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Beethoven's Sketches for the Piano Sonata Opus 106, *Hammerklavier*: The Sketching of a Performance

A dissertation submitted in partial satisfaction

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by

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ABSTRACT OF THE DISSERTATION

Beethoven's Sketches for the Piano Sonata Opus 106, *Hammerklavier*:

The Sketching of a Performance

by

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Professor Neal Stulberg, Chair

Chronological and biographical information as well as insight into Beethoven's compositional processes have long justified the difficult and laborious study of Beethoven's sketches; but to date such study has not included any bearing this knowledge might have on performance choices. Although the limited sketch sources for Beethoven's Piano Sonata Opus 106, the *Hammerklavier*, suggest that the number of missing sketches for Opus 106 is much greater than the number of sketches we actually have, closer study of them reveals the *Hammerklavier* to be the self-referential record of Beethoven's difficulties with its composition. This requires the performer of Opus 106 to make the same difficult decisions during his/her live performance that Beethoven made during the fifteen months of its composition, as documented on the pages of his sketches. It is from the sketches that we learn just what kind of performative act a performance of the *Hammerklavier* is meant to be.

The dissertation of Lana Chae is approved.

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ABBREVIATIONS

BH	Beethoven-Haus, Bonn
DSB	Deutsche Staatsbibliothek, Berlin
Fol.	Folio (singular)
Fols.	Folios (plural)
GdM	Gesellschaft der Musikfreunde (Vienna)
HCB	H.C. Bodmer
JAMS	Journal of the American Musicological Association
JTW	Douglas Johnson, Alan Tyson, and Robert Winter. *The Beethoven Sketchbooks: History, Reconstruction, Inventory*. Berkeley: University of California Press, 1985.
SPK	Staatsbibliothek Preussicher Kulturbesitz, Berlin
SV	Schmidt's *Verzeichnis der Skizzen Beethovens*
ZB	Gustav Nottebohm's *Zweite Beethoveniana*

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I. INTRODUCTION

> I will seize Fate by the throat; it shall certainly not bend and crush me completely…[letter written from Beethoven to Franz Wegeler, November 1801, Vienna][1]

The catalyst for this discussion of Beethoven's Opus 106 was a disagreement with Susan McClary's position in her 1987 article regarding the first movement of the 9th Symphony: not so much with the content of her hermeneutic reading but with its suggestion of a third-person point of view. For me, the beginning of the recapitulation in the 9th symphony's first movement is experienced subjectively, in which case it cannot be the experience of a greater power crushing a victim. From the emotional point of view of those who use power to perpetrate violence against the weaker, their stories are more frequently complete, smooth denials of their own violence and of its effects on their victims: not a celebration of it. In other words, violence typically sounds violent to the victim, but not to the perpetrator. Accordingly, the subjectivity of that moment in the Symphony's first movement suits not violence by the stronger party against the weaker, but the opposition or assertion of will by the weaker party against the violence of the stronger. This is my fundamental objection to the many hermeneutical readings of Beethoven's works that read them as depictions of *violence*: a word that clearly suggests a moral judgment more often applied when a greater power defeats a weaker, not when a weaker power defeats a greater (like David and Goliath, for example). "Underdog," "desperate", or "defiant" would be the words one might more readily apply in the latter case, rather than *violent*. Moreover, in my experience, personal opposition to the greatest powers always feels combative, especially when self-preservation is at stake: hence the common phrase, "fight to survive." Of course, it is possible to refuse to surrender to a greater power in a peaceful, non-combative stance; but a fight for one's life—even against abstractions such

[1]Emily Anderson, *The Letters of Beethoven* (New York: Macmillan & Co Ltd.: 1961), 67.

as death, prejudice, censorship, or fate—more frequently feels like exactly that: a fight. In my view, the 9th Symphony is situated not in the third-person, but in the first-person, eventually plural: *WE*.

A narrative, like that of a novel or movie, is based upon the conceit that the teller is speaking of a time past. An example par excellence is Charlotte Brönte's *Jane Eyre*, in which the line between what the narrator is saying at the moment to us and what she is telling us of the past is emphasized for dramatic effect. One of the necessary devices of this conceit is that time is telescoped to make the story; otherwise, a novel chronicling thirty years of a person's life would take thirty years to read. Movies depict events that feel very present-time to us when we view them; but we understand that when the movie cuts to a scene the following day, the narrative requires a suspension of disbelief to follow the story. An interesting example is *My Dinner with Andre,* a movie that is remarkable precisely because it does not require this distinction: the "narrative" simply consists of our watching (from the third-person point of view) the entire dinner, which lasts for two hours in real time: exactly as long as the movie does.

But a first-person narrative requires an additional conceit, because the person telling us the story is also the subject of the narrative, the agent in the events related to us. Not only do first-person narratives collapse time, but (like *Jane Eyre*) they also suggest an element of "real time" as well: like *My Dinner with Andre,* they are re-enactments that blur the distinction between past and present. A good first-person narrative makes you feel that the events related to you are happening AS (at the same time) they are related to you: <u>live</u>. The story is both "once upon a time", and also as "real" as the person telling you the story. The performer/narrator suggests that even when relating stories about others, he is at some level speaking for himself through the narrative, which is by that virtue a series of real first-person statements. In the performance of Western art music, for example, a soloist is understood to express his <u>own</u> emotions in his performance of a work written by someone else.

Of course the argument against the importance of such a distinction is that, as we know, most narratives, whether third-person or first-person, are effective insofar as they succeed in making us, the audience, identify with the protagonist; that on some level, in our psyches we correlate the events of all narratives with events from our own past. By means of this self-identification we are able to experience catharsis through art. Another wonderful thing about narratives is that their conventions also enable us to safely distance ourselves from the story: to watch ourselves in the past. But I argue that much of Beethoven's music is so exciting precisely because, rather than allowing the distancing of narrative, it enables this self-identification to an unusually heightened degree; because they are first-person narratives which enable us to feel that, not just the performers, but we *the audience* are ourselves hearing—or better yet, actually living—our own stories through the music, in "real" time. Thus it is the "we" of the 9th Symphony that makes it feel so real to us:

> For Tovey, such music cannot map onto the concrete events of a staged drama (whether real or imaginary); its dramatic power is too overwhelming, too concentrated. Yet this apparent underdetermination may in fact compel the music to attract and map onto something commensurable in the listener… Freed of the consideration of some specific dramatic process, the listener may confront the music, and be confronted by the music, more directly. This results in a sense of identification as well as a feeling of universality. For if this music engages us so distinctly and directly, and yet is so referentially disembodied, so bereft of explicit attachment, are we not made to feel that our individuality is enlisted in some collective universal? Thus the music is ultimately about us, but not in the banal sense of a portrayal: rather, it is about our susceptibility to, and understanding of, processes that model the merger of individual and universal.[2]

This has implications for the performance of Beethoven's works that for inexplicable reasons never seem to enter the discourse around his music.

Debate as to whether Western tonal music without words can actually tell stories or make statements is beyond the scope of the present discussion, which is premised on the position that it can.

> It was this concentrated… process of change and development [in 18th century music] that became… the ideal… embodied in purely instrumental music from about 1750

[2]Scott Burnham, *Beethoven Hero* (Princeton: Princeton University Press, 1995), 31.

> onward, and made possible the presentation of an abstract drama of developing relationships without reference to any verbal text.[3]

Susan McClary has frequently demonstrated how expectations created by our tonal system and the structure of musical forms can create emotional investment in the trajectory of a musical work.[4] Often when we hear music, "… a string of musical items… [is] read as executions of gestures codified by musical convention."[5] Our familiarity with these musical gestures makes the dramatic trajectory of the music intelligible to us.

> … the Western concert and opera tradition [has] constructed a vocabulary of musical gestures… made to represent… not relationships themselves but the bodily and vocal gestures that articulate a relationship and its associated emotional state and to combine those gestures in ways that constitute a narrative.[6]

My own feeling is that one of the reasons for the frequent habit, especially at our most informal and colloquial, of talking about music as if it did tell stories is that it does; and that this is one of the things we like most about music. For example, this is the reason for the efficacy of film scores. For another example, we often understand some music of the Western art music canon, such as the music of Haydn, to be indebted to rhetoric, i.e., suggestive of first-person statements such as those made by a Greek orator. Conversely, it is easy to hear much of Mozart's music as tableaux in a third-person narrative, like scenes in an opera. But one of the things that make Beethoven's music so startling in the evolution of Western art music in the nineteenth century is that his music makes first-person statements that not only were personal in the autobiographical sense (i.e., for the composer, which may or may not be of import to the performer), but must be delivered by the performer in the first-person, live: in real time. In other words, I believe that some of Beethoven's music can be *intelligibly* performed only as a first-person address to the audience: not just in the

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[3]Christopher Small, *Musicking: the Meanings of Performing and Listening* (Middletown: Wesleyan University Press, 1998), 157.
[4]Susan McClary, "The Impromptu that Trod on a Loaf: or How Music Tells Stories," *Narrative* 5, no. 1 (Jan. 1997): 20-35.
[5]Carolyn Abbate, "What the Sorcerer Said," *19th-Century Music* 12, no. 3 (Spring 1989): 225.
[6]Small, *Musicking,* 169.

generalized sense that all performances are directed towards the audience, but in a sense of explicit framing.

To draw a parallel, this phenomenon is called "breaking the fourth wall" in live drama. For example, Shakespeare's plays contain tableaux in which characters we observe address their speeches to and interact with each other; and also long soliloquies by characters who are presumably talking to themselves, even though we understand them to be for our, the audience's, benefit. However, Shakespeare's characters *also* explicitly address the audience, as Puck does at the conclusion of *A Midsummer Night's Dream:*

> If we shadows have offended,
> Think but this, and all is mended,
> That you have but slumb'red hee
> While these visions did appear
> And this weak and idle theme,
> No more yielding but a dream,
> Gentles, do not reprehend.
> If you pardon, we will mend.
> And, as I am an honest Puck,
> If we have unearned luck
> Now to scape the serpent's tongue,
> We will make amends ere long;
> Else the Puck a liar call.
> So, good night unto you all.
> Give me your hands, if we be friends,
> And Robin shall store amends.

A musical parallel of the third-person narrative, on the other hand, might be Liszt's B–minor Sonata, which has been the subject of much exegesis by scholars and musicians. Popularly the sonata has lent itself to two levels of meaning: first, that certain themes are associated with—or indeed, represent—literary characters (or characters from Liszt's own life); and second, that the music creates a narrative or series of dramatic events that has already happened *in the past*, to be followed by the listener. Either reading seems to suggest that musical events interact with each other, not *directly* with the audience, which remains in the role of observer. By contrast, I believe that some of Beethoven's music comprises not a narrative, but a series of live events that happen as the audience

is watching; and that some of the musical statements are not abstractly addressed towards the audience, but directly and specifically, the same way a one-woman show directly addresses the audience. The self-identification necessary to the audience for catharsis will happen insofar as the audience identifies with the speaker/performer who addresses them with his/her "I" statements.

I spent about nine months learning Op. 106 before I could perform it in front of others: six months less than it took Beethoven to compose it. At first blush that seems logical; it ought to be harder to compose a masterpiece than to learn it, ought it not? However, for the canon of classical piano repertoire, this proportion is exceptional, much the inverse of the usual proportion of time we spend learning it, in comparison to the amount of time the composer spent writing it. The other extreme would be, of course, Mozart, who wrote in a single day piano sonatas (admittedly less formidable in terms of length and complexity than Op. 106) that we pianists spend months perfecting. Even a ratio of 2:1, for example as might be the case for Chopin's B-flat minor Sonata, another landmark of difficulty in the piano canonic repertoire which might take a pianist at least six months to learn, is unusual: one summer indicates a large investment of Chopin's time in its composition.[7] Pianists usually do not value repertoire according to such a measurement (e.g., the much beloved position that Mozart occupies in canonic repertoire); perhaps we think that does not, or should not, concern us or affect the performance choices we make.

It was originally my goal to posit the compositional processes of Beethoven as support for my argument that Opus 106 is a series of live, real-time, first-person statements made by the performer (as well as by Beethoven). However, I was concerned that this would be made more difficult by the fact that, as is made obvious by the sketches of Op. 106 (as well as those of his other works), these musical statements of Beethoven are obviously not made *ex tempore* but only emerge after a long, arduous compositional process in which the end product is very different from the

[7]Bernard Gavoty, *Chopin*, trans. Martin Sokolinsky (New York: Charles Scribner's Sons, 1974), 275.

original idea. I also felt that Op. 106 also contains elements of the third-person narrative, too: a drama unfolding in front of us. But Beethoven was able to conceive of those *literally* theatrical moments or third-person "scenes" in Opus 106 in their entirety, from their inception, because they are third-person statements. The material that he agonized over again and again before it reached its final form were so difficult for him to formulate precisely because they are first-person statements that he made, during some fifteen of the most painful months of his entire life; and they must be performed accordingly.

II. BEETHOVEN'S SKETCHES: AN ORIENTATION

> … a rather simple question arises: how shall we interpret events in the sketches which differ in some potentially instructive way from their counterparts in the work?[8]

> … I think it is clear that [the] argument about the futility of sketch studies for analysis, serious analytic criticism, insight, enjoyment, communication—whichever term the particular writer fancies—is a special case of a broader, more fundamental proposition about the futility of musicology in general. We have all had to confront the view that 'facts *about* music' are irrelevant to 'the music *itself*,' by which is meant (however vaguely) the music's aesthetic content. And once we have identified the sketch argument as simply a version of the broader one, it should be easier for us as musicologists to deal with it. Easier, at least, for some of us. No doubt at one extreme of the profession there are those who in their heart of hearts really accept this proposition, and who therefore make no explicit effort to link "facts about music" with aesthetic experience or insight. These scholars tend to avoid close consideration of individual works of art, preferring to study aspects of music history or occasionally music's role in social, intellectual, and cultural history. At the other extreme are scholars who tend to use history, culture, sociology, etc., as a way to help us in what we call (or ought to call) criticism. This is an activity that includes, but is not restricted to, analysis or the consideration of music's structure. It is musicologists of the latter school who find much of value in composers' sketches.[9]

The powerful mystique surrounding the forensic remains we have of Beethoven's compositional process is obviously due in part to the privileged place that Beethoven occupies in the canon of European art music. What is most intriguing, however, about the sketches Beethoven made in the composition of all his works is their importance to him: such that he continued to preserve all the sketches he had made from previous years, carrying the entire collection with him every time he moved from one dwelling to another during the thirty-five years of his life in Vienna.[10]

> … the sketchbooks contained a great deal of material that was not absorbed into the finished works… in this respect, Beethoven's devotion to his sketches takes on a further meaning.[11]

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[8]Douglas Johnson, "Beethoven Scholars and Beethoven's Sketches," *19th-Century Music* 2, no. 1 (July 1978): 13.
[9]Joseph Kerman, "Sketch Studies," *19th-Century Music* 6, no. 2 (Autumn 1982): 178.
[10]Douglas Johnson, Alan Tyson, and Robert Winter, *The Beethoven Sketchbooks: History, Reconstruction, Inventory* (Berkeley: University of California, 1985), 3.
[11]Ibid.

Why indeed would Beethoven insist on keeping every record of his compositional activity, especially the unused material? Pragmatically, this practice kept open the possibility of recycling material into new compositions; but clearly this was not the sole or even chief motivation for keeping his sketches close to him, for longer than he managed to do with any human being.

> Throughout his life he preserved the sketches with an almost parental protectiveness, moving them from one dwelling to the next like a growing family.[12]

From the age of twenty, he was already in the habit of working out his compositions on paper, next to the piano; and as he grew older, the sketching process became increasingly essential to his creative activity.[13] Several eyewitness accounts by visitors attest to sketching in progress, next to the piano;[14] in contrast with the chaos of his quarters and disorder of his personal appearance, Beethoven followed a daily routine structured around his compositional activity:

> He arose at daybreak, breakfasted, and went directly to his desk, where he normally worked… until midday. His dinner concluded, he generally took a long walk… which could occupy much of the afternoon… He retired early, usually… but would sometimes continue to write for many more hours… he sketched musical ideas constantly, whether at home, on the street, in a tavern, lying on his side in a meadow, or perched in the crook of a branched tree.[15]

But Beethoven's sketches were not merely the traces left by his creative activity; they were the locus of his creative life:

> The chaotic picture presented by the sketches was ready evidence of the difficulties Beethoven had overcome in bringing his inspiration under control. It is interesting… that in the one extended description he provided of his working method he chose to emphasize the role of sketching as a **stimulus to his inspiration rather than as a means of controlling it** [emphasis added].[16]

An additional, lesser reason for the mystique surrounding the sketchleaves is their nearly impenetrable illegibility, such that any understanding of them was long considered as unattainable as it was desirable. For nearly a hundred years after Beethoven's death, the only accurate organization

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[12]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 13.
[13]Ibid., 3.
[14]Ibid., 36.
[15]Maynard Solomon, *Beethoven* (New York: Schirmer Books, 1998), 107.
[16]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 4.

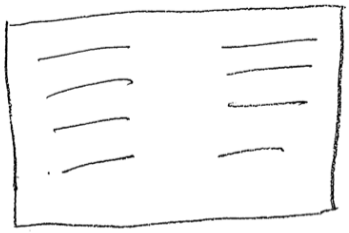
and cataloguing of Beethoven's sketchleaves was accomplished by the scholar Gustav Nottebohm.[17] In 1968, Hans Schmidt catalogued many of them in his "Verzeichnis der Skizzen Beethovens" according to his own numbering system, by which numbers they are sometimes still known: SV for **S***chmidt* **V***erzeichnis* (Schmidt Catalogue) numbers. But the 1985 publication of *The Beethoven Sketchbooks: History, Reconstruction, Inventory* by Douglas Johnson, Alan Tyson, and Robert Winter provided for the first time a comprehensive and reliable study of nearly all extant Beethoven sketchbooks, and has formed the basis on which all further study of them has been made. (For the sake of convenience I have throughout this discussion substituted *JTW* as an abbreviation for *The Beethoven Sketchbooks: History, Reconstruction, Inventory*.)

A study of the extant sketches for Op. 106 requires a brief description of two different formats: what are called standard-format sketch books or leaves; and pocket sketchbooks, which are half the size of the former. Standard-format sketchbooks are comprised of *gatherings,* usually formed by folding a large oblong sheet of paper, approximately 17" in height and 25" in width, first horizontally (parallel to the long sides), so that the fold is at the top and all four corners of the original sheet on bottom; and then vertically (parallel to the short sides), keeping the first fold on the top, and placing the four resulting paper edges on the right hand side and bottom.[18] Cutting the entirety of the topmost (first) fold of the sheet thus folded into quarters yields two pieces of very oblong (roughly 8 ½ inches high and 25" long) paper, each called a *bifolium*, folded vertically down their middle, one nested inside the other, i.e., "zwei ineinanderliegende Bogen."[19] Opening this gathering of two bifolia like a book (i.e., unfolding the second fold) gives a view of the inner bifolium, comprised of two leaves: one on the left side of the vertical fold, and another on the right

[17]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 8.
[18]Ibid., 46-47.
[19]Robert Winter, *The Compositional Origins of Op. 131* (Ann Arbor: UMI Research Press, 1982), 8.

side. Thus each original large sheet is cut into two separate pieces or *bifolia*, and each *bifolium* is vertically folded into two *leaves* (roughly 8 ½ by 12 ½").

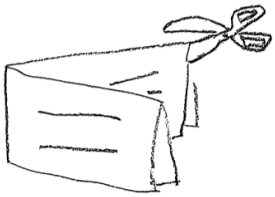
Figure 1



sheet



folded over (horizontally), bringing top two corners to meet bottom two corners



folded vertically down the middle, bringing left corners to meet right corners



cut across the topmost fold: one gathering of two nested bifolia

Accordingly, one sheet yields one gathering of two bifolia, four leaves, and eight pages. However, a gathering may also be formed of any number of bifolia, simply by unfolding each one, stacking them on top of each other in their open position, and then folding them together at the same time: a single gathering of many bifolia. Staves printed on the large sheet generally ran parallel to the long side (landscape view), and remained so on the four leaves resulting from the two folds.

The professionally stitched, ready-made desk-format sketchbooks that Beethoven purchased were comprised of a varying number of gatherings, stacked on top of each other in closed position (like books) and then sewn together close to the vertical folds, through all the thicknesses of paper.[20] Typically each gathering in a professionally bound sketchbook was comprised of one sheet (two bifolia, four leaves), two sheets (four bifolia, eight leaves), or three sheets (six bifolia, twelve

[20]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 48.

leaves).[21] The standard total number of leaves for an entire professionally bound sketchbook was usually either 48 or 96 leaves: for example, a sketchbook of 48 leaves could be made of twelve gatherings, each containing two bifolia (four leaves) from a single sheet; or of six gatherings, each containing four bifolia (eight leaves) from two sheets.[22] For study purposes, sketchbooks are often numbered by leaves rather than pages: in a single gathering, for example, leaf 1 *recto* side (front side of leaf 1), leaf 1 *verso* side (back side of leaf 1), leaf 2 *recto*, and leaf 2 *verso* instead of pages 1, 2, 3, and 4, respectively. Following the protocol set by *JTW,* I refer to a single sketchleaf as a folio (fol.), plural folios (fols.); and the recto or verso side is indicated by a lower case letter immediately following the leaf number, e.g., fol. 2r indicates the front side of the second leaf.

Beethoven formed pocket-size sketchbooks out of a gathering of two folded, gathered bifolia (made from a single sheet) by folding them again in half vertically, placing the original vertical folds on the right side edge; and then cutting along those right-hand vertical folds to free the first four of eight leaves, each with the same height but half the width as the standard-format.[23] If he wanted a pocketbook of more than eight leaves, instead of stacking multiple, closed gatherings of eight leaves, and sewing them together, he could assemble a single gathering of many bifolia: an easier method of construction that did not absolutely require the leaves to be sewn in order to remain structurally stable.[24] Their smaller size enabled Beethoven to carry such pocket books with him on his walks, writing on them in pencil (more portable than the ink bottle and quill used in the standard-format books at home) as ideas came to him.[25] There are many anecdotal accounts of Beethoven taking such sketching materials with him wherever he went:

[21]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 48.
[22]Ibid.
[23]Ibid., 322.
[24]Ibid.
[25]Ibid., 321.

> Beethoven was seldom without a folded sheet or two of music paper in his pocket upon which he wrote with pencil in two or three measures of music hints of any musical thought which might occur to him wherever he chanced to be.[26]
>
> "I dare not go without my banner," he [Beethoven] said, quoting Schiller's Joan of Arc, when asked why he always carried a sketchbook with him.[27]
>
> Those ideas… they came to him in the busiest streets of Vienna, in the woods and fields… in the most crowded company, everywhere. Under the power of his idea, Beethoven would lower his gaze… or fix it on some object without noticing it at all… Suddenly… his demeanor seemed transfigured, mastered by an overpowering inspiration… Beethoven always took along a small sketchbook of music paper, in which he immediately and spontaneously entered the new idea with a few strokes… [28]

Beethoven used pocket sketchbooks and standard-format books concurrently, noting in pencil ideas in the pocket book that he could develop or continue in a standard-format sketchbook, once he got home to his desk and quill. However, almost all of the surviving pocketbooks date from 1815 to 1827, from which one might conjecture that this habit was thoroughly entrenched only in the later part of his life; or perhaps that his earliest pocketbooks were not bound, but more cursory, loose bundles of leaves cut from a single bifolium or leaf, that Beethoven did not think important enough at the time to preserve the same way he did his collection of standard-format leaves: "… gatherings of 4 [pocket] bifolia or fewer almost always remained unsewn."[29]

Prior to 1798, Beethoven sketched on loose desk-format leaves[30]; and then from 1798 to 1808 Beethoven used ready-made, professionally stitched, standard-format sketchbooks. Thereafter he assembled home-made sketchbooks himself, sometimes from regular gatherings (of two bifolia from a single sheet, for example), sometimes from a single gathering of many bifolia, and sometimes from random single leaves or bifolia of paper he had around him.[31]

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[26]A. W.Thayer, *Thayer's Life of Beethoven,* ed. Eliot Forbes (Princeton: Princeton University Press, 1967), 248.
[27]Solomon, *Beethoven*, 107.
[28]Wilhelm von Lenz, *Beethoven: Eine Kunststudie* (Kassel: Hamburg Hoffman & Campe, 1855), 187. See also Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 321.
[29]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 324.
[30]Robert Winter, "The Sketches for the 'Ode to Joy'," *Beethoven, Performers, and Critics: The International Beethoven Congress*, ed. R. Winter and B. Carr (Detroit: Wayne State University Press, 1980), 177.
[31]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 48.

> [Beethoven] at once recognized the advantages of bound books and was seldom without one during the remainder of his life, stitching them together himself when his circumstances required it.[32]

This physical make-up of sketchbooks becomes important because after the death of Beethoven, the history of his sketchbooks is "to some extent the history of their destruction."[33] Without going into the detail provided by Johnson, Tyson, and Winter, in sum: Beethoven's sketches were sold, classified, reclassified into different groups, torn out of intact sketchbooks and given away, taken out of old covers, taken apart, rebound with new covers, etc. In order to trace the compositional evolution of any single work by Beethoven, it becomes necessary to virtually (not physically, since often this is not possible) reconstruct the original sketchbooks from leaves scattered across the globe in countless locations, whether private or museum collections, placing them in the order in which they were used; and this reconstruction can only be accomplished (but not alone) with detailed forensic study of the physical characteristics of the leaves: paper type, the water mark left by the maker of the paper, the spacing between staves, mirrored torn edges (such as those created by ripping the top horizontal fold of a gathering), writing instrument, ink color, handwriting characteristics, etc.[34] Johnson, Tyson, and Winter innovated and systemized such study, by means of which they were able to correctly identify and group together nearly all the extant Beethoven sketchbooks according to chronology, work, and relationship to each other.

Using this kind of study to "rejoin" different sketchleaves is much easier when they originally belonged to sketchbooks that were ready-made, because in this case each leaf has physical characteristics that correspond with those of the other leaves. In the case of sketchbooks that were originally assembled by Beethoven (or a friend or copyist on occasion, perhaps) from odds and ends of different kinds of paper bought at different times and/or made by different makers, establishing

[32]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 511.
[33]Douglas Johnson and Alan Tyson, "Reconstructing Beethoven's Sketchbooks," *Journal of the American Musicological Society* 25, no. 2 (Summer 1972): 137.
[34]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 44-67.

the correct chronology of sketches that have been separated from each other by thousands of miles for over a century is considerably more difficult.

> … Beethoven's preference for homemade sketchbooks after 1815… became absolute. The most obvious explanation… that integral sketchbooks disappeared from the retailers' shelves… seems unlikely… with the comparatively ragged appearance of the later homemade books, we cannot suppress the feeling that the steady decline in the external order around Beethoven—noted by virtually all of his contemporaries—was reflected in the external image of the documents whose contents chart the unrelenting search for a new artistic order.[35]

Naturally musical content is a clue, albeit not always a decisive one, to the relationships between leaves. The problem with this strategy is that one studies sketches because ideally one would like to determine the original chronology of sketches and thereby understand musical relationships in Beethoven's compositional process—not the other way around.

Beethoven wrote more sketches per composition the older he grew; the later compositions have a much higher ratio of number of sketched measures to number of measures in the finished composition. For this reason, comparisons with Opus 106 can best be made with other late compositions. Moreover, ideal for comparison would be works with the following characteristics: one, composed for keyboard; two, in length comparable to Op. 106; and three, contrapuntally complex, like the last movement of Op. 106. However, for the purposes of this discussion, the paramount requirement that trumps all of the above is that nearly all of the sketches pertaining to a composition be available, in order to observe Beethoven's compositional process as accurately as possible. A corollary requirement is that the sketches of the composition be the subject of previous study or analysis, since the primary focus of my study is Opus 106. These requirements unfortunately limit the field very narrowly; detailed study of the compositional process of a work for which we have most of Beethoven's sketches has been done on only one specific work in the last forty years: Opus 131, by Robert Winter. Briefer studies that discuss limited aspects of the sketches'

[35]Winter, *Compositional Origins of Opus 131,* 40-41.

relation to finished works are also very few; some works that have received such treatment include Piano Trio Op. 70 no. 1, by Alan Tyson; the first movement of the Sixth Symphony, by Philip Gossett; and the last movement of the Ninth Symphony, Opus 125, by Robert Winter. The Piano Sonata, Opus 109 and the Diabelli Variations, Opus 120, for example, are both late piano works that have received scholarly attention and would form a better comparison with Opus 106 than Opus 131 or Opus 125. However, the relatively few number of surviving sketches for Opus 109 constrains Nicholas Marston's detailed treatment, especially of the last movement variations.[36] Similarly, William Kindermann's study of the Diabelli Variations is not for my purposes the best basis for comparison since only 60 or so sketchleaves, not including the 30 pages of the autograph, survive for the entire work; and of those, only a handful for the fugue variation.[37] Also, Kindermann follows the interrelationships between short variations on the same material, focusing on sources of derivation, ranging from commonality to transformation, more than the overarching structure. These relationships between variations are of a different order than those that exist between movements of a sonata. Lastly, the Diabelli Variations consist of smaller compositional units that do not require harmonic or tonal planning in the same way that, for example, 405 measures of a movement in sonata form does.

Unfortunately, because of their successive sales and dispersals, the same sketchbooks or sketchleaf gatherings have been at times identified by different names and call numbers, given by the institutions in which they are housed. In general, sketchleaves or sketchbooks are now identified with the name of one of their previous owners and/or locations, often in combination with a number. Hence the name of a sketchleaf, for example Bonn Mh 91, simply indicates Manuscript (**M**usik**h**andschrift) number 91, located at the Beethoven-Haus in Bonn. Often this label is supplemented with the SV number (from Schmidt's *Verzeichnis*). In some cases, loose leaves,

[36]Nicholas Marston, *Beethoven's Piano Sonata in E, Op. 109* (Oxford: Clarendon Press, 1995), 178.
[37]William Kindermann, *Beethoven's Diabelli Variations* (Oxford: Oxford University Press, 1989), 7.

whether they originally belonged to another sketchbook or were never part of any sketchbook, were for the sake of expediency simply thrown together into bundles with no regard for their content, especially in the case of cataloguing for a sale. Such a collection is called a *miscellany*; although the leaves are collectively identified by the name given to the miscellany, that name is not meant to imply any relationship between the leaves contained therein.

In an effort to reduce confusion (particularly my own), I have labeled all examples from my sketch transcriptions "Sketch Examples" and numbered them with Arabic numerals; all examples from Gustav Nottebohm's *Zweite Beethoveniana* "ZB Examples," also numbered with Arabic numerals; and examples from actual Beethoven works "Score Examples," ordering them by letters: A through Z, followed by AA through ZZ, and AAA through ZZZ. In those cases where Nottebohm's sketch transcriptions from *Zweite Beethoveniana* do not have clefs, treble clef in the top stave and bass clef in the bottom stave are understood in two-stave systems; and treble clef is understood in single stave measures, except where noted otherwise. All my examples from Opus 106 have been taken from Hans von Bülow's 1875 edition; although not the most neutral, it betrays a sensibility I admire.

III. SKETCHES FOR THE STRING QUARTET IN C-SHARP MINOR, OPUS 131

> The conception of a work as whole, and in a way that brought the details and the larger structure together more intimately than in the music of any other composer, is reflected in Beethoven's working procedures. He not only sketched extensively and exhaustively, but (as Lewis Lockwood has shown) he began sketches in full score of an orchestral work, for example—laying out all the measures, writing out the subsidiary details as well—even before the thematic material had reached its final state.[38]

More sketches survive for String Quartet in C-sharp Minor, Opus 131, than for any other of Beethoven's works; even so, they are not quite complete, since among them are found only fragmentary sketches for the opening fugue, which Beethoven probably sketched extensively.[39] Because of the organic nature of the compositional process for Opus 131, it is a little more difficult than with other works to divide the hundreds of sketches according to movement. In total, for seven movements, 1,551 measures, and 42 minutes of music in four parts, Beethoven sketched close to 700 pages over the space of about twelve months (November 1825 to November 1826)[40], plus perhaps another 30 or so pages of score sketches that are missing:

> …most, but by no means all, of the score sketches for Op. 131 have survived. It is easy to calculate roughly that at least thirty leaves (about 15%)of the total) have disappeared since 1827.[41]

Of the extant sketches, 75 pages were made in *Kullak,* a standard-format desk sketchbook named after the composer Franz Kullak, who donated it to the Berlin Royal Library; and more than 200 pages of sketches were made in several pocket sketchbooks.[42] However, the greater bulk of them—more than 400 pages of sketches—are in a format for which Winter coined the term *score sketches*, and which Beethoven used increasingly for the late string quartets.[43] Score sketches appear on pages that are uniformly organized in four-stave systems upon which Beethoven could work out problems

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[38]Charles Rosen, *The Classical Style* (New York: W.W. Norton & Company, 1972), 406.
[39]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 482. See also Winter, *Compositional Origins of Opus 131*, 70.
[40]Winter, *Compositional Origins of Opus 131*, 43.
[41]Ibid., 92.
[42]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 317, 482.
[43]Winter, *Compositional Origins of Op. 131*, 11.

of part-writing and voice leading, although the four staves are usually not all filled.[44] Beethoven made score sketches not in bound sketchbooks, but only on loose bifolia of the same kind of paper used in standard-format sketchbooks: sometimes two bifolia in a single gathering but more often a single bifolium by itself.[45]

The working relationship between the six pocket sketchbooks and the *Kullak* desk-format sketchbook Beethoven used to compose Op. 131 is easier to determine than is the case with sketches for many other of his works (including Opus 106) due to the fact that the *Kullak* sketchbook as it survives today is apparently still mostly if not completely intact in the form used by Beethoven, as Winter has determined by forensic evidence.[46] *Kullak* therefore not only contains all of the desk-format sketches in their entirety that Beethoven wrote in the composition of Opus 131, it contains them in the order in which they were written.

> While bearing in mind that homemade sketchbooks must be treated with more caution than integral [ready-made] books, the available evidence supports the view that the present ordering of leaves within *Kullak* was provided by Beethoven.[47]

Moreover, most or all the pocket sketches for Op. 131 seem to have survived, a fortunate circumstance given that many pocket sketchbooks documented earlier have disappeared.[48]

Kullak is the only format wherein Beethoven made sketches for Opus 131 of a kind that are not often found amongst sketches for other works; these sketches present, at the very outset of the compositional process, a *tonal overview*, to use Winter's term[49] (also called a *synopsis sketch* by Barry Cooper[50]). In his first sketches for Opus 131, Beethoven sketched out the general plan of the entire work, writing only so much musical material for each movement as was necessary for him to assign to each movement its key and character. The first of four tonal overviews in *Kullak,* extending over

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[44]Winter, *Compositional Origins of Beethoven's Opus 131*, 11.
[45]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 463.
[46]Winter, *Compositional Origins of Opus 131*, 36.
[47]Ibid.
[48]Ibid., 43.
[49]Ibid., 113.
[50]Barry Cooper, *Beethoven and the Creative Process* (Oxford: Clarenden Press, 1990), 106.

the front and back of fol. 10, makes clear Beethoven's plan to begin with a slow fugue in C-sharp minor; and presents eight bars of a theme that eventually became the basis of the fourth movement variations. Next follow experiments with some transitional material, then material for a scherzo in D major, on the reverse side of the same leaf; and lastly, eight measures of introductory material in octaves, marked "finale," followed by a four-measure theme in C-sharp minor.[51] Excepting the sketch for the opening fugue, which goes as far as the third entrance of the fugal subject (about fifteen measures), each chunk or planned movement of the overview is indicated by eight or fewer measures of pitches on a single stave.

> Viewed as a sequence of themes the draft is perfunctory; it is the outlining of pivotal tonal areas of Op. 131 well in advance of extensive sketching for any single movement that raises this series of entries to a level of structural importance and prompts the expression 'tonal overview.'[52]

In this and his next tonal overview, Beethoven gave so much more attention to the fugue material than to the other embryonic movements, struggling with what kind of answer the subject of the fugue would receive—whether on the dominant, as per a conventional fugal answer, or on the subdominant—precisely because that decision would have such profound harmonic implications for his total key scheme for the quartet.

These sketches of Opus 131 demonstrate that Beethoven's first priority was to "define the overall tonal outlines of the quartet," [53] and that the actual melodic or thematic material itself for the rest of the movements—at that stage—mattered so little that not only was the material in itself unremarkable, but much of it Beethoven did not actually end up using, such as the material marked "Finale" in the first tonal overview.

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[51]Winter, *Compositional Origins of Opus 131*, 114-115.
[52]Ibid., 115.
[53]Ibid.

> The flatness of the thematic material… transmits vividly the impression that Beethoven was not so much drafting themes—as groping towards something more elusive: tonal direction.[54]

Because Beethoven's "tonal scheming had outstripped [his] capacity for even trivial thematic invention," instead of even the most perfunctory of key and pitch indications, the tonal scheme for the whole quartet in the third tonal overview degenerates into a word description: "fourth movement in F-sharp minor then fifth in C-sharp minor and at the end C-sharp major conclusion…"[55]

Such telescoped planning of an entire multi-movement work points to a degree of organicism and interrelation between movements that is not usually so explicitly represented in Beethoven's earlier sketches. Once the problem of the fugue answer had been resolved in his mind, Beethoven sketched in his third tonal overview a skeletal eleven measures of a single stave melody for the second movement.[56] Unfortunately, few of the sketches for the working out of the fugue remain; but in *Kullak*'s pages we can see that once the tonal relationship to the fugue had been established, Beethoven could start sketching the second movement in earnest, emphasizing in its melody the C-sharp – D tension raised by a subdominant answer in the preceding fugue. In the fourth tonal overview, the first sketch of the transitional third movement grows directly from the ambiguity of the second movement's closing and further undermines the temporary stability of D major, the key of the previous movement; and, "… as with the *Allegro [molto vivace]*, the essential character of the movement was captured from the start."[57]

> The tug-of-war between large-scale design and its ramifications for specific movements is perhaps the most arresting feature of Beethoven's sketches for Op. 131, and operates at more than one level… This quest for balance so evident in the sketches is an important contributor to the high level of integration in the finished work.[58]

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[54]Winter, *Compositional Origins of Opus 131*, 120.
[55]Ibid., 121.
[56]Ibid.
[57]Ibid., 124.
[58]Ibid., 128.

Nottebohm observed from his own exhaustive study of Beethoven's sketches that Beethoven usually worked sequentially on the movements of a multi-movement work.[59] This does not mean, however, that one movement or even part of a movement would be completely finished before commencing the next. Rather, he generally began composing movements in their sequential order, but often made intermittent excursions to work on earlier movements, making revisions or adding new possibilities, while progressing on the one newly begun: "Beethoven always or nearly always worked on more than one work at a time."[60] For this reason, one usually finds varying amounts of overlap between movements in sketches of reasonably certain chronology; and even amongst sketches for earlier movements, several ideas for a finale might appear, for example.[61] However, Nottebohm's statement is true more by technicality than by essentials, in the sense that, while Beethoven might continue to make revisions on earlier portions, the greatest *intensity* of his focus generally centered upon one task at a time:

> It is important to remember—and this distinction has generally been lost in the popular literature from Nottebohm on—that Beethoven almost never worked **intensively** [emphasis added] on two movements simultaneously, much less two separate works... it detracts nothing from the mystery of the creative process to know that by habit the composer began with the first movement and proceeded step-by-step to the last.[62]

Many of the pocket sketches of Opus 131 have correlated sketches in *Kullak*, wherein the related chunks of musical material follow the same order as in the pocketbooks, indicating an initial routine that alternated work done in pocketbooks and work done in the desk-format sketchbook, once every day:

> … eighty-five pocket leaves [in aut. 9]… parallel some thirty-two standard-format leaves in *Kullak*. The steadiness of this ratio throughout aut. 9 suggests that Beethoven's daily regimen of indoor and outdoor sketching remained almost invariable during the first half of 1826.[63]

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[59]Gustav Nottebohm, *Zweite Beethoveniana*, Ed., Eusebius Mandyczewski (Leipzig: C.F. Peters, 1887), 123.
[60]Ibid., 8.
[61]Winter, *Compositional Origins of Opus 131,* 33.
[62]Winter, "Sketches for the 'Ode to Joy'," 182.
[63]Winter, *Compositional Origins of Opus 131*, 59.

For example, sketches on fols. 10r through 12r in *Kullak* are related to sketches on fols. 8v through 10v and 12r through 13v of Autograph 9/1a, the first of the Op. 131 pocketbooks; thereafter material on fols. 16r through 17v in *Kullak* is related to material on fols. 15v through 17r and 18v through 20v in Autograph 9/1a.[64] Compare the below sketches from desk-format, pocket-book, and score sketch sources, respectively.

Sketch Example 1:

a) Kullak, fol. 46v



b) Autograph 9, Bundle 4, fol. 20r



[64]Winter, *Compositional Origins of Opus 131*, 50.

c) Artaria 216, p. 99



However, these relationships do not indicate a constantly linear progression from pocketbook to desk-format, nor one-to-one correspondence:

> These rough parallels in no way suggest, of course, that we can compare the two formats entry for entry; the creative process resembles not so much a sophisticated computer program as a series of startling and bold compositional decisions, whose ultimate logic frequently eludes us.[65]

Throughout his composition of Opus 131, Beethoven frequently made experiments in one format that, proving unfruitful or stubbornly resistant, were not continued in the other. For example, at several stages in the evolution of the entire quartet, Beethoven repeatedly experimented with ways to bring back the fugue subject, "… culminating in its unique assimilation into the finale… we need not expect each of these experiments to be reflected in parallel positions in both pocket- and standard-format sources."[66] The sketches for the fifth movement, which were mostly made in pocketbooks and very little in *Kullak*, provide another example in which sketches in one format do not find their cognate in the other.[67] Nor is one format reserved exclusively for one kind of compositional task or musical material: details worked out during the autograph stage of the

[65]Winter, *Compositional Origins of Opus 131*, 50.
[66]Ibid., 54.
[67]Ibid., 56.

quartet are found in the later pocketbooks; and *Kullak* contains continuing work on the theme for the fourth movement, whose parallel pocket sketches include, in addition to the theme, the first sketching of variations 1, 2, 3, 4, and 6.[68] Notwithstanding, thanks to our possession of nearly all the pocketbook sketches and standard-format sketches for Opus 131, it is possible to witness a general narrowing of the net for the entire work as Beethoven achieves his compositional goals for the movement at hand.

