” half cadence because it does not satisfy the form functional goal of the subordinate theme to close with a perfect authentic cadence (Caplin, *Analyzing Classical Form*, 376).

Example 11: *ES*, pg. 11, st. 4 (Subordinate Theme, Part 1); Sketchbook held in the Biblioteka Jagiellońska, Kraków (Mus. ms. autogr. Landsberg 6)



Example 12: CS 1.1, mm. 55–62; Subordinate Theme, Part 1 Compound Presentation (*ES* pg. 11, st. 4a)

Subordinate Theme, Part 1
Compound Presentation
CBI

[Written with repeat signs in the sketch]

b.i. c.i.

[st. 4] 55 56 57 58 59 60 61 62

I 6 V⁶ I 6 V⁶

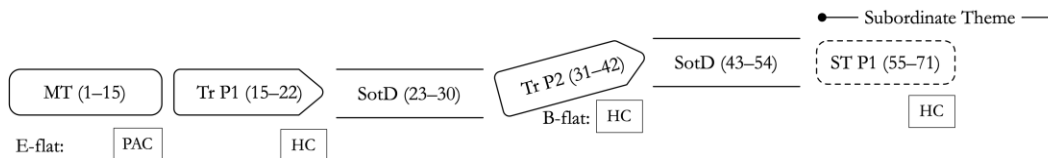
Example 13: CS 1.1, mm. 63–71; Subordinate Theme, Part 1, Continuation (*ES* pg. 11, st. 4b)

Continuation fragment Cadential

63 64 65 66 67 68 69 [st. 5] 70 71

B-flat: ① I ② ii ③ vii^o₁₁/V ④ Ger₁₁ ⑤ V₄⁶ Internal

Figure 2: CS 1.1, mm. 1–71; Form function diagram



After hearing the internal HC in mm. 70–71 (Example 13), we would expect additional music to lead the subordinate theme to close with a stronger PAC. In pieces published before the *Eroica*, Beethoven employed one of two main strategies after an internal HC: he would write new continuational or cadential material and thus resume the theme; or more commonly in his piano sonatas, he would establish a new basic idea and corresponding initiating function that would initiate a part 2 of the subordinate theme.²³ In this sketch, see Example 14, Beethoven adopts the second strategy by establishing a new initiating function, but he surprises us by using the main theme material to accomplish this task. In the measures that follow, he sequences this material, which causes us to understand this passage retrospectively as a large continuation function (Example 14, mm. 72–89).²⁴ For clarity, I have labeled this material ST P2. This function is remarkable because it uses main theme material and it tonicizes the same three keys that were prominently emphasized earlier in the Tr P2 beyond the customary pivot harmony (compare Example 14, mm. 72–89 with Example 15, mm. 31–40): B-flat major, D-flat major, and E-flat minor.²⁵ Compared to the first part of the ST (mm. 55–72), which was

²³ See *Ibid.*, 377. In all the first movements to the piano sonatas that precede the *Eroica*, Beethoven only wrote two subordinate themes that are split into two parts with an internal half-cadence: Op. 2, No. 3, i (ST P1 from mm. 27–43, ST P2 from mm. 47–77) and Op. 10, No. 2, i (ST P1 from mm. 18–36, ST P2 from mm. 36–55). The subordinate theme group of every other sonata's first movement is expanded primarily by other means, usually through the addition of self-contained subordinate themes that each close with their own PACs (i.e., Op. 2, No. 2; Op. 7; Op. 10, No. 3; Op. 13; Op. 14, No. 1; Op. 14, No. 2; Op. 22; Op. 28; Op. 31, No. 1; Op. 31, No. 2; Op. 31, No. 3; and Op. 49, No. 2), or by cadential deviations, usually evaded or abandoned cadences (e.g., in Op. 10, No. 1 and Op. 49, No. 1).

²⁴ Beethoven does not explicitly write the main theme material in mm. 72–89. Subsequent sketches strongly confirm this hypothesis, however. I thus follow Lockwood and Gosman's interpretation that Beethoven implies main theme material in this passage (Lockwood and Gosman, "*Eroica*" *Sketchbook*, 1:33).

²⁵ Lockwood and Gosman suggest that Beethoven brought back the main theme in E-flat major. I propose instead that Beethoven brings back the main theme material in the minor subdominant of B-flat major, that is, E-flat minor. As I will discuss below, G-flat plays an important role in this sketch and it seems likely that Beethoven would have wanted to make the cross reference with the prior Tr P2 and SotD. Moreover, a G-natural (if the theme

structured as a tight-knit compound sentence, the beginning of ST P2 (Example 14, mm. 72–89) is considerably more loose-knit because it is built as an enlarged continuation.

Example 14: CS 1.1, mm. 72–89; Subordinate Theme, Part 2, Continuation (*ES* pg. 11, st. 5–6a)

Subordinate Theme, Part 2
CBI => Continuation
Model (7-m.)

Sequence (7-m. varied) (fr. MT) continuation 1/2 Sequence => Cad. (fr. MT)

72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89

B♭ major: I (B♭ major) vii°b7 V7 I iv (E♭ minor)

Example 15: CS 1.1, mm. 31–43; interpreted as Modulating Transition, Part 2 (*ES* pg. 11, st. 2) [Reproduced Example 4]

Transition, Part 2 (Modulating)
CBI Continuation sequence ext. SotD

b.i. c.i. => model Continuation sequence ext. SotD

31 32 33 34 35 36 37 38 39 40 [st. 3] 41 42 43

E♭ major: V (B♭ major) vii° vi (D♭ major) iv°b8 (E♭ minor) vii°7 V (E♭ major)

Considering the tonal scheme of the ST P2 (Example 14, mm. 72–89) in relation to the modulating Tr P2 (Example 15, mm. 31–43), the dominant harmony that starts the latter does not appear to be a “blunder,” as Tovey would have it, but rather a striking design choice in the service of a greater compositional goal. In the context of form-functional theory, Beethoven’s choice to start the transition’s second part (mm. 31–34) with main theme

is realized in E-flat major) sounds out of place following the prior D-flat-major entry in mm. 79–85 (Example 14).

material expressing dominant harmony, while unorthodox, poses no existential threat to the following subordinate theme. The theory of formal functions requires that a subordinate theme start in a key besides the home key and end with a perfect authentic cadence (PAC) in the subordinate key; the theory does not posit any restrictions for the *material* that begins the subordinate theme.²⁶ Moreover, the musical material that makes up Tr P2 clearly fulfils the three primary transition formal-functions: it destabilizes the home key by providing the customary pivot and confirming the modulation with a subordinate key HC, loosens the formal organization through accelerating and sequential fragmentation, and liquidates the characteristic melodic material of the main theme function through the subsequent post-cadential SotD.²⁷ In short, the B-flat entry that starts the Tr P2 (Example 15, mm. 31–34), along with the subsequent tonicizations of D-flat major (mm. 36–38) and E-flat minor (39–40) helps to unify and further motivate the unconventional tonal excursions and thematic design of the ST P2 (mm. 72–89), which reiterates these same harmonies.

Let us return to the ST P2 in the sketch. After leading the listener through the re-emergence of main theme material in the keys of D-flat major (bIII) and E-flat minor (iv), Beethoven breaks out of the main-theme dominated passage with a two-measure model-sequence of a diminished-seventh harmony voiced at registral extremes (Example 16, mm. 90–93).²⁸ The chromatic ascent from F-sharp to G in the bass voice moves ultimately to a strong penultimate cadential 6/4 dominant in m. 94. The descending patterns (mm. 94–95) and subsequent figuration, which resembles upper-voice trills in mm. 99–106 that are characteristic of a soloist's final trill

²⁶ Caplin, *Analyzing Classical Form*, 353–54. Other recent sonata theories, e.g., Hepokoski and Darcy, 2006, place additional restrictions on what must precede the beginning of the Subordinate Theme, such as the “Medial Caesura,” a theoretical position not adopted in the present study.

²⁷ *Ibid.*, 308.

²⁸ In my piano reconstruction of this passage, I have the upper voice continue the E-flat 6 (see Example 16, m. 90) that was established in m. 86, which moves chromatically upwards to connect with the F6 in m. 94 that starts a cadential gesture.

cadence in a concerto,²⁹ strongly suggest an impending PAC.³⁰ Surprisingly, however, the PAC never materializes and an energy reducing passage that imparts closing section rhetoric ends the sketch (mm. 107–115). The subordinate theme group thus fails to secure a subordinate key PAC, which greatly problematizes the function and threatens the so-called "sonata principle."³¹ Figure 3 summarizes the complete form-functional reading of the first sketch with the dominant entry of main theme material interpreted as the start of the Tr P2.

