1995

A comparative study of five piano works by Bach, Beethoven, and Liszt

Isidore B. Gluckman
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**A COMPARATIVE STUDY
OF FIVE PIANO WORKS BY
BACH, BEETHOVEN, AND LISZT**

**A Thesis
Presented to
The Faculty of the School of Music
San Jose State University**

**In Partial Fulfillment
of the Requirements for the Degree
Master of Arts**

**by
Isidore B. Gluckman
August 1995**

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A handwritten signature in cursive script, reading "Alfred Kanwischer", written over a horizontal line.

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A handwritten signature in cursive script, reading "Laurel Brettell", written over a horizontal line.

Dr. Laurel Brettell

A handwritten signature in cursive script, reading "William B. George", written over a horizontal line.

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ABSTRACT

A COMPARATIVE STUDY OF FIVE PIANO WORKS BY BACH, BEETHOVEN, AND LISZT

by Isidore B. Gluckman

This thesis covers the study of five piano works played by the writer at a Master Recital on April 30, 1995. They are: (1) *Toccata in C minor, BWV 911*, by J. S. Bach; (2) *Andante in F (Andante Favori), WoO 57*, by L. van Beethoven; and (3) the three Petrarch Sonnets, 47, 104, and 123, from *Années de Pèlerinage*, second year, Italy, by F. Liszt. All originated during one of the three music periods: Baroque, Classic, and Romantic, most important to pianism as they spanned the entire great era of piano emergence and development.

The works are examined individually from an historical perspective, including pertinent associations with events, if any, of the respective composer's life, or possible influences such as poetry (e.g., Petrarch sonnets). They are then analyzed as to form, tonality, and style. The epilogue compares works and pertinent composer styles, showing differences and similarities.

ACKNOWLEDGMENTS

I wish to express my appreciation to Dr. Alfred Kanwischer, my piano teacher and advisor, for his guidance and support in the conduct of this study. His scholarship, contributions, inspiring lectures, and discussions have been of invaluable help to me in creating this thesis.

I am also indebted to the other two readers: Dr. Laurel Brettell, my former piano teacher, who suggested a few years ago that I consider playing some of the pieces from Liszt's *Années de Pèlerinage*, and Dr. William George, graduate advisor and teacher of *Form and Analysis* and *Music Systems*, courses that contributed significantly to the knowledge required for this study. Both professors have also provided me with useful comments in support of this work.

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CHAPTER 1

PROLOGUE

The five pieces covered in this study are the ones I performed at my Master Piano Recital given at San Jose State University School of Music Concert Hall on April 30, 1995, 3:00 p.m. The program was as follows:

<i>Toccata in C Minor, BWV 911</i>	J. S. Bach (1685 - 1750)
<i>Andante in F (Andante Favori), WoO 57</i>	L. van Beethoven (1770 - 1827)
<i>Sonetto 47 del Petrarca</i>	F. Liszt (1811 - 1886)
<i>Sonetto 104 del Petrarca</i>	
<i>Sonetto 123 del Petrarca</i>	
from <i>Années de Pèlerinage, second year, Italy</i>	

I selected this program because the pieces were among the most interesting I had studied during the last two or three years. My exposure to the Bach *Toccata* was from Dr. Jonathan Bass, one of my former piano teachers, in a recital he gave in the same place two years prior. I liked it very much, hence decided to learn it. The other four pieces chosen were also of significant interest. Another appealing factor was the fact that the program encompassed three historic periods spanning about a century and a quarter (1720-1839), also corresponding to the very important span in the emergence and development of the piano and pianism. Dr. Kanwischer agreed with the selection, and, with his concurrence, I decided to also write my thesis on the same program. This was an opportunity for expanding my immersion in these pieces and learning as much as possible about their history and structure. Thus, it would lead to better understanding and help enhance the quality of my performance.

Another goal of the study was to compare the three composers, based on these works, and determine similarities and differences in style and other pertinent musical characteristics. These are discussed in the epilogue.

Much of the historical portion of the sonnets was extracted from a paper I had written on Liszt's *Années de Pèlerinage* for *Studies in Music History* (Music 201), on December 10, 1992. These extracts were revised as appropriate.

CHAPTER 2

J. S. BACH: TOCCATA IN C MINOR, BWV 911

WHAT IS A TOCCATA ?

The name *Toccata* comes from the Italian *toccare*, which means “to touch.” The *New Grove Dictionary of Music and Musicians* describes it as follows:

A piece intended primarily as a display of manual dexterity, often free in form and almost always for a solo keyboard instrument. The toccata principle is found in many works not so called, and a large number of pieces labelled “toccata” incorporate other more rigorous styles (such as fugue) or forms (such as sonata form). In the 16th and 17th centuries the term was sometimes applied to fanfare-like pieces (e.g., the opening fanfare of Monteverdi’s *Orfeo*, 1607), but the origin of this usage and its relationship to the current one are obscure.¹

Indeed, the *New Grove* details at some length the convoluted history of usage through (1) The Renaissance, (2) early and middle Baroque in Italy, south Germany and Austria, (3) early and middle Baroque in northern Europe, (4) late Baroque, and (5) the 19th and 20th centuries.² An abbreviated version thereof, covering the more salient information, follows.

THE RENAISSANCE

“Freely composed keyboard music, independent of the dance, of cantus firmi or of any vocal model, first appeared in certain 15th-century German manuscripts, such as the tablature of Adam Ileborgh and the Buxheimer Orgelbuch. Here, sequences of chords

¹ John Caldwell, “Toccata,” *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, Vol. 19 (London: Macmillan Publishers, 1980, 20 v. Reprinted with minor corrections 1985), p. 17.

² *Ibid.*, pp. 17-20.

alternate with somewhat aimless scale passages, and the usual title is 'praeludium' or 'preambulum'." While this style lasted into the first part of the sixteenth century, there was a concurrent appearance in Italy of a rhapsodic form called *ricercare*, initially in lute music and subsequently (1523) in music for keyboard. "But by 1543...the term 'ricercare' had been transferred to a piece of fugal character."³

The first use of *toccata* as a printed word was detected in G. A. Casteliono's *Intabolatura de leuto de diversi autori* (1536). This anthology, from which the word *recercare* had vanished, includes a piece named *Tochata* by Francesco Canova da Milano, and it appears to me that this style replaced the *ricercare*. The year 1591 saw the first printed keyboard toccatas by Sperindio Bertoldo, and shortly thereafter (1593 to 1604) there appeared a multitude of toccatas by Diruta, Claudio Merulo, Andrea and Giovanni Gabrieli, and others. The majority of these toccatas are mostly chordal in one hand, with the other hand simultaneously playing brilliant runs. "Merulo was the most ambitious of the composers, and his rhythmic figuration begins to approach the nervous intensity of Frescobaldi's. His toccatas are more sectional, too, fugal and chordal passages alternating with brilliant passage-work."⁴ In addition to being an important and prolific composer, Claudio Merulo was an organist at the San Marco basilica in Venice from 1557 to 1584.⁵ Undoubtedly the fine organ and double choir in that post were influential and inspirational on his composing skill and output.

³ Ibid., p. 17.

⁴ Ibid., pp. 17-18.

⁵ Nicholas Slonimsky, ed. *Baker's Biographical Dictionary of Music and Musicians*, 8th ed., (New York: Shirmer Books, 1992), s.v. Merulo, Claudio.

EARLY AND MIDDLE BAROQUE: ITALY, SOUTH GERMANY, AUSTRIA

Frescobaldi started a new era by publishing “his first book of toccatas” in 1615. His style had matured with “contrasts [that] had become more violent and passage work [that was] more rhythmically complex. The 12th toccata in that book is an essay in chromaticism, with little in the way of passage work.” His legacy continued in Italy for the remainder of the seventeenth century. “Michelangelo Rossi’s toccatas are, if anything, even more extravagant than Frescobaldi’s, especially harmonically.” Two other major Italian mid-Baroque composers of toccatas were Bernardo Pasquini and Domenico Zipoli.⁶

In southern Germany, among the first composers to introduce and further develop the toccata was H. L. Hassler, a former student of Andrea Gabrieli in Venice, while Johann Jacob Froberger introduced Frescobaldi’s style to Austria. Froberger composed approximately twenty-four toccatas, which “are even more sectional than Frescobaldi’s but at the same time have greater continuity within each section....[His typical toccata] consists of a fairly lengthy rhapsodic introduction, a fugato, a second fugato based on a rhythmic transformation of the material of the first, and a shorter free passage to conclude; but the scheme was not a hard and fast one, and there is considerable variety among them.” Some of Froberger’s toccatas were transcribed by or for the French, who thus acquired his rhapsodic style. This resulted in the “typical French unmeasured prelude (...PRÉLUDE NON MESURÉ);” but the title *toccata* was not yet used by the French during this period. Meanwhile “the Austrian and South German tradition” was continued by Kerll, S. A. Scherer, and other composers to its culmination in Georg Muffat’s organ music landmark, *Apparatus musico-organisticus* (1690). “Its twelve toccatas are extravagant but controlled, divided into several contrasting sections but totally unified in style.” Another work also showing some of the grandeur of Muffat’s style, is Johann Speth’s *Ars magna consoni et dissoni* (1693), containing shorter toccatas.

⁶ John Caldwell, *The New Grove Dictionary, etc.*, p. 18.

“Johann Pachelbel’s toccatas are single-section works consisting of florid passage-work over held pedal notes.” Fux and J. C. F. Fischer were among harpsichord composers who wrote “toccata-like movements” without using the title.⁷

EARLY AND MIDDLE BAROQUE: NORTHERN EUROPE

Sweelink was responsible for the development of the toccata in the Netherlands before Frescobaldi introduced his transformations. As a matter of fact, his toccatas did not even have the rhythmic freedom inherent in Merulo’s style, but rather seem to have been modeled primarily after Andrea and Giovanni Gabrieli’s styles, as the chief attribute of Sweelink’s toccatas “is their rhythmic regularity.” Among Sweelink’s legacy to his successors in the northern part of Europe, “the toccata was the least important” of all the forms. There were toccatas of lesser interest composed by Peeter Cornet, Samuel Scheidt, and Heinrich Scheidemann. The Germans were at the time “more concerned with the chorale and the fugue.” However, a new development emerged, started, among others, by Delphin Strungk, Weckman, Reincken, and Buxtehude, its main thrust being the “increasing stylistic distinction between the organ and the harpsichord toccata, the former cultivating the tonal possibilities of the organ and using the pedals in the elaborate manner of the north German organists, and the increasing use of fugue.” Buxtehude stands out as the composer most responsible for this major milestone in the maturation of the toccata, which became at this point a large-scale work consisting of rhapsodic material alternating with fugal sections, with unity of style throughout, and to some degree of thematic substance. “There is no essential distinction between the works labelled ‘toccata’ and those called ‘prelude and fugue’.”⁸

⁷ Ibid., p. 18.

⁸ Ibid., pp. 18-19.

The New Grove Dictionary entry for the toccata does not cover England. The famous English baroque composer, Henry Purcell, wrote an “exceptionally fine organ toccata in A, written in the Italian vein, [but this] was erroneously included in the volumes of the *Bach Gesellschaft*,”⁹ thus attributed to J. S. Bach, and also attributed at one time to Michelangelo Rossi.¹⁰ It is available in a Novello & Co. edition. Mention is made of this authorship uncertainty, i.e., Purcell vs. Rossi, also by Max Kenyon.¹¹

LATE BAROQUE

“In Italy Alessandro Scarlatti’s toccatas were a radically new departure. They are for harpsichord and may be in as many as six or seven contrasting sections, incorporating such elements as fugue, recitative, and variations: for example, no. 7 (of *Primo e secondo libro di toccate*, 1723) ends with 29 variations on the folia.” While Scarlatti influenced the style of Handel, the latter did not compose any toccatas named as such. The influence of Scarlatti is also apparent in some works of J. S. Bach, for instance his *Chromatic Fantasia and Fugue*, “but Bach’s harpsichord toccatas are large-scale works of individual design, incorporating at least one and sometimes two fugal movements.”¹²

19TH AND 20TH CENTURIES

The use of the toccata form was rare during the Classical period. There are a few toccatas, some in name only, by Clementi, Schumann, F. G. Pollini, Berlioz, and organists Widor and Vierne. “Among classical movements that in later times might well

⁹ Manfred F. Bukofzer. *Music in the Baroque Era from Monteverdi to Bach* (New York: W. W. Norton & Company, Inc., 1947), p. 213.

¹⁰ Ibid.

¹¹ Max Kenyon. *Harpsichord Music* (London: Cassell and Company, Ltd., 1949), p. 126.

¹² John Caldwell. “Toccatas,” *The New Grove Dictionary, etc.*, p. 19.

have borne the title are the finales of Beethoven sonatas in A-flat op. 26 and F op. 54.”¹³
The finale of opus 57 might be another candidate.

“On the whole the piano has inspired more interesting examples of the toccata in the 20th century. The form was revived by Debussy in his suite *Pour le Piano* and by Ravel in *Le Tombeau de Couperin*.” Also Prokofiev’s *Toccata op. 11* (1912), and Vaughan Williams’ *Concerto for Piano and Orchestra* (1933), “revised for two pianos and orchestra (1946),” are other intriguing examples.¹⁴

A major modern composer who wrote a toccata and is not mentioned in the *New Grove*, nor in Slonimsky’s *Lectionary of Music* referred to below, is Francis Poulenc. According to Sylvia Edwards, “The *Toccata* by Poulenc is the third piece of *Trois Pièces*, published in 1931. The first of these, *Pastorale*, was written in 1918. The second, *Hymne*, and the *Toccata*, were written in 1928.”¹⁵

ADDITIONAL HISTORY FROM OTHER SOURCES

A few typical early organ toccata examples by Frescobaldi,¹⁶ Froberger,¹⁷ Buxtehude,¹⁸ Giovanni Picci,¹⁹ and Sweelink²⁰ are readily available in libraries. Regarding the Picci piece, the editors of the Virginal book remark that “This absurd piece of music, by an Italian composer, otherwise unknown, completes the first part of the MS.”²¹

¹³ Ibid., p. 19.