> Pocketbooks like this illuminate Beethoven's general working procedures… the pattern is more like this: the intensive work necessary for the development of a movement—its scale and proportions—is carried out only on one movement at a time… Once the shape [of this movement] is clear, this focused effort is followed by work less concentrated but no less essential [in other movements]. Involved might be the refining of details in a score sketch or autograph… This eventually leads, as the sequence of movements becomes clear, back to the intensive work on [the] single movement… The use of multiple formats complicates, but does not fundamentally change, this alternating pattern, which I believe predominated throughout Beethoven's creative life."[69]

It is also endlessly fascinating to me to see how many revisions/decisions have to do with the best way to manipulate harmonic tension on both a local and a global scale. Tonal stability and the timing of harmonic motion are the building blocks of Beethoven's compositional process. The million dollar question is this: as encoded by harmonic tension and tonal instability, how much time do we spend feeling what?

> That there are five modulations or modal shifts implied in a composite sketch of some thirty measures should alert us to the kind of thinking in which Beethoven was engrossed. The material is tremendously compressed… and the themes themselves are less important than the tonal regions they explore.[70]

Beethoven drafted drama, not pitches: prioritizing material whose importance is rhetorical or dramatic, rather than thematic (i.e., exact pitch and rhythmic content).

> It would be easy to fall prey to the temptation to pity a composer who is reduced to ascending arpeggio patterns. Yet the two or more octave compass of both of these ideas tell us more about Beethoven's aspirations for the finale than his concrete vision of it.

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[68]Winter, *Compositional Origins of Opus 131*, 55.
[69]Ibid., 64.
[70]Ibid., 143-144.

> The lack of any consistent meter in either example confirms that the composer was making a forceful gesture as much as a thematic statement.[71]

Although no single format contains exclusively one kind of sketch in Beethoven's composition of Opus. 131, there is one category of sketch mostly found in one kind of format. From the bits and pieces of thematic material for a movement sketched a dozen bars at a time, Beethoven could move directly to what has been called, since Lewis Lockwood's 1970 article in *Acta Musicologica* on Beethoven sketches, a *continuity draft*:

> Beethoven now embarks on a long sketchline for the whole movement. Such sketchlines—a sort of Hauptstimme for which the name 'continuity draft' has recently been coined—are characteristic of the later stages of sketching… [72]

The term *continuity draft* is generally applied to sketches, however skeletal, that represent a continuous draft of an entire movement, or at least a large portion thereof: "Regardless of how 'primitive' or 'advanced,' most score sketches are part of large-scale drafts for an entire movement or a large chunk of a movement."[73] In the sketching of earlier works, continuity drafts are often found in desk-format sketchbooks, but not to the exclusion of continuity drafts in pocket books.[74] However, in the composition of Opus 131, Beethoven made few continuity drafts in his desk-format sketchbook:

> Of some seventy-five pages devoted to Opus. 131 within *Kullak*, less than a dozen contain large-scale continuity drafts for a single movement of the type often described in early and middle period sketchbooks. This is undoubtedly because much of the responsibility for large-scale drafts had been shifted to score sketches.[75]

Again, as with the tonal overviews in *Kullak*, the continuity drafts in score sketches evidence Beethoven's work with the entire quartet as an integral whole in tandem with specific work on one movement:

> … the most striking feature of the work on this [set of score sketches] is that the entire quartet, rather than just isolated movements, is being developed as an organic whole.

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[71]Winter, *Compositional Origins of Opus 131*, 146.
[72]Alan Tyson, "Stages in the Composition of Beethoven's Piano Trio Op. 70, No. 1," *Proceedings of the Royal Musical Association*, Vol. 97 (1970 - 1971): 9.
[73]Winter, *Compositional Origins of Opus 131*, 68.
[74]Ibid., 113.
[75]Ibid.

> Numerous modifications remain to be made, but the basic scope and proportions of the work have now been set.[76]

What I find so striking about this subdivision of work is the surprisingly organized fashion in which Beethoven made score sketches:

> The coherent manner in which score sketches for the late quartets were used by Beethoven is demonstrated by the close correspondence between their physical characteristics and their musical contents. Either out of compulsiveness or, more likely, as a compositional aid, Beethoven generally restricted the sketches for a single continuous draft to a single paper type… [77]

Since the score sketches were made in consecutive loose bifolia, and their order and organization was not fixed the way they would have been in a bound sketchbook, Winter's conjecture that using only one kind of paper per draft helped Beethoven to keep them organized seems a sound one. Moreover, Beethoven employed another, highly revealing, layer of organization, by choosing the types of paper he used for his score sketches according to how close he thought he was to writing the autograph:

> The most striking pattern concerns the number of staves on each paper type; most of the early work is on sixteen–stave paper, followed by fourteen-, twelve-, and finally ten-stave paper. Since Beethoven intended to use ten-stave paper for the autograph, the gradual decrease in the number of staves would symbolize the steady (if sometimes erratic) march towards that goal.[78]

(Given the maelstrom of messiness and dirtiness that Beethoven's residence typically was, I was dumbfounded to learn that Beethoven was capable of methodically organizing any physical objects to this degree.)

Beethoven experimented with thematic material that often ended with his shorthand indications such as "etc," indicating that he was satisfied he had written enough to establish the gist of that idea (or simply had postponed the resolution of a thorny problem); or "oder, " indicating that he had not decided which of a few directions the movement could next take. Then, Beethoven's

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[76]Winter, *Compositional Origins of Opus 131*, 72-73.
[77]Ibid., 68.
[78]Ibid., 71.

very next step from the experiments in such sketches was often a continuity draft, as for the finale of Opus 131, for example. Because Beethoven generally made continuity drafts for Opus 131 on separate paper he specially designated for score sketches, it follows that before starting he knew—or at least believed—that he was going to draft an entire movement (or a large portion thereof) all at once, from beginning to end. He also knew, or thought he knew, how close the draft he was going to write was to the autograph. He did not make consecutive sketches in any one of three formats that, with corrections, revisions, additions or removals, eventually added up to what we call a continuity draft. In other words, Beethoven did not write drafts for movements the way I write in words: although like Beethoven I do have a plan or outline before I start, generally once I have started, I keep going from one sentence to the next. Although material will be rearranged, removed, and inserted, the writing is a continuous process in which everything generally accumulates into a single draft or document, which grows in length, albeit not steadily, the more I write. (Admittedly this process is infinitely easier for me than for Beethoven because I do not need paper, ink, nor the quills that Beethoven was so bad at making for himself; and can insert whatever I need, without being limited by a pre-defined amount of physical space on a page.)

But Beethoven did not write music progressively, from one measure or phrase to the next. Even after demonstrating how aspects from each of three different, progressive sketches are eventually incorporated into the final form, Winter again observes that the sketching process was not a linear progression for Beethoven.

> Examples like these only encourage the view that the evolution of the finale was analogous to a straight-line graph, with slow but steady progress towards the ultimate proportions. But drafts… are a healthy reminder that the creative process in Beethoven proceeded in erratic and unpredictable spurts.[79]

It is this non-progressive or non-sequential aspect of Beethoven's development of ideas that also makes the dating of sketches by similarity of musical content more conjectural than well-founded.

[79]Winter, *Compositional Origins of Opus 131*, 147-148.

The famous quote below represents, I think, Nottebohm's effort to convey something of the irregularity of this process.

> Without betraying the secret of genius, Beethoven's sketches provide some idea of his method. They illustrate the fragmentary conception and slow growth of a composition—a manner of composing that seems somewhat enigmatic to us. The enigma lies first and last in Beethoven's struggle with his demon, the wrestling with his own genius. The demon has dwelt in these sketchbooks. **But the demon has vanished; the spirit that dictated a work does not appear in the sketches** [emphasis added]**.** The sketches do not reveal the law by which Beethoven was governed while creating. They can provide no conception of the idea that emerges only in the work of art itself, they reveal to us not the entire creative process, but only single isolated incidents from it. What we term the organic development of a work of art is far removed from the sketches. This means that the sketches do not contribute to the understanding and actual enjoyment of a work. They are superfluous to the understanding of a work of art, certainly—but not to the understanding of the artist, if this is to be complete and comprehensive.[80]

However, I have a slightly different understanding of what the sketches demonstrate—or fail to demonstrate.

The startling truth revealed by Beethoven's extensive and laborious sketching of Opus 131, is that after many mostly brief experiments, in many of which no one solution seems to clearly be more conclusive than the other, Beethoven typically made decisions about the movement all at once; and then deliberately moved to a different format and wrote down a continuous draft for the entire movement. The crucial decisions about the whole movement were made largely in a single conceptual step, away from the paper: the magical moment does not appear on the sketch pages. Up through fol. 43r, Kullak contains twenty sketches of the opening for the finale, none of which contain more than fifteen or twenty measures. Beethoven then made his first attempt at a score sketch, a draft of the exposition in Artaria 210; but after about 75 measures, the draft breaks off suddenly where Beethoven reached an impasse. Then on the very next page of Kullak (fol. 43v), Beethoven began a continuity draft for the entire movement nearly 400 bars long that is, in most

[80]Nottebohm, *Zweite Beethoveniana*, viii-ix; English translation by Douglas Johnson in "Beethoven Scholars and Beethoven Sketches," *19th-Century Music* 2, no. 1 (July 1978): 5.

important respects, close to his final version. In a sense, the "demon" is indeed missing from these sketches.

The nature of this step in Beethoven's compositional process counters many of our assumptions that otherwise seem plausible; it rather "re"-mystifies our attempts to demystify the workings of Beethoven's genius. For one, even a copious amount of preliminary sketching was not that kind of steady or methodical work that would slowly but surely bring him incrementally closer to where he wanted to go, as long as he diligently persisted. This leap in the process before writing a first continuity draft placed an enormous creative onus on Beethoven, rather than allowing him to make decisions one at a time, or make all the smaller decisions before all the big ones. Thus, even as difficult as we know the sketch process was at times for him, it was not in itself a guarantee of finding his way; at some point he had to make a leap of faith. (I find it nerve-wracking to work on a long or difficult task if there is no way to gauge how close to or far from success I am. The only comparable case in my life in recent memory is my learning of the *Hammerklavier*.) Second, it clearly shows, as Winter has argued, that Beethoven thought of a movement—or even an entire work—conceptually, as a whole.

> Beethoven's habit seems to have involved drafting a lengthy portion of a movement (or perhaps the movement in its entirety) before returning to the head of the sketch to contemplate revisions; it is not surprising that he thought in large musical paragraphs rather than individual sentences.[81]

I do not feel this understanding is fundamentally undermined by those cases in which Beethoven made extensive revisions or corrections after the fact. Nor do those continuity drafts that did not make it all the way to their intended end (as was frequently the case) contradict this fundamental nature of Beethoven's move to continuity sketch; for those cases simply show that Beethoven had failed to foresee all the consequences of his decisions, not that he had not made them. In fact, given how frequently continuity drafts spun out of his control, I find it moving that

[81]Winter, *Compositional Origins of Opus 131,* 69.

nonetheless he indefatigably insisted on writing continuity drafts all at one go, as part of his compositional process, up until the end of his career. It would have been more practical to not be quite so optimistic every time he started a continuity draft. Perhaps the motivation was more determination than optimism, since he was surely aware, from many years of sketching compositions from genesis to autograph, that he often overestimated the degree of his progress on a work. In any case, his persistence only further emphasizes the degree to which Beethoven thought of his compositions conceptually. Again, continuity drafts for a single movement are inextricably intertwined with large-scale planning, each affecting the other.

> … a pattern of two interrelated phases emerges. Initially, Beethoven struggles with continuous drafts for single movements. As work progresses, the level of uncertainty steadily increases, reaching a climax… In the second phase… the composer endeavors to regain his compositional bearings with a skeleton outline of the remainder of the quartet…[82]

The sketches for Opus 131 illustrate many of the fundamental issues in Beethoven sketch study, especially for the late works. Sketches for the *Ode to Joy* of the Ninth Symphony shed a different light on Beethoven's compositional process.

[82]Winter, *Compositional Origins of Opus 131*, 128.

IV. SKETCHES FOR FINALE OF THE NINTH SYMPHONY, OPUS 125

The finale of Opus 125 provides an example of motivic development that contrasts strongly with the sketching process for Opus 131. As early as 1792, Beethoven responded with great enthusiasm to Schiller's "Ode to Joy," intending to write a strophic setting for it in celebration of the freedom of oppressed millions from tyranny.[83] The reappearance of Schiller's verses in his sketches over the span of many years evidences his deep and continued interest in them: in 1798; in 1811-12, as he was finishing the Seventh and Eighth Symphonies; and again in 1815.[84] However, the first overview sketches of the Ninth Symphony were not written until the end of 1822, in Artaria 201. Even so, Beethoven had to rescue another work in progress, the Diabelli Variations, from limbo and complete it first, before he could properly focus on the Ninth Symphony in April 1823.[85] Thereafter, the Ninth Symphony "… was Beethoven's exclusive interest for almost a year."[86]

As with Opus 131, "… the Ninth Symphony evolved like the vast majority of Beethoven's multi-movement works. Beginning in April, 1823, concentrated work on the first movement was accompanied by short exploratory drafts for remaining movements."[87] Extant sketches for all of Opus 125 include no more than 150 pages or so of standard-format sketches, and 200 pages of pocket format sketches: these are the only formats used by Beethoven for sketching the mammoth Ninth Symphony.[88] Of these, about 50 standard-format and 130 pocket-format pages belong to sketches for the finale. Unlike the organicity and tonal interdependence that were Beethoven's first priority in planning the finale of Opus 131, however, Beethoven had a different basis for composing the finale of the Ninth Symphony:

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[83]Winter, "Sketches for the 'Ode to Joy'," 177.
[84]Ibid., 178-179.
[85]Ibid., 181.
[86]Ibid.
[87]Ibid., 182.
[88]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 273-305, 397-414.

> The special qualities of the finale [of the Ninth Symphony] are due not only to its setting of Schiller, but to its unfolding from a tune rather than from a large skeletal framework… the casting of the initial 'Freude' melody took precedence over virtually all other concerns. The melody was the first element to emerge, and until it reached its definitive shape, Beethoven could not deal at length with any of the larger structural concerns of a movement that was to attain the length of many Classical symphonies.[89]

However, as with other late works, including Opus 131, the finale of the Ninth Symphony was the movement wherein the greatest musical and dramatic achievements of the work were to be made:

> Beginning with the Eroica Symphony… it is legitimate to speak of a 'finale problem' in Beethoven. From this point on, far and away the most adventurous essays in musical form and procedure occur in Beethoven's last movements…[90]

Accordingly, the compositional stakes on determining the "Freude" tune for the finale were high: on the shoulders of that melody Beethoven would build much of the dramatic weight of the entire symphony. This prioritization contrasts with the dramatic arcs in the sketches for Opus 131, in which gesture was initially more important than thematic specificity. At the same time, it also parallels the absolute necessity of fixing the fundamental tonal path implied by the opening fugue subject and first answer of Opus 131. It was necessary to fix both melody and harmony of the "Freude" tune prior to proceeding with the larger structural concerns that were ordinarily among Beethoven's first compositional priorities.

Winter estimates that, including some difficulty with the *b* phrase (of an *a-a'-b'-a'* form) that drew Beethoven up a little short, the evolution of the final form of the "Freude" melody probably took days—perhaps only a few—but still, perhaps more time than we might have expected the composer to spend on twelve measures of such simple melodic shape and harmonic motion.[91] The sketches for the "Freude" melody do not develop it in a steady, linear progression; instead, they include experiments Beethoven made in different directions, many of which were not ultimately

[89]Winter, "Sketches for the 'Ode to Joy'," 182-184.
[90]Winter, *Compositional Origins of Opus 131*, 137.
[91]Winter, "Sketches for the 'Ode to Joy'," 196.

used.[92] In the end, Beethoven found, as was often the case, that his best solution was in one of the earlier, rather than later, of those.[93] The final form below is closer to the first sketch than it is to the two in between:

Sketch Example 2:

a) Landsberg 8/2, gathering II, page 9 (45): early *a-a-b-a* form



b) Landsberg 8/2, gathering IV, page 4 (88): ending with *b-c* instead of *b-a*



[92]Winter, "Sketches for the 'Ode to Joy'," 185-189.
[93]Ibid., 193-194.

c) Landsberg 8/2, gathering VI, page 5 (89): *b* phrase with more adventurous harmonization for the last two bars



d) Landsberg 8/2, gathering VI, page 7 (91): *a-a-b-a* form



Besides its paramount importance to the climax of the symphony, the "Freude" theme cost Beethoven more time and difficulty than it might have otherwise, due to the depth of his commitment to Schiller's Ode. The fittest musical expression of Schiller's vision of "… a future Elysium, a condition of harmony and joy that would transcend both the idealizations of memory and the malaise of an alienated present…,"[94] required of Beethoven "… an elusive style he was straining to capture or create…": namely, the incorporation of musical elements recognizably allusive to folk or popular music. Examples of the successful incorporation of popular or folk music

[94]Maynard Solomon, "Beethoven and Schiller," in *Beethoven, Performers, and Critics: The International Beethoven Congress*, ed. R. Winter and B. Carr (Detroit: Wayne State University Press, 1980), 171.

references (whether or not they included any actual popular or folk music) into the high Classical style abound in the music of Haydn and Mozart; Beethoven had not hitherto shown much interest in following their example in this regard.[95] But Beethoven recognized that the celebration of the brotherhood of man demanded musical elements of a style he had never before embraced: smooth, stepwise melodic shape; diatonic simplicity of harmony; regular rhythm of both melodic and harmonic motion; and four-square, symmetrical phrase structure to match Schiller's eight-line strophes (one line per two measures).[96] Perhaps the expression of a populist sentiment required a bit of populism in his high art music.

> It is not that Beethoven is insincere, just faintly uncomfortable, as he seems to have been with too much hobnobbing among the aristocracy [i.e., as uncomfortable at one end of the social hierarchy as he was at the other]… the 'Freude' theme is perhaps his only incontestable triumph over the popular style. I speak intentionally of 'triumph over' rather than 'assimilation of'… [97]

Accordingly, many of Beethoven's struggles with a satisfactory "Freude" melody were due to his difficulty in creating material that was satisfactory to him while adhering to these characteristics; several sketches include awkward situations that could have easily been resolved had he allowed himself more disjunct motion.[98] The "Freude" melody sketches also include experiments of varying degrees of harmonic complexity, indicated only by the bass line, before arriving at the solution of such natural elegance we know that still manages to evoke a folk hymn.[99]

According to Nottebohm, Beethoven initially experienced some doubts about a choral finale for the Ninth Symphony.[100] But once that decision was made, all other decisions were meant to serve Schiller's text. Beethoven's sketches for the finale also demonstrate that, in his large-scale form planning, his commitment to the text was prioritized even over his habitual allegiance to the

[95]Winter, "Sketches for the 'Ode to Joy'," 191.
[96]Ibid., 192.
[97]Ibid.
[98]Ibid., 193.
[99]Ibid., 195.
[100]Ibid., 198.

dramatic arc created by sonata form. From the first, by very careful consideration and "a rigorous selection process,"[101] Beethoven selected thirty-six of Schiller's ninety-six lines (of the later, slightly edited version of the poem) before undertaking any serious sketching. Already in the earliest sketches, Beethoven was experimenting with the technique of variation: a means of generating form that would be better adapted to the strophic setting of consecutive stanzas (and repetitions thereof) than sonata form.[102] In later sketches, Beethoven combined the text of the first and third chorus—an idea later discarded—as part of an exploration to find the best way of exploit the parallels between the two, and thus "… draw [out] every possible meaning of the poetry."[103]

The sketches show that the thirty-two lines of text were already set well before Beethoven entertained any idea of modulation; normally such a series of strophic variations might lend itself to a static rather than a dynamic quality.[104] In the end, this did not (as one might have guessed) preclude the finished version taking a form that also arguably suggests the dramatic arc of a sonata form, via modulation to *b*VI and then back to the tonic when the first verse returns. But even the sense of closure that sonata form might give is blown open by the startling appearance of wholly new thematic material at the *Andante Maestoso*, after the return of what we might have thought was the recapitulation. The non-repetitive dramatic gestures and changes of meter and tempo contribute to a very dynamic through-line, so that even with repetitions of text and thematic material, emotional intensity continues to grow, up to the very last note.

I conclude this general discussion of Beethoven sketches with a mention of a few other types of sketches, examplars of which unfortunately do not survive for Opus 106, if only to keep in mind that different sketch types fall within a continuum and cannot always be clearly differentiated, especially when they started as one type and ended as another. In addition to continuity drafts,

[101]Winter, "Sketches for the 'Ode to Joy'," 200.
[102]Ibid., 196.
[103]Ibid., 203.
[104]Ibid., 208.

sketches that represent progressively closer approaches to the final version include the *Urschrift,* a rough draft or composing score; and the *Reinschrift,* or fair copy. These are differentiated mostly by the density of corrections, rather than any pre-planned distinction made by Beethoven.[105] Not only could a sketch that started out as an *Reinschrift* degenerate into an *Urschrift*, but an autograph intended for the copyist could degenerate into a draft, as the last movement in the autograph of Opus 110 demonstrates;[106] nor is the autograph of Opus 110 the only one in which Beethoven continued to make decisions that seem to fall more properly into the category of composing than editing. (As one might imagine, the migration in the level of completion in a draft was almost always in one direction: farther from, not closer to, being finished, as Beethoven made more and more corrections in the course of writing a draft or fair copy.)

Why any performer should study Beethoven's sketches is, as I have tried to suggest by quoting both Douglas Johnson and Joseph Kerman at the beginning of this chapter, a question that not only deserves to be asked, but also deserves a meaningful answer. At the very least, what one can learn from looking at some of Beethoven's sketches is to ask these questions: what were his priorities, i.e., what about the work was most important to him? When Beethoven changed his mind about earlier decisions, what about the later decision makes the work more successful than it would have been in the earlier version? Or, to frame it according the model I will use in the following chapters: what is it exactly that this particular work/movement/section/phrase/gesture has to say, that is <u>better</u> said as a result of the way in which Beethoven changed it? What parts of the work cost Beethoven the greatest difficulty, and why? These are questions to which I seek answers, for Opus 106.

[105]Winter, *Compositional Origins of Opus 131*, 99.
[106]Karl Michael Komma, *Die Klaviersonate As-dur Opus 110* (Stuttgart: Ichthys Verlag, 1967), 41-60.

V. SKETCHES FOR THE PIANO SONATA IN B-FLAT MAJOR, OPUS 106, *HAMMERKLAVIER*

> Writers exploring the evolution of musical works frequently come up against the question: 'What can we learn of value from sketches which cannot be gleaned from the finished composition?,' the implication being that insights into the development of a work do not affect our final judgment concerning its definitive shape. This is, of course, quite literally true. However, sketches can reveal something of how Beethoven viewed his own creations, and this, it seems to me, is of great interest. It is rather dangerous to assume that Beethoven's changing perception of a work cannot conceivably affect the way we experience it.[107]

In the table below I have listed all available original sources of Beethoven's sketches for Opus 106: pocket sketchbook sources for Op. 106 in the first four rows,[108] followed by standard-format sketchleaves for Op. 106 (taken directly from Winter's table in *JTW*).[109] For the sake of brevity I have not included in this list the physical characteristics by which Beethoven sketchleaves are classified insofar as they are not pertinent to my discussion. (These may be found in *JTW*.) I had access to the content of those original sources which appear in bold; the sources to which I have not gained access are *Boldrini*, the Mendelssohn 2 Miscellany, and Berlin SPK Autograph 58. To the list of standard-format sketches taken from *JTW*, I have added five additional leaves that have been reclassified or discovered since the publication of *The Beethoven Sketchbooks*, of which four are the contribution of Nicholas Marston.[110] The inclusion in this table of an additional pocket bifolium from Mendelssohn 2 containing sketches of the third movement of Opus 106, but not originally part of the A 44 pocketbook, is also Marston's contribution. I studied these sketch sources by means of images of the original leaves, many of which were provided by the institutions where they are housed (both the Beethoven Haus and the Library of Congress have made available online digital

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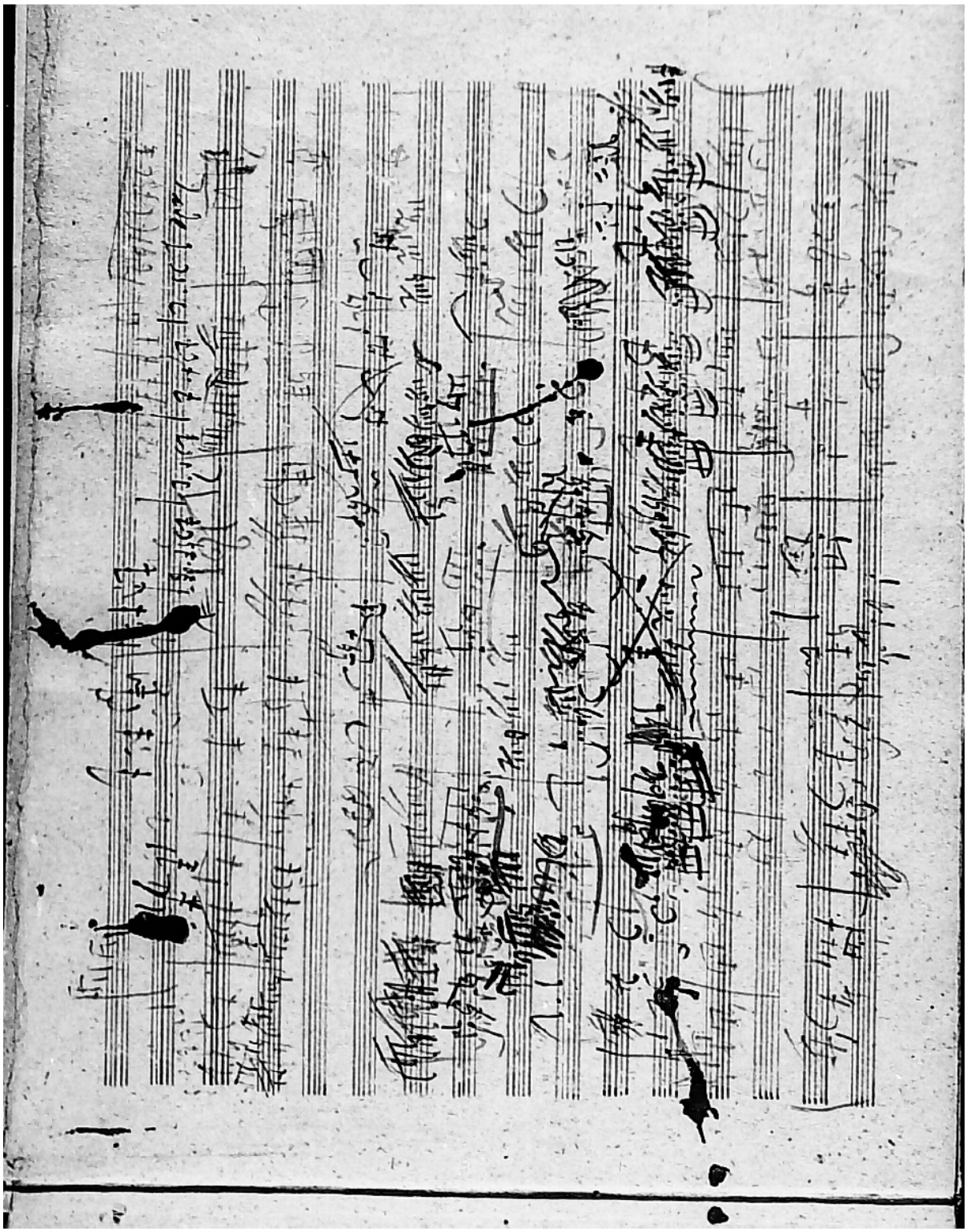
[107]Winter, "Plans for the Structure of Op. 131," in *Beethoven Studies 2*, ed. Alan Tyson (Oxford: Oxford University Press, 1977), 110.
[108]Nicholas Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier' Sonata," *Journal of the American Musicological Society* 44, no. 3 (Autumn, 1991): 420, 427.
[109]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 537-538.
[110]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier' Sonata," 407.

images of their Beethoven sketchleaves). My transcriptions of the Fitzwilliam Museum, SV 316 leaf, and the Pierpont Morgan Library/Novello leaf were made from the images supplied by Marston; however, since his *JAMS* article did not supply an image of the verso side of the Pierpont Morgan fragment of this leaf, my transcription of this leaf is incomplete. Also, like Marston, I made my transcription of the Leningrad leaf from the images provided by Abraham Klimovitzky in his article.[111] In those cases where the numbers are not the same, the number of leaves for each source refers to the number of leaves pertaining to Opus 106, not their total number of leaves. Thus of fifty-five extant pocket sketchleaves I have been able to study forty-five leaves, or eighty-eight pages; and of forty-six extant desk format leaves, I have been able to study forty-five leaves, or ninety pages.

For the most part, my discussion of Opus 106 sketches does not include examination of Beethoven's handwriting and use of writing instruments; such investigation would require in-person study of the manuscripts in order to be complete. Therefore, I will only remark generally upon a characteristic of the body of extant sketches for Opus 106 that becomes increasingly apparent in comparison to sketches for Beethoven's other late works: even given the already legendary difficulty of following Beethoven's indications, the sketches for Opus 106 reveal a degree of illegibility, discontinuity, and visual chaos that seem unparalleled amongst Beethoven sketches. This lack of coherence can only be symptomatic of Beethoven's difficulties during the composition of Opus 106. I include here a single sketch image from page 2 of the Landsberg 9 collection, for reference (see a transcription of a sketch from this page in my Sketch Example 102).

[111]Abraham Klimowitzki, "Autograph und Schaffensprozeβ: Zur Erkenntnis der Kompositionstechnik Beethovens," in *Zu Beethoven: Aufsätze und Annotationen*, ed. Harry Goldschmidt (Berlin: Verlag Neue Musik Berlin, 1979): 166.

Figure 2: Landsberg 9, page 2
Reproduced by permission of Staatsbibliothek zu Berlin



As Robert Winter wrote, "… deciphering Beethoven's late sketches… is the art of interpreting a private, telegraphic musical code rather than safe, scientific analysis which is demanded."[112] "Diplomatic" transcriptions, i.e., those that attempt to reproduce only the written indications in the sketch without any sort of interpretation or regard for musical content, lead to unsatisfactory results: in fact, transcribing in this manner seems to be the one surefire way to end up with something that cannot possibly reflect Beethoven's intentions. In order to make sketch transcriptions intelligible, it is often necessary to provide indications that Beethoven did not need to make for the sketches to be clear to himself; these commonly include key signatures, time signatures, accidentals (especially leading tones), bar lines, etc. All the indications that are my own editorial decisions are included in brackets or indicated by dotted lines. The numbers to the left of the staves indicate stave numbers from the original manuscript. Whenever my transcriptions do not follow the system/stave breaks, I have indicated the beginning of a new stave by inserting a circled number just above or below the stave (these do not indicate measure numbers). Measure numbers are notated directly above the measures, not circled. I beg the reader's indulgence of my music handwriting. In order to represent the content of the sketches as closely as I could to the original without sacrificing intelligibility, I needed the ability to place all indications exactly where and how I wanted them as the transcriptions required, for example: placing notes exactly where I wanted on a stave without barlines; using noteheads of different sizes or intensity (color) within a measure; compressing together some notes closer together in one layer to accommodate another layer; creating dotted flags or beaming; creating a double-staved measure that has a different number of beats in the top stave than in the bottom stave; etc. Because these things cannot be notated in Sibelius or Finale, I gave up on using notation software very early in the process.

[112]Winter, "Plans for the Structure of the String Quartet in C-Sharp Minor, Op.131," 110.

Original Sketch Sources for Opus 106

	# of Leaves	*Location*	*SV #*	*Content by movement #*
Pocket sketchbooks				
Boldrini	110 pages	missing	none	1st, 2nd, 3rd
Vienna A 45	35	Vienna, GdM	275	3rd, 4th
Vienna A 44	10	Vienna, GdM	274	4th
Mendelssohn 2 Miscellany (originally part of A 44)	16 pages	Krakow	none	3rd, 4th
Mendelssohn 2 Miscellany❁ (Not originally part of A 44)	2	Krakow	none	3rd
Standard-Format Sketchleaves				
London Add. MS 14396, fol. 30	1	London	183	1st , 2nd
Bonn 8/56	1	Bonn, Beethoven Haus	161	2nd
Bonn BH Mh 91	1	Bonn, Beethoven Haus	139	2nd, 3rd
UCLA Walter Slezak Collection	1	UCLA	339	3rd
Leningrad	1	?	none	3rd
Fitzwilliam Museum, Cambridge	1	Cambridge	313	3rd
Fitzwilliam Museum, Cambridge, Ms 289❁	1	Cambridge	316	3rd
Bonn BH Mh 93	2	Bonn, Beethoven Haus	142	3rd
Bonn BH NE 193* ❁	1	Bonn, Beethoven Haus	none	3rd
Vienna Nationalbibliothek, PhA 157❁	1	Vienna	none	3rd
New York, Pierpont Morgan Library, Cary 550/ Phillips 14 ❁	1	New York	none	3rd
Bonn BH Mh 125	1	Bonn, Beethoven Haus	99	4th
William Scheide✧	4	Princeton	none	4th
Library of Congress	4	Washington DC	385	4th
Berlin DSB Grasnick 20b, fols. 7-8, 11-12	4	Berlin	54	4th
Bonn HCB Mh 94	2	Bonn, Beethoven Haus	143	4th
Berlin, SPK Autograph 58	1	Berlin	43	4th
Berlin, DSB Landsberg 9, fols. 1-8	8	Berlin	63	4th
Bonn HCB 6/54	1	Bonn, Beethoven Haus	159	4th
Berlin DSB Autograph 54	1	Berlin	41	4th
Genève-Cologny	2	Cologny (Genève)	323	4th
William Scheide ✧	6	Princeton	365	4th

✧Not the same leaves

❁Additional leaves identified by Nicholas Marston since the publication of *JTW*.

*provided by Beethoven-Haus since the publication of *JTW* and Nicholas Marston's 1991 article; identified in the latter as Sotheby's 5-6 May 1988, lot 305.

What is notable and frustrating about this list of primary sources is that amongst them is found not a single desk format sketchbook (whether complete or damaged); all of the standard-format leaves are loose leaves that Winter has excluded from the possibility of originally belonging to any known sketchbook, by means of the aforementioned and other physical characteristics.[113]

> A large number of standard-format leaves containing sketches for Opus 106 do survive, but the leaves are not uniform in paper-type or rastrology and, more important, they are not characterized by a uniform pattern of stitch-holes, the determining feature of a heterogeneous homemade book.[114]

Winter therefore conjectured that Beethoven wrote Opus 106 without a standard-format sketchbook, using only pocket sketchbooks carried with him, and loose leaves and bifolia at home. Without analysis of the actual content of the loose desk-format leaves, there is no incontrovertible reason for thinking otherwise. If true, Winter's conjecture would indicate one of the few examples during Beethoven's adult compositional life of a sizable time gap between consecutively used desk-format sketchbooks; two other gaps in surviving sketchbooks fall between work on *Leonore* in 1805 and the Mass in C in 1807, and between work on the String Quartet, Op. 96 in 1812 and Fidelio in 1814.[115] Naturally, the problem with missing evidence is that one cannot know anything about it, or how much of it there might or might not have been; for although the presence of evidence may help prove a conjecture, conversely, absence of evidence does not disprove anything. It is my opinion, based on the content of those sketches of Op. 106 that are available to me, and based on Beethoven's use of sketchbooks in the composition of other late works, that Beethoven must have used at least one entire standard-format sketchbook and perhaps one or more additional pocketbooks, which have been lost to us, in the composition of Op. 106. In the absence of a surviving desk format sketchbook, rather than relating loose leaves to a desk sketchbook of determined structural integrity (if only virtual), study of Op. 106 sketches can only attempt to

[113]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 535.
[114]Ibid., 535-536.
[115]Ibid., 72-73.

determine the relationships between loose leaves or sets of leaves. As would also be the case with a desk-format sketchbook, however, one can still attempt to make out relationships between sketches made on standard-format leaves and the sketches Beethoven made concurrently in his pocket sketchbooks.

Several other works have numbers of loose leaves for which integral sketchbooks have not been found: the "Emperor" Piano Concerto Opus 73, Opus 115, Opus 117, Opus 113, and the Opus 59 String Quartets. Eleven pages of early sketches for Opus 73 are found in Grasnick 3, a desk-format sketchbook of forty-three leaves in use from the end of 1808 to the beginning of 1809; and thirty-five pages of sketches for the last movement only are found in Landsberg 5, a desk-format sketchbook of fifty-six leaves, in use from March to about October 1809.[116] But sketches for Opus 73 are also found on twenty-one loose desk-format leaves Beethoven used, in between Grasnick 3 and Landsberg 5; these do not seem to have been bound together before Beethoven used them.[117] These forty-two pages of loose sketches fall into a much smaller time gap than the gap between desk-format sketchbooks into which the composition of Opus 106 falls: between Autograph 11/1, in use in mid 1816, and Wittgenstein, in use from April/May 1819 to May/June 1820. It seems unlikely that a bound sketchbook could have been used in its entirety during the month or two between Grasnick 3 and Landsberg 5, since most sketchbooks contained more than double the number of loose leaves for Opus 73, and took several months to fill:

> Kessler, Wielhorsky, and Landsberg 6, the three professionally made [desk-format] books that followed Sauer, each contained 96 leaves. Grasnick I and Grasnick II, each originally with 48 leaves, were apparently half as large, although they may be halves of a 96-leaf book. Even Landsberg 7, the homemade book that directly preceded Sauer, contained about 96 leaves.[118]

[116]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 180-187.
[117]Ibid., 527.
[118]Ibid., 115.

A sampling of five years, from the beginning of 1810 to the beginning of 1815, yielding a total over 460 desk-format leaves if one adds up the approximate totals given by *JTW* for leaves from known desk-format books from that period, suggests that Beethoven's consumption of desk-sketchbooks around this time seems to have been, very roughly, about one 96-leaf book per year, or one 48-leaf book every six months.[119] (This estimate must be considered a conservative one, however, since it is hard to know exactly how many leaves are missing from books that are obviously missing leaves.)

The number of loose sketchleaves for Opus 73 is large enough to contain a substantial amount of Beethoven's work on Opus 73: mostly sketches for the first movement, but also preliminary sketches for the second and third movements.[120] If these leaves were not used already sewn together (which cannot be ruled out entirely), why then would Beethoven have elected to use loose leaves after finishing work in the sketchbook Grasnick 3 and before starting to work in the sketchbook Landsberg 5? Because no pocket-format sketches have been found for Opus 73, we cannot conjecture about the relationship between the kind of sketches Beethoven made in desk format and the kind he made in pocket-book format. (The score sketches already discussed were a compositional aid Beethoven used chiefly for the late string quartets.) Certainly, paper was dear enough that Beethoven would have used up odds and ends of loose leaves, and not thrown any of them away; but he was already by that time practiced in sewing up such motley assortments of left-over leaves into sketchbooks. Given his strong desire to preserve all of his sketches, why would he not have sewn together the loose leaves for Opus 73 together, either after or before using them? Is there anything about the format of loose leaves that made them preferable or better suited to the composition of Opus 73?

> It seems reasonable enough to assume that he occasionally removed leaves, either in search of an empty page or to consult an earlier sketch without having to carry around an entire sketchbook. But this cannot have been a frequent practice. If anything,

[119]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 195 – 246.
[120]Ibid., 527.

> Beethoven's impulse was in the opposite direction; he sometimes stitched together for safekeeping leaves that had been used individually.[121]

Grasnick 3 is a professionally bound sketchbook originally containing four gatherings or bundles of 12 leaves each. Landsberg 5, in its current condition, is a single gathering of 56 leaves of all the same paper type: hence, paper bought all at one time, although not professionally bound.[122] Perhaps the interval between finishing Grasnick 3 and obtaining Landsberg 5 was too brief, or the number of loose leaves to few, to make him feel that it was worth the trouble; or perhaps these loose leaves had indeed once been sewn together, along with other leaves now missing, to form a sketchbook.