Nottebohm's transcription suggests that Beethoven ended the sketch on a dominant harmony in m. 106 (Example 16). I follow instead Lockwood and Gosman's parsing of this page in the sketchbook, which includes the closing section material on staff 8 (a facsimile excerpt of this passage is provided in Example 17).³² The whimsical descending gestures that make up this closing section slow down the grouping structure from 2-m. in the preceding measures (Example 16, mm. 101–106) to two 4-measure groups (mm. 107–111 and mm. 111–115), and the straightforward cadential bass motions (Example 16, $\hat{3}$ in m. 108, $\hat{4}$ in m. 109, $\hat{5}$ in m. 110, $\hat{1}$ in m. 111),³³ which would normally function to dissipate the energy accumulated in

²⁹ On the concerto soloist's cadential trill that characteristically ends the exposition, see Danuta Mirka, "The Cadence of Mozart's Cadenzas," *Journal of Musicology* 22, no. 2 (2005): 292–325. See also Caplin, *Classical Form*, 247.

³⁰ In my reconstruction, I write a chromatic ascending line in the top voice of mm. 90–93 to reach the F6 that Beethoven writes in m. 94.

³¹ The "sonata principle" is the idea that the main *raison-d'être* of a sonata is for the subordinate theme function to secure a subordinate key, so that in the recapitulation, the subordinate theme material reappears transposed into the home key. The term was coined by Edward T. Cone in *Musical Form and Musical Performance* (New York, NY: Norton, 1968) and developed further by Charles Rosen, *Sonata Forms*, rev. (New York and London: W. W. Norton, 1988); see also Caplin, *Analyzing Classical Form*, 479.

³² Although Lockwood and Gosman use the word "theme" for this closing material in their commentary, they did not intend to suggest that the material in mm. 107–115 formed another theme in a form-functional sense of the word. I thank Alan Gosman for clarifying further their view with me. Caplin argues that no functional distinction between a "closing theme" and "subordinate theme" exists. Form-function theory uses the term closing *section* to denote material that functions as codettas after a structural PAC that ends the subordinate theme function; Caplin, *Classical Form*, 122.

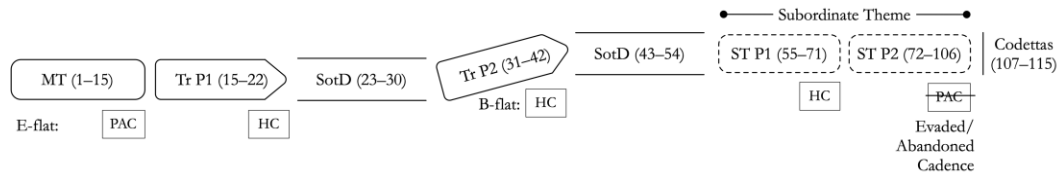
³³ For a discussion of the bass motion $\hat{3}$, $\hat{4}$, $\hat{5}$, $\hat{1}$ projecting cadential function, see Caplin, *Classical Form*, 247.

reaching the subordinate theme PAC, strongly implies a post-cadential closing section, even though the requisite PAC was evaded.

Example 16: CS 1.1, mm. 90–115; Subordinate theme, part 2 cadential function, evaded cadence, and implied closing section with codettas (ES pg. 11, st. 6b–8)

The image displays three systems of musical notation for piano, with annotations above and below the staves. The first system (mm. 90-95) is labeled 'Cadential' and divided into 'model' (mm. 90-91), 'sequence' (mm. 92-93), and '2-m. idea' (mm. 94-95). Harmonic analysis below the staff includes 'B-flat: vii^{o7}' with arrows pointing to measures 90 and 92, and 'V₄⁶' pointing to measure 94. The second system (mm. 96-102) is labeled 'Cadential (continued) fragment' and includes a first ending bracket [st. 7] over measures 98-101. The third system (mm. 103-115) is labeled 'Cadential (continued) fragment' and 'Closing Section codetta' (mm. 107-115), with a second ending bracket [st. 8] over measures 107-110. Harmonic analysis below the third system includes 'V⁴³' (m. 103), 'V₇^{b9}' (m. 105), 'ii^{b9}' (m. 106), 'Evaded Cadence' (m. 107), and a sequence of chords: I⁶, IV, ii, V⁷, I, I⁶, V, IV, ii, V⁷, I (mm. 108-115). Dynamics *p* and *f* are marked in measures 108 and 109 respectively.

Figure 3: CS 1.1, mm. 1–115; Form function diagram, interpreted as main theme, two-part transition, two-part subordinate theme.



Example 17: *ES*, pg. 11, st. 8 (Codetta-like material); held in the Biblioteka Jagiellońska, Kraków (Mus. ms. autogr. Landsberg 6)



The closing section material in mm. 107–115 (Example 16), which follows the cadential trill does not return in any of the subsequent drafts of the exposition, but Beethoven uses this energy-reducing tactic after a cadential trill in his next sketch, discussed further below, and he employs this same strategy at the end of the exposition and recapitulation in his Cello Sonata, Op. 69, I.³⁴ Compare the trill and closing section material in the sketch (Example 16, mm. 105–115) with the corresponding similar passage in the Op. 69 Cello Sonata (Example 18, mm. 89–95).

For both form-function theory and more traditional theories like those espoused by Leonard Ratner,³⁵ the final evaded PAC in the sketch dramatizes the subordinate theme in multiple ways. In addition to the irregular start of Tr P2 with dominant harmony before the subordinate theme, which does weaken the *harmonic* import of the start of the subordinate theme group, the final evaded cadence, which is supposed to confirm the subordinate key, is even more remarkable.³⁶ Before I discuss

³⁴ I thank Alan Gosman for showing me the parallel construction between this *Eroica* sketch and Op. 69.

³⁵ Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980).

³⁶ Ratner notes, for example, that "Delay in establishing the second key at the beginning of key area II can dramatize its final confirmation at the end of the exposition" (*Classic Music*, 225).

INTERPRETATION #2: MEASURES 31–42 AS THE SUBORDINATE THEME, PART 1

Example 19: CS 1.1, mm. 31–43; interpreted as Subordinate Theme, Part 1 (*ES* pg. 11 st. 2) (Reproduced Example 5)

Subordinate Theme, Part 1

Bb major: I vii° ii (Bb major) (Db major) (Eb minor) iv^{b3} vii°⁷ V ⁹/₇ HC _{5/3}

Now that we have explored the interpretation that considers the dominant entry of main theme material to start the second part of a two-part transition, consider now an alternate interpretation. Instead of hearing the B-flat major harmony in mm. 31–34 (Example 19) as dominant harmony of E-flat major, we can alternatively perceive it as tonic harmony in B-flat. When we hear the B-flat major main theme material as a tonic harmony, then there is strong evidence for reading the CBI and the material that follows (Example 9, mm. 31–42) as the Subordinate Theme, Part 1 (henceforth, ST P1) instead of a modulating transition.

If the B-flat version of main theme *material* starts the ST P1, then the music that precedes the ST P1 (Example 20, mm. 15–30) functions as a non-modulating transition that ends with a “bifocal close” (m. 23) whose dominant is prolonged with a SotD (mm. 23–30).³⁷ The bifocal close describes the scenario that occurs when the dominant harmony that concludes the non-modulating transition immediately becomes tonic harmony in the subordinate key (i.e., V of E-flat in m. 23 becomes I of B-flat major in m. 31). Beethoven thus plays with the dual, “bifocal lengths” or harmonic interpretations of the B-flat harmony that ends the non-modulating Transition: when we focus backwards (Example 20, mm. 23–

³⁷ For more information on non-modulating transitions, see Caplin, *Classical Form*, 127. On the term “bifocal close” see Robert S. Winter, “The Bifocal Close and the Evolution of the Viennese Classical Style,” *Journal of the American Musicological Society* 42, no. 2 (1989): 275–337.

30), the B-flat harmony functions as an ultimate dominant, but when we look forwards (Example 19, mm. 31–34), it functions as an initiating tonic in the subordinate key (B-flat major). Figure 4 depicts this new form-function reading of mm. 1–54 in the top of the figure A., which the reader can compare to the prior form-function interpretation in the bottom of the figure, B.