¹⁴ Ibid., pp. 19-20.

¹⁵ Sylvia Edwards. *The Twentieth Century Piano Toccata*. Master’s Thesis, (San Jose State University, May 1978), p. 28.

¹⁶ Archibald T. Davidson and Willi Appel, eds. *Historical Anthology of Music*, Vol. 2: *Baroque, Rococo and Classical Music* (Cambridge Ma.: Harvard University Press, 1959), ex. 193.

¹⁷ Ibid., ex. 217.

¹⁸ Ibid., ex. 234.

¹⁹ J. Maitland, A. Fuller and W. Barclay Squire, eds., *The Fitzwilliam Virginal Book*, rev. Blanche Vinogron, (New York: Dover Publications, Inc., 1979), Vol. 1, p. 373.

²⁰ Ibid., p. 378.

²¹ Ibid., p. XXVI.

Nicolas Slonimsky, in his *Lectionary of Music* has the following definition for a toccata:

A term denoting a keyboard piece that takes advantage of the articulated clarity possible with keyboard instruments and that is written to display the virtuosity of its performers....In the 16th century, the term was understood as a prelude or an improvisation before the central section of a composition, particularly in organ playing. In the 17th century, the toccata assumed a more precise definition as a keyboard composition in rapid tempo, in steady rhythm. In the 19th century, composers applied the term to a type of work that would otherwise be called *étude*. Debussy and Prokofiev wrote piano toccatas marked by brilliant technical display. Among modern composers who contributed to the genre were Busoni, Reger, and Stravinsky.²²

John Gillespie's *Five Centuries of Keyboard Music* sheds more light on the history of the toccata as follows:

In the eighteenth century, Portugal produced a fine harpsichord composer, **José Antonio Carlos de Seixas** (1704-1741), who was born in Coimbra [home to a famous old University, founded in the thirteenth century]. At an early age he went to Lisbon, where he became a friend and pupil of Domenico Scarlatti. Although his works took the same form as Scarlatti's, Seixas used the terms *toccata* and *sonata* interchangeably.²³

Referring to Russian-Armenian born **Aram Khachaturian** (1903-1978), the same source states:

Two of his keyboard works are quite interesting: *Poem* (1927) is an effective purveyor of colorful atmosphere, while the famous *Toccata* is a brilliant showpiece with a contrasting lyric middle section.²⁴

Khachaturian's *Toccata*'s date is 1932.²⁵

Gillespie also mentions a few other lesser-known American twentieth-century composers and their toccata works. The following are three of them:

²² Nicholas Slonimsky. *Lectionary of Music* (New York: McGraw-Hill, 1989), s.v. *toccata*.

²³ John Gillespie. *Five Centuries of Keyboard Music* (New York: Dover Publications, 1972), p. 116.

²⁴ *Ibid.*, p. 362.

²⁵ Nicolas Slonimsky. *Baker's Biographical Dictionary*. s.v. Khachaturian, Aram.

Ross Lee Finney (b. 1906), has been writing twelve-tone music since 1950, but prior to that he fitted better into the nationalist category. His first contact with dodecaphony was in 1931, when he studied with Alban Berg. Most of his piano works are early so they are not written in his advanced, dissonant idiom. These early works include...*Piano Sonata No. 4 in E major*, subtitled *Christmastime 1945*, [which] consists of a broadly expansive *Hymn* followed by three derivative movements—*Invention*, *Nocturne*, and *Toccata*—then a return to the *Hymn* material.²⁶

Ellis Kohs (b. 1916) has proved to be adaptable to all currents in music. His writing has direct expression and consistency....His *Toccata* (1949) for harpsichord or piano employs elements of twelve-tone technique with contrasted passages of varied texture.²⁷

Louise Talma (b. 1906).... Her *Alleluia in Form of Toccata* is a beautifully fashioned rhythmic étude.²⁸

BACH'S TOCCATAS

The *New Grove Bach Family*, lists four organ toccatas by J. S. Bach:

BWV 538 Toccata and Fugue, "Dorian," D minor, 1712-1723

BWV 540 Toccata and Fugue in F, ? Weimar, after 1712

BWV 564 Toccata, Adagio, and Fugue in C, Weimar, ? 1712-1717

BWV 565 Toccata and Fugue in D minor, ? pre-Weimar, before 1708

The question marks are the same as in the reference.²⁹ They exhibit the uncertainties and discrepancies that still exist regarding the genesis of many of Bach's works. We know that the Weimar period was from July 1708 to December 1717, the Cöthen from January 1718 to 1723, and the Leipzig from May 1723 to 1750.³⁰ Most of Bach's organ works

²⁶ Gillespie, p. 422.

²⁷ Ibid., p. 423.

²⁸ Ibid., pp. 423-4.

²⁹ Christoff Wolff, Walter Emery, Richard Jones, Eugene Helm, Ernest Warburton, and Ellwood S. Deer. *The New Grove Bach Family* (New York: W. W. Norton & Company, 1980), pp. 199-200.

³⁰ Kanwischer handouts for Performance Concepts, MU 145 course.

were composed during the Weimar period; however, if the range for *BWV 538* extends to 1723, there is a possibility that this toccata may have been composed at Cöthen or during that period. The same question applies regarding *BWV 565*. If it is pre-Weimar, that places it in Lüneburg, Arnstadt, or Mühlhausen. It is possible that more recent scholarship may have yielded more exact information.

Other keyboard (meaning harpsichord) toccatas listed are the following seven:³¹

BWV 910 Toccata, F sharp minor, c 1710

BWV 911 Toccata, C minor, c 1710

BWV 912 Toccata, D, Weimar, c 1710

BWV 913 Toccata, D minor, before 1708

BWV 914 Toccata, E minor, before 1708

BWV 915 Toccata, G minor, before 1708

BWV 916 Toccata, G, Weimar, c 1710

The same uncertainty regarding the genesis of the organ toccatas is present here, albeit the ranges are much narrower. Albert Schweitzer, referring to Bach Gesellschaft documentation, indicates that the last five “belong to the first Weimar period; the other two—in F-sharp minor and C minor—seem to have been composed somewhat later.” This statement suggests an additional discrepancy. He also feels that all seven have multiple movements and also “might with equal propriety have been called sonatas. At that time every piece in several movements for a keyed instrument could be called a toccata, without the title implying anything as to its special form.”³²

³¹ Christof Wolff, etc., p. 208.

³² Albert Schweitzer. *J. S. Bach* Trans. from the German by Ernest Newman, (London: A. C. Black, Ltd., 1923) Vol. 1, pp. 342-3.

C MINOR TOCCATA, BWV 911

HISTORICAL PERSPECTIVE

There is no consensus yet as to the exact date that the *C minor Toccata* was composed. Some agreement exists, however, as to the fact that the *F-sharp minor* and the *C minor* were composed in about the same time period, and indeed, they were published together in the Bach Gesellschaft Edition: *Clavierwerke, Erster Band*, Carl F. Becker in 1853.³³ This organization was founded on December 15, 1850, and dissolved on January 27, 1900. Its fundamental purpose was publication of Bach's works.³⁴

Forkel's list of compositions written at Cöthen between 1717 and 1723 includes the two toccatas mentioned above, while the other clavier toccatas are catalogued as having been composed at Weimar between 1708 and 1717. The catalog dates are based on the Peters editions of his works.³⁵ A question arises as to the validity of this information, since none of the clavier toccatas was published from Bach's own manuscripts, which were non-extant, but rather the scores were based on copies prepared by some of his students, subsequent scholarly investigations, and other available sources. For instance, the Henle edition of the score I used lists the sources for each of the seven toccatas.³⁶

Geiringer, placing the composition of certain clavier works "during the last Weimar years (or possibly at Cöthen)," stated that in these compositions, "a complete sublimation of the Italian influence is in evidence. These superbly proportioned pieces, beautifully worked

³³ Johann Nikolaus Forkel. *J. S. Bach: His Life, Art, and Work*. Trans. by Charles Sanford Terry. (New York. Vienna House, 1974), p. 228.

³⁴ *Ibid.*, p. 225.

³⁵ *Ibid.*, pp. 156-7.

³⁶ J. S. Bach, *Toccaten*, Urtext, Rudolph Steglich, ed., Music, (München: G. Henle Verlag, 1990), pp. 4, 89-93.

out in every detail, could not possibly have been written if Sebastian had not gone through a period of intense study of Southern art[Indeed,] Bach's own compositions reveal the strong interest which he took during his Weimar years in the music of the Apennine peninsula.... [His works were] inspired by Italian models."³⁷ It is to be noted that, to my knowledge, Bach never left what is now Germany. Referring to the *F-sharp minor* and *C minor toccatas*, Geiringer states, "the different sections no longer show the separation into four movements of the Italian church sonata. They follow each other without interruption."³⁸ The same observation also applies to the other five toccatas.

Spitta, in a comparative discussion of the *F-sharp minor* and the *C minor toccatas*, states:

In the C minor toccata the composer is content with a few bars full of brilliant passages [mm. 80 to 84 at the end of what I call the first part of the fugue, which is followed in m. 85 by a three-beat *adagio*], and then the [second part of the] fugue begins again; but now, by the addition of a **second subject**, it becomes a **double fugue**, while in the F sharp minor toccata he returns to the theme of the *adagio*, and constructs on that a quite new fugue, distinct even in time [boldface mine].³⁹

I highlighted the words **second subject** and **double fugue** in the quoted paragraph, because they are obviously wrong. There is only **one subject** in the whole fugue. The subject in the second part is one and the same as the one in the first part, and therefore, this is not a double fugue. Spitta must have meant that there is a **new countersubject** in the second part. The error may be either a misprint or, more likely, a mistake in translation.

³⁷ Karl Geiringer, *The Bach Family* (New York: Oxford University Press, 1954), pp. 263-4.

³⁸ Ibid.

³⁹ Phillip Spitta, *Johann Sebastian Bach*, trans. from the original German by Clara Bell and J. A. Fuller, 3 vol., (New York: Dover Publications, Inc. 1992), Vol. 2, p. 32.

In a subsequent paragraph, Spitta describes the style of the *C minor toccata*:

After a stormy beginning, the *adagio* sinks into grave meditation, from which the fugue springs forth with a most original repetition of the first phrase of the theme; this indeed is conspicuous throughout the arrangement, and serves to determine its general character. It is a proud and handsome youth, swimming on the full tide of life, and never weary of the delightful consciousness of strength. Compare with this...the closing fugue of the E minor toccata, and marvel at the master's inexhaustible creative wealth.⁴⁰

Robert L. Marshall presents a few interesting insights pertaining to the *C minor Toccata*. It is a *manualiter* work (i.e., for keyboard not requiring pedal keys, as opposed to a *pedaliter* work for organ); its early source was the *Andreas-Bach-Buch*; the copyist (Bach's student?) was Hauptschreiber. Based on analysis of keyboard ranges and other evidence by Bach for the toccata, Marshall states, "The clear implication is that the 'Klavier' toccatas must have been intended by Bach for the organ."⁴¹ Regarding tempo, Marshall indicates that the earliest observed appearance of the term *presto* in Bach sources was in BWV 911, ca. 1706-1710?, and that there were more than twenty-five such appearances.⁴² I see only one *presto* in this piece—for the last two measures. The other appearances must be in other works at later dates.

In the booklet accompanying Glenn Gould's compact disc performance of Bach's *Toccatas and Inventions*, Peter Elliott Stone states, "The cheerful Toccata in C minor (BWV 911) comes from the mature Bach and was probably written in 1720." He analyzes its form summarily and states, "This analytic sketch suggests a four-movement work plus an interlude and coda; some analysts hear the piece in only three movements

⁴⁰ Ibid., p. 33.

⁴¹ Robert L. Marshall. *The Music of Johann Sebastian Bach: The Sources, the Style, the Significance* (New York: Schirmer Books, 1989), pp. 283-4.

⁴² Ibid., p. 264.

since the fugues, built as they are on the same subject, can be perceived as a single movement with a short interruption.”⁴³

On the other hand, Davies Humphries, in a booklet accompanying Angela Hewitt’s CD performance, states that the *C minor Toccata* dates from about 1710. He also writes, “At the heart of the work stands an enormous fugue, based on an unusually long subject. A final run, marked presto, forms a brilliantly calculated surprise ending,” agreeing somewhat with my analysis, which follows this section.⁴⁴

Nathan Broder places the origin of the toccata in “Cöthen, about 1720. A solid, imposing work with a splendid fugue. Next to Valenti’s pithy performance on the harpsichord, all the piano versions sound thin and pale. The most vital and imaginative of these is the one by young Casadesus. The differences among the rest are minor.” He then gives a selected discography (as of 1958):⁴⁵

Valenti, harpsichord. Lyrichord LL 47

Jean Casadesus, piano. Angel 45003 (*with Clavier Concertos Nos. 1 and 5*)

Jambor, piano. Capitol PBR 8354

Friskin, piano. Vanguard BG 543/5

Slenczynska, piano. Music Library MLR 7030

To these I will add the two more recent CDs discussed earlier with performances by Glenn Gould and Angela Hewitt:

Glenn Gould, piano: *Bach Toccatas and Inventions*. CBS Masterworks CD M2K 42269.