Despite what seems to be a surprising degree of nonchalance concerning the ordering or inclusion of movements in its London publication, Beethoven did conceive of the four movements of Opus 106 in the order we know, and accordingly composed them in that order. According to Nottebohm, "during the composition of the first movement, the second and third movements were begun, and during the composition of the second and third movements, the last movement was begun."[123] I include below an excerpt from Beethoven's letter to Ferdinand Ries in March, 1819, regarding the publication of Opus 106 in London:

> Should the sonata not be suitable for London, I could send another one; or you could also omit the Largo and begin straight away with the Fugue, which is the last movement; or you could use the first movement and then the Adagio, and then for the third movement the Scherzo—and omit entirely no. 4 with the Largo and Allegro risoluto.[124]

This excerpt is less puzzling in the context of the letter, in which the above follows directly upon the heels of a bitter and lengthy complaint of the suffering due to the loss of his annual income (a complaint that appears regularly in his letters), for which he ungraciously (and unjustly) blames his generous and devoted patron, Archduke Rudolph. Accordingly, Beethoven's instructions to Ries regarding the publication of Opus 106 in London (the Vienna publication of Opus 106 in its

[121]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 13.
[122]Ibid., 174, 180.
[123]Nottebohm, *Zweite Beethoveniana,* 123.
[124]Anderson, *The Letters of Beethoven*, 805.

complete form was also pending around the same time) are obviously and directly consequent to his desperation to receive the greatest possible income from its publication; not to the worthlessness or unimportance to him of the work itself, as a non-contextual reading might suggest.[125]

Boldrini

We are indebted to Nottebohm for most of the information we have about Beethoven's sketching of the first and second movements of Opus 106, as so few of those sketches remain in either format. Nottebohm's account of the now lost *Boldrini* pocket sketchbook is, as always, precise; and, as often, a little dry. The moniker for this pocketbook comes from an inscription inside the front cover, *Boldrini*, which refers to Carlo Boldrini, an employee of Artaria, the publishing company that bought the largest amount of Beethoven's sketchleaves after his death.[126] (It is not clear, however, what relationship Boldrini had to this pocketbook; it appears more likely to be a memorandum Beethoven made to himself—perhaps indicating that the pocket book was a gift from Boldrini—than an inscription addressed to Boldrini.[127]) *Boldrini* comprises 64 leaves, which makes it the largest of all extant pocket books in terms of pages; at the same time, in terms of page dimensions, it is a little smaller than most.[128] Unlike some of his descriptions of other Beethoven sources, Nottebohm's description of *Boldrini* includes no actual excerpts of the sketches contained therein. As regards Opus 106, we learn only that pages 18 through 88 (thirty-six leaves) contain sketches for the first movement; pages 75 through 128 (twenty-seven leaves) contain sketches for the second movement; and pages 116 through 127 (i.e., the last six leaves) contain sketches for the third movement. Nottebohm summarizes by telling us that by the time this pocketbook was finished, "… the first movement was finished, the second movement was well underway, the third

[125]Charles Rosen, *Beethoven's Piano Sonatas: A Short Companion* (New Haven: Yale University Press, 2002), 228.
[126]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 19, 20, 347.
[127]Ibid., 347.
[128]Ibid., 348.

movement was just begun, and not a note of the last movement had been written."[129] The *Boldrini* sketchbook begins with other content, including the String Quintet Opus 137; a song, "Resignation," WoO 149; and some interesting excerpts from *The Well-Tempered Clavier* and *The Art of the Fugue* that Beethoven copied out into the pages.[130] Because *Boldrini* began with sketches for other compositions, and because we know that Beethoven generally composed one work at a time, we could reasonably surmise that *Boldrini* contains all of the pocket format sketches Beethoven made for the first movement, and most of the pocket format sketches he made for the second movement of Opus 106.

Winter estimates that *Boldrini* was in use from Fall 1817 to Spring 1818. His conjecture is supported by Nottebohm's belief that Beethoven wrote out the last four measures of Opus 137, on page 5 of the pocket book, at around the same time Beethoven wrote the *Reinschrift* (fair copy) of Opus 137, upon which Beethoven wrote "Vien am 28ten November."[131] Certainly by December *Boldrini* was in use, shown by memoranda Beethoven copied into it from advertisements that appeared in the *Wiener Zeitung* during that month. The end date of *Boldrini* is also suggested by external evidence: in a letter to his patron the Archduke Rudolph, in June of 1819, Beethoven enclosed a copy of the first and second movements of Opus 106, explaining that he had written them for the Archduke's name day, April 17, of the previous year. If the first two movements had indeed been finished by April 1818, then *Boldrini* would have been filled before then. However, given how consistently Beethoven overestimated or exaggerated at almost every stage the degree of completion of his compositions, I would not entirely trust this dating. (In other words, even if Beethoven had <u>not</u> finished the first two movements before the Archduke's name day in 1818, I doubt this would have deterred him from claiming, a year after the fact, that he had, in order to

[129]Nottebohm, *Zweite Beethoveniana*, 352-353.
[130]Ibid., 350-351.
[131]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 348.

present a flattering picture of his devotion to the Archduke.) This uncertainty about the end date of *Boldrini* also affects the dating of the following pocket sketchbook, Vienna A 45.

In a separate discussion exclusively devoted to the sketches for Opus 106, Nottebohm listed as his sources one complete sketchbook, which we know to be *Boldrini* (I do not know why he did not call it a pocketbook, as he does in his separate description); two incomplete pocket sketchbooks in his possession, which we know to be Vienna A 45 and A 44; and several standard-format loose leaves. Thus, if there once had existed a standard-format sketchbook for Opus 106, by the time Nottebohm performed his studies on the Opus 106 sketches (therefore before 1875, when his "Skizzen zur Sonate Op. 106" was published in *Musikalisches Wochenblatt*), it was already missing. Nottebohm went into much greater detail in this discussion of Opus 106 than he did in his discussion of *Boldrini*, selectively providing transcriptions of several sketches; but without, however, identifying from which of his sources they came (he did not imagine, perhaps, just how interested we would one day be in Beethoven's sketches). However, because we possess of most of those sources, we can correctly identify the source of most of Nottebohm's excerpts. By the time Nottebohm published his findings, Beethoven sketchleaves were already considered historical treasures, not merely souvenirs of a musical celebrity. Therefore, it is (hopefully) unlikely that any of the loose sketchleaves for Opus 106 that Nottebohm studied have been destroyed since he studied them. We can guess, therefore, that we probably have most, if not all, of the loose, standard-format leaves Nottebohm did; perhaps even a few more, given that telephones, planes, television, the internet, and the unification of Germany have made it much easier to search the globe for lost manuscripts than it was in his lifetime. Pocketbook A 45 contains material almost exclusively pertaining to the third and fourth movements, and A 44 only has material pertaining to the fourth movement. Therefore, almost all material for the first and second movements discussed by

Nottebohm must have come from *Boldrini*, since we have so few standard-format leaves for the first two movements: only one for the first movement, and three for the second movement.

Nottebohm's description of the body of sketches he had in front of him, as a whole, immediately cautions that there must be a significant number of sketches missing, particularly for the third movement.[132] Notably, the body of sketches that he describes presents a situation that seems similar to ours today: he seemed to have very few advanced sketches for any of the movements, and most of the sketches are broken off after at most eight measures.[133] Nottebohm, then, had apparently found nothing close to a continuity draft in any of them; nor had he found any tonal overviews or much large-scale structural planning. The first sketches of the first movement contain "little material that reminds one of the printed version… we see mostly unused material…"[134] According to Nottebohm's account, thematic material for the first movement was slow to emerge, and only after long and laborious sketching. But the first excerpts Nottebohm provides make clear that early on, Beethoven planned to use the falling-third interval motivically, even before settling on the rhythmic motive of the final version. Such early sketches of motivic material might fall into the category of what Alan Tyson called "concept sketches."[135]

ZB Example 1: Early sketches for the 1st movement of Opus 106



However, Nottebohm next presents a sketch of a melody in B-major, which appears at the end of the development in the final version: one of the most startling turns in a movement in B-flat major.

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[132]Nottebohm, *Zweite Beethoveniana*, 123.
[133]Ibid.
[134]Ibid., 124.
[135] Alan Tyson, "The 1803 Version of Beethoven's 'Christus am Oelberge'," *The Musical Quarterly* 56, no. 4, Special Issue Celebrating the Bicentennial of the Birth of Beethoven (Oct. 1970): 571.

ZB Example 2: Early sketch for the 1st movement of Opus 106

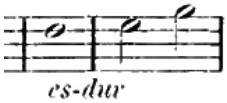


Score Example A: First movement of Opus 106, Development, mm. 201 – 208: the same theme in B major, as in the sketch



Had Beethoven, at this early stage, already envisioned this dramatic detour, by which means he would modulate to such a distant key, and/or at what point in the movement it would happen? Another snippet also gives just the suggestion of tonal planning, by indicating the same melody with the inscription, E-flat major; however, as written, the melody actually appears in the recapitulation, in the tonic, not E-flat major.

ZB Example 3: Nottebohm, *Zweite Beethoveniana,* p. 124



Score Example B: First movement of Opus 106, mm. 332 – 336



The next group of sketches presented by Nottebohm includes a sketch of the same melody in G, as it appears in the exposition. The sketch below does not appear to include the major-minor mode inflection in the final version (E-flat in mm. 101 and 103, and the B-flat in m. 104).

ZB Example 4: Nottebohm, *Zweite Beethoveniana,* p. 125



Score Example C: First movement of Opus 106, Exposition, mm. 100 – 104



Another sketch from this group shows the opening motive in a form close to its final one; the sketch starts with a half-note instead of the eighth-note pickup, dotted-quarter and eighth-note rhythm. However, the sketch emphasizes the fifth degree, as in the second statement of the same material in the final version (m. 3).

ZB Example 5: Nottebohm, *Zweite Beethoveniana,* p. 124



Score Example D: Opening of first movement of Opus 106



By the time Beethoven had arrived at much of the material for the exposition, he had already filled up 70 pages, presumably of *Boldrini*, which tallies with Nottebohm's allotment, in his separate discussion of *Boldrini,* of pages 18 through 88 to the first movement.[136] This is, even for a late Beethoven work, an unusually large number of pocket-format sketches to devote to a single movement, even taking into account the smaller page size of *Boldrini*. Remember that for the entirety of Opus 131, a work of seven movements (including two very short ones), Beethoven wrote about 200 pages of pocket-format sketches.

ZB Example 6: Nottebohm, *Zweite Beethoveniana,* p. 125



[136]Nottebohm, *Zweite Beethoveniana*, 352.

Score Example E: First movement of Opus 106, mm. 47 – 54



ZB Example 7: Nottebohm, *Zweite Beethoveniana,* p. 125.



Score Example F: First movement of Opus 106, mm. 63 – 66



Although it is difficult to call material consisting of a single note motivic, we see in the snippet below that Beethoven has already imagined the enigmatic transition to the second group of the exposition.

ZB Example 8: Nottebohm, *Zweite Beethoveniana,* p. 124; missing bass clef at beginning



Score Example G: First movement of Opus 106, mm. 39 – 42



The fact that its sketches range from the first genesis of themes to the conclusion of the movement supports the assumption that *Boldrini* contained all the pocket-sketchleaves for the first movement of Opus 106.

ZB Example 9: Gustav Nottebohm, *Zweite Beethoveniana,* p. 127



One other sketch Nottebohm transcribed from *Boldrini* requires a look, both because it represents an important dramatic and structural junction, and because it offers a tantalizingly inconclusive glimpse of Beethoven's intentions for my very favorite moment in the first movement.

Score Example H: First movement of Opus 106, mm. 222 – 227



Paul Badura-Skoda has argued convincingly, based on Beethoven's notational habits, that the absence of a natural sign in front of the A's in mm. 224 – 226 is an error of omission: in which case the A to E slurs from the end of measure 224 through the end of measure 225 are meant to be perfect fifths, and the A to F-natural slurs from the end of measure 225 through measure 226 are meant to provide a dominant preparation (in first inversion) for the return of the tonic, B-flat major.[137] If one performs these measures as notated, however, those A-sharp to E slurs form a tri-tone; and since B-flat is enharmonic to A-sharp, the A-sharp to F-natural slurs do not prepare for the tonic: they are the tonic. This reading would make this transition into the recapitulation tonally unique not only in Beethoven's output, but probably in Western classical art music. It also makes for a transition that is at once shocking and miraculous. I agree with Badura-Skoda and Charles Rosen that it probably was a mistake. Beethoven sent literally dozens of pre-publication corrections to the score of Opus 106 in his letter to Ries in London, and it does not seem a strain to imagine that

[137]Paul Badura-Skoda, "Once More on the Question: A-Sharp or A-Natural in Beethoven's 'Hammerklavier' Sonata, Opus 106?," in *Convention in Eighteenth- and Nineteenth-Century Music* , ed. Allanbrook, Levy and Mahrt (Stuyvesant: Pendragon Press: 1992), 61.

Beethoven might have missed a few in either the London or the Vienna publication (in the same letter Beethoven complained that he could no longer employ his own copyist).[138] But I also agree with Rosen that the omission of the natural sign was a Freudian slip, a stroke of pure subconscious genius.[139] Unfortunately the only thing that the pertinent sketch in *Boldrini* indisputably shows, at most, is that Beethoven did lead into the recapitulation with a dominant 6/5 preparation to B-flat major in <u>one</u> of his sketches, and that he did not indicate a sharp-sign before the controversial A that stands in for all the A's in mm. 225 - 226 of the final version.[140] We do not have sufficient sketches for the first movement to know if Beethoven conceived of different alternatives.

ZB Example 10: *Zweite Beethoveniana,* p. 126.



The only draft of any length we have for the first movement of Opus 106 is a sketch of about 50 measures of the development, found on the one standard-format sketchleaf that we have for the first movement, London Add. MS 14396, fol. 30. This draft contains much of the material used in the development; the fugue subject, with the addition of a rising sequence of four descending steps, is longer and more developed than in the only development section fugue sketch from *Boldrini* that Nottebohm provided.

[138]Anderson, *Letters,* 797 – 805.
[139]Rosen, *The Classical Style*, 421.
[140]Nicholas Marston, "From A to B: The History of an Idea in the 'Hammerklavier' Sonata," in *Beethoven Forum 6*, ed. Lewis Lockwood (Lincoln: University of Nebraska Press, 1998), 100.

ZB Example 11: Gustav Nottebohm, *Zweite Beethoveniana,* p. 126.



Sketch Example 3: Ms. 14396 Fol. 30V, staves 2 – 10: Development of 1st movement of Opus 106





Nonetheless, if it constitutes a continuity draft in the sense of representing, however meagerly notated, his plans measure-for-measure, it must have been a relatively early one. Marston has read the words "nach fuge," which I could not make out, in a faint and illegible example of Beethoven's handwriting at the start of the draft, evidently added in pencil afterwards. Thereafter, only eight measures represent the execution of the fugue, before the appearance of material that is the precursor of mm. 177 – 188 of the final version.[141]

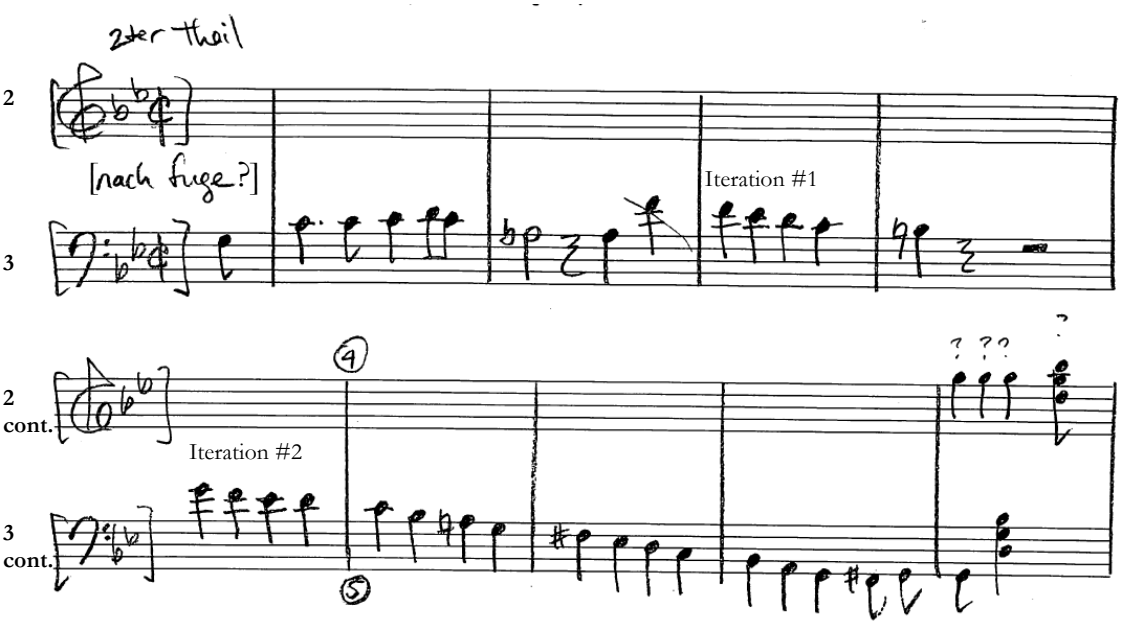
[141]Marston, "From *A* to *B*: the History of an Idea in the "Hammerklavier" Sonata," 125.

Score Example I: Development of first movement of Opus 106, mm. 177 – 184



Although the fugue subject in this sketch has the general shape of the finished subject, the eight measures left for this entire bit of fugal writing is shorter than the length that the fugue subject alone attains in the final version. Note that instead of the two-iteration sequence in the draft, the final version has a three-iteration sequence, with the result that instead of a symmetrical, eight-measure phrase, the subject is nine measures long. The rhythmic displacement created by this irregular length prevents a feeling of closure at the end of the phrase, contributing to the tumultuous momentum of the development and that feeling of jagged energy, rather than a neat regularity, that is so much at the heart of this sonata.

Sketch Example 4: **Ms. 14396 Fol. 30V, staves 2 – 5**

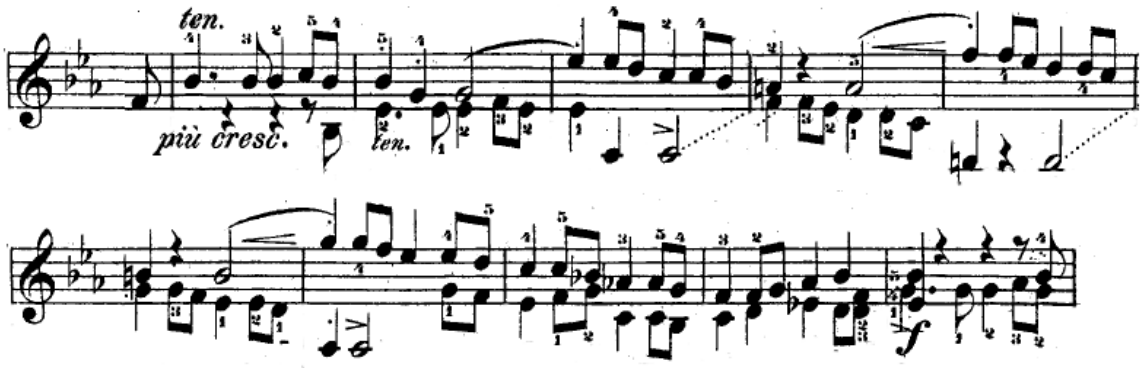


Score Example J: First movement Opus 106, mm. 138 – 146: 3-iteration sequence.



Moreover, instead of the single eight-bar sequence of the draft, the final version of the development creates a meta-sequence of four of these units, each bounded by a cadence, adding up to a much longer fugal section of 39 measures.

Score Example K: First movement Opus 106, mm. 147 – 156: second sequence.



Not only is the draft on the London leaf less than half the length of the development in its final form, it is harmonically much simpler, using only G minor and D minor as key areas (both enharmonic in the key of B-flat). Therefore, either Beethoven had conceived no plan of key or harmonic areas when he wrote this development draft; or, this draft was the execution of some earlier tonal planning that ended up in the trash bin. The longer fugal writing of the finished version creates a building intensity and also takes advantage of the sequential units to move through a greater number of tonal areas: the first begins in E-flat major, and cadences in V/B-flat major; the second begins in B-flat major, and cadences in E-flat major; the third begins, again in E-flat major, and cadences on V/c-minor; and the fourth begins in c-minor, and remains so, cadencing on V/c-minor. The constant harmonic motion in the fugal section, as well as the rest of the development, tells us how far we have left the tonic behind, and how much effort the return there will cost. As a result, the astonishing return of the tonic at the recapitulation is a victory indeed, and one that seems uncertain until the very moment of its accomplishment.

Nicholas Marston has used material in this draft to argue that the *suggestion*–not the actual *appearance*—of D as a key area was originally meant to play a more important role, not only in the first movement but throughout the entire sonata. In this draft (see excerpt below), we see that the end of the development, in the key area of D minor, leads into the recapitulation with a series of A

octaves. Instead of resolving, this dominant preparation for D is abruptly diverted back to B-flat major, and the recapitulation begins in the tonic without any dominant preparation. Marston compares and contrasts this juncture with the beginning of the development in the first movement of Piano Sonata Op. 10 no. 3, measure 133.

Sketch Example 5: Ms. 14396, London, 30V, Staves 3-4



Score Example L: First movement, Op. 10 no. 3, mm. 126 – 134



Marston also argues that "… the second group and development [of the finished first movement] may be understood as the composing-out of a III# (D-major) triad, which substitutes for the dominant that is conventionally understood to govern the same span in the Schenkerian conception

of sonata form."[142] This argument is for me undermined by the fact that the entire second group of the exposition is in G major, not D major. The D octaves that introduce the second group of the exposition are not tonicized, and the addition of C within two measures as the seventh of a V7 makes it clear that they are the dominant preparation for G major, the key in which the rest of the exposition follows.

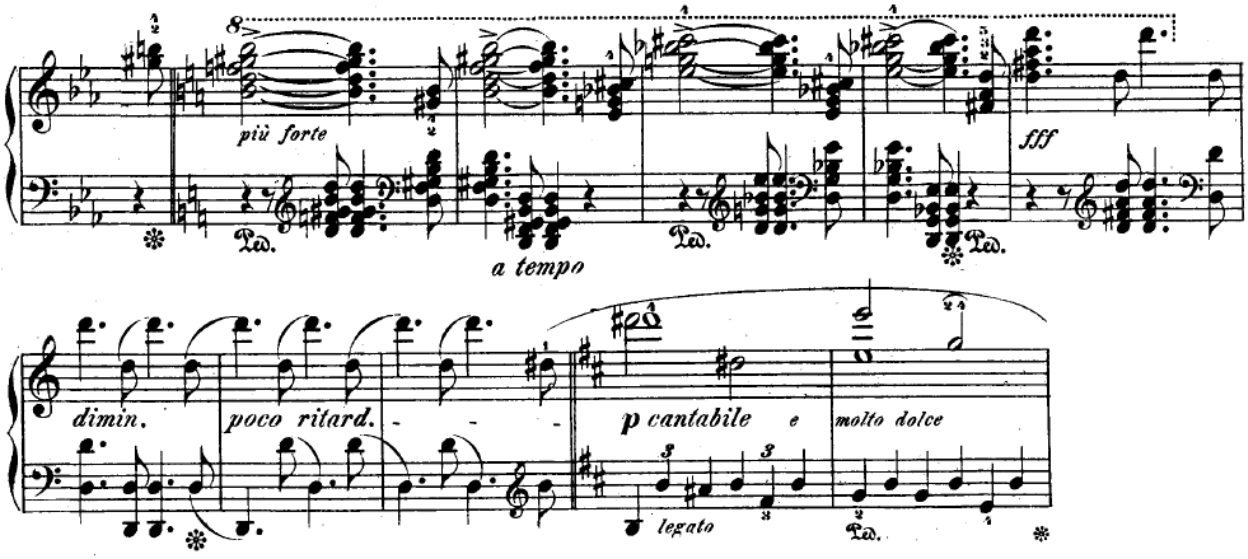
Score Example M: First movement of Opus 106, mm. 39 – 54



Moreover, the development section moves mainly between E-flat major and C minor; even when the D octaves reappear just before the magical detour into B major/minor (shortly before the recapitulation), they are not tonicized.

[142]Marston, "From A to B: The History of an Idea in the 'Hammerklavier' Sonata," 108.

Score Example N: First movement of Opus 106, mm. 194 – 202



Even though these D octaves do not give us any other pitches to betray tonal direction, the immediately preceding harmonies tilt us towards hearing them as dominant, not as tonic; and even if this were not the case, the memory of the D octaves in mm. 39 – 54 would incline us to hear them that way. This is not to say that G major and D major are not closely related; it is just that the relationship that Marston argues is retrograde to the way we usually anticipate key areas: D major is more often used to suggest G, than the other way around. Accordingly, my experience of the development of the first movement is exactly the opposite of Marston's argument: I hear, not the suggestion of D-major, but its actual appearance; and when it does appear, it is in order to suggest G-major, not itself, as the tonic. Because it is better supported by the sketch than by the finished work, this kind of argument seems to me to fall into the trap so succinctly characterized by Douglas Johnson:

> To enhance conceptually a relationship that the composer has gradually weakened is to reverse the compositional process and substitute the sketches for the work—in short, to contradict his intentions.[143]

[143]Johnson, "Beethoven Scholars and Beethoven's Sketches," 16.

Aside from the startling appearance of the key of B major (see ZB Example 2 above) among the early *Boldrini* sketches, and the fugue indications in *Boldrini* and on the desk-format sketchleaf, little of the sketch material we have for Opus 106 indicates, much less contains, overview planning of the first movement, the longest and most complicated sonata-form movement he had ever written. Even the one continuity draft we have was apparently attempted well before Beethoven had arrived at his final tonal plan for the development. In particular, the first-movement sketches in *Boldrini* (as given us by Nottebohm) are not only copious, but seem surprisingly note-heavy: much of the sketching is worked at the note-by-note level, mostly to determine motivic material. In early sketches for other works, Beethoven would not have spent so much initial energy on determining motive or melody; if something gave him that much trouble, he often moved to planning on a larger scale, leaving the problematic material to be dealt with later. Of course, it is impossible to know how much drafting Beethoven attempted or accomplished in the many missing standard-format sketchleaves for the first movement of Opus 106. But even if those missing standard-format sketchleaves did contain all the continuity drafts for the first movement, it is unusual for Beethoven to have filled so many pocket-leaves of fragmentary sketches for a single movement. Such activity looks like the attempts of someone who is out of ideas.

In his discussion of Opus 106 sketches, Nottebohm mentions only one sketch containing an overview of the entire work, clearly an early one, among the first-movement sketches in *Boldrini*:

ZB Example 12: Gustav Nottebohm, *Zweite Beethoveniana,* p. 126.





The second movement was to be a Menuet, normally the third movement in a traditional multi-movement sonata cycle; and an *Adagio* movement in either F-sharp major or F-sharp minor was to follow. Thus, before drafting a single note, Beethoven chose the *b*VI of B-flat major as the key for the third movement. Beethoven also knew the last movement was to be a fugue; but the inscription about the B-flat minor key is startling, and is not made clearer by the modifier: "where possible." (Could this be related to the climactic movement to B minor in m. 267of the first movement?) It is clear, at least, that the dynamic energy of the last movement was meant to form a strong contrast to the preceding *adagio*, although the sketch material has neither shape, rhythm, nor meter in common with the final form of the fugue subject.

Other than the above, Nottebohm offers us little from *Boldrini* that contains long-term tonal planning for the entire work; for another work, such overviews might ordinarily have been interspersed with the more detailed sketches Beethoven made for the first movement. Granted, our information for Opus 106 first movement sketches is incomplete and mostly second-hand; but it is doubtful that Nottebohm would not have spotted such sketches in *Boldrini* and thought them worthy of mention. Typically, in the composition of other works, it was not crucial for Beethoven to determine exactly the melodic material of one movement in order to continue planning of the whole work. Even if all the tonal overviews were written in the missing desk-format leaves, as they must have been, that would not have ordinarily been a reason for not writing any overviews at all in the pocket sketchbook he was using concurrently. Nor is there any reason to believe that the laborious work in Beethoven's pocket sketches for the first movement had no analogue in the missing desk-

format sketches: "[comparison] does show, not surprisingly, that the same problems hounded the composer out of doors as well as in."[144] *Boldrini* betrays the extraordinary degree of difficulty Beethoven had with the material for Opus 106, at the earliest compositional stages.

Again, for sketch material for the second movement of Opus 106, we must rely heavily upon Nottebohm. One of the earliest sketches for the second movement, the beginning of a Menuet, is one of a few sketches indicating that apparently B-flat minor was at one point to play a bigger role in the sonata.[145] The inscription makes clear, however, that he is not sure how the menuet will function in the entire work: perhaps as a fugue episode in a rondo form.

ZB Example 13: Nottebohm, *Zweite Beethoveniana*, p. 129.



Not only the key, but the character of this little Menuet fragment could not form a stronger contrast with that of the Scherzo of the finished work: rather than the raucous, sardonic quality and fast tempo of the Scherzo, this menuet is sedate and graceful, if a little melancholy for a *meno allegro* marking (if *men.* indeed stands for *meno* and not *menuet*), which is a slightly faster tempo than I might have guessed, otherwise. We see from the inscription that Beethoven was still not sure where this material should go: "also at the end Rondo moderato; or a fugue episode in B-flat minor." Eventually he did find a place in the second movement for B-flat minor: a canon in the Scherzo trio.

[144]Winter, *Compositional Origins of Opus 131,* 50.
[145]Nicholas Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier'," 444.

ZB Example 14: Nottebohm, Zweite Beethoveniana, p. 130



When later Beethoven decided that this trio section should have a much faster tempo, he also shifted to duple meter.

ZB Example 15: Nottebohm, *Zweite Beethoveniana*, p. 131.



In the final form that the trio took, the tempo is made to feel even faster by the subdivision of beats into three instead of two (eighth-notes); and B-flat minor is used to create an atmosphere of ominous and enigmatic uncertainty, in total opposition to the order and grace of the menuet planned earlier.

Score Example O: Second movement of Opus 106, mm. 48 – 52



If we trust Nottebohm's description of Beethoven's work on Opus 106, then we may assume that Beethoven had done much of the work for the first movement, but not brought it to completion, when he wrote the earlier sketches for the second movement, including the B-flat minor menuet in ZB Example 13. According to Nottebohm's article on *Boldrini,* Beethoven copied several measures of the B-flat minor fugue from Bach's *The Well-Tempered Clavier,* Book I, into one of the first few pages of *Boldrini* before he commenced sketching for Opus 106. It is not clear what, if any, relationship Beethoven's intention in copying these measures has to the composition of Opus 106.[146] However, another fugal sketch in *Boldrini,* made among late sketches for the first movement according to Nottebohm, also suggests an early plan for a finale in the parallel minor.

ZB Example 16: Nottebohm, *Zweite Beethoveniana*, p. 127.



Beethoven's experiments with the role of B-flat minor for the second movement indicate that, even after much of the first movement of Opus 106 had been completed, and its length and character (presumably) determined, Beethoven apparently not only had no (satisfying) tonal plan to follow in the composition of the following movements; but in his initial conception, the work as a whole had a character, in which the parallel minor mode would figure prominently, entirely different

[146]Nottebohm, *Zweite Beethoveniana*, 350-351.

from that of the finished composition. After the first movement that we know, it is hard to imagine the minor mode appearing more in Opus 106 than it does now in its finished form, in which the minor mode is confined mostly to the slow, third movement (and the Scherzo trio, discussed above). Clearly, from the start Beethoven was interested in the idea of a fugue finale (see above ZB Example 12); nevertheless, in toto, he originally had in mind a very different sonata than the one we know. Something in Opus 106 shifted fundamentally in the course of its composition. Its meaning was born from the process: not the other way around.

The next sketches of the second movement that Nottebohm presents (presumably after skipping over the greater part of the fifty-four pages of sketches in *Boldrini* pertaining to the second movement) provides recognizable material for this movement:

ZB Example 17: Nottebohm, *Zweite Beethoveniana,* p. 130.



Later sketches present the theme in more or less its final form, as well as several variants thereupon:

ZB Example 18 Nottebohm, *Zweite Beethoveniana,* p. 130



Score Example P: Second movement of Opus 106, mm. 1 – 4



ZB Example 19: Nottebohm, *Zweite Beethoveniana,* p. 130: variants upon the same material.



Some of these experiments must have been roughly contemporaneous with sketches on Bonn Mh 91, one of only three desk-format sketchleaves we have for the second movement of Opus 106. A sketch on the verso side of this leaf has triplets instead of the dotted-quarter/sixteenth-note rhythmic motive: compare with the second sketch (after the first *oder*) above.

Sketch Example 6: Mh 91 verso side, staves 1-3



By the time he wrote the continuity draft below for the first section of the Scherzo on Bonn 8/56, the only other desk-format sketchleaf we have, Beethoven had apparently decided that this version, very similar to ZB Example 18 above, was the best, marking it "*meilleur*":

Sketch Example 7: Bonn 8/56, verso side





Most of these sketches we have for the second movement bear an obvious relationship to each other; once the meter, basic character and opening phrase structure had been decided, it was not difficult to experiment with variation on the same material. Notice that the cute or gracefully turning

variations of the upbeat in *Boldrini* (see above ZB Example 19) ceded, in the end, to the more angular, off-balance dotted rhythms. And as with the first movement, the finished version is generally more daring, tonally and dramatically, than the corresponding earlier sketches, as few as those are. Compare the brief allusion in the sketch below to the B-flat/B-natural half-step, a tension that permeates the entire work, to its manifestation in the final form:

ZB Example 20: Nottebohm, *Zweite Beethoveniana*, p. 131.



Score Example Q: Second movement of Opus 106, mm. 160 – 171



This fundamental tension could not be more explicitly declared than in this conclusion of the second movement: the B-natural octaves shatter the ominous hush with terrifying ferocity and speed. Was this one of the turning points? I think that by the time he finished the second movement, he must have already understood that Opus 106 would have a very different emotional character than he had earlier planned.

Nottebohm describes the first sketches for the third movement, again, presumably in *Boldrini*, as "short and quite chaotic"; given how very good Nottebohm was at reading Beethoven's writing and understanding his intentions, one might guess this to be an understatement.[147] It took "a long time, " i.e., many sketches/pages, for "fixed ideas to emerge and rhythmically structured and developed themes to develop."[148] The earliest of the third movement sketches came from *Boldrini*; but since Nottebohm has already told us that only the last twelve of the 127 pages of *Boldrini* contained sketches for the third movement, one wonders how long "a long time" was, and which sketches constitute the "long time" before the successful development of themes. (We can identify the more developed sketches he provides on the pages of A 45, so is he referring only to the end of *Boldrini*, or to loose leaves we do not have?) The earliest sketch Nottebohm gives us in *Boldrini* evidences only the choice of key and the long melodic line of the third movement (see below).

ZB Example 21: Nottebohm, *Zweite Beethoveniana*, p. 133.



[147]Nottebohm, *Zweite Beethoveniana*, 133.
[148]Ibid.

Most of the early sketches for the third movement in Nottebohm's article have to do with the development of the first exposition melody; the sketch below, however, also includes a bass line and harmonization not so different from the final version.

ZB Example 22: Nottebohm, *Zweite Beethoveniana*, p. 133.



Since we know that Beethoven used *Boldrini* before A 45, correlating the standard-format loose leaves for the third movement to one of these two pocket-format sources is the only somewhat reliable means of ordering the loose standard-format leaves chronologically. Nicholas Marston has used similarity of content to link some of the loose leaves for the third movement to third movement sketches provided by Nottebohm in *Boldrini*. For example, after he had finished sketching the recto side of Mh 91, at some point Beethoven went back to it, and, with the same pencil that he used to sketch the reverse side, inserted the last eighth note G with a natural sign at the very end of the sixth measure (see below). Thus, with a single accidental he created the remarkable turn to the Neapolitan harmony for one measure, in the opening melody. This movement to the Neapolitan is also a feature in early sketches that Nottebohm gives for the third movement, presumably from *Boldrini*.[149]

[149]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier' Sonata," 433.

ZB Example 23: Nottebohm, *Zweite Beethoveniana*, p. 133.



Sketch Example 8: Mh 91 Recto side, staves 3-6



*The eighth-note G and natural sign added later in pencil.

This placement of Bonn Mh 91 as contemporary with the early phase of work of the third movement in *Boldrini,* and hence one of the earliest desk-format sketches we have for third movement, is corroborated by the second movement sketches on its verso side, shown above in Sketch Example 6. Linking the Bonn Mh 91 leaf to *Boldrini* suggests that the ideas on its recto side for the second theme of the exposition's first group, which have no counterpart in the sketches given by Nottebohm for the third movement, also belong to the earlier stage of third-movement sketching.

Sketch Example 9: Mh 91 recto side, Staves 5 and 6



Score Example R: Third movement of Opus 106, mm. 27 – 31



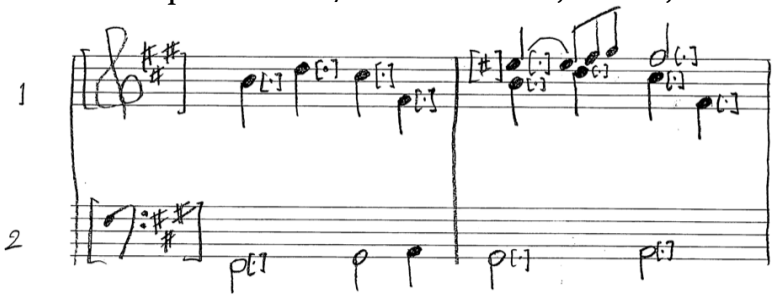
Similar material on both the UCLA Slezak leaf and another sketch from *Boldrini* allows us to also link the UCLA leaf to the earlier, *Boldrini* stage of sketching for the third movement.[150]

ZB Example 24: Nottebohm, *Zweite Beethoveniana*, p. 133.



[150]Nicholas Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier' Sonata," 432.

Sketch Example 10: UCLA/Slezak recto side, staves 1, 2



The reverse side of the UCLA leaf also contains variants of the second melody of the first group similar to those on Mh 91, which would make the UCLA leaf roughly contemporaneous with Mh 91: another reason to place this leaf with the *Boldrini* period of sketching.

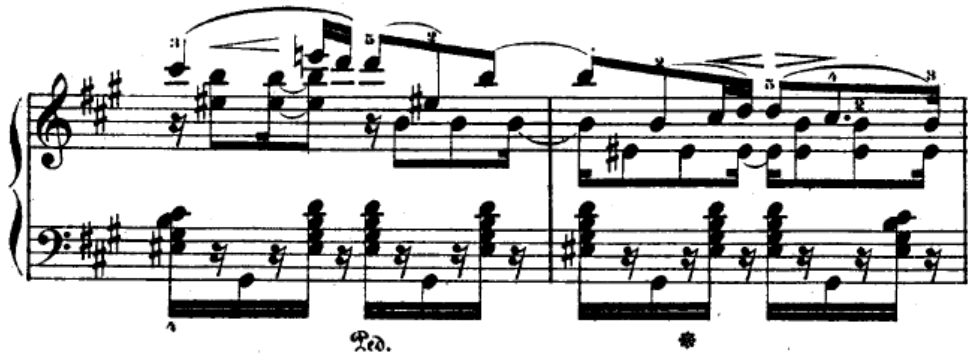
Sketch Example 11: UCLA/Slezak verso side, staves 5, 6



Sketch Example 12: Mh 91 recto side, staves 7, 8



Score Example S: Third movement of Opus 106, mm. 29 – 30



Finally, the same side of the UCLA leaf also contains a sketch in D major for the second group of the exposition comparable to but perhaps a little later than one in *Boldrini* in A major.

Sketch Example 13: UCLA/Slezak, verso side, stave 4



ZB Example 25: Nottebohm, *Zweite Beethoveniana*, p. 134.



Score Example T: Third movement of Opus 106, mm. 45 – 47



By placing Mh 91 and the UCLA leaf with early sketches in *Boldrini*, we can also see that Beethoven attempted to sketch larger structural junctions or details before fixing the details of the opening melody, as we might have expected in other phases of the composition of Opus 106. According to Nottebohm, Beethoven simultaneously worked out all parts of the third movement, rather than sequentially: "Beethoven hat aus dem Ganzen heraus gearbeitet und die Sache an allen Ecken und Enden angefasst [Beethoven worked from the whole and tackled it from every angle]."[151] However, as with the first and second movements, in neither desk-format sketchleaves nor in pocket-format sketchleaves do we find any telescoped or tonal overview planning for the entire movement, which would have been a helpful roadmap or means of organization for a movement so long. Early sketches for the development appear on the UCLA leaf, with the inscription Beethoven usually used to indicate the development section in a sonata movement:"2ter Theil."[152] At this stage the development was to begin in B minor, the minor subdominant (iv).

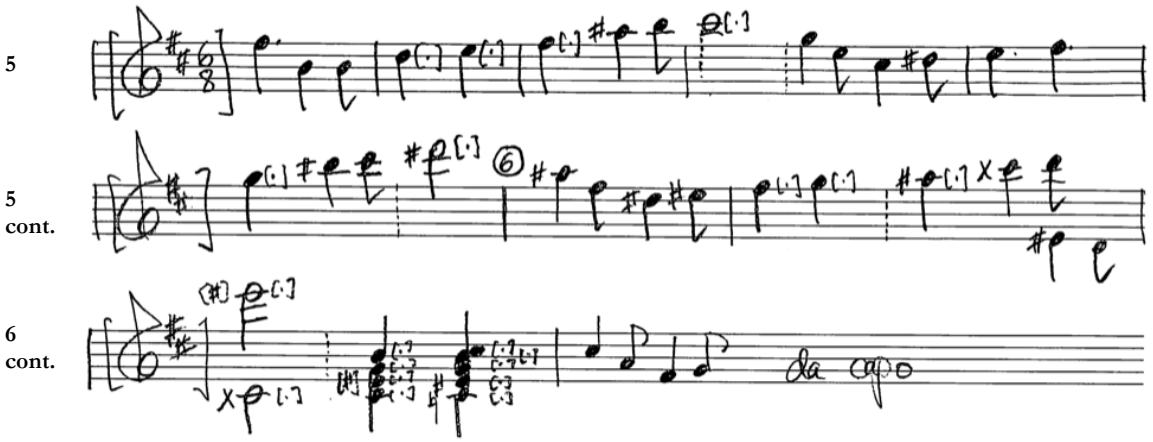
Sketch Example 14: UCLA/Slezak, verso side, stave 1



On the reverse side Beethoven sketched the retransition from the development to the recapitulation, the melody again indicating B minor.