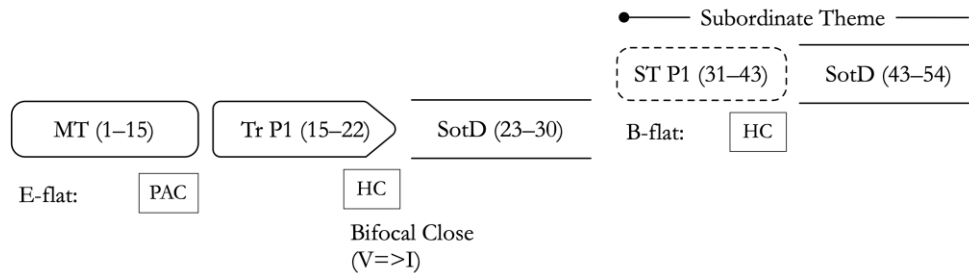
Example 20: CS 1.1, mm. 15–30; Transition and Post-cadential Standing on the Dominant (*ES* pg. 11, st. 1b–2a)

Transition (Non-Modulating)

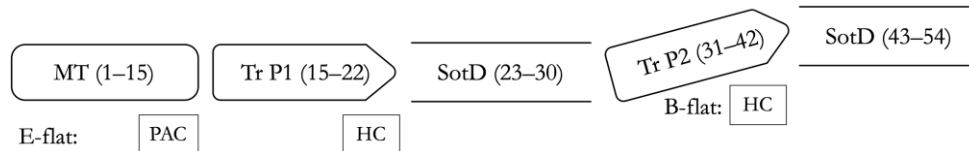
CBI b.i. c.i. => model Continuation => Cadential sequence %

Figure 4: Two form-function diagrams of Beethoven's first exposition sketch, CS 1.1 mm. 1–54 (*ES* pg. 11, st. 1–3)

A. Mm. 31–43 as the Subordinate Theme, Part 1



B. Mm. 31–42 as the modulating, Transition Part 2



In this alternate reading of mm. 31–42, the ST P1 starts with the main theme *material* in the subordinate key (B-flat major) but does not have main theme *function*. It seems plausible that prior studies would not have considered hearing this passage as the start of the Subordinate Theme because traditional sonata theories do not distinguish between musical material—rhythmic ideas, figuration, texture, and so forth—and function—how those material contents are formally deployed (e.g., their harmonic organization and grouping structure). This lack of distinction does not completely explain, however, why this interpretation has been overlooked. Given that mid twentieth-century sonata theories purport to emphasize key relationships above thematic or melodic differentiation to distinguish the so-called “first theme group” from the “second theme group,” we might expect scholars to consider this passage as the start of the subordinate theme, given that it can be interpreted to reside in the subordinate key (B-flat major).

Perhaps previous studies did not consider the dominant entry of main theme material as the proper beginning of the subordinate theme in this sketch because the passage that corresponds to this material in the final

version (Example 21, mm. 37–45) so clearly projects transition function. Additionally, it must have seemed inconceivable to understand this passage as the start of the subordinate theme group considering that scholars debate about where the “second subject” begins in the final version of the piece.³⁸ Finally, the passage does indeed have characteristics of transition function, as I discussed above (e.g., a standard pivot harmony and sequencing; see section 1.2.2): still, if we restrict our purview to the sketch and hear a prior bifocal close in m. 23, the B-flat version of main theme material can be viably interpreted as starting the subordinate theme.

Example 21: Op. 55 I, mm. 37–45; Modulating Transition, Part 2 (final)

Transition Part 2: Modulating

CBI Continuation SotD

37 38 39 40 41 42 43 44 45

I vi B♭ major: ii Ger⁶ V V⁷ HC

2-m. idea

Before I detail the formal consequences of this reading, consider several pitch-class features of the ST P1 (mm. 31–42). After completing the B-flat-major CBI, the principal voice steps upwards from B-flat through B-natural to C. This chromatic ascent mirrors the same chromatic descent of the CBI in the main theme.³⁹ As shown in Example 22, the main theme material in the main theme function moves chromatically downwards from E-flat through D to C-sharp (A.), whereas the ST P1 version of the main theme material moves upwards from B-flat through B-natural to C (B.). With these two chromatic moves, Beethoven completes the chromatic hexachord between pitch classes E-flat down to B-flat (Example 23). These six pitch classes come back in a prominent position towards the end of the sketch, which I discuss below.

³⁸ For a summary of scholars’ different views on where the subordinate theme starts in the final version of the first movement, see William Drabkin, “Twentieth-Century Analytical Approaches to the First Movement,” in *The Cambridge Companion to the Eroica Symphony*, ed. Nancy November (Cambridge: Cambridge University Press, 2020), 82–86.

³⁹ In the context of the prior interpretation of the material in mm. 31–42 as part 2 of a modulating transition (see section 1.2.2), the pitches move in a way that is parallel to the non-modulating transition, part 1 (see Example 7).

Example 22: Main Theme Material in Main Theme function as mirroring the same material in the Subordinate Theme function (A. top staff = mm. 3–7 and B. bottom staff = mm. 31–35 in CS 1.1)

A.) Mm. 3–7



B.) Mm. 31–35



Example 23: Chromatic hexachord between E-flat and B-flat



In contrast to the MT, whose continuation gets disrupted by the C-sharp before correcting upwards to start a cadential progression (Example 24, mm. 7–14), the music that follows the CBI in the ST P1 (Example 25, mm. 35–40) brings a chromatic sequential progression that sequences the contrasting idea in 2-measure units, which concludes with an internal HC in m. 43. To summarize this alternate interpretation, the first part of the subordinate theme can be characterized as a relatively tight-knit hybrid CBI+continuation theme, but it is more loosely constructed than a more typical CBI+continuation because of its transition-like characteristics discussed in section 1.2.2.

Example 24: CS 1.1, mm. 1–14; Main Theme (*ES* pg. 11, st. 1)

Example 25: CS 1.1, mm. 31–43; interpreted as Subordinate Theme, Part 1 (*ES* pg. 11 st. 2) (Reproduced Example 5)

After the internal subordinate key HC in m. 43 (Example 26), Beethoven builds a 12-measure post-cadential SotD (mm. 43–54) that prolongs the dominant of the subordinate key (i.e., F major as V of B-flat major). He structures the post-cadential SotD in three 4-measure groups that each start with germinal stepwise descending gestures (G, F, E-flat, over implied V7, and G-flat, F, D over implied V6/4). The blank measures in the sketch (the facsimile is shown in Example 27 and a transcription of this passage is shown in Example 28) suggests that he knew the formal dimensions of this passage, but he may not have yet known the figuration or texture. Subsequent sketches provide more elaborate figuration and different grouping structures, but the harmonies, which strongly imply a prolonged dominant, always project a SotD function.

Example 26: CS 1.1, mm. 43–54; Standing on the Dominant (*ES* pg. 11, st. 3)

Standing on the Dominant
4-m. idea

43 44 45 46 47 48 49 50 51 52 53 54

B-flat: V $\frac{9}{7}$ (HC) V $\frac{b9}{4}$ V $\frac{9}{7}$

Example 27: Facsimile excerpt from *ES*, pg. 11, st. 4 (corresponds to CS 1.1, mm. 43–54; Standing on the Dominant); Sketchbook held in the Biblioteka Jagiellońska, Kraków (Mus. ms. autogr. Landsberg 6)

Example 28: Transcription of *ES*, pg. 11, st. 4 (corresponds to CS 1.1, mm. 43–54; Standing on the Dominant)

43 44 45 46 47 48 49 50 51 52 53 54

The sparse details of this SotD (Example 28, mm. 43–54) emphasize G and G-flat as important pitch classes. These two pitch classes, along with the pitch classes of the chromatic hexachord discussed above (B-flat, B-natural, C, C-sharp, D, E-flat; see Example 22 and Example 23) reappear prominently at the end of the sketch as part of a cadential trill (Example 29, mm. 99–106). Observe how Beethoven starts the trill on B-natural, then moves chromatically upwards through C-sharp (mm. 99–102) to D with C-natural (mm. 103–104), which signals an impending cadence with an upper-voice descending $\hat{3}, \hat{2}, \hat{1}$ (i.e., D, C, B-flat) gesture. But before providing the cadence, the music leaps to G-flat (m. 105) and steps up to G-natural (m. 106) and the final PAC is evaded. In short, this seemingly conventional trill-like figuration embeds cross-references to pitch classes that have played important roles earlier in the sketch.

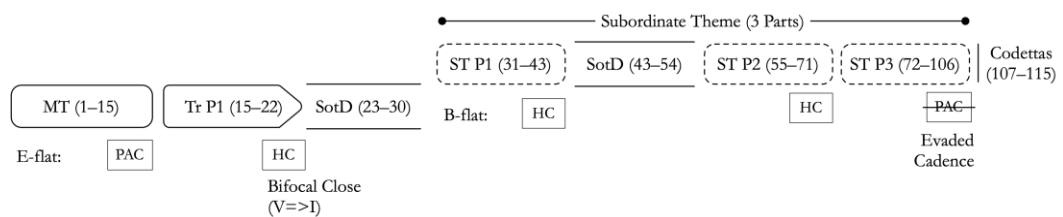
Example 29: Transcription of *ES*, pg. 11, st. 7 (corresponds to CS 1.1, mm. 99–106)



To summarize, the transition in this second interpretation is now one part and the subordinate theme is three-parts: the first part of the subordinate theme includes mm. 31–54, the second part consists of mm. 55–71, and the third encompasses the material in mm. 72–115. As before, the subordinate theme fails to secure the subordinate key with a PAC and the subsequent closing section (discussed above) implies that the exposition has ended.

Figure 5 provides a form-function diagram of the second form-functional reading of the sketch, which interprets the dominant entry of main theme material (mm. 31–34) as the beginning of the subordinate theme group. Video 2 (<https://youtu.be/3pexbisFVs>) shows the same performance as Video 1 but includes form function labels that match the second interpretation of the form detailed in this section.