⁴³ See Discography listed below in the text, Glenn Gould, booklet p. 8.

⁴⁴ Ibid., Angela Hewitt, booklet.

⁴⁵ Nathan Broder, *The Collector’s Bach* (Philadelphia: J. B. Lippincot, 1958), pp. 126-7.

Angela Hewitt, piano: Bach *English Suite No.6, Italian Concerto, Toccata BWV 911, Four Duets BWV 802-805*. Deutsche Grammophon CD 429975-2.

There are many other distinguished recorded performances.

In closing this section, I am quoting Landowska, from her very interesting essay, *Style*:

I am far from supporting the idea that all secular works of Bach are tender and serene and composed exclusively of passepieds and gavottes. The penetrating sorrow of the Toccata in F sharp Minor, the large and magnificent solemnity of the Toccata in D Major, *the tempestuous passion of the Toccata in C Minor* [emphasis mine], and the ecstatic sweetness of the Prelude, Fugue, and Allegro in E-Flat Major for lute-harpsichord, as well as many other marvels of profundity, are proof to the contrary. I only want to protest against the uniformity to which some people would like to condemn Bach.⁴⁶

ANALYSIS

This analysis and the measure numbering system are based on the Henle edition.⁴⁷

Overview

Total Measures: 175

Introduction: 1–12

Adagio: 12–33

Fugue, First Part—Allegro: 32–85

Fugue, Second Part—Allegro: 85–171

Coda—Adagio/Presto: 171–75

⁴⁶ Denise Restout and Robert Hawkins, eds. and translators, *Landowska on Music*, 3rd ed. (Briarcliff Manor, N.Y.: Stein and Day, 1981), p. 90.

⁴⁷ J. S. Bach. *Toccaten*, Urtext, Music Scores, (München, Germany: G. Henle Verlag, 1970/71), pp. 66-78.

Detailed Analysis

In the interest of simplicity and to avoid unnecessary repetition, measure number designators (measure(s), m., mm.) have been omitted from the text below, except in the subheadings. It should be clearly evident that arabic numerals, unless otherwise designated, pertain to measure numbers.

Measures 1-12

The **Introduction**, not so named, is very declarative and assertive in character throughout. It starts in C minor and ends on its dominant chord. Its style includes scalar passages, imitation, and counterpoint; the meter is 4/4. Tempo is not specified; however, the runs and the fact that the notes are almost entirely in sixteenths and thirty-seconds imply a fast tempo. The final decision is obviously up to the performer.

Measures 12-32

The **Adagio**, a sudden contrast in style to the forceful **Introduction**, is lyrical and calm in nature, highly expressive. It starts on the same dominant chord (less the D), with which the **Introduction** ended, and suddenly drops cadence-like to the tonic. Except for a few modulating departures into keys such as F minor, G minor, E-flat major, and the tonic's parallel major, C minor is the prevailing key. The passages are mostly scalar in eighths, with the rising and falling scales appearing alternatively in one of the voices and in the counterpoint, which is regular or inverted. The main section of the **Adagio** ends in the secondary dominant chord V/G at 30, and is followed by a **Codette**, similar to the style of the **Introduction**. The **Codette** ends at 33, again in the dominant chord.

Measures 33-85

The tempo of the **Fugue** is marked **Allegro**. The segment 33-51 is the Exposition (**Exp. 1**). It starts in the alto (or middle) voice with the **subject**, the only theme that pervades both parts of the fugue in three different voices. While most appearances are in the tonic and/or in its original form, the subject at times occurs in different keys, mostly minor dominant or secondary dominant. Variations of the **tail**, described below, will be seen to occur sometimes in the second part of the fugue at joiner passages. The **subject**, or theme, and all four **countersubjects** are shown in Figure 1.

There are two parts to the subject theme: the **head**, 33-35, and the **tail**, 35-38. While the first occurrence of the subject is a solo and ends in 38, two other events start in the latter bar: (1) the **tonal answer**, which is the same theme, this time in G minor (i.e., dominant minor), beginning even before the last note of the first subject and continuing to 43, and (2) the countersubject **CS-1**, acting as a counterpoint accompaniment in the lower or middle voice, also 38-43. From 43 to 46, a short **episode** transition, using both **CS-1** and **subject** (head) material, occurs between the end of the last subject played in the soprano and its tonic re-entry in the bass. At the end of 46, **CS-1** takes over in the soprano, playing against itself in the middle voice and the subject, but in 48, it is replaced by **CS-2**, with a different pattern, which is still based on **CS-1**. This continues along with the subject to the first beat of 51, where **Exp. 1** terminates with a tonic chord.

A modulating episode, using fragments of the subject head and transition, follows from 51 to 55.

Exp. 2 follows with the subject in the middle voice, this time in E-flat major (the relative major of C minor), accompanied by **CS-1** in both soprano and bass. **Exp. 2** ends in 60 and is followed by a short episode to 64.

SUBJECT HEAD

33

C.S.1 (COUNTER SUBJECT 1)

36

C.S.2 (BASED ON C.S.1)

47

C.S.3 (WHICH IS JOINED TO C.S.2, MM 76-80)

76

C.S.4

86

(BEGINNING MM 115, THE OPENING PORTION OF THIS C.S. IS VARIED AMONG ITS ENTRANCES IN THE SECOND PART OF THE FUGUE.)

(C.S.4 IS ALSO FORESHADOWED IN THE FIRST PART OF THE FUGUE MM 69-71)

FIGURE 1. Subject and Countersubjects

Exp. 3 consists of two entrances of the subject, the first in the dominant minor, the second in the tonic minor. It appears at 64 in G minor, in the soprano voice, and ends at 69, where the countersubject quickly modulates to its parallel major (G), the dominant of the tonic, thus allowing the subject to reappear in the home key, this time in the middle voice.

Concurrently, in the middle of 69, a new countersubject, **CS-3**, appears which soon hooks on to the original **CS-1** continuing to 70, where **CS-1** drops below the subject for one measure to 71. In this bar, the countersubject rises again to its upper position. At 74-75 there is a short episode, foreshadowing the practice in the second part of the fugue.

At 75, **Exp. 4** appears in the bass, while the countersubject in the middle and soprano voice is made up of imitative fragments of the theme head. In 78, meanwhile, **CS-2** enters. **Exp. 4** ends in the home key, with a tonic chord on the third beat of 80.

This gives way to a **Codetta**, which is a cadenza resembling the **Introduction** in both material and style, with sixteenths and thirty-seconds predominating, ending in a rapid G minor scalar run on the fourth beat of 83, followed in 85 by a one-measure **Adagio** cadence from a secondary dominant, V^7/G , to a primary dominant, V/C minor. The **Adagio** separates the two parts of the fugue.

Measures 85-171

The tempo for the **second part** of the **Fugue** is also marked **Allegro**. **Exp. 5** consists of three subject entrances: tonic–minor dominant–tonic (85-102). It starts in C minor at the end of 85, with the same subject theme as in the first part, but this time the new countersubject, **CS-4**, entering in the soprano at 86, has a substantially different figuration, being almost continuously in sixteenth notes, this being the prevalent style

throughout the second part. Both subject and countersubject end at 90 and are followed by a two-measure episode. The subject reappears (second entrance) as the soprano this time, in the dominant minor, 91-96, accompanied by CS-4. A one-and-a-half bar episode follows, after which the third entrance of the subject (in the bass and tonic key) with CS-4 occurs, 97-102. An episode follows, 102-104.

Exp. 6, also in G minor, 104-109, is accompanied by the same CS-4. At 109-115, there is one of the longer and more interesting episodes, modulating gradually from G minor back to C minor, and featuring canonic imitations and sequences.

Exp. 7 enters at 115 in the tonic in the middle voice. In the same bar, CS-4, through an antiphonal figuration, starts in the tonic in the soprano, and then drops to the bass in 116. **Exp. 7** ends on the first beat of 120, at which point there begins a short two-and-one-half-measure episode made up of CS-4, dropping scalarly and by short leaps, hooking into another figuration in 121 (in a gesture similar to 69). A cadential figuration follows the first half of 122, although the tonic is already evident in 121. Therefore, the cadential figuration appears to emphatically confirm home arrival. This figuration seems to recall the materials of the opening **Introduction**.

Exp. 8 occurs in the tonic, in the bass, 122-127, along with CS-4. The latter starts in the bass range and quickly moves to the treble. This is the opposite of the entrance in 116. At 127, another episode with sequential figuration ensues, ending at 133.

Exp. 9 enters in the soprano in E-flat major (C minor's relative major) at 133 with CS-4, and they jointly continue to 137, where for the first time, the cadence is skipped and another episode starts at 138 with a $V^7/E\text{-flat}$ chord. Again there is sequence figuration and also similarity to 19 in the **Adagio**.

Exp. 10 starts at the end of 141 in the middle voice, this time in B-flat major (V/E-flat major). There is similarity to the B-flat major of 63. **CS-4** enters at 142, in the bass, switches on the last beat of the same measure to the soprano, and then back to the bass on the last beat of 143 in a varied form. This lasts to 146. The last two beats of the subject are repeated in 147, giving an echo effect, if properly played. At the end of **Exp. 10**, the subject ending is again obscured, as in the ending of **Exp. 9**. The next episode runs from 147 to 152. Again, there are sequences and, in the bass, scalar fragments reminiscent of the **Adagio**. This episode is still in B-flat major, modulating to B-flat minor, 150+, and F minor, 151.

Exp. 11 appears in F minor at 152 and is joined by **CS-4**. This time the tail of the subject changes on the third beat of 156, and a longer episode starts on the second beat of 157 and ends at 162. Here there is also sequential figuration of a fast series of emphatic cadences, modulating from F minor to E-flat major and to C minor. The ending of the last three subject entrances, thus, had been varied. At this point in the fascinating adventure, the second half of **CS-4**, 154+, is ingeniously varied also.

Finally, the last exposition, **Exp. 12**, enters the middle voice in the tonic at 162 and at 163 moves up an octave to the soprano until the middle of 166. Here, as in the last three expositions, it varies its ending. This time, the tail is diverted into a first inversion Neapolitan sixth chord (F, A, D-flat). The subject in this exposition is accompanied by **CS-4**. The aforementioned Neapolitan chord in 166 appears to be in preparation for the approach of the coda. 167 adopts a figuration based on the **Introduction** idea and mood. This ends in a C major cadence in 168. An episode starts here, ending in a VII 7°/V chord on the first beat of 171.

Measures 171-175

At 171 a **Coda** (not so named) starts, in **Adagio** tempo. Its figuration is similar to the **Introduction**. The style is cadenza-like; thirty-second note runs and home tonality prevail. At 173 there is a V^7 to IV/C minor deceptive cadence, which breaks at 174 and 175 into a **Presto**, rapidly sweeping the toccata away with a scalar run in the home key, C minor, which ends nevertheless in the last measure, in an emphatically triadic C major figuration.

I consider the surprise ending to be a humorous, as well as startling and dramatic gesture by the great master.

COMMENTS REGARDING THE ANALYSIS

As in the first exposition of the first fugue part, **Exp. 1**, the first exposition of the second fugue part, **Exp. 5**, features three subject entrances: tonic–dominant minor–tonic, 85-102. However, the opening portion of the second fugue part is susceptible to a variety of interpretations. For example, one can consider the entrance of the subject in G minor at 104 to be **Exp. 6** and the entrance at 115 to be **Exp. 7**. I have chosen this option for purposes of clarity.

Yet, in the larger sense, these two expositions (6 and 7) might be considered to be the final two entrances of the opening exposition of the second fugue part, i.e., **Exp. 5**. In this interpretation, **Exp. 5** would thus have five subject entrances: tonic–dominant minor–tonic–dominant minor–tonic, 85-121.

Furthermore, another interpretation could consider the first exposition of the second fugue part, **Exp. 5**, as consisting of six entrances, i.e., including the entrance at 122,

which in this thesis is designated **Exp. 8**, since it also recapitulates the tonic key. This would entail entertaining the idea that the tonal sequence rules the kingdom of form: **six** entrances in all for the opening exposition of the second fugue, consisting of tonic, 85–dominant minor, 91–tonic, 97–dominant minor, 104–tonic, 115–tonic, 122+.

As a herald to this series, the penultimate entrance, 115, features a deceptive cadence at its end, 120, and an extension in fantasy style reminiscent of the **Introduction**, 1+.

The variety of possible interpretations of this extensive opening section of the second fugue part is not ultimately limiting or deceptive, but enriching with the ambivalence of many meanings. A massive endorsement of the home key results, with adventure, mystery, and revelation, all emanating from its subtle unfoldings. As mentioned earlier, this series is designated **Exp. 5 to Exp. 8**.

Other interesting observations are as follows:

- It is unique that to cap this lengthy second part—and large form—both an *Adagio* and a *Presto* appear within the space of five measures.
- Looking back, it is unique that the first part develops a variety of countersubjects, while the second part uses only one. However, in the second part, there is a variety of subject endings (a variation outlook).
- The form of the first part of the fugue is clear; the form of the second, ambivalent. Interestingly, however, the first tonal departure of each part is a modulation to E-flat major (relative major of C minor), the first part at 51 and the second at 133.

- Lastly, it is at once possible to envision the two parts as separate entities and as both constituting one great fugue, which it is technically, since there is only one subject. There is some similarity here with a comparable phenomenon in the fugues of the *Prelude* of J. S. Bach's *St. Anne*, BWV 552, for organ, in the opening movement of its 6th partita labeled *toccata(!)*, or those in the finale of Beethoven's *Opus 110 Piano Sonata*.