[151]Nottebohm, *Zweite Beethoveniana*, 134.
[152]Winter, *Compositional Origins of Opus 131*, 138.

Sketch Example 15: UCLA/Slezak, verso side, staves 5-6[153]



The relative major (III), or of course the dominant (V), would have been a more conventional key choice for the development than the minor subdominant; on the other hand the subdominant would have reinforced on a larger scale the threat of B minor looming throughout the work. In its final form, rather than remaining a single key area, the development modulates constantly without even a moment's rest in a single tonal center, crying out with *sforazti* that alternate with *sotto voce* (i.e., *una corda*) passages. Hence the purpose of the development is not to merely provide a large-scale tonal tension that is resolved by the recapitulation; and the return of the tonic with the recapitulation does not provide the customary sonata-form feeling of closure or relief. Instead, the preparation for the recapitulation is a three-measure dominant pedal point that goes from *diminuendo* to *smorzando*; and the *una corda* pedal is only slowly released as the recapitulation begins. The sketch below from *Boldrini* supplied by Nottebohm shows that even before the opening melody took its final shape, Beethoven planned to end the movement in the parallel major: a decision unusual, if not unique, in all of Beethoven's oeuvre. Again, the prominent use of a minor subdominant would have provided a latent B-natural opposition to the A-sharp (B-flat) of a closing chord in the major tonic. In its final form, the third movement instead expresses the prevalent half-

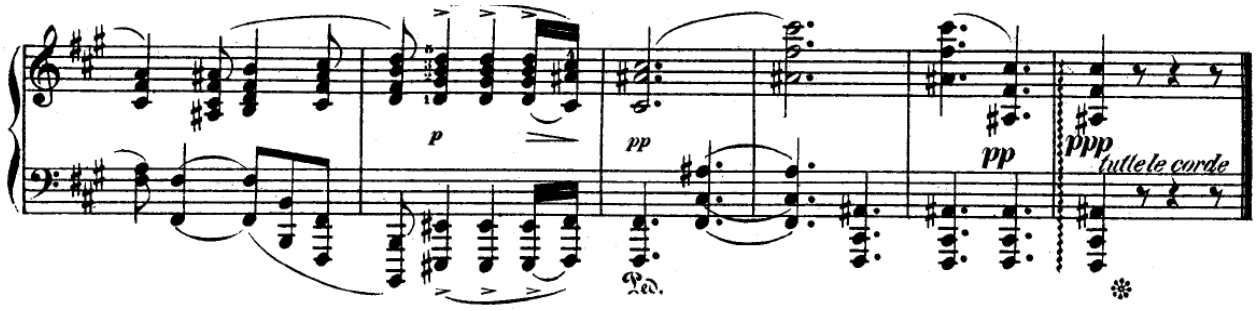
[153]Nicholas Marston has also transcribed this sketch in his *JAMS* article "Approaching the Sketches for Beethoven's 'Hammerklavier' Sonata."

step tension as D to C-sharp, a tension whose final resolution is sweetened by ending in the major mode. As it turns out, the global tension left by the third movement, the only of the four movements not in B-flat major, is not the reinforcement of the B-flat to B-natural conflict, but its conclusion in *b*VI. It is a separate peace; it cannot be the last word.[154]

ZB Example 26: Nottebohm, *Zweite Beethoveniana*, p. 134.



Score Example U: Third movement of Opus 106, mm. 182 – 187



The next sketches presented by Nottebohm show the first melody of the exposition in something close to its final form, and can be identified as a fairly lengthy draft found on fol. 4r of A 45, the pocket sketchbook Beethoven used after *Boldrini*.

[154]Susan McClary, "Pitches, Expression, Ideology: An Exercise in Mediation," *Enclitic* 7, no. 1 (Spring 1983): 78.

ZB Example 27: Nottebohm, *Zweite Beethoveniana*, p. 134 – 135; also from **A 45, fol. 4r**.



But the longest and most detailed draft we have on any standard-format sketchleaf for the third movement is contained on two leaves that Marston has succeeded in connecting by means of contiguous musical content: the Leningrad leaf and the Vienna Nationalbibliothek leaf.[155] This draft, extending from the recto side* of the Leningrad leaf and continuing on staves 6 and 7 of the Vienna leaf, completes the first group of the exposition and continues on to the second group. Marston links the Leningrad leaf to the UCLA leaf, in turn, by common content, namely the development-recapitulation transition. Since the UCLA leaf sketches are demonstrably related to *Boldrini* sketches, all three leaves can then be assigned to the earlier, *Boldrini* stage of sketching for the third movement.[156] However, the Vienna/Leningrad draft shares something in common with the draft above from A 45, hence a later stage in the third movement's composition: a longer stay in the Neapolitan. Instead of a single measure, as in Bonn Mh 91 and the earlier sketches from *Boldrini* (also in ZB Example 23 above), the pathos of the G-major key area is drawn out to two measures in the draft from A 45, fol. 4r (also in ZB Example 27 above), by remaining in the key area of *b*II with

[155]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier,' Sonata," 418.
*The same page is called the verso side of the leaf in Nicholas Marston's article, and called the recto side in Klimovitzky's article.
[156]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier,' Sonata," 430 – 432.

an E-natural and the subdominant of *b*II instead of returning immediately to the tonic with an E-sharp, hence dominant of F-sharp minor.

ZB Example 28: earlier *Boldrini* sketch



ZB Example 29: taken again from Nottebohm, *Zweite Beethoveniana*, p. 134 – 135; also from **A 45, fol. 4r**.



Score Example V: Third movement of Opus 106, mm. 14 – 16



The more wistful subdominant intensifies the poignancy and tenderness of this Neapolitan key area.

However, we see that Beethoven soon thought better of it, and decided to make even more of a good thing by doing it one more time. Note that the A 45 draft (also in ZB Example 27 above, included again below) moves only once to the Neapolitan, after which the melody moves straight to what would be the cadential material after the second Neapolitan appearance of the final version. On the desk-format fol. 1v of Bonn Mh 93, Beethoven wrote an elaboration of the A 45 draft, not only with the addition of fleshed-out chords, but also with an elaboration in length, inserting

material in order to allow a repeat excursion to the pathetic Neapolitan: thereby doubling, for a second time, the amount of time spent in that key area. I have numbered measures in the A 45 draft and the Mh 93 draft according to the corresponding measure numbers of the final version of the exposition. Since analogous passage in the Leningrad/Vienna Bibliothek leaf is in the recapitulation of the sketch, I have not numbered those measures; but the two episodes in the Neapolitan are very clearly read, on the Vienna leaf.

ZB Example 30: taken again from Nottebohm, *Zweite Beethoveniana*, p. 134 – 135; also from **A 45, fol. 4r**.



Sketch Example 16: Mh 93 fol. 1v, Staves 1-5: mm. 17, 18, 19, 20, 21, 22



Score Example W: Third movement of Opus 106, mm. 2 – 26



Sketch Example 17: Leningrad leaf, recto side: beginning of draft



Continued on Vienna Bibliotheknational PHA 157: staves 6, 7, 9, 10, 12, 13



Since the Leningrad/Vienna draft has, without any amendments or insertions, both 1) the extension (from one to two measures) of the Neapolitan key area; and 2) the repeat of the Neapolitan key area, it was likely written after the draft on A 45 fol. 4r, and either after or around the same time as the sketches in Bonn Mh 93. But the Leningrad/Vienna draft has already been linked by means of shared content with the UCLA leaf to *Boldrini*, hence the earlier, pre-A 45 stage of sketching.[157] The too few desk-format leaves we have for the third movement, besides giving caution to the chronological linking of leaves by shared content, are consistent with Nottebohm's description of Beethoven's work on the third movement, and demonstrate a degree of overlap or simultaneity of work on diverse parts even greater than usual for Beethoven. Such a degree of overlap also suggests difficulties, of course; it was a common strategy for Beethoven to shift his focus when he found himself struggling with a particular area. Could the third movement have given

[157]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier,' Sonata," 413 – 414.

him so much difficulty that he was always in this state of oscillation, moving from one hard spot to one ever harder? But why did such shifts leave behind so little evidence of long-term planning, either for the movement or for the rest of the sonata?

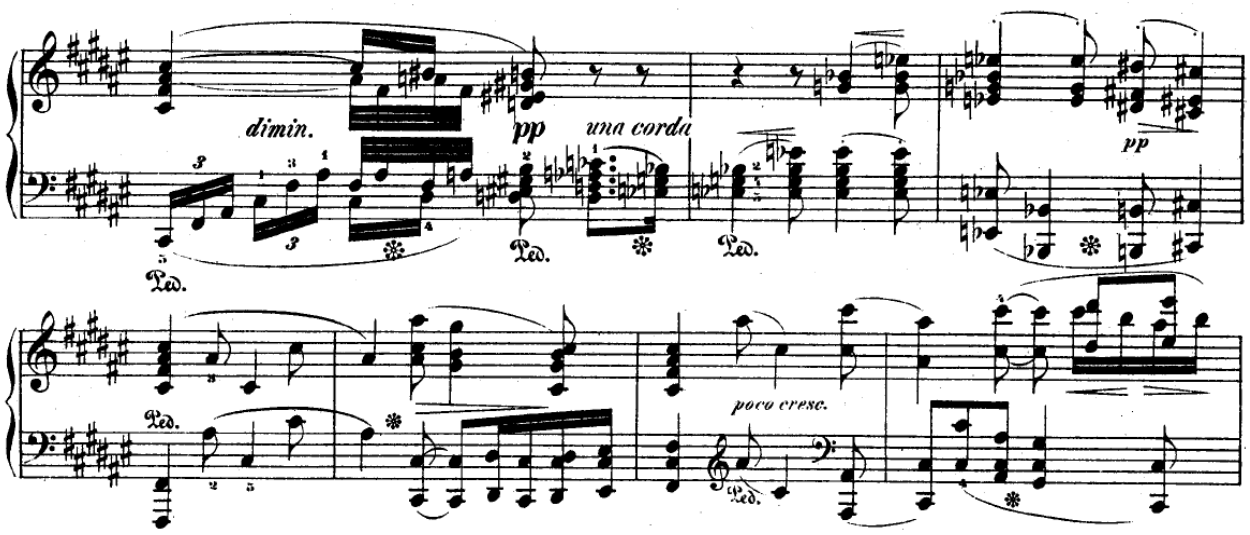
Vienna A 45, 1818

The last sketch that Nottebohm provides in his discussion of the third movement sketches, from the first page of A 45, contains closing material that in the final version appears at the end of the recapitulation and leads into the coda. Note that sketch in the first measure suggests a cadence in F-sharp major (as in m. 147 of the final version); the sketch in the second measure begins with the same chord, but cadences in D-flat major; and Beethoven's inscription below the system also offers E-flat major as a harmonic destination for the material.

ZB Example 31: Nottebohm, *Zweite Beethoveniana*, p. 135; also **A 45 fol. 1r**



Score Example X: Third movement of Opus 106, mm. 145 – 151



As the only extant sketchbook for Opus 106 that still has any structural integrity (whether virtual or actual), A 45 is the only original source that covers any significant span of Beethoven's work on Opus 106 in its original order. In its current condition it contains 36 leaves, of an original 40 leaves, in a single gathering.[158] In his June 1819 letter to the Archduke, Beethoven implied that he had finished the first two movements of Opus 106 before April 1818; but two other sketches for the second movement suggest the contrary. On fol. 25r of A 45 Beethoven wrote two pages of sketches for the second movement that suggest that certain of its final details had not yet been set. At the bottom of the recto side the raucous diminished 9th chord reintroduces the da capo, as in the final version; but it is followed by a variant of the melody that resembles one of those in ZB Example 19, as well as a caption: "first varied then again simple."

Sketch Example 18: A 45, fol. 25r, staves 10, 11 (also p. 132 of *Zweite Beethoveniana*)



The verso side of the leaf provides a sketch of the end of the second movement (Both Sketch Examples 18 and 19 are also included by Nottebohm in *Zweite Beethoveniana*).

Sketch Example 19: A45 fol. 25v, staves 6 – 9 (also p. 132 of *Zweite Beethoveniana*)



[158]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 351.

It is on this leaf that Beethoven wrote the entry, presumably to himself, which Winter uses to bound the time period in which A 45 was used:

> Ein kleines Hauss allda so klein, dass man allein nur ein wenig Raum hat
> Nur einige Täge in dieser göttl. Briel
> Sehnsucht oder Verlangen
> Befreiung o. Erfüllung
>
> A little house so small, where one has only a little room
> Only a few days in this heavenly Brühl
> Longing or desire
> Release or fulfillment

Beethoven noted in his Tagebuch that on May 19 he had arrived in Mödling, the town neighboring the Brühl valley, where he spent the summer with his eleven-year old nephew, Karl.[159] Therefore the above entry on the 25th leaf of A 45, and presumably the second movement sketch on the same page as well, must have been written after that date, perhaps in late May; and A 45 must have been started before that date, perhaps in April, if one roughly estimates the date based on Beethoven's rate of consumption of pocketbooks. If A 45 was the very next pocketbook Beethoven used after *Boldrini* (i.e., there was no intervening pocket sketchbook), then *Boldrini* would have been in use from late the previous fall until April 1818, when he obtained or made A 45. The continuity between *Boldrini* and A 45 is taken as a premise in order to help date their usage; but the only evidence that supports that premise is that both of them contain sketches for the third movement of Opus 106.

The beginning pages of A 45 contain sketches for the third movement signaling the early stages of the second group: in D major (Sketch Examples 22 and 23) as in the exposition, and in F# major (Examples 20 and 21), as in the recapitulation.

Sketch Example 20: A 45 fol. 1r, stave 7



[159]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 353.

Sketch Example 21: A 45 fol. 1v, staves 3, 4



Sketch Example 22: A45 fol. 2v, stave 1



Sketch Example 23: A45 fol. 7v, stave 2



In the last three of the examples above, the division of eighth notes has increased from duple to triple, as in the second iteration of the final form, mm. 49 – 51.

Score Example Y: Third movement of Opus 106, mm. 45 – 51

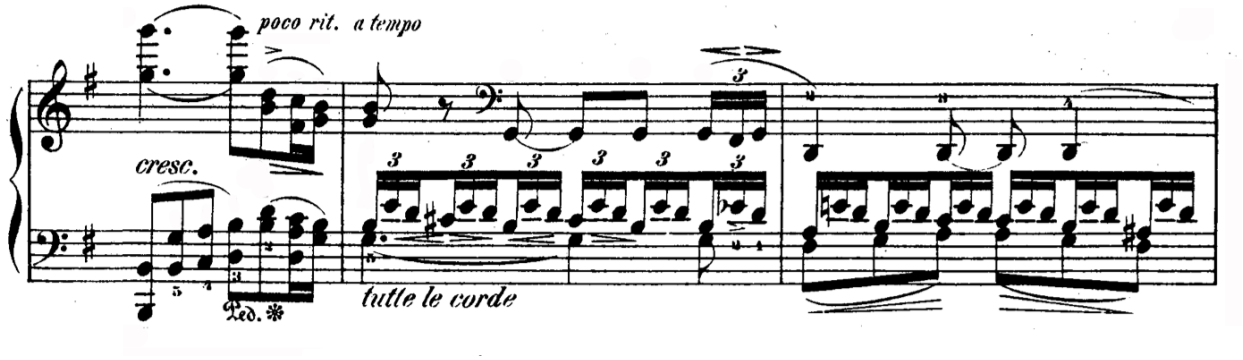


In addition to D major and F# major, the second group is also sketched in G major: perhaps the first indication of the key scheme for the coda.

Sketch Example 24: A 45 fol. 1v, stave 3

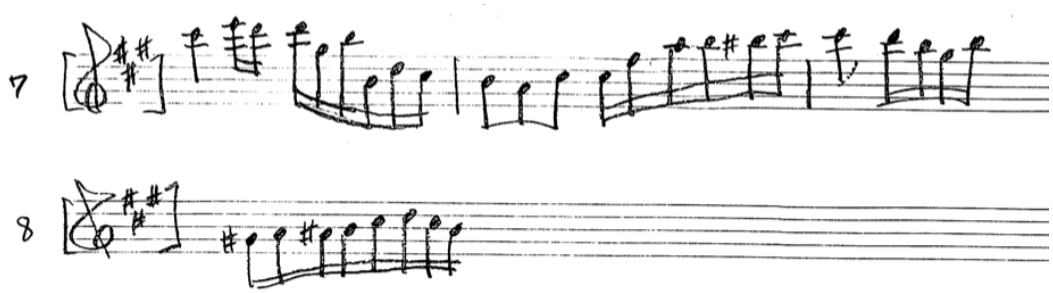


Score Example Z: Third movement of Opus 106: coda, mm. 157 – 159



Meanwhile Beethoven continued to develop further details on the second melody of the first group, such as smaller note values and more ornamental figuration. Compare stave 7 of the example below to measure 29 of the finished work, and stave 8 with measure 33.

Sketch Example 25: A 45 fol. 6v, staves 7, 8



Score Example AA: Third movement of Opus 106, mm. 27 – 33



The rest of the sketches in A 45 pertaining to the third movement of Opus 106 are concerned for the most part with the opening melody and the second-group material: variants thereupon, or the addition of details (mostly harmonic). On the recto side of fol. 11 we finally find the climax of the second group: in D major, or VI, in the exposition; and in F-sharp major, or the parallel major of the tonic, in the recapitulation.

Sketch Example 26: A 45 fol. 11r, stave 3



Score Example BB: Third movement Opus 106, mm. 142 – 143



A sketch for the same area and other abundant sketch material pertaining to the second group on desk-format leaf Bonn NE 193 suggest that this leaf is contemporaneous with A 45.

Sketch Example 27: Bonn NE 193 fol. 1r, staves 12, 13



Nicholas Marston has determined that a scrap in the album of Vincent Novello (currently unavailable) is actually the missing, cut-out section missing from the Pierpont Morgan/Phillips leaf.[160] Accordingly, although they cannot be joined physically, they nonetheless together form another complete, if virtual, desk-format sketchleaf for the third movement of Opus 106. A sketch fragment on the "Novello" portion of this leaf contains material from the same section as in the

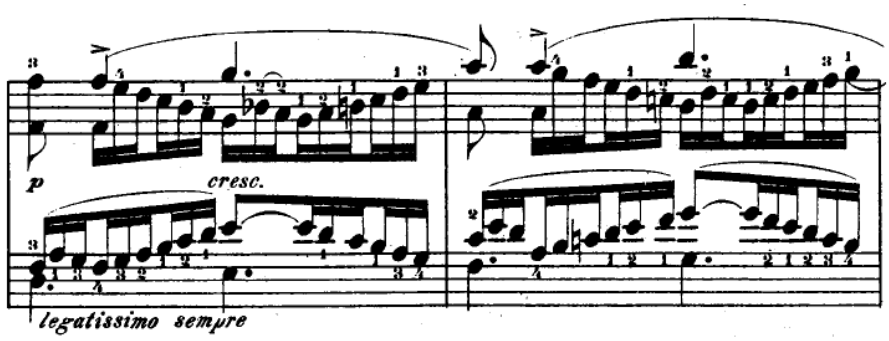
[160]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier,' Sonata," 411.

above sketch, and perhaps written around the same time. (I have numbered the staves as though it had been joined to the Pierpont Morgan/Phillips Leaf to form a single 16-stave sheet.)

Sketch Example 28: Cary Phillips/Novello leaf, recto side, staves 12, 13



Score Example CC: Third movement of Opus 106, mm. 53 – 54



A 45 also contains sketch material for the closing material of the exposition/recapitulation (including the sketch in ZB Example 31 above, given again below): a completion of material sketched earlier in *Boldrini*.

ZB Example 32: Gustav Nottebohm, *Zweite Beethoveniana*, p. 135; also **A 45 fol. 1r**



Sketch Example 29: A 45 fol. 12r, staves 11, 12



Score Example DD: Third movement of Opus 106, mm. 146 – 155



A sketch on fol. 12, verso side, and continuing on the following page, leads into the coda.

Sketch Example 30: A 45 fol. 12v, staves 1-4 and fol. 13r, staves 3-4.



Nottebohm's statement that Beethoven simultaneously worked out all parts of the third movement is again borne out by a sketch Beethoven made earlier in A 45 than the last sketches shown above: the end of the third movement, as indicated by the vertical squiggly line.

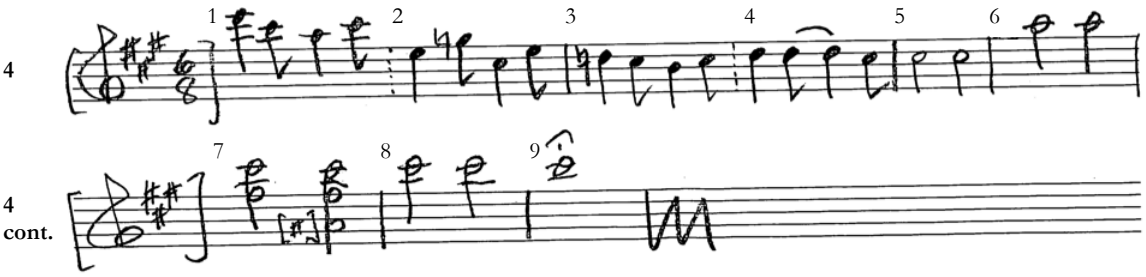
Sketch Example 31: A 45 fol. 10v, staves 10 – 11.



Mh 93 also contains a draft of the conclusion of the third movement with an intermediate measure of A's preceding three final measures of C-sharp. (I have left Beethoven's rhythmic notation in the

last five measures as he wrote it, despite its inconsistency with the meter, because I was not willing to replace them altogether with dotted quarter-notes; I think that the intention is sufficiently clear for the sketch to be read, without making such a substitution.)

Sketch Example 32: Bonn Mh 93 fol. 2r, stave 4



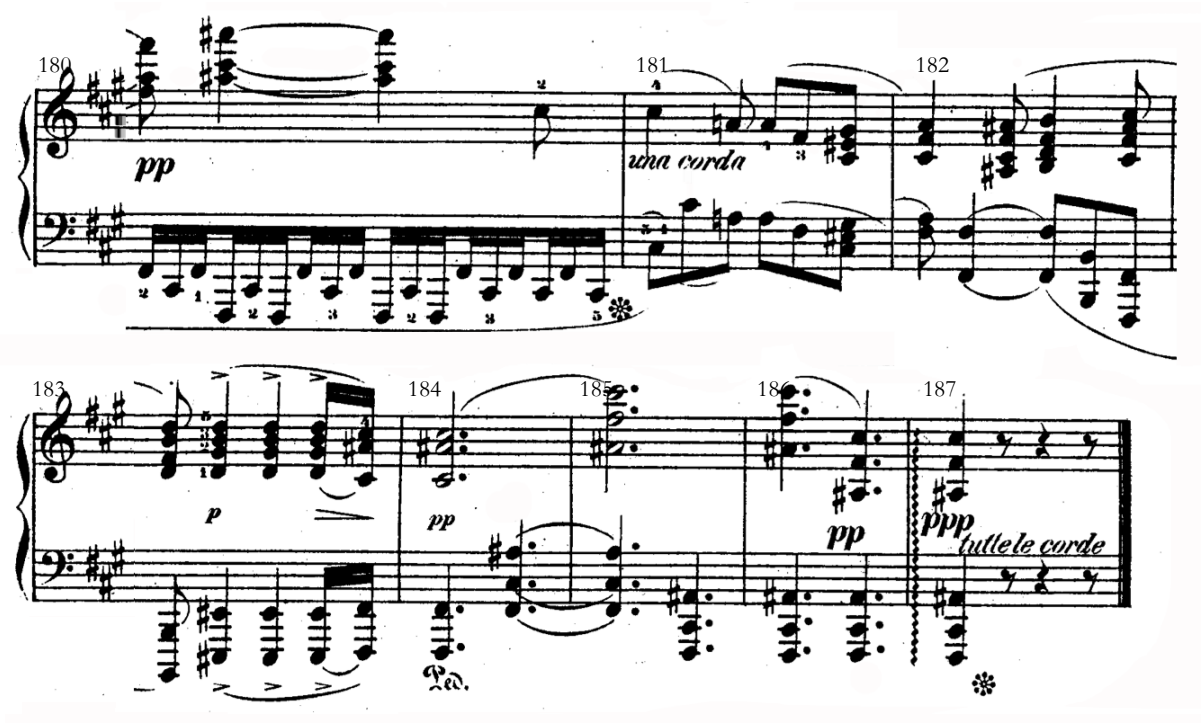
As in Sketch Example 31 above, these A's (m. 6) do not have sharp signs, but it is not impossible that Beethoven intended them to be A-sharps. Presuming a missing sharp-sign would suggest a further emphasis on the third degree and thus the major mode; reading the sketches as written suggests perhaps VI harmonization for them. Since earliest sketches of the third movement include an ending in the major mode, however, I have presumed the sharp-sign to be understood in m. 7.

Sketches a few pages later in A 45 show the closing melody in almost its final form: without the intermediate A, resolving directly to the C-sharp from the D. However, in the first sketch below, instead of the vii°7 harmonization in the corresponding measure of the final version (m. 183), Beethoven still clung to the pathos of the Neapolitan mode so crucial throughout the movement, placing a G-natural in the lower voice of the third measure. The Neapolitan gives the ending the feeling of a half-cadence, needing to resolve to B minor: perhaps less closure than Beethoven wanted, even for a fragile tranquility.

Sketch Example 33: A 45 fol. 11v, stave 1

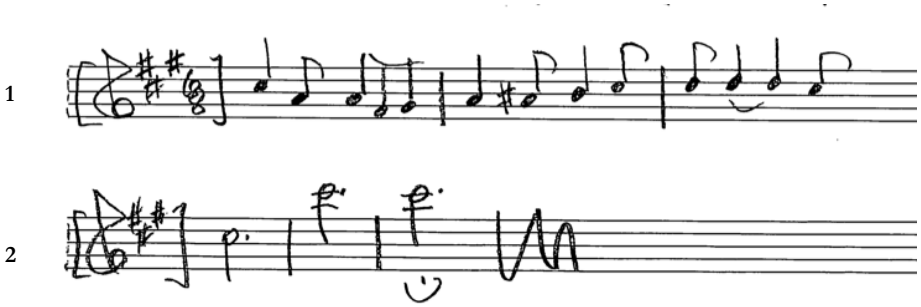


Score Example EE: Third movement of Opus 106, mm. 180 – 187



In the following sketch, a few pages later in A 45, one measure of D's (dotted quarter-note) between the chromatic ascent and the resolution to the fifth degree has been taken out, and, it seems, the passing Neapolitan with it.

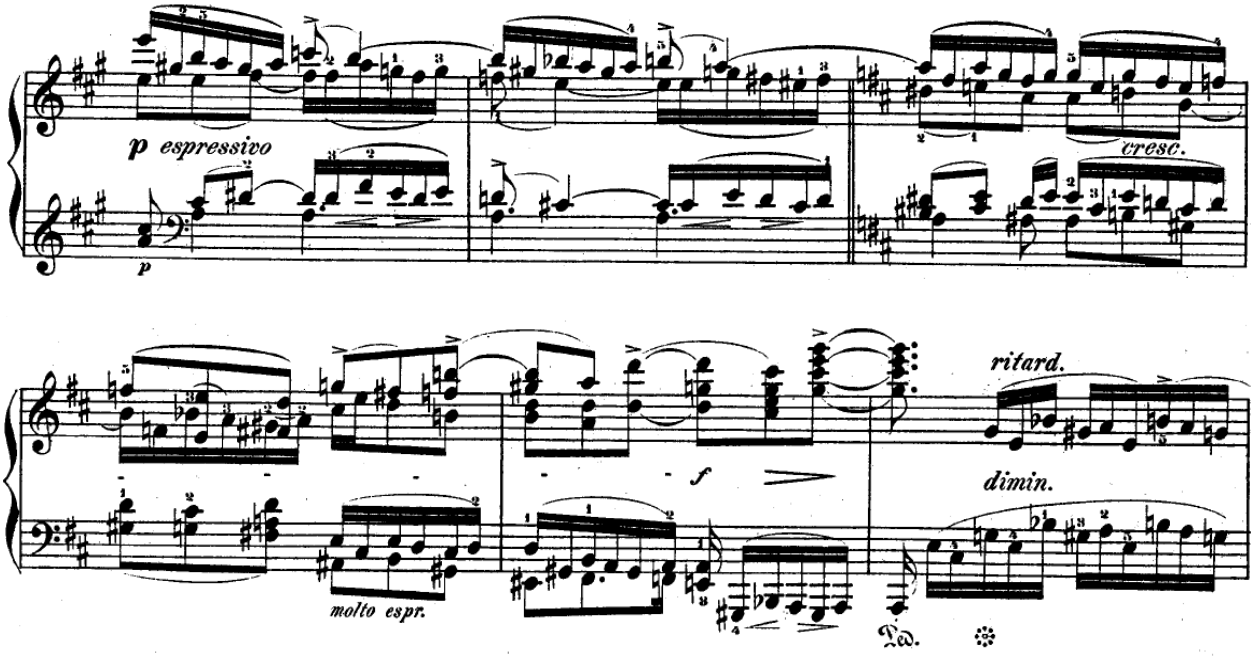
Sketch Example 34: A 45 13R, staves 1, 2



Thus, it is undeniable that despite the lack of continuity in most of the sketches, A 45 does contain sketches relating to most of the important areas of the third movement. At the same time, it is of course disappointing that with so few desk-format leaves for the third movement, we are able to witness the development of material perhaps even less fully than we did for the first and second

movements—especially considering the wealth and complexity of material that the third movement offers: the contrapuntal transition to the second group of the exposition, for example.

Score Example FF: Third movement of Opus 106, mm. 39 – 44

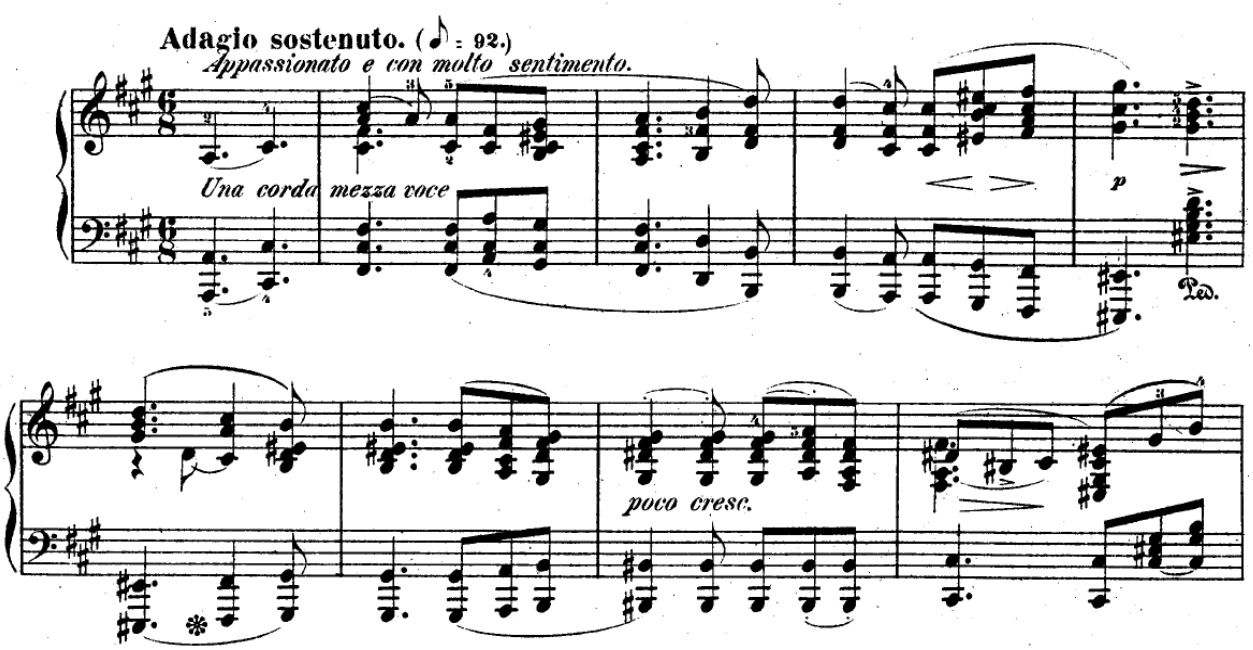


Beethoven filled 71 pages of pocket sketches in *Boldrini* for the 405 measures of the first movement; and 53 pages of pocket sketches for the 175 measures of the second movement. For the latter, one might take into account the fact that the scherzo/trio form presumably left comparatively little for Beethoven to sketch for the last section of the second movement, as well as a general impression that sketching for the second movement came a little easier than for the first movement. Starting from its beginning, about 21 pages of A 45 contain sketches for the third movement; together with the sketches from *Boldrini* and Mendelssohn 2 miscellany pertaining to the third movement,[161] they add up to a total of 41 pages of pocket sketches for 187 measures of music: fewer than Beethoven had written for the second movement. It seems to me this number of pocket sketch pages could be a little low for the drafting of the third movement, given that the measures of the

[161]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier,' Sonata," 421 – 422.

third movement are much denser in material (as well as much longer) than those of the second movement. The sonata/variation form of the third movement also has of course much greater structural complexity than the second movement. For example, the first group of the exposition alone has two sections/themes (mm. 1 – 26 and mm. 27 – 40, respectively), followed by a second group in the relative major, and then the closing material to the exposition. As in the first movement, the recapitulation of the third movement brings back much of the exposition material; but the first group of the recapitulation, to take another example, is a very ornate variation of its counterpart in the exposition. It is hard to imagine that Beethoven would not have needed to do a great deal of sketching to finalize this part of the third movement.

Score Example GG: Third movement of Opus 106, mm. 1 – 9



Score Example HH: Third movement of Opus 106, mm. 86 – 93, recapitulation/variant of mm. 1 – 7; melody notes from mm. 1 – 7 appear in red.



But beyond structural or tonal concerns, the third movement travels immense emotional distances. Giving voice to the character of each section and negotiating the emotional—more than the musical—syntax of transitions between sections would have been Beethoven's chief, and most difficult tasks in the third movement of Opus 106. Given that throughout *Boldrini* Beethoven struggled to string more than a half-dozen measures of melody together at a time, one can only

wonder how many pages Beethoven filled before attempting for the first time that leap to continuity draft that we observed in the composition of Opus 131.

If Nottebohm had the same desk-format leaves that we do for Opus 106, why would he say in his introduction that *particularly* sketches for the third movement were missing, when we have even fewer desk-format leaves for the first and second movements than we do for the third movement? As Marston has observed, Nottebohm's use of the words "two pages earlier [than the other]" to describe one of the third movement sketches surely implies a bound book, hence *Boldrini*, since one could not describe thus any sketch found on a loose leaf. If Nottebohm was describing primarily content in *Boldrini* in his discussion of sketches for the third movement, then the statement that there are more missing leaves for the third movement than for any other may be referring to missing pocket leaves, and not to standard-format leaves (taking as a given the understanding that we have very few desk-format leaves for <u>any</u> of the first three movements). Sieghard Brandenberg, a Beethoven scholar and archivist, has determined that several pages of the miscellany Mendelssohn 2, namely pages 1-4, 43-46, 55-56, 93-94, and 95-98, were originally part of A 44, the pocket sketchbook Beethoven used after A 45.[162] Of these pages taken from A 44, four of them contain sketches for the third movement; but Mendelssohn 2 also contains four pages of pocket sketches for the third movement that were <u>not</u> part of A 44.[163] Since Beethoven wrote the first pocket sketches for the third movement in *Boldrini,* and was sketching only the last movement by the final pages of A 45, the Mendelssohn 2 pocket sketches for the third movement that were <u>not</u> part of A44 must have fallen between *Boldrini* and A 45. If there are missing leaves that were once associated with those Mendelssohn 2 pocket leaves, they likely would have contained sketches for the third movement; perhaps those Mendelssohn 2 pocket leaves that do not belong to A 44 were once part of another entire pocket book.

[162]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 355.
[163]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier' Sonata," 420 - 421.

On the other hand, it is hard to imagine Beethoven using up an entire additional pocketbook, i.e., potentially as many as 96 pages, in between *Boldrini* and A 45, for sketches devoted mostly to the third movement (such a hypothetical pocketbook might have also had a few sketches for the second movement, or even for the fourth movement, interspersed with third movement sketches). Were this the case, the number of pocket-sketches for the third movement of Opus 106 would be more than tripled. Pocket sketches in A 45 for the third movement ought perhaps to have been a little further along if they had followed nearly a hundred previous pages of pocket sketches; of course, it is also possible that a missing pocket sketchbook could have contained significantly fewer than 96 pages. Perhaps during his summer stay in idyllic Brühl Beethoven's daily walks took a different routine than they did when he was living in the city; or for other reasons his outdoor sketching of the third movement was curtailed. The question gains in importance because missing pocket-format sketchleaves for the third movement imply corresponding desk-format sketchleaves that are also missing. The beginning of Nottebohm's discussion of Opus 106 tells us that he was already missing "the later and last written sketches"; and certainly that applies to the third and longest movement. Looking at the sketches for the third movement in *Boldrini*, A 45, and the standard-format leaves, one is inclined to agree with Nottebohm's assessment: despite the fact that we have in number many more sketchleaves for the third movement than we do for the first and second, we <u>are</u> missing sketches especially for the third movement. To be more specific, we have little documentation of that moment, the leap of decision-making necessary to a continuity draft. Looking at the finished product, we know there must have been many such moments.

I mentioned earlier that, in connection with the earliest tonal planning Beethoven made for the entire sonata, the earliest sketch that might be connected to the fourth movement of Opus 106 is found among advanced sketches for the first movement in *Boldrini* (ZB Example 16 above, included again below).

ZB Example 33: Gustav Nottebohm, *Zweite Beethoveniana*, p. 127.



This and other earliest sketches (Examples ZB.12 and ZB.16 above, included again below) for the fourth movement have little enough in common, other than the minor mode and Beethoven's clear intention to conclude Opus 106 with a fugue.[164]

ZB Example 34: Gustav Nottebohm, *Zweite Beethoveniana*, p. 127



According to Nottebohm, the following sketch for the last movement was written about the time the third movement was "just beginning to emerge."[165]

ZB Example 35: Gustav Nottebohm, *Zweite Beethoveniana*, p. 136.



Nottebohm's guess that at least one of these sketches (the one directly above) was intended for the introduction to the last movement, and not part of the fugue proper, seems a reasonable one.[166] However, playing devil's advocate for a moment, if I suppose that the third movement was originally to be followed by a finale entirely in the minor mode, Opus 106 would have become perhaps the only canonic piano sonata to begin in the major mode and end in the minor mode, as well as the only such in Beethoven's oeuvre. (Brahms' Opus 119, no. 4 is one of the few examples of piano

[164]Nottebohm, *Zweite Beethoveniana*, 136.
[165]Ibid.
[166]Ibid.

works beginning with the major mode and ending in the minor mode that come to mind. There are numerous examples of piano sonatas or multi-movement works that, conversely, begin in the minor mode and end in the major mode, no doubt reflecting our penchant for unexpected happy resolutions: Beethoven's Opus 90 and Opus 111, the Brahms D minor concerto, the Chopin B minor sonata, etc.) But the double switch of a third movement in the minor mode, a conclusion of the third movement in the major mode, and a finale in the minor mode would create what I call the "I-thought-I-was-wrong-but-I-was-mistaken," or "I-knew-it-was-too good-to-be-true(-and-I-was-right)" effect. The ending to the challenge proclaimed by the opening chords of the first movement was perhaps not initially meant to be a happy—or to use the most common Beethoven paradigm—a triumphant one, at least not in the way we are accustomed to hearing Beethovenian triumph. Although mode is only one of countless musical parameters that contribute to the trajectory of any musical work, one cannot deny that it so powerfully controls emotional context that, to those who know Opus 106, a finale in the minor mode is unimaginable. Does the major mode of the finale represent a change of heart Beethoven had for the final outcome of Opus 106?

Whatever his reasons, Beethoven was already moving towards this decision when he wrote the first sketch of what would become fairly steady work on the finale of Opus 106. On the third page of A 45, Beethoven sketched a theme totally different in character, shape, and meter from the earlier fugue sketches above. The opening rhythm, not wholly unrelated to the countersubject of the final version, appears again in measure 8, perhaps as the fugal answer to the subject in the tonic; by measure 10 (beginning of the second stave), the theme has modulated to the dominant. The fact that Beethoven wrote this sketch some four pages before writing the first draft we have of any length at all relating to the opening of the third movement suggests, again, an unusually high degree of overlap between work on the third and fourth movements.

Sketch Example 35: A 45 fol. 2r, staves 1-2



Despite the lack of key signature common in Beethoven's sketches, the E-natural in measure 8 and the A-flat sign in measure 14 indicate that the key is indeed B-flat major, the only likely key signature requiring both of those accidentals, and not B-flat minor. The sketch also shares an emphasis on sequences and relationships by thirds, already sufficiently clear to indicate beginning work on the last movement, with a fourth movement sketch made earlier amongst sketches for the first movement, presumably from *Boldrini*.

ZB Example 36: Gustav Nottebohm, *Zweite Beethoveniana*, p. 129; missing treble clef and key signature.



Apparently the above sketch on fol. 2r of A 45 was important enough for Beethoven to go over it again in ink after initially writing it in pencil (presumably outdoors). The sweet 6/8 meter and descending sequence of rising three eighth-note units actually remind me of a sonata yet to be written: Opus 109.