Figure 5: Form function diagram of CS 1.1, mm. 1–115; interpreted as Main Theme, non-modulating Transition, and 3-Part Subordinate Theme



THE BIFOCAL CLOSE AND MOZART'S PIANO CONCERTO IN B \flat MAJOR, K. 595, I, SOLO EXPOSITION AS A FORMAL MODEL FOR THE FIRST *EROICA* EXPOSITION SKETCH

The second form-functional interpretation of CS 1.1—a main theme, one-part non-modulating transition, and a three-part subordinate theme (refer

to the diagram in Figure 5)—is extremely rare in the music of Haydn, Mozart, and Beethoven. To date, I have found only one other piece that has this design: the solo exposition of Mozart's Piano Concerto in B-flat Major, K. 595. Mozart's piece is especially relevant to this study, as Beethoven quoted the main theme from the third movement early in the *Eroica* sketchbook. Let us now explore these formal parallels in greater detail.

To interpret the dominant entry of main theme material as the start of the subordinate theme function in CS 1.1, it was necessary to recognize that the prior non-modulating transition (mm. 15–30) ended with a bifocal close in m. 23. This bifocal close is not unprecedented in Beethoven's music: it can be found in some of his published music written before the *Eroica*, for example, in the first movement of his Piano Sonata in C Major, Op. 2, No 1, in his Piano Sonata in E-flat Major, Op. 7, and other pieces.⁴⁰ The bifocal close has carried a negative stigma, however, and this negative association, along with the transition characteristics of mm. 31–42 (see section 1.2.2) may have contributed to scholars overlooking the dominant entry of main theme material (mm. 31–34) as the beginning of the subordinate theme group.⁴¹

⁴⁰ Although Beethoven's C major Piano Sonata, Op. 2, No 1, has a bifocal close, its design is slightly different than the one I propose in the first *Eroica* sketch. In the sonata's exposition, the transition ends with a HC in the home key in m. 21, i.e., G major as V of C major, which is prolonged by a SotD in mm. 21–26. The subordinate theme starts immediately with a modal shift in m. 27 to G minor. The modal change from the previous dominant to the subsequent minor tonic contributes to hearing the subordinate theme in the tonic, rather than a prolonged dominant. Winter identifies other Beethoven pieces that have a bifocal close, most notably his Symphony in C major, Op. 21, and the overture to *Die Geschöpfe des Prometheus*, see Winter, "Bifocal Close," 331–32.

⁴¹ For example, William Horne, who uses Beethoven's *Eroica* sketches to support his argument for where the subordinate theme begins (namely, at m. 45), suggests that composers may have used the bifocal close to write in an uncomplicated or accessible style and suggests that the bifocal close was "particularly characteristic of short sonata forms" (William Horne, "The Hidden Trellis: Where Does the Second Group Begin in the First Movement of Beethoven's *Eroica* Symphony?" *Beethoven Forum* 13, no. 2 (1992): 113–14). He discusses the bifocal close of Beethoven's Piano Sonata, Op. 7, in relation to the *Eroica* to make the claim that the "second group" begins at m. 45 in the *Eroica* and lasts until m. 54. The harmonies of this passage, he argues, "mimick" the rhetoric of a standing on the dominant, but they do not invoke a standing on the dominant function (Horne, 124). Given that it is difficult to differentiate between something "mimicking" the rhetoric of a function and acting as that function, I oppose Horne's suggestion. I thus recognize mm. 45–54 in

As Robert Winter has shown, composers such as Carl Czerny and other nineteenth- and twentieth-century theorists denigrated the bifocal close as something appropriate for sonatinas, not grand sonatas.⁴² Tovey called it a “pun bridge,” a “practical joke,” and a “quaint primitive device.” Hugo Riemann declared that Beethoven’s use of the tactic in his Piano Sonata, Op. 2, No. 3 was a “well-known little mistake.”⁴³ Perhaps it was inconceivable to imagine that Beethoven would use this strategy to expand the dimensions of the *Eroica*, when so many theorists erroneously thought that the device was used solely for simplistic or smaller forms.

Ultimately, negative views of the bifocal close are misguided. As Winter has convincingly argued, “it is simply erroneous to speak of the bifocal close as a quaint primitivism.”⁴⁴ While the device can be found in sonatinas, it also appears in greatly expanded sonata forms, despite what Tovey or Riemann would have us believe. Winter observes, for example, that Mozart’s imaginative re-application of the bifocal close late in his career served as a “critical structural link in the expansiveness of the new style.”⁴⁵ He cites Mozart’s last Piano Concerto in B-flat Major, K. 595, and explains that, “By preparing a mild modulation with the bifocal close and a more polarized one via the ensuing chromaticism,” Mozart “succeeds in nearly doubling the length of the exposition.”⁴⁶ Rather than being a quaint or primitive device reserved for sonatinas, the bifocal close could be used to expand the dimensions of a sonata.

Let us return now to the sketch. On the second page that contains material for the *Eroica* in the *Eroica* Sketchbook (p. 5), and in the midst of sketching material for the development of the first movement, Beethoven quoted a slightly altered version of the first four measures of the third movement to Mozart’s B-flat major concerto (Example 30); Mozart’s

the final piece as a standing on the dominant that ends transition, part 2 (see Appendix 5), not the start of the subordinate theme following Horne’s analysis.

⁴² Winter, “Bifocal Close,” 284–90.

⁴³ *Ibid.*, 285–87.

⁴⁴ *Ibid.*, 319.

⁴⁵ *Ibid.*, 325.

⁴⁶ *Ibid.*

original is shown in Example 31.⁴⁷ Scholars have noted the affinity of Mozart's triadic theme with the *Eroica* main theme but have not explained how the concerto might relate to Beethoven's sketches. Given that Beethoven was interested enough to quote Mozart's concerto in the earliest stages of working on the *Eroica*, it seems sensible to look for more parallels between the two works. Perhaps Beethoven modeled the form of his first exposition sketch after Mozart's concerto.

Example 30: Excerpt of Mozart, Piano Concerto in B-flat Major, K. 595, III, mm. 1–4 (modified) quoted by Beethoven (*ES* pg. 5, st. 7)

Example 31: Excerpt of Mozart, Piano Concerto in B-flat Major, K. 595, III, mm. 1–4

To understand a possible connection, let us consider the form of Mozart's exposition to the first movement, which we will see to have remarkable similarities to one of my interpretations of the *Eroica* exposition. The second viable form-functional interpretation of the first exposition sketch, "CS 1.1 Interpreted as Main Theme, non-modulating Transition, and Three-Part ST" (discussed in 1.2.3) matches the form-functional design of

⁴⁷ This correspondence was first discovered by Rachel Wade. She notes that "Beethoven jotted down the theme of the Rondo transposed down a fifth and notated in 3/4 instead of 6/8, which probably accounts for why the quotation has gone unrecognized in the past" (Rachel Wade, "Beethoven's *Eroica* Sketchbook," *Fontes Artis Musicae* 24 (1977): 272.

the solo exposition of Mozart's concerto when we exclude the concerto specific functions.⁴⁸ Compare Beethoven's first exposition continuity sketch schematized in Figure 6 with Mozart's solo exposition in Figure 7. Appendix 3 provides a form-function analysis of the solo exposition to the first movement of Mozart's concerto, mm. 81–177. Both Mozart's solo exposition and Beethoven's first *Eroica* exposition sketch contain an expanded main theme, a non-modulating transition that ends with a bifocal close HC, prolonged by a post-cadential SotD, and a three-part subordinate theme, whose first and second parts lead to internal HCs and SotDs.

While subordinate theme groups with three self-contained themes (i.e., formal units that close with PACs) are not uncommon in the classical style, subordinate themes with three co-dependent *parts* (i.e., formal units that close with HCs dependent on subsequent PACs) are extremely rare.⁴⁹ It seems unlikely, therefore, that the form-functional similarity of Mozart's solo exposition with Beethoven's first exposition continuity sketch is mere coincidence, especially when we know from his quote (Example 30) that he had this piece in his mind while sketching the *Eroica*. Thus, although the *Eroica* is cast as the piece that epitomized Beethoven's "new path,"⁵⁰ perhaps he turned "backwards" to Mozart's greatly expanded exposition in his last piano concerto as inspiration for his first *Eroica* exposition sketch.

⁴⁸ On the concerto specific "bravura theme" and the Ritornello, see Caplin, *Analyzing Classical Form*, 688–92. The solo exposition differs from the opening ritornello in Concerto Form as it parallels the design of a regular sonata exposition with the same formal functions of main theme, transition, and subordinate-theme group; see Caplin, *Classical Form*, 145.

⁴⁹ Caplin notes that, while multiple subordinate themes that each close with PACs are not uncommon, two-part subordinate themes are relatively rare in the music of Haydn, Mozart, and Beethoven. He does not discuss three-part subordinate themes, presumably because they are even more uncommon (Caplin, *Classical Form*, 380–81). To date, I have not found any other piece by Haydn, Mozart, or Beethoven that has a three-part subordinate theme design (i.e., two subordinate themes that close with HCs and a third that closes with a PAC).

⁵⁰ For a summary of the "new path" interpretations, see Mark Ferraguto, "Beethoven's 'Watershed'? *Eroica's* Contexts and Periodisation," in *The Cambridge Companion to the Eroica Symphony*, 24–42.

