

© Lauri Suurpää and Sibelius Academy 1997

ISBN 978-952-329-202-4

ISSN 2489-8155

Suurpää, Lauri
Music and Drama in Six Beethoven Overtures: Interaction between Programmatic Tensions
and Tonal Structure
165 + 7 pages

■ ABSTRACT

The present study examines the programmatic character of six Beethoven overtures: the three *Leonore* Overtures, *Coriolan*, *Egmont*, and the *Fidelio* Overture. It divides into two parts. The first gives theoretical background for the analyses, discussing similarities and differences between the main analytic approach that has been adopted, Schenkerian analysis, and plot as described in literary theory, specifically in structuralism. It also deals with some viewpoints on the overture that were prevailing in the Classical era. The second part is analytic. It examines the overtures in chronological order. Special emphasis is laid on the manner in which the musical surface and deep structural levels can be seen as together creating the dramatic character of the overtures. It is suggested that the programmatic quality of the works can be best understood as the outcome of an interaction between the relatively distinct extramusical allusions created by the foreground and the basic tonal tensions of more remote levels. The study closes with an epilogue that concentrates on two topics. First, it examines how the programmatic organization changed in the overtures. Second, it discusses whether one can find structural procedures similar to those creating the programmatic character of the overtures in Beethoven's other instrumental works and in music of the later nineteenth century.

■ ACKNOWLEDGEMENTS

A study of any size cannot be accomplished in a scientific vacuum. Earlier studies and discussions with colleagues and other scholars always guide the work of a researcher. There are several individuals whose comments have helped me greatly in my work. Professor Carl Schachter made many helpful comments at various stages of the work. His rigorous reading of the entire manuscript helped me to improve my study in numerous ways. Professor Ilkka Oramo followed my work from its first stages. He offered useful suggestions for the overall design as well as for details of presentation. Dr. Marcus Castrén made several helpful comments on the organization of the whole. Mr. Keith Bosley checked my English.

The Sibelius Academy has given me financial support and a post that has enabled me to concentrate on research. The staff of the Department of Composition and Music Theory has helped in numerous practical matters. My work has been financially supported by the Kordelin Foundation and the Finnish Cultural Foundation.

Finally, the support of my family and friends has been of immeasurable value. I wish to thank especially Tiina, whose love and encouragement sustained me these many years, and my daughter Susanna, who was born meanwhile.

■ TABLE OF CONTENTS

NOTE ON SYMBOLS AND TERMINOLOGY	viii
PART I: BACKGROUND	1
CHAPTER ONE: INTRODUCTION	3
1.1 The Objectives of the Present Study	3
1.2 Overtures to be Discussed in the Present Study	5
1.3 Problems Encountered in Interpreting Beethoven's Overtures Programmatically	6
1.4 The Chapters in Outline	8
CHAPTER TWO: THEORETICAL BACKGROUND	9
2.1 Narrative Structure of Text	10
2.2 Some Analogies between Narrative Structure of Text and Tonal Structure of Music	11
2.3 The Point of View of the Present Study	16
2.3.1 Similarities and Differences between the Tonal Structure of Music and the Narrative Structure of Text	16
2.3.2 Beethoven's Overtures and the Notion of Musical Narrativity	19
2.4 Voice-Leading Structure, Formal Design, and Tonal Design	21
CHAPTER THREE: THE OVERTURE IN THE CLASSICAL ERA	24
3.1 The Overture in the Late Eighteenth and Early Nineteenth Centuries	24
3.2 Programmatic Aspects of Overture: Some Eighteenth- and Nineteenth-Century Views	30
3.3 Beethoven's Overtures and the Overture Tradition of the Classical Era	32

PART II: ANALYSES	35
CHAPTER FOUR: <i>FIDELIO</i> AND ITS THREE VERSIONS.....	37
4.1 The Three Versions of <i>Fidelio</i>	37
4.2 The Libretto	38
CHAPTER FIVE: <i>LEONORE 2</i> , OP. 72.....	41
5.1 Form and Voice-Leading Structure: An Overview	41
5.2 Introduction	44
5.3 Exposition.....	50
5.4 Development Section and Coda	57
5.5 Programmatic Aspects.....	64
CHAPTER SIX: <i>LEONORE 3</i> , OP. 72.....	70
6.1 Form and Voice-Leading Structure: An Overview	70
6.2 Introduction	73
6.3 Exposition.....	77
6.4 Development Section.....	81
6.5 Recapitulation and Coda.....	85
6.6 Programmatic Aspects.....	86
CHAPTER SEVEN: <i>LEONORE 1</i> , OP. 138.....	93
7.1 The Date of Composition	93
7.2 Form and Voice-Leading Structure: An Overview	94
7.3 Introduction	97
7.4 Exposition.....	99
7.5 Development/Middle Section	103
7.6 Recapitulation and Coda.....	104
7.7 Programmatic Aspects.....	108
CHAPTER EIGHT: THE <i>CORIOLAN</i> OVERTURE, OP. 62	110
8.1 Form and Voice-Leading Structure: An Overview	110
8.2 Exposition.....	113
8.3 Development Section and Recapitulation.....	118
8.4 Coda.....	122
8.5 Programmatic Aspects.....	125

CHAPTER NINE: THE <i>EGMONT</i> OVERTURE, OP. 84	130
9.1 Form and Voice-Leading Structure: An Overview	130
9.2 Introduction and Exposition	132
9.3 Development Section and Recapitulation	138
9.4 Coda	141
9.5 Programmatic Aspects	144
CHAPTER TEN: THE <i>FIDELIO</i> OVERTURE, OP. 72	148
10.1 Form and Voice-Leading Structure: An Overview	149
10.2 Introduction and Exposition	149
10.3 Development Section, Recapitulation, and Coda	153
10.4 Programmatic Aspects	157
CHAPTER ELEVEN: EPILOGUE	158
11.1 Changes in the Programmatic Organization of Beethoven's Overtures	158
11.2 The Relation of Beethoven's Overtures to his Other Instrumental Works and to Later Nineteenth-Century Music	161
REFERENCES	166

■ NOTE ON SYMBOLS AND TERMINOLOGY

The standard graphic Schenkerian notation, as found in Schenker's *Free Composition*, will be applied in the analytic examples. In addition to these symbols, a dotted curved arrow (.....↘) is used to denote delayed registral resolution, a dotted bar line main formal sections, and the length of the stems of the individual notes the relative structural importance of the notes. Arabic numerals with circumflexes (^) are used to show notes of the *Urlinie*, more local scale degrees are shown by arabic numerals in parentheses and without circumflexes. The following abbreviations are used in the examples: antic. (anticipation), arpeg. (arpeggiation), aux. cad. (auxiliary cadence), div. (dividing dominant), fgd. (foreground), IN (incomplete neighbor), mgd. (middleground), N (neighbor note), P (passing tone), rg.-ov. (reaching-over), susp. (suspension), unf. (unfolding).

When the form of the overtures is examined, the conventional terminology of sonata form is applied. There is one exception to this principle, however: exposition and recapitulation are divided into two main sections only—first group and second group. So the transitional and modulatory material that leads in the exposition to the secondary key is included in the first group, and the terms closing theme or closing group are not used.

PART I

BACKGROUND

■ CHAPTER 1

INTRODUCTION

1.1 THE OBJECTIVES OF THE PRESENT STUDY

The present study concentrates on the dramatic, or programmatic, character in six Beethoven overtures: the three *Leonore* Overtures, *Coriolan*, *Egmont*, and *Fidelio*. My aim is to examine if the programs associated with the overtures could be interpreted as having affected the music. The primary focus will be on possible analogies between the fundamental narrative tensions of the programs and the deep-level tonal tensions of the overtures. That is to say, I shall examine whether the narrative arch created by the play or the libretto might be interpreted as corresponding, in some way, to the tonal arch created by the music.

If one wishes to compare the fundamental unfolding of the music with that of the programs, one must be able to reduce the surface of both music and text. For reducing the music I shall use Schenkerian analysis. Along with the Schenkerian voice-leading structure, I shall discuss the form of the overtures and the interaction of these two aspects of music. When analysing the programs I shall attempt to uncover the basic narrative tensions of the texts, i.e., their narrative structure. The programmatic interpretations of the overtures will, then, be based on comparing the tonal structure and form of the overtures with the narrative structure of the programs.¹

¹ I am not aware of any studies that discuss in detail programmatic aspects of Beethoven's overtures from a Schenkerian perspective. The only Schenkerian study devoted to a Beethoven overture that I know, Oster 1983, discusses the *Egmont* Overture but does not address the question of the possible relation between the program

I shall not, however, discuss solely the deep-level tensions and form of music. In some of the overtures the events on the musical surface might be seen to have a great effect on the programmatic character of the music. In these cases the musical surface must, of course, be taken into account if one wishes to explain the manner in which the music is related to the text associated with it. I shall, however, deal with the programmatic features of the musical surface only where they seem unequivocal—i.e., where certain musical ideas are directly quoted from the opera or incidental music that follows the overture, hence producing direct references to the text, or where the descriptive character of the music is strong enough to create clear programmatic implications. Furthermore, I shall discuss the programmatic features of the musical surface in connection with the tonal structure of the music, not as isolated factors unrelated to the structural unfolding of the piece. In this way I shall try to connect the features creating extramusical associations on the musical surface and at the deeper structural levels with each other, and examine how the musical surface may help to underline the programmatic allusions encountered at the deep levels.

The primary focus will be on the musical features of the overtures. The works will first be analysed without any extramusical suggestions, and the subsequent programmatic interpretations are an attempt to explain the musical factors encountered in the pieces.² If a programmatic interpretation of an overture is to be plausible, it must be based, in my view, on penetrating musical analysis. The musical tensions should first be dealt with as such before one can begin to explain them programmatically. If an analysis of an overture is guided by preconceived extramusical ideas, the explanatory power that the analysis has for the purely musical features of a piece may be greatly diminished. That is to say, if one merely maintains, with only minimal analytic arguments to support the claim, that certain passages of an overture depict certain passages of a program, the tensions that the music is suggested to have do not result from intramusical factors but from tensions first found in the program and then superimposed on the music. But if a detailed and convincing analysis of an overture reveals musical tensions that are in some way analogous to the narrative tensions found in the text associated with it, the programmatic interpretation may help us to deepen our understanding of even the purely musical features of an overture.

The kind of standpoint toward the relation of music and text outlined above—the notion that the tensions of certain text may be interpreted as being mirrored in the structural features of

and the voice-leading structure. Oster makes, however, some highly suggestive remarks on the dramatic role of certain motivic transformations. Timothy L. Jackson has made brief and general comments on programmatic implications of the *Coriolan* Overture in a study discussing certain aspects of recapitulation in a large body of works (Jackson 1996, 90–94).

² To be sure, when there is a program that is associated with a musical work, the knowledge of it may guide, to some extent, the analytic choices of the researcher. I have attempted, however, to set aside, as much as possible, any consideration of programmatic implications when working on the musical aspects of the pieces.

music—has been applied fairly often in the Schenkerian literature dealing with vocal music.³ In studies examining instrumental music programmatic interpretations like this are, of course, much more rare.⁴ Yet Beethoven's overtures are not the only part of the Classic-Romantic literature of instrumental music that would seem to invite examination of possible analogies between the fundamental tensions of music and those of a program. In numerous pieces a text is associated with the music—in the Classical era many overtures and Haydn's *Seven Last Words*, for example, and in the Romantic period the entire genre of the Symphonic Poem. In pieces like these study of the similarities between deep-level unfolding of music and that of the program might shed new light on these works.

1.2 OVERTURES TO BE DISCUSSED IN THE PRESENT STUDY

In the present study I shall examine only six of Beethoven's eleven overtures: the three *Leonore* Overtures, *Coriolan*, *Egmont*, and *Fidelio*. The choice of the pieces to be discussed is based on the point of view that has been adopted to their programmatic aspects: I shall deal with only those overtures in which there would seem to be interaction between the form and the deep-level tonal tensions of the music, on the one hand, and the basic narrative tensions of the program, on the other. (The *Fidelio* Overture may be seen to form an exception to this principle. I include it in this study, however, since it was written to open *Fidelio*, i.e., with the same purpose for which the three *Leonore* Overtures were composed.)

I do not believe that plausible programmatic interpretations can be offered for the overtures excluded from this study. The earliest of Beethoven's overtures, *Prometheus*, was written in 1800–1801 to open his ballet music *Die Geschöpfe des Prometheus*, Op. 43. The overture follows rather closely procedures of a typical Classical overture and does not call for a programmatic interpretation. In 1811 Beethoven wrote two overtures, *Die Ruinen von Athen*, Op. 113, and *König Stephan*, Op. 117. These were written to precede *Singspiele*, composed to plays by August von Kotzebue, that were commissioned for the opening of the Hungarian Theater at Pest. The texts are overtly nationalistic, praising either the Emperor or Hungary and Pest. Even though there are some details in the overtures that may be suggested to have extramusical associations—the beginning of the overture for *Die Ruinen von Athen*, for example, might be interpreted as describing the opening of Kotzebue's text in which Minerva wakes up from a 2000 years' sleep—the course of the deeper structural levels cannot be interpreted, in my view, programmatically. In 1814–1815 Beethoven wrote *Zur Namensfeier*

³ See, for example, Burkhart 1990; idem. 1991; Laufer 1977; Schachter 1983b; idem. 1991; and Suurpää forthcoming.

⁴ For Schenkerian studies that read programmatic implications in instrumental works, see Jackson 1995; Schachter 1994a; and idem. 1995.

Overture, Op. 115. It is not meant for any specific occasion, and hence it has no program behind it. Beethoven wrote his last overture, *Die Weihe des Hauses*, Op. 124, in 1822 for the reopening of the Josephstadt Theater in Vienna. It precedes a revised version of the music for *Die Ruinen von Athen*. In my view the piece refers in no ways to the text behind it.

1.3 PROBLEMS ENCOUNTERED IN INTERPRETING BEETHOVEN'S OVERTURES PROGRAMMATICALLY

By concentrating on the similarity of the deep-level tensions of both the overtures and the programs, and by discussing the musical surface in connection to the basic tonal events of the music, I hope to be able to avoid some of the problems one may encounter when dealing with the interaction of program and music. When examining the programmatic features of Beethoven's overtures, the analyst may face at least two specific problems. If one makes only very general comments on the analogies between an overture and a program, speaking, for example, about a similar basic tone of the two works, very little is actually said about the similarities of the music and the text. But if one suggests, on the other hand, a detailed analogy between an overture and a program, maintaining that certain themes of the music, for example, represent certain features of the text, the programmatic interpretation easily becomes rather arbitrary. In an interpretation like this the analyst may detach details from both music and text and draw an analogy between them without taking the larger tensions of music or text into consideration. Therefore the interpretation might easily superimpose the semantic content of certain details of the program on certain details of the music and leave the purely musical features and tensions untouched.

I shall exemplify these problems by discussing two interpretations of the programmatic features of the *Coriolan* Overture, written for a play by Heinrich von Collin. This tells the story of Coriolan, a Roman soldier who has been unjustly banished by the Romans. In revenge he joins the army of the hostile Volscians. Coriolan's mother pleads with him to have mercy on Rome. He yields but regards himself as a traitor and commits suicide.

There are several ways, or levels, in which one can interpret the influence that the play has had on the overture. One can claim that the basic tone and certain fundamental events of the text are reflected in the overture even though the music does not depict the content of the play in a detailed way. This view is represented by Joseph Braunstein: "No illustration of individual acts or program; depiction of principal spiritual flow or ideas; postponement of the catastrophe at the end."⁵

Braunstein's interpretation is very general. He draws specific programmatic parallels

⁵ Braunstein 1927, 154.

between the play and the overture only where they seem unequivocal, i.e., in the final measures of the overture that he reads as depicting Coriolan's death, or "catastrophe." Otherwise he merely states that the tone of the two works is similar. But it is precisely this generality that limits Braunstein's interpretation: to say that two works have the same kind of general tone does not tell much about their actual similarity. Braunstein's comment throws little light on the question of how Collin's play has affected Beethoven's overture.

One can also suggest a more detailed programmatic interpretation than Braunstein and argue, as Roger Fiske does, that there is a correspondence between specific events of the play and certain details of the music:

Beethoven saw that the kernel of the story lay in the confrontation between Coriolanus and Volumnia.⁶ He began his overture by portraying his hero as truculent and burning for revenge. The main contrasting theme (bar 52) shows Volumnia pleading for mercy, each plea a tone higher than its predecessor as she speaks with ever-increasing intensity (bars 64 and 72). Her son refuses to be swayed, and she is no more successful the second time (bar 178ff.). But at the last moment, with her mounting despair reflected in the minor key, (bar 244ff.), her cry for mercy turns Coriolanus from his purpose, and we hear his anger subsiding into tragic resignation as he sees no possible course of action but suicide...Beethoven was so intent on the descriptive aspect of his music that he had no recapitulation of the first subject, thinking it dramatically irrelevant.⁷

Fiske's interpretation concentrates on tensions that lie, in his view, in the kernel of the play: the pleas of Coriolan's mother and the yielding and death of Coriolan. He says that "the main contrasting theme" is a musical image of the pleas of Coriolan's mother. He then draws an association between each occurrence of the theme and maintains that they form a continuum depicting Coriolan's mother repeating her pleas. Fiske's interpretation seems to me problematic in two respects. First, he speaks about the occurrences of "the main contrasting theme" without taking the context of the individual occurrences or the general organization of the overture into account. In other words, he isolates one factor of the overture, "the main contrasting theme," and interprets it programmatically without explaining how the theme and its individual occurrences are related to the overall course of the music. And second, there is not, strictly speaking, anything in the music that would associate "the main contrasting theme" with the pleas of Coriolan's mother.