Score Example II: Last movement of Opus 109, variation IV



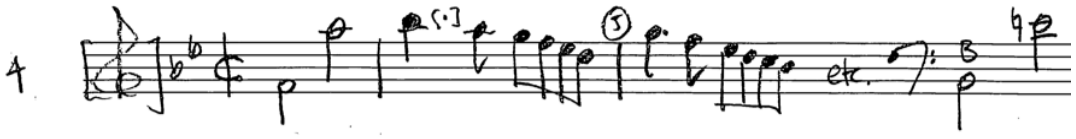
Even if the relationship of the above A 45 sketch to the fugue subject of the last movement seems unclear, subsequent sketches reveal a steady train of thought to a B-flat major fugue subject in a ¾ time signature with emphasis on triadic notes and commencing with a startling leap of a tenth. The following page of A45 contains several potential fugue subjects.

Sketch Example 36: A 45 fol. 2v, staves 3, 7



A fugue subject on stave 4 even includes the tri-tone leap of the answer, which was evidently an idea from the very beginning. It was also sufficiently unusual an idea as to require Beethoven to write down the clef change and then actually write out the name of the first pitch, so as to be sure not to misunderstand himself later.

Sketch Example 37: A 45 fol. 2v, staves 4 – 5



On page 44 of Mendelssohn 2 (originally part of A 44), Marston has found content corresponding to content on the Pierpont Morgan Cary/Phillips leaf, which contains sketches for both the third and fourth movement of Opus 106.[167] It is not clear what relationship much of the other material on this page of the Mendelssohn 2/A 44 leaf has to any part of Opus 106; Marston has suggested that it might constitute sketching for a companion work to Opus 106. This apparent link between the Pierpont Morgan Cary/Phillips leaf, which contains sketches for the third movement, and A 44, which contains only last movement sketches and thus represents a later period in the composition of Opus 106, is perplexing. Marston postulates that this standard-format leaf actually does belong chronologically to a period earlier than A 44, i.e., when Beethoven was still working on the third movement; and that later on, Beethoven again took up the same material, while using A 44. I feel this conjecture is supported by comparison of material on the Pierpont Morgan Cary/Phillips leaf with early sketches written in A 45, hence at a much earlier time than those in A 44. I do not believe it is stretching too far to see some similarity between the material labeled "fuge" on the verso side of the Pierpont Morgan Cary/Phillips leaf and the material on fol. 2v of A 45, included again below.

Sketch Example 38: Pierpont Morgan Cary Phillips leaf, verso side, stave 5



[167]Marston,"Approaching the Sketches for Beethoven's 'Hammerklavier,' Sonata," 437 – 439.

Sketch Example 39: A 45 fol. 2v, stave 3



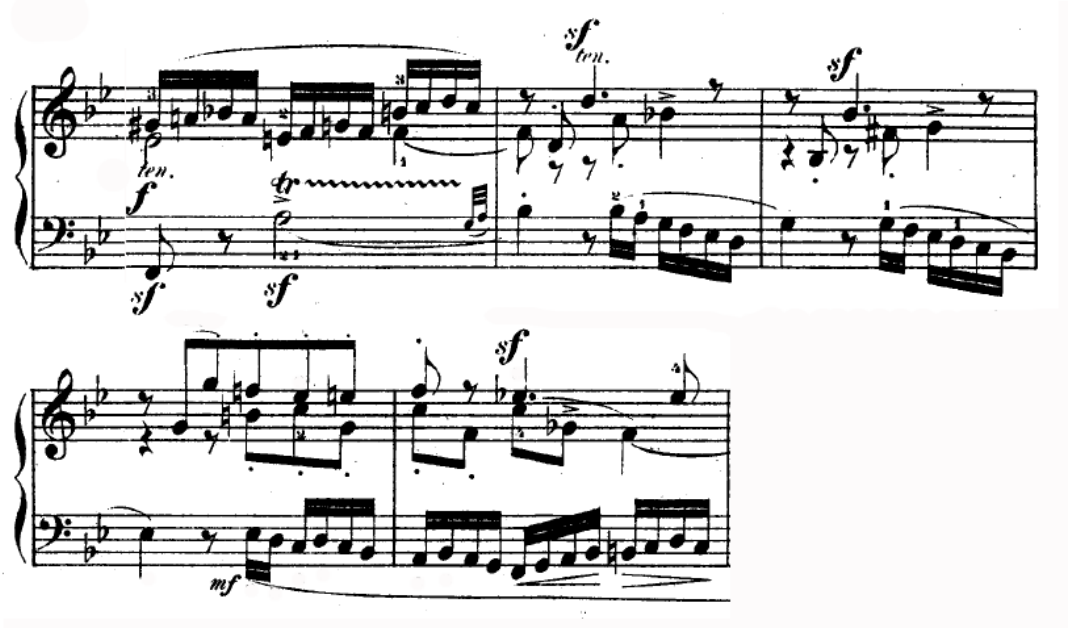
Dozens of sketches for the fugue subject further subdivide the beat into triplets, an idea that Beethoven only gradually relinquished. In the experiments from A 45 excerpted below, Beethoven wrote what would essentially become the first three measures of the fugue subject, at least in terms of pitches and general rhythmic proportions. In the first of these, we see that the fugue subject once had a different harmonization in its third measure than in its first statement in the final version: V/ii to ii, instead of IV. If the answer were in the dominant, the countersubject would need to quickly accommodate a G-minor harmony, or if in the subdominant, an F-minor harmony: perhaps sufficient reason for Beethoven to abandon this harmonization, at least for the first statement of the subject.

Sketch Example 40: A 45 fol. 3r, staves 1 – 2



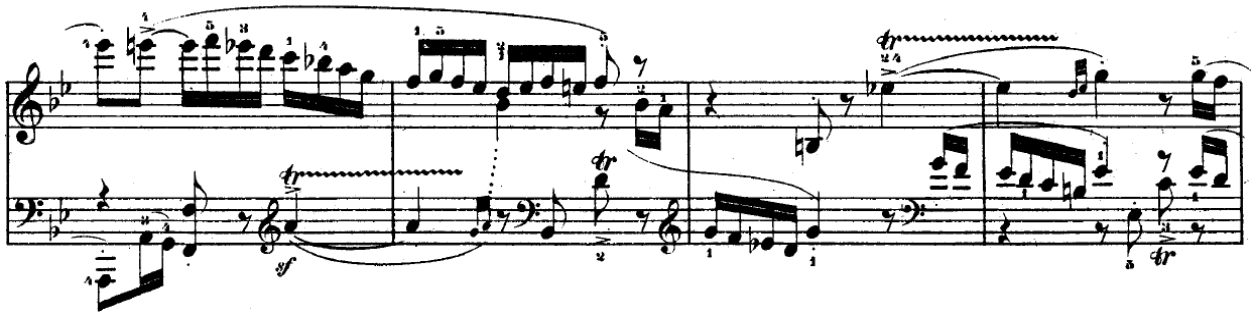
By confining the implied harmonization of the first four measures of the subject to I, IV, and V, Beethoven generated F, B*♭,* and C major harmonies from the subdominant answer he chose. Perhaps starting out with this simpler scheme was better suited to the enormously complicated tonal drama he built from manipulation of the subject. Beethoven did ultimately use the harmonization of V/ii to ii in the third subject entrance, but not until its fourth measure.

Score Example JJ: last movement of Opus 106, mm. 35 – 39



In the last part of the finale, one of the incomplete statements of the subject does move to V/ii in its third measure (second beat of m. 351 below), and then to ii in its fourth measure.

Score Example KK: last movement of Opus 106, mm. 349 – 352



Many subsequent experiments with the fugue subject are concerned with metric changes. In the sketch below, the triplet subdivision of the beat is relinquished in the fifth measure of the subject.

Sketch Example 41: A 45 fol. 3v, staves 6-7.



Score Example LL: Fourth movement of Opus 106, mm. 16 – 18



What chiefly arouses interest in the sketch below from A 45 is the rhythmic compression, which decreases the importance and drama of the opening tenth leap. This sketch also rhythmically de-emphasizes the resolution of the leading note trill by landing on the third beat of a four-beat measure instead of on the first beat of a three-beat measure.

ZB Example 37: Gustav Nottebohm, *Zweite Beethoveniana*, p. 136; also A 45 fol. 9r, staves 4 - 5.



The 4/4 meter and the quantity of rests per measure create an extreme of light-hearted, lilting gaiety for a potential fugue subject: the diametrical opposite to the lugubrious subjects Beethoven first sketched for the last movement.

Beethoven sketched material of a similar character (among the more recognizable material) on fol. 3r of A 45, more suggestive of a minuet than of the finale fugue we know.

Sketch Example 42: A 45 fol. 3r, stave 4



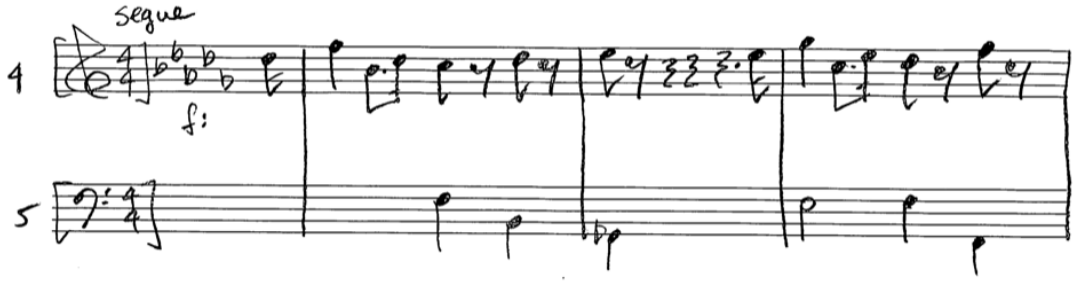
Material that is identical, except for the double-dotting of the rhythm and the register, is found on the bottom stave, recto side of Fitzwilliam Museum Museum, Cambridge (SV 316), one of the standard-format leaves introduced by Nicholas Marston in his 1991 *JAMS* article.

Sketch Example 43: Fitzwilliam Museum, Cambridge (SV 316), recto side, stave 12



This connection between A 45 and this desk-format leaf is a potential indicator of contemporaneity, placing this leaf within the period in which the fourth movement was composed. As Marston has pointed out, in addition to the above material, this leaf also contains what seems to be a draft for the introduction and transition to the last movement. Marked by Beethoven with the heading "segue," this introduction begins with a sprightly rhythm in 4/4 meter and B-flat minor key. This draft, if it is in fact for an introduction to an alternative fourth movement, would support Nottebohm's suggestion that an earlier sketch in B-flat minor (ZB Example 35) was intended for the Largo introduction to the last movement, not for the fugue itself.

Sketch Example 44: Fitzwilliam leaf, recto side, staves 4-5.



After some 18 measures, a long dominant pedal point on the verso side introduces a motive in B-flat major, presumably the subject of the fugue.[168]

Sketch Example 45: Fitzwilliam leaf, verso side, staves 7-8



This fugue subject is slightly different from but obviously related to the material the Fitzwilliam leaf shares with A 45 fol. 3r (Sketch Examples 42 and 43).[169] However, the draft's dissimilarity in character to the rest of the sketches on the same page of A 45 is a little puzzling, to say nothing of the incongruency of its juxtaposition with sketches for the soul-rending third movement. Perhaps, like ZB Example 37 above, this subject represented an extreme end of the range of Beethoven's experiments with different affects.

The dramatic range and complexity of the Largo introduction to the fugue finale grew so far beyond what could be imagined from looking at the Fitzwilliam leaf, as to constitute the most unconventional transition in all of Western art music: emotionally and stylistically diverse, it feels self-aware and yet improvisatory at the same time. Interspersed with development of the fugue subject, early sketches for the Largo introduction to the fugue give little hint of its eventual key scheme, which moves through at least four different key areas. In the sketches on fol. 13v of A 45, opening F-octaves provide a dominant preparation for the fugue.

[168]Marston, "Approaching the Sketches for Beethoven's 'Hammerklavier,' Sonata," 442.
[169]Ibid.

Sketch Example 46: A 45 fol. 13v, staves 1, 2, 4, 6



Score Example MM: last movement of Opus 106, m. 1



On the same page, a descending arpeggio in the left hand again provides dominant preparation, and the descending sixteenth-notes in the right hand introduce the fugue, as in measure 14 of the final version.

Sketch Example 47: A 45 fol. 13v, stave 12 – fol. 14r, staves 1, 2

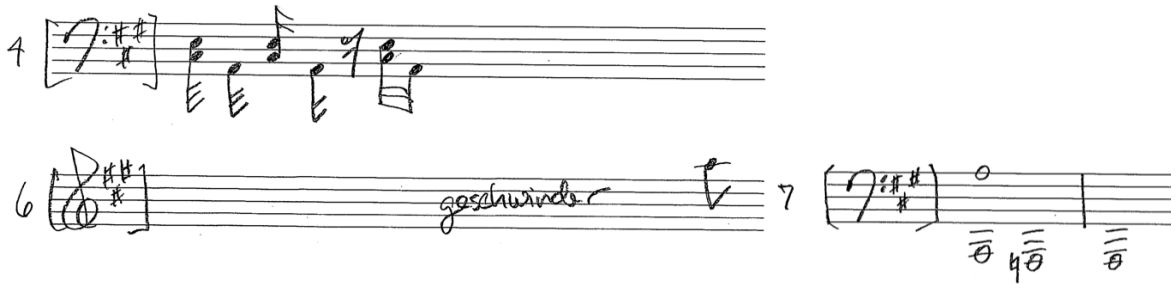


Score Example NN: Fourth movement of Opus 106, mm. 11 – 14



The alternating chords that climax in the Largo introduction, just before the beginning of the fugue proper, appear for the first time in A45 on stave 4 of fol. 13v. Even at this early stage, Beethoven had already planned the descent by a third from A to F, the proper dominant, only after the A-major build-up.

Sketch Example 48: A 45 fol. 13v, staves 4, 6, 7



Score Example OO: Fourth movement of Opus 106, end of measure 10

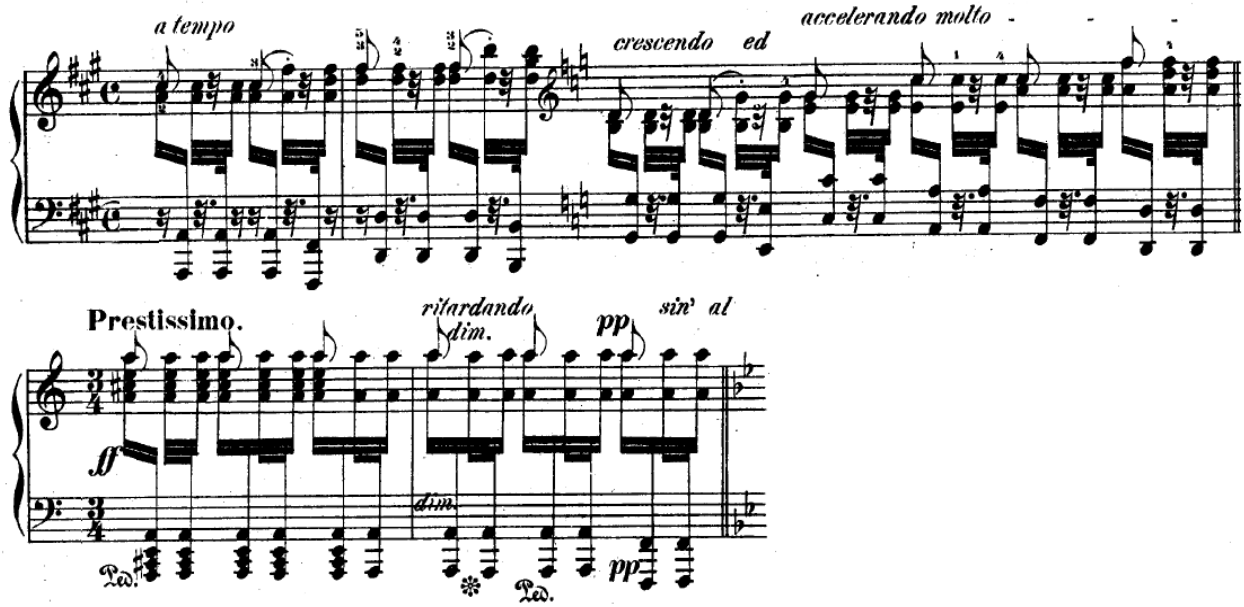


An accelerando and slowing in the below sketch also presage the dramatic Prestissimo and ritardando in the same measure (above). We can see the working out of the Terzen-Zirkel descent of alternating minor and major thirds of the final version.

Sketch Example 49: A 45 fol. 18r, staves 7 – 11



Score Example PP: Last movement of Opus 106, m. 10



Because the Princeton Library has two Scheide collections, both of which are listed in Winter's table of sketches for Opus 106 but bear the same name, I will here differentiate them by labeling one collection, containing one leaf of 16 stave paper, one leaf of 10 stave paper, one leaf of 8 stave paper, and two leaves of 12 stave paper, Scheide [1]; and the other collection, containing four leaves of 16 stave paper from a single sheet, Scheide [2]. The advantage Scheide [2] provides is that not only is it all from the same sheet, but it is also still bound. Although without seeing the leaves in person certitude is impossible, it is at least reasonable to assume that the sketches in this one sheet gathering are not only chronologically closely linked, but they were likely written in the order in which they appear on the eight pages. On fol. 2r of Scheide [2], Beethoven wrote a note: "Introduction in G major," sandwiched between two sketches. Both of the sketches on this page contain an arpeggiated introduction and a low F pedal point (trill between E-natural and F), perhaps the same pedal point to which the sketch on fol. 18r of A 45 refers; and both sketches are labeled "meilleur."

Sketch Example 50: Scheide [2] fol. 2r, staves 8 and 14 – 16



Rather than indicating an alternate key possibility to the sketches above and below it, the words "Introduction in G-dur" perhaps refer to the key of introductory material preceding the dominant preparation, indicating that the Largo was to move through at least one different key area before the dominant preparation. It is not on this leaf, but on another, however, that Beethoven wrote out a brief introduction to the fugue in G major.

Sketch Example 51: BH Mh 93, fol. 1r, staves 1 – 2, 5 – 6



The reverse side of the Scheide [2] contains a fairly advanced sketch—almost a draft—for the Largo, starting from the climbing F octaves, moving to D-flat and then resting on G-flat before the running counterpoint in sixteenth-notes.

Sketch Example 52: Scheide [2] fol. 2v, staves 1 – 2, 4 – 6



Score Example QQ: Fourth movement of Opus 106, m. 1



The draft then moves to A-flat minor: the precursor to the sudden incursion of more stylized counterpoint in G-sharp minor.

Sketch Example 53: Scheide [2] fol. 2v, staves 7 – 8



Score Example RR: Fourth movement of Opus 106, mm. 3 – 6



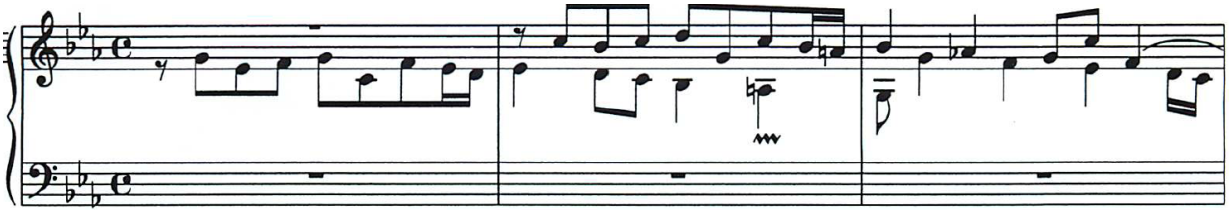
In the same way he copied the incipit of the B-flat minor fugue from Bach's *The Well-Tempered Clavier I* at the beginning of the pocketbook *Boldrini,* Beethoven copied out the first few measures of the C-minor fugue from *The Well Tempered Clavier II* on fol. 30r of A 45. I suspect that this excerpt, with its emphasis on the fifth degree and the minor mode, has more to do with the above counterpoint from the introduction than with the fugue finale proper, if indeed its presence on the pages of A 45 is directly related to the composition of Opus 106.[170] On stave 3, Beethoven wrote out an augmentation of the fugue subject in the lower voice; on stave 4, the inverted subject material that appears in the bass clef in m. 15 of Bach's fugue; on stave 5, the first measure of the fugue subject in augmentation; and on staves 5 and 6, the lower voice as it appears in m. 21 of Bach's fugue.

[170]Charles Rosen, *The Classical Style*, 428.

Sketch Example 54: A 45 fol. 30r, stave 3



Score Example SS: mm. 1 – 3, C minor Fugue, BWV 871, from *The Well Tempered Clavier*



Sketch Example 55: A 45 fol. 30r, stave 4



Score Example TT: mm. 15 – 17, C minor Fugue, BWV 871, from *The Well Tempered Clavier*



Sketch Example 56: A 45 fol. 30r, stave 5 – 6

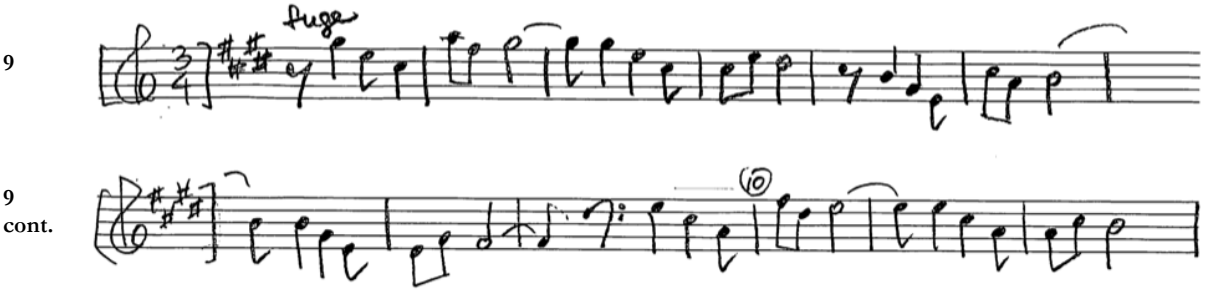


Score Example UU: mm. 21 – 22, C minor Fugue, BWV 871, from *The Well Tempered Clavier*



A sketch in C-sharp minor on fol. 1r of BH Mh 93, marked "fuge," also seems to suggest potential material for the same area.

Sketch Example 57: BH Mh 93 fol. 1r, staves 9 – 10



A draft on fol. 2v of the Scheide [2] bundle appears to continue on the fourth leaf, with alternating chords in the right hand and an accelerando to an A one octave higher than in the final version.

Sketch Example 58:

a) Scheide [2] fol. 2v, staves 14, 15



b) Scheide [2] fol. 4r, staves 1, 2, 4, 5, 7, 8



Note that in the sketch above from fol. 4r, the rhythm of the alternation between chord and root comes to a simpler eighth-note, two thirty-second notes, one sixteenth-note, instead of the "dotted" rhythm of the final version, found on fol. 27v of A 45.

Sketch Example 59: A 45 fol. 27v, stave 6



Score Example VV: Fourth movement of Opus 106, m. 10



In the above sketches on fol. 4r of Scheide [2], Beethoven laid out nearly every section with its particular affect and key, although it does not have the hushed suspense with which the A in pianissimo octaves becomes the leading-tone trill to B-flat major.

A later page of A 45 contains most of the ideas that go into the final version of the introduction, though without any continuity or ordering of the different sections; however, some of the material seems closer to its final form than in the Scheide [2] sketch. Perhaps the Scheide [2] leaf was a catalogue or list of all the material he wanted to present in the Largo. On the other hand, in the sketch from fol. 29r of A 45 shown below, the F octaves lead right into the counterpoint that appears in B major in the final form of the Largo, rather than B*♭* major (skipping from red asterisk to red asterisk in Score Example WW below). This suggests the possibility that originally the Largo was meant to remain in the tonic at the beginning, instead of leading slowly and mysteriously to *♭*II, which materializes as if out of mist in the Largo we know. This later decision both ties the movement to the conclusion of the previous movement, and also pulls us away from the tonic suggested by the F-octave dominant preparation in such a way that it is impossible to imagine what will happen next.

Sketch Example 60: A 45 fol. 29r, staves 1 – 2



Score Example WW: Fourth movement of Opus 106, m. 1

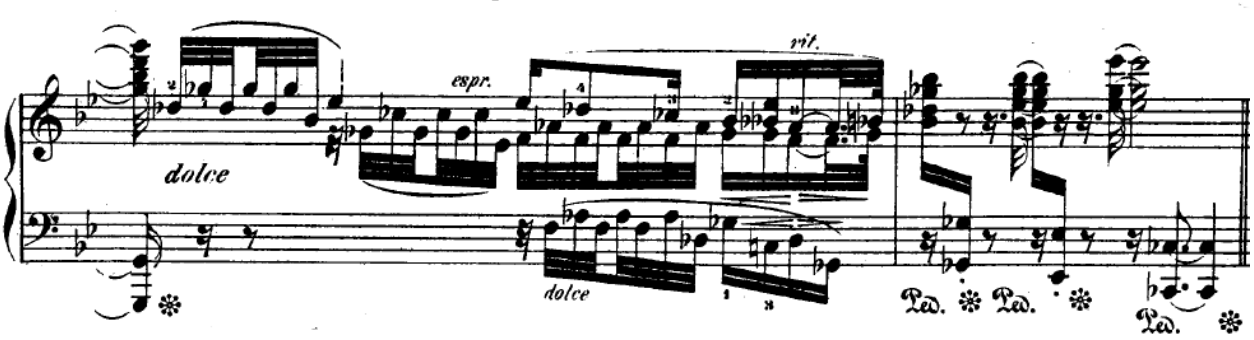


The contrapuntal material in *b*VI immediately following the opening F octaves in the final version appears on fol. 29r of A 45.

Sketch Example 61: A 45 fol. 29r, stave 6



Score Example XX: Last movement of Opus 106, mm. 1 – 2



Unlike its counterpoint in the Scheide [2] sketch, the sketch below is notated in G-sharp minor, as it is in the final form of the Largo, rather than A-flat minor.

Sketch Example 62: A 45 fol. 29r, staves 10 – 11



Score Example YY: Last movement of Opus 106, m. 3 – 6



The longest draft for the Largo introduction, found on an 8-stave loose leaf in the other Scheide collection, Scheide [1], has essentially all the features of the final version of the Largo, with the exception of the full two final measures of Prestissimo. Each of the sections progressively become better developed and more sharply differentiated from each other in character, as the Largo develops in the available sketches.

Sketch Example 63: Scheide [1], fol. 1, recto and verso





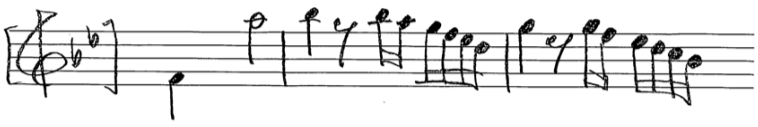
verso side





On the same page on which he wrote the early, cheerful 4/4 version of the subject for the fugue itself in A 45 (ZB Example 37 above), the rhythmic pattern of the final subject for the fugue appears on the pages of A 45 for the first time. The fragment is small enough to suggest that this was one of the earliest sketches of this rhythm for the fugue subject.

Sketch Example 64: A 45 fol. 9r, stave 7



A sketch on fol. 14r picks up the material on fol. 9r, from the second iteration of the six descending sixteenth-notes, with a tonally adventurous possibility for the fourth and fifth measure of the fugue subject: after the first beat of the last measure, skip the last two beats and follow the "*oder*" [OR] to the third stave.

Sketch Example 65: A 45 fol. 14r, staves 3, 4, 5



Lower on the same page of A 45, the subject again picks up at exactly the same juncture as in the third stave above, and continues with material resembling the final subject but missing the third iteration of six sixteenth-notes in the fugue subject's final form (comparable to skipping measure 19 of the finished fourth movement below, or the fourth measure of the fugue subject). Another noticeable difference between the fugue subject in this sketch and the final version of the fugue subject is that in the final version, every downbeat resolution is also preceded by a B-natural on the third beat of the previous measure; thus the B-flat downbeat is both a resolution of the leading tone and a fierce reply to the contention that the B-natural continues to express.

Sketch Example 66: A 45 fol. 14r, stave 11



Score Example ZZ: Fourth movement of Opus 106, mm. 16 – 23



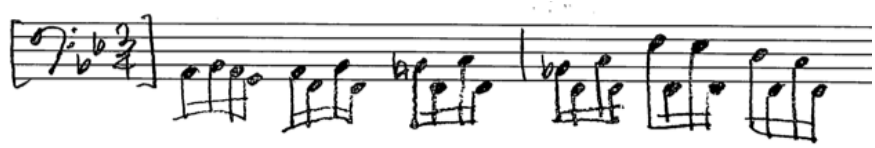
A sketch on fol. 18v of A 45 picks up the "missing" measure 19, successfully adding three more beats to the fugue subject and also another descent by a third in the subject's downbeats, thereby completing the triad outlined by the first beats of measures 17, 18, and 19: B-flat to G to E-flat.

Sketch Example 67: A 45 fol. 18v, stave 1



On the following page, another continuation of the fugue subject begins from the point corresponding to measure 20 in the final version.

Sketch Example 68: A 45 fol. 19r, stave 1



The above sketch experiments with an alternation between a moving note and a stationary lower note, some form of which did eventually make it into the fugue subject. Several such experiments

appear in the pages of the Library of Congress bundle, a two-bifolia gathering made from a single sheet.

Sketch Example 69: Library of Congress, page 3, stave 8



Sketch Example 70: Library of Congress, page 3, stave 14



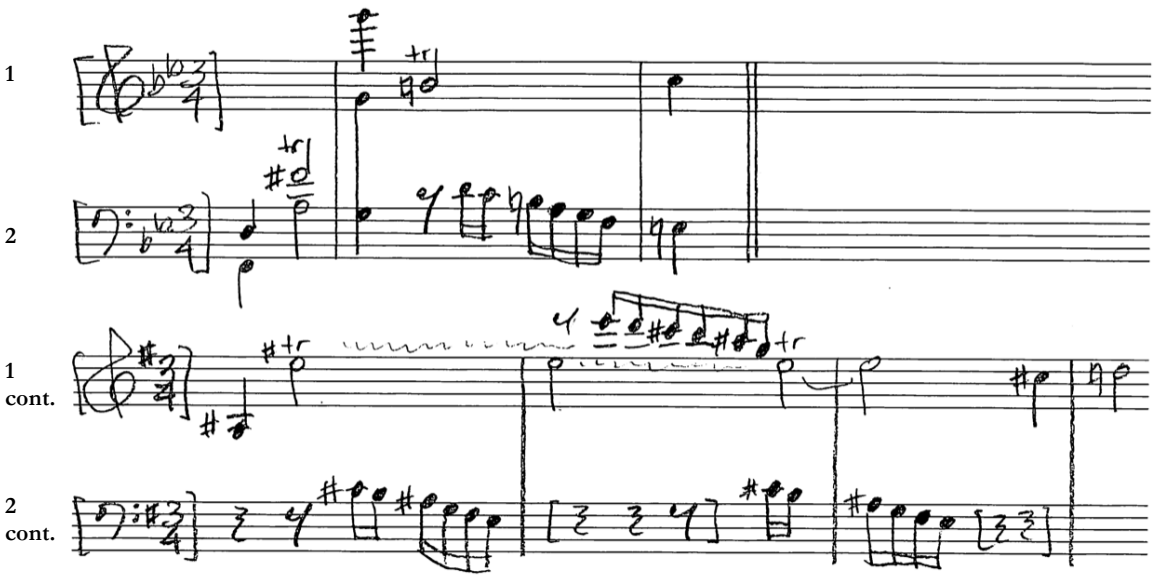
Well before the entire fugue subject was complete, Beethoven subjected both the leap-trill motif and the six step-wise sixteenth-notes motif to further melodic and harmonic variation.

Sketch Example 71: Mh 93 fol. 2r, staves 6 – 7, 8, 11



Another experiment, shared by A 45 and the Library of Congress gathering, suggests a connection between the two.

Sketch Example 72: Library of Congress, page 2, staves 1 – 2



Sketch Example 73: A 45 fol. 20v, staves 8, 9



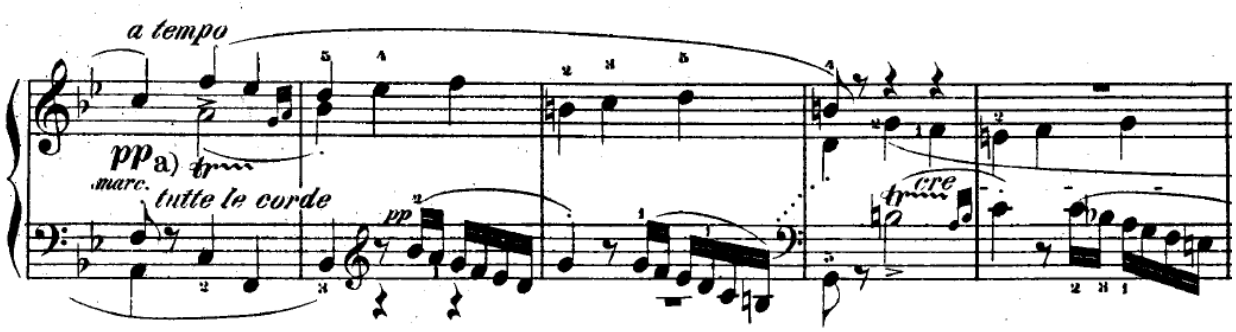
In both of the above sketches from A 45 and the Library of Congress, the last subject entrance begins with a tri-tone leap, like the one on stave 8 of fol. 2r, Mh 93 (Sketch Example 71 above); but it is spelled as a diminished fifth rather than an augmented fourth, and placed in a different harmonic context. This form of the fugue subject shares some similarities with the fugue subject in measures 333 – 335 of the final version.

Score Example AAA: last movement of Opus 106, mm. 333 – 336



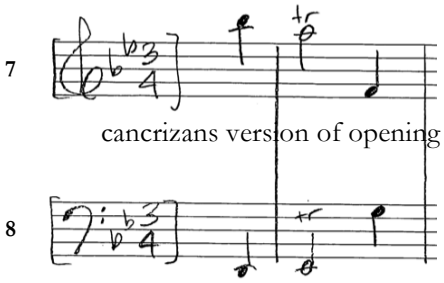
The trill motive in parallel sixths did not find its way into the finished fugue, however; and the only cadence in C in the final version is found in measure 283.

Score Example BBB: Fourth movement of Opus 106, mm. 279 – 283



Dozens, even hundreds, of experiments with the seeds of the same basic motivic material cover the pages of the extant desk-format and pocket-format sketchleaves for the last movement of Opus 106, without forming part of any continuity of more than four or so measures. Transposition into all different keys, strettos, inversion, cancrizans, repetition, and sequencing of different parts of the material so far determined were among these, in dozens of different combinations that did not form part of the final fugue. Looking at these efforts, one gets the sense that Beethoven wanted to see what the material could do, rather than what he wanted to do with it. Sketches of the fugue subject in cancrizans, inversion, and both inversion and cancrizans appear on page four of the Library of Congress gathering.

Sketch Example 74: Library of Congress, page 4, staves 7, 8



7 cancrizans version of opening motivic material of the fugue subject

8 inverted cancrizans version of opening motivic material of fugue subject

One is struck, as Beethoven must have been, by the intractability of this material when subjected to this treatment; the force and drama of that motivic seed derives from its opening leap of a tenth and the resolution of the leading note trill on the downbeat of the next measure. It is not surprising, then, that the only appearance of the entire fugue subject in cancrizans has a very different affect than it does in any of its other manifestations in the final version of the fugue.

Score Example CCC: Last movement of Opus 106, mm. 153 – 158



Page 3 of the Library of Congress gathering contains an experiment in rhythmic displacement in which the resolution of the trill falls on the second beat, and the six descending sixteenth notes begin on the second half of the last beat; this form of variation appears several times in the final version.

Sketch Example 75: Library of Congress page 3, staves 15, 16



Score Example DDD: Last movement of Opus 106, mm. 216 – 218: fugue subject, rhythmically displaced by one beat, in inversion.



The below sketches on staves 11 through 16 of page four of the Library of Congress bundle contain the fugue subject in inversion, and also demonstrate a function of Beethoven's sketches that Kindermann has noted.[171] At the time I transcribed these sketches, I had already copied out the first four measures of the fugue subject dozens of times in the course of transcribing all the sketchleaves for the last movement. It struck me that, by the time Beethoven wrote these sketches, he surely knew those measures by heart as well as I did. When I have to type the same phrase more than two

[171]Kindermann, *Artaria 195: Beethoven's Sketchbook for the* Missa Solemnis *and the Piano Sonata in E Major, Opus 109,* vol.1 (Chicago: University of Illinois Press, 2003), 4.

hundred times, I create a keyboard shortcut so that when I strike one letter, the entire phrase appears. Why would Beethoven have bothered to write out the subject four times, exactly the same except for being transposed down a step each time, instead of writing "etc." (one of the most frequently used words in his sketches), ditto marks, or better yet, the words "transpose down 3 times"? He wrote it down four times on four different systems, not because there was any doubt what notes would come after the very first note on every stave, but because he was obviously trying out the motive in different keys, much as he would have done had he been sitting at the keyboard. Beethoven was a brilliant improviser, and in earlier years composed at the piano with a desk immediately adjacent so that he could write down any ideas that came from his improvisations.[172] Robert Winter commented on this relationship in his discussion of Opus 131.

> The sequential nature of… Beethoven's initial ideas is a recurrent theme, and underscore their relationship to an improvisatory keyboard tradition… (most of them, in fact, adopt a pianistic layout).[173]

But Beethoven's deafness was complete enough to require the use of Conversation Books from early 1818; he was no longer able to try things out by means of playing them and hearing at all how they sounded. For the first time in his life, the sketches wholly took the place of playing and improvisation at the piano.

[172]Cooper, *Beethoven and the Creative Process*, 110.
[173]Winter, *Compositional Origins of Opus 131*, 144-145.

Sketch Example 76: Library of Congress page 4, staves 10 – 16



Beethoven's attempts to fix the fugue subject beyond the first four measures cover many of the desk-format leaves we have for the last movement of Opus 106. The first page of Scheide [2] (fol. 1r) contains a draft of some length, including a counter-subject and the entrance of the fugue answer with the second voice.

Sketch Example 77: Scheide [2] fol. 1r, staves 1 – 11



Stave 14 of the same page suggests that the above draft began immediately after the resolution of the opening trill. Although the fugue subject of this draft looks a little more like the second movement than the finale we know, the underpinnings of the final form of the fugue subject are all there (especially harmonic and phrase structure), as well as the countersubject. The dotted rhythms throughout are a little reminiscent, actually, of the earlier fugue sketches on the Cambridge Fitzwilliam sketchleaf. However, on the reverse side of the same leaf, Beethoven turned to the rhythm of the opening sequence of the fugue subject as we know it. Note that the fugal answer in this sketch avoids the augmented eleventh (tri-tone plus octave) leap in other sketches (as well as in the final version).

Sketch Example 78: Scheide [2] fol. 1v, staves 7 – 8, 9



The above and other sketches from Scheide [2] shows that Beethoven was still using the triplet subdivisions, although he had pushed them into the fifth measure.

Sketch Example 79: Scheide [2] fol. 3r, staves 14 – 15



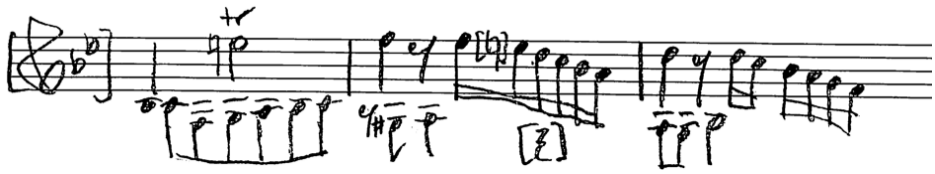
Similar content is found in A 45, thus confirming a connection between Scheide [2] and A 45 already suggested by the similarity of material for the Largo introduction (discussed above).

Sketch Example 80: A 45 fol. 23r, staves 8 – 9



Before finishing the subject, Beethoven returned to the jarring tri-tone (plus octave) leap, instead of the major tenth-leap in the sketch from fol. 1v of Scheide [2].

Sketch Example 81: A 45 fol. 23v, stave 11



In the above sketch, the shock of the tri-tone leap is softened by the harmonization: the B-flat and C together on the downbeat already suggest a dominant-seventh harmony, fulfilled by the E-natural on the next beat. In the final version, the transgression is, on the contrary, sharpened (forgive the pun) by raising the C-natural in the lower voice to a C-sharp: an augmented second on the downbeat, followed by a tri-tone leap.

Score Example EEE: last movement of Opus 106, mm. 26 – 31



In A 45, Beethoven continued the answer with the same triplet subdivisions in the fifth measure as the subject.

Sketch Example 82: A 45 fol. 28r, staves 6 - 9



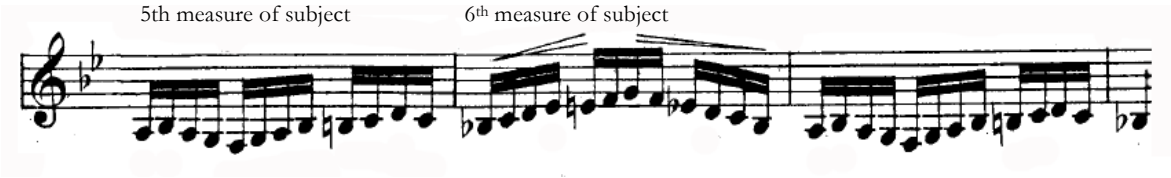
On the other side of the same leaf, however, triplet subdivision of the beat directly following the leap-trill motive still held interest, reminiscent of a sketch made perhaps weeks earlier, on fol. 3r (Sketch Example 40).