Figure 6: Form-function diagram of Beethoven's first exposition sketch, CS 1.1, mm. 1–115 Interpreted as Main Theme, non-modulating Transition, and Three-Part Subordinate Theme (Repeated Figure)

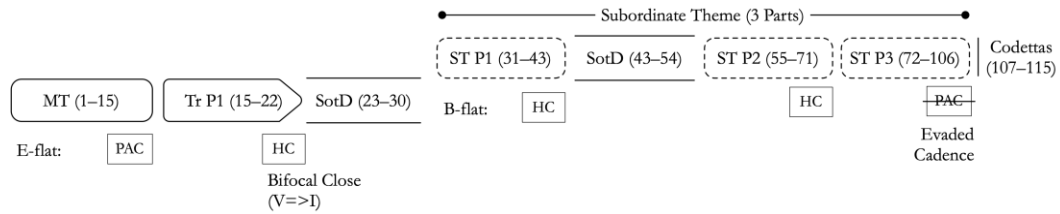
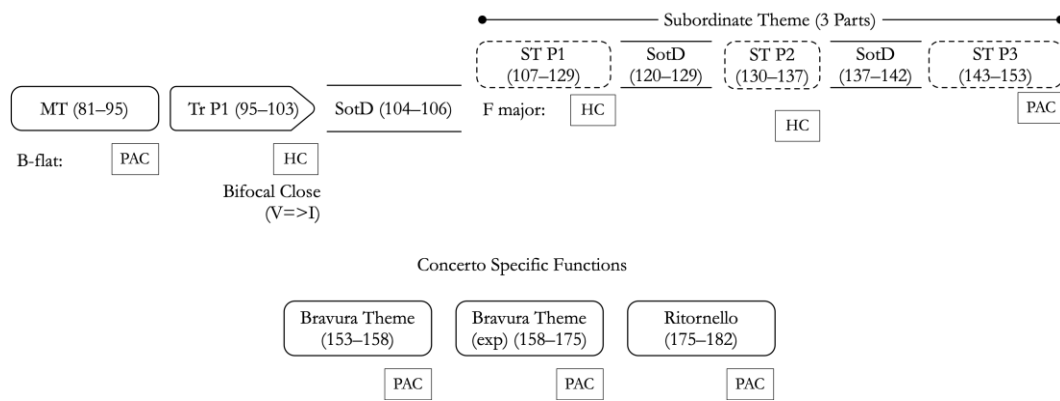


Figure 7: Form-function diagram of the solo exposition to Mozart's Piano Concerto in B-flat Major, K. 595, I, mm. 81–182



THEORIZING BEETHOVEN'S LARGE-SCALE PLAN FOR THE FIRST MOVEMENT

Up to this point, we have explored two separate but valid interpretations of the B-flat-major main theme material (as the Tr P2 or the ST P1), which, with the final evaded PAC, weaken the rhetorical power of the subordinate theme group. In both interpretations, a listener (of the realized sketch) would likely remember the subordinate theme for the bold re-emergence of main theme material late in the group, not for strongly launching the new subordinate key tonic (à la Haydn), for establishing new melodic material, or for securing the subordinate key through a requisite PAC. The exposition therefore has the monothematic characteristics common to Haydn's music with the clearly demarcated subordinate theme parts like Mozart's concerto, but with a clash of dominant and tonic harmonies placed in crucial parts of the form. Thus, although a form-functional analysis of this sketch identifies standard characteristics of a subordinate theme, the normal thematic, tonal, and rhetorical forces of this function are downplayed.

If we valorize the material in the first exposition sketch instead of denigrating it, we can conclude that Beethoven problematized the subordinate theme while expanding the dimensions of the exposition to achieve some other compositional goal. What was this compositional goal? I suggest that Beethoven worked to subvert a lyrical subordinate theme in the exposition to rhetorically elevate the appearance of a new lyrical theme in E minor that he planned to introduce in the middle of the development. My analysis of the sketches thus parallels Theodore Adorno's unpublished analysis of the final piece.⁵¹ Let us now explore this hypothesis further.

⁵¹ Steven Vande Moortele, "The Philosopher as Theorist: Adorno's *Materiale Formenlehre*," in *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno*, ed. Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin (Rochester, NY: University of Rochester Press, 2015), 425–26.

SKETCHES BEFORE THE FIRST EXPOSITION SKETCH (CS 1.1)

We might intuitively expect Beethoven to start sketching the *Eroica* at the beginning in the exposition. But this is not what the sketchbook suggests. The pages before the first exposition sketch (pages 4–9) include material for the development, recapitulation, coda of the first movement, and several "movement plans" (i.e., thematic material for the second and third movements).⁵² To better understand how this material may have influenced Beethoven's early exposition sketches, we need to interpret these sketches in greater detail with form function theory.

As Nottebohm first showed, Beethoven wrote a mature version of the new development theme material in E minor (Example 32) in the top left-hand corner of the first page that contains *Eroica* material on page 4 of the sketchbook (see an excerpt of the facsimile in Example 33).⁵³ Compared to much of the single-voice sketch material that follows, the lyrical E minor "concept sketch"⁵⁴ is distinctive for having two voices in the first two measures (in the b.i.), and three voices in the second two measures (in the c.i.). The placement of this material and the completeness of its design suggests that it occupied an important position in Beethoven's compositional process.

⁵² For more on "movement plans," see Lewis Lockwood, "Planning the Unexpected: Beethoven's Sketches for the Horn Entrance in the *Eroica* Symphony, First Movement," in *Beethoven: Studies in the Creative Process* (Cambridge, MA: Harvard University Press, 1992), 6–13. For an overview of various terms used to describe these multi-movement sketches, see Barry Cooper, "The Origins of Beethoven's D Minor Sonata Op. 31/2," *Music & Letters* 62 (1981): 265 and Erica Buurman, "Beethoven's Compositional Approach to Multi-Movement Structures in His Instrumental Works," PhD diss., University of Manchester, 2013, 29–34.

⁵³ Nottebohm, *Two Beethoven Sketchbooks*, 71–74. Lewis Lockwood has discussed this passage in more detail (Lockwood, "Planning the Unexpected").

⁵⁴ The term "concept sketch" was coined by Alan Tyson, "The 1803 Version of Beethoven's 'Christus Am Oelberge.'" *The Musical Quarterly* 56, no.4 (1970): 570–71 and subsequently adopted by Lewis Lockwood, "The Beethoven Sketchbooks and the General State of Sketch Research," in *Beethoven's Compositional Process*, ed. William Kinderman (Lincoln: University of Nebraska Press, 1991), 1:8.

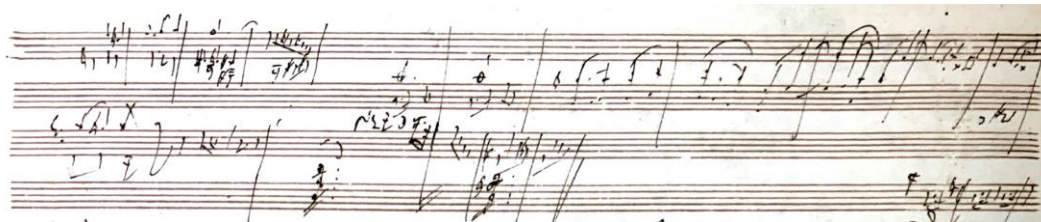
Example 32: New development theme material (*ES*, pg. 4, st. 1, top left-hand corner)

CBI

[st. 1] b.i. c.i.

E minor: i V₃⁴ i V₃⁴ i V V/V V

Example 33: *ES*, pg. 4, st. 1–4 excerpt; note the new development thematic material in top left-hand corner of the page; Sketchbook held in the Biblioteka Jagiellońska, Kraków (Mus. ms. autogr. Landsberg 6)



After the new E minor development theme, Beethoven sketches a hybrid theme in C minor on staves 1–4 (Example 34) whose theme type (CBI + continuation), key center (C minor), and rhythmic profile is akin to the first refrain of the second movement (Example 35). Immediately thereafter, he writes a synoptic overview of the first movement's development (Example 36), which he indicates with the shorthand, "2ter Theil" shown in the left-hand side of the sketch facsimile excerpt in Example 37.⁵⁵ A complete formal overview of the material on page 4 is summarized in Table 1. In the table, columns represent the left- and right-hand sides of each staff

⁵⁵ Beethoven used "2ter Theil" (German for "Second Part") to indicate the beginning of the development; see William Drabkin, "Beethoven's Understanding of 'Sonata Form': The Evidence of the Sketchbooks," in *Beethoven's Compositional Process*, ed. William Kinderman (Lincoln: University of Nebraska Press, 1991), 16.

and rows represent the sixteen staves. In essence, page 4 exemplifies Beethoven's large-scale planning for the first and second movements. If Beethoven wrote this material before the first exposition sketch, which seems likely, perhaps the development plan influenced his design for the exposition.⁵⁶

Example 34: Second movement theme concept sketch (*ES*, pg. 4 st. 1–4)