CHAPTER 3

L. van BEETHOVEN: ANDANTE IN F, (ANDANTE FAVORI), WoO 57

HISTORICAL PERSPECTIVE

Piano composition in F major, Breitkopf and Härtel, Series 18, No. 10. According to Ries the piece originally belonged to Piano Sonata Op. 53 (*Waldstein*), but his friends persuaded Beethoven to remove the *andante* from the sonata, because of its length. Instead the Master added the introduction to the finale of the sonata. The *andante* appeared in fall 1805 in “Bureau des Arts et d’Industrie.” An arrangement for string quartet was published by Hoffmeister. Riemann in his analysis of the Beethoven sonatas suggests that it might be possible to re-establish the original form of the sonata plus the introduction; however, the length of the *andante* and its *rondo* form (the finale is also a *rondo*) would be an obstacle.⁴⁸

The above is the entry for this work in Paul Nettl’s *Beethoven Encyclopedia*. There is more to the story of the removal of the *Andante* from the *Waldstein*, and this will be discussed below. Also, I am wondering why anyone would want “to re-establish the original form of the sonata plus the introduction,” as suggested by Riemann.

In the years 1803–1804, Beethoven completed several important works. Two of the best-known are the *Eroica Symphony No. 3 in E-flat major, Opus 55*, and the *Waldstein Sonata for Pianoforte in C major, Opus 53*.⁴⁹ These were important years for Beethoven, a turning point and the beginning of his second, heroic, or middle period.

⁴⁸ Paul Nettl, *The Beethoven Encyclopedia* (New York: Carol Publishing Group, 1994), s.v. *Andante FAVORI*.

⁴⁹ Elliot Forbes, ed., *Thayer’s Life of Beethoven* (Princeton: Princeton University, 1967) p. 362.

Gillespie calls this time span (1802–1816) the “period of realization.”⁵⁰ Actually, Beethoven started developing his own style during his first period, while he was also leaning heavily on the styles of Haydn and Mozart. During the second period, there was a quantum jump in the development of his unique style. Therefore, Gillespie’s following statement, speaking about the middle period, could be misunderstood as implying that the process did not start until that period, which would not be true.

[Beethoven] no longer felt compelled to retain the restricting details of Classic form. He began to treat this form’s basic outlines with complete liberty, making them subservient to the demands of his imagination. He used only those Classic elements that would not interfere with the ever-expanding horizons of his inspiration....Throughout his second period, Beethoven was busy with a new stylistic detail: similarity between the themes or rhythmic patterns of different movements in a given sonata....Beethoven allowed himself great freedom of form during this period.⁵¹

Speaking of *Sonata Opus 31, No.3, in E-flat major*, Gillespie states:

This is the only four-movement sonata from the second period, but still the traditional slow movement is absent. Instead one finds a *Scherzo* and a *Menuetto* framed by an initial *Allegro* and a final *Presto con fuoco*. Each individual movement is subjected to an expansive working-out, additional proof of Beethoven’s efforts to give vaster dimensions to his sonatas.⁵²

The *Opus 31 No. 3 Sonata* is mentioned only as a conveniently available example of the “vaster dimensions” not only of his sonatas, but frequently evident in most of his second period works. It also shows that this Sonata, although it has four movements, lacks a slow movement, same as the revised *Waldstein*, which changed from three to two movements, since the short *Introduzione* in *Molto Adagio* tempo, which replaced the *Andante*, is exactly that, an introduction and part of the second movement, *Rondo*.

⁵⁰ Gillespie, p. 179.

⁵¹ Ibid., pp. 183-5.

⁵² Ibid.

The *Opus 53 Sonata* was dedicated to Count Ferdinand Ernst Waldstein (1762–1823), Beethoven's mentor and benefactor in Bonn, who may have also suggested Beethoven's trips to Vienna, later following him there. They were good friends. Waldstein is credited with the famous autograph: "If you continue to strive, you will receive Mozart's spirit from the hands of Haydn."⁵³

Gillespie reminds us that Beethoven's attitude underwent a major change starting in 1802, the year he wrote the *Heiligenstadt Testament*. This change was from mental depression to a resolve to throw himself intensely and forcefully into productive creation, setting the stage for the second period, which "shows his full physical and spiritual maturity." Concurrently, substantial mechanical improvements were made in the piano, and "Beethoven hastened to exploit them." Thus, the *Waldstein* "was composed during a relatively happy and untroubled moment in Beethoven's life, and he tells of this rare carefree attitude in a letter to his pupil Ries." The quote is as follows:

For the life of me I should never have thought that I could be so lazy as I am here. If an outbreak of really hard work is going to follow, then indeed something fine may be the result.

The result was this "bright, gracious sonata that stresses both technical and virtuoso aspects with masterful taste. It is extremely difficult to play and in a sense announces the third period."⁵⁴ It must be pointed out that although Beethoven underwent a major psychological improvement, as indicated above, he still had some serious personal problems, such as unrequited love affairs, and encroaching deafness. It is therefore a miracle that despite this situation, he succeeded in producing such an ebullient work. I should add here a quote from the *Beethoven Piano Sonatas* by Denis Matthews, speaking of the *Waldstein*:

⁵³ Nettl, s.v. *Waldstein*.

⁵⁴ Gillespie, pp. 184-5.

Among the factors that contributed to its unprecedented grandeur of manner was the composer's acquisition in 1803 of an Erard piano with an extended upward compass [His earlier instrument was a Walter fortepiano]. This also led to the rewriting of certain passages in the C minor Concerto [No. 3], though he did not to our knowledge retouch the earlier sonatas.⁵⁵

Writing about the *Waldstein*, Solomon states, "Beethoven moved irrevocably beyond the boundaries of the high-Classic piano style, creating sonorities and textures never previously achieved...stretched the potentialities of both instrument and techniques to their outer limits. The dynamics are greatly extended; the colors are fantastic and luxuriant, approaching quasi-orchestral sonorities....Lenz called the *Waldstein* 'a heroic symphony for piano'." ⁵⁶

Speaking of the heroic style, as it pertained to several other compositions during the Napoleonic events surrounding the naming of the *Third Symphony* (as *Bonaparte*) and later renaming it (as *Sinfonia Eroica*), Kerman states, "a similar spirit pervades the so-called 'Waldstein' Sonata." ⁵⁷

The following is a short overview of the form of the *Waldstein*, after the second movement change, with information from Tovey,⁵⁸ supplemented by my analysis and comments based on review of the score:

First Movement. "**Allegro con brio**: C major. Sonata Form." 302 measures. Very bold modulations, tempo, and dynamics. The movement starts in *pp* and later reaches *ff*. There are frequent contrasting dynamics.

⁵⁵ Denis Matthews, *Beethoven's Piano Sonata*, BBC Music Guides, (Seattle: University of Washington Press, 1969) p. 32.

⁵⁶ Maynard Solomon, *Beethoven* (New York: Schirmer Books, 1979), p. 197.

⁵⁷ Joseph Kerman and Alan Tyson, *The New Grove Beethoven* (New York: W. W. Norton & Company, 1983), p. 37.

⁵⁸ Donald Francis Tovey, *A Companion to Beethoven's Pianoforte Sonatas* (London: The Associated Board of Royal Schools of Music, 1931), pp. 150-160.

Second Movement. “**Introduzione:** Adagio Molto.” F major (subdominant of the sonata home key and same as the removed *Andante Favorsi*). Twenty-eight measures. There is a nine-measure prelude, with a chromatic descent in the bass from F to its dominant. This is followed by a seven-measure lyric aria, which is connected to the prelude by using a figure of the prelude as an anacrusis. The third part, a postlude, is a modified recapitulation of the prelude. It ends with an *Attaca subito il Rondo*, which is the finale and the continuation of the second movement. Despite the shortness of the **Introduzione**, this is a marvel of harmonic modulation. To quote Tovey, referring to a fragment at the beginning of the prelude: “The total result has been a phrase with an immense range of modulation, the augmented 6th at the end of the first bar already drifting far away from a key only just defined by the outline of its common-chord.”⁵⁹ Consequently, this movement must be considered very bold indeed harmonically and a good introduction to the finale. It also starts in *pp*, but there are only several *sforzandos*, and the highest dynamic notation is *p*, which is unusual for Beethoven, as he normally used more extreme dynamics. The movement, in my opinion, because of its tempo, dynamics, and short length, provides a calming balance to the two more assertive and much longer *Allegro con Brio* and *Rondo*. Overall, it is compatible with the rest, even though there are some marked differences, such as the chromatic opening at its beginning. It is also daring, indeed much more so than the *Andante*, and constitutes one of “the profoundest things in all his ‘second period’,”⁶⁰ as Tovey states.

Beethoven thus improved the *Waldstein* significantly by replacing the long *Andante in F* with the short, but masterfully crafted, *Introduzione*. But obviously the reason for the *Andante* being too long, as his associates were representing, was not Beethoven’s primary reason, although the final solution did result in elimination of the “length” problem.

⁵⁹ Ibid., p. 155.

⁶⁰ Ibid., p. 150.

Second Movement (continued). “**Rondo**: Allegretto Moderato; with *Prestissimo* [within the] Coda.” While the form is that of a *Rondo*, its style characteristic is that of a *Pastorale*. The tonality is C major. There are 543 measures, with 343 in the main part and 200 in the coda. This is based on the coda starting at 344, according to Tovey.⁶¹ However, the coda could start also at either 352 or 360, possibilities indicating that Beethoven may not have intended to precisely delineate borders between sections. This is another example of his ambivalent compositional style. What is interesting is that the coda does not start at the *Prestissimo*, 403, which is a sudden change of tempo and may appear—without careful analysis—to be the last section of the movement. The **Rondo** is again a very bold movement harmonically and dynamically, similar to the first movement. It starts in *pp* and ends in *f*. There are a few instances of *ff* and one *ppp* starting three measures before the V⁷/C to C cadence straddling the separation between the main part and the *Prestissimo*. Incidentally, the C of the cadence, which is on the first beat of the coda, is a sudden *f*, after which there is an immediate drop to *p dolce*.

William Newman reiterates that because of the short length of the *Introduzione*, and its virtual integral connection to the very long *Rondo* finale, the *Waldstein* is often, and more accurately, described “as being in two rather than three movements.” Also, quoting Prod’homme, Newman states that this sonata “became known as ‘Aurore’ [Dawn], it being another subject of nineteenth-century programmatic interpretations.”⁶²

Revisiting the “reason for removal” of the *Andante* movement and expanding the comments made previously, I will refer again to Tovey:

⁶¹ Ibid., p. 159.

⁶² William S. Newman, *The Sonata in the Classic Era* (New York: W. W. Norton, 1972), p. 521.

The criticism that the sonata was “too long” merely annoyed Beethoven, and was the last thing in the world that would have induced him to alter his work, conscious as he was of being a master of instrumental music on a larger scale than anything known before. But he soon came to realize that, whether long or short, this *andante* was quite out of touch with the harmonic style of the rest. Its richest modulations were indeed beautiful but they were stated as if they were strange. This might be true within the limits of that one movement, but it was entirely false after the view of harmony displayed in the first 13 bars of the first movement. That view of harmony...had already been propounded in Opus 31, No.1; but propounded as a paradox thrust at the listener in a provocative jocular manner. Now the *Waldstein* Sonata has no more business than sunsets and sunrises to be paradoxical, provocative or jocular. A return to a simpler beauty may be a refreshing reaction from paradoxes. But the *Andante in F* prefaces its finest modulations with clauses to the effect that “strange and incredible as it may seem, it is nevertheless true”; whereas these strange and incredible things seem to be entirely normal in the previous and following movements. For this reason, and not for its length nor even for the danger of putting two full-sized rondos in juxtaposition, Beethoven cut the *Andante in F* out from the completed manuscript, allowed it to be published without opus-number as a separate work, and replaced it by the present *Introduzione*, one of the profoundest things in all his “second period,” and harmonically at once the boldest and calmest thing in the whole sonata. The final Rondo itself, though unaltered, acquires a deeper meaning after the wonderful page that now leads up to it.⁶³

Kerman and Tyson write:

The slow movement was originally going to be the somewhat bovine piece now known as the “*Andante favori*....” When Beethoven replaced this by the *adagio* “*Introduzione*,” which makes momentous preparations for the finale, he gave the sonata the characteristic “symphonic” sweep even while shortening it, and also motivated (or validated) the grandiose coda of the finale.⁶⁴

Yet many of the sources I consulted give the reason of length as the main, if not the only, reason for the removal of the *Andante*.

Dahlhaus, referring to a hypothesis by Romain Rolland that the “movement was separated from the sonata because of its all too private significance” considers this

⁶³ Tovey, *Companion etc.*, p. 150.

⁶⁴ Kerman-Tyson, p. 113.

questionable. The “private significance” had to do with the fact that WoO 57, under which the *Andante* was published, “was secretly dedicated to Josephine von Brunswick, [sometimes thought to be] the ‘immortal beloved’.”⁶⁵

Regarding the identity of the “immortal beloved,” more recent scholarship proposes another candidate for the puzzling title, namely, Antonie Brentano.⁶⁶

Dahlhaus also states:

Musically, there is nothing too bizarre about the idea that Beethoven may have been thinking of her when he wrote the piece: it is a “character piece” with a high degree of refinement in its characterization, and as such may very well be interpreted as a musical portrait—but what is portrayed is a general nobility of character, not that of one particular person. (The essence of the piece does not lie in the *grazioso* theme in isolation, but in the difficulty of sustaining the *grazioso* character during the virtuoso progressions of thirds, sixths, and octaves.)⁶⁷

Regarding the style, when I first heard the *Andante*, I was struck by the wonderful *grazioso* style and imparted feeling. Had I not known who the composer was, my guess, at least for the beginning of the work, would have been Mozart. This opinion is partially validated by Quittard in the following paragraph, from a 1910 article, which I am translating from the French:

We do not find herein the true style of Beethoven. This melody appears very close to the manner of Mozart. In spite of the strong resemblance, the relationship is probably indirect. Beethoven reminds himself of Mozart indirectly through another composer. His theme reproduces actually almost note by note the beginning of a sonata by Rust. Whether it is a coincidence or a reminiscence, it should be noticed especially now that the significant role Rust played in the formation of Beethoven is being recognized. Here for comparison, are the beginnings of the (A) *Andante* and (B) Rust’s phrase:⁶⁸

⁶⁵ Carl Dahlhaus, *Ludwig Van Beethoven, Approaches to his Music*, trans. from the original German by Mary Whittall, (New York: Oxford, 1993), pp. 10-11.