To be sure, there are studies that have suggested similarity between the basic tensions of the plot of a program and the large-scale organization of an overture without using Schenkerian

⁶ With the name Volumnia, Fiske is referring to Coriolan's mother. However, Coriolan's mother is called Veturia by Collin. But two other renderings of the legend of Coriolan, one by Plutarch and the other by Shakespeare, call Coriolan's mother Volumnia. Collin, in turn, uses the name Volumnia of Coriolan's wife.

⁷ Fiske n.d., iii-iv.

analysis as their analytical tool as I do in the present study. Carl Dahlhaus, for example, has argued that in the *Egmont* Overture the form is the feature of the overture that reflects the tensions of the text behind it.⁸ "If we admit the high degree of abstraction without which it is impossible to compare literature and music, it is quite reasonable to speak of a structural analogy between Goethe's play and Beethoven's overture: but it is one of form, rather than of content."⁹ He disagrees, also, with the interpretations of the overture that give programmatic content to certain thematic ideas. However, Dahlhaus does not actually show where, in his view, the analogy between Goethe's play and Beethoven's overture lies. His discussion has many thought-provoking general ideas, but he makes only few detailed comments about the music. Furthermore, these detailed comments concern only the form and the thematic material of the overture—without taking even the unusual key-scheme of the piece into consideration—and therefore he leaves untouched most of the purely musical features of the work.

1.4 THE CHAPTERS IN OUTLINE

Chapter 2 introduces the theoretical background for the present study. It deals with ideas of narration encountered in structuralist literary theory and discusses how they may be seen as somewhat analogous with tonal tensions of music as described by Schenkerian analysis. Chapter 3 discusses briefly the history of the overture. Emphasis is placed on the development of the Classical one-movement overture in the eighteenth century and on what was written, in the Classical era, on the relation of an overture and the program that may be associated with it. Chapter 3 contains also a discussion of overtures by French operatic composers of the turn of the eighteenth and nineteenth centuries, pieces that had a great influence on Beethoven's overtures. Chapter 4 discusses the history of the three versions of *Fidelio* and the four overtures to it. This chapter, also, analyses the narrative tensions in the libretto of the opera. The analytic chapters 5–10 discuss one overture each. The overtures are dealt with in chronological order. The problematic question of dating *Leonore* 1 is discussed in chapter 7. Each of the analytic chapters follows the same outline: first, discussion of form and deep-level voice-leading structure; second, detailed examination of the overture; and third, programmatic interpretation. Chapter 11, an epilogue, attempts to describe the changes that take place in the manner in which the programmatic features organize the course of the overtures examined in the present study. It also touches on the question of how the overtures are related to Beethoven's other instrumental works and to later nineteenth-century music.

⁸ Dahlhaus 1991, 13–16

⁹ *Ibid.*, 14.

■ CHAPTER 2

THEORETICAL BACKGROUND

In this chapter I shall introduce the theoretical background to the present study. Section 2.1 presents some basic notions on plot and narrative structure encountered in structuralist literary theory. Section 2.2 discusses four studies that supply background for the idea of possible analogies between the narrative structure of text, as described by structuralist literary theory, and the tonal structure of music, as shown by Schenkerian analysis. Section 2.3 introduces the point of view of the present study, discussing some similarities and differences between structuralist literary theory and Schenkerian analysis and touching on the notion of musical narrativity. And section 2.4 deals with different factors that organize the course of a composition, hence presenting certain principles to be applied in the analysis of the overtures.

My aim in discussing some aspects of structuralist literary theory alongside with Schenkerian analysis is twofold. First, my point of view concerning plot and narrative structure has been influenced by structuralist ideas. (I wish to stress, however, that my analyses of the texts do not use any formal structuralist analytic techniques.) And second, more importantly, I try to show how somewhat similar principles have been applied independently in analysing deep-level tensions of both text and tonal music. In this way I attempt to give theoretical justification for the kind of programmatic interpretations I shall present in the analytic chapters.

2.1 NARRATIVE STRUCTURE OF TEXT

I shall begin by briefly summarizing what has been said about plot and narrative structure in structuralist literary theory. My intention is not to give an overview of structuralist ideas of plot and narrative tensions, or even summarize in detail the ideas of certain theorists, but rather to explain those aspects that are valid for my arguments in the present study.¹

In his classic study *Morphology of the Folktale* (1928) Vladimir Propp suggests that Russian folktales elaborate, in principle, only a limited number of schematic plots. In his view the actual characters or events of a tale are not important for its narrative structure but rather the role and the function that they play in the plot. Propp maintains, therefore, that to find the fundamental narrative tensions of a text we must go below its surface, behind the individual characters and events. He uses the term "function" to denote the actual constituents of a plot. Function is, according to him, "an act of *dramatis personae*, which is defined from the point of view of its significance for the course of action of a tale as a whole."² Propp distinguishes thirty-one functions, such as "the hero and the villain join in direct combat" or "the villain is punished."³ They are distributed among seven "spheres of action," or roles, such as "the villain," "a sought-for person (a princess, etc.) and her father," and "the hero."⁴ In Propp's view all the folktales can be reduced to these archetypal roles and functions. Therefore the actual semantic content of an individual tale has no effect on its narrative structure.

Propp's theory contains the idea that one can view a text at various levels: one can reduce the surface, the actual folktale, and hence uncover the narrative structure of the tale, i.e., the archetypal roles and functions that constitute it. The notion of a multilayer organization of text is important for structuralist ideas of narration. Roland Barthes's terms "nucleus" and "catalyser" help to elaborate this view. Barthes suggests that the nuclei of a text are linked with each other and their sequence constitutes the actual plot. The catalysers are attached to nuclei but do not themselves establish sequences. In Barthes's opinion also this system of nuclei and catalysers is multilayer: what is a nucleus at one level can be a catalyser at a deeper layer. Therefore we can reduce a text in many stages and always come to a more fundamental level of the narrative structure.⁵

Gerald Prince has brought the reduction of the number of units that constitute the narrative structure as far as possible. He has introduced a concept of "minimal story" by which he refers to the smallest number of structural units required of a story. He suggests that the

¹ For a fuller picture of the scope and linguistic origins of structuralist notions on narrative structure and plot, see Culler 1993, Hawkes 1977, and Rimmon-Kenan 1983.

² Propp 1958, 20.

³ *Ibid.*, 24–59.

⁴ *Ibid.*, 72–75.

⁵ Barthes 1982.

ultimate requirements of a narrative can be reduced to three factors that are structurally related and that temporally follow each other.

A minimal story consists of three conjoined events. The first and third are stative, the second is active. Furthermore, the third event is the inverse of the first. Finally, the three events are conjoined by three conjunctive features in such a way that (a) the first event precedes the second in time and the second precedes the third, and (b) the second event causes the third.⁶

2.2 SOME ANALOGIES BETWEEN NARRATIVE STRUCTURE OF TEXT AND TONAL STRUCTURE OF MUSIC

I shall now discuss four studies that supply background for the idea of possible analogies between narrative structure of text and tonal structure of music. The first two studies, by Robert S. Hatten and Eero Tarasti, take their analytic tools from both music theory and structuralist literary theory. Therefore their theoretical orientation addresses the very question of the similarities between the structures of text and music. The two other studies, by Edward Laufer and Carl Schachter, use Schenkerian analysis. Hence they illuminate the topic of this chapter from the analytic perspective adopted in the present study.

In his book *Musical Meaning in Beethoven* Robert S. Hatten uses ideas derived from literary theory and linguistics, above all from semiotics, to explain the music of Beethoven.⁷ Hatten uses the term "expressive genre" to denote the idea that certain musical works are based on motion from one expressive state to another. In his analysis of the slow movement of Beethoven's *Hammerklavier* Sonata Hatten argues that the expressive genre of the movement is tragic-to-transcendent. In his view there are many features in the movement that support this interpretation:

An expressive genre that dramatizes the move from tragic to transcendent is indeed appropriate for the movement...The movement ends with a Picardy third, and the coda features the spiritual association of the Neapolitan key area by using it for a transcendent reappearance of the second theme. The second theme is now transcendent in that it "goes beyond" its stylistic recapitulation in F# major, by "transcending" that return a half step higher in the remote key of G major. This return in the coda is not so much concerned

⁶ Prince 1973, 31. With the term stative event Prince refers to "any event which describes a state" and with the term active event to "any event that describes an action" (ibid., 29).

⁷ Hatten 1994.

with syntactic or formal tonal resolution...as it is with accomplishment of *thematic* resolution.⁸ The key of G has taken on an associative significance for the work, and its return helps achieve the *thematic* closure required by the expressive genre.⁹

Interwoven with this motion from one state to another is the idea, derived from semiotics, that binary oppositions are of utmost importance. They can be found, in Hatten's view, both at the local and at the large levels of compositions. Expressive genres like tragic-to-transcendent represent oppositions at the largest level. In Hatten's interpretation the local oppositions and the overarching expressive genre together create the dramatic character of the slow movement of the *Hammerklavier* Sonata. "[A]ll the outstanding or salient structural events have been related to an overarching hypothesis, the *expressive genre* 'tragic-to-transcendent.' In turn, local oppositions that are exploited in the movement have been analysed for *stylistic* correlation that they exploit, and the *strategic* (work-specific) interpretations which their contextual use suggests."¹⁰

It is not Hatten's actual analysis but the principles that lie behind it that are important for the present study. Hatten's notion of an expressive genre—motion from an opening expressive state to another at the end—is not in itself new: numerous commentators on Beethoven's Fifth Symphony, for example, have noted that the piece moves from darkness to light or from agony to glory.¹¹ But since Hatten views his expressive genre as a part of a net of internal associations spanning an entire piece, the notion is distinguished from interpretations that would merely say that a work begins in one expressive state and ends in another. In other words, Hatten sees his expressive genre not only as an association drawn between the character of the beginning and the end of a piece but also as an overarching dramatic scheme to which all important musical details are connected. Therefore his notion of expressive genre is not far from the concept of narrative structure as explained by structuralist literary theorists. As discussed above in section 2.1, the deep level narrative structure of a text can be viewed as motion from an opening situation to a final situation. The individual events of the subsequent structural levels of narration are connected to this basic scheme. The similarity of Hatten's expressive genre and narrative structure is increased by the fact that Hatten's analytic tools are taken both from music analysis and from literary theory. His interpretation seems to imply, therefore, that the kinds of dramatic tensions that he finds in the slow movement of the

⁸ With the word *thematic* Hatten does not denote certain melodic ideas but "[t]hat which is made significant for a work (strategic), and thus important for its ongoing discourse" (*ibid.*, 294).

⁹ *Ibid.*, 16.

¹⁰ *Ibid.*, 28.

¹¹ This idea dates back at least to the mid nineteenth century: in Adolph Bernhard Marx's view the symphony moves "from night to light! from battle to victory!" (Marx 1884, 2: 62). It is interesting, however, that this view is not yet held by E.T.A. Hoffmann in his review of the work, published in 1810: "The heart of every sensitive listener, however, is certain to be deeply stirred and held until the very last chord by *one* lasting emotion, that of nameless, haunted yearning" (Hoffmann 1989, 250; emphasis in the original).

Hammerklavier Sonata are not peculiar to music alone, but that one could expect to find similar tension also in literature.

In his book *A Theory of Musical Semiotics* Eero Tarasti has addressed the question of musical narration making a distinction between two basic types.¹² On the one hand, he discusses narration that takes place on the musical surface. He mentions topics, as defined by Leonard G. Ratner, as an example of this type.¹³ And on the other hand, he discusses narration occurring at deeper levels of musical structure. It is the latter of these types that I shall now discuss.

Tarasti suggests a connection between deep levels of tonal structure, e.g., Schenkerian voice-leading structure, and the fundamental narrative structure, above all the semiotic theory of A.J. Greimas.

[A]s both Greimas and Schenker assume, there is often some entirely achronic structure in the background of the linear unfolding of a work: with the former, the semiotic square and its logical interrelations; with the latter, a tonic triad. According to these theorists, the narrative-generative process is revealed through a gradual expansion or "composing out" of this achronic fundamental structure...Schenker's model could easily be developed into a method of narrative analysis of music. Its basic premise—that a musical work is a totality created by a structure wherein all events relate to a basic model and the tension it provides—corresponds well to the syntagmatic demand of narrativity.¹⁴

When elaborating his ideas of musical narrativity, Tarasti draws an association between general human ways of evaluation, such as "being," "doing," "must," and "will"—modalities in Greimasian theory—and certain basic relations that may be found between individual events in tonal music. Tarasti argues, for example, that the hierarchic relation subordination/domination in music is experienced as tension-and-release, and that it can be equated with modalities "must" (subordination) and "will" (domination). In his view this kind of similarity between basic tonal tensions and modalities taken from semiotic theory can help partly to explain the narrative effect of tonal music. "Since cadences are crucial to transforming tonal music into goal-directed process, one could argue that the 'must' (*devoir*) of the musical process comes under the rule of a narrative arch whose structural beginning and ending tones lead toward a goal, i.e., to the dominant-tonic cadential progression. Correspondingly, with regard to musical events situated at different points of this arch, the whole appears to represent the kinetic energy and will of those events."¹⁵

The importance that Tarasti's ideas have for the present study lies in the fact that he

¹² Tarasti 1994.

¹³ On topics, see Ratner 1980, 9–29.

¹⁴ Tarasti 1994, 24.

¹⁵ *Ibid.*, 28

explicitly draws a connection between narrative tensions, as discussed in literary theory, and tonal tensions of music. In his view the analogy can be found both in the background of text and music—Greimas's semiotic square and Schenker's *Ursatz*—and at more local levels—the similarity of modalities and units within tonal arches.

One does not necessarily need literary theory, of course, to describe the analogies of musical and dramatic tensions. Edward Laufer's essay "On the Fantasy" is an illuminating example of a study in which purely musical factors are seen to carry the dramatic tensions of music—or, to use Laufer's terminology, its programmatic idea.¹⁶

Laufer discusses four fantasies, two by Mozart and one each by Bach and Beethoven. He suggests that in each of the fantasies there is a compositional idea according to which the music loses its way, as it were, at the outset of the piece. After then first trying in vain to find it again, the music finally succeeds in doing so at the end.

Indeed, for the classical composers the term *fantasy* often denotes a work of improvisatory character, as if without clear direction, in which the composer seemingly loses his way, goes astray, and returns to the crossroads, so to speak, to try again. This procedure may be expressed through a kind of motto, or middleground motive, which, restated and transformed, is the carrier of the musical dénouement. In this type of fantasy, then, it is that simple, poetic or programmatic idea which underlines the musical continuity, not a specific formal design.¹⁷

Laufer's arguments are based on detailed and convincing interpretations of the voice-leading structure and the motivic factors of the fantasies he discusses. His study shows, therefore, situations where purely musical features create clear dramatic arches: each of the fantasies discussed by Laufer consists, in some sense, of motion from an unsettled and searching situation—the frustrated attempts to express the middleground motive—to a settled situation—the success that the efforts finally have.

One can go even further than Laufer and seek a dramatic counterpart, a text or a story, for the purely musical tensions found in certain musical works. Carl Schachter's essay "The Prelude from Bach's Suite No. 4 for Violoncello Solo" is a good example of a study where a penetrating musical analysis is accompanied by a programmatic interpretation.¹⁸ Schachter notes that the first chromatic note of the E_b-major Prelude, the D_b of m. 3, forms a kind of musical idea in the piece: at the beginning of the work the chromatic D_b disturbs the balance, and the balance is restored only in the final measures with a D_b–E_b motion. Schachter divides the piece into two main sections, the first of which ends with an arrival on a G minor chord, III, the goal of the main modulation of the piece. The first section is characterized by a gradual

¹⁶ Laufer 1988.

¹⁷ *Ibid.*, 99–100.

¹⁸ Schachter 1994a.

introduction of raised chromatic pitches that have upward inflections and that function as local leading tones. This process culminates in a very emphatic C \sharp heard in the bass. In a voice-leading sense the C \sharp functions as an applied leading tone to V of III but at the same time it is an enharmonic transformation of the D \flat that disturbed the balance at the beginning of the piece. The second section of the piece is characterized by a gradual introduction of lowered chromatic pitches, a procedure that is reverse to the one encountered in the first section. Schachter notes that the use of chromatics and the enharmonic pair D \flat /C \sharp are connected to the prelude's unusually complex voice-leading structure where there are two counterpointing lines above the *Urlinie* that is located in an inner voice.

After a detailed discussion of the prelude's voice-leading structure, motivic details, and use of chromatics, Schachter offers a programmatic interpretation of the piece. "In working on the Prelude, I have been tempted from time to time to translate its tonal events into the language of Christian symbolism."¹⁹ It is important to note that Schachter uses the word translate when speaking of the relation that the program he offers has to the music. The idea that this word seems to convey is that Schachter understands his program as the prelude's verbal counterpart whose narrative tensions are similar to the musical tensions found in the piece. His analysis of the tonal events of the music is, therefore, complete in itself, and the program does not change anything in the analysis, or really even add anything to it. The program only gives the prelude a dramatic counterpart. Schachter's translation of the tonal events of the prelude into Christian symbolism goes as follows:

The down/up dichotomy seems to be worked out with such consistency and the transformation of D \flat into C \sharp occurs in so dramatic and unexpected a manner as to suggest to me the possibility of a hidden program...Briefly, the change of D \flat into C \sharp may symbolize the redemption of fallen humanity through crucifixion. The German word for "sharp" is, of course, "Kreutz," and Bach does sometimes use sharps as cross symbols...