II. Second Movement Theme Concept
Possible A: CBI + Continuation Hybrid Theme

[st. 1 & 2] CBI b.i. c.i. Continuation Fragment γ Cad. Codetta

[st. 2]

[st. 3]

[st. 3 & 4]

[Strings] pizz.
C minor: i i⁶ V⁶ ⁶/₄ ⁵/₃ i vii^{o7} V⁶ V⁴⁻³ i V V⁴⁻³ i

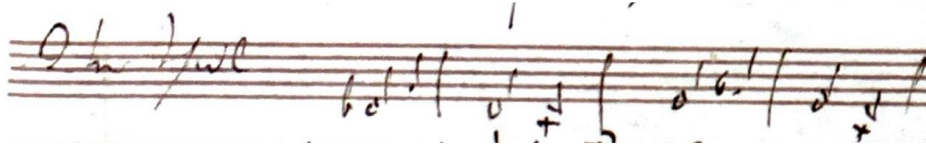
PAC PAC

⁵⁶ Gosman and Lockwood recognize the plausibility of p. 4 being written before p. 11, but it remains a possibility that Beethoven wrote p. 4 at a later stage. Tyson, for example, observes that Beethoven seems to have “used the earlier pages first and later pages later, so that the order of the pages is on the whole the order in which the sketches were made,” but the presence of blank pages in the *Eroica* Sketchbook suggests that “he sometimes leaped far ahead, leaving gaps which might or might not be filled” (Tyson, “*Christus am Oelberge*,” 571. I thank Alan Gosman for drawing these alternate possibilities to my attention. As it is impossible to know whether Beethoven completed page 4 after or before writing page 11, I have adhered to the order of the pages in the sketchbook unless strong evidence contradicts this order. For example, it is highly likely that Beethoven sketched the *Eroica* material on page 11 before page 10, given that page 10 is provides a revision of the material on page 11. The material on page 4, however, does not offer clear evidence that it was sketched after pages 10–11. For more on the chronology of this early page 4 development sketch and its relationship to later development sketches, see Thomas W. Posen, “Formal Functions and Beethoven’s Sketches: A Phrase Structural Analysis of the *Eroica* Sketches,” Ph.D diss., McGill University, forthcoming.

Table 1: *Eroica* Sketchbook, pg. 4 Content Summary

ST.	LEFT SIDE OF THE PAGE	RIGHT SIDE OF THE PAGE
1	I. Dev: New Lyrical Theme in E minor	
2		II. MT Concept (Treble)
3	II. MT Concept (end)	II. MT Concept (Bass)
4	II. MT Concept (end)	
5	I. Dev (2ter Theil) Core, Model (8m)	
6	I. Dev: V of Fm	I. Dev: B \flat M prolongation (tonic)
7	I. Dev: End to final HC (G \flat to B \flat ascent in top voice)	I. Dev: Final SotD
8	I. Dev: Retransition (Early Entry of MT CBI)	I. Recapitulation: End of MT (?), Transition P2 or Subordinate Theme, P1 (fusion)
9	I. Recapitulation: MT Continuation, Dominant Arrival, Continuation	
10	I. Recapitulation: Continuation (vii ^o Ascending Seq.)	CBI in D \flat M and E \flat m
11	I. Unidentified Transition (starts with E \flat m)	I. Transition from B \flat M to E \flat M (st. 11, 13, 14)
12	I. B \flat M CBI + Cont	
13	I. B \flat M CBI + Cont (bassline)	See st. 11 Right
14		See st. 11 Right
15	I. B \flat M C. Pres (CBI x2) + Cont (I => V7)	
16		

Example 37: *ES* pg. 4, st. 5; "2ter Theil" (Beginning of development); Sketchbook held in the Biblioteka Jagiellońska, Kraków (Mus. ms. autogr. Landsberg 6)



The development synoptic overview sketch (Example 36, staff 1) opens with a two-measure statement (tonic version) and two-measure response (dominant version) of the MT basic idea (b.i.) material in F minor. The following ascending, four-measure arpeggiated G minor harmony implies supertonic harmony, which balances the opening presentation (b.i. + b.i.) into what is presumably an eight-measure model for the development core. The grouping structure, but not key of this core-sketch corresponds with the development's Core #1 model in the final version of the piece (see Appendix 5, mm. 186–198). It does not seem that the material that follows on staff 2 of Example 36 belongs to the core's model, but its surface rhythm accelerates, much like it does in the first model of the final version's Core #1 (a cue staff reduction of this acceleration in the final version is shown in Example 38).

Example 38: Final Op. 55, I., mm. 194–197; last four measures of Core #1, 12-m. Model

After a tonic prolongation of B-flat-major harmony (Example 36, staff 2, m. 5–10 in the example), Beethoven writes an ascending, chromatic upper-voice line from G-flat to B-flat (staff 3, mm. 2–12) that brings the development's final HC in the home key and subsequent retransition to prepare the recapitulation (staff 4). The pitch classes of this upper chromatic line (G-flat, G, A-flat, A, B-flat) may have some connection to the pitch classes I highlighted above (section 1.2.3) that play prominent roles in the

first exposition sketch, that is, the chromatic hexachord pitch classes B-flat, B, C, C-sharp/D-flat, D, E-flat with G and G-flat (refer to Example 22, Example 23, Example 28, and Example 29). The only two pitch classes that are missing from the twelve-tone aggregate are E and F.⁵⁷ Finally, as Nottebohm first showed, Beethoven sketches the main theme CBI material in E-flat major before the completion of the dominant that ends the development (Example 36, staff 4)—the so-called "wrong-note" horn entry that many nineteenth century conductors (e.g., Hans von Bülow) and composers (e.g., Richard Wagner and Arnold Schoenberg) erroneously "corrected."⁵⁸ Although the material on page 4 is fragmentary, the brief material he wrote down must have been significant for his overall compositional plan.

Given that the well-developed concept sketch of the new development thematic material and the synoptic overview of the development that follows precedes the first exposition sketch, it seems plausible that Beethoven could have started the first movement with the pre-determined plan of introducing the new E-minor lyrical theme in the middle of the development, and this may have influenced the design of the exposition. Similarly, the early tonic entry of main theme material that clashes with the final dominant of the development might suggest that he worked to create a conflict between the tonic and dominant harmonies at important parts of the form.⁵⁹ Perhaps the tonic and dominant versions of main theme material that start the MT and ST P1 (see 1.2.3) in the first exposition sketch "unfold" the tonic and dominant clash over a larger

⁵⁷ On the role of the twelve-tone aggregate in tonal music, see Henry Burnett and Shaugn O'Donnell, "Linear Ordering of the Chromatic Aggregate in Classical Symphonic Music," *Music Theory Spectrum* 18, no. 1 (1996): 22–50.

⁵⁸ Nottebohm, "Two Beethoven Sketchbooks," 72. For a more detailed discussion of the early entry of MT, see Lockwood, "Planning the Unexpected." For Ferdinand Ries' famous statement on this passage, see O. G. Sonneck, ed., *Beethoven: Impressions by His Contemporaries* (New York: Dover Publications, 1954), 54.

⁵⁹ Lewis Lockwood elaborates on David Epstein's observation that there are several moments in the first movement where tonic is juxtaposed against dominant in the final version of the piece; Lockwood, "Planning the Unexpected," 169–72.

formal area in the exposition, and then “fold” it back together at the crucial moment before the recapitulation begins at the end of the development.⁶⁰

After Beethoven closes the development sketch with a double bar on staff 8, he sketches the music shown in Example 39 (staves 8–10 in the sketchbook). Lockwood and Gosman identify this material as a “development sketch.”⁶¹ But given that this material *follows* the double bar that ends the prior synoptic overview of the development (shown in Example 36; refer the page layout of the sketchbook page in Table 1), I propose instead that this material is an early sketch for the recapitulation. The sketch appears to start *in media res* with prolonged dominant harmony that suggests a SotD, which would likely mark the ending of a non-modulating transition. Given that Beethoven had presumably not written an exposition sketch when he wrote this sketch, it seems plausible that he had something in mind for the main theme but did not yet feel the need to write it down. Indeed, the material for the main theme (mm. 3–14) remains invariant in every exposition sketch. This invariance suggests that the main theme was fixed in Beethoven’s mind at some early point in his compositional process.

There are many fascinating formal and tonal similarities between this seeming recapitulation sketch and the first exposition sketch that follows seven pages later in the sketchbook. In the recapitulation sketch (Example 39), Beethoven writes material from system 1, measure 5 to the complete system 2 (in the example), that presents the CBI of main theme material. Following the CBI, Beethoven sequences the contrasting idea until reaching D-flat major. The shorter grouping structure and sequencing project a clear continuation function. Given the formal and tonal similarities of this material to what follows seven pages later in the first exposition sketch, the page 4 music (Example 39, system 1 and 2) strongly suggests either the beginning of a transition, part 2, and or the beginning of the subordinate theme, part 1 of the subordinate theme in the recapitulation. Blue notes in Example 39 highlight two background ascending chromatic

⁶⁰ I use the terms “unfold” and “fold” in reference, but not equivalence, to the Schenkerian concept of unfolding; see Carl Schachter, *Unfoldings: Essays in Schenkerian Theory and Analysis*, ed. Joseph N. Straus (New York & Oxford: Oxford University Press, 1999).