⁶⁶ Solomon, pp. 158-189, 297.

⁶⁷ Dahlhaus, pp. 10-11.

⁶⁸ Henri Quittard, “Les Sonates de Piano de Beethoven,” *La Revue Musicale* 10 (1910), pp. 326, 332-3.

Fig. 2. Comparison of the *Andante* and Rust's Phrase

I must reiterate that Quittard's article is from the year 1910. The composer he is talking about is probably Friedrich Wilhelm Rust (1739–1796). There were two other Rusts, Friedrich's son and grandson, both musicians,⁶⁹ but probably too young to have written sonatas before the *Waldstein* was composed.

Another presentation of the slow movement replacement event, with a slightly different slant is given by Arnold and Fortune. Speaking of the two movements of the *Waldstein*:

In these two movements Beethoven finally mastered the use of extreme virtuosity on a keyboard for purely musical and poetic ends, without the ameliorating influence of an orchestra—an important step forward. He was not so successful in the balance of the work as a whole. His first attempt at a slow movement slipped back to the rather luxuriant type found at times in his first period and certainly out of joint with his present outlook as a whole. It is a beautiful movement and, when he proved amenable to a suggestion that it should be removed, immediately revealed its full beauty when he had released it from its intimidating position between its two athletic neighbours; it was published as the *Andante Favori*, WoO 57. So far so good. But the *Adagio* with which he replaced it, which proved to be an introduction to the finale...[and here is the different slant], also proves to have missed the mark as widely as the earlier movement, but in the opposite

⁶⁹ Nicholas Slonimsky, *Baker's Biographical Dictionary of Musicians*, s.v. Rust.

direction. One of the profoundest passages Beethoven ever wrote, it leaps ahead by many years to the world of his third period; its fit companions are works such as the Opp. 101 and 109 Sonatas, or the Cello Sonatas of Op. 102. To this extent, the “Waldstein” remained unbalanced, with one problem Beethoven never solved.⁷⁰

I do not think that this apparent style “problem,” the way it is indicated above, needed solving, since it is not a problem. To my knowledge, it didn’t seem to have bothered Beethoven or any objective musician. On the contrary, the mastery rank of the sonata remains intact, and the *Adagio* introduction to the second movement is a very effective improvement. Concurrently, the *Andante Favori* deserves the importance assigned to it by Beethoven when he allowed it to stand on its own merit and be presented as such.

ANALYSIS

As in analyses of other works in this thesis, measure designators (m. or mm.) have been omitted for purposes of simplicity.

I based the Analysis of *Andante Favori* on the Dover score.⁷¹ It is shown graphically in Fig. 3. The form is shown at the top. While the work is generally classified as a rondo, it does not strictly fit the classical models of this form, especially from 132 to the end. Its form is either: (1) A-B-A-C-A-D?-A-Coda, or (2) A-B-A-C-A-D-Coda, or (3) A-B-A-C-A-Coda, depending on which possibility the analyst chooses. I prefer the last approach, which has the coda starting at 132. The typical classical rondo forms are A-B-A-C-A, or A-B-A-C-A-B'-A (sonata-rondo), and the difference from the *Andante Favori* is obvious. Even though there appears to be a development section in the *Andante*, this is in Section D, whereas in the sonata-rondo form, the development is in Section C. Therefore, the *Andante* cannot be a sonata-rondo. There is also a classical rondo form variety: “the

⁷⁰ Denis Arnold and Nigel Fortune, eds., *The Beethoven Companion* (London: Faber and Faber, 1971), p. 120.

⁷¹ Ludwig van Beethoven. *Bagatelles, Rondos, and other Shorter Works for Piano*, Music Scores, (New York: Dover Publications, 1987), p. 95.

multicouplet or serial A-B-A-C-A-D-A type....”⁷² The *Andante* also comes close to this type in general form.

It should be noted that there are certain complications in the *Andante*; for instance, the A sections have a-b-c-a subsections, with the c section being a *horn-call* contrasting theme. Also there are elements of *theme and variations* throughout the work. The most outstanding difference and departure from the rondo classical forms are in the coda, which is the area of ambivalence: it could start either at 132, 157, or 167, depending on how it is perceived by the analyst. All three beginnings have the characteristic of a sudden change in style and mood. As indicated above, I prefer the 132 beginning, which is probably the most daring and sudden contrast in development, with complications of tonality, innovation, and pianistic difficulty brought about by the long *octave* passage and concurrent sequence of *circle of fifths* cadences.

Regarding tonality, we again notice great variety and departures from the uniformity of the classical rondo form. While F major is the prevailing tonic, it is often out-distanced by excursions to several remote tonalities. Also an interesting plan designed by Beethoven is the complex modulation pattern between 136 and 144, utilizing *the circle of fifths* (i.e., the dominant sevenths series). Interesting items are also the rapid modulations occurring at 167–170 and 171–179, and finally the furthestmost tonal move in this work, namely, the three-measure (193–195) excursion which goes to G-flat (the Neapolitan sixth of the tonic) in 193 and 195, while the separating measure, 194, is in the dominant of the Neapolitan.

⁷² Eugene K. Wolf, “Rondo,” *The New Harvard Dictionary of Music*, ed. Don Michael Randel, (Cambridge, Ma.: The Belknap Press of Harvard University Press, 1986), s.v. Rondo.

CHAPTER 4

F. LISZT: THREE PETRARCH SONNETS, 47, 104, 123

Since these sonnets are part of the second volume of Liszt's *Années de Pèlerinage*, a discussion of this cycle is indicated before discussing the sonnets themselves.

ANNÉES DE PÈLERINAGE: AN OVERVIEW

Slonimsky⁷³ translates this work as *Years of Wandering*, and defines it as a "collection comprising three series of piano works by Liszt, each piece bearing a descriptive title." He then lists a few examples of the more famous pieces. I would prefer to expand this definition, namely, generally speaking, each series comprises works composed during three different periods of one to two years spent in Switzerland (first period) and Italy (second and third periods). This is still not a totally satisfactory definition, since there are complications involving publication dates, republication of earlier material, revisions of some pieces, and supplemental additions. And what about the word *Pèlerinage*? Its translation in English is "pilgrimage." While "pilgrimage" and "wandering" are related, they have different connotations.

In my opinion, the best and most succinct explanation that I found of the genesis of this work and its description is *Liszt's Pilgrimage* by F. E. Kirby,⁷⁴ which starts with a definition of pilgrimage: "A pilgrimage by general consensus is a journey to a shrine or holy place undertaken as an act of devotion, usually of religious nature. But the term can mean more: a flight, a search for something new and different, for renewal and inspiration." Kirby corroborates this meaning with some examples from fiction: Goethe's *Wilhelm Meister*, Senancour's *Obermann*, Byron's *Childe Harold* and Scott's *Waverley*; and finds Liszt's work "peculiarly interesting and symptomatic in that it

⁷³ Slonimsky, *Lectionary of Music, etc.*, s.v. "*Années de Pèlerinage*."

⁷⁴ F. E. Kirby, "Liszt's Pilgrimage," *Piano Quarterly* 23/89 (Spring 1975): 17-21.

represented the attempt to turn art into life, as it were, to take unto himself the experiences of these literary figures, to enact them into his own life, and then turn them back into art, in the form of musical compositions.”⁷⁵

In the early 1830s, Liszt was around twenty years old and already famous in Paris, where he greatly impressed the “literary and artistic salons” with his ultra-virtuosic piano performances and “great personal charm.” However, there is hardly any indication of him being interested or involved in any important literary works or any large or significant musical compositions. His compositions catered to the popular taste of that time. A major change in this attitude occurred after he met Marie, Countess of Agoult, in 1832. The two had a “passionate love affair.” Marie was a highly educated and cultured woman, “intensely imaginative and creative,” and she had a profound influence on Liszt’s personality and interests, infusing him with a great deal of enthusiasm and knowledge of literature, art, and even music. She is also suspected of being the “real author of a number of essays and letters published under Liszt’s name in Parisian journals of the late 1830s—these writings which did much to establish Liszt’s leading position in the Romantic movement.” Marie and Franz jointly decided to make the pilgrimage, which consisted of a “sojourn in Switzerland (1835-6) and Italy (1837-9).” They were highly visible people, and as such, their personal activities mentioned above and Marie’s divorce (a rarity in those days) “were the talk of Paris.”⁷⁶ Regarding the fact that Marie may have been the ghost-writer of Liszt’s essays and letters, I find that more recently discovered evidence tends to reestablish Liszt’s authorship, although the matter is not yet fully settled.⁷⁷

In Switzerland, they were totally immersed in inspirational environments and activities that stimulated their imaginations and creativity: “shrines and holy places, [viz.,] William Tell’s chapel, the symbol of Swiss independence...but more important, works of nature—the remote world of mountains, upland valleys, waterfalls, lakes, far from the complexities, frustrations, artificiality, and conventionality of life in the city.” Two literary works they read there, that inspired them greatly, were a popular novel by

⁷⁵ Ibid., p.17.

⁷⁶ Ibid.

⁷⁷ Alan Walker, *Franz Liszt, Volume 1, The Virtuoso years, 1811-1847*, rev. ed. (Ithaca, N.Y.: Cornell University Press, 1987), pp. 15-17, 20-23.

Sénancour, *Obermann*,^{78 79} about a “distracted individual who flees Paris to wander, mainly in Switzerland, eventually settling in an isolated mountain valley,” and Byron's *Childe Harold's Pilgrimage*.⁸⁰ They adopted the sentiments expressed by “these fictional characters... [and] even visited some of the places described in these works.” Later, in Italy, their “objects of devotion were different: now it was the works of the great Italian artists and writers of the past—Raphael and Michelangelo, Petrarch and Dante.”⁸¹

They both worked: Marie was writing letters and essays, and Liszt was composing pieces based on experiences gained during his sojourns. Although some of these pieces were published soon after they were written in versions quite different from later ones, the first formal publication as a collection of the Swiss pieces occurred in 1842, in a volume titled *Album d'un voyageur*. Later, all pieces were published as “*Années de pèlerinage*: the *Première année: Suisse* [first year: Switzerland] in 1855 and the *Deuxième année: Italie* [second year: Italy] in 1858. But the idea of a pilgrimage—indeed of life itself as a pilgrimage—stayed with him and continued to find expression in musical compositions. In 1861 he issued a supplement to the second year, three additional pieces, and continued to compose in this vein, the later works being published as a *Troisième année: Italie* [third year: Italy] in 1883.”⁸²

Kirby then describes the genre of these works as *character piece*, which is a “short piece with relations to extra-musical matter or with a specific expressive character.” In the original two sets of *Années*, Liszt had each piece or groups thereof introduced by a picture, including a portion of associated literary text by the respective author, thus creating together with the music a “mini-universal artwork in the Wagnerian sense.” This was most likely an idea spawned by Marie's influence and teachings.⁸³

The pieces are generally free from traditional types of structural forms. In most cases they use “some reverting scheme with one or more contrasting sections.” Quite often, the

⁷⁸ Étienne Pivert de Sénancour, *Oberman: Lettres* (Paris: B. Arthaud, 1947).

⁷⁹ *Obermann* should have a single *n*, per title page of book, but Liszt and Kirby used two.

⁸⁰ George Gordon Byron (Lord Byron), *Poems of Lord Byron*, ed. H. J. C. Grierson, (New York: D. Appleton and Company, 1924), pp. 37-60.

⁸¹ Kirby, p. 17.

⁸² Ibid.

⁸³ Ibid., p. 18.

plan is simple, such as in *Pastorale* or *Au bord d'une source* from the Swiss set, but in other cases it can be elaborate, using the "important principle of thematic transformation."⁸⁴ This is an expansion of a technique first used by Berlioz in his treatment of the *idée fixe* in the *Symphonie Fantastique*, much used by Liszt, and later, in varied forms by Wagner with his related *leitmotif*. It consists of "the alteration of themes for the sake of changing their character while retaining their essential identity."⁸⁵ Kirby then points out "the basic simplicity of construction that the pieces display. Usually a main melodic part and an accompaniment: contrapuntal part-writing is of minor significance." There is regular phrase structure (phrase-elements are of equal length), and much repetition. "Principles of melodic writing" using sequences based on melody phrases, ornamentation, and variations are used abundantly and are very important. Short thematic motives are not commonly used. "The accompaniment often features patterns of figuration...based on unusual harmonic progressions. But grafted on, as it were, to this simple homophonic texture are exceedingly ornate figurations and embellishments which frequently involve extreme virtuosity."⁸⁶

Kirby likens most of this style of composing to the French and Italian opera, to which Liszt had been exposed. The *aria*, especially, uses the same "principles of melodic organization...accompaniment...and ornamental figuration." Kirby also brings up an interesting point, namely that Liszt's method in composing is different from that of Beethoven. "As a performer and improviser, Liszt seems to have felt, unlike Beethoven, reluctant to 'fix,' as it were, what he actually played in performance by means of musical notation, apparently since it was impossible to represent this way the many extemporized elements." This explains his frequent revisions of his works and the "frequent carelessness and numerous inconsistencies found in many of the autograph manuscripts of his pieces....His music was to be heard, not to be seen."⁸⁷

It was stated above that the *Années* works were character pieces. This type of piece needs an association to express itself. Composers create an association "by the use of certain musical style-types which have explicit connotations that will be recognized by the

⁸⁴ Ibid.