In the music of mm. 1–10, the jaggedly descending arpeggios, the D \flat falling to C, the downward register transfer of the initial upper voice, and the consequent lack of a D \flat rising to E \flat in the proper high register might then all stand for the fall of sinful humanity. The systematic introduction of rising accidentals that permeates the next phase could represent steps in the believer's path toward salvation. The spiritual journey involves a contemplation of the Cross, symbolized by the advent of C \sharp , which transforms the initial falling chromatic sound into one that rises. After the G-minor cadence, the music introduces lowered accidental, a process that culminates in the cadential Neapolitan chord and the downward resolution of the *Urlinie*. These tonal events might suggest mortality and physical death, but they are mitigated by the final rise to the high E \flat , the saved soul's ascent to heaven.²⁰

¹⁹ Ibid., 70.

²⁰ Ibid., 70–71.

2.3 THE POINT OF VIEW OF THE PRESENT STUDY

2.3.1 SIMILARITIES AND DIFFERENCES BETWEEN THE TONAL STRUCTURE OF MUSIC AND THE NARRATIVE STRUCTURE OF TEXT

In the present study I shall use Schenkerian analysis, one of whose main principles is, of course, the idea of reduction. According to Schenker a musical work can be viewed at various structural levels. The analyst can move from the musical surface, the actual score, to deeper levels and finally to the basic contrapuntal configuration, the *Ursatz*. This notion of reduction and a multilayer structure of a musical work is rather similar to the ideas, discussed in section 2.1, that structuralist theorists have on the narrative structure of a text.²¹ Ex. 2.1 clarifies this similarity. In the top voice there are events at three different structural levels. The half notes show that in the background the top voice descends from E to C. The quarter notes indicate that in the middleground the E of the background is prolonged with a descending third-progression and the D of the background is prolonged with a descending fifth-progression. And finally, the black noteheads show that in the foreground the quarter-note D, which is a passing tone within the middleground third-progression E–D–C, is prolonged with a third-progression. The organization of the top voice of Ex. 2.1 into distinctive structural levels may be rather accurately described with the terms nucleus and catalyser, borrowed from Roland Barthes (see section 2.1). At the deepest level the background notes are the nuclei that constitute the most fundamental sequence of events. The middleground progressions descending from E and D are catalysers attached to the nuclei. And in the foreground the D of the third-progression descending from E becomes a nucleus, the third-progression descending from it being a catalyser attached to it.

²¹ But I wish to stress that I speak only about similarities between the aspects of structuralist theory outlined above and Schenkerian analysis, not about more general analogies between them. There are several studies that discuss in more depth than I do here the similarities between the two theories. In his study "Roland Barthes's *S/Z* from a Musical Point of View" Patrick McCreless deals with the five codes introduced by Roland Barthes, and examines the relevance that each code has for musical analysis. His study closes with a sample analysis that uses both Schenkerian analysis and three of Barthes's codes, along with some other of Barthes's theoretical concepts (McCreless 1988). In "The Hermeneutic Sentence and Other Literary Models for Tonal Closure" McCreless examines similarities between tonal closure in music, as described by Schenker, and solving an enigma at the end of a narrative, as defined by Barthes's hermeneutic code (McCreless 1991). In his book *Playing with Signs* V. Kofi Agawu analyses Classical music with two concepts borrowed from the linguistic theory of Roman Jakobson: introversive semiosis, with which Agawu refers to the structure of music, above all Schenkerian voice-leading structure, and extroversive semiosis, with which he refers to topics as defined by Leonard G. Ratner (Agawu 1991).

EXAMPLE 2.1. Structural levels

I (V I) V I

The similarity between the narrative structure of a text, as viewed by structuralist theorists, and the tonal structure of a musical work, as described by Schenkerian analysis, is increased by the fact that both theories view the works of art they describe as sequences of events structurally related to each other. As we saw in section 2.1, Gerald Prince has suggested that the ultimate requirements of a story can be reduced to three factors that are linked and that temporally follow each other: first, the opening situation; second, action of some kind; and third, the final situation which is the opposite of the opening one. This notion of a minimal story is quite close to Schenker's description of the *Ursatz* with the *Urfinie* descending from $\hat{3}$: "Since it is a melodic succession of definite steps of a second, the fundamental line signifies motion, striving toward a goal, and ultimately the completion of this course... Similarly, the arpeggiation of the bass signifies movement toward a specific goal, the upper fifth, and the completion of the course with the return to the fundamental tone."²²

With Roland Barthes's concepts of nucleus and catalyser one can elaborate Prince's idea of three factors that constitute the minimal story, and hence describe more local levels of narrative structure. "[The] catalysers are...functional, insofar as they enter into correlation with a nucleus, but their functionality is attenuated, unilateral, parasitic; it is a question of a purely chronological functionality (what is described is what separates two moments of the story), whereas the tie between two cardinal functions [=nuclei] is invested with a double functionality, at once chronological and logical."²³ What is important here is the idea that in the background the nuclei remain operative forces that organize the logical sequence of events in spite of the fact that at more local levels catalysers are attached to them. Schenker describes in a rather similar manner the elaboration of the *Ursatz*, emphasizing the fact that the goals defined by the deep levels guide the course of the music also at more local levels. "The *goal* and the course to the goal are primary. Content comes afterward: without a goal there can be no content. In the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in

²² Schenker 1979, 4.

²³ Barthes 1982, 94.

short, retardations of all kinds... Thus we hear in the middleground and foreground an almost dramatic course of events."²⁴

In my view one should not go too far, however, in tracing analogies between Schenkerian analysis and structuralist literary theory, and maintain that the theoretical similarities would imply a possibility of an exact equivalence between the tonal structure of a certain musical work and the narrative structure of a certain text. We have seen that the similarities between structuralist literary theory and Schenkerian analysis are considerable: both text and music can, for example, create tensions, postpone the resolution of them, or associate even temporally remote events with each other. But the differences are at least equally great. Since the abstract deep levels revealed by structuralism and Schenkerian analysis are reductions, they must have a direct interaction with the surface from which they have been reduced: in literature the actual text and in music the musical surface. Therefore, in spite of the fact that the deep levels can exhibit somewhat similar structural procedures both in literature and in music, the interaction that the deep levels have with the surface raises the topic of the different media of the two arts. The deep-level tensions of text have interaction with the surface of the text that consists of words and has, thus, semantic content. In music the deep levels are related to the musical surface that has no semantic content.²⁵

But the similarities between Schenkerian analysis and structuralist literary theory offer a helpful tool if used with caution. The multilayer picture of the narrative structure of text is of value when one discusses programmatic quality in such a diverse body of work as Beethoven's overtures. Owing to their individual character, each of the overtures may reflect the program lying behind it in a somewhat different manner. In some of the pieces the tensions of the program may be mirrored primarily in the descriptive details of the musical surface. In such cases the foreground may create to a great extent the programmatic character of the works. But in other overtures there may not be many details that create on the surface extramusical associations, and therefore they should be sought mainly from the deep levels. To be able to describe the programmatic features occurring at various layers of music accurately, one must be able to discuss the structural levels of program the same way one can examine them in music.

²⁴ Schenker 1979, 5 (emphasis in the original).

²⁵ Patrick McCreless has discussed certain structural differences between narrative structure of text and Schenkerian voice-leading structure that follow, at least partly, from the fact that narrative structure has been reduced from a text having a semantic content whereas Schenkerian voice-leading structure has not (McCreless 1991, 55–58). He notes that the structure of a tonal composition both begins and ends with a tonic chord whereas the narrative structure of a text begins in one situation and ends in another. He then continues that while the tonal structure of a piece is therefore, at least in a harmonic sense, circular—i.e., a piece both begins and ends with a tonic chord—the narratives of texts move from introduction of enigmas to their solving at the end. Hence "[t]he psychology of elaboration, suspension, delay, false answers, and the like, are common to both, but the underlying dynamic is different" (ibid., 55). Even though one may question McCreless's notion of the similarity of function between the beginning and ending tonics—suggested by his idea of circularity—his comment sheds light on the manner in which the existence of a semantic content differentiates some features of narrative structure of text from the voice-leading structure of music.

The similarity of certain principles of structuralist literary theory and Schenkerian analysis would also seem to give theoretical justification for a programmatic interpretation of a musical work which maintains that both the basic tensions of the deep structural levels of music and the details of the musical surface can create programmatic associations. That is to say, if local and deep-level tensions can be analysed with somewhat similar principles independently both in music and in text, one can theoretically justify a programmatic interpretation that is based on comparing the surface events and larger tensions of music and program.

2.3.2 BEETHOVEN'S OVERTURES AND THE NOTION OF MUSICAL NARRATIVITY

The discussion of programmatic aspects of the overtures raises also the topic of musical narration. The terms narrativity and narration have been used in at least three different senses in connection with music. First, it has been maintained that the notion of musical narrativity refers to the inner tensions of music and that one can, therefore, suggest that music can be narrative even if it did not create programmatic associations or refer to extramusical objects.²⁶ Second, the opposite view has been adopted and the use of the term has been limited to situations where a specific story is actually told. It has, then, been argued that one cannot speak about narrativity in connection with music since music has no semantic content and cannot, therefore, tell a story.²⁷ And third, between these two extremes it has been suggested that music can, in some sense, narrate but that this narration can be found only in overtly programmatic music where it follows from descriptive events of the musical surface that reflect the text that is associated with the music.²⁸

In spite of their vastly different statements on the value and content of the notion of musical narration, the above-described standpoints are not mutually exclusive. Therefore it is possible to see some common features between these three basic views—or at least between the first and the third of them. What those that claim the ability of music to narrate would seem to have in common is the notion that the entire course of a musical work can be interpreted as being narrative.²⁹ Scholars argue either in a more general sense that the entire musical work can create narrative but not necessarily programmatic tensions, or in a more limited sense that

²⁶ See, for example, Newcomb 1987; and Tarasti 1994.

²⁷ See, for example, Nattiez 1990; and Kramer 1991.

²⁸ See, for example, Kivy 1984, 159–196.

²⁹ Carolyn Abbate has maintained that a common aspiration in much of the literature on musical narrativity is the attempt to draw an analogy between the course of a musical work and a nonmusical "plot"—either a narrative with a semantic content or a sequence of structurally related events that have no semantic content: see Abbate 1991, 23–26.

the descriptive details of a musical work can form a continuum that reflects the events of the program behind the music.

This view that the entire course of a musical work can be interpreted as being narrative might enlighten certain aspects of Beethoven's overtures, but one must be highly cautious in elaborating the idea. The whole overture could be suggested, in my view, to reflect the course of the program lying behind it at most in the deep middleground that is near the *Ursatz*.³⁰ And if interpreted as in some sense narrative, the middleground could be argued to mirror only the highly abstract narrative structure of the program. Therefore one should reduce both the music and the program very far before one could suggest an analogy between the two. Consequently, the information that the analogy might give would illuminate only the general features of the two works and not their details.

There may, however, be details in the overtures that create rather direct programmatic associations on the musical surface. Even though these details do not appear at the deep middleground level, they interact, according to the principles of Schenkerian analysis, with the fundamental voice-leading structure. It could, then, be suggested that the rapport that these programmatic events of the musical surface have with the deeper structural levels might be seen to lend programmatic, or narrative, quality also to the remote levels of music.

If musical narration is understood in this manner as the interaction of local programmatic details and overarching deep structural levels, it can offer a helpful metaphor when one discusses Beethoven's overtures. One could then argue that programmatic, or narrative, features could be found directly on the musical surface and indirectly at deeper structural levels. We can think of a situation, for example, in which a direct quotation from the opera following the overture would be heard at a moment that is of crucial importance for the organization of the deep-level voice-leading structure. In such a case one could argue that the extramusical associations created on the musical surface by the quotation, the direct narration, would be transferred, as it were, also to the tensions of deeper structural levels, hence creating more abstract narration alongside the direct one of the musical surface. In other words, the deep structural levels and the musical surface would interact in such a manner that the programmatic tensions of the foreground might be interpreted as being reflected also in the tensions of the remote levels.

If one suggests that the extramusical associations of the musical surface are reflected at deep structural levels, one must make clear in which manner the course of the deep-level voice-leading structure of an entire overture might be argued to create narrative implications. Let us still consider the situation outlined above in which the musical surface quotes material from the following opera at a moment important for the organization of the deep-level voice-leading structure. Even though one might here suggest, as mentioned above, that the quotation

³⁰ For a discussion on problems that may arise if the unfolding of the events of the musical surface is interpreted as reflecting the program, see chapter 1.3.

associates with each other pivotal events of the program and the overture, one should not maintain that this direct similarity would automatically extend beyond those factors. That is to say, if the rescue of the hero, for example, is illustrated in an overture by a direct quotation from the opera, one cannot argue that there would necessarily be events earlier in the overture that would in a similar manner depict specific incidents preceding the rescue in the program.

Yet one may suggest that there may be an indirect and highly abstract relation between the course of an entire overture and that of a program. I have argued above that the musical surface can associate with each other events that are of great importance in an overture and in a program. The crucial role that these incidents play can only be seen, however, if the structure of the entire musical work and that of the program are examined. In other words, one must first know the structure of the whole before one can suggest that an event is important for it. Hence one must examine the unfolding of the entire overture in order to understand the structural role of those events at the deep level that reflect the programmatic associations created by the musical surface.

2.4 VOICE-LEADING STRUCTURE, FORMAL DESIGN, AND TONAL DESIGN

If one is going to discuss programmatic features appearing at various structural levels of music—as is my intention in the present study—one needs analytic tools with which the unfolding of a musical work can be dealt from various perspectives.

The question of defining different factors that organize the course of a musical work has been addressed by several Schenkerian theorists. Felix Salzer, in his book *Structural Hearing*, has made a distinction between three factors that organize the unfolding of a composition: "structure," "form," and "design."³¹ Structure means for Salzer the voice-leading structure. According to him it determines also the form. In his view the boundaries of the voice-leading entities, i.e., the structure, lie behind the division of a piece into individual formal units—either large main sections or smaller entities. Design refers to a composition's motivic, thematic, and rhythmic material, i.e., to factors occurring on the musical surface. In Salzer's view "[a]ll three factors, structure and form on the one hand and design on the other, are completely interdependent. One without the other is unable to create artistic interest and quality."³²

Salzer's distinction between structure and design is certainly valid, but his discussion of form seems, in my opinion, somewhat problematic. He is following Schenker in arguing that the voice-leading structure is the main determinant of form.³³ Therefore he interprets thematic material—which often powerfully articulates, on the musical surface, the division of a musical

³¹ Salzer 1982, 223–224.

³² *Ibid.*, 224.

³³ On Schenker's ideas of form, see Schenker 1979, 128–145.

work into formal units—as belonging to design rather than to form. To be sure, voice-leading structure and the traditional formal boundaries often do articulate the same points in the course of a composition—in a sonata-form movement in the major, for example, the beginning of the second group and the attainment of the structural dominant usually coincide. Yet this is not always the case, and therefore we should have means to describe also situations where the boundaries of formal divisions and prolongational units do not occur in the same places.

In his book *Phrase Rhythm in Tonal Music* William Rothstein has suggested that one could overcome this problem by replacing Salzer's distinction between form and design with the concepts "outer form" and "inner form":

The thematic aspect of a piece, as well as its layout into phrases and periods, I will term collectively the *outer form* (instead of "design"). The tonal dynamic of a work—its large-scale harmonic and linear layout—I will term *inner form* (rather than simply "form"). This terminological distinction, which is especially useful where some conflict exists between "inner" and "outer" forms, is meant to correspond to an intuitive distinction between that which is most obvious because it lies, so to speak, on the surface, and that which operates powerfully but less obviously—so to speak, from within.³⁴

David Beach has suggested in his study "Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure" a distinction between three factors that organize the unfolding of a musical composition: "voice-leading structure," "formal design," and "tonal design."³⁵ By the term voice-leading structure Beach means the tonal structure of a composition as shown by Schenkerian analysis. By the term formal design he is "referring to its [a composition's] division into sections, which may be subdivided perhaps into 'themes' and connecting passages, then periods and phrases, and so forth—in short the traditional hierarchical notion of form (as opposed to Schenker's notion of form as a product of voice leading)."³⁶ With the term tonal design Beach refers to the layout of keys in the course of a composition.

In the present study I shall adopt Beach's distinction between voice-leading structure, formal design, and tonal design. With these concepts one can describe explicitly situations where different factors of music articulate differently the course of a composition. For example, we can think of a situation where the development section of a sonata-form movement ends with a dominant chord and the recapitulation begins with a tonic chord. The tonic harmony is, then, almost immediately transformed into a dominant of the subdominant and it functions, therefore, as a chord built on an upper fifth of the subdominant (Ex. 2.2).³⁷

³⁴ Rothstein 1989, 104.

³⁵ Beach 1993.

³⁶ *Ibid.*, 3.