Sketch Example 83: A 45 fol. 28v, stave 4



In Sketch Example 82 above, it is possible to make out, despite the triplet rhythms, the general contour of the fifth and sixth measures of the finished fugue subject.

Score Example FFF: Fourth movement of Opus 106, mm. 20 – 22

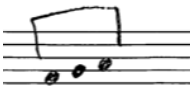


The eventual preference of continuous sixteenth-notes for the rest of the fugue subject (and most of the fugue texture) over the slower triplet subdivisions signifies a choice toward unrelenting drive in

the last movement. It is striking to me that so much of the analysis of Beethoven's works has to do with harmonic content, usually Schenkerian; and so little of it has to do with rhythmic content. Clearly, harmonic scheme was essential to Beethoven's shaping of the trajectory of a work; but the motivic gesture drew its energy and emotion from rhythm and timing. The shift to running sixteenth notes for the remainder of the fugue subject considerably upped the ante of intensity for the entire finale. A fugue subject that slowed to triplets instead of continuing in sixteenth-notes would have yielded a much more relaxed affect. It also would have made rhythmic augmentation a little more contrapuntally complicated.

There is another advantage to dividing each beat into four notes as opposed to three, as Beethoven must have known from writing out dozens of melodic permutations for the rest of the fugue subject. As in the three previous movements, motion by thirds is crucial and omnipresent, melodically as well as harmonically: movement that Nottebohm called a *Terzenzirkel* (in his *Zweite Beethoveniana)* or *Terzen-Ketten*, a similar term Marie Rivers Rule found on one of Nottebohm's own original pages of Beethoven transcriptions.[174] Of a series of three notes bounded by the interval of a third, there are only six permutations. Of a series of four notes bounded by a third, not allowing any one note to be immediately repeated and requiring the top note, bottom note, and middle note each to appear at least one time, there are eighteen permutations, allowing many more ways to move by a third (or stepwise) to the next unit of four-sixteenth notes.

[174]Marie Rivers Rule, "The Allure of Beethoven's Terzen-Ketten," (Ph.D. diss., University of Illinois at Urbana-Champaign, 2011), 85.

Figure 3: Combinations of these three notes: 

Combinations that enable sequences moving by thirds (using stepwise motion between each group of four notes):



Combinations that enable sequences moving by seconds (using stepwise motion between each group of four notes):



Of course, if within the range of a third one allows chromatic alteration, then the number of permutations increases manyfold.

For the sake of keeping track of the timeline of the composition of Opus 106, it is worth remembering at this point that the above two sketches from A 45 (Sketch Examples 82 and 83) fell on either side of the latest pocket sketches we have for the second movement, including its conclusion. By this time, spending his summer in Mödling, Beethoven had been working on Opus

106 since the previous fall, and had presumably just added the last finishing details to the second movement; the third movement was close to completion; and the last movement begun. These ten months, during which Beethoven worked more or less exclusively on Opus 106, constitute therefore by far the longest period Beethoven had ever spent working so intensively on a single work and completing so little of it, or ever would, for the rest of his life (excepting those works that were begun and then put aside for months or years before completion). It was during these months also that Beethoven withdrew his nephew from the Giannattasio Institute boarding school (where Karl had been living since his father's death), and brought Karl home to live with him instead.[175] Accordingly, in the latter half of 1818, the instability of Beethoven's domestic situation and the ongoing conflict with his nephew's mother escalated; this conflict came to a head with litigation between them regarding custody of Karl.[176]

Beethoven was also concurrently developing the countersubject, along with the early sketches for the fugue subject. In its first appearance in A 45, we see it juxtaposed against one of the variant possibilities for the fugue subject as it was still evolving; but the material in the lower voice very much resembles the countersubject as it appears after the entrance of the second voice in the final version, measure 30.

Sketch Example 84: A 45 fol. 14v, staves 1 – 2



[175]Solomon, *Beethoven,* 313.
[176]Ibid., 315-316.

Score Example GGG: Fourth movement of Opus 106, mm. 26 – 33



On a later leaf it is not clear whether this material for the countersubject might not have originally been a possible alternative for the fugue subject.

Sketch Example 85: A 45 fol. 16v, stave 7



In some of the early sketches for the fugue subject, the rhythmic values of the opening trill motif are represented differently to accommodate the trill turn being written out in sixteenth notes. When juxtaposed with the sketch above, one sees that the countersubject is a rhythmic reduction of the opening trill gesture.

Sketch Example 86: A 45 fol. 19v, stave 6



I have numbered the leaves of the Princeton Scheide [1] collection, a miscellany of leaves from different sources, simply according to the order in which they appear in the microfilm that the Princeton Library made of them. The first leaf, of sixteen-stave paper is blank on both sides; I have left it unnumbered. Fol. 1 is the 8-stave leaf containing an advanced draft for the Largo introduction to the finale, transcribed above; fol. 2 is the first of two 12-stave leaves, fol. 3 the second; fol. 4 is a 10-stave leaf containing sketches only on one side; and fol. 5 is a 20-stave leaf that had already been ruled with staves for orchestration before Beethoven used it to sketch Opus 106. The sketches on fol. 3r from this collection, in which the fugue motif is sketched in a different meter, make the relationship between the rhythm of the fugue subject and the rhythm of the countersubject more explicit.

Sketch Example 87: Scheide [1] fol. 3r, staves 1, 10



The step-wise descending eighth notes in the second part of the countersubject is in fact also melodically derived (loosely) from the opening gesture, as their juxtaposition in the below sketch illustrates.

Sketch Example 88: A 45 fol. 29v, staves 7 – 8



The same countersubject appears in canon on fol. 31v of A 45, and against an inversion in the desk-format leaf HCB (originally from the collection of H.C. Bodmer) 6/54, potentially placing them in the same stage of composition.

Sketch Example 89: A 45 fol. 31v, staves 5 – 6



Sketch Example 90: HCB 6/54 verso side, staves 1 – 2



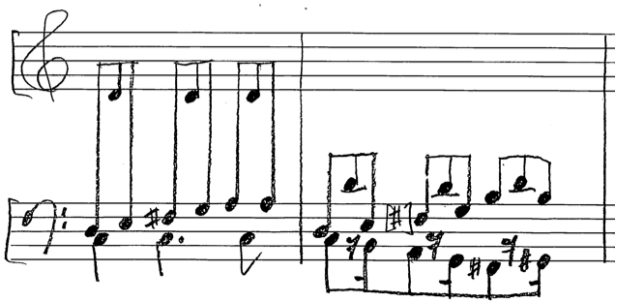
Another consequence of dividing the beat into three, as Beethoven did in earlier versions of the fugue subject, is that the countersubject appearing in counterpoint against the subject can either oppose the triple subdivision or follow it.

Sketch Example 91: Scheide [1] fol. 2v, staves 1 – 2



Aside from the more relaxed sound that triplets would have given the fugue subject, it would also, by the greater rhythmic complexity created by a two-against-three rhythm, have created a much greater inertia against a faster tempo. The quadruple division of the beat Beethoven eventually preferred not only suggests a faster tempo, but accommodates a faster tempo: a consideration for the performer contemplating the infamous metronome indication Beethoven supplied for the last movement of quarter-note = 144 bpm. It was perhaps partly for this reason that Beethoven considered adapting the second part of the countersubject to triplet rhythms in the subject, before jettisoning the triplets altogether.

Sketch Example 92: A 45 fol. 34r, staves 8 – 9



Sketches on the first page of the Genève-Cologny bifolium also include the dotting of the countersubject to match triplet subdivisions.

Sketch Example 93: Genève Cologny fol. 1r, staves 1, 2 – 3, 4



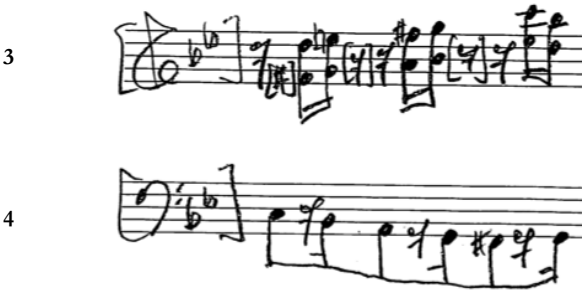
However, the use of a true dotted rhythm (i.e., as written above without the triplets) in the countersubject allows another rhythmic possibility: fitting of the other voice into the spaces in the beat left by the dotted rhythms. The parallel sixths may have been inherited from earlier sketches of the fugue subject in parallel sixths (see above Sketch Example 72).

Sketch Example 94: A 45 fol. 35v, staves 10 – 11



This rhythmic variant also appears in the first Genève-Cologny leaf; compare both sketches to measures 197 – 199 of the final version.

Sketch Example 95: Genève Cologny fol. 1r, staves 3, 4



Score Example HHH: last movement of Opus 106, mm. 197 – 199



Sketches on the same page and the last page of the Genève-Cologny bifolium seem to suggest that Beethoven was wavering from one measure to the next between a triple or duple subdivision of the beat.

Sketch Example 96: Genève Cologny fol. 1r, staves 8, 9



Sketch Example 97: Genève Cologny fol. 2v, staves 8, 9



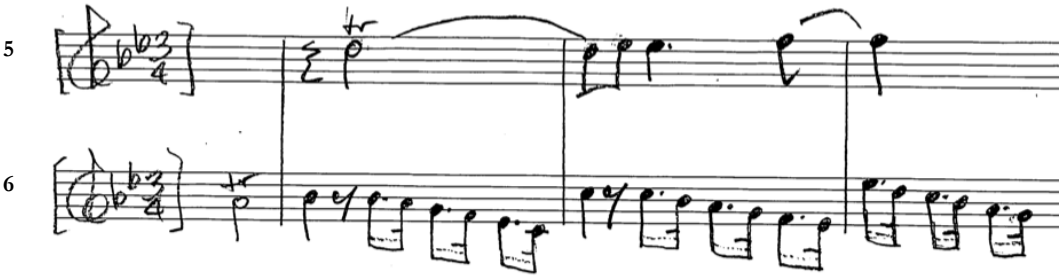
Thus the adaptation to triplets in the subject yielded the dotted-eighth and sixteenth note as another potential rhythmic motive for the countersubject; but the sketch on Scheide [1] written in 6/16 meter (Sketch Example 87, included again below) also allows us to view this rhythm as a diminution of the essential opening rhythm of the fugue subject and countersubject.

Sketch Example 98: Scheide [1] fol. 3r, stave 1



The dotted-eighth and sixteenth rhythm even appear in the original fugue subject:

Sketch Example 99: A 45 fol. 36r, staves 5, 6



A similar sketch appears in fol. 1r of BH Mh 94, again with the dotted rhythm incorporated into the fugue subject itself; the note values are made half as small again by the 3/8 meter.

Sketch Example 100: Mh 94 fol. 1r, stave 1



In the case of the above, the meter and the dotted rhythms seem to pull in opposite directions: a 3/8 meter would certainly move at the pace of one pulse per measure, in which case those dotted rhythms would be difficult to feel, hear, or play. The dotted rhythms are assertive and energetic, but make each beat heavier. The debate seems to be whether the gesture of assertion will happen three times a measure; or once a measure, as in the final fugue subject.

Score Example III: last movement of Opus 106, mm. 16 – 17



In the sketch below, the first rhythm of the countersubject is adjusted with double dotting to make the smaller note of its dotted rhythm consistent with the dotted-eighth and sixteenth-note of the

second rhythm. Again, the sixteenth-note is energetic, but at a higher speed it would lose power, especially against the intense activity in the other voices.

Sketch Example 101: Mh 94 fol. 2r, staves 1 – 2



Weighing the balance between strength and speed, what meter and rhythm will yield the maximum of both? Beethoven decided in the end that a ¾ meter would serve the finale best. Was the metronome marking meant to ensure that speed would not be sacrificed by the performer? Or to insist on a tempo that normally would be better suggested by a 3/8 meter? Beethoven was closing in on a position that was becoming increasingly difficult to occupy for both the performer and the listener.

Landsberg 9 is a collection of eight leaves made from two sheets, of the same paper type and rastrology, with three matching holes: evidently leaves once bound together and used together.[177] Fol. 1r of Landsberg 9 contains both the dotted rhythms in the countersubject and the triplet subdivisions in the fugue subject that appear in several of the above sketches. On the other side, the fugue subject appears in its longest and most complete form in any of the desk-format sketches we have for the finale of Opus 106, closely resembling the final form of the fugue subject up through the second beat of its eighth measure, except for a slight variation in the third beat of the fourth measure.

[177]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 538.

Sketch Example 102: Landsberg 9 fol. 1v, staves 6, 8, 10



Score Example JJJ: Nine measures of fugue subject of the last movement of Opus 106.



Even the third beat of the eighth measure in the above sketch looks something like a retrograde inversion of the third beat of the eighth measure of the fugue subject in its final form. This page also

includes a sketch of the fugue answer juxtaposed with the countersubject, much as it is in the final version; but after its fourth measure it diverges from its final form.

Sketch Example 103: Landsberg 9 fol. 1v, staves 13 – 14

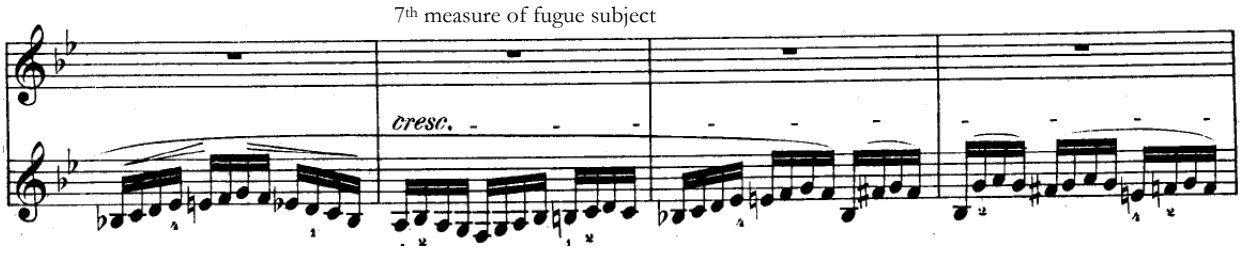


Experiments on the following page, fol. 2r, have not yet abandoned triplets and double-dotting for the counter-subject, but have further developed the seventh and eighth measure of the fugue, as well as continued experiments with the alternating note patterns that contributed to the developing fugue subject.

Sketch Example 104: Landsberg 9 fol. 2r, staves 3, 4



Score Example KKK: last movement of Opus 106, mm. 21 – 24



Vienna A 44, 1818

The next and only other pocketbook source in my study of Opus 106 is almost entirely devoted to its last movement, and contains material that seems to have been used at a later stage in the composition of the finale than most of the desk-format leaves we have. It is difficult to date the usage of A 44, partly because it clearly has not survived in its entirety; it currently contains seven pocket bifolia, or 28 pages, that seem to have originally formed one gathering.[178] By comparing the upper and outer profiles of the leaves, Robert Winter has determined that these seven bifolia come from at least three and as many as five different sheets.[179] If it had indeed been originally constructed from five different sheets, then A 44 would have originally had 40 leaves (80 pages), which would mean that 26 leaves are now missing. According to Winter's reconstruction of A 44, assuming that the blank leaves came at the end of the book and not the beginning (or center), then potentially it is missing ten leaves from the front, six leaves from the center, and ten presumably empty leaves at the end. This circumstance of potential missing pages from the beginning of A 44 makes it difficult to gauge whether Beethoven could have used other pocket sketchleaves or another pocketbook between A 45 and A 44, and hence more difficult to date the beginning usage of A 44. The presence of several empty pages at the end of the gathering suggests that it was the final pocket sketchbook for Opus 106; if so, then Beethoven used it through the end of 1818. Also, in that case, the eight

[178]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 355.
[179]Ibid., 356.

leaves of the miscellany Mendelssohn 2 originally belonging to A 44 must have preceded the pages of A 44 in its current form.[180] I have followed Winter's reconstruction of A 44 so far as the order of leaves 4, 5, 6, and 7; since A 44 was a single gathering (all leaves folded and nested inside each other), this order also determines the order of the leaves which form the other side of each bifolium, namely leaves 11, 10, 9, and 8.

Figure 4

Center folds

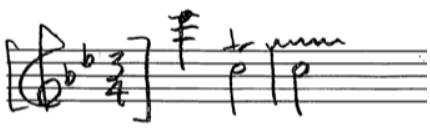
Leaf 7		Leaf 8
Leaf 6		Leaf 9
Leaf 5		Leaf 10
Leaf 4	blank	Leaf 11
Leaf 3	blank	Leaf 12
Leaf 2	blank	Leaf 13
Leaf 1	blank	Leaf 14

This illustration is the view you would have of A 44 if you laid it, open, on a table and then brought your eye level down to the edge of the table, looking at the bottom edges of the leaves.

The remaining three bifolia I have ordered myself by my best guess, according to their musical content. Sketches on ten of the fourteen extant leaves of A 44 are wholly devoted to the last movement of Opus 106; other than the sketches for the finale of Opus 106, the only basis for the dating of A 44 is a sketch for WoO 60 on fol. 8, a piano work later published with a note that it had been composed in August 1818.[181]

A 44 shares content with Landsberg 9 that suggests measures 300-301 of the finale, if the parts are switched between the two hands.

Sketch Example 105: A 44 fol. 2r, staves 1 – 2

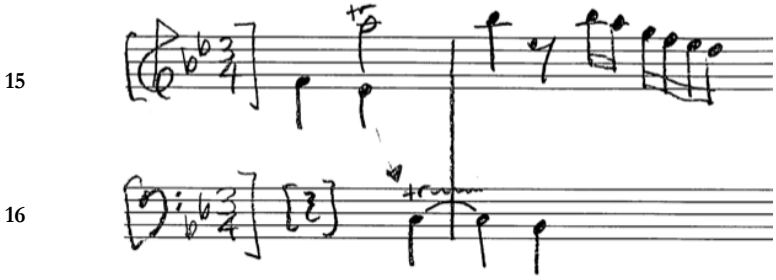


[180]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 355.
[181]Ibid., 356.

Sketch Example 106: A 44 fol. 8v, staves 1 – 2



Sketch Example 107: Landsberg 9 fol. 2v, staves 15 – 16



Score Example LLL: last movement of Opus 106, mm. 300 – 302



The rhythmic displacement by one beat in the lower voice of the above sketch from fol. 2v of Landsberg 9 is also applied to a fugue subject on fol. 7r, rendering it identical to the fugue subject sketched on the third page of the Library of Congress leaves, in Sketch Example 75 above.

Sketch Example 108: Landsberg 9 fol. 7r, stave 10



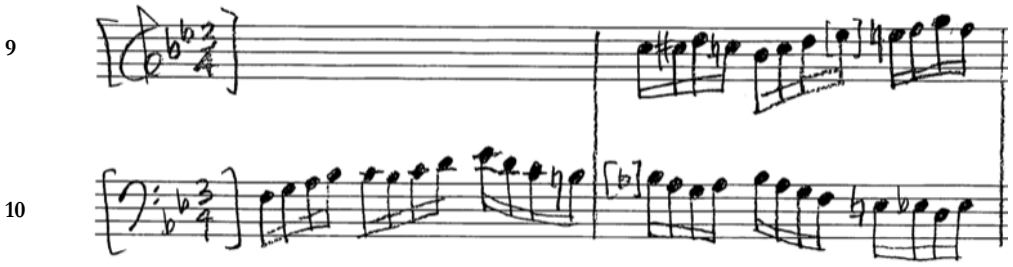
Another sketch on fol. 7r of A 44 suggests the same juncture, altered so that the inverted subject is not staggered, but appears in mirror coordination with the regular subject.

Sketch Example 109: A 44 fol. 8v, staves 5 – 6

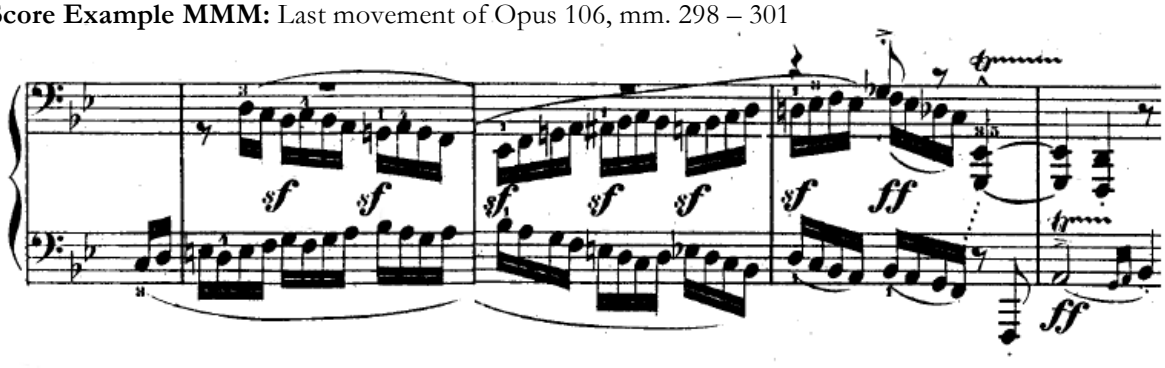


Other sketches in A 44 also indicate, if not necessarily a more finished or complete level of sketching, progress on later parts of the finale than any other source available.

Sketch Example 110: A 44 fol. 8v, staves 9 – 10



Score Example MMM: Last movement of Opus 106, mm. 298 – 301



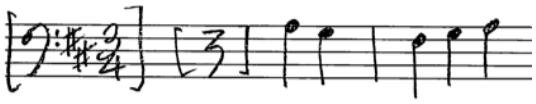
The content of A 44 obviously suggests a later stage of in the composition of the finale. But other than the shared content above, it is difficult to place A 44 in the evolution of the finale of Opus 106 relative to the extant desk-format leaves because much of its content has no analogue in

the desk-format leaves; for example, sketches for the D-major chorale appear in no other source but A 44.

Sketch Example 111: A 44 fol. 1r, stave 11



Sketch Example 112: A 44 fol. 2r, stave 4



Sketch Example 113: A 44 fol. 3r, stave 12



Score Example NNN: Finale of Opus 106, mm. 250 – 254



Another sketch of the transition from the chorale to the rest of the last movement suggests that Beethoven may have worked out the chorale to his satisfaction. However, observation of Beethoven's compositional habits has shown that his working on later parts of a movement by no means implies that all the prior portions were completed—or even close to completion.

Sketch Example 114: A 44 fol. 3v, stave 10



Different clefs (and key signatures) than the ones I have given to the above sketches are viable, and potentially suggest different key planning for chorale. For example, a treble clef and B-flat major signature are also viable for both Sketch Examples 112 and 114.

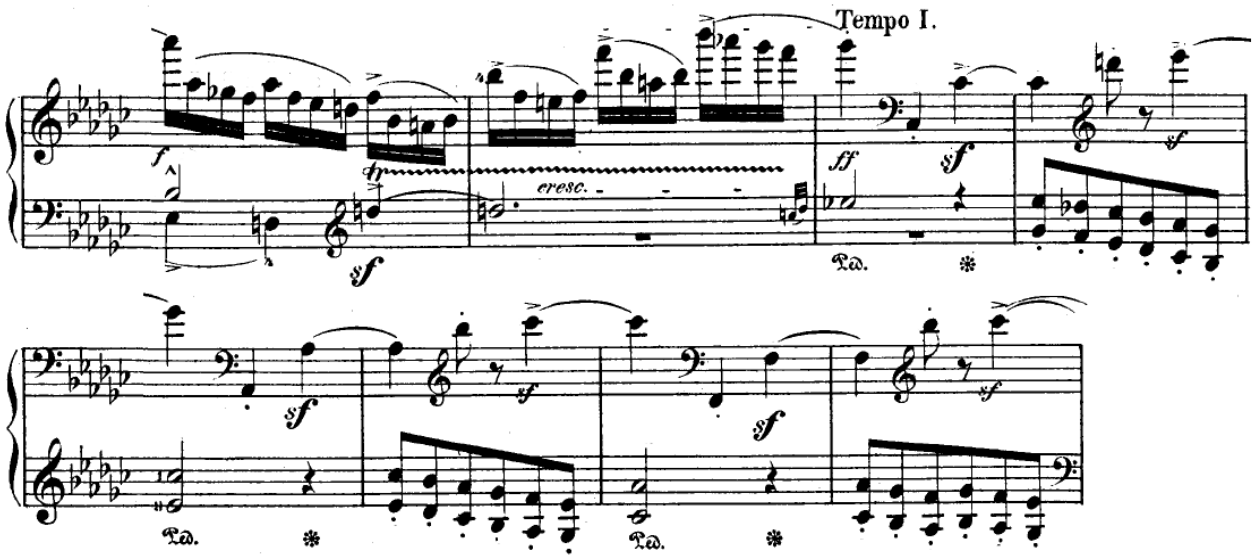
Grasnick 20b was already a miscellany, originally labeled *Notirungen U*, when Beethoven's sketches were classified for the first time by Domenico Artaria, for the auction of Beethoven's estate.[182] Of this miscellany, two bifolia of the same paper-type and rastrology contain sketches for the finale of Opus 106. Sketches on both bifolia contain, in various forms, the most complete form of the fugue subject that is contained in any of the sketchleaves for the finale; accordingly they may have been roughly contemporaneous with sketches made in Landsberg 9. Like most of the desk-format leaves for the finale, the leaves of Grasnick 20b contain many manipulations of the fugue subject material that are not directly incorporated, but constitute ideas upon which parts of the final version of the fugue are based. The sketch below is an exact augmentation of the incomplete fugue subject, very different in details from the augmentation of the subject in the finished fugue.

[182]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*, 27.

Sketch Example 115: Grasnick 20B fol. 7r, staves 1 – 2



Score Example OOO: Finale of Opus 106, mm. 94 – 101



The reverse side of the same leaf contains an exact retrograde of the still incomplete fugue subject and countersubject, perhaps used as a reference or guide: again, without much resemblance to the retrograde version in the finished fugue.

Sketch Example 116: Grasnick 20B fol. 7v, staves 1 – 3



Score Example PPP: Last movement of Opus 106, mm. 153 – 158



However, this version of the fugue subject provided a whole new rhythmic motive that figures prominently in measures 180 – 192 of the last movement.

Score Example QQQ: Last movement of Opus 106, mm. 180 – 182



The final page of Opus 106 sketches in Grasnick 20b contains, like Landsberg 9 (see Sketch Example 107), a sketch beginning with a rhythmically displaced and inverted subject entrance that brings to mind mm. 300 – 302 of the finished version. However, unlike mm. 300 – 302, in which the subject splinters off into variation in both hands after a measure or two, this sketch presents (in the right hand) the longest fragment of the opening fugue subject in all the extant sketches for the fugue: seven measures and two beats.

Sketch Example 117: Grasnick 20B fol. 12v, staves 15 – 16



As Rosen observes, the omnipresence of falling third interval pervades both melodic and harmonic motion throughout Opus 106.

> All of these descents of a minor second are the larger counterpart of the Bb-B-natural clash from which the most pathetic and lyrical moments of the work derive. Ultimately, they must be related to the complex harmonic situation entailed by the modulations of descending thirds, which substitutes tonic-mediant relations for tonic-dominant.[183]

However, the thirty-three standard-format leaves and the thirty-four pocket format leaves for the finale of Opus 106 available to me contain very little indication of tonal (or other) planning for the entire movement, which modulates to a different key for each of nine sections, if one follows Rosen's division of the finale.[184] With the exception of the chorale, the finale modulates each time by

[183]Rosen, *The Classical Style*, 341.
[184]Ibid., 430-433.

a major or minor third (see below). I have also included other key areas to which the finale modulates, but have numbered only the sections named by Rosen. Even counting only the modulations to the main sections according to Rosen, the number of modulations is at least three times more than any usual movement of a multi-movement sonata. Including the additional modulations I have noted, the number of key areas is more than one could easily remember without some kind of road map, even knowing that the modulations move mostly by thirds. In the same way that it was necessary to fix the subject of the opening fugue before proceeding with planning for the rest of Opus 131, it may have been impossible to complete whatever tonal planning Beethoven made for this longest and most ambitious fugue of his oeuvre (with the possible exception of the Grosse Fuge) without first finalizing the fugue subject in its entirety.

Harmonic areas of the finale of Opus 106			
	Key areas	Measure numbers	Characteristics
	F, B, g# minor, A		Largo
1.	B*♭*	11 – 52	
	D*♭*	53 - 60	
	transition	61 – 65	
	A*♭*	66 - 84	
2.	G*♭*	85 – 96	episode
3.	E*♭* minor	97 - 123	augmentation
	(B*♭* minor)		
	A*♭*	124 – 149	
4.	B minor	150 – 177	Cancrizans
	D	178 – 204	
5.	G	205 – 229	inversion
6.	E*♭*	230 – 249	Inversion, development with stretto ending
7.	D major	250 – 278	Chorale
8.	B*♭*	279 – 300	transition
9.	B*♭*	301 - 400	Finale

Like the sketches for the first movement, for which we have so few original sources, those for the last movement seem to work at the most local level, containing little indication of section planning, harmonic motion, or the overall structure of the movement. It is frustrating and mystifying

that, even taking into account many missing sketches for the finale, we do not see Beethoven moving between different levels of composition for this last movement, as he did in the composition of other works: "In Beethoven's music, one can literally speak of the basic material and the final shape being worked out together, in constant interdependence."[185] But even taking into account that the finale of late multi-movement works often required a proportionally greater amount of sketching than earlier movements,[186] the extant sketchleaves for the last movement of Opus 106 contain an astonishing amount of manipulation—79 leaves—of a small amount of material, mostly the first four measures of the subject and a few measures of countersubject, into many forms that do not appear in the final version. Moreover, relatively little connection appears between the extant standard-format sketchleaves and the pocketbook sketchleaves. Many of them do not so much represent an irregular progression, or collectively suggest a growing, continuous body of music, as much as they do many spokes radiating from more than one source. The sketchleaves for the last movement too, then, fall within Nottebohm's description at the beginning of his discussion of Opus 106: most of the continuity lasts no more than a few measures, and none more than eight. And yet, for this movement, perhaps more than for any of the other three, continuity drafts would have been crucial, and would probably have required several attempts.

Hence both the content and the quantity of the sketches we have for the finale of Opus 106 provide some basis for conjecture upon the number of missing sketchleaves for the finale. All sketches are in the earlier stages of development, regardless of whether they contained material that pertained to later parts of the movement. The composer who "thought in large musical paragraphs rather than individual sentences"[187] could scarcely string together more than a few words (so to speak) at a time, in these sketches for the last movement fugue of Opus 106. Rather than being

[185]Rosen, *The Classical Style*, 406.
[186]Winter, *Compositional Origins of Opus 131*, 137.
[187]Ibid., 69.

guided by an overarching structural plan, Beethoven seems to have been confined to laboriously hewing out the fugue subject a few notes at a time. In the one hundred and thirty or so pages of sketches we have for the finale, Beethoven wrote down the beginning of the fugue subject more than a hundred times, in the keys of B*b*, F, C, E*b*, A*b*, D, and G; and rarely does the subject resemble any manifestation in the final version for more for more than a few measures at a time. The last movement sketches do reveal how closely interrelated the motivic material is; but Beethoven's insistence on the longest and most elaborate fugue subject of his oeuvre for the finale of Opus 106, developed independently of structural planning, seems to form something of an exception to Rosen's general observation about Beethoven's motivic material:

> It may almost be stated as a rule in Beethoven that the longer the work the simpler the material that goes into it… The forms of late Beethoven descend clearly and directly from Haydn's technique of allowing the music to grow out of a small kernel, the simplest, most condensed of musical thoughts announced, generally, at the very opening. During what is called his 'third period,' Beethoven extended this technique far beyond any limits that could previously have been imagined.[188]

Even for a work not considered an exemplar of Beethoven's "late style" per se, the composition of Opus 106 seems to have been very little conceptually guided, at least as it appears in the remaining sketchleaves. And yet this movement, which of the four movements apparently posed the greatest difficulty for Beethoven, makes as emphatic and personal a declaration as I have heard in the canonic piano repertoire.

To finish the timeline of the composition of Opus 106: Beethoven stayed that summer in Mödling from May 18 until at least August 14, as evidenced by his letter to Steiner dated August 12, 1818, in which he advised of his return to Vienna in two days.[189] Since Beethoven made entries on fol. 25 of A 45 while in Mödling, perhaps around June, and since A 45 contains sketches for the last movement of Opus 106 on its earliest pages, we can count all of the second half of 1818 as the

[188]Rosen, *The Classical Style*, 405.
[189]Anderson, *Letters*, 772.

period in which Beethoven was principally occupied with the finale of Opus 106. Beethoven's struggles with the last movement of Opus 106 were resolved by the turn of the new year, as a letter he wrote to Ferdinand Ries indicates.

> [Vienna, January 30, 1819] You will have now received the quintet which I arranged myself and the sonata. Do see to it that both works, and especially the quintet, shall be engraved immediately. Things can proceed a little more slowly in the case of the sonata. At the same time I should like it to appear within two or three months at the latest… Meanwhile it will be three months too before the sonata is published in Vienna.[190]

It was just around this time that Beethoven suffered the severe humiliation of his nephew's custody case being ignominiously thrown out by the *Landrecht*, the judicial authority for the nobility. The previous December, Karl had run away from Beethoven back to his mother, who then made a new appeal to the *Landrecht*.[191] After Beethoven himself inadvertently revealed in the *Landrecht* hearing that he was not in fact of noble birth, the *Landrecht* referred the matter to the civil court that had jurisdiction over matters for "common citizens."[192] After a hearing at the civil court in January, Beethoven was compelled to surrender his guardianship of Karl.[193] Demoralized, outraged and convinced of betrayal on all sides, Beethoven did not give up the battle over custody, but fought with undiminished tenacity to preserve the fantasy of being Karl's real father; and, if he could not keep Karl himself, to at least keep Karl's mother from getting him.

As mentioned previously, four hundred of the some seven hundred pages of sketches for the Opus 131 String Quartet are score sketches. Obviously, the exclusive use of four-stave systems (whether or not all staves are filled) means that score sketches consume more pages of paper than do sketches on one- or two-stave systems, such as those we have for Opus 106; Beethoven generally wrote less than fifty bars of music on one score sketch bifolium (4 pages) for Opus 131.[194] This

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[190]Anderson, *Letters*, 791.
[191]Solomon, *Beethoven*, 314.
[192]Ibid., 315.
[193]Ibid., 316.
[194]Winter, *Compositional Origins of Opus 131*, 68.

means that 400 pages of score sketches does not contain as many measures of sketches as 400 pages of sketches for a keyboard work, but perhaps one-third to half as many. Compared, then, to the rough equivalent of four or five-hundred pages of sketches for all of Opus 131, one-hundred and thirty-two pages of sketches (desk-format and pocketbook) seems like a great deal of sketching for the last movement of Opus 106, without containing any continuity of more than seven measures. Sketching a motif or fugue subject over a hundred times (in only the extant sketches!) without finishing more than half of it is without precedent in Beethoven's sketches for any other work.

Such a high density of sketches for such a small number of measures suggests an even larger number of missing sketches for the last movement of Opus 106 than we already have. Where are the tonal overviews? Where are all the experiments with harmonic structure and timing that so preoccupied Beethoven in his sketching of Opus 131? Tonal drama was of paramount importance to Beethoven; we might reasonably have expected at least a few sketches of this kind, even taking into account how many we are missing. But in the sketches we have for the finale of Opus 106, the most dramatic movement of an intensely dramatic work, Beethoven was (yet?) unable to make such decisions. Assuming that we have less than half the desk-format sketches Beethoven wrote for the fourth movement of Opus 106 suggests at least 70 desk-format pages of missing fourth-movement sketches. This is to say nothing of the desk-format sketchleaves missing for each of the first three movements, whose number is harder to calculate the fewer leaves we have.

Autograph 11, Bundle 1, is a desk-format book containing 16 leaves in its current condition, used in 1816 to sketch the finale of Piano Sonata Opus 101.[195] Based on their physical characteristics and contents, these leaves are evidently the front half of a single gathering, i.e., each leaf is the left side leaf of a bifolium separated from the right side leaf by cutting down the middle fold.[196] Counting only the missing conjunct or right-side leaves that once formed bifolia with the extant

[195]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 247.
[196]Ibid., 248.

leaves, at least 16 leaves are missing; but it is not unlikely that even more leaves, namely bifolia folded around the other original sixteen bifolia in a single gathering, are missing.[197] The next desk-format sketchbook Beethoven used after Autograph 11, Bundle 1, was Wittgenstein, in use from the spring of 1819.[198] Thus Autograph 11, Bundle 1 is a prime candidate for a location of missing desk-format sketches for Opus 106. Sketches for Opus 106 could not have preceded the sketches for Opus 101; so only the second half of the single gathering could have been used to sketch Opus 106. Attributing 32 complete missing bifolia to Autograph 11, Bundle 1, for example, in addition to the 16 missing leaves that once formed bifolia with the existing leaves, would yield a sketchbook that in its original condition had 96 leaves. In that case, Autograph 11, Bundle 1 would have had at most only 48 leaves (96 pages) that could have been dedicated to Opus 106. I suspect that this number of leaves would not have been sufficient to contain the missing desk-format sketches for all four movements of Opus 106, since I have already surmised that the 34 desk-format sketchleaves we have for the last movement could be less than half the sketches Beethoven wrote for the last movement alone. But even guessing conservatively that we are missing, say, only another 20 desk-format sketchleaves for the last movement, that would leave only 28 leaves (56 pages) of a postulated 48 sketchleaves for Opus 106 missing from Autograph 11, Bundle 1, to contain the missing desk-format sketches (i.e., nearly all of the sketches Beethoven wrote) for the first three movements.

Another consideration that might inform a guess as to the number of missing desk-format leaves for all four movements of Opus 106 is Beethoven's general rate of consumption of desk-format sketchleaves, which in his later career was roughly one 96-leaf sketchbook a year. This rate of consumption is a little higher than that estimated by Barry Cooper;[199] but such a discrepancy might

[197]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 250.
[198]Ibid., 253.
[199]Cooper, *Beethoven and the Creative Process*, 86.

be expected, since Cooper's estimate seems to be an average over Beethoven's entire career, including the early years when he wrote significantly fewer sketches per work. Even assuming that as many as 48 leaves dedicated to Opus 106 may be missing from Autograph 11, Bundle 1, yields a total of at most 94 desk-format sketchleaves for Opus 106: a figure that seems a little low for fifteen months of work, even fifteen months of emotional upheaval and low productivity. Of course, if we assign a smaller number of bifolia missing from Autograph 11, Bundle 1, and dedicated to Opus 106, say 16, the total estimated number of desk-format leaves for Opus 106 becomes even smaller: 78 leaves.

Could there have been a desk-format sketchbook for Opus 106, in addition to possibly as many as 48 leaves missing from Autograph 11, Bundle 1? The time span for the composition of Opus 106 feels too long to me for Beethoven not to have made and used at least one desk-format book, in addition to the second half of Autograph 11, Bundle 1. An entire additional desk-format sketchbook of 96 leaves, for example, would double the total number of desk-format sketchleaves for Opus 106 already calculated by adding a postulated 48 missing leaves from Autograph 11, Bundle 1, raising the grand total to 190. Guessing that 35 sketchleaves, for example, are missing for the finale of Opus 106 leaves 109 of a postulated 144 missing desk-format sketchleaves (from Autograph 11, Bundle 1, and an entire other desk-format sketchbook) for all the missing sketches of the other three movements. These numbers seem high; assigning a smaller number of leaves to a missing home-made desk-format sketchbook, say 48, would lower the total number of desk-format sketchleaves for Opus 106 to 142 (about 248 pages): a number more consistent with my estimate of Beethoven's yearly consumption of desk-format sketchbooks. Again, a smaller number of missing leaves from Autograph 11, Bundle 1, would also lower the total number of sketchleaves to a plausible quantity for fifteen months' work: if only sixteen leaves containing Opus 106 sketches are

missing from Autograph 11, Bundle 1, then the total number of sketchleaves for Opus 106, including a missing 96-leaf desk-format book, would be 158.

The nature of the content we have in the extant pocket sketchleaves for Opus 106 suggests to me that few of them, if any, contained continuity drafts of any significant length; the creative leap to continuity draft would have more likely been made on desk-format leaves. The structural and harmonic complexity of the first, third, and fourth movements would have made the burden of generating, in a single attempt, a long continuity draft from many fragmented sketches particularly onerous, and would have required not only longer, but more continuity drafts: perhaps several attempts for each movement or even a section of a movement. Thus continuity drafts for Opus 106 would probably have required more sketching per finished measure than continuity drafts for other, shorter works. Their greater length also would have benefitted from the continuity that a desk-format sketchbook of structural integrity guarantees, particularly for the finale, which has so many different sections/key areas. Thus a proportionally higher number of sketchleaves for Opus 106 for the number of measures in the finished work seems likely. If sketching the last movement took, for example, 70 desk-format leaves, it does not seem to me utterly impossible that the sketching of the first three movements might have filled 120 leaves (109 hypothetical leaves plus the 11 extant loose leaves for the first three movements): let us say, 50 leaves for the first movement, 30 for the second, and 40 for the third. A higher total number of desk-format leaves necessary for the sketching of Opus 106 makes the likelihood of a missing desk-format sketchbook even greater.

Additionally, I find it suspicious that half of Autograph 11, Bundle 1 was so neatly separated from its other half by cutting all the bifolia along the center crease. Bifolia can be lost from a sketchbook when the binding no longer holds them together, or if they were a single gathering not sewn together; single leaves can be taken from bifolia only when they are cut out, on purpose.