⁸⁵ Don Michael Randel, ed., *The New Harvard Dictionary of Music*. s.v. "Thematic Transformation."

⁸⁶ Kirby, p. 18.

⁸⁷ Ibid., pp. 18, 19.

performer and audience so that the composer's intention will be clear." Liszt abides closely with this practice in spite of his "elaboration of chromatic harmony and the use of dissonance along with the extreme development of technical resources in handling the piano."⁸⁸ One could infer from this statement that Kirby considers these technical elaborations to act as if to detract from the intended association. If that is the case, I must disagree, since some of these harmonic and virtuosic techniques help to enhance the desired associative connotation.

Kirby then gives specific examples of association techniques as applied to certain pieces and also describes the content pattern of each of the three sets (i.e., Switzerland, Italy, and Italy). Regarding the second set, which is the one applicable to this thesis, Kirby has the following pertinent comment:

In the first Italian set and its supplement, songs and arias are important. The famous sonnets of Petrarch are in fact piano versions of what Liszt originally set as songs; and these pieces in fact provide good illustrations of Liszt's adaptations of conventions from the Italian opera of the time, especially the use of embellishment.⁸⁹

Kirby concludes the article as follows:

All in all the *Années de pèlerinage*, the earlier sets in particular, represent the first really characteristic and important manifestation of Liszt as a composer: the involvement with great works of literature and art and the use of appropriate themes and style-types for their proper expression in music, coupled with, where indicated, the proper level of virtuosity. This is the fruit of the first stage of Liszt's artistic pilgrimage; and it established the basis from which he emerged as one of the most important proponents of all that was new in Romantic music.⁹⁰

⁸⁸ Ibid., p. 19.

⁸⁹ Ibid.

⁹⁰ Ibid., p. 21.

THREE PETRARCH SONNETS

These three pieces have an interesting genesis. The following is my translation from the French of their history according to Eigeldinger:⁹¹

Before Liszt, a pre-romantic composer by the name of [Johann Friedrich] Reichardt (1752-1814), who was also musical adviser to Goethe, was inspired by a Petrarch sonnet to compose a rondo for the piano. However, Liszt's sonnets were originally conceived in the form of Lieder (Schubert preceded Liszt in this regard), and published separately as such in 1847 (first version). Therefore, the sonnets we are dealing with here are obviously a rewrite, since they are not in the form of Lieder. One must be careful, however, not to see these as songs without words. They are rather lyrical rhapsodies akin to nocturnes.⁹²

Regarding the last two sentences, Dr. Kanwischer feels that the sonnets are a blend of lyrical rhapsodies as well as songs without words. Eigeldinger continues as follows:

Liszt uses various solutions in applying the fixed poetic form to music, each time being careful to introduce the melody with a short preamble and to isolate the high point contained in the last verse. Regarding backgrounds, the three pieces are linked together by a common and unifying *cell*,⁹³ which occurs in each piece in a different rhythmic form and at different times. This unifying procedure underlies what the composer wanted to build as a form of trilogy to the glory of *Laure*—who was no longer Mme d'Agoult.⁹⁴

I might clarify the fact that at that time Marie d'Agoult and Liszt were in the process of separating. Also that *Laure* is French for "Laura, subject of the love poems of Petrarch, thought to be Laura de Noves (1308?-1348), wife of Hugo de Sade, though this has not been proved."⁹⁵ She was born in the Provence and was also called *La Belle Laure*.⁹⁶

⁹¹ Jean-Jacques Eigeldinger. "Les Années de Pèlerinage de Liszt: Notes sur la genèse et l'esthétique." *Revue Musicale de Suisse Romande* 33/4 (Sept 1980), pp. 147-172.

⁹² Ibid., pp. 161-2.

⁹³ A short motif of several notes, akin to *idée fixe* or *leitmotif*.

⁹⁴ Eigeldinger, p. 162.

⁹⁵ Barbara A. Chernow and George Vallasi, eds., *The Columbia Encyclopedia*, 5th ed. (New York: Columbia University Press, 1993), s.v. *Laure de Noves*.

⁹⁶ *Petit Larousse Dictionnaire Français*, (Montrouge (Seine), France: Imprimerie Larousse, 1946) s.v. *Laure*.

Another outstanding scholar of Liszt's music was Humphrey Searle. According to him, the original compositions originated in 1838-9 "as songs for high tenor voice (going up to C-sharp), and as such are probably Liszt's first songs." The first two sonnets, 47 and 104, appeared in reverse order, namely, 104 was first and 47 was second. Almost concurrently, Liszt wrote a piano version of the composition and issued it in 1846, while the song version was published in 1847. The latter date confirms Eigeldinger's information, but Eigeldinger does not give the date of the first piano solo version. Searle further states that, "Some time before 1858 Liszt altered the piano version into the form which is now familiar to us, reversing the order of the first two sonnets at the same time, and they were then published in the complete second volume of the *Années de Pèlerinage*, [in 1858]." ⁹⁷

Searle continues as follows:

About 1865 Liszt made another version of the songs, this time for much lower voice (medium tenor or baritone), and considerably simplifying them in the process; this version was published in 1883. the original tenor song version (as well as its piano transcription) shows all the romantic exuberance of Liszt's youth, as well as a strong influence of the Italian operatic *bel canto*; these songs are well worth reviving, for they are not only extremely beautiful in themselves, but also show an unfamiliar side of Liszt's art. The mature piano transcriptions are admirable examples of Liszt's power of translating music from one medium to another without any feeling of loss; taken by themselves they make excellent piano pieces, and one would certainly not have guessed that they were originally written for the voice. They are all of supreme beauty, and there is little to choose between them; many consider that No. 104 is perhaps the finest. The final song version makes a most interesting contrast to the 1838-9 songs; here the exuberance has completely disappeared, and is replaced by extreme simplicity, almost austerity. It is not perhaps surprising that Liszt's attitude to the poems should have changed with the years; but the difference between the two song versions is quite remarkable. ⁹⁸

I might add that Liszt's attitude toward the songs certainly reflects his attitude toward life.

⁹⁷ Humphrey Searle, *The Music of Liszt*, 2nd rev. ed., (New York: Dover Publications, Inc. 1966), pp. 31-2.

⁹⁸ Ibid.

As indicated in the previous quotation, *Sonetto 104* appears to be the finest of the three sonnets according to some musicologists. No wonder then that my quest for detailed research sources yielded several articles or dissertations specifically on 104, but none on either of the other two. One of these articles titled Liszt's *Sonetto 104 del Petrarca: The Romantic Spirit and Voice Leading*, by David Neumeyer also offers some insights on the three sonnets, although it focuses primarily on 104.⁹⁹

Earlier in this section, I mentioned the fact that, according to Eigeldinger, the sonnets were composed in the style of *Lieder*. David Neumeyer also comments on this matter, indicating that Liszt championed the work of Schubert, and one manifestation is that he produced approximately sixty piano solo transcriptions and *partitions de piano* from Schubert's *lieder* and these are considered among his best. They are both "adequately faithful to the originals and yet imbued with glimmerings of their 'author's' creative genius." About forty of these songs were transcribed during 1838-39, the birth period of the sonnets. However, the sonnets "show virtually none of Schubert's influence.... These are not intimate *lieder* (as one might expect from the sentiment of the poems); they are operatic arias in the expressive, embellished *bel canto* style."¹⁰⁰

There is an apparent contradiction in the previous statement with Eigeldinger's information, which indicated that the original composition *was* in *lieder* style; and that with which we are dealing here, in *bel canto* style, must be a later edition. Also Dr. Kanwischer and I tend to agree with Eigeldinger, but disagree with Neumeyer regarding the quoted statement above, namely that the "sonnets show none of Schubert's influence." We feel that certain features of the sonnets can be discerned as Schubertian, for example the accompaniments, introductions, and interludes. We also believe that the sonnets blend various styles: aria, lied, recitative, and even the Schubertian Impromptu. Perhaps a more accurate statement would be that the sonnets "show limited Schubertian influence."

⁹⁹ David Neumeyer: "Liszt's Sonetto 104 del Petrarca. The Romantic Spirit in Voice Leading." *Indiana Theory Review* 2/2 (Winter 1979), pp. 2-22.

¹⁰⁰ *Ibid.*, p. 2.

Neumeyer further states that 104 “is cast as a recitative and aria,” while 47 and 123 “as arias with introductions.” Liszt did a highly competent job, and I may add *sophisticated*, as he was thoroughly familiar with the essentials of Italian opera and since “fantasies and paraphrases on opera melodies were, after all, stock in trade of the virtuosi.” Neumeyer also mentions: “One might object that Liszt’s opera-inspired setting does not necessarily do justice to the literary quality of Petrarch’s sonnets, but the songs do merit performance.”¹⁰¹ Here again, Dr. Kanwischer and I must disagree with the previous statements. We believe that the sonnets are derived more from the lied than from the operatic aria and that they definitely do justice to the text. This can certainly be corroborated by listening to the first (voice) version of the sonnets.

Neumeyer confirms the fact, earlier cited by Searle, that Liszt transcribed the sonnets for piano solo at the same time that he composed them for voice. However, he adds that 104 was the only one that was also “transposed and reconstructed to any degree: the recitative was removed and a new introduction inserted whose harmonic structure is simply the dominant chord with some linear connections.” He also calls 104 “the most dramatic, the most agitated of the three poems in the Liszt set.” Then he offers a translation thereof which I am not including, since, although slightly different, it would be redundant to the one shown below. Neumeyer points out that the ironic pairing of phrases with opposing images is followed through the entire sonnet to the climax in the last line. He proceeds with a detailed and lengthy analysis to demonstrate this parallelism between poetry and music in expressing the same emotions.¹⁰²

INDIVIDUAL SONNETS

Returning to Eigeldinger, his article gives the French translation from the original Italian of each of the three sonnets, which are similar in structure: four verses, the first two having four lines each and the last two, three lines. However, instead of my translating these into English, I am using the English translations from the original Italian by Anna

¹⁰¹ Ibid.

¹⁰² Ibid., pp. 2, 4-5.

Maria Armi. The comments immediately following each sonnet are by Eigeldinger in my translation from the French.

SONETTO 47

Blessed may be the day, the month, the year,
And the season, the time, the hour, the point,
And the country, the place where I was joined
By two fair eyes that now have tied me here.

And blessed be the first sweet agony
That I felt in becoming bound to Love,
And the bow and the arrows piercing me,
And the wounds that go down so deep to move.

Blessed the many voices that I raised,
Calling my lady, to scatter her name,
And blessed be my tears, my sighs, my heart;

Blessed may be the paper where more fame
I earn for her, my thought by which she is praised,
Only her own: no one else has a part.¹⁰³

One can imagine the seductive effect that this poem in troubadour style had on the composer: eyes which ravish the soul, the arrow of Love piercing the heart, rhymes inspired by the only woman that Petrarch had in his thoughts. The first two quatrains unroll following a hexatonic motif, in a style and tonal color (*Klangfarbe*) close to those in *Sposalizio*, but with more pressing and passionate accents.

Since the hexatonic motif is not shown in Eigeldinger's article, I extracted it from the score, Fig. 4.

¹⁰³ Petrarch (Francesco Petrarca), *Sonnets and Songs*, trans. by Anna Maria Armi, (New York: Pantheon, 1946. Reprinted New York: AMS Press, 1978), p. 97, given as number LXI, due to different numbering system.

Fig. 4. Hexatonic Motif

Returning to Eigeldinger:

The word *viso* is depicted by a descending seventh, analogous to the leitmotif for *sight* in *Tristan*! A recitative haloed by heavenly echoes constitutes the middle section before the shortened repeat of the initial motif, followed by the unifying cell, which underscores the ending of the sonnet.¹⁰⁴

ANALYSIS

Except for the beginning of each section, measure number designators (m. and mm.) have been omitted from the text for purposes of simplicity and avoidance of burdensome repetition. All arabic characters below pertain to measure numbers. Also, the score used for all three sonnets is the *Neue Liszt-Ausgabe*.¹⁰⁵

mm. 1-11 *Preludio con moto*. Introduction: improvisatory, featuring relationships of three rising phrases of lowered VI and augmented VI, three rising phrases of unequal length, first assertive, the other two lyric, tonally unstable but starting in A major and ending in the dominant of D-flat major.

mm. 12-35 Theme A: Two strains, 12-23 and 23-36 respectively. The first strain establishes D-flat major, and ends in F minor. The second strain repeats the motive but with an extended ending in a quasi-cadenza, 34-5. It modulates from E-flat minor to B major and G major, outlining an augmented chord.

¹⁰⁴ Eigeldinger, *Les Années, etc.*, p. 162.