³⁷ David Beach suggests that a reading like this is one of the two possible interpretations of the beginning of

In a case like this the voice-leading structure, formal design, and tonal design each articulate the course of music in a somewhat different manner. In the formal design the opening of the recapitulation begins the last of the three main formal sections of the movement's sonata form. In the voice-leading structure the beginning of the recapitulation takes place within a prolongation of a dominant chord: the tonic chord that opens the recapitulation is not a structural chord but a chord built on the upper fifth of a lower neighbor of the dominant. And in the tonal design the recapitulation begins in the tonic key in spite of the fact that the tonic chord that opens it is not a structural harmony.

EXAMPLE 2.2. Interaction of voice-leading structure, formal design, and tonal design

V "I" IV
Dev. Recap.

■ CHAPTER 3

THE OVERTURE IN THE CLASSICAL ERA

3.1 THE OVERTURE IN THE LATE EIGHTEENTH AND EARLY NINETEENTH CENTURIES

The term overture still often referred in the writings of the late eighteenth century to the French overture which had, however, all but vanished in the musical practice of the last decades of the century. With the spread of Italian opera in the first half of the eighteenth century it began to be supplanted by the Italian overture, or symphony, as it was often called in the Classical era. The Italian overture consists typically of three movements, the first and last of which are fast and the second slow.¹

Although the three-movement form became a norm of the Italian overture in the early eighteenth century, the writers and composers of the era began to seek alternatives, too. Johann Adolph Scheibe writes that when an Italian overture precedes a religious composition, there must be only one movement, or two at the most.² Johann Joachim Quantz, in turn, suggests that the composer must take the character of the music that follows the overture into

¹ For example, both Heinrich Christoph Koch and Johann Georg Sulzer, writing in the latter half of the eighteenth century, refer to the French overture simply as overture, and then say that the symphony has often in their time supplanted it (Koch 1983, 194; and Sulzer 1792–94, 3: 643). The terms overture and symphony were, also, sometimes considered synonymous. C.F.D. Schubart, for example, uses both terms when speaking about the Italian overture (Schubart 1806, 359).

² Scheibe 1745, 601.

consideration when deciding whether to compose all three movements or not.³

In the first decades of the eighteenth century there was often no great difference between three-movement Italian overtures written to open an opera and concert symphonies. But gradually the paths of the two began to diverge. The concert symphony expanded and grew more elaborate. The overture, in turn, tended to become more compact. In the Italian overture the first movement had often been more emphatic than the other two, and after 1760 the last two movements of the three-movement overture were often dropped. The fast movement that remained was often in some kind of sonata form. The later operas of Christoph Willibald Gluck were especially important in establishing the one-movement overture as the norm of the Classical overture.

The one-movement overture, henceforth called simply overture in the present study, often differed in several respects from the first movements of Classical symphonies, and the effect of these divergences can be seen to extend all the way to Beethoven's overtures. The exposition is usually not repeated in overtures, a feature that can be found in all Beethoven's overtures. Also some quite radical differences between the formal organization of an overture and that of the first movement of a symphony were fairly frequent. In the so called "*da capo* overture" there is a slow middle section in a contrasting key between the exposition and the recapitulation. The *da capo* overture combines, hence, the fast-slow-fast pattern of the three-movement Italian overture with the tonal organization of a single sonata-form movement. In addition to lesser-known composers, *da capo* overtures were written by Mozart, the overture to *Die Entführung aus dem Serail*,⁴ and by Beethoven, *Leonore* 1. There are also overtures in which there is neither a slow middle section nor a development section and whose form is, therefore, a sonata form without a development. This form can be found, for example, in Mozart's overture to *Le Nozze di Figaro*⁵ and Beethoven's *Prometheus* Overture.

Important novelties in the formal and tonal organization of the overture were introduced by operatic composers active in France at the turn of the eighteenth and nineteenth centuries.⁶ Of these Luigi Cherubini, in particular, had a great influence on Beethoven. Cherubini's operas were quite frequently presented in Vienna after 1802, i.e., in the years that precede the composition of *Fidelio*, and his influence on *Fidelio* seems clear. Beethoven himself considered Cherubini as the greatest operatic composer of his time.⁷ It was not only his music, however, that impressed and influenced Beethoven. The themes of the librettos of Cherubini's

³ Quantz 1966, 316.

⁴ In the overture to *Die Entführung aus dem Serail* the recapitulation that follows the slow middle section is not complete. The second group has been omitted from it, and the music continues directly from the dominant ending the first group to the beginning of the first scene of the opera.

⁵ The autograph of the overture shows, however, that Mozart had originally drafted a slow middle section in D minor. If the middle section had been included, the piece would be a *da capo* overture.

⁶ For a discussion on overtures by these composers, see Deane 1972–73.

⁷ Several comments that Beethoven made on Cherubini are presented in Schmitz 1925, 104–106.

operas, as well as those of other French operatic composers of the time, often reflected the ideals of Enlightenment and the French Revolution.⁸ Particularly important is the so called "rescue opera," a genre to which *Fidelio* also belongs. In these operas the hero is in a danger and he or she is rescued at the last minute. There is often a social and political message, too: the tyranny of those in power is overcome by means of courage and loyalty. Beethoven, with his republican and Enlightened ideals, was responsive to the social message of the rescue operas. He said in 1823 that he considered the librettos of Cherubini's *Les deux Journées* and Spontini's *La Vestale*—both of which are rescue operas—as the best two librettos he knows.⁹

It was suggested already in the first decades of the nineteenth century that Beethoven's overtures resembled those of Cherubini. E.T.A. Hoffmann says in his review of the *Coriolan* Overture, published in 1812 in the *Allgemeine musikalische Zeitung*, that there is a general similarity in the tone of the *Coriolan* Overture and the overtures of Cherubini. "The main theme of the Allegro...vividly reminds the reviewer of Cherubini and clearly reveals to him the spiritual kinship of the two composers. The further development of the overture is also closely related to Cherubini's overtures, particularly in its orchestration."¹⁰ More recently it has been argued that in addition to the general influence Cherubini's overtures had on Beethoven, one could even seek the origin of some details of Beethoven's overtures from the music of Cherubini.¹¹

Cherubini's overtures are too numerous to be dealt with in any detail here. I shall only briefly describe the formal and tonal design in overtures to three of his operas that were performed in Vienna in 1802–1803, and that Beethoven may, therefore, have known when writing the overtures discussed in the present study.

Cherubini's overtures begin often with an extended introduction. The main sections are usually in sonata form, but often with certain unusual features. In the *Médée* Overture (1797)—which, unusually for Cherubini, has no slow introduction—the exposition proceeds from the tonic key, F minor, to the mediant key, A♭ major, in which the second group is heard (mm. 86 ff.). After a dominant chord that closes the development section (mm. 187–198), the recapitulation begins directly with the second group in F major, the major-mode tonic key (mm. 199 ff.). After the second group, the first group is recapitulated in F minor (mm. 278 ff.). Therefore the return of the minor-mode tonic key takes place only after the second group has been recapitulated.¹²

⁸ For a discussion on the influence of the ideals of the French Revolution on the operas of the time, see Dean 1967–68.

⁹ Dean 1973, 335.

¹⁰ Hoffmann 1989, 289.

¹¹ See Broyles 1987, 153–164; Deane 1973, 314–316; and Schmitz 1925.

¹² Timothy L. Jackson has suggested that the F-major chord heard in the second group at the beginning of the recapitulation is not a structural chord and that the structural tonic chord is, consequently, heard only when the first group is recapitulated: see Jackson 1996, 71–73.

The exposition of the overture to the opera *Les deux Journées* (1800) has three distinct key areas (Ex. 3.1). The first group starts in the tonic key, E major. At the beginning of the second group G major ($\frac{1}{2}$ III) is briefly tonicized, and a new thematic idea, the second theme in the traditional terminology of sonata form, is heard in this key (mm. 65 ff.). After a modulatory passage, the music attains an F \sharp -major chord (mm. 85 ff.) that functions as a dominant of B major, the key that closes the exposition. The second theme is repeated in B major at the end of the exposition (mm. 93 ff.). In my view the structural chord progression of the exposition is I–($\frac{1}{2}$ III)–II \sharp –V, and therefore the G-major chord that opens the second group is structurally subordinate to the I and II \sharp that surround it. In the recapitulation the material is transposed so that the second group begins in C major and the basic chord progression is I–($\frac{1}{2}$ VI)–V–I.

EXAMPLE 3.1. Cherubini, *Les deux Journées* Overture, an overview

43 65 74 85 93 102 115 154 173 182 193 201 210 218 222 223

(= 3) (2 II)

I ($\frac{1}{2}$ III) II \sharp V II I ($\frac{1}{2}$ VI) V I V $\frac{4}{3}$ I

Form: Exp. 1st group, 2nd group, Dev., Recap. 1st group, 2nd group

In the *Lodoïska* Overture (1791) the first group of the exposition proceeds from a tonic chord of the main key, D major, to a II \sharp (mm. 89 ff.) that prepares the dominant chord that opens the second group (m. 98). The second group begins, unexpectedly, in A minor, the minor-mode dominant key, instead of the expected A major. After a while, however, A major supersedes the A minor, and the thematic idea heard in A minor is repeated in the major key (mm. 115 ff.). There is no development section, and the exposition is followed by a short transitional passage (mm. 160–173) that adds a seventh to the dominant chord that ends the exposition, hence preparing the return of the tonic chord at the beginning of the recapitulation. The second group of the recapitulation begins in the minor-mode tonic key, D minor (mm. 214 ff.), but soon moves to D major. The end of the recapitulation is quite unusual (Ex. 3.2). At the end of the second group there is a dominant chord (mm. 255–264) that one expects to be

resolved to a tonic chord that would close the recapitulation. The dominant chord is not, however, immediately resolved. Instead, the recapitulation ends on a V^7 and a tonic chord is heard only at the beginning of the coda (m. 265). When the tonic chord is finally reached, the music has become slower, quieter, and less tense than at the end of the recapitulation.

EXAMPLE 3.2. Cherubini, *Lodoïska* Overture, the end of the recapitulation and the beginning of the coda

Allegro Vivace

255

Moderato

265

clar.

f

pp

The attainment of a tonic chord at the beginning of the coda coincides with a new thematic idea that has been quoted from the end of the opera. *Lodoïska* is a typical rescue opera, and the theme that the overture quotes comes from a place in which the hero has rescued the heroine and all the dangers are over. By quoting the theme from the opera Cherubini associates the overture with the events of the libretto: in the same manner that the theme is heard in the opera when all the tensions are over, it occurs in the overture when the dominant chord that ends the recapitulation is, finally, resolved to a tonic chord.

It was by no means uncommon for a Classical composer to quote thematic material from the opera in the overture, as Cherubini does in the *Lodoïska* Overture, and hence to draw an association between the overture and the opera. In Mozart's *Don Giovanni* Overture, for example, the introduction anticipates the statue scene, and in his overture to *Die Entführung aus dem Serail* the slow middle section prepares the music that opens the first scene.

For a study dealing with Beethoven's overtures a particularly interesting example of a situation where material of the opera is quoted in the overture can be found in Étienne Nicolas Méhul's overture to the opera *Hélène* (1803). Méhul was, with Cherubini, the best known of

the operatic composers active in France at the turn of the eighteenth and nineteenth centuries. In his overtures the forms are often very free and his use of harmony is daring. He often included, also, pictorial or overtly programmatic features in his overtures, and the unusual forms followed occasionally from the programmatic features. The tonal design of the *Hélène* Overture is somewhat uncommon. Even though the piece passes through keys other than A major, the tonic, no key but the tonic is stabilized in the course of the work. The formal design of the overture is also quite unusual. The frequent return of the opening thematic material could be interpreted as referring to a free rondo form. There is also large-scale repetition of contrasting thematic material (cf. mm. 93–171 and 244–322). But since there is no harmonic contrast between the two occurrences of this material—both are in the tonic key—one cannot interpret the material as a traditional second group and apply principles of the sonata rondo.

EXAMPLE 3.3. Méhul, *Hélène* Overture, the trumpet fanfare

For our purposes the remarkable feature of the overture is the trumpet fanfare, heard in mm. 191 ff., that cuts off the motion of the music (Ex. 3.3).¹³ In the opera an offstage trumpet call announces, at the end of the first act, the arrival of the Governor. The fanfare of the overture quotes, thus, the trumpet call of the opera. The situation is very similar in *Fidelio* and *Leonore 2* and *Leonore 3*, the first two overtures composed to it. In the opera a trumpet call announces the arrival of Don Fernando, and in the overtures a fanfare cuts off the motion of the music. It is quite possible that Beethoven had the idea of quoting the trumpet call from the overture of Méhul. *Hélène* was performed in Vienna in 1803, two years before the composition of *Fidelio*, and it is possible that Beethoven, an admirer of French opera, heard a performance of Méhul's work.

¹³ Dean 1973, 378–379, reprints the entire passage of the overture in which the trumpet fanfare is heard. Botstiber 1913, 155–162, reprints also music following the trumpet call.

3.2 PROGRAMMATIC ASPECTS OF OVERTURE: SOME EIGHTEENTH- AND NINETEENTH-CENTURY VIEWS

We saw above that composers of the late eighteenth and early nineteenth centuries occasionally quoted in their overtures material from the opera, hence tying the overture and the opera together. Some rapport between the two was required also by numerous eighteenth-century writers.¹⁴

Mid-eighteenth-century writers often suggested that the overture should prepare the listener either for the first scene or to the general character of the opera. Johann Joachim Quantz, for example, writes in his *Versuch einer Anweisung die Flöte traversiere zu spielen*, published in 1752, that "a sinfonia should have some connexion with the content of the opera, or at least with its first scene."¹⁵ Even though this principle of preparing the listener for the opera was shared by most writers of the time, the emphasis varied among individual commentators. Some, like Johann Adolph Scheibe, argued that the overture should prepare the listener for the entire opera, whereas others, like Jean-Jacques Rousseau, maintain that the overture should prepare only to the first scene.¹⁶

Probably the most influential single comment on the relation between overture and opera was made by Christoph Willibald Gluck, in 1769, in a preface he wrote to his opera *Alceste*. The importance of his comment is increased by the pivotal role that Gluck played in the development of opera in the latter half of the eighteenth century. "I have felt that the overture should inform the listeners beforehand of the nature of action that is about to be presented, to sum up, as it were, its subject."¹⁷ It is important to note that Gluck is not only speaking about the general common mood of the overture and the opera but about a more specific similarity. He seems to be suggesting that the course of the events of the opera, or the tensions created by them, should be summed up in the overture. That is to say, he would seem to argue that there should be some sort of analogy between the unfolding of the overture and the course of the entire opera.¹⁸

A very detailed discussion on the relation of overture and opera can be found in Bernard Germain Étienne Lacépède's book *La Poétique de la Musique*, published in 1785. Lacépède begins by saying that the overture should function as a general introduction to the character and dimensions of the opera, comparing the overture to the hall of a palace. "The overture is for the

¹⁴ The following discussion draws its material from texts dealing with Italian overtures or one-movement overtures. Writers quoted use occasionally the term symphony instead of the term overture. More specific terms were also used in the Classical era. Daniel Gottlob Türk speaks in his *Klavierschule* (1789) about the "characteristic symphony" [*Charakteristische Sinfonie*] when discussing overtures that are associated with operas (Türk 1789, 392).

¹⁵ Quantz 1966, 316.

¹⁶ See Scheibe 1745, 596; and Rousseau 1768, 358.

¹⁷ Gluck 1994, 365.

¹⁸ Gluck's comment is, however, far too short and vague for anything very definite to be deduced from it.

opera like a peristyle which functions as a hall in palaces and other great and wonderful buildings of kings."¹⁹ After describing the general features of an overture, Lacépède distinguishes four different ways in which it can be related to the content of the opera. The first way anticipates all the main events and characters of the opera: "[The composer] may wish to make his overture an abridged picture of the entire opera: he may wish to present all the emotions, all the characters appearing in the opera, all the events that take place in it."²⁰ The second way shows only the main emotions of the opera: "The second way that the musician may use prepares the listener's heart for the principal sentiments to be presented during the work."²¹ The third way anticipates the opening scene of the opera: "The third way of composing an overture prepares the spectator only for the principal events taking place at the beginning of the opera or to the principal sentiments exhibited there."²² The fourth way prepares the listener for the opening of the opera by depicting events that have taken place before the situation in which the opera begins. This way is "a great and magnificent picture of important events that precede everything that takes place in the first scene."²³

An important early nineteenth-century view on the programmatic aspects of overture can be found in Carl Czerny's *Schule der praktischen Tonsetzung*, published ca. 1849–50.²⁴ Czerny begins by dividing overtures into two categories: those written to open an opera and those composed for a concert. The pieces written for a concert may be associated with a specific play: "[A] determined character can be given to it [the overture]: for, during its production, we think of some celebrated play (as a Tragedy &c:) endeavour to adapt it to the same, and perhaps also name it thereafter: as, for example, Beethoven's Overture to Coriolanus, to Egmont &c."²⁵ When writing about overtures composed to open an opera, Czerny says that they may quote thematic material from the opera or sum up its basic events. "As the Opera overture is generally composed after the completion of the Opera itself, we select a few of the most important subjects from the latter, and introduce them into the same...Further, the Overture must exactly coincide with the leading character of the entire Opera, and either keep some principal situation or character continually in view, or seek to represent, in quick succession, the progress of the action, so as to prepare the public for that which follows."²⁶ Czerny warns the composers, however, not to quote too many themes of

¹⁹ Lacépède 1785, 2:1.

²⁰ Ibid., 7.

²¹ Ibid., 8.

²² Ibid., 11.

²³ Ibid., 14.

²⁴ Czerny ca. 1848, 2: 45–46.