Robert Winter also noted that sketches missing only for one portion of Opus 131 is suspect, and statistically unlikely:

> Especially curious is the fact that very few sketches survive for mm. 1-98 of the fugue. There are only two possible explanations, since it is inconceivable that Beethoven would not have worked on this section intensively. One is that they have all disappeared by accident, an unlikely prospect. The other is that someone made a point of removing them.[200]

The fact that absolutely no sketches for Opus 106 are found in any extant sketchbook suggests to me the possibility that all the sketchleaves belonging to a desk-format sketchbook and pertaining to Opus 106 were purposely removed in their entirety. One can easily imagine that one of the pianists who were close to Beethoven would have found a desk-format sketchbook or sketchbooks containing sketches for Opus 106 a highly desirable memento of the Great Man.

The loose desk-format sketchleaves we have for Opus 106 could be the leftover leaves that Beethoven used up prior to purchasing a new, uniform batch of paper that he would sew into a sketchbook himself. Or perhaps the loose leaves could even have been used concurrently with a desk-format sketchbook to work out parts that gave him particular difficulty, although there is nothing I have discovered in the study of Beethoven sketches that particularly supports such a conjecture. (In later years, as Kindermann has observed, Beethoven used loose leaves concurrently with a bound sketchbook for the writing out of rough drafts.[201]) If Beethoven had used exclusively loose desk-format leaves, and no desk-format sketchbook to compose Opus 106, then statistically it would be unlikely that so many of those loose leaves would be missing: almost all of the sketchleaves for the first and second movements; most of the sketchleaves for the third movement; and, however many their total number might have been, a substantial number of sketchleaves for the last movement. The general survival rate of Beethoven's loose desk-format sketchleaves seems to be significantly higher than that.

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[200]Winter, *Compositional Origins of Opus 131*, 92.
[201]Kindermann, *Artaria 195*, vol. 1, 82.

The lower survival rate for pocketbooks makes a calculation of Beethoven's average rate of consumption of these more difficult and unreliable; but it seems he generally used a few of these a year, if one takes a 48-leaf pocketbook as the most common size. During the year that he composed Opus 131, he wrote 200 pages of pocket sketches, the equivalent of about two such pocketbooks. *Boldrini*, A 45, A 44 and Mendelssohn 2 contain 236 pages of pocket sketches for the fifteen months he spent on all of Opus 106: a total that also seems a little low, especially when considering the content of the pocket-format sketches for the third and fourth movement. The fact alone that Beethoven used up the 127 pages of *Boldrini* in six months[202] suggests that if he continued to make pocket sketches for Opus 106 at a consistent rate, the total number of pocket sketches for fifteen months of sketching ought to be closer to 250 or 300 pages (125 or 150 leaves).

A quick comparison with the Grosse Fuge, another late contrapuntal work, may also support conjectures regarding the number of pocket sketchleaves missing for the last movement of Opus 106. Four consecutive pocketbooks: Autograph 9/5, Autograph 9/2, Autograph 9/1, and Autograph 9/1a, spanning a time period from mid 1825 to early 1826, contain pocketbook sketches for the Grosse Fuge that seem to be complete, totaling about 146 pages of pocket sketches for 741 bars of music in seven more or less discrete sections.[203] For the finale of Opus 106, pocket sketches are found today on 46 pages from A 45, 20 pages from A 44, and 16 pages of the Mendelssohn 2 Miscellany, giving a combined total of 82 pages. Proportionally, 82 pages of pocket sketches for the 400 measures of the finale of Opus 106 is comparable to 146 pages of pocket sketches for the 741 measures of the Grosse Fuge. However, the finale of Opus 106, comprising a virtual omnibus catalogue of all possible techniques of contrapuntal manipulation, is contrapuntally even more complex than the Grosse Fuge; certainly, the fugue subject of the finale of Opus 106 is much longer

[202]Johnson, Tyson, and Winter, *The Beethoven Sketchbooks,* 349.
[203]Ibid., 428, 433, 436.

and more complicated than any of the motivic material of the Grosse Fuge. The finale of Opus 106 is also harmonically more extended and complex than the Grosse Fuge.

Assuming that there are no missing pocket-format sketches for the first and second movement of Opus 106, gaps of lost pocket sketchleaves for Opus 106 could only occur between *Boldrini* and A 45, of leaves containing third movement sketches; and between A 45 and A 44, of leaves containing fourth movement sketches. The four pages of third-movement sketches from Mendelssohn 2 not belonging to A44 could have conceivably once belonged to another 96-page pocket-book falling between *Boldrini* and A 45. If so, it would probably contain mostly third movement sketches, since the first pocket sketches of the third movement appear at the end of *Boldrini,* and the first real sketches of the last movement appear in A 45; examination of those Mendelssohn 2 leaves will shed more light on the question. Counting up to 16 missing pocket-leaves or 32 pages from the front and middle of A 44 would result in a total 114 pages of pocket-sketches for the last movement alone, which was the work of six months. Such a total of pocket-sketches for the last movement would create a usage rate that matches nicely with that of *Boldrini.* Together with the conjectured missing pocketbook already counted, this number of additional pages missing from A 44 would give us a total of about 360 pages of pocket-format sketches for all of Opus 106 from *Boldrini,* A 45, and A 44, and Mendelssohn 2.

Finally, comparison between the projected rate of consumption between desk-format sketches and pocket-format sketches is another measure of the viability of any conjectures. If Beethoven generally wrote proportionally more pocket sketches than desk-format sketches for any given composition, or during any given period, say between 100% and 150% as many pocket sketches as desk-format sketches, then my estimate of an additional 36 missing pages of desk-format sketches for the finale of Opus 106 would actually tally well with an estimated 114 pages of pocket-format sketches for the finale resulting from the inclusion of additional leaves potentially missing

from A 44. Moreover, an entire missing desk-format sketchbook would result in a projected total of about 180 to 280 pages of desk-format sketches for Opus 106. This number is congruent with the approximate total of 360 pages of pocket sketches for all of Opus 106 resulting from counting missing leaves from the beginning of A 44 and a missing pocketbook connected with the Mendelssohn 2 sketches not belonging to A 44.

If one accepts my argument that Beethoven must have used at least one entire desk-format sketchbook—and probably half of Autograph 11, Bundle 1 as well—in addition to the loose desk-format sketchleaves we have for Opus 106; and if one accepts that, if not an entire pocketbook, we are missing as many as 32 pages of pocket sketchleaves from A 44; then Beethoven could have written 249 or more pages of pocket sketches, and up to 190 pages of desk-format sketches for the composition of Opus 106: perhaps 400-500 pages of sketches in total. That would make Opus 106, measure-for-measure, the composition that required the greatest amount of sketching—that was the hardest for him to finish—of Beethoven's entire creative life.

VI. PERFORMING OPUS 106

For all of us
This instant and this triumph
We were never meant to survive.[204]

Self-reference

A brief peak in Beethoven's popularity achieved by the composition of *Wellington's Victory* and other works celebrating the victories of the allies over Napoleon was already beginning to wane a year later, at the end of 1814.[205] The Napoleonic wars left in their wake a disillusionment in Vienna that made such works ring hollow.[206] Aside from this parody of his "heroic style", Beethoven had no major works underway in 1815 except the two cello sonatas of Opus 102 and the small choral/symphonic work "Meeresstille und glückliche Fahrt," Opus 112.[207] The following three years (1816-1819) were the least productive years of Beethoven's career: "while [the birth of his new style] was taking place, the process was one of considerable anguish."[208] Opus 106 was not a metaphor for the most difficult struggle of Beethoven's life; it WAS that struggle. It was his refusal to accept the death of his creative self: a death more fearsome than a physical one.

> The narrative of Beethoven's life between the end of 1815 and early 1820 is the complex… story of his attempt to surmount—indeed to survive—a personal and creative crisis that threatened to overwhelm him… For now, in a sense, it was not merely his hearing but his music that had 'failed' him… the sense of failure extended beyond Beethoven's deafness and his sexuality. It threatened to derail his creativity.[209]

To me this makes Opus 106 self-referential in a way unlike any other work in the Western canonic piano repertoire (perhaps even the entire repertoire). This is to be differentiated from works assumed to express loosely biographical content (as much as a non-verbal, non-representational

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[204]Audre Lorde, "A Litany for Survival," *The Collected Poems of Audre Lorde* (New York: W.W. Norton & Company, 1997), 255.
[205]Solomon, *Beethoven*, 286-290.
[206]Ibid., 293.
[207]Ibid., 292.
[208]Ibid., 296.
[209]Ibid., 296-297.

medium can) re: its composer, or events in his/her life, for example: Schumann's C major Fantasie, Opus 17; Liszt's *Après une Lecture du Dante, Fantasia quasi Sonata*; or Mahler's Tenth Symphony. Such works are not about themselves; they are about their composer, hence autobiographical, not self-referential. Of course, I have argued that the *Hammerklavier* is autobiographical in the sense that the agony it cost Beethoven to write the *Hammerklavier* deeply imbues every note of it with meaning. However, in the strictly autobiographical work, the work itself is not the subject of its own content.

> The work of art which is literally about its own [artistic] technique is almost too familiar now: the poem about poetry itself (like most of those by Mallarmé), the film in which the principal subject-matter is cinematic technique and the cross-references to other films, the painting which actually attempts to depict the process of projecting space upon a flat surface or which refers, not outside itself, but directly to the medium of paint. This paradoxical interchange of form and content is a normal process of any art, which naturally tends to displace the weight of significance away from that which is signified towards the sign. But music, where denotation is at once precise and totally unspecific, presents a special problem. If we omit the occasional imitative effects (from bird-song in Jannequin to insect noises in Bartók) and the direct conventions of pathos, we can deny neither that music has significance nor that it signifies most clearly and most often itself. Beethoven sharpens the focus of this self-reference, as the introduction to the fugue of the *Hammerklavier* makes peculiarly explicit.[210]

I feel the *Hammerklavier* has another self-referential meaning in addition to the one to which Rosen refers: besides being music about music, i.e., a fugue about fugal techniques, as Rosen means, I think it is a struggle about a struggle: a fight in itself, that also refers to a fight. The verbal equivalent might be speaking the words, "Talking to you right now is making me feel nervous." The act of speaking itself makes the speaker nervous and also describes itself with its content. Perhaps another example would be the famous statement, "This is a lie." Rosen also includes the film that is about film-making as self-referential. To my thinking, his example is very close to self-referential because its content is about one aspect of itself, i.e., its history; but it is not completely self-referential in the sense of its actual medium. That would require, for example, a screen within the movie showing the

[210]Rosen, *The Classical Style*, 434.

content of the movie. Of course, it is visually impossible to contain perfectly complete visual self-reference (as anyone who has held two mirrors facing each other knows).

The example of the film illustrates how crucial the timing of the action, speech, song, etc., is to the essence of self-reference. Actions that take place in time require simultaneity for perfect self-reference, hence the difficulty with the "This is a lie" example. However, for those actions—or series of actions, if you prefer—that take place across time, complete self-reference, which means perfect simultaneity, is often impossible to perform. Taking again the example of film: the later part of a movie shows content from the earlier part of the movie (itself). In this case imperfect self-reference is achieved by sacrificing complete simultaneity. Thus I must also differentiate, within my meaning, two different forms of self-reference in Opus 106. The first is the reference to its history, i.e., it portrays its own history, in the way that Rosen's film example does. Another example is a speech in which one said, "This speech was difficult to write," which is not actually portraying itself as it is happening itself. It is describing a series of events in the past relating to itself, the history of itself; not describing itself in the sense of describing the thing that the speaker is doing in that moment, which is the speech: not the words written on the paper. Hence in that sense the *Hammerklavier*, like the film, is not perfectly self-referential: the *Hammerklavier* describes—or if you would rather, communicates—its own compositional history, i.e., events related to itself that have already happened, not that are happening at the moment, by portraying the difficulties in that process. This aspect of the performance of Western canonic art music, namely, performing something that was not only written by someone else, but written 250 years ago, is frequently and unjustly blamed as being problematic to the communicative act.

But I also attribute a more complete kind of self-reference to the *Hammerklavier*, in that the music simultaneously communicates something about itself: while actually sounding in the air, it is doing what it is saying. I feel that probably most pianists who have performed Opus 106 have found

that, especially with this work, the desired quality of performance is beyond the reach of even the outermost limits of one's abilities and efforts; and the performance inevitably becomes a struggle for survival, whether that means using one's teeth or crawling on one's hands and knees to survive. I suppose that many pianists, particularly inexperienced ones like myself, feel fears about performance that they usually know rationally have little connection to reality: *I'll forget what comes next* or *I'll get too tired to finish*, fears that for whatever reason, they will have to stop in the middle of the performance and not be able to continue. This is the only work I have ever performed for which I knew those fears had some basis, however small, in real possibility. The player performs the struggle, simultaneously as the performance communicates to the listeners that it is a struggle; its meaning is fused with itself. Beethoven has guaranteed that at least this one self-referential aspect of the *Hammerklavier* will be conveyed by the performer. A parallel self-reference might be my inclusion here of the following statement: "These words are written." The syntactical difference between this second, simultaneous self-reference and the first discussed self-referential meaning (namely the work's reference to its history) might be that which exists between the two statements, "This was difficult," and "This is difficult." But the content of both forms of self-reference partakes of a declaration from Schiller's essay, "On the Pathetic": "The first law of the tragic art was to represent suffering nature. The second law is to represent the resistance of morality to suffering."[211]

This second form of self-reference is enabled by an advantage music has over literature or film: the blurring of the line that narrative draws between past and present, real and fictive.

> The transformation from program music to ideal music (in Marx's sense) hinges on a heightened sense of identification with music heard not simply as mimetic representation but as dramatic enactment itself.[212]

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[211]Schiller, "On the Pathetic" (*Neue Thalia*, 1794), quoted in Maynard Solomon, "Beethoven and Schiller," in *Beethoven, Performers, and Critics*, ed. Robert Winter, 169.
[212]Burnham, *Beethoven Hero*, 30.

The motion of music across real time, not narrative time, does not enable the suspension of disbelief, operating within the conceit that we are witnessing a fictional world to which we do not belong in reality. Rather, it makes us unsure that what we are experiencing is a conceit requiring suspension of disbelief: "… in the language of gesture there are no nouns, and its tense is always the present."[213] In other words, ontological time and real time are not differentiated in a musical performance.

> …music is fundamentally different, not diegetic but mimetic; like… any temporal art, it traps the listener in present experience and the beat of passing time, from which he cannot escape. Mimetic genres perform the story, in the present tense. They cannot disarm the story, or comfort us, by insisting on its pastness.[214]

Film, again for an example, is a medium that is visually representational and also stretches across time. However, it still depends upon the narrative compression of time, much in the same way a literary work does (remembering the exception I mentioned in my introduction, *My Dinner with André*). Live theater shares with live music performance the additional advantage in undermining the narrative boundary/conceit by means of the physical presence of live persons presenting subjectivity instead of moving images; but it, too, generally (not always) uses the narrative compression of time. Moreover, even though live theater uses live people, in a certain way this requires an even bigger suspension of disbelief because we the audience must understand that although those are real people on stage, they are not in "our world," but operating within a different one: we are sitting here in a pricey theater on the west side; but the people who are breathing and talking right in front of us, ten feet away, are actually living in Berlin in the 1940s, for example. Live musical performance neither requires nor enables this conceit.

> Perhaps musical works have no ability to narrate in the most basic literary sense; that is, to posit a narrating survivor of the tale who speaks of it in the past tense. But this

[213]Small, *Musicking,* 139.
[214]Abbate, "What the Sorcerer Said," 230.

> incapability cannot be said to impoverish music; rather it lends music a terrible force to move us by catching us in played-out time.[215]

The Performer

This brings me to a fact which seems so self-evident that there would be absolutely no need of mentioning it, except for the fact that much musicological discourse seems to have as its premise the contrary: the "work" only exists when I play it. Of course, instead of "I", I should use the word "someone"; but I use the first-person in the sense of speaking for all performers.

> A score, of course, is not a musical work. It is not even the representation of it… It is a set of coded instructions that… will enable performer not only to make sounds in a specific combination, called a musical work, but also to repeat that combination as many times as they desire… [216]

To repeat a "venerable truism," music occupies time, not space.[217] It exists only as it happens in sound; just as visual art exists only within our sense of vision, music exists only within our sense of hearing.

> The concept… of sonata form that was developed through the study of scores… [has] misled musicians into viewing synoptically, as a structure, all of whose features exist simultaneously, what is actually a series of events in time.[218]

In the most metaphysical sense, music only exists insofar as I play it.

> Music is performance, and pieces, or works of music… exist in order to give performers something to perform. Unperformed, only the instructions for performance exist.[219]

In other words, you cannot eat a cake recipe. During the time period during which most of our canonic piano repertoire was written, performance was in fact more likely to be the way in which music was experienced, not listening to someone else's performance; but this is no longer the case today.

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[215]Abbate, "What the Sorcerer Said," 230.
[216]Small, *Musicking*, 112.
[217]Joseph Kerman, "Tovey's Beethoven," in *Beethoven Studies 2*, ed. Alan Tyson (Oxford: Oxford University Press, 1977), 179.
[218]Small, *Musicking,* 163.
[219]Ibid., 218.

> Musical works were [before the elimination of the amateur performer/composer] made for playing… now they are for listening to, and we employ professionals to do our composing and playing for us. A piece of music is written not to give performers something to play but in order to make an impact on a listener, who is its target… What the piece's impact may be on the performer is largely incidental, and seldom if ever discussed in the literature…[220]

But even those who experience a work without its performance by other humans are ultimately experiencing a performance.

> Those people who can imagine from study of the instructions for action contained in the score how the piece will sound are still imagining a performance, even if a very abstract and attenuated one. [221]

In the case of the above example, I will go one step further even than Small: that the imagined sounds one hears in one's head by looking at a score is more than a performance that one imagines; in the ultimate sense it is an actual performance of the score by the person viewing it, using the memory of a sound rather than the sound itself.

Small calls this substitution of the written directions for the music itself, and the notion of an idealized work independent of performance, the reification of the score.[222]

> Concert life today, however, is dominated by the idea that musical works have a continuous reality that transcends any possible performance of them, that each musical work we hear has, somewhere Out There, a corresponding Platonic entity that exists prior to, and indeed independent of, all performance, an entity to which all possible performances are only approximations, ephemeral and contingent. This idea stems partly from the undeniable continuous existence of scores as permanent objects, which gives musical works the illusion of solidity, but it stems even more from the tendency in European thought… to create abstract entities from actions and then treat them as if they were more real than the real actions to which they refer.[223]

Even Charles Rosen, not only one of the greatest Beethoven scholars of the last fifty years, but one of very few Beethoven scholars who was every bit as much a performer as a scholar, subscribed to the notion of "work" as a Platonic ideal: an edifice instead of an action.

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[220]Small, *Musicking*, 73.
[221]Ibid.,, 219.
[222]Ibid., 61.
[223]Ibid., 113.

> Clearly, we must extend Schnabel's observation that a Beethoven sonata is greater than any of its interpretations: it also transcends any venue, any form of presentation, private, public, or recorded.[224]

It is impossible for me not to feel personal sympathy to this opinion; nonetheless, if a Beethoven sonata is never not a performance, Rosen's statement cannot literally be true.

Perhaps Small would say that a study of Beethoven's sketches is nothing more than an excessive and rarified form of score adulation (to say nothing of composer adulation); undeniably there is an element of that in my discussion, or any discussion which treats the "work" as though it existed more as a theoretical and permanent abstraction, instead of something we hear—and necessarily consequent to that, something we perform. The problem with analyzing musical works as abstractions is that it not only excludes from its consideration that to which music owes its existence, it excludes that which gives music—even music by Beethoven—meaning. Below, Christopher Small uses the verb "to music" (present participle "musicking") to mean any action that produces music or contributes to the production of music.

> If a musical work exists in the relationships between the sounds as performers make them and as hearers hear them… then it exists only in performance. Its identity and whatever meaning it may have are embodied in the act of musicking itself… and can be known only in the act of musicking.[225]

I agree with Lawrence Kramer that the interpretive act, how we experience of music as we hear it, is in itself a performative act, in the sense that a person's reality and how that person interacts with and understands that reality are not meaningfully distinguishable: "… the narrative… is *in the plot imagined and constructed by the listeners*… "[226] But if I not only agree, but insist, that the auditor performs the meaning of music; then in turn it must be granted me, at the very least, that the performer performs the meaning of music too. Not only does the performer perform the meaning of music, the

[224]Rosen, *Beethoven's Piano Sonatas*, 225.
[225]Ibid., 112.
[226]Jean-Jacques Nattiez, "Can One Speak of Narrativity in Music?" *Journal of the Royal Musical Association* 115, No. 2 (1990): 249.

performer must perform the meaning of music as a necessary requirement for the auditor to perform the meaning of music—to say nothing of the interaction between the meaning performed by the performer and the meaning performed by the auditor. Even when discourse around Western art music includes this relationship (which it too rarely does), it almost invariably dehumanizes the human on one side of this relationship by discussing *the performance*: not *the performer*. The performance is regarded as an abstract, static, non-personal object, instead of an action.

> … what matters is its effect on the listener, not on the performers, whose response is not taken into account; they are expected to make themselves as transparent as possible and not to interpose themselves and their human personalities between the musical work and the listener.[227]

Music does not exist without the act of interpretation; but logically I should not then have to ask it be acknowledged that it definitely does not exist without my act of interpretation as the performer. There does not exist a performance that I did not perform. This time, I do not mean an "I" in the sense of the artist who has made interpretative decisions and uses his artistry, of which the audience passively receives the benefit; I mean in the sense of the "I" of which at least always two exist in any communicative act.

> … if we think about music primarily as action rather than as thing and about the action as concerned with relationships, then we see that whatever meaning a musical work has lies in the relationships that are brought into existence when the piece is performed.[228]

Or to extend Kramer's argument, there does not exist a performance that you and I did not perform together, whichever one of us is the "I" and whichever one of us is the "you." To make another amendment to an earlier statement: not only is there is no music that is not performed; but there is no music that is not performed by us. To paraphrase Martin Buber: we are both "I."[229]

If musical performance unfolds in the present rather than opening a narrative window, then the performer can only persuasively be speaking of him/herself. Speaking about events occurring in

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[227]Small, *Musicking,* 154.
[228]Ibid., 138.
[229]Martin Buber, *I and Thou*, Edinburgh, T. & T. Clark, 1966.

the present, in the third person rather than the first person would sound a little like the commentary of a sports announcer: "… and now he smiles; oh, look, he's raising his arm in anger! He crashes against the ropes and looks up at the heavens in despair!" Accordingly, the shared musical experience of performance itself is one in which the performer is communicating on behalf of him or herself, not on behalf of someone else; it is a communication that has not been pre-determined long before the performance began, but whose import is created by the real relation in which auditor and performer stand, during the performance.

> When we take part in a musical performance… Through the relationships that are established in the course of the performance we are empowered not only to *learn about* the pattern and our relation to it but actually to *experience* it in all its complexities… for as long as the performance lasts.[230]

When we make music, we are not simulating relationships. For Small the musical performance contains elements of the ritual reenactment, an understanding not dissimilar to the postmodernist striving to dissolve barriers between the stage and the audience in live theater:

> The antinarrative focus on the moment of performance also stems from the Artaudian interest in ritual (as inspired by primitive ritual and myth) and play as replacement for the linear, monolithic, narrative model.[231]

Because music, a non-representational medium, does not function on a "make-believe" premise the way a story or a movie, or even a theatrical work does, the performer is not merely representing relationships between him/herself and the audience, or even between the audience and someone not present, whether mythical or real: say, a dead composer. The self-identification between the audience of music and the performer of music is so powerful because relationship between them is in fact a present reality; a real relationship is being performed (by both of us): not (just) *related* or *described*. Together, we are writing the story in the telling.

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[230]Small, *Musicking,* 142.
[231]Deborah R. Geis, *Postmodern Theatric(k)s: Monologue in Contemporary American Drama* (Ann Arbor: University of Michigan Press, 1993), 40.

> So, if 'to music' is not just to take part in a discourse concerning the relationships of our world but is actually to experience those relationships, we need not find it surprising that it should arouse in us a powerful emotional response.[232]

Thus the real relationship in the performativity between music audience and music performer both requires and causes what I think is both too little expected and recognized: the participation of both with all the layers of real relation in which we live with each other at that moment.

> … there is a sense in which all musicking can be thought of as a process of storytelling, in which we tell ourselves a story about our relationships. The storytelling process is carried out by means of the language of gesture, and in the language of gesture there are no nouns, and its tense is always the present.[233]

Therefore, through the work, the musical performer does speak for him-/herself. This is of course the sense in which all great performances achieve their authorship, such that the audience identifies both the music and itself with the performer (or both the music and the performer with itself; or both the performer and itself with the music). But there is a quality about Beethoven's music that specifically lends itself very well to this kind of merging of subject with musical subject, aside from the more general sense in which performers speak for themselves whenever they perform: a quality that many more people have felt, than have been able to adequately explain.

> …as Adorno understands it, 'the musical individual (…being at times identical with the individual tone, at times with the 'theme' or with the part for the concert instrument) is able to develop from within itself and to organize the totality of the musical work from the inner dynamics of the participating elements.' What distinguishes such movements, in short, is their apparent ability to derive the principle of formal organization not from any outside source but from within themselves, and thus to establish as a reality the musical analogue of the free individual, the 'musical subject,' which has mastered external constraint and dissent and determined its own destiny.[234]

The developmental processes of Beethoven's music powerfully suggest the emotional stakes of personal subjectivity by which music is not a series of events, but an experience. We seem to hear a

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[232]Small, *Musicking,* 137.
[233]Geis, *Postmodern Theatric(k)s*, 139.
[234]Rose Subotnik, "Adorno's Diagnosis of Beethoven's Late Style: Early Symptom of a Fatal Condition," *Journal of the American Musicological Society* 29, No. 2 (Summer 1976): 248.

narrative of "subjective becoming,"[235] or " subjective self-generation,"[236] perhaps more than in the music of any other canonic composer. As a result, both listener and performer identify with that subjectivity to an extraordinary degree.

> … we see the implementation of one of the reigning aspects of the Beethoven paradigm in musical thought: form becomes a dynamic process through which purposefully limited thematic content can then develop and grow. As such, form is the life process of thematic content, and thematic content lives the life of a dramatic protagonist: the musical work becomes a subject.[237]

By taking away any sense of narrative compression of time, Beethoven's music also takes away narrative distancing.

> At any given point the music is either building to a climax or subsiding from one, and such action-reaction cycles act as engines of dramatic engagement… Large upbeats lead to big downbeats not as the main pillars of hierarchic hypermeter but in a more directly temporal way. That is to say, such arrivals feel like temporal *events* rather than measured accumulations of time. This, I feel, gets close to why we tend to hear Beethoven as engaging us primarily at a visceral level.[238]

The nature of many of Beethoven's sketches shows that it was this trajectory that was his first concern, even before deciding pitches or rhythms. The dramatic immediacy, spontaneity and unpredictability of his music "cast off the appearance of art."[239]

> … the entire texture is heard to participate in the fundamental illusion of melody, that of motion through time, and thus to partake of melody's sense of unfolding presence. This type of presence… attracts other, nonmusical, metaphors as well, notably including protagonist, Will, and Self.[240]

Hence, I should amend my earlier statement that the *Hammerklavier* is doing what it is saying, to a statement that while I am playing the *Hammerklavier,* I am doing what I am saying. I am not telling a "once upon a time"; I am declaring my own agency. The famous declaration, "Le concert, c'est

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[235]McClary, "The Impromptu that Tread on a Loaf," 24.
[236]Daniel Chua, "The Promise of Nothing: The Dialectic of Freedom in Adorno's Beethoven," *Beethoven Forum* 12, No. 1 (Spring 2005): 20.
[237]Burnham, *Beethoven Hero*, 72.
[238]Ibid., 45-46.
[239]Theodor Adorno, "Late Style in Beethoven," in *Essays on Music*, ed. Richard Leppert (Berkeley: University of California Press, 2002), 566.
[240]Burnham, *Beethoven Hero,* 60-61.

moi!" made by Liszt, who claimed a special affinity particularly with Op. 106 of all the Beethoven piano sonatas,[241] takes on additional meaning in this context.

Herein lies a contradiction: between spontaneous, authentic communication and the use of a text that has already been written (particularly by someone else who died 200 years ago and with whom neither side has much cultural or historical commonality). How can the performer, if he/she is speaking to another person in the present be both relating and experiencing a drama that is unfolding in the present rather than relating someone else's story from the past? If the drama is a true result of the relationship between the performer and the auditor, then its content must relate to, must also draw from the relationship and events that are happening between them during the performance: not solely from past events. Presumably there is nothing in the drama of Opus 106 that results directly from events unfolding between a solo performer and the auditors during the performance, since all of them are sitting in a concert hall and only one of them is not silent. As a society that values the work of psychiatrists, we know that there is one way in which a person can experience, in the moment, a drama that is not based on the events occurring in the moment: a psychological truth.[242]

> Marx perceives Beethoven's music as a psychologically valid dramatic process in which each stage follows coherently from the preceding one.[243]

The events and trauma occurred perhaps years ago; but they are real now, operating now between us in our every interaction. Our coming to terms with them, in fact, is almost never concurrent to or even closely follows those events. But my processing, my understanding of them is happening now; it is this I want to communicate, to share with you now as we share this space.

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[241]William Newman, "Liszt's Interpretation of Beethoven Sonatas," *Musical Quarterly* 58, no. 2 (Apr., 1972): 204.
[242]A.B. Marx, "Etwas Über die Symphonie," *Berliner allgemeine musikalische Zeitung* 1, no. 20 (Mai 19, 1824), 174.
[243]Scott Burnham, "Criticism, Faith, and the 'Idee': A. B. Marx's Early Reception of Beethoven," *19th-Century Music* 13, no. 3 (Spring, 1990): 191.

The self-reference I earlier attributed to the *Hammerklavier* was one in which a statement or work refers to itself; by that definition, such a statement could technically be considered self-referential regardless of who makes it. But self-reference that is created by authorship, or first-person statements, leads me to another speculation about the real relationship created between performer and audience. I would like to consider whether a musical performance could possibly belong to the category of J. L. Austin's *performative statements,* to which belong such statements as, "I take thee as my wife," or "I apologize to you," or "I warn you that you go too far."[244] For such performatives, the stating of something is the doing of it; and they may be judged as *felicitous* or *successful* in achievement, rather than being judged as true or false, as other kinds of statements might be.[245] Often the successful accomplishment of the act by the statement (which might also be called its validity) is dependent upon a consensus of agreement amongst the speaker and the auditors that certain statements shall have the effect of accomplishment, as in the case of "I swear to tell the truth," or "I take thee as my wife." In the case of the latter example, the statement alone is evidently insufficient to the accomplishment of the act; nonetheless, the act cannot be accomplished without making the statement. Ultimately, all statements are actions; but when one does something *in* saying something, that statement is *illocutionary*.[246] When one does something *by* saying something, that statement is *perlocutionary*, and not performative in the same way that the illocutionary statement is.[247] When used to welcome a mother-in-law, the statement "I welcome you to our home," is an illocutionary act; when used to make a mother-in-law feel unwelcome, the statement "The three days I spent cooking and cleaning before your visit made me so cross I yelled at my son for no reason," is a perlocutionary act. This distinction, already difficult to make in many cases, is more difficult in the

[244]J.L. Austin, *How to Do Things With Words,* Ed. J.O. Urmson and Marina Sbisà (Cambridge: Harvard University Press, 1962), 5.
[245]Ibid., 14.
[246]Ibid., 98.
[247]Ibid., 101.

case of non-verbal statements. Characteristically, perlocutionary acts can be performed without words; but it is also possible to perform an illocutionary act, such as a warning, by means of non-verbal signifiers, e.g., holding up one's hands and waving them.[248] The premise that Western tonal music is capable of suggesting emotion, attitudes or gestures implies the capacity to perform an illocutionary act as well. It might even be argued that music can only state by doing, since its suggestion or portrayal of emotions, gestures, etc., can only be made by expressing them. It is impossible to "state" a feeling in music without "doing" the feeling: "…the living word and the living deed… they were [are] one."[249]

If one accepts Adorno's assertion that "music… communicates, not through its expression or content, but through the *gesture* of speech,"[250] then ostensibly it is possible to make statements in music using gestures. My interest, insofar as performing Opus 106, is in understanding the effect of making a statement. If I claim that, in my performance of Opus 106, I somehow make the following statement: "I refuse to give up no matter what happens to me"; does this statement have illocutionary, performative effect? In making the statement of what I am doing, am I actually doing it? In the case of the statement I chose, I think the answer is, to a certain degree, yes. Illocutionary statements generally require an addressee (even if only in the most general sense), or require *uptake* (to use Austin's term) in order to take effect, especially in the case of a wager, for example.[251] Such a statement as the one I chose has the suggestion of a promise or contract, both of which are also illocutionary acts that require another party. Moreover, I think such a statement as the one I have chosen gains illocutionary power the more persons hear it; contracts are often taken more seriously the greater number of people agree to it. A marriage is generally thought to be a serious promise,

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[248]Austin, *How to Do Things With Words,* 119.
[249]Hugo von Hofmannsthal, *Reden und Aufsätze* (Leipzig: Insel-Verlag, 1921), 6, quoted in Theodor Adorno, *Beethoven: The Philosophy of Music* (Cambridge: Polity Press, 1998), 162.
[250]Adorno, *Beethoven: The Philosophy of Music*, 28.
[251]Austin, *How to Do Things With Words*, 117.

because its significance is acknowledged by most members of our society, i.e., billions of people; but if I and one other person made a club, in which we mutually agree that holding hands and then eating a meal together constitutes a marriage, it might seem less momentous a promise, even to the members of the club.

But for performatives to have force or effect, they must be self-referential to the subject: "the utterer must be the performer," i.e., they must always be made in the first-person.[252] If a person says, "he takes her as his wife," this statement does not have the same performative effect as "I take thee as my wife." Hence an implicit understanding between the performer and auditors that the musical performer is making statements for him-/herself in the first-person gives a peculiar power to declarations made by that performer. It gives a statement such as "I refuse to give up no matter what happens to me" the power of contractual agreement being made as it is spoken, between the performer and the listeners. If I am doing what I am saying—if I am doing *in* saying when I perform Opus 106—then the saying of it is not merely rhetorical; I have made a pact with my auditors.

[252]Austin, *How to Do Things With Words*, 60.

Decisions

> On my childhood image of Beethoven: I thought the 'Hammerklavier' Sonata must be an especially *easy* piece, associating it with toy pianos with little hammers. I imagined it had been written for one of those. My disappointment when I could not play it.[253]

The implications of accepting the arguments I have made about the relationship between performer and auditor potentially encompass every aspect of performing the *Hammerklavier* (assuming that the only choice the auditor can make prior to the performance is to attend or not attend). But rather than discuss exactly what decisions must be made (much less what those decisions must be), I would rather discuss what kinds of decisions must be made.

Small argues that the cultural practices around, concerning, and in concert halls today make it impossible to authentically communicate via the predetermined texts of their performance instructions: that the relationships they are performing with the audience are fundamentally opposed to the relationships suggested by the instructions (score).

> The musicians of the concert hall [today] are actors also, no less than the singer-actors of the opera house, and like them are representing relationships that they are not actually experiencing.[254]

I found, in one of my first performances of the *Hammerklavier*, that the failure to acknowledge the decisions to be made regarding performance format could create "… a tension between… the intended meaning of that specific sequence of musical gestures that we call a piece or work of music as we hear it performed and… the meaning of the total act of performing it."[255] This performance was attended by a friend of a friend, who, like many of the people amongst whom we live, had never once felt the need to attend a classical music performance. Had I been her friend I would have perhaps chosen a concert program a little shorter, and containing less extreme an example of an unfamiliar idiom, for her first essay at classical music. She was very appreciative of my effort; but she

[253]Adorno, *Beethoven: The Philosophy of Music*, 4.
[254]Small, *Musicking,* 145.
[255]Ibid., 169.

felt nothing but incomprehension and impatience with the format of my performance (which was given in a public urban space with a traditional raised stage and about a 200-seat audience). *Why*, she asked me repeatedly, *don't they let you clap when you want to? A thousand times when you did something cool, I wanted to clap, but your friends wouldn't let me. Whose rule is that anyway?*

Indeed, whose rule is it? I told her I didn't know; but if it wasn't mine, I don't know whose it was, since I am presumably the one who sets most of the parameters of the performance, usually ahead of time. (For a discussion of John Sullivan Dwight's influence on concert etiquette, see page 26 of Joseph Horowitz's *Classical Music in America*.)

> Mozart… was delighted when his Parisian audience showed its appreciation loudly *during*, not after, the performance of his symphony, and there have been times in a concert hall when I should have liked to do the same.[256]

My friend's friend was stunned that expression of audience appreciation was allowed only in rigidly proscribed junctures of the performance: never while I was playing, not between movements, and only after the conclusion of the entire work. By not allowing her to freely express her audible (or visible; lit lighters held above one's head, for example) appreciation, the concert made her feel as thoroughly constrained as if someone had clapped a hand over her mouth and handcuffed her to the seat, a feeling that soon distracted her from enjoyment of my performance (presumably the last 43 minutes of it). She told me that in rock concerts, with which she was very familiar, the performers and the audience all depend on each other's energy, feeding the impact of the performance synergistically. She didn't understand why I didn't want her—why I didn't need her—to give something to me as much as I wanted to give something to her, in my performance. In a very telling comment, she told me that my sitting up there on stage for an hour, without permitting her to do anything but sit silent and motionless, made her feel like I, the performer, was supposed to be God

[256]Small, *Musicking,* 163.

and she was supposed to be nothing. This comment was particularly striking to me, given how much more status and power pop music stars have than classical musicians.

> …[the modern concert hall] brings some together and keeps others apart, it places one in a dominant position and others in a subordinate position, and it facilitates communication in one direction but not in the other.[257]

Imagine how mortified I was by this reaction to my performance: not exactly what I had in mind during the some 3,000-4,000 hours I had spent practicing it, nor during the 45 minutes of the performance, in which I committed heart and mind to communicating with her and 150 other people as best I could. Even the understanding that a performance of the *Hammerklavier* would have been demanding even for the average season ticket holder at Disney Hall did not diminish my discomfiture, or enable me to dismiss her reaction. It was clear that I had failed with her in the mutual self-identification that was the primary goal of my performance of the *Hammerklavier*, because self-identification does not admit of such inequity as she clearly experienced. Unfortunately, there is so much about the traditional format of the classical music concert that suggests such a hierarchy between performers and audience (and other persons that contribute to the cultural practices of concert halls).

> Whatever the event [classical concert performance] may be celebrating, it does not seem to be… intimacy but rather the separation of those who produce from those who consume…[258]

My friend's friend was also disgusted that by adhering to conventions of audience etiquette for classical music with which she was not familiar, we made her feel like an outsider.

> … each listener listens on his or her own; how he or she might relate to other listeners is of no significance. In today's concert hall performances, the musical work is taken to exist for the sake of a 'listener,' in the singular…[259]

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[257]Small, *Musicking*, 27.
[258]Ibid., 74.
[259]Ibid., 154.

During the performance, the interactions of mutual friends sitting with her in the audience were reduced to the policing of her behavior to make sure she did not commit any gaffe. Not only did my performance format create a hierarchy between myself and the audience, it created one between her and the rest of the audience. She was separated from me, not by one barrier, but by two.

> All [ceremonial spaces such as concert halls] have their initiates and their outsiders, and from their behavior as they move around the building it is generally not too difficult to tell who are insiders and who outsiders, who are privy to its rituals and who are not.[260]

I questioned myself and my mentors following this performance: were all of these performance conventions absolutely necessary? And if so, why? In the case of my friend's friend, it didn't matter how "good" my performance of the *Hammerklavier* was (however one values good); that turned out to be less determinant of the success of my performance with her than other factors. If I failed with her, for whom was I playing anyway?

> Performers… frequently feel a greater responsibility to the works and to their composers than they do the audience that [have come] to hear them.[261]

More than one of my professors reasonably pointed out that my repertoire for that concert was such that intermittent applause and cheering during the performance from audience members would interfere with their own ability to hear and experience it fully, since the works require very focused, sustained attention. I consoled myself by thinking, without telling this friend, that even though she may not have realized it, she and the other members of the audience that day did contribute very much to my performance. I have always felt, during every performance I have ever given, that I depend on the audience's hearing me: I think of it as their coming with me. I can hear them do it, and the more completely they come with me, the better my performance is—and vice versa.

This experience did, however, naturally influence choices for my subsequent performances of the *Hammerklavier*. Schoenberg Hall, the main venue of our music school, seats 550 and has the

[260]Small, *Musicking,* 25.
[261]Ibid., 119.

traditional layout of a concert hall of that size: an elevated stage, orchestra pit, acoustic shell, wings, and curtains. Despite its acoustic superiority, I chose to perform my doctoral recital in a much smaller space on campus: simply a high ceilinged room of about 30' by 70', into which I pushed the piano and 50 chairs. I knew I would not be able to fill even the first row of Schoenberg Hall in any case; and if I was to have a small audience, I wanted to be closer to them, and for them to be closer to each other. I do not have enough experience to know whether a large audience, even had I one at my command, creates the ideal setting for the kind of communication I wish to make. For great performers, a sense of intimacy and connection may be as easy to achieve amongst an audience of 10,000 as an audience of 50. I have to admit that when I once performed for 550 people, the largest audience I have ever had, I felt I had the adrenaline of 550 people running through my veins; I had the sense of sending a message aloft across miles and miles, at the end of which a person caught it neatly in his hands. (I wonder if this is purely food for performer ego.) Nonetheless, a smaller number of persons in any group generally seems to present less obstacles to making connections between them. Also, remembering how unequivocally the conventions of concert format put my friend's friend in her place, I feel at least that the smaller the group, the larger a minority does each person comprise.