¹⁰⁵ Franz Liszt, *Années de Pèlerinage, Deuxième Année - Italie*, Music Scores, (Budapest: Editio Musica Budapest, 1974), Vol 7, 1974, pp. 14-31.

mm. 36-62 Theme A: Three strains, 36-43, 44-52, and 53-61, respectively. These are shorter than those in the first part, 12-23. The first strain starts in G major. The second strain modulates by thirds. The third strain is an improvisation with antiphons of declamatory recitatives and quasi-echoes. It ends in a cadenza, 59, which is a series of diminished fifths with an ending implying D major (the Neapolitan tonality). This is followed by a short intermezzo, 60-62, closing in implied C-sharp minor (the relative minor of E major which is the tonality in the next passage).

mm. 63-68 Theme A: One strain in E major, only six measures long, 63-68.

mm. 69-84 Theme B (new): A quasi-cello sounding aria in A-flat major (dominant of D-flat major), returns home at 77, before repeating in dominant again at 78-84, where it ends in A major (altered VI of home key), as the *Preludio* did in 4-5.

mm. 85-90 Introduction to Coda: Ends in a quasi-cadenza that rephrases the *Preludio*, 6+.

mm. 91-95 Coda: Theme A ending in the home key, D-flat major. (Coda could even be perceived as beginning in 85).

Tonality detail is as follows:

mm. 12-23 (verse 1 of poem). Theme A—first strain: D-flat major (I), ending in F minor (iii), E-flat minor (ii).

mm. 24-36 Theme A—second strain: E-flat minor (ii), B major (natural VII), G major (altered IV).

NOTE: The interval D-flat major to G natural major is a tritone.

mm. 36-43 (verse 2 of poem). Theme A—first strain. G major (first strain).

mm. 44-52 Theme A-second strain: modulates by thirds (E minor, C minor, A-flat, F, and D).

mm. 52-62 Implies C-sharp minor (parallel minor of home key--enharmonic).

mm. 62-68 (verse 3 of poem). Theme A: E major (altered iii).

mm. 69-82 Theme B: Returns at last to the home key in 77, but ends section in A major (altered vi).

mm. 85-95 Coda: Introduction plus theme A first strain fragment in D-flat major.

SUMMARY

- The thematic form of this sonnet is: Introduction-A-A'-A-A'-A"-A-B-Coda.
- The tonality progression is: A major, D-flat major, E-flat minor (ii), F minor (iii), E major (altered iii), G major (altered IV), A major (altered vi), B major (natural vii), and D-flat major with the last being the undeniable tonic.
- Regarding style, there is a distinct feeling of intimacy—even reverence—in the music depicting *Sonnet 47*. Liszt's directions suggest, reflect, and corroborate this, certainly: *sempre mosso con intima sentimento*, 12-13, *l'accompagnamento sempre dolce, smorzando*, 23, *dolcissimo*, 36, with *una corda* pedal, the cadenza in *pp*, 59, (a free measure), *dolente*, 60, *dolcissimo*, 62, *dolce cantando*, 69, and again *p-dolce*, 90, six bars from the end. The surges to climax are suffused in this refined atmosphere, and only one *fortissimo* mark occurs, seven bars from the end. Considerable *una corda* is specified, especially to characterize the supernal, inward quality of the main theme. The reflective, though radiant atmosphere that builds up during the course of the piece seems directly a result of Liszt's deep association with the rarefied field of the sonnet. As with the other two sonnets, remarkable tone-painting obtains here, among Liszt's finest.

SONETTO 104

I find no peace and I am not at war;
 I fear and hope, and I burn and I freeze;
 I rise up to the sky, lie on earth's floor;
 And I grasp nothing and I hug the trees

She has jailed me, and nor opens nor shuts,
 Nor keeps me for her own, nor tears the noose,
 Love does not slay and does not set me loose,
 He wants me nor alive nor out of ruts.

I see and have no eyes; no tongue, and cry;
 I wish to perish and call help to fly;
 And I abhor myself and love another.

I feed on grief, in tears and laugh I smother;
 Death and life are the objects of my hate:
 Lady, because of you, such is my state.¹⁰⁶

Transcending the double antitheses of the text, Liszt depicts the precious rhetoric in four variations on the same musical material, of which the beginning seems to be derived from the unifying cell. The first quatrain is the object of a noble recitative, first in the right hand, then in the left: the melancholy song of the cello. The second quatrain is exposed in the style and writing of a nocturne—which owes much to Chopin, particularly his *Nocturne, Opus 2, No. 2*—progressively assuming heroic expressions: a lightning-like passage, repeated octaves, and then descending chromatic thirds, which end in a double trill depicting the words in [the last part of] the first line and [first part of the] second line of the third verse. A unique feature of this sonnet among the three is a counterpoint superimposed over the principal motive, and a secondary chromatic idea to symbolize: “life and death displease me equally.”¹⁰⁷ The climax of the sonnet is declaimed forcefully before a dreamlike coda.¹⁰⁷

¹⁰⁶ Petrarch (Francesco Petrarca), *Sonnets and Songs*, trans. by Anna Maria Armi, (New York: Pantheon, 1946. Reprinted New York: AMS Press, 1978), p. 219, given as number CXXXIV, due to different numbering system.

¹⁰⁷ Eigeldinger, *Les Années etc.*, p. 163.

The quoted sonnet line immediately above is my translation of Eigeldinger's French translation from the Italian. It is equivalent to the second line of the fourth verse of the sonnet as shown previously in this chapter.

ANALYSIS

- mm. 1-6 *Agitato Assai*. Introduction: improvisatory and declarative, rising phrase of pairs of diminished sevenths chords, alternating between half steps (chromatic) and full steps, ascending in major thirds. This passage ends in the dominant of E major, 4. It is followed in 5 and 6 by an *Adagio*, one measure of an incomplete cadence to E major, and one measure cadenza leading to theme A.
- mm. 7-20 Theme A. Two strains: A, 7-15, and A', 16-20, respectively. A modulates from E major to D major (altered vii), and back to E major. A' is in C-sharp minor, modulates to the dominant of E major, and leads to the next A aria.
- mm. 21-36 Theme A. Two strains: A, 21-28, and A', 29-36. Tonality same as previous phrase. It is to be noted that each opening phrase returns to the tonic. The second strain, A', ends with a cadenza in its penultimate measure, 35, having modulated to G-sharp minor (iii).
- mm. 38-45 Theme A. One strain: the first one only, highly elaborated, including a cadenza. It is to be noted again that the secondary dominants are augmented chords, as in the opening verse.
- mm. 46-53 Theme B: New, but melodically similar to A', ending in a cadenza. Here, not only dynamics are sharply contrasted, but also alternation of major and minor, i.e., C-sharp major to E minor, the opposite of verse one, which is E major to C-sharp minor. This mirrors the opposites of the Petrarch sonnet itself.
- mm. 54-63 Theme C: New, ending in another cadenza, centered around G major (altered iii). Pockets of chromaticism abound here, first in inner voices, then in the bass.

mm. 64-67 Theme D: New, starting in the dominant seventh of A, modulates, passing through the tonic 65, and ends in its dominant of E, which leads again to the tonic in the next section.

mm 68-79 Coda. A dream-like, reminiscent section, in the home key, E major. Again, augmented chords are featured, this time including a tonic augmented chord.

SUMMARY

- The thematic form of SONNET NO. 104 is: Introduction-A-A'-A-A'-A-B-C-D-Coda.
- The tonality progression is: Chromatic to E major; a deflection to C-sharp minor, 6; E major (tonic), D major (alt. vii), back to E, G-sharp minor (iii), 16+, back to E, 21. Second verse duplicates progression of first verse, 7-21, extending the area of G-sharp minor, 31+. Third verse duplicates opening portion of progression of the first verse, 38-45, then adventures to C-sharp major (alt. VI), 46+, and E minor (alt. I), 50+, ending in G-natural major (alt. iii); chromaticism within E minor (tonic minor), 58+, including N (F-major), E major-C augmented, E major close (tonic).
- Regarding style, the violent, passionate tone of the sonnet is mirrored in the passion and contrasts of the music (tonal, dynamic, and virtuoso aspects especially). Also, the ending of the sonnet is directly mirrored in the deeply contemplative, brooding coda. It is notable that the cadenzas at 6, 35, 44, and 63 are free bars.
- The overview idea is similar to Schubert's: a blend of (1) strophic and/or (2) through-composed elements. It closely follows the text regarding mood set or vocal part and characteristics of accompaniment.
- Theme with constantly roving bass (modulations).

- Accompaniment in the introduction sets mood (and opposites of mood), like Schubert's *lieder*.
- Because of the emotional, psychological pressure of the text, the form continually breaks away (see thematic progression, above).
- Again, each phrase incorporates an expressive appoggiatura in its pivotal places.

SONETTO 123

I saw on earth angelic manners show;
 Heavenly beauties, in the world, alone,
 So that recalling them is joy and woe,
 For it seems shadow, smoke or dream that shone.

And I saw those lights with tears abound,
 That thousand times were envied by the sun;
 And I heard between sighs some words resound
 That make hills move and rivers stop to run.

Love, wisdom, valour, pity and distress
 Made in weeping a sweeter symphony
 Than any to be heard here in this world;

The sky was so entranced by the harmony,
 That no leaf on the branch was being curled:
 The air and wind were filled with such sweetness.¹⁰⁸

While the composition here is openly bithematic (the second motive being related to the unifying cell), there is an elegiac pervasiveness which is absent in the two other sonnets. There is no more Laura, and the only thing left to the poet are his paradisiacal remembrances: infinitely sweet for the past, and full of abandon for the present. Liszt expresses here the fusion of human tenderness and heavenly contemplation which were part of his soul. Once more the colorful rainbow-like harmony of the conclusion opens the door to Debussy.¹⁰⁹

¹⁰⁸ Petrarch (Francesco Petrarca), *Sonnets and Songs*, trans. by Anna Maria Armi, (New York: Pantheon, 1946. Reprinted New York: AMS Press, 1978), p. 249, given as number CLVI, due to different numbering system.

¹⁰⁹ Eigeldinger, *Les Années etc.*, p. 164.

ANALYSIS

mm. 1-14 *Lento placido*. Introduction in three parts, 1-4, 5-9, and 10-14. The first two parts truly evoke the subtle, veiled tone of the sonnet. The second part, 5-9, foreshadows the Wagnerian style, because of its chromaticism.

mm. 15-29 *Sempre lento*. Theme A: two strains, 15-24, and 25-29. Starting on the tonic (A-flat major), modulates to the dominant (E-flat), and ends in G-flat major (altered vii).

mm. 30-39 Theme B, 35-38, is highly Wagnerian: increasingly tonally unstable, due to blossoming chromaticism, and ending in E major, another altered plateau (VI).

mm. 39-40 Connecting passage.

mm. 41-48 Triple pianissimo, highly contemplative *Più lento*, with high tessitura in C major (altered iii). In fact, throughout the work, each return to the first theme carries its own tempo directions. Theme A, shorter than the first occurrence of A. The second strain, 45-48, is new.

mm. 49-60 Theme C. *Agitato, crescendo, accelerando, più appassionato, stringendo molto* in a single passionate sweep, with a *fortissimo* climax ending in a cadenza, altogether in a drastic contrast of mood to the preceding calm, 41-48. Also, in contrast to the earlier climactic passage, 35-39, since this time, the climax is entirely on the dominant pedal point.

mm. 61-67 Theme A. Improvisatory, soon resolves to a protracted cadenza at 65.

mm. 62-84 Coda in three parts: introduction, 68-75, similar to beginning, 1-7; second part, 75-80, and third part, 81-84, re-establishing the mood of not only theme A, but also of the introduction.

Section 61-67 can either be seen as a return of the first theme A, or, because of its rapid transformation into a cadenza, as the start of the coda.

SUMMARY

- The thematic form is: introduction–A–B–A–C–A–Coda, or introduction–A–B–A–C–Coda, if the start of the coda is at 61. Here, the sustaining of the mood seems uppermost in importance.
- The tonal progression is: Home key, A-flat major, 15-24, to E-flat major ending in G-flat major (altered VII), 28-29, to E-natural major (altered V or altered vi), 39. This is also the F-flat enharmonic. Tonality continues to C-natural major, 41+, and C minor, 45. These are both altered iii of the home key. Then the tonic, A-flat major, 49+.
- Again, a Schubertian style introduction sets the mood and tone of the poem (its postlude especially).
- Again, pivotal *appoggiaturas* appear in the main theme, 18, 19, 23, each growing in expressivity (i.e., *appoggiatura* as absorbed into the ordinary notation). Other forms of *appoggiaturas* are also evident, viz., *cambiata*, 17, *échappée*, 27-28.
- In particular, the postlude seems to ruminate on the mood and events of the sonnet (and perhaps the other two sonnets as well). Indeed, the last measures of the postlude seem to sum up all three sonnets. Also, here *appoggiaturas* achieve an infinite quality of expressivity. Later, Mahler will set an *appoggiatura* to the word *ewig* (“forever”) at the end of his *Das Lied von der Erde*. The feeling of infinity is already present in this postlude.
- Again, a canny blend of strophic and through-composition is evident.

GENERAL STYLE CONCEPTS FOR ALL THREE SONNETS

- Use of tonalities of altered II, III, V, VI, and VII.
- Use of consecutive diminished chords.
- Strong juxtaposition, relation, and alternation of altered tonalities.

- Use of augmented triads.
- Use of free chromaticism. Frequent derailment from this to diatonics and vice-versa.
- Frequent shifts from strophic composition to free improvisation and/or cadenzas anywhere.
- Sudden and crafty technical changes from simplicity to extreme virtuosity, especially including hand crossings, double trills, octaves, etc.
- A canny blend of the lyric, with outbursts of high drama and assertiveness.
- Constant element of surprise.
- Each sonnet takes a different attitude regarding the balance between strophic and through-composition:
 - 47—most strophic tendencies.
 - 104—least tendency.
 - 123—A canny blend involving a rondo over-form.
- Strong Romantic emphasis on melody, passion (that is, intensity in all the dynamic ranges and settings), atmosphere, as well as mood (tone-painting in these cases).
- Music as autobiography (personal self-expression).