²⁵ Ibid., 45.

²⁶ Ibid., 45.

the opera, and mentions overtures by Mozart, Cherubini, Méhul, and Beethoven as good examples.²⁷

3.3 BEETHOVEN'S OVERTURES AND THE OVERTURE TRADITION OF THE CLASSICAL ERA

The foregoing discussion has several points of contact with Beethoven's overtures in general and with the specific aspects of them dealt with in the present study. The Classical writers who commented on the relation between overture and opera were practically unanimous in maintaining that there should be a rapport of some kind between the two. They suggested often a rather vague similarity, saying that the general tone of the overture should be similar to that of the opera. Gluck, Lacépède, and Czerny went further, however, and argued that there should be a more specific rapport. Of particular interest for our purposes are, on the one hand, Lacépède's second way, which argues, echoing the ideas of Gluck, that the overture can present the main sentiments and events of the opera, and, on the other hand, Czerny's notion that the overture can "represent, in quick succession, the progress of the action."²⁸ Lacépède's second way and Czerny's principles are, basically, quite close to the point of view of the present study: with analytic tools unknown in their time I attempt to examine if there are structural analogies between the fundamental tensions of the overtures and those of the programs.

Gluck and Lacépède worked in the same French operatic tradition to which Cherubini and Méhul belonged. One might, therefore, suggest that the overtures of Cherubini and Méhul could be seen as showing in practice some of the ideas Gluck and Lacépède spoke about. It could be argued, for example, that the experimental formal and tonal procedures encountered in the overtures of Cherubini and Méhul would attempt to reflect, according to the principles of Gluck and Lacépède, the basic sentiments and events of the operas. This would, indeed, seem quite obviously to be the case in Méhul's *Hélène* Overture and in Cherubini's *Lodoïska* Overture.

The experimental features of the French operatic overture had a great influence on Beethoven. The only overture he wrote before hearing French opera, the *Prometheus* Overture,

²⁷ The writers of the Classical era did not consider the overture as the sole genre that can reflect events in certain texts. Similar ideas can be found from A.F.C. Kollmann's discussion of "characteristic symphonies" in his *An Essay on Practical Musical Composition* (1799) and from Heinrich Christoph Koch's article on "Simphonies à programmes" in his *Musikalishes Lexikon* (1802) (Kollmann 1799, 14–15; and Koch 1802, cols. 1384–85).

²⁸ When discussing his second way, Lacépède speaks, actually, only about the sentiments of the opera and not about its events. But he does mention events in the three other ways in which the overture can be related to the opera, and also when speaking of his second way his text creates an impression that there must be events that have caused the sentiments he discusses.

quite closely follows the Viennese overture tradition. It shows no unusual or experimental features that would imply that its musical material had been affected by the program behind the music. But the first overture Beethoven wrote after hearing the French opera, *Leonore 2*, is one of the most original of Beethoven's middle-period compositions. Its tonal and formal organization are highly unusual and it fairly extensively quotes thematic material from *Fidelio*. It seems quite obvious that the program underlying the overture has now affected the music. It would also seem likely that the origins of Beethoven's new standpoint toward programmatic aspects of the overture can be found in the overtures of French operatic composers.

PART II

ANALYSES

■ CHAPTER 4

FIDELIO AND ITS THREE VERSIONS

4.1 THE THREE VERSIONS OF *FIDELIO*

Beethoven presumably began to work on *Fidelio* in January, 1804.¹ The text of the opera is based on a French libretto, *Léonore, ou l'amour conjugal*, written by Jean-Nicolas Bouilly, in the late 1790s, for a French composer, Pierre Gaveaux. The German adaptation was done by Josef Sonnleithner. The opera was mostly composed in 1805 and all of the music had been sketched by June of that year. It was premièred on November 20, 1805. The overture that was played was *Leonore 2*. The timing of the first performance was an unhappy one. The French troops had occupied Vienna only a few days earlier, and the nobility and the rich bourgeoisie—the potential audience of the opera—had left the town. The opera was performed only three times—on November 20, 21, and 22—and the small audience consisted mainly of French officers. The work was not received favourably. The critic of the *Allgemeine musikalische Zeitung* wrote in January, 1806, that the expectations were high but that the listeners were disappointed. "Judged dispassionately and with an open mind, the whole is distinguishable neither by invention nor execution."²

Beethoven's friends felt that the failure of the opera resulted mostly from the dramatic

¹ Of the three versions of the opera the first two were called *Leonore* and only the last *Fidelio*. To avoid confusion between the opera and the overtures written to it, I shall call in the present study all three versions of the opera *Fidelio*.

² Quoted in Thayer 1967, 387.

deficiencies of the libretto, and they urged Beethoven to revise the score. The revision of the libretto was entrusted to Stephan von Breuning. The three acts of the opera were rearranged to two. Many musical numbers were abridged, the order of some was altered, and some were altogether omitted. The revised version was performed on March 29, 1806, and repeated on April 10. The overture that was played was *Leonore 3*. The opera was now received more favourably. The critic of the *Allgemeine musikalische Zeitung* wrote in April, 1806: "Beethoven has again produced his opera *Fidelio* on the stage with many alterations and abbreviations. An entire act has been omitted, but the piece has benefited and pleased better."³ Beethoven was not contented, though. Dissatisfied with the performance, and having quarrelled with the management of the theatre, he withdrew the opera from production.

At the beginning of 1814 the idea of reviving *Fidelio* was suggested to Beethoven by three singers willing to perform the opera for their benefit. Beethoven consented on condition that he could make alterations to the score. The revision of the libretto was carried out by Georg Friedrich Treitschke. The work was slow and painful. Beethoven wrote to Treitschke, probably in April: "I could write something new more quickly than add new things to old as now...In short, I assure you, dear T. the opera will secure me the crown of martyrdom."⁴ The first performance of the new version was on May 23, 1814. The new overture—the *Fidelio* Overture—was not finished in time, and it was heard only in the second performance on May 26. The audience was enthusiastic, and the reviews were more favourable than those of the first two versions.⁵

4.2 THE LIBRETTO

The librettos of the opera's three versions do not differ from each other fundamentally. The greatest outward difference between the first version and the later two is the fact that the earliest libretto—and consequently the 1805 version of the opera—is divided into three acts, whereas the two other are divided into two.⁶ The original French text by Bouilly, which the libretto of *Fidelio* follows, is based on a historical incident that took place during the Reign of Terror. The action was moved, for political reasons, from France to Spain.

The story of *Fidelio* is typical of rescue operas of the turn of the nineteenth century. Florestan has been imprisoned by his political opponent Pizarro. He is kept in a dungeon of the prison whose governor Pizarro is. Florestan is assumed to be dead but his wife, Leonore,

³ Quoted in Thayer 1967, 395.

⁴ Quoted in Thayer 1967, 580–581.

⁵ For a detailed comparison of the three versions of *Fidelio*, see Hess 1953. Dean 1973 gives a clear overview of the differences between the versions, as well as background to the composition of the opera. Coldicott 1991, 253–254, gives a quick outline of the versions.

⁶ The first two versions of the libretto have been reprinted in Hess 1953, 203–252.

refuses to believe this. She disguises herself as a man, Fidelio, and has Rocco, the jailor, employ her as his assistant. The opera opens in a domestic situation:⁷ Marcellina, Rocco's daughter, does not know that Fidelio is in reality a woman and falls in love with him and wants to marry him. Leonore acts as if she did not resist: she believes that if Rocco considers her as his future son-in-law he might let her enter the dungeons, and hence find out if Florestan is kept there. Rocco tells her, however, that there is one dungeon where he cannot let her enter, as no one is allowed to see the prisoner kept there. Leonore surmises that the prisoner is Florestan. Pizarro enters the stage and reads from a letter he has received that the Minister Don Fernando will make an inspection of the jail as he has heard that prisoners are being held unjustly. Pizarro understands that he will be ruined if Don Fernando finds Florestan, and therefore determines to kill him. He tells Rocco and Leonore to go to the dungeon to dig a grave, and sends a guard to a tower with the order to sound the trumpet if he sees Don Fernando approaching.

The second act—which is the third act of the first version—takes place in the dungeon. It opens with Florestan lamenting his destiny. Rocco and Leonore enter and Leonore recognizes Florestan. Pizarro also enters the dungeon, where he is to carry out the murder. When he is about to stab Florestan with a dagger, Leonore shields Florestan with her body and reveals her true identity. As Pizarro threatens to kill Leonore together with Florestan, she points a pistol at him. At this moment the trumpet signalling the arrival of Don Fernando is heard. Rocco snatches the pistol from Leonore's hand as he and Pizarro rush out of the dungeon. Left alone in the dungeon and hearing an offstage chorus demanding revenge, Leonore and Florestan prepare to die together. The revenge is not, however, directed against Leonore and Florestan: Don Fernando descends to the dungeon to free Florestan, and his guards have arrested Pizarro.⁸

The tension of the text lies in Florestan's fate: will he be killed or rescued? The plot of the libretto may be said to consist, ultimately, of two opposing forces combating over the future of a passive object, the object being represented by Florestan. One of the forces, represented first by Leonore alone and then by her and Don Fernando together, strives toward good, and the other, represented by Pizarro, toward evil. Leonore cannot alone defeat evil, and Don Fernando is needed to help her. At the end good is victorious. We can express the narrative structure of the libretto in the following manner as a sequence of simple sentences. Florestan has been imprisoned by Pizarro. Leonore attempts to save Florestan. Florestan and Leonore combat Pizarro in the dungeon. The trumpet announces the arrival of Don Fernando.

⁷ The first two scenes are in a reversed order in the first two versions and in the 1814 version. This does not affect the overall course of the libretto.

⁸ The events of the libretto are presented above the way they take place in the 1805 and 1806 versions of *Fidelio*. In the 1814 version the end is somewhat different. After the trumpet call is heard, it becomes immediately evident that Florestan will be rescued. Hence the moment of uncertainty, during which Leonore and Florestan prepare to die together, has been omitted.

After a moment of uncertainty Florestan is rescued and Pizarro is punished. We can reduce this structure further and express the ultimate narrative structure of the libretto in the following way. Pizarro threatens to destroy Florestan. Leonore and Don Fernando combat Pizarro over the future of Florestan. Leonore and Don Fernando are victorious, Florestan is rescued, and Pizarro is punished.

■ CHAPTER 5

LEONORE 2, OP. 72

5.1 FORM AND VOICE-LEADING STRUCTURE: AN OVERVIEW

Leonore 2, written to open the 1805 version of *Fidelio*, is one of the most original of Beethoven's middle-period compositions. Its voice-leading structure, formal design, and tonal design all differ greatly from those of an archetypal sonata form.¹ In spite of these deviations, I believe that the terminology of sonata form has explanatory power when discussing the overture, but it must be used at times in a flexible manner.

The voice-leading structure of the deep middleground proceeds in two phases (Exs. 5.1a and 5.1b). The first phase encompasses most of the overture: its uppermost voice descends from an inner-voice $\hat{3}$ (m. 57) to an inner-voice $\hat{1}$ (m. 382) supported by a minor-mode tonic chord. As Ex. 5.1b indicates, the first phase consists of a chord progression I–III \sharp –V–I \flat . The III \sharp has as its main top-voice note the inner-voice $\hat{3}$ (m. 228), approached from B above, and the V gives consonant support for the passing-tone D.² The *Urlinie* descends in the second phase that lasts only about fifty measures: *Kopftön* $\hat{5}$ is regained in m. 392 (in the foreground only in m. 396), almost immediately after the inner-voice $\hat{1}$ has been attained in m. 382, and the

¹ See chapter 2.4 for discussion of the terms voice-leading structure, formal design, and tonal design.

² It would be possible to read the G \sharp of m. 210 as the raised $\hat{5}$ and the G \sharp –F \sharp –E descent of mm. 210–228 as the main top-voice motion of the exposition. As a consequence, the descent to the inner-voice $\hat{1}$ that closes the first phase in m. 382 would begin from the top-voice G, not from the inner-voice E as in Ex. 5.1. I find this interpretation problematic, however, since it would include in the deep-middleground fifth-progression prolonging the tonic chord an F \sharp (= $\hat{4}$) that would contradict the background diatony.

EXAMPLE 5.1. *Leonore 2*, an overview (continues on next page)

System (a) measures: 57, 210, 376, 382, 392, 422, 427, 430, 443. Fingerings: 5, (=3), 2, 1), 5, 4, 3, 2, 1. Chord diagrams: V, I, III#, V, I, bIII, V, I, V, I.

System (b) measures: 43, 57, 138, 210, 228, 278, 290, 348, 374, 376, 382, 392, 422, 427, 430, 443. Fingerings: 5, (=3), 2, 1), 5, 4, 3, 2, 1. Chord diagrams: V, I, III#, V, I, bIII, V, I, V, I.

structural $\hat{1}$ that ends the *Urfinie* is reached in m. 443. Hence the structurally primary second phase covers only a fraction of the overture.

Ex. 5.1c shows the interaction of the voice-leading structure and the formal design. The first tonic chord of the overture is heard at the beginning of the exposition (m. 57) after the introduction that prolongs a dominant chord. The second group of the exposition (mm. 158–244) is in E major (III^\sharp). The relation of voice-leading structure, formal design, and tonal design is unusual in the second group. In the formal design m. 158 begins a new section, the second group. M. 158 is important also for the tonal design, since a tonic chord of the secondary key area of the exposition, E major, is heard in it for the first time. However, in the voice-leading structure the E-major chord that opens the second group should not be understood as a structural harmony. As Ex. 5.1c indicates, it is built on a neighbor note, and a structural III^\sharp is attained only in m. 210.

EXAMPLE 5.1. *Leonore 2*, an overview (*cont.*)

24 33 36 41 57 138 158 180 192 210

(5') (= 3)

c)

V 8 7 I V / III # III #

Form: Introduction Exposition 1st group 2nd group

228 260 278 290 310 322 340 348 374 376 382 392 422 427 430 443

(cont.)

= 5 6 6 5 III # V I b bIII V I V I

Development Coda

After the exposition the course of the overture deviates greatly from the procedures of sonata form. The development section is articulated into two subsections by the powerful C-minor chord that ends in m. 382 the first of the two large phases. The development section is not followed by a recapitulation but directly by a coda (Ex. 5.1c).

In the voice-leading structure there is no interruption after the development section as there usually is in sonata-form movements of the Classical era. Instead, the music arrives at a minor-mode tonic chord in the middle of the development section, at the moment when the first large phase attains the inner-voice $\hat{1}$ in m. 382 (Ex. 5.1b). Hence the exposition and the development up to m. 382 together form one voice-leading entity which prolongs the tonic

chord that opens the Allegro with a deep-level third-progression descending from an inner-voice E to an inner-voice C. The situation is exceptional: the secondary key area, E major (III[#]), is located within a huge prolongation of the tonic chord that extends from the beginning of the Allegro to the attainment of a C-minor chord in m. 382. Hence the III[#] of the secondary key area is not a third-divider leading to the structural dominant, as one would expect in sonata form, but part of a middleground prolongation of the tonic harmony. Consequently, the boundaries of the voice-leading structure's prolongational units and the formal design do not coincide. Furthermore, the development section has neither of the two voice-leading functions it ordinarily has in sonata form: it is neither a section prolonging the structural dominant attained in the exposition and followed by an interruption (I–VII) nor a section leading to the structural dominant and the interruption (e.g., I–III–VII or I–VI–IV–VII).

5.2 INTRODUCTION

The entire introduction prolongs, at deep structural levels, a dominant chord with a passing seventh (Ex. 5.1a). The overture begins, thus, with a massive auxiliary cadence V–I. The way this basic harmonic progression is elaborated at the more local structural levels is highly complex, and the music is in an almost constant state of flux.

EXAMPLE 5.2. *Leonore 2*, introduction, voice-leading sketch

Ex. 5.2 shows a more detailed picture of the voice-leading structure of the introduction. The most fundamental progression in the bass is the neighboring motion G–A_b–G that is accompanied in an inner voice by a B–C–B motion (see beams in Ex. 5.2). The neighbor-note A_b of the bass (m. 36) supports an A_b-major chord that articulates the course of the introduction into two large sections. In the uppermost voice the whole introduction is governed by a descending fourth-progression G–D whose second tone, F[#] (m. 24), is given consonant support by B, an upper third of G, and third tone, E_b (m. 36), by the neighbor-note A_b of the

bass. The fourth-progression is unusual and problematic in that it contains an augmented second $F\sharp-E\flat$.

EXAMPLE 5.3. *Leonore 2*, mm. 1–10, voice-leading sketch

The image shows a musical score for Example 5.3, consisting of two systems of music. Each system has a treble clef on top and a bass clef on the bottom. Above the first system, the measure numbers 10, 8, 9, and 10 are indicated. Above the second system, the measure numbers 8, 9, and 10 are indicated. The sketches are labeled a), b), and c). Sketch a) shows the first system with a treble clef and a bass clef. Sketch b) shows the second system with a treble clef and a bass clef. Sketch c) shows the second system with a treble clef and a bass clef. The sketches illustrate voice-leading functions and harmonic progressions.

The very beginning of the introduction is harmonically unstable. After the opening G that is heard in six octaves, the music moves, in mm. 6–8, to a fleetingly tonicized B minor. The B-minor chord of m. 8 is, however, only a passing event in the unfolding of the music. As Exs. 5.3b and 5.3c show, its voice-leading function is to give consonant support for the chromatic passing-tone $F\sharp$.