In the case of my doctoral recital performance of the *Hammerklavier*, the context of student recital at a university provided an ostensible raison d'être for my performance, and gave it a legitimacy whose demands upon me were much less onerous than the legitimacy given by a formal concert space and an audience who pays for admission (I suppose the benchmark of the successful concert pianist is that the majority of the audience members do not attend the concert because of any pre-existing personal relationship with the performer). For that reason alone, my relationship to the audience obviously had less of the insider/outsider power dynamic between performers and their audience in a formal, high-profile concert stage. For Small, it is this power dynamic (among

other things) that can militate against the kind of communication which is possible between performer and audience.

> … the majority of people are considered not to have the ability to take an active part in a musical performance. They are excluded from the magic world of the musicians whose separateness is symbolized… by the division of the concert hall into two [i.e., raised stage and seats].[262]

My audience included several teachers, to whom I wished express gratitude and whom I was very anxious to please; friends and family, whose good opinion of me I did wish to disappoint; a very important person whose presence who raised my own status; and a few persons whom I had never met: about 50 people in total. Because I was giving my performance specifically for the purpose of being judged and approved (in order for me to graduate) by musician members of the audience, my recital made explicit a reality that Small finds insufficiently acknowledged in the culture of symphony concert halls.

> They [the musicians on stage] have to please it [the audience] in order to make a living, but they privately despise it for its ignorance of the musical skills and mysteries to which they themselves are privy and for the unreliability of its judgment… They do not want their world to be too close to that of the audience; and individually and collectively, they guard jealously their privacy and their distance from the public.[263]

I know music cannot exist without being played; if I also know that meaning cannot exist without being understood, then my performance cannot function without a relationship with my audience conducive to that meaning.

The absence of a raised stage in the room I chose over the concert hall for my recital meant that we were all at eye level with each other. I wanted to be able to see and make eye contact with each audience member when I spoke as a preface before my performance, which I always do. I felt dissatisfied with the traditional placing of the piano so that the lid is open to the audience, which makes it impossible for the pianist to face the audience the way a singer can; but the only positioning

[262]Small, *Musicking,* 73.
[263]Ibid.

that would allow me to actually face the audience would have required removal of the lid, and was therefore acoustically impracticable in the space. I then considered setting up a video camera facing me while I sat at the piano that would project the front view of my face onto a screen facing the audience, giving the illusion that I was facing them. I suspected that during the actual performance, projecting my giant face on the wall behind the piano like a jumbotron at a football game would probably be visually distracting. I then considered, instead of running the projection during the performance, running it only while I spoke to the audience sitting at the piano prior to playing, and then asking them to continue to imagine, after I turned the projection off, that mentally I was still facing them while playing.

I was never able to try this experiment in any of my performances of the *Hammerklavier*; in one case, I tried to do the next best thing by sitting at the piano, facing stage right instead of facing my audience, and asking them to ask me conversational questions to which I responded without looking at them, continuing to face stage right. I was trying to explicitly demonstrate that although I was not facing them, and I could not make eye contact with them, my performance sitting at the piano was not an abstract activity which I allowed them to witness, but a communication as specifically addressed to them as anything I might say to them in words, such as "how are you?" or "It's a pleasure to meet you." In every performance I gave of the *Hammerklavier*, I felt that speaking to my auditors conversationally prior to playing was essential, more as an implicit suggestion that my playing was comparable to and a continuation of my verbal communication, than in the content of anything I said, especially in those cases where the language and conventions of European art music were unfamiliar. Speech-acts suggest reciprocity; in other words, they suggest not only a specifically intended recipient of communication, but also potentially a response to the speech-act. I wished to imply a similar reciprocity in the act of playing music for them. I hope to continue finding better and

better ways to create a performance context in which not only does success depend on the contribution of everyone in the room, but everyone in the room is aware of that fact.

In the First-Person

From the heart – and may it reach the heart.[264]

It has always struck me as curious that of all the arenas in the performing arts that continue to perform a canonic repertory, "classical music" is one of very few in which performance practice discusses minutely the means of achieving emotional or affective content; seldom discusses that content; and even more rarely discusses the performer's own relationship to that content. In the field of acting, for example, I am not aware that performers or teachers of performers discuss on exactly what word they should raise their eyebrows, exactly how much louder their voice should grow at the end of an exclamation, exactly how much slower they should say words at the end of a soliloquy, etc. Instead, discussion specifically includes what emotional content is to be conveyed—perhaps with the well-worn phrase of the method actor, "What's my motivation?" Self-identification with emotional content is a principal goal in the technique in method acting, and the means of conveying that content are consequent to self-identification. Of course, in addition to language, actors have their bodies and faces at their disposal; humans do not have to be shown how to smile, how to laugh, how to shout. A closer parallel to Western art music might be ballet, another highly stylized European art form. The stylistic and gestural conventions of ballet are those of a past age, not of our own, as with Western art music; and the brilliance and precision of technique are more highly prized than naturalness, to the point that expressive gestures are as purely abstract as almost anything using the human body can be.

I feel that the disappearance of personal investment as an explicitly required and discussed component of performing classical music is a much bigger loss of what this music can do for us than remembering what all the articulation markings mean. In order to quote Taruskin below, I must include the end of his quote of Edward T. Cone, *The Composer's Voice*:

[264]Inscription to "Kyrie" in Beethoven's autograph of his *Missa Solemnis*, Op. 123.

> 'But in all this argument one question is seldom, if ever, asked: if music is a language, then who is speaking?' This is a question, I submit, that could only have occurred to a musician in the twentieth century. Put to any pre-modern composer (of whatever century), it would have elicited an unhesitating, if unreflecting… reply: 'Why, I am, of course!'[265]

We can see in the older texts that these considerations were once discussed as performance choices: important enough to merit emphasis, and evidently not so universally integrated as to no longer need mention. Both of the first two quotes below make reference to the innate in the last sentence; I am interested in those references more as particular opposition to artifice or pretended emotion in the performance of music, than as determinations of who is qualified to perform music.

> Finally, good execution must be *expressive, and appropriate to each passion that one encounters*… **the performer of a piece must seek to enter into the principal and related passions that he is to express** [emphasis added]… in this respect each person must also regulate himself in accordance with his innate temperament and know how to govern it properly… but those who have from birth that happy mixture of the humours which includes something of the qualities of all the persons described above, have all of the advantages that could possibly hoped for in music; for that which is inborn is always better and more permanent than that which is assumed.[266]

> The last and most indispensable requirement for a good performance… is without a doubt a proper feeling for all of the passions and feelings that are expressed within the music. Those who lack this feeling, or possess it only to a small degree, for them the given wine is largely useless. An oral instruction would bear more fruit with such people than the best written instruction; although even the most industrious and conscientious teacher by nature will have a very difficult time eliciting a good performance from a student who is by nature without feeling.[267]

> A musician cannot move others unless he, too, is moved. He must of necessity feel all of the affects that he hopes to arouse in his audience.[268]

> Before beginning to play, the piece must be well looked at and considered… Finally, in practicing every care must be taken to find and to render the affect which the composer wished to have brought out… all must be so played that the player himself be moved thereby.[269]

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[265]Richard Taruskin, "The Pastness of the Present and the Presence of the Past," in *Authenticity and Early Music*, ed. Nicholas Kenyon (Oxford: Oxford University Press, 1988), 188.
[266]Johann Joachim Quantz, *On Playing the Flute*, ed. Edward R. Reilly (New York: Schirmer Books, 1966), 126-127.
[267]Daniel Gottlob Türk, *Klavierschule*, trans. by author (Kassel: Bärenreiter, 1962), 369.
[268]C.P.E. Bach. *On the True Art of Keyboard Playing*, trans. William J. Mitchell (New York: W.W. Norton & Company, 1949), 152.
[269]Leopold Mozart, *A Treatise on the Fundamental Principles of Violin Playing*, trans. Editha Knocker, 2nd ed. (London: Oxford University Press, 1951), 216.

In the editorial comments that accompany Hans von Bülow's 1875 edition of Opus 106, one can see that meaning in music was once understood to be first and foremost the provenance of performers. He was clearly very fond of the third movement, because he gave for it, of the four movements of Opus 106, the most performance directions of this kind. On a single page of the third movement he writes four different performance instructions, including the two below:

> [note to measure 45:] The general direction "con molto sentimento" over the whole piece should be extended also to all the more insignificant accompaniment-figures, of which none should be played in any way drily, coldly, or unmeaningly [unmeaningfully?].[270]

> [note to measure 57:] … the places concerned should sound "as if from another world."[271]

Note that von Bülow's instructions do not specify exactly how the quality is to be achieved; it is seems to be more or less understood that feeling the emotion will result in performing it.

> [note to measure 86:] As a profitable secondary study we commend the variations in the Adagio of the 9th Symphony… which are insofar more easily intelligible as they breathe a less 'ascetic' sublimity.[272]

> [note to m. 153:] … the re-entrance of the motive from the… introductory measure [should be played] very quietly and with dignity.[273]

> [note to m. 166:] Here a heart-rending grief no longer speaks, but, as it were, deathly-rigid, tearless resignation.[274]

The fourth movement of Opus 106 also receives a great deal of attention from von Bülow.

> [note to m. 20, fifth measure of the opening fugue subject:] This figure should be played each time with melodiously insinuating expression. It depends only on the player whether the work produces the impression of only dry, intellectual labor and of unsentimental ingenuity.[275]

Note that von Bülow uses the word "unsentimental" in a pejorative sense, whereas today it is almost without exception used to denote a positive. Sentiment is now regarded as sentimentality.

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[270]Ludwig van Beethoven, Piano Sonata in B-flat major, Opus 106, *Hammerklavier*, ed. Hans von Bülow, trans. John Henry Cornell (Stuttgart: J.G. Cotta, 1875), 45.
[271]Ibid.
[272]Ibid., 47.
[273]Ibid., 52.
[274]Ibid., 54.
[275]Ibid., 57.

> [note to measure 60:] The imitation… in the bass should be played with the utmost energy… the player should, however, not allow himself to be diverted from the original accentuation by the bar-lines merely. In other words, the rhetorical (thematic) accents ought not to be overshadowed by the grammatical ones.[276]
>
> [note to measure 351:] The 'false' skip (upwards) of a tenth… should, as a humorous turn, be marked just as roughly as, sixteen measures afterwards the skip of the diminished tenth (downwards), as a similar expression should be played timidly.[277]

Although I don't agree entirely with every suggestion von Bülow makes, the language he uses is so beautiful that I would fall in love with Opus 106, had I not already. Why do we no longer discuss this music in these terms? Of course, now when we talk about meaning in music, we also include meta-discourse about the ways in which we create meaning and our reasons for doing so; and we try to use language that is more powerful and versatile. But I truly feel that the disappearance of personal meaning in our discussion of this music has more to do with embarrassment, than doubts about its validity or usefulness. Not being very good at an activity does not mean that it is therefore without value.

Compare such comments with the editorial remarks of an edition of Opus 106 published 80 years later: the enshrinement of the "true text" is clearly already in full reign. Artur Schnabel has the following comments upon the same areas that elicited the above remarks from von Bülow:

> [note to m. 58 of the third movement:] Many have only "b" at the fourth semi-quaver in the bass; it must surely be "b" [and] "g." Others place a tie from the fourth semiquaver "g" to he following quaver – probably wrong.[278]
>
> [note to m. 86 of the third movement:] It is often recommended, but surely not allowable, that a lower octave should be added in the bass, as far as the third quaver of the following bar.[279]
>
> [note to m. 350 of the last movement:] Some have "d" as the fourth quaver, but erroneously.[280]

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[276]Beethoven, Piano Sonata in B-flat major, Opus 106, *Hammerklavier*, ed. Hans von Bülow, 59.
[277]Ibid., 72.
[278]Ludwig van Beethoven, Piano Sonata in B-flat major, Opus 106, *Hammerklavier*, in *32 Sonatas for the Pianoforte,* ed. Artur Schnabel (New York: Simon & Schuster, 1953), 722.
[279]Ibid., 724.
[280]Ibid., 761.

The motivation behind both of these editions was a passionate commitment to lead the performer to a faithfully "authentic" performance. Von Bülow thought of himself as carrying on the tradition of interpreting Beethoven sonatas directly passed down to him from Liszt. Schnabel's commitment to conscientiously following Beethoven's intentions included the study of original manuscripts[281]; he meant to rid the score of inaccuracies and make indications more precise, at the same time providing what we regard today as an intensely personal interpretive stance. But at some point across those intervening years, for performers fidelity to Beethoven's compositions came to mean more how to convey, not what to convey. I believe, however, that as an audience we still evaluate a performance as a success to the degree that we feel that the performer has chosen well the latter, not the former.

In the course of deciding affective content of my performance of the *Hammerklavier*, a process I began many months before performing it for the first time, I made a distinction between two different kinds of content: for lack of better terms, I call them *mood* versus *emotion*. The crucial difference between these two types of content is precisely the difference between subjectivity and objectivity. For example, *spooky*, *mysterious*, *suspenseful*, etc., are words more likely used to describe some aspect of our surroundings, a condition that we observe in something non-sentient; *frightened*, *angry*, *hopeful*, etc., are words used to express interiority. Of course, the immediate objection to this is that in many cases (perhaps most), these are not discrete or mutually exclusive categories. A person can look threatening, or feel full of sunshine; a sky can look angry. But often, when we attribute emotion to inanimate objects, this is in fact a shorthand way of indicating how they make <u>us</u> feel, e.g., when we say a house feels warm and gay, we are not suggesting feelings experienced by the house. Another dividing criteria that might be used to draw the line between the subjective self and the perceived, external other—or, in other words, between first-person and third-person—can be drawn between *events* and *statements/actions*. I found such distinctions useful in my self-identification

[281]Lewis Lockwood, *Beethoven: Studies in the Creative Process* (Cambridge: Harvard University Press, 1992), 218.

with different moments of Opus 106; and the fact that they cannot always be clearly made was an aid, not a hindrance to my decisions.

The first movement, whose thematic material, according to Nottebohm, was remarkably slow to emerge in the sketching process, was the one I found to be the most variegated blend of my two categories. The opening of the first movement is as audacious a statement as I have ever heard at the piano, not least because of the nakedness of that opening leap, so terrifying for the performer. It already requires an act of will: hence not an abstraction, but an announcement made by a subject. Determining that it is a statement, not an event, leaves for the performer two further decisions to make: first, the content of that statement; and second, what his/her personal relationship to that content is. Of course, by personal relationship to the statement, I mean what it means to the performer him-/herself, not an imaginary character that he/she is playing: that would make it a story, not a statement. This is a distinction that separates the musical performance from the (literally) theatrical one.

> The actor's art…[makes the spectators]… suspend their disbelief, that the actors have personal characteristics they do not in fact possess… are feeling emotions that they are not in fact feeling. It is an art of representation… directed outwards, toward spectators.[282]

The self-identification the method actor feels with the imaginary character is his/her acting technique; but the actor is not explicitly asking the audience to believe that onstage he/she is speaking for him-/herself, except in the case of an autobiographical one-man/one-woman show. In any musical performance this distinction is already blurred; but I have argued above that the nature of Beethoven's Opus 106 demands that the performer speak for him/herself. Small argues that the musical performer perforce speaks for him-/herself, in any case; this is the level of meaning that the performer cannot entirely plan ahead of time. Even if the audience is entirely of the performer's

[282]Small, *Musicking,* 144.

choosing, the performer cannot wholly predict the dynamic of his/her relationship with each audience member, nor of the relationships audience members have with each other.

On the other hand, mm. 39 - 44 of the first movement are a dramatic action, an opening of the curtain that leads us to the wending melodies in G major. Note that this is one of the moments of which Beethoven's original conception during sketching was very close to its final form.

Score Example RRR: First movement of Opus 106, mm. 39 – 45



Deciding that this passage is event, not action, still leaves one decision: what the quality of that event is. One may object that so far my distinction simply amounts to equating melody with rhetoric and color (particularly harmonic color) with mood or event. It is true that the shaping of melody lends itself to the suggestion of rhetoric. Gesture, however, with or without melody, also belongs to the category of authored behavior rather than occurring event: for example the second ending of the exposition.

Score Example SSS: First movement of Opus 106, mm. 120 – 123



I have always felt that Beethoven's late fugal writing strongly suggests subjectivity, and an individual one, despite the plurality of contrapuntal "voices." In the case of the development of the first movement of Opus 106, instead of a lovely, contained circularity in the subject material that cadences before the entrance of the next voice, as in so many Bach fugues, the voices in Beethoven's fugue cadence together and collectively express an unceasing striving.

> …the extraordinary and unique characteristics of the late style… [include] aggressive, dotted-rhythmic polyphonic textures that create a sense of irresistible motion and unbearable strain… [and] the turn toward thematic material that is ever more terse and pregnant…[283]

Score Example TTT: First movement of Opus 106, mm. 138 - 145



A return of the suspense-building D octaves that ushered in the beginning pastoral G major second group of the exposition yields unexpectedly and miraculously to B major and the *dolce, espressivo*

[283]Maynard Solomon, *Beethoven*, 387.

melody of the second group's last area: a song sweet and uncanny. For my performance I felt in these moments a certain blithe serenity that comes from walking away from a building that one has timed to explode ten seconds later.

Score Example UUU: First movement of Opus 106, mm. 198 – 202



The extraordinary retransition accumulates a tension that might suggest a more global situation in our drama. However, one of the reasons I prefer to play the A-sharps as indicated in mm. 225 – 226, rather than the A-naturals that would provide a dominant preparation for the explosive return to the recapitulation, is my feeling that by playing the repeated A-sharp—E tritones that then become repeated A-sharp—F perfect fifths, I myself am snatching tonic from the jaws of tritone. Playing A-natural—F, implying a first inversion of a dominant chord, would make the return to the tonic not only effortless, it would make it inevitable. I feel that Beethoven's pervasive harmonic movement by thirds instead of by fifths is a also choice that requires an exertion of will: the victory of the underdog rather than the safe bet.

> …the complex harmonic situation entailed by the modulations of descending thirds… is, in fact, the principal reason for the 'difficult' sound of the *Hammerklavier,* as the ear is traditionally used to the dominant-tonic resolution implied by the language, and Beethoven withholds such resolutions fairly consistently throughout the work.… Almost all the large resolutions are uncompromising juxtapositions of minor seconds which arise directly from the descent by thirds… they are the main source of the work's expressive and dramatic tension.[284]

[284]Rosen, *The Classical Style*, 431.

Throughout the *Hammerklavier*, victory, far from being certain, is so hard-won that I certainly have never been able to take it for granted.

Score Example VVV: First movement of Opus 106, mm. 213 – 231



Of course, the *Hammerklavier* is not the only work of Beethoven's that has this quality of struggle; I think it is precisely this quality to which listeners have responded with consternation since his lifetime, for example: "The Second Symphony is a crass monster, a hideously writhing wounded

dragon that refuses to expire, and though bloodied in the finale, beats about furiously with its tail erect."[285] However, struggle in the performance of the *Hammerklavier* is, in my opinion, uniquely self-referential in Beethoven's oeuvre.

By contrast, I find the second movement to contain several tableaux and changes of scene as one might find in a narrative. Moreover, a sardonic quality in its exaggerated gestures and caricature enables a certain distancing: I think of myself as performing a role or doing an impersonation of a droll character, rather than speaking for myself. Nottebohm does not supply enough sketches for us to know at what point in the sketching process Beethoven settled on this quality for the second movement; but the placement of the dotted rhythm on the third beat creates a dangerous lurch on the downbeat that renders it off-balance.

Score Example WWW: Second movement of Opus 106, mm. 1 – 4



The low mysterious rumbling of the Trio suggests suspense without providing much melodic content or harmonic movement; the entire section is basically the elaboration of a B*b*-minor chord.

Score Example XXX: Second movement of Opus 106, mm. 48 – 51



[285]Nicolas Slominsky, *Lexicon of Musical Invective* (Seattle: University of Washington Press, 1953), 42.

A furious Presto interjection ends with a prat fall into a diminished 9th chord in m. 113, after which I pause briefly; and then, completely deadpan, return to my opening material.

Score Example YYY: Second movement of Opus 106, mm. 107 – 117



It is the deadpan delivery prior to this moment that makes me particularly relish the sudden, inexplicable, and excessive explosion into B-natural octaves in m. 168.

Score Example ZZZ: Second movement of Opus 106, mm. 160 – 171



After performing it several times, I decided that, as regards that content of the *Hammerklavier* requiring the decisions of 1) emotional content and 2) our personal relationship to that content: we would probably accept any answer for the first question, as long as the performer had a good answer for the second question.

> The single word: God! Can denote an exclamation of joy, of pain, of despair, the greatest anxiety, pity, astonishment, etc., in various degrees. In the same way tones by changes in the execution can produce a very different effect. It is therefore extremely necessary to study the expression of feelings and passions in the most careful way [and] make them one's own…[286]

The performer must make conceptual decisions about this relationship prior to the performance; but at the moment of truth, sitting down at the piano in front of an audience, it is necessary to take a leap of faith, not unlike the kind Beethoven took when starting a continuity draft. I remember

[286]Türk, *Klavierschule,* 338.

especially one thing that Malcolm Bilson told me in a past coaching. As in many other coachings I have seen him do with others, he discussed performance practices that are well documented in the tracts of eighteenth-century musicians and teachers, including those quoted above. At one point he stopped and said, "Now, I don't know if I'm right when I say it should be played this way. Maybe I'm wrong, maybe I'm not. But whatever is right for this music, I'm sure it's not this:" upon which he played the passage in a perfectly inflexible and inexpressive fashion, completely uniform in tempo, volume, and articulation. "Whatever the right way is, that is the only one I'm sure it isn't!" he concluded. If music expresses something, then it follows that it expresses someone. In the case of the *Hammerklavier*, that someone can only be the audience if it is also the performer.

I did not find it necessary to apply the differentiation between these kinds of decisions to my performance choices throughout the third movement of Opus 106 because I felt that this movement is almost wholly rhetorical rather than narrative, i.e., statement, not event. Adorno called this quality "… the peculiar *speaking* character of the theme" of the third movement.[287]

> … as Kerman has written, a profound yielding to the "vocal impulse" in both his vocal and instrumental music… makes the late works Beethoven's "crowning monument to lyricism." Not only lyricism, but rhetoric, declamation, and recitative as well: speech and song together press to fulfill Beethoven's drive toward immediacy of communication.[288]

I found that another kind of performance choice was necessary in performing the third movement of Opus 106. A strange thing that can happen during performances (that perhaps only emphasizes the disjunction between our musical language and our other means of experiencing and/or expressing emotion) is the expression of emotion through other physical means, simultaneously with the performance of the work. The most famous example is the humming of Glenn Gould, who stated unequivocally that when he focused sufficiently to prevent himself from audibly humming, the performance suffered so much that his humming was the lesser of two evils. (Glenn Gould was

[287]Adorno, *Beethoven:The Philosophy of Music*, 128.
[288]Solomon, *Beethoven*, 387.

not the only great pianist who ever made audible vocalizations while playing; I've heard plenty of humming at Disney Hall, in downtown Los Angeles.) We do not interpret this superfluity of expression as an indication of his failure to be sufficiently persuasive in his piano playing; many might suppose that it is rather an indication of an absorption so complete that he must also express the music via one of the few remaining means available when hands and feet are busy. Another example might be extravagant gestures with the face and body, especially the arms and hands, while playing, insofar as the execution of the score allows them. There is no getting around the fact that I am, no matter what else one calls it, playing piano instead of talking to the audience, hence already employing the conventions of a piano performance; so the communicative act is mediated by those conventions. What kinds of extramusical actions are deleterious to the communicative act of musical performance?

One might contend that extramusical actions are extraneous to the performance and may be discounted from our experience as long as they do not interfere with or distract from the musical content of the performance, or as long as that performance is otherwise particularly compelling (as with Glenn Gould). But it is impossible to dismiss the fact that all information that we receive from our senses about the performer affects how we experience the performance; and an expectation of an audience ignoring any but the auditory aspect of the performance is unrealistic, as any short red dress can tell you.

> …the tiny dresses and spiky heels draw your focus to how petite Ms. Wang is, how stark the contrast between her body and the forcefulness she achieves at her instrument. That contrast creates drama. It turns a recital into a performance.[289]

Clearly, Zachary Woolfe found Yuja Wang's dress as much an expressive choice as a sartorial one. However, he makes no reference to the most obvious subtext of the audience's reaction to the dress, which included wolf whistles: sexual objectification. Was the dress inviting sexual objectification

[289]Zachary Woolfe, *New York Times*, "Restrained then Madly Musical: The Pianist as Spring Mechanism," May 17, 2013.

from the audience, or challenging it via the jarring clash it created with our associations with classical pianist garb? Does this clash refute our historical view of the evil in the body versus the sacred in the spirit? What does the more traditional concert dress code suggest about the relationship between performer and audience, especially if that relationship now includes the male gaze on a female object (which it clearly did, during Yuja Wang's performance in Carnegie Hall)? For my part, I wonder whether another factor in the furor that followed her dress, besides the challenge to the juxtaposition of female sexuality with "high" art, was an assumption about the nature of her reason for choosing her garb. Perhaps instead of finding the effect of the dress objectionable, the audience found objectionable the possibility that she might have chosen the dress because she wanted it to have one: in other words, that it might have been a highly calculated choice, not an artless one.

I frequently wept while playing the third movement of Opus 106, including during one performance. During this performance, I worried that the sight (and even sounds, though barely audible) of my tears would distract the audience from my performance. I was then suddenly worried that not only my tears, but my worry about my tears was interfering with my performance and making it contrived. Is Glenn Gould right, in that any concentration on suppressing other expression is in itself a distraction to the performer? Or does extramusical expression of the pianist, particularly via the face or body, signal the insufficiency of the musical performance as expressive act? Or does it signal the performer's greater interest in his own emotional experience than in that of his/her audience? Under the assumption that every aspect of my performance cannot help but comprise part of the audience experience, the latter question is moot; rather, the question would be, does the communication being made by extramusical acts run counter to, or support the communication I am trying to make in my musical performance?

An answer might be that we do not find them to detract from the performance insofar as such gestures are "sincere," by which we mean that we do not mind it when actors act a part, but we

do mind when classical musicians act a part. I suspect that we do not want the performance of a musician to have certain elements deliberately staged in order to create drama, for example garb or physical gestures; the only part of the performance in which the audience accepts craft or simulation is the programming of prewritten canonic works. Even though we have heard the same work a thousand times, and even if we know the performer has played the same work a thousand times, we need to believe all the other choices of the musician are not completely scripted, the same way we need to believe that the action on a "reality" television show is not scripted. The drama the audience of a musical performance wants to experience is that of being part of something that is "really" happening. We accept explicit theatricality as a convention of theater, but not as a part of instrumental Western art music performance. (I will not discuss here theatricality in vocal performance, whether staged opera or solo performance, because the use of language enables and requires this very convention of theater.)

In what kind of gesture is spontaneity a necessary indicator of personal sincerity in a performance of classical art music? I think many of us would find it frivolous or even ethically noxious to use consciously choreographed bodily gestures or facial expressions to represent the symptoms of emotion as part our musical performances because we assume that means insincerity: a reflection of the audience's ethic. But we are consciously, ahead of time, using pre-set musical gestures, i.e., the pitches, rhythms, tempi, etc., of the work that are meant to communicate or suggest emotion; why is it unethical to plan physical gestures or behavior during the performance, but not unethical to plan pitches, rhythms, speed and volume of notes? Why should the planning of any bodily gesture preclude the spontaneity of the emotional communication between performer and audience, if the planning of the "work" does not? We accept the "work" as a preset part of the craft preset because it is not explicitly representational. The very abstraction of instrumental music sanctions the audience's expectation of emotional expression that is sincere, first-hand emotional,

and not assumed just for the performance. The power of music is that we are coded to experience emotional equivalencies to musical gestures; but at the same time, music, unlike words, the face, or the body, is not so representational as to require the theatrical convention of "once upon a time."

How much do I want to live my statement? So much that my crying actually prevents me from continuing to play? Maybe that would have been a better performance, by my criteria. However, I did conjecture that my tears were potentially a distraction to the audience, precisely because it could potentially make them wonder whether or not I was being theatrical. Or is that a question I do want the audience to ask? The question at least implies the possibility of two answers. In any case, for me the most important observation is that we judge even extramusical gestures in musical performances according to whether they are artless and spontaneous or whether they are theatrical, precisely because in order to identify with the performer we need to believe that the performer's emotions are truly unfolding in front of us.

In the case of the *Hammerklavier*, I argue that the real emotional exchange between performer and auditor constitutes the performed meaning; but I believe it also creates or causes that meaning. But just because I must be emotionally spontaneous, does that mean that all of my choices must be left to the last moment? Is there necessarily a contradiction between spontaneity and the suggestion of spontaneity? Obviously, as a classical pianist I must take the position that the answer to these is no. The whole enterprise of performing canonical works over and over again with the best of intentions necessarily argues that complete spontaneity is not the only, or perhaps even an absolutely necessary requisite for emotional spontaneity/sincerity. But what does that imply for all the interpretational choices I do make—must make—long before the performance? My emotional experience must be in fact spontaneous; but I must also make musical choices that will enable that my spontaneous experience to inhabit that performance. No matter how I feel during a

performance, if I have already decided on musical choices that preclude the expression of that feeling, the incongruency results in a relationship with the audience that is not communicative.

Perhaps it would be easier to pin down what connotes spontaneity in speech, a more familiar medium. These could include sudden and very intense changes in affect or content; or timing of delivery that is prompted by change in thought or feeling, rather than reeling off words fluently without pause, for example. According to Antonin Artaud, "the theater is the only place in the world where a gesture, once made, can never be made the same way twice."[290] In other words, non-uniformity in gesture is perhaps the most determinative indicator of spontaneity; that most suggests spontaneous emotional response as opposed to scripted response. However, I cannot see why the theater is the only place where this is so: non-uniformity seems to also be one of the most crucial indicators of spontaneity in the non-representational medium of music. Complete uniformity in the manner of delivery of musical gestures is antithetical to the experience of authentic emotion in the performer, because it is antithetical to emotion itself.

For the pianist who performs Opus 106, non-uniformity refers to the manner of the delivery of gestures, in every aspect. This includes not only parameters such as speed and volume, but also the ways in which we make changes in those parameters: accelerando, rubato, decrescendo, etc. (This includes all other parameters, such as timbre/tone, articuclation, etc.; but we do not have single words to describe changes along these parameters.) Here we come to a level of specificity at which classical musicians are more comfortable discussing decisions than artists in other media: just how loud, just how much louder; just how fast, just how much faster. I prefer the stance that only the performer him/herself, having already decided the affective content and his/her relationship to that content, can also decide which delivery feels most authentic to that content, as much as is possible prior to performance. For example, this would be the primary consideration for the pianist

[290]Geis, *Post-Modern Theatric(k)s*, 40.

making a choice regarding the disconcerting metronome markings that Beethoven included for Opus 106, which was one of the first of his works, and the only piano sonata, to receive metronome markings.[291]

> The metronome mark [for the first movement] is half-note equal 138, which is very fast. There is nothing sacred about any metronome mark, and Beethoven was, after all, deaf and unable to test the justice of his suggestions. What can be heard clearly by the imagination may often be blurred and muddy in actual performance. Tempo indications, however, must be taken very seriously indeed, because they reveal the character of the work, and Beethoven was very careful about his markings. The tempo of the first movement of the *Hammerklavier* is Allegro, which for Beethoven was always a fast tempo. He never wrote a simple 'Allegro' when he meant 'Allegro maestoso' or 'Allegro ma non troppo'. It does not matter what metronome marking a pianist chooses for this movement providing it *sounds* Allegro; there is no excuse, textual or musical, for making it sound majestic, like Allegro maestoso, and such an effect is a betrayal of the music. It is often done, because it mitigates the harshness of the work, but this harshness is clearly essential to it… And it is meant to be difficult to listen to.[292]

Beethoven himself recognized precisely this caveat to any metronome marking, including his own:

> On the manuscript of his song "Nord oder Süd" [Beethoven] wrote: '100 according to Mälzel, but this must be considered applicable only to the first bars, for sentiment also has its tempo and cannot be completely expressed by this number.'[293]

But complete non-uniformity in every aspect of every musical gesture within a musical performance is ultimately more than any performer can plan exactly ahead of time and remember to execute, without being guided by our own emotional responses.

> It would certainly be a futile endeavor, therefore, if one were to attempt to enumerate in order everything that is required for expression and to specify all of this through rules, because expression depends so much on that which no rule can teach, namely on the individual feelings themselves…certain subtleties of expression cannot really be described; they must be *heard*.[294]

Spontaneous emotional experiences naturally create slightly different gestures every time we feel them; in this regard, again, the emotional identification is thus the technique. The auditors have already come as themselves; for the emotional exchange to take place, the performer has to come as

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[291]Sandra P. Rosenblum, *Performance Practices in Classic Piano Music* (Bloomington: Indiana University Press, 1988), 323.
[292]Rosen, *The Classical Style*, 421-422.
[293]Rosen, *Beethoven's Piano Sonatas*, 44-45.
[294]Türk, *Klavierschule*, 337.

him/herself also. In other words, I agree with the position, taken by Quantz, Leopold Mozart, and Türk, that this will in fact produce a different communicative result with the audience than a performance in which the performer does not emotionally initiate, because the actual spontaneity of real emotion creates decisions that are too fine to otherwise fully quantify or simulate, or for either performer or auditor to consciously recognize. Many may disagree with me on that count; but I am sure that whenever I listen to a performance of Opus 106, these are the only kinds of choices that draw my interest and determine for me the efficacy of the performance.

The Performative Act

Ultimately, Beethoven turned all his defeats into victories.[295]

After finishing the third movement in a performance of the *Hammerklavier*, I have already been playing for close to 35 minutes: this is the moment in which I know I have no choice but to wholly commit all the focus and stamina I have left, because that still may not be enough to finish playing the last movement. It is impossible to feel that an achievement so costly to one's self can be other than a statement and an action on one's own behalf, as it was to the man who sketched over a hundred pages for the sake of four measures of material for this movement. This is probably for me one of the moments most fraught with meaning created by my relationship to my auditors.

> …all musical performances evolve over time; the relationships the performance brings into being are also evolving the relationships at the end of the performance are not the same as those of the beginning. Something has changed between the participants through the fact of having undergone the performance together. Who we are has changed, has evolved a little, either through our having been confirmed in our concepts of ideal relationships and of who we are or through having had them challenged. Those relationships are all around us as we music, and we are in the midst of them. We need make no effort of will to enter into the world that the performance creates, for it envelops us, whether we will it or not.[296]

I feel that voluntarily daring death in the presence of others requires more courage—or desperation—than facing it alone. In the case of my doctoral recital, this was not due solely to fear of being annihilated by the humiliation, greater than I would have ever have experienced, of failing in front of my professors, friends, and important persons; nor even primarily of the fear of failing to finish my degree after three years of work. It was perhaps in this sense that Glenn Gould compared a live concert performance in front of an audience to ancient Greeks watching the Christians thrown into the lion pit (an important distinction being that in my case I believe the audience wanted me to succeed). In the case of my doctoral recital performance of the *Hammerklavier*, a failure in

[295]Solomon, *Beethoven,* 161.
[296]Small, *Musicking,* 140.

performance would have been itself a symbolic death for me personally. I think the insularity that Small judges so harshly in some professional musicians stems not only from the performance traditions of symphony halls over the last century, but also from the justifiable fear of opening one's self up so completely to strangers, and a fear of the judgment of those strangers.

The Largo of the finale begins with a wondering quality that matches my as yet uncertain negotiation of the emotional distance between the depths of the third movement and my relationship to the fugue. With those opening F-octaves, I feel looming ahead of me all the possibilities, both good and bad, of how I will play the rest of the movement. The self-conscious experimental forays into different textures, including a sudden burst into a more stylized fugal texture than appears in the fugue proper, all allow me to explicitly try out communicating different affects. But I have already made a pact with my audience; and the test of that commitment is now upon me when I start the trill in measure 11.

Score Example AAAA: Last movement of Opus 106, mm. 11 - 15



My experiences of performing the fugue finale of the *Hammerklavier* particularly brought to the forefront another aspect of our contemporary performance of canonic Western art music for piano: the insistence upon accuracy of only one kind.

> The reverence accorded to the composer's score suggest that it is a sacred object, which... demands that … the performance be note-perfect, with a… technical precision that would have made the works' composers, those real men who lived in time rather

> than the mythic figures we have made them into, raise their eyebrows in astonishment…[297]

Obviously, our obsession with correctly playing the notes, playing all the notes, and playing nothing but the notes written in the score has much to do with the profound effect that the birth of the recording industry has had upon the performance values of "classical" pianists. It seems to also reflect that part of our culture that inordinately values control for control's sake. However, although technical perfection may be in itself an achievable goal (as many pianists have proven), total control as a goal of musical performance is a chimerical one.

> … the musician who works with notation is aiming… to achieve total conscious control of the material. Working with notation gives the illusion that such a thing is possible, and we have in the surviving notebooks of Beethoven evidence of the furious struggle that he waged to bring everything under control. But however passionately they may have struggled to achieve it, we may be sure that no musician[s]… have ever had complete control over every musical gesture they make or have completely understood the significance of what they were doing.[298]

It is particularly the performance of the last movement of Opus 106 over which no performer can exercise as much control as he/she would like, thus forcing an issue that is a deeply ingrained part of piano culture today. But perfection is another quality that is incompatible with the spontaneity of genuine emotional experience, precluding the possibility of the performer's, and thus the listener's, genuine response to that which is truly shocking, miraculous, and powerful in the piano repertoire.

> There are many means available to society for wearing down the 'resistances' through which art protests against society. Brilliant, glossy, 'official' performances, for example, can smooth over any discontinuities which might jolt the listener into detailed concentration upon musical structure [or deconstruction thereof].[299]

Complete control is antithetical to that which gives such communicative power to the Opus 106 finale. A note-perfect performance is not possible because, as far as Beethoven is concerned, it is

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[297]Small, *Musicking*, 118.
[298]Ibid., 179.
[299]Subotnik, "Adorno's Diagnosis of Beethoven's Late Style," 263.

not desirable; and a performance that prioritizes perfect accuracy (whether or not it is attained) inhabits the wrong emotional stance and therefore the wrong interpretational stance.

The word "mistake" that we use for missed notes in a performance contains two elements in its meaning: one, that it was not planned; and two, that it inevitably mars or detracts from the value of something. The first of these connotations is not something to which we object in a performance. Of course mistakes alone do not make for convincing performances; one might actually say that the least successful performances are ones in which the mistakes that the pianist clearly did not intend to make are the only perceptible spontaneity in their playing. It is the second inference we draw from the word "mistake" in discussing (particularly) pianist performances with which I take issue. One of the many wonderful things about the recordings we have of Alfred Cortot is how apparently untroubled he was by the number of "mistakes" in recordings that, in this day and age, would be the first of many takes to go directly into the trashbin. But not only does our all-absorbing preoccupation with technical accuracy suggest that the quality of the performance is independent of that audience contribution[300] that I so clearly felt in the room as I began to play the fugue finale in my performances; it also is utterly anachronistic. I do not think "mistakes" were of lesser importance to Cortot; I suspect they were of no importance to him. Our insistence on "mistake"-free performances surely would have been as absurd to him as, for example, an insistence on only one fingering for a work would be today to us. (Listen to Cortot's recording of Schumann's *Kreisleriana:* http://www.youtube.com/watch?v=Nek1Kx8Zemw.)

While preparing for my performances of the *Hammerklavier*, I listened to recordings by pianists who played with varying degrees of accuracy and very different interpretational approaches.

Jeremy Denk:

http://imslp.org/wiki/Piano_Sonata_No.29,_Op.106_%28Beethoven,_Ludwig_van%29

[300]Small, *Musicking,* 73.

Alfred Brendel: http://www.youtube.com/watch?v=5SAzINMPtzs

Richard Goode: http://www.youtube.com/watch?v=_Q4856Rh3zk

Sviatoslav Richter: http://www.youtube.com/watch?v=06O5TWFMmPs

Artur Schnabel: http://www.youtube.com/watch?v=lo4WrLc_BNk

Obviously there is some correlation between an allowable degree of inaccuracy and the date of the recording relative to the modern recording industry; however, the performance by Richter, who is arguably the most technically accomplished pianist of modern times and who released plenty of commercial recordings, is not perfectly consistent in that regard. If there were ever a pianist who had no limitations of technical prowess and accuracy, and who was capable of performing Op. 106 (live) without any wrong notes, I feel it would likely be he. However, as the listener will observe, there are more mistakes in the finale in this performance than I have heard him make in the entirety of other works that he also recorded live (clinkers begin from the trill of the very first entrance of the fugue subject). I conjecture therefore that he willingly sacrificed this goal to a higher aesthetic; and certainly, his rendering is thrilling to the point of peril.

Artur Schnabel, whose recording is the last I include, was the first pianist to make a commercial recording of the entire cycle of Beethoven piano sonatas. Surely this recording places amongst the top ten, if not first place, in the density of clinkers, amongst twentieth-century piano recordings. Even taking into account the extreme difficulty of editing out mistakes on steel tape in 1939, and the increasing ease of editing that improved technology has given to each successive generation, it is hard for us to imagine releasing this level of imperfection as a commercial recording today. But what I find breathtaking is that the fistfuls of wrong notes deter Schnabel's determination not a whit. In the midst of making enough mistakes to make a student pianist in this day and age depart the stage in tears, his conviction is unshaken until the last notes sound. (Towards the end of the finale, the recording gives me the impression that Schnabel felt that as long as he hit the right

notes on the first beat of every measure, everything else was alright.) For me, those off-balance, off-beat final chords that conclude the finale do not suggest either hesitation or ambivalence. Only when I play them do I know that, even if I have failed in everything else along the way, I have kept my word.

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