⁶¹ Lockwood and Gosman, “*Eroica*” *Sketchbook*, 1:193.

lines: 1. B-flat, B-natural, C, D-flat on the first two staves, and 2., A-flat, G, A-natural, B-flat, and C in the continuation in the bass voice of the third system.

Example 39: Analysis of *Eroica* Sketchbook, page 4, staves 8–10

I. Recapitulation
 Standing on the Dominant (likely end of Tr P1)

Transition, P2 (Modulating) => Subordinate Theme, Part 1
 Bass Ascent (B \flat to D \flat)
 CBI

Continuation
 seq.

st. 8b] [st. 9]

g \flat major: V⁷ gut V V₆⁶ vi

fragment (seq. deferred) seq. fragment % %

D \flat major: V⁶ (L&G have F) I => V/IV (V⁷ of G \flat major) => vii⁷ (C \flat ⁷)

Continuation (resumed, 10-m. unit)
 Bass Ascent (A-flat to E-flat) with vii⁷ harmonies

model seq. [st. 10] % % % seq.

pp [vii⁷] ff [vii⁷] pp [vii⁷] ff V⁷/ii vii⁷

Subordinate Theme, Part 2
 Compound Presentation

[st. 10] CBI model CBI seq.

Viole 8va

V[iolon]celli Bassi

I ii

Once D-flat major is reached (Example 39, system 2, m. 3), Beethoven breaks out of the sequence by turning the D-flat material into an applied dominant seventh of G-flat major, i.e., the subdominant of D-flat. The grouping structure remains at two bars, but the harmonic rhythm slows. After stalling out the sequence when D-flat major arrives in system 2, Beethoven restarts the continuation by sequencing fully diminished seventh arpeggios in system 3. This sequence leads ultimately back to D-

flat major, whereupon Beethoven enlarges the prior two-measure grouping structure into four-measure units in system 4. The slower grouping structure and musical material suggests a soaring variation of the main theme material. He also notates a texture change at this point by assigning the material to the violas and cellos in octaves, followed by a statement in E-flat minor with the addition of the basses. These features suggest hearing the material on the fourth system of Example 39 as a compound presentation, which further supports hearing the beginning of a recapitulatory ST P1.

To summarize, the overall formal and tonal design of the sketch written on page four of the sketchbook (Example 39) resembles parts of the first exposition sketch's subordinate theme (Appendix 2, mm. 31–89), but its looser overall construction and position after the development suggests a recapitulation function. Consider, for example, how the music reaches D-flat major through an ascending sequence in the second system of Example 39, how it leaves D-flat through an ascending sequence that uses fully diminished seventh harmonies, and the way it turns to D-flat in the fourth system with material that is suggestive of an expanded version of the main theme material. This tonal circulation is common in recapitulations, which restructure the tonic and dominant conflict that plays out in the exposition.

Although placing new thematic material into the development was not unprecedented when Beethoven began working on the *Eroica*,⁶² his exotic key choice for the new thematic material (E minor in an E-flat-major work) and unprecedented formal approach for setting it up was new. Perhaps Beethoven worked on ways to subvert a strongly contrasting, lyrical subordinate theme in his early exposition sketches in order to elevate rhetorically the dramatic appearance of a new lyrical theme in the middle of the development. The unconventional subordinate theme in the first exposition sketch, which destabilizes the thematic and tonal content in multiple ways, works to “displace” — as Adorno put it in his analysis of the final piece — the rhetorical forces of the subordinate theme out of the exposition. This displacement motivates further the dramatic new lyrical theme late in the development, which is recapitulated in the coda. We can

⁶² Bathia Churgin, “Beethoven and the New Development-Theme in Sonata-Form Movements,” *The Journal of Musicology* 16, no. 3 (1998): 323–43.

test this hypothesis further by examining subsequent exposition continuity drafts: if Beethoven was working to problematize a lyrical subordinate theme, we would expect to find further irregularities with this part of the form in the second exposition continuity sketch.

REEVALUATING PROBLEM #2: "TONIC" MAIN THEME MATERIAL IN THE SUBORDINATE THEME

Up to this point, I have focused exclusively on the first supposed problem with main theme material of the exposition entering on B-flat major in the context of the first sketch. Let us turn now to the second problem in the context of the second sketch—i.e., main theme material that returns late in the subordinate theme in E-flat major, the home key. In their discussion of Beethoven's revisions to the first sketch (CS 1.1), Lockwood and Gosman remark that it is "even more surprising...that during Beethoven's revision of the first continuity draft, he retains only the E-flat entry [of main theme material] (at page 11, st. 10, m. 11) from the original group of B-flat, D-flat, and E-flat entries" (see entries 4-6 in Appendix 1).⁶³ They continue:

This premature return to the tonic is strengthened even further because it is preceded by the introduction of a new theme at page 11, st. 10, m. 4 (associated with mm. 83ff, of the final version) in the tonic Eb [Example 40, first 7 measures]. Beethoven's compositional impulse at this stage seems to be divided between writing a "proper" exposition and exploring the possibilities of his opening theme, whether the resulting passages belong in an exposition or not.⁶⁴

Lockwood and Gosman label the material (Example 40, first seven measures) that precedes the re-entry of main theme material on the tonic as a "theme" owing, it seems, to the correspondence of this passage with a

⁶³ Lockwood and Gosman, *"Eroica" Sketchbook*, 1:33–34.

⁶⁴ *Ibid.*, 34.

similar one in the final version of the piece (compare the sketch in Example 40 with the final corresponding passage in Example 41, mm. 83–90).

Example 40: Transcription of *ES* pg. 11, st. 10; corresponds to CS 1.2, mm. 75–85

Example 41: Final Op. 55 I., mm. 83–90

Subordinate Theme 2, Part 1
Closing Section => Compound Presentation
Codetta => CBI

Lockwood and Gosman find it interesting “that the B-flat entries of the opening theme, which would be harmonically consistent with the surrounding sections, do not extinguish the repeated intrusion of the E-flat entries” of the main theme material in subsequent continuity sketches.⁶⁵ Thus, although it might seem logical to suggest that Beethoven ultimately removed the E-flat entry of main theme material late in the subordinate theme because it wreaked havoc on its tonal organization of the subordinate theme, this explanation is at odds with what we find in subsequent sketches. Let us then re-evaluate this supposed problem further in the context of the second exposition sketch.

ANALYSIS AND PERFORMANCE OF CONTINUITY SKETCH 1.2 (LANDSBERG 6, PAGE 11, STAVES 1–4A, 9–10, AND 11B)

The second continuity sketch for the exposition can be reconstructed from the material on staves 1–4a, 9–10, and 11b of page 11 in the *Eroica* sketchbook. The sketch includes mm. 1–62 of the first sketch but everything

⁶⁵ For an overview of where the E-flat entries appear in the sketchbook continuity sketches, see Figure 13 in Lockwood and Gosman, “*Eroica*” *Sketchbook*, 1:35.

that follows is replaced with material on page 11. As the second sketch retains material from the first draft but branches off its design in m. 63, I label it “Continuity Sketch 1.2” (CS 1.2). For clarity, all measure numbers in this section refer to those in CS 1.2 (Appendix 4) unless otherwise noted. Video 3 (<https://youtu.be/aY0OW9psjD8>) provides a performance of the material that differs from the first sketch (CS 1.2), beginning *in media* res at the start of the material that corresponds to m. 55 in the reconstruction. To simplify the prose in this section, I refer to the material that starts in m. 55 as the beginning of the ST P2 following the interpretation developed in section 1.2.3.

In his revision to the material beginning in m. 63, Beethoven sketches a more aggressive continuation to the ST P2, by starting it with an implied diminished-seventh harmony rather than tonic. Compare the harmony in Example 42, mm. 63–64 with the first, tonic-based continuation from the first sketch in Example 43, CS 1.1, mm. 63–64. The reader might notice that this new continuation (Example 42) bears a strong resemblance to the corresponding continuation in the final version of the piece (Example 44). Although we might intuitively think that Beethoven was getting closer to the final version in this second sketch, this is a misconception. The sketches detail a different process: throughout the drafts, the material (the basic rhythmic design, melodic figuration, and implied texture) that first appears in the continuation stays invariant, but its formal function (its harmonic syntax, grouping structure, and so forth) changes in the subsequent sketches. In short, the harmonic plan for the continuation was still far from fixed.