The first goal of the introduction is the $A\flat$ -major harmony that is tonicized in m. 10. But it, too, is a rather unstable chord. It is not prepared by its dominant and it originates in a chromatic passing-tone $A\flat$ of an inner voice (Ex. 5.2). The opening of the overture is in two ways exceptional for a beginning of a Classical composition. First, the chord that begins the piece is not a tonic chord but a dominant. And second, the dominant is not immediately resolved to a tonic, or even expanded on the musical surface. Instead, the music moves directly to quite remote harmonies.³

Once the $A\flat$ major has been attained in m. 10, the first clearly thematic idea of the piece is heard. This theme is quoted from *Fidelio*, from Florestan's aria "In des Lebens Frühlingstagen" at the beginning of the second act (or the third act of the 1805 version of the opera for which *Leonore 2* was composed). I shall call this theme the Florestan theme.⁴ Ex. 5.4 shows the voice-leading structure of the Florestan theme. Taken alone, mm. 10–15 consist of a prolongation of an $A\flat$ -major chord: in the top voice there is a $\hat{3}-\hat{2}-\hat{1}$ descent that is supported by a I–V–I arpeggiation in the bass. In spite of this closed and clear progression, $A\flat$ major does not attain a status of a stable key area. Since the $A\flat$ -major chord originates in a chromatic passing tone, and since it is not prepared by its dominant, it is to be understood as a

³ Arnold Schoenberg does not interpret the opening Gs as representing the dominant (see Schoenberg 1969, 168–69). (Schoenberg speaks about *Leonore 3*, but I believe that one can safely assume that his reading of the nearly-identical beginning of *Leonore 2* would be similar.) In Schoenberg's view a dominant chord is attained only in m. 9 (m. 8 of the *Leonore 3*), and the harmonies prior to that dominant are "roving" harmonies.

⁴ It is worth noting that the entire overture begins with a descending third that may be associated with the opening third of the Florestan theme.

EXAMPLE 5.4. *Leonore 2*, mm. 10–15 (the Florestan theme), voice-leading sketch

10 15

EXAMPLE 5.5. *Leonore 2*, mm. 16–24, voice-leading sketch

15 17 22 24

a)

16 20 24

b)

passing event. The passing function is, however, somewhat concealed by the distinct thematic idea that emphasizes $A\flat$ major in the foreground.

The highly chromatic passage that follows, in mm. 16–24, the tonicized $A\flat$ major draws much of its thematic material from the opening third of the Florestan theme (see brackets in the uppermost stave of Ex. 5.5b). The descending thirds that are heard in the top voice are counterpointed in an inner voice by ascending thirds—a procedure that leads to a series of voice exchanges (Ex. 5.5b). In m. 20 the thirds reverse places: the ascending ones are shifted to the top voice and the descending are heard in an inner voice. The ascending third of mm. 20–21 attains, in the top voice, G that descends in m. 24 to $F\sharp$. The $F\sharp$ of m. 24 is part of the deep-level fourth progression $G-D$ that spans through the uppermost voice of the whole

EXAMPLE 5.6. *Leonore 2*, mm 24–33, voice-leading sketch

24 28 33 36

1 24 28 33 36

a) b)

5—5

* *

$F\sharp$ $F\flat?$ $E\sharp?$ $F\flat!$ $E\flat$

24 30 33

c)

5—6 5—6

introduction (Ex. 5.2). Therefore the entire chromatic ascent A_b-B that forms the uppermost voice of Ex. 5.5 takes place, basically, in an inner voice, and the $F\sharp$ of m. 24 regains the structural top voice (cf. Exs. 5.2 and 5.5).

Much of the thematic material of the very complex mm. 24–36 is also drawn from the Florestan theme (see the brackets in Ex. 5.6c). The basic voice-leading function of this passage is to fill in with a chromatic passing tone the augmented second $F\sharp$ (m. 24) – E_b (m. 33) of the large top-voice fourth-progression, a problem inherent in the voice-leading structure of the introduction (Ex. 5.1c). According to the principles of diatonic voice leading, the augmented second $F\sharp-E_b$ can be filled in either with $F\flat$ or $E\flat$. If enharmonic equivalents of F or E ($E\sharp$ and $F\flat$) are used, doubly augmented primes would follow.

The way Beethoven covers the augmented second $F\sharp-E_b$ is extremely complicated. In the middleground there is actually no F or E: only the enharmonic equivalent of F, $E\sharp$, is heard in m. 28 (Ex. 5.6a). (In Ex. 5.6a the F supported by a D_b -major chord that is shown in parentheses is a hypothetical chord added to show the enharmonic equivalence of F and $E\sharp$: the chord of m. 28 is unequivocally a $C\sharp$ -major chord, and thus the top voice is $E\sharp$, not F.) In the middleground the $E\sharp$ continues in m. 33 to an E_b (Ex. 5.6a). But on the musical surface there is in m. 28 no $E\sharp$ in the top voice (Ex. 5.6b). It is heard only in an inner voice, and the top-voice E_b of m. 33 is reached, in the foreground, via a motion ascending from an inner-voice $C\sharp$ (see the staff above Ex. 5.6b).

In addition to the structurally important $E\sharp$, there is also an $F\flat$, its enharmonic equivalent, in mm. 25–27—i.e., immediately before $E\sharp$ is heard in m. 28. But this $F\flat$ is only a decorative element and not a tone belonging to the middleground voice leading (Ex. 5.6b). Ex. 5.6c shows that on the musical surface there is an $F\flat$ also right before the attainment of the top-voice E_b of m. 33. The relation of the enharmonically equivalent $E\sharp$ and $F\flat$ is interesting. In principle, there should be, at deep structural levels, an $F\flat$ that would fill in the augmented second $F\sharp-E_b$ (Ex. 5.1c). In the middleground there is, however, the enharmonic equivalent of $F\flat$, $E\sharp$ (Ex. 5.6a). Yet on the musical surface the $E\sharp$ is surrounded by $F\flat$ s, notes that are structurally subordinate to it (Ex. 5.6c). It is as if the line descended from $F\sharp$ first to a weak $F\flat$, a note which is, however, immediately displaced by $E\sharp$. In the deep-level voice-leading structure $E\sharp$ is a foreign element, and the $F\flat$ that follows it in m. 32 would seem to show that the first F, heard before the $E\sharp$ of m. 28 displaced it, was the right note after all. In other words, the "right" note $F\flat$ is heard immediately after the $F\sharp$ of m. 24 and before the E_b of m. 33. Therefore $F\flat$ is directly associated, on the musical surface, with both $F\sharp$ and E_b of the descending middleground fourth-progression. But the "right" note $F\flat$ is structurally subordinate to the "wrong" note $E\sharp$. (See the uppermost staff of Ex. 5.6c; the asterisks, question marks, and exclamation point attempt to convey this idea).

EXAMPLE 5.7. *Leonore 2*, mm. 1–36, interaction of orchestration, register, and voice-leading structure

1 5 25 28 32 33 36

Flute

Beethoven's orchestration helps one to follow the unusually complex voice-leading structure of the introduction (Ex. 5.7). The highest of the Gs that open the overture is played by the flute in the three-line octave. G is brought in m. 5 to the one-line octave in which the chromatic inner-voice motion G–B takes place. During this motion the flute is silent. It is heard again in m. 20 when the actual top voice returns: G moves to F# in the two-line octave, after which F# is immediately brought to the three-line octave. In m. 25 F# is lowered, in the three-line octave and in the flute part, into F#₄, the note that is, as we saw above, expected to follow the top-voice F#. F#₄ is, in turn, transformed, in m. 28, into its enharmonic equivalent E#. E# is heard, however, neither in the high register nor in the flute part. F is heard again in the three-line octave and in the flute part in m. 33 after which the descending top-voice line continues, in m. 34, to E_b, again both in the three-line octave and in the flute part. Hence the only note of the descending top-voice line that is not played by the flute in the three-line octave is the E#, the foreign element of the middleground voice-leading structure. But both of the F#₄s, which are in a voice-leading sense subordinate to the E# that they surround, are played by the flute in the three-line octave. Hence the E# is alienated from the unified register and instrumentation of the descending top-voice line that begins from the opening G. Beethoven's orchestration and use of register support, thus, in a remarkable way the interpretation of F#₄ as the "right" note and E# as the "wrong" note.

In m. 36 the music attains an A_b-major chord, built on an upper neighbor of G, that divides the introduction into two large sections. The music following m. 36 is more straightforward than that preceding it (Ex. 5.8). The deep-level passing seventh F, shown in Exs. 5.1 and 5.2, is first heard in the bass (m. 41) and only later (m. 43) in the top voice. (Incidentally, it is worth noting that the F of m. 43 is played by the flute in the three-line octave: hence Beethoven continues to use orchestration and register as a means of clarifying the course of the deep-level top voice.) After m. 43 the introduction merely expands the dominant seventh chord and hence prepares the tonic that will be heard for the first time in the overture at the beginning of the Allegro. This expansion is important for the organization of the beginning

of the piece. Although the whole introduction prolongs dominant harmony at deep structural levels, the actual dominant chord has played only a minor role in the unfolding of the foreground. The expansion of the dominant at the end of the introduction brings also to the musical surface the chord that has governed in the middleground from the beginning of the overture on. Hence the expansion foregrounds the tendency of the music to move forward to a tonic chord, a tendency that has been latent throughout the introduction.

EXAMPLE 5.8. *Leonore 2*, mm. 36–43, voice-leading sketch

36 39 40 41 43

bVI v⁷

Two instances of internal association within the introduction deserve to be commented on before continuing to the Allegro. First, the $F\sharp$ of m. 24, supported by a B-major chord, is anticipated by the tonicized B-minor chord of m. 8 which has $F\sharp$ as its top voice (cf. Exs. 5.1c and 5.3b). $F\sharp$ is in both cases a foreign element to the diatonic voice leading. In mm. 6–10 it is subordinate to $F\flat$ in spite of the emphasis given to it on the musical surface (cf. Exs. 5.3a and 5.3b). The fact that the musical surface stresses $F\sharp$ over $F\flat$ in mm. 8–9 prepares mm. 24–33 where $F\flat$ —or $E\sharp$ in the actual music—is subordinate to $F\sharp$ (Ex. 5.1c). And second, the $A\flat$ -major chord of mm. 10 ff. and that of mm. 36 ff. are associated with each other even though there is no voice-leading connection between them. Consequently, the fact that the greatest outburst of the introduction—mm. 36–38—is in the key of $A\flat$ major may be seen to emphasize, in retrospect, the key of the Florestan theme of mm. 10–15.

5.3 EXPOSITION

The massive prolongation of dominant harmony that takes place in the introduction makes great demands for the beginning of the Allegro. Since the dominant of the introduction is subordinate to the tonic that opens the Allegro, the latter should be emphasized in some way if

it is to be understood to occur on the same level of importance as the dominant preceding it. Beethoven's solution to this compositional problem is remarkable.

EXAMPLE 5.9. *Leonore 2*, register and voice-leading structure in the introduction and the beginning of the Allegro

The deep-level passing seventh of the introduction, F, is heard in the top voice first in the three-line octave (m. 43)—the register in which all the important top-voice events of the introduction take place (Ex. 5.9). F is then shifted, in m. 51, to the two-line octave. The actual resolution of F at the beginning of the Allegro takes place in the small octave. At the beginning of the Allegro, G is heard as the main top-voice note. It is also in the small octave. The low register of the beginning of the Allegro and the pianissimo dynamic create suspense and an impression that the resolution of the introduction's tensions is not yet complete: even though the beginning of the Allegro resolves the voice-leading tensions of the introduction—the dominant moves to tonic—one still awaits a fuller resolution of the dramatic expectations.

The music attains in m. 65 a dominant chord that is heard above a tonic pedal. The top voice begins gradually to ascend until it reaches, in m. 80, an F in the three-line octave. F is now heard in the register in which all the main top-voice events of the introduction took place. The high F of m. 80 is associated with the F of the introduction even though there is no voice-leading connection between the two (see the asterisks in Ex. 5.9): since the passing F is resolved at the beginning of the Allegro to E in a low register and in pianissimo dynamic, the resolution is undermined. In m. 86 G is superimposed above F in the three-line octave. Hence both the G that has been prolonged from the beginning of the overture and the F that is associated with the passing F of the introduction are now heard in the register in which they were emphasized before the beginning of the Allegro. In m. 89 F is resolved to E, now in the three-line octave and in fortissimo dynamic. The tonic chord of m. 89 is to be understood, in my view, as the first structural downbeat of the Allegro. Its first twenty-two measures have an

anticipatory character. They sound like an expanded upbeat leading to the downbeat of m. 89, an impression underlined by the gradual ascent of the top voice and the crescendo from pianissimo to fortissimo.

EXAMPLE 5.10. *Leonore 2*, G–F♯ motive in mm. 3–6 and mm. 126–129

a)



b) ³



c) 126



Once the powerful tonic chord has been heard in m. 89 it is prolonged in a rather straightforward manner all the way to m. 118 where it is heard, after the dominant of the preceding measure, in a $\frac{6}{4}$ position instead of the expected $\frac{5}{3}$ position. (The chord of m. 118 is a consonant $\frac{6}{4}$ chord, i.e., a true inversion of the tonic chord.) Beethoven probably chose the $\frac{6}{4}$ position for motivic reasons. In m. 128 the music reaches an F♯-major chord. At the beginning of m. 128 there is, however, only an octave F♯ to which all the voices proceed in unison from the octave G of the preceding measure (Ex. 5.10c). This unison progression G–F♯ recalls the very opening of the overture (Ex. 5.10b).⁵ The similarity between the two passages extends to the sighing figures following the attainment of the F♯-major chords: in the introduction they are created by a short crescendo followed by a short diminuendo (Ex. 5.10b) and in the Allegro by a piano followed by a forte emphasizing the D–C♯ appoggiatura (Ex. 5.10c).

⁵ Michael Broyles also has noted this association: see Broyles 1987, 136.

EXAMPLE 5.11. *Leonore 2*, mm. 57–154, voice-leading sketch

57 135 138 57 128 135 138 141 142 146 154

a) b) c)

57 118 128 134 138 141 143 146 154

The $F\sharp$ -major chord of m. 128 initiates the modulation that leads to E major, the secondary key area of the exposition. The modulatory process is rather complex. $F\sharp$ of the bass (m. 118) begins a chromatic descent that starts, basically, from an inner-voice G (Exs. 5.11b and 5.11c). In m. 135 C is regained in the bass, now supporting an augmented sixth chord. As Ex. 5.11a indicates, this chord leads, at deep structural levels, to a dominant of E major. The C of m. 135, the bass note of the augmented sixth chord, is not emphasized, however, on the musical surface. The bass line continues directly past it to an $A\sharp$ supporting diminished seventh chord (m. 136). The diminished seventh chord prolongs the augmented sixth chord with a chromaticized voice exchange, and it also retains the expectations, created by the augmented sixth chord, of a motion to a dominant of E major (Exs. 5.11b and 5.11c).

The dominant of E is reached in m. 138. The attainment is obscured, however, by the fact that the root of the chord, B, is not heard in the bass. Instead of it, the bass has an A, an inner-voice seventh of the chord (Ex. 5.11c). B is heard in the bass only after a quite chromatic passage, in m. 146, and V of E is heard with B both in the top voice and in the bass in m. 154, a few measures before the beginning of the second group (Ex. 5.11c).

EXAMPLE 5.12. *Leonore 2*, mm. 154–180, voice-leading sketch

138/154 158 176 180 138/154 158 164 176 180

a) b)

154 160 165 170

c)

E: V (I)

174 180

c) (cont.)

V² I⁶

The second group (mm. 158–244) divides into four subsections overlapping each other: the first spans mm. 158–180, the second mm. 180–210, the third mm. 210–228, and the fourth mm. 228–244. The organization of the second group is unusual (Ex. 5.1c). In the tonal design the E-major chord that opens the second group functions as a harmony that establishes the secondary key area. But in the voice-leading structure the resolution of the dominant of E

major, attained in m. 138, is delayed all the way to m. 210. The E-major chord that begins the first subsection of the second group (m. 158) is built on a neighbor-note E and therefore is not to be understood as a resolution of the preceding dominant. The second subsection begins with a first inversion of an E-major chord (m. 180). Hence there is again no deep-level resolution to a tonic of the secondary key. Only the third subsection begins with a structural E-major chord (m. 210) resolving the V of III \sharp that ended the first group. The fourth subsection expands the E-major chord of the preceding subsection, thus stabilizing the III \sharp and balancing the unsuccessful attempts of the first two subsections to arrive at a structurally emphatic E-major chord.

The first subsection of the second group prolongs at deep structural levels V of E major. As Ex. 5.12a indicates, in the uppermost voice there is a sixth-progression ascending from an inner-voice D \sharp to a top-voice B, and in the bass there is a passing motion from B via A to the G \sharp that begins the second subsection of the second group. The first subsection begins with the Florestan theme. Since the E-major chord of m. 158 is built on a neighbor note, the harmonic situation is unstable at the beginning of the first subsection (Ex. 5.12a). The harmonic instability may be interpreted as being mirrored in the use of the thematic material. The Florestan theme is now not heard in its entirety—i.e., in the form in which it occurred in the introduction—and therefore it does not consist of a closed harmonic progression. The end of the quotation that takes place in m. 162 coincides with the end of E major as the key governing at the surface level. The thematic material following m. 162 is, however, derived from the opening third of the Florestan theme (see the uppermost stave of Ex. 5.12c).