CHAPTER 5

EPILOGUE

In the prologue, I indicated that one goal of this study would be a comparison to find similarities and/or differences between the compositional characteristics and styles of the three composers, as evidenced or suggested by their respective works addressed in this thesis.

The following similarities have been found in the works of the three composers: high expressivity, masterful crafting, high imagination, exploitation of the keyboard, marked virtuosity, high individuality. The three also show adoption and innovations of historical ideas.

Each work has its own complications of form:

- The Bach *Toccata* is an open form, a single large fugue with innovations within a toccata.
- The Beethoven *Andante* is an abnormal rondo with an ambivalent form regarding the start of the coda, and other departures such as uneven sections of the dominant C passages and several excursions of the *horn call* to distant tonalities. It is also a blending of a traditional rondo form and a variation form, with innovations.
- The Liszt sonnets can have unusual form structures (e.g., *Sonnet 104*): Introduction-A-A'-A-A'-A-B-C-D-Coda). Stylistically, they show strophic and through-composed techniques, derived from art song and aria, illuminating an ancient historic poetic form: the sonnet.

With regard to tonality, there are differences (in these works) as follows: Bach stays closer to the home key; Beethoven has some interesting juxtapositions and modulations; and Liszt has many chromaticisms and modulations to distant keys. One must realize that these differences are, to a great extent, functions of and influences from: (1) respective

contemporary habits in the art of compositional style, and (2) instrumental limitations, such as capabilities of the harpsichord versus those of the succeeding fortepianos and various makes and models of constantly improving pianos. Other factors that probably influenced the composers were the audience for which they were writing and the type of patronage that supported them. For instance: Bach wrote mostly for and was supported by the church; Beethoven was quite independent, wrote whatever he wanted, and was supported by some highly placed and friendly nobility, while he also became self-supporting; Liszt was virtually completely independent and self-supporting, and was influenced to a great extent by the closeness and adulation of many lady friends, especially two: Marie Countess d'Agoult and Princess Carolyne Sayn-Wittgenstein.

In spite of these differences, all three composers were extremely innovative and operated at the cutting edge of the state of the art, which they vigorously helped advance. Some examples would include Bach's very important innovations in keyboard playing, such as the use of the thumbs, or his contribution towards the adoption of *equal temperament tuning* by composing the *Well-Tempered Clavier*, although "it is uncertain whether Bach had equal temperament in mind when writing"¹¹⁰ this work. Anyway, this concept allowed Bach, and all other composers, to pursue distant tonalities, which Bach did in some of his works, for instance in his *Chromatic Fantasy and Fugue*.

Through all of this activity, the three composers maintained their individuality.

Individual style differences are as follows:

For Bach, it is a Baroque, fugal style, keyboard oriented (harpsichord and organ).

For Beethoven, it is a style straddling Classicism and Romanticism, oriented to the piano, sonata and symphony. Regarding whether Beethoven was a Classical or Romantic composer, this is an arguable question that has not yet been settled to this day as far as I know. That is why I used the term "straddling," above. In this connection, I am excerpting an interesting section from Grout and Paliska:

¹¹⁰ Stanley Sadie, ed., *The Norton/Grove Concise Encyclopedia of Music* (New York: W. W. Norton & Company, 1988), s.v. *Temperament*.

BEETHOVEN AND THE ROMANTICS. Only a few of his contemporaries understood Beethoven's late works, which in any event were so personal that they could hardly be imitated. His influence on later composers came mostly from the works of the middle period, especially the *Rasumovsky Quartets*, the Fifth, Sixth, and Seventh Symphonies, and the piano sonatas.

Even in these works it was not the Classic element in Beethoven's style—not the overruling sense of form, unity, and proportion that always dominated even his most subjective creations, nor yet the painstaking craftsmanship to which the sketchbooks bear such constant witness—but rather the revolutionary element, the free, impulsive, mysterious, daemonic spirit, the underlying conception of *music as a mode of self-expression*, that chiefly fascinated the Romantic generation. As E. T. A. Hoffman wrote, "Beethoven's music sets in motion the lever of fear, of awe, of horror, of suffering, and awakens just that infinite longing which is the essence of romanticism. He is accordingly a completely romantic composer...." Hoffman was not unaware nor unappreciative of the importance of structure and control in Beethoven's music, nor in that of Haydn and Mozart, whom he also called "romantic." (One gets the impression that he used the word mainly as a general term of approbation.) Romantic or not, Beethoven was one of the great disruptive forces in the history of music. After him, nothing could ever be the same again; he had opened the gateway to a new world.¹¹¹

According to Grout and Paliska, the quote attributed to E. T. A. Hoffman is "from an essay on 'Beethoven's Instrumental Music,' 1813; in SR, p. 777 (SRRo, p. 37)." ¹¹²

An earlier edition of Grout gives a more succinct and accurate view regarding the Classic versus the Romantic epithets often used and argued about in connection with Beethoven:

Historically, Beethoven's work is built on the achievements of the Classical period. Through external circumstances and the force of his own genius he transformed this heritage and became the source of much that was characteristic of the Romantic period. But he himself is neither Classic or Romantic; he is Beethoven, and his figure towers like a colossus astride two centuries.¹¹³

¹¹¹ Donald Grout and Claude Paliska. *A History of Western Music*, 4th ed., (New York: W. W. Norton & Company, 1988), pp. 652-3.

¹¹² Ibid., p. 652.

¹¹³ Donald Grout. *A History of Western Music*, rev. ed., (New York: W. W. Norton & Company, 1973), p. 513.

For Liszt, it is a style oriented to piano and voice. As a matter of fact, all three sonnets were first conceived as *lieder* (songs) for voice before Liszt re-composed them for piano. The style is highly romantic, innovative, daring, and in certain pronounced cases foreshadowing Wagner's style.

Improvisation is "the creation of music in the course of performance."¹¹⁴ As such, it is technically distinguished from *composing*. It is possible that each of the three composers was influenced by improvisation, since all three were very powerful improvisers. However, this possibility is impossible to confirm. Nevertheless, improvisation is a *means*, while composition is a *result*. There is no question in my mind that the talent of improvisation, and therefore improvisational techniques, were used, at least instinctively, and were very helpful, playing a major part in the compositional process. How else would one explain the intricate ornamentations, variety of combinations and permutations between subject, countersubjects, and episodes in Bach's *Toccat**a*; or the numerous variations of the *Arias*, and accompaniments, daring modulations, variety of dynamics, the *Octave* passage with its powerful *circle of fifths* cadential sequence, which heralds what I consider to be the *Coda* in Beethoven's *Andante*; or Liszt's Romantic gestures, extreme dynamic contrasts and adventurous harmonic modulations interspersed with chromaticism, most of them innovations built on top of what Liszt had learned from Bach and Beethoven? After all, both Liszt and Beethoven had studied Bach, and used their thusly acquired knowledge extensively. And then, of course, Liszt had studied Beethoven also.

In the last paragraph I mentioned the word *variations*. It is a fact that along with improvisation, all three composers utilized the concept of *variations*. Certainly, cannot one project for all three a concept of perpetual variation long before that ascribed to Brahms?

Another thought, which complements the above comments, is the fact that improvisation is a mental process. It can be applied with or without an instrument, at the piano, or in pure composition (i.e., without the use of an instrument). Either application can use it.

¹¹⁴ Bruno Nettl, "Improvisation," *The New Harvard Dictionary of Music*, ed. Don Michael Randel, (Cambridge, Ma.: The Belknap Press of Harvard University Press, 1986) pp. 392-4.

Therefore, I feel that improvisational techniques can and are being used by composers extensively.

Regarding *program association*, the *Toccata* and the *Andante Favori* are not *program music*, while the three *Sonnets* are.

All three composers have demonstrated in their pieces great humanity, passion, and fullness of expression.

Finally, we can say that although there were correspondences and similarities between these representative compositions, each composition is unique in itself and inimitable. With the great geniuses and their true masterworks, each solution is unique (part of the definition of a masterpiece). In each case they strive for mastery of expression and form, as well. Even the Romantics took the greatest pains to achieve architectural mastery, *architecture* meaning *form* (Jacques Barzun has written some interesting and corroborative comments on this subject).¹¹⁵ Each of these compositions bears the impress of both: (1) historical knowledge and (2) boldness, towards a fresh solution. Each case shows that fresh challenges lead to innovative style and form, a unique mastery, never to be repeated. In the most profound sense, uniqueness is the hallmark of great genius, and it is in clear evidence in each of the five masterworks discussed.

In conclusion, in this thesis I have attempted to study specific works I performed, from three music periods: Baroque, Classic, and Romantic. These periods were the most important to pianism, as they spanned the entire great era of piano emergence from the days of the harpsichord through its gradual development to maturity. The three composers I chose were the great J. S. Bach, Beethoven and Liszt, the third also being one of the last great piano virtuosos. All three sought in each masterwork to define something most extraordinary and unique.

¹¹⁵ Jacques Barzun: *Classic, Romantic, and Modern*, rev. ed. (Boston: Little, Brown and Company, 1961) pp. 63-64.

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Appendix

SAN JOSE STATE UNIVERSITY SCHOOL OF MUSIC

MASTER PIANO RECITAL

BY

ISIDORE GLUCKMAN

SUNDAY - APRIL 30, 1995

3 P.M.

MUSIC BUILDING - CONCERT HALL

PROGRAM

Toccata in C Minor, BWV 911

**J. S. Bach
(1685 - 1750)**

Andante in F (Andante Favori), WoO 57

**L. van Beethoven
(1770 - 1827)**

Intermission

Sonetto del Petrarca No. 47

Sonetto del Petrarca No. 104

Sonetto del Petrarca No. 123

from

Années de Pèlerinage - 2nd year - Italy

**F. Liszt
(1811 - 1886)**

***YOU ARE INVITED TO A
RECEPTION IN THE UNIVERSITY ROOM
FOLLOWING RECITAL***

PROGRAM NOTES

BACH: TOCCATA IN C MINOR, BWV 911

This is one of seven toccatas for harpsichord composed by Bach in the early 1700's. The name *Toccata*, comes from the Italian *toccare*, which means "to touch." The *New Grove Dictionary* defines it as "A piece intended primarily as a display of manual dexterity, often free in form and almost always for a solo keyboard instrument."¹

The C minor was probably composed in Cöthen, Germany, about 1720. The exact year is uncertain; it could have been much earlier. The piece starts with a very assertive Introduction and a rather lyrical short *Adagio*, which then introduces the *Allegro*, the main part of the *Toccata* and one of Bach's longest fugues. The fugue is in two parts with one *Subject*, and four *Countersubjects*. The one *Subject*, a theme which interweaves with the various *Countersubjects* almost constantly throughout the work, is as follows:

The piece ends with an *Adagio*, which is a cadenza-like coda. It is obvious that Bach transcended the idea of a "piece intended primarily as a display of manual dexterity, etc.," as per the dictionary quotation above, by writing a composition full of expression and meaning.

BEETHOVEN: ANDANTE IN F (ANDANTE FAVORI), WoO 57

The *Andante FAVORI*, was composed as the slow movement of the *Opus 53 Pianoforte Sonata (Waldstein)*, but was later removed from the Sonata by Beethoven, and published as an integral work, WoO 57. The reason for this change is often given erroneously as having been too long, based on comments by Beethoven's friends. According to Tovey, one of the foremost Beethoven scholars, the composer "soon came to realize that, whether long or short, this andante was quite out of touch with the harmonic style of the rest." This and other aesthetic considerations were the reasons for its removal and separate publication, and "not ... its length nor even ... the danger of putting two full-size rondos in juxtaposition [the last movement of the *Waldstein* also being a Rondo]."²

As indicated, the *Andante FAVORI* is a Rondo, however quite liberated from the Classical form especially by its large Coda. Beethoven provided crucial innovation, even

¹ John Caldwell, "Toccata," *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie (London: Macmillan Publishers, 1980, Reprinted with minor corrections 1985), pp. 17-20.

² Donald Francis Tovey, *A Companion to Beethoven's Pianoforte Sonatas*. (London: The Associated Board of the Royal Schools of Music), 1931, p.150.

ambivalence. A Variation system is part of the design, inasmuch as every time the theme returns, it is varied.

LISZT; THREE SONNETOS del PETRARCA (Nos. 47, 104, and 123)

These pieces are from the *Années de Pèlerinage - 2nd year - Italy* collection, depicting work Liszt composed, during his sojourn in Italy between 1837-1839, with his lover, Marie, Countess of Agoult. He concentrated on learning about works of literature and art, and using some of these as inspiration for composing.

"Petrarch or Francesco Petrarca (1304 - 1374), Italian poet and humanist, one of the great figures of Italian literature.... perfected the *sonnet* form and is considered by many to be the first modern poet."³ He created immortal *sonnets*, these being fourteen line poems in *Iambic Pentameter* (rhyme scheme: abba-abba-cde-cde). Each of Liszt's pieces takes its style, mood, and form from the specific subjects of the poems which usually center around Petrarch's love for Laure, who was his main inspiration, this relationship paralleling to some extent Liszt's relation with Marie.

Initially written by Liszt as songs, they blend attributes of strophic and through-composed *lieder* styles. Some of the special compositional characteristics are: chromaticism with frequent derailments from this to diatonics and vice-versa; augmented and diminished chords; frequent shifts from strophic composition to free improvisation and or cadenzas anywhere; and a constant element of surprise. In many respects Wagner's style, developed later, is similar to the style of Liszt in these pieces.

³ Barbara A. Chernow and George A. Vallasy, eds., *The Columbia Encyclopedia*, Fifth Edition. (New York: Columbia University Press, 1993) s.v. Petrarch