Example 42: CS 1.2, mm. 63–68; Subordinate Theme, Part 2: Continuation (*ES* pg. 11, st. 9)

Subordinate Theme (continued)
Continuation fragment

[pg. 11 st 9
Revision]

B-flat: vii°7 vi vii°7

Example 45: CS 1.2, mm. 69–76; Subordinate Theme, Part 2: cadential deviation, New Codetta-like Continuation (*ES* pg. 11, st. 9b–10a)

Example 46: CS 1.1, mm. 103–115; Subordinate Theme, Part 2 Cadential Trill, Evaded Cadence, and Codettas (*ES* pg. 11, st. 7b–8)

After the codetta-like fragments (Example 45, mm. 72–76), Beethoven writes an eight-measure passage that functions as a retransition by turning the B-flat tonic into a dominant-seventh harmony of E-flat major (Example 47, mm. 77–89). At this moment in the music, a listener might begin to anticipate the exposition repeat. Beethoven leads the listener further along this path by reintroducing the main-theme’s CBI in the home key (E-flat major) in the original register (Example 47, mm. 84–87). But when the listener would expect the thematic material to move by half-steps down to a D and then a C-sharp (as in the main theme), here it moves directly to a D-flat instead, which resolves chromatically downwards to C (mm. 88–89).

Example 47: CS 1.2, mm. 77–89; False Retransition (*ES* pg. 11, st. 10)

False Retransition
4-m. idea 3-m. idea False Exposition Repeat => Cadential
b.i. c.i.

77 78 79 80 81 82 83 84 85 86 87 88 89

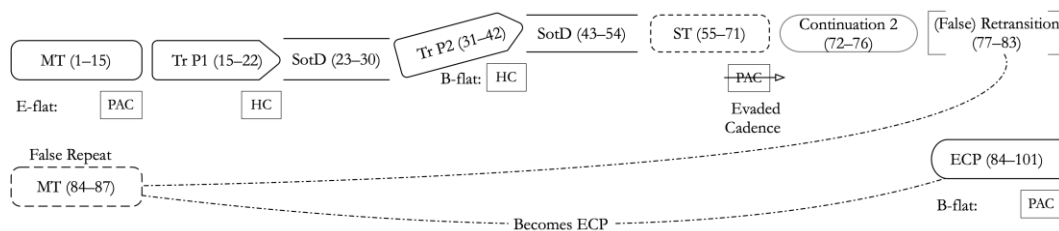
E♭ major: V $\frac{4}{2}$ I⁶ V⁷ I 7
B♭ major: V $\frac{2}{2}$ IV⁶ V⁷ IV 3 $\frac{3}{4}$ [Beethoven's figured bass]
ECP V⁷

Whereas C-sharp served as a tonally disorienting device in the beginning of the exposition in the main theme, its enharmonic equivalent D-flat at the end of the exposition serves to reorient the listener; for it is at this moment that they realize that the music is still at the end of the subordinate theme in an expanded cadential progression (ECP)—they are not back at the beginning in the exposition's main theme! In measure 88 (Example 47), Beethoven writes the figures 7/ $\frac{3}{4}$ which reinforces reading the harmony as an applied dominant of the subordinate key dominant (i.e., C dominant seventh, i.e., V7 of V of B-flat major) that resolves to the final cadential dominant in m. 90 (Example 48). A cadential gesture over a prolonged dominant harmony (Example 48, mm. 90–97) formed by two, 4-measure units leads ultimately to the first and only subordinate key PAC in m. 98.

To summarize, when a listener first hears the material in mm. 77–86 (Example 47), they likely believe that the music has modulated back to the home key (E-flat major) and believe they are hearing a repeat of the exposition. But when a D-flat appears instead of a D in m. 87 and moves downwards to C, they retrospectively interpret the passage as a strong tonicization of the subdominant harmony in the subordinate key (i.e., E-flat major as IV of B-flat major). Consequently, they realize they are at the end of the exposition instead of the beginning. Figure 8 provides a form function diagram of CS 1.2 that models a listener's perception of the false exposition repeat.

Example 48: CS 1.2, mm. 90–101; Cadential material (*ES* pg. 11, st. 10b & 14b)

Figure 8: CS 1.2, mm. 1–101; Form function diagram



The second sketch highlights the important role that the first chromatic note, C-sharp plays in Beethoven’s early compositional process. Compared to the final version of the piece, which in the recapitulation of the main theme moves the C-sharp as a D-flat downwards to allow the main theme material to emerge in F major (mm. 403–409), the second sketch foregrounds this move over a shorter formal timespan to tonicize F major as the dominant of the subordinate key (B-flat major). There is nothing wrong with this idea in the sketch, but Beethoven ultimately decided to expand this rhetorical ploy over a much greater timespan in the final version. The C-sharp to D-flat enharmonic reinterpretation in the final version’s recapitulation does not work to orient the listener in the form as it does in the second sketch, but instead enables Beethoven to expand the dimensions and tonal design of the main theme function. In other words, while he does ultimately use the C-sharp to D-flat enharmonic reinterpretation that he designed in the second sketch in the final version of the piece, the relationship creates alternate formal consequences that yield different experiences for a listener. Nevertheless, the first and second sketches attest to Beethoven’s interest in expressing the enharmonic

relationship between C-sharp and D-flat and exploring their related harmonies at important parts in the form.

Compared to the first sketch, the second sketch introduces an entirely different formal plan in the subordinate theme group. Whereas the former subverted the subordinate theme content by conflating the transition and subordinate theme function⁶⁶ and by saturating the subordinate theme group with main theme material in the tightly integrated keys of B-flat major, D-flat major and E-flat minor, Beethoven expands the dimensions of the second exposition sketch by staging a fake exposition repeat. While the overall rhetorical effect of the second sketch is vastly different than the first sketch, it makes it equally difficult for a new lyrical theme to emerge. Although the subordinate theme group fully confirms the subordinate key (B-flat major) with a PAC in the second sketch, it took the re-emergence of main theme material to achieve this goal.

CONCLUSION

The first two exposition sketches subvert the thematic and tonal forces normally ascribed to a subordinate theme function while simultaneously expanding that function. In the first sketch, Beethoven undermines the thematic and tonal content of the subordinate theme by obscuring the start of the subordinate theme, by expanding its tonal layout with remote keys, and by failing to confirm the subordinate key with a PAC. In the second sketch, he omits the tonal excursions from the first sketch and instead writes a false exposition repeat—a remarkable rhetorical ploy whereby the new ST P2 material sounds like a codetta, a retransition, and a seeming restart of the exposition. The overall effect of these sketches motivates and leaves space for a new independent lyrical theme in the development, which Beethoven may have planned very early in his compositional process.

Although it intuitively makes sense to look for passages in the sketches that Beethoven revised or purged and try to explain what was

⁶⁶ I use the word conflation and not *fusion* as I am not implying form-functional fusion in these readings. On form-function fusion between the transition and subordinate theme, see William E. Caplin, and Nathan John Martin, “The ‘Continuous Exposition’ and the Concept of Subordinate Theme,” *Music Analysis* 35, no. 1 (2016): 4–43.

wrong with them, we can develop new insights into these sketches if we try to understand the role that these passages play within the sketches that they emerge. We must be careful not to use the final version of the piece or ill-defined sonata “conventions” as a type of Procrustean bed by which to critique these revised elements. Since Beethoven did not know the final version of the exposition when he wrote the first two drafts—we too should analyze the sketches for what they are, not solely for what they will become. With this perspective, the theory of formal functions proves to be a powerful analytical tool for helping us better understand Beethoven’s sketches and his compositional process more broadly.

In many cases, there is nothing fundamentally wrong with the passages that Beethoven revises. Sometimes he alters parts to amplify a certain relationship in a greater timespan. For example, in the second sketch, the enharmonic relationship of C-sharp and D-flat appears prominently in exposition, but in the final version it plays out over the exposition and recapitulation. Other times, the designs that he removes in successive drafts might end up in other pieces. For instance, the cadential trill followed by closing section that was cut from the *Eroica*’s first exposition sketch may have provided the inspiration for a similar design at the end of the first movement to his Cello Sonata, Op. 69 that he wrote several years later.

When we approach analysis with the intent of valorizing the sketches instead of trying to explain why passages were changed or removed, many supposed compositional “problems” turn out to be clever compositional solutions that grant new insights into the origin of the piece. A phrase structural analysis of the first two first-movement exposition continuity-sketches to the *Eroica* symphony reveals a myriad of interesting musical structures that improve greatly how we understand the compositional genesis of the first movement and Beethoven’s compositional process more generally. In short, the early *Eroica* sketches are anything but “radical blunders.” Nottebohm set the stage, but with new transcriptions, questions, and theories, the time is ripe for a renaissance of Beethoven sketch studies.

APPENDIX: ANALYZED SCORES

Appendix 1: Transcription of Beethoven's first continuity sketch to the exposition of the first movement (Continuity Sketch 1.1, mm. 1–115) with Alan Gosman's (2016) annotations based on Lockwood and Gosman's transcription; Lockwood and Gosman, *"Eroica" Sketchbook*, 1:11.

Appendix 2: Continuity Sketch 1.1, mm. 1-115; analyzed with form function theory

Appendix 3: Mozart, Piano Concerto in B-flat Major, K. 545, I., mm. 80-184; Form-functional analysis of the solo exposition

Appendix 4: Continuity Sketch 1.2, mm. 61–99; analyzed with form function theory

Appendix 5: Cue staff reduction of the Op. 55, I.; analyzed with form function theory