EXAMPLE 5.13. *Leonore 2*, mm. 138–228, voice-leading sketch

(138) 180 188 192 210 224 225 227 228

Mgd. V ⁸ ————— 7 I —————

Fgd. V ² — I ⁶ IV ⁶ V ⁷ I ————— IV V I

Ex. 5.13 shows the voice-leading structure of mm. 180–228, the last three subsections of the second group. When the music returns, in m. 192, to the dominant of E major that has

been prolonged at deep structural levels from m. 138 on, the top voice has descended from B to A, the seventh of the V of III \sharp . The structurally important III \sharp is finally attained in m. 210 after a long ascent from an inner-voice F \sharp to the G \sharp of m. 210 that resolves the seventh of the dominant chord. In the third subsection the top voice descends from G \sharp (m. 210) via F \sharp (m. 227) to E (m. 228).

EXAMPLE 5.14. *Leonore 2*, mm. 210–228, voice-leading sketch

The image shows a musical score for Example 5.14, which is a voice-leading sketch for measures 210 to 228 of *Leonore 2*. The score is written in E major and 3/4 time. It consists of a piano accompaniment and a vocal line. The piano part has a constant octave of 10 between the two hands. The vocal line starts on G# in m. 210 and descends to E in m. 228. A 'P' (piano) dynamic marking is present in m. 225, and an 'IN' (in) marking is present in m. 225. The score is divided into measures 210, 215, 220, and 225. Below the piano part, there is a voice-leading diagram showing the movement of the top voice from G# in m. 210 to E in m. 228, and the bottom voice from E in m. 210 to G# in m. 228.

In spite of the firm attainment of E-major harmony in m. 210, and its subsequent prolongation in the middleground, the musical surface of the third subsection is, again, rather unsettled: mm. 210–224 consist of quite chromatic music that obscures the key of E major (Ex. 5.14). In the middleground the E-major chord is prolonged in mm. 210–224 with a voice exchange (Exs. 5.13 and 5.14). The passing-tone F \sharp (m. 223) fills in, in the top voice, the third between G \sharp and E. This passage recalls mm. 137–138 where the dominant of E major was reached for the first time in the overture, and consequently the first step on the path leading to E major was taken (cf. Exs. 5.11c and 5.14). In m. 222 there is a diminished seventh chord above A \sharp that leads, in the next measure, to a dominant chord supporting the top-voice passing-tone F \sharp (Ex. 5.14). The root of the harmony has, however, been elided, and the bass moves directly from A \sharp to A. The progression is, thus, similar to that of mm. 137–138 (Ex. 5.11c). The similarity of the two passages is increased by the fact that in both of them the diminished seventh chord is attained via a voice exchange: in mm. 135–137 from an augmented sixth chord and in mm. 219–222 from a IV \flat . (An augmented sixth chord is heard also in m. 221 where it results from passing motions heard both in the top voice and in the bass.)

Let us in conclusion draw an overview of some features of the exposition before continuing to the development section. After the clear and straightforward prolongation of tonic

chord at the beginning of the Allegro, the music is almost constantly in a state of instability: the V of III[#] attained in m. 138 first has A, instead of B, in the bass; the III[#] that begins the second group is not a structurally stable chord; the Florestan theme that opens the second group is not heard in its entirety; and once the stable III[#] is finally reached in m. 210 the music proceeds immediately to a chromatic passage that obscures, in the foreground, the domination of III[#].

In spite of this instability, Beethoven does not allow obscurity to dominate. Each unsettled situation is followed by a passage that retrospectively balances the unrest and explains the unfolding of the music: the octave-B that halts the motion of music for almost two measures in mm. 154–155 clarifies the preceding harmonic situation; the long motion from an inner voice (mm. 192–209) that expands the V⁷ of III[#], together with the resolution to an E-major chord that takes place in m. 210, compensates the unsuccessful attempts of the beginning of the second group to attain a III[#]. The fourth subsection of the second group (mm. 228–244) expands III[#] and hence balances the instability that follows, in the foreground, the attainment of III[#] (m. 210). At the same time it gives III[#] the chance it has not yet had to occur emphatically also in the foreground. The instability of the music of the exposition is beautifully rounded off by the fact that the music quotes in mm. 222–223, right before the beginning of the stable fourth subsection, measures 137–138 that previously led the exposition into its unstable paths.

5.4 DEVELOPMENT SECTION AND CODA

When speaking about *Leonore 2* the term development section must be used in a somewhat free manner. As was already mentioned in section 5.1, the development of the overture has none of the voice-leading functions the corresponding sections ordinarily have in sonata-form movements. Yet the use of the term is, in my view, justified, as long as one bears in mind the unusual features of the music. The general character of the section beginning in m. 245 is clearly developmental: the music modulates frequently, uses thematic material derived from the exposition, and is often sequential. Furthermore, when the development section begins, one does not yet know that it is not going to unfold in an ordinary manner, i.e., lead to a dividing dominant and an interruption. That is to say, in spite of the original features of the exposition, it would have been perfectly possible for Beethoven to compose a development section that would follow the archetypal voice-leading procedures of sonata form. It is only gradually that the unconventional features of the music begin to emerge, and consequently one becomes aware of the fact that the piece is not following the expected procedures of sonata form.

The development section divides into two large subsections (Ex. 5.1c). The first ends when the C-minor chord that closes the first large phase of the overture is reached in m. 382. The end of the second overlaps with the start of the coda: the Tempo I that begins in m. 433

prolongs the structural dominant attained three measures earlier and uses motivic material derived from the end of the Florestan theme (m. 430). Hence it is connected to the development section. But at the same time its thematic material and tempo associates it with the beginning of the Presto (mm. 443 ff.) that ends the deep-level voice-leading structure of the overture and begins the coda.

EXAMPLE 5.15. *Leonore 2*, mm. 244–260, voice-leading sketch

The musical score for Example 5.15 consists of two systems. The first system contains measures 244, 246, 252, 258, and 260. The second system contains measures 5 and 6. The top staff is in treble clef, and the bottom staff is in bass clef. The key signature has one sharp (F#). The music features complex voice-leading with various intervals and accidentals. A bracket spans measures 246-252, and another bracket spans measures 258-260. A third bracket spans measures 5-6. The bottom staff has a double bar line and a key signature change to one flat (Bb).

The development section begins with the Florestan theme heard twice: first in F major (mm. 246 ff.) and then in C minor (mm. 258 ff.) (see brackets in Ex. 5.15). Neither of the occurrences ends with a cadence nor has stable harmonic support. The F-major chord of the first has a purely contrapuntal function: the octave F–F is a consonant preparation for the diminished fifth B–F (m. 252). The C-minor chord of the second, in turn, results from a 5–6 progression above E. (When the C-minor chord is reached, E is transformed into E \flat ; see the lowest staff of Ex. 5.15.)

After the Florestan theme in C minor, a sequential passage begins that fleetingly tonicizes, with V⁷–I progressions, B \flat minor (m. 268), C minor (m. 272), and D major (m. 278). The voice-leading structure of the section is very unusual. Ex. 5.16a shows the fundamental voice leading without yet taking details of the top voice of mm. 264–273 into consideration. Basically, the C-minor chord of m. 260 is transformed, in m. 274, into a V⁵ of D with a 5–6 progression. The sixth of the 5–6 progression is arrived at via fourth-progression ascending from an inner-voice E \flat . Ex. 5.16b shows that the main top-voice notes of mm. 260–274 are E \flat , F, and G. What is unusual is the fact that the main top-voice notes of the sequential passage form dissonances with the basic bass notes (Ex. 5.16b). In other words, the local dominants are structurally primary elements, whereas the local tonics are secondary. (Ex. 5.16c shows a hypothetical voice-leading origin of the section in which the chords built on the

bass-notes F and G are consonant.) The D-major chord of m. 278 that ends the sequential passage is transformed, in m. 288, into a dominant of G major.

EXAMPLE 5.16. *Leonore 2*, mm. 244–290, voice-leading sketch

The G-major harmony reached in m. 290 forms the first goal of the music of the development section. It is prolonged all the way to m. 347 where its function has changed from a local tonic chord into a dominant of C minor (Ex. 5.1c). Its prolongation is exceptional. Mm. 290–338 consist of a sequential passage where more or less the same music is first heard in G major (mm. 294 ff.), then in B \flat major (mm. 310 ff.), and finally in D \flat major (mm. 327 ff.). The B \flat of the bass is the upper third of G, and D \flat its upper fifth. It is remarkable that both B \flat and D \flat are chromatically altered notes: B \flat results from mixture and D \flat is a dissonant diminished fifth above G. The deep-level dissonance of the diminished fifth is latent in the D \flat major section: as an upper fifth of the bass-note G, D \flat prolongs it and is hence to be understood as a dissonance in relation to it. The diminished fifth is foregrounded, as it were, in mm. 339–341 where a D \flat -major harmony is directly followed by a G-major chord. The G-

voice note D. G then descends to F when B \flat major is tonicized in m. 310. In mm. 320–321 the upper neighbor of F, G \flat , is heard in the top voice as a seventh of the dominant of D \flat major. One expects G \flat to return to F in the top voice when the dominant is resolved to a D \flat -major chord. However, when a D \flat -major harmony is heard in m. 322 there is, in the top voice, an A \flat that has been superimposed above F. A \flat begins a top-voice arpeggiation A \flat (m. 322) – D \flat (m. 330) – F (m. 339). The consonant F of m. 339 is transformed in m. 340 into a dissonance, the seventh of the G-major chord that has been prolonged, at deep structural levels, from m. 290 on. When a C-minor chord is attained in m. 348, F descends to E \flat , the note that closes the long reaching-over G–F–E \flat .

Measures 290–348 are highly important for the organization of the overture. Prior to m. 290 there is nothing to show that the overture will not follow the procedures of sonata form. Therefore the G-major chord attained in m. 290 is, probably, first expected to be a structural dominant, in which case the III \sharp of the exposition would be a third divider. But when the sequential passage beginning in m. 290 reaches the D \flat -major chord (m. 322), the latent dissonance G–D \flat questions the stability of the G-major harmony prolonged at deep structural levels, and hence also lays doubt on its function as a structural dominant. When the G-major chord returns in m. 340 it has been transformed into V 7 of C minor, and the resolution to a C-minor chord (m. 348) shows, at the latest, that the expectation of the G-major harmony as a structural dominant was not a correct one. Hence mm. 290–348 gradually lead the music away from the paths of sonata form.

In the tonal design m. 348 begins a passage in which C minor governs as a key area. However, as Ex. 5.19 indicates, the C-minor chord of m. 348 is not yet the goal of the deep-level voice-leading structure. It results from a 5–6 progression above the E that ends the exposition and is, hence, an intermediate stage on the way to the conclusive C-minor chord of m. 348 that ends the first large phase of the overture (Ex. 5.1a). Also the musical surface conveys the intermediate character of the C-minor chord of m. 348. After m. 348 the music begins to make a cadential progression and moves via IV to V (m. 356). One expects a V–I motion that would close the cadential progression and strengthen the C-minor chord as a local tonic. V is not, however, resolved to I but goes, instead, to VI, an A \flat -major chord. Hence the expectation of a cadence is not fulfilled, which underlines the impression that the C-minor harmony of m. 348 is not a goal of motion at the deepest structural levels. As Ex. 5.19 indicates, the A \flat of the bass in m. 360 is part of an arpeggiation from the inner-voice C (m. 348) to F \sharp (m. 374). F \sharp functions as a passing tone filling in the third between the E that ends the exposition and the G of m. 376. The G of the bass then continues to C (m. 382) that ends the first large phase of the overture.

the music gradually modulates from E \flat major back to the tonic key C major. The dominant chord of C major is heard first, in m. 418, with the seventh in the bass and then, in m. 422, with the seventh, the $\hat{4}$ of the *Urlinie*, in the top voice (Ex. 5.20).

EXAMPLE 5.20. *Leonore 2*, mm. 390–443, voice-leading sketch

The musical score for Example 5.20 is presented in two systems. The first system covers measures 390 to 410. Above the staff, measure numbers 390, 396, 400, 406, and 410 are indicated. A fermata is placed over measure 396, with a $\hat{5}$ above it. The bottom staff shows harmonic analysis with Roman numerals I^{\flat} and $\flat III$ under measures 390 and 391 respectively. The second system covers measures 418 to 443. Measure numbers 418, 426, 430, and 443 are indicated above the staff. Above measure 426, there is a $\hat{4}$ above the top voice and a $\hat{3}$ above the bottom voice. Above measure 430, there is an IN above the top voice and a $\hat{2}$ above the bottom voice. Above measure 443, there is a $\hat{1}$ above the top voice. The bottom staff shows harmonic analysis with Roman numerals V , I^{\flat} , II^6 , V , and I under measures 418, 426, 430, 441, and 443 respectively.

At the beginning of the second subsection, mm. 426–443, the dominant chord attained in m. 418 is resolved to a tonic, and the top voice descends from $\hat{4}$ to $\hat{3}$ (Ex. 5.20). At the same time the tempo changes into Adagio. In m. 426 the Florestan theme is repeated once more. The theme is not heard, however, quite in its entirety, i.e., in the form in which it occurred in the introduction. The music halts at the last quarter of m. 430, at the moment the $\hat{2}$ of the *Urlinie* is reached. $\hat{2}$ is expanded and the $\hat{1}$ is attained only in m. 443 when the Presto begins. The expansion of $\hat{2}$ is important for the organization of the overture. As it is only in the second and much shorter phase of the overture that the descent of the *Urlinie* takes place, a direct and fast motion from $\hat{2}$ to $\hat{1}$, that would follow if the entire Florestan theme were heard, could sound unsatisfactory. A strong cadence is required to create the impression that the structural closure is, indeed, now at hand. The Presto that follows the concluding $\hat{1}$ consists mainly of cadential

harmonies emphasizing the tonic chord that closes the deep-level voice-leading structure of the overture.

5.5 PROGRAMMATIC ASPECTS

The highly unusual voice-leading structure and formal design of *Leonore 2* create a very dramatic and powerful effect but leave, at the same time, a slight impression of imbalance. This is principally due to the relative weight of the two phases of the piece. The I–III[#] motion of the exposition that strives toward an emphatic dominant, together with the arrival at the strong C-minor chord that closes the first phase in m. 382, creates expectations that something of the same level of magnitude should follow. Also, the principles of sonata form would suggest that there should be a recapitulation that would more or less repeat the material of the exposition. Neither of these expectations is fulfilled, however. Instead, the strong first phase is followed by a much weaker but structurally primary second. The latter phase does not, in my view, quite suffice to counterbalance the preceding music, nor does it fulfill the formal expectations created by the exposition.

The peculiarities of the overture invite the analyst to seek programmatic factors to explain the anomalies. The music is so original, even by Beethoven's standards, that it would seem probable that the program would have led him to abandon to such extent the conventions of his time.

I believe that the basic tensions of the libretto of *Fidelio*, the question of whether Florestan will be killed or rescued, can be interpreted as being mirrored in the deep-level voice-leading structure of *Leonore 2*—specifically, in its two large phases. The first phase ends in a C-minor chord, a minor-mode tonic, and the second in a C-major chord. Hence the overture lays, at deep structural levels, C minor and C major harmonies side by side. This juxtaposition may be interpreted as reflecting the basic tension of the libretto. The C-minor chord that ends the first phase could be seen as representing the threat of Florestan's death: it would seem to signal that Pizarro may be victorious and Florestan may die. And the C-major chord that is reached in the second large phase could be seen as representing the rescue of Florestan.

The C-minor harmony that is emphatically reached in m. 382—where it signals, as first seems, that Florestan is to die—is anticipated earlier in the development section; the threat of Florestan's death is becoming greater, as it were. A C-minor chord is first heard in m. 260 where it results from a local 5–6 progression above E (Ex. 5.1c). It is then heard in m. 348 where it is formed from a deep-level 5–6 progression above E (Ex. 5.1a). The C-minor chord of m. 348 initiates C minor as a key area that spans all the way to m. 390, thus including also the emphatic C-minor chord of m. 382. The fact that the common key area associates the C-minor chord of m. 348 with that of m. 382, even though there is no direct voice-leading

connection between the two chords, supports my programmatic reading of the role of C minor in the overture. That is to say, the increasing emphasis on C minor can be seen as mirroring the impression that the threat of Florestan's death is growing. It is as if the threat were acute when the C-minor chord is attained in m. 348, and when the C-minor harmony of m. 382 is heard all hope would seem to be gone.

The key of C minor, representing the threat of Florestan's death, is, however, relinquished almost immediately after the C-minor chord of m. 382 that ends the first of the overture's large phases has been heard. In the second phase the key of C major, representing the rescue, is gradually stabilized. The E \flat major that opens the latter phase functions as a kind of mediator between the preceding threat of death (C minor) and the forthcoming rescue (C major). That is to say, even though the music leaves the key of C minor—the immediate menace seems to be gone—the important pitch class E \flat remains: the dangers are not yet over.

The events of the foreground that follow the emphatic C-minor chord of m. 382 support the programmatic interpretation suggested above. In the libretto of *Fidelio* a trumpet call announces the arrival of Don Fernando and hence brings a hope of Florestan's rescue. However, in the first version of *Fidelio*, for which *Leonore 2* was composed, the threat of Florestan's death is not yet completely over when the trumpet fanfare is heard.⁷ Therefore Florestan and Leonore first prepare to die together. Only when Don Fernando's soldiers descend to the dungeon it becomes evident that Florestan is, indeed, safe. The situation is rather similar in *Leonore 2*. The trumpet call, a quotation from *Fidelio*, that opens the second phase shifts music away from the key of C minor that ends the first phase, representing the threat of death.⁸ The character of the music following the first fanfare (mm. 398–406) is restless, a feature that results from the tonal mixture, on the one hand, and from the fragmentary character of the thematic material, on the other. It is as if the music could not settle as one does not yet know whether the trumpet call does, indeed, bring rescue for Florestan. The character of the music following the second fanfare (mm. 412–425) creates first an impression of expectation: the rhythmic pace of music is slow and the goal of the harmonies is not clear at first. After the initial uncertainty, the dominant of C major emerges gradually: first, in m. 418, as a V² and finally, in m. 422, as a V⁷ with the seventh F in the top voice. The tensions seem to be over and the music reaches, in m. 427, a stable C-major chord representing Florestan's rescue.

⁷ See chapter 4.

⁸ The programmatic role of the trumpet call and the music following it—as well as that of the fanfare of *Leonore 3*—has been noted by many writers: see, for example, Bekker 1925, 239; Braunstein 1927, 143; Osthoff 1969, 16–17; Riezler 1951, 188–189; and Steinbeck 1973, 21 and 86.

EXAMPLE 5.21. *Leonore 2*, rhythmic figure derived from the trumpet call

Un poco sostenuto

392 406 412

trumpet

E ♭: I

414

horns

C: V. 2

422 Adagio

timpani etc.

v⁷ I

The rhythmic design of the music underlines the programmatic impression created by the tonal and thematic features of the second large phase of the overture. In the passage following the second trumpet call (mm. 412 ff.) a rhythmic figure derived from the beginning of the fanfare alternates with long chords that gradually stabilize the dominant harmony (see Ex. 5.21; brackets show the occurrences of the rhythmic figure). In mm. 413–425 the figure is first played by bassoons and then by horns. In mm. 426–427, where the dominant is resolved to the tonic, it is played by timpani that then repeat it in mm. 427–430. Hence this rhythmic figure leads the music from the awakening of hope of rescue—the trumpet call—via the growing hope—the gradual stabilization of the dominant of C major—to the actual rescue—the attainment of the C-major chord in m. 427.

The way the Florestan theme is used in the overture supports the above-described programmatic organization of the music. The aria of *Fidelio* which the Florestan theme quotes

is at the beginning of the second act—or the third act of the 1805 version for which *Leonore 2* was composed. So far Florestan has only been talked about in the opera, and now he is seen for the first time on stage. Florestan is fettered in a dungeon where he laments his fate and recalls happier times. The fact that Beethoven chose to quote in the overture this aria, in which the opera foregrounds, as it were, the question of Florestan's fate, suggests a fairly direct association between the overture and the tensions of the opera.⁹

The Florestan theme is heard five times in the overture (mm. 10 ff., mm. 156 ff., mm. 246 ff., mm. 258 ff., and mm. 426 ff.). Of the occurrences only the last has stable harmonic support. The first (mm. 10 ff.) is heard in the introduction in an unstable A \flat major (Exs. 5.2 and 5.3). (Incidentally, in spite of its instability, the key of A \flat major plays a quite important role: since the aria which Florestan theme quotes is in A \flat major also in the opera, the key draws a direct association between the overture and *Fidelio*.¹⁰) The instability created by the Florestan theme is further increased by the fact that it is followed by a highly complex and chromatic passage (mm. 16–33) in which the opening third of the theme is heard as a prominent motivic element. The instability of mm. 16–33 could be seen to imply that in the same way as the motivic third is heard in unstable harmonic situations, the fate of Florestan, too, is still open (see the brackets in Exs. 5.5b and 5.6c).

The second Florestan theme opens the second group (mm. 156 ff.). The theme has, again, no stable harmonic support. The E-major chord of m. 158 is built on a neighbor note and therefore the beginning of the second group takes place within a prolonged V of E major (Ex. 5.1c). Also this quotation of the aria is followed by a chromatic passage that uses motivic material derived from the opening third of the theme (Ex. 5.12c). Hence the music following the actual quotation creates here programmatic implications similar to those created by the music following the Florestan theme of the introduction.

The Florestan theme is then heard twice at the beginning of the development section (mm. 246 ff. and mm. 258 ff.). The occurrence beginning in m. 246 is in F major. The F-major chord that supports it has a strictly contrapuntal function: the octave F–F is a consonant preparation for the diminished fifth B–F (m. 252) (Ex. 5.15). Therefore the F-major chord should not be understood as a stable harmony. The Florestan theme beginning in m. 258 is in C minor. The C-minor chord results from a 5–6 progression above E and hence it is not a

⁹ The role that the Florestan theme plays in the overture—as well as the one it plays in *Leonore 1* and in *Leonore 3*—has been discussed by numerous writers: see, for example, Braunstein 1927, 66 ff.; Bekker 1925, 234–239; Broyles 1987, 135–141; Fiske 1970, 48–53; Mies 1985, 154; Osthoff 1969, 14–16; Riezler 1951, 313; Steinbeck 1973, 20–23 and 84–86; and Tovey 1981, 132–141. All these scholars agree that the theme has a programmatic role of some sort—or that it at least refers to the events of the opera—but their interpretations of how the programmatic ideas are actually carried out in the overtures differ from each other, as well as from the readings I am proposing in this study.

¹⁰ Patrick McCreless interprets the A \flat -major chord as a kind of motivic harmony that intimately connects the Florestan theme of mm. 10–15 and the one heard in the opera together. (McCreless speaks about *Leonore 3*, but I believe his comments can be extended to cover also *Leonore 2*.) Therefore he considers the Florestan theme of the introduction as more fundamental than its later occurrences. (McCreless 1990, 135–138.)

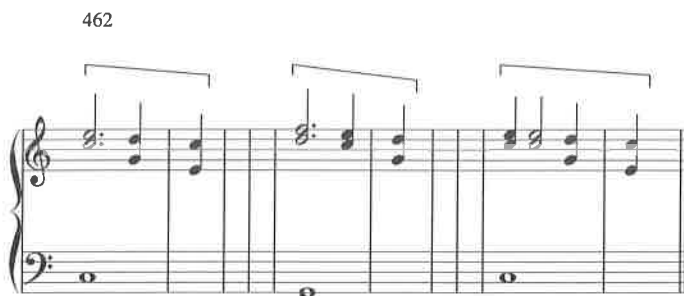
stable harmony (Ex. 5.15). (Incidentally, it is worth noting that the C-minor chord of m. 260 that supports the Florestan theme is the first of the three important C-minor chords of the development section that were discussed earlier. Hence the programmatic aspects of the foreground design and the deep-level voice-leading structure meet each other here.)

The last Florestan theme is heard in mm. 426 ff. The theme is in C major and now it has, finally, a stable chord as harmonic support. This occurrence has a paramount role in the overture. It is heard at the moment when the C-major chord that I read as symbolizing Florestan's rescue is reached in the music. In other words, when the Florestan theme is heard for the last time in the overture, the surface design and rhythmic factors of the second large phase create an impression that Florestan's rescue has now been secured.

The degree of harmonic stability that supports the Florestan theme may be interpreted as reflecting the basic tensions of *Fidelio*. As long as Florestan's fate is open, his theme cannot have solid harmonic support. The first four occurrences are heard in unstable harmonic situations. The impression of instability is increased by the fact that each of the quotations of Florestan's aria is followed by chromatic and harmonically unstable music that does not confirm the key in which the previous quotation was heard. The last Florestan theme finally has stable harmonic support, a feature that underlines the impression, created by the overture's second phase, that all dangers are now over.

The reason why Beethoven has omitted the recapitulation from *Leonore 2* would now seem clear. The second phase of the overture is so openly programmatic and it leads so clearly to the solution of the narrative tensions of the libretto of *Fidelio* that a recapitulation would interfere with the logic of the overture: it would begin a new musical process and hence contradict the impression, created by the second phase of the overture, that the goal of the drama had already been attained.¹¹

EXAMPLE 5.22. *Leonore 2*, reference to the Florestan theme in mm. 462 ff.



The character of the concluding Presto would seem to celebrate the rescue of Florestan.

¹¹ For discussion on the effect that the omission of the recapitulation has for the programmatic quality of the overture, see Bekker 1925, 239; Braunstein 1927, 143; Deane 1973, 306; Mies 1985, 154; and Steinbeck 1973, 86. Michael Broyles has argued that the Florestan theme heard in the tonic key after the trumpet fanfare (mm. 426 ff.) substitutes, in some sense, the omitted recapitulation: see Broyles 1987, 138.

Even though there is no direct quotation of the Florestan theme in the Presto, the opening third of the theme functions as a prominent motivic factor in the thematic idea beginning in m. 462 (see brackets in Ex. 5.22).¹² This final reference to the Florestan theme could be interpreted as suggesting that it is precisely Florestan's rescue that is being celebrated in the jubilant Presto. This reading is supported by the way the opening third of the theme has been used earlier in the overture. Both in the introduction and at the beginning of the second group of the exposition the Florestan theme is followed by an unstable passage whose thematic material is derived from the opening third of the theme (see brackets in Exs. 5.5b and 5.6c). I have argued earlier that the use of the motivically important third underlines the fact that the Florestan theme is heard both in the introduction and at the beginning of the second group in an unstable harmonic situation, a feature that can, in turn, be interpreted as mirroring the impression that Florestan's fate is undecided. The harmonic support of the thematic idea which uses the opening third of the Florestan theme in the Presto (mm. 462 ff.) is very stable, consisting only of alternating tonic and dominant chords in the tonic key. Hence the motivically important descending third now strengthens, rather than questions the harmonic stability as it did earlier in the overture. Therefore it creates an impression that the Presto, indeed, does celebrate the rescue of Florestan.

The programmatic character of *Leonore 2* does not follow alone from the events of either the deep structural levels or the musical surface. Certain features of the latter—especially the trumpet fanfare, the Florestan theme, and the entire second large phase up to the beginning of the Presto—create quite distinct programmatic associations. These events occur at moments of crucial importance for the organization of the voice-leading structure of the deep structural levels: the trumpet fanfare is heard straight after the C-minor chord that closes the first large phase is reached, and the process that leads to the attainment of a structural major-mode tonic chord (m. 427) in the second phase coincides with the programmatic elements of the musical surface that culminate in the Florestan theme in the tonic key (mm. 426 ff.). In this manner the musical surface implies the existence of programmatic associations also at deep structural levels. That is to say, since the programmatic elements of the foreground are heard at moments important for the organization of the deep levels, their extramusical implications are transferred, so to speak, from the surface also to the tonal unfolding of the remote levels. Therefore the programmatic character of the overture results, ultimately, from the interaction of the musical surface and the deep structural levels, not from one of them alone.

¹² Also Josef Braunstein notes this derivation: see Braunstein 1927, 147.

■ CHAPTER 6

LEONORE 3, OP. 72

6.1 FORM AND VOICE-LEADING STRUCTURE: AN OVERVIEW

A quite substantial part of the material of *Leonore 3*, written in 1806 to open the second version of *Fidelio*, is based on that of *Leonore 2*. The overall organization is very different in the two overtures, but there are passages that are all but identical in the pieces. Yet Beethoven did not just copy in *Leonore 3* the music of the earlier overture. Even in the sections that closely resemble each other, Beethoven made revisions throughout the new overture. At times the changes are rather drastic and they greatly affect the organization of the music.¹

Both the formal design and the deep-level voice-leading structure of *Leonore 3* are more conventional than those of its predecessor. The new overture is in a full sonata form whereas the earlier work has no recapitulation. And unlike that of *Leonore 2*, the voice-leading structure of *Leonore 3* is not uncommon in major-mode sonata-form pieces. The top-voice $\hat{2}$ of the interruption is an inner-voice note, and $\hat{5}$ is, in principle, prolonged all the way from the opening of the piece to the beginning of the recapitulation (Exs. 6.1a and 6.1b).²

¹ I shall not enumerate all the differences of *Leonore 2* and *Leonore 3* that take place on the musical surface. For a detailed discussion of the surface differences between the two overtures, see Braunstein 1927. For an overview of the differences, see Broyles 1987, 132–142; and Tovey 1981, 128–140.

² As in *Leonore 2*, it would also here be possible to read the $G\sharp$ of m. 168 as the raised $\hat{5}$ and the $G\sharp$ – $F\sharp$ – E descent of mm. 168–176 as the main top-voice motion of the exposition (cf. Ex. 6.1b). As a consequence, the E that closes the exposition would be the $\hat{3}$ of the *Urlinie* instead of an inner-voice note. (Schenker seems to read the top voice of the exposition of the first movement of Beethoven's Piano Sonata Op. 53 in this manner: see Schenker 1979, 137.) I find this interpretation problematic since the $\sharp\hat{4}$ would contradict the diatony of the background.

EXAMPLE 6.1. *Leonore 3*, an overview (continues on next page)

37 168 266 267 352 378 438 452 459 534

a)

31 37 110 168 176 236 252 266 267 330 352 378 394 438 452 459 534

b)

V I III \sharp V⁵—||⁷ I V I V I

Form: Intr. Exp. Dev. Recap. Coda

In *Leonore 3* the music of the introduction and the exposition follows rather closely that of *Leonore 2*: the thematic material and the voice-leading structure of the deep levels are almost identical in the two pieces. These two sections of *Leonore 3* are, however, shorter than those of the earlier work, and Beethoven has also simplified the most complex passages of *Leonore 2*.

The development sections differ greatly from each other in the two overtures. We saw in the preceding chapter that it is precisely in the development that *Leonore 2* abandons the procedures of an archetypal sonata form. The development section of *Leonore 3* follows the principles of sonata form, albeit at times in a somewhat original manner. It divides into three subsections. The first leads to the structural dominant reached in m. 267 (Ex. 6.1c). The second begins in B \flat major with a trumpet fanfare (m. 272), a quotation from *Fidelio* that is heard also in *Leonore 2*. After an excursion to the remote key of G \flat major, the second subsection modulates to G major. The G-major chord that opens the third subsection in m. 330

EXAMPLE 6.1. *Leonore 3*, an overview (cont.)

20 27 30 37 110 122 144 154 168 176 228 236 252 266

(5) 5
 (= 3)

c)

V⁸ — 7 I V / III[#] III[#]

Form: Introduction Exposition
 1st group 2nd group Development

267 272 300 318 330 352 378 394 406 428 438 452 459 468 481 534

c) 2) (cont.)

(II) 5 4 3 2 1

V⁵ — II⁻⁷ I V I V I

Recapitulation
 1st group 2nd group Coda

prolongs the structural dominant attained in m. 267. A seventh is added to the dominant and a tonic chord is heard at the beginning of the recapitulation, in m. 378.

The recapitulation repeats the music of the exposition with only minor changes: the first group is shorter than in the exposition and the second group is in the tonic key. The Presto that concludes the overture is based on the material of the Presto that ends *Leonore 2*.

Most of the revisions of *Leonore 3* would seem to aim at simplifying the most complex passages and features of its predecessor. In the new overture Beethoven has replaced the

highly unusual overarching formal and structural procedures of *Leonore 2* with more conventional ones. And as we shall see, the same tendency can be found in the revision of the more local levels. I am not suggesting, however, that Beethoven would have made artistic compromises for the sake of greater intelligibility. Rather, in my view the reforms lead to a more successful organization of the whole. They also remove the impression of slight imbalance in *Leonore 2* that was discussed in chapter 5.5. In short, if *Leonore 2* is with its anomalies a tremendously exciting experiment, *Leonore 3* is one of the masterpieces of Beethoven's middle period.

6.2 INTRODUCTION

The introduction of *Leonore 3* follows, in the middleground, rather closely that of *Leonore 2* (cf. Exs. 5.2 and 6.2).³ Both prolong the dominant chord with a passing seventh and tonicize, within this prolonged V, A \flat major, a chord built on the upper neighbor of G. And in both the top voice is governed by a fourth-progression, descending from the top-voice G to an inner-voice D, in which there is the problematic augmented second F \sharp –E \flat .

EXAMPLE 6.2. *Leonore 3*, introduction, voice-leading sketch

9 15 18 20 22 24 27 30 37

On the musical surface the introduction of *Leonore 3* follows the earlier overture up to m. 20, corresponding to m. 24 of *Leonore 2* (cf. Exs. 5.2 and 6.2). In *Leonore 3* the Florestan theme is heard in mm. 9 ff. Prior to it the only substantial alteration is the very opening of the overture: Beethoven has left out the third G–F–E that opens *Leonore 2*, there anticipating the opening third of the Florestan theme. The Florestan theme itself has undergone a few changes (cf. Exs. 5.4 and 6.3).⁴ It is one measure shorter in *Leonore 3* than in *Leonore 2*, a feature that

³ For a different interpretation of the introduction of *Leonore 3*, see Schenker 1979, Fig. 62.2.

⁴ For a slightly different reading of the Florestan theme heard in mm. 9 ff. of *Leonore 3*, see Schenker 1979,

affects its metric organization. Since the first two notes of the theme (C and B \flat) are best understood as an upbeat, the first downbeat of the theme takes place when A \flat is heard in the top voice (m. 10 in *Leonore 3* and m. 11 in *Leonore 2*). The omission of one measure leads from the five-measure phrase, subdivided 3+2, of *Leonore 2* into the four-measure phrase, subdivided 2+2, of *Leonore 3*.⁵

EXAMPLE 6.3. *Leonore 3*, mm. 9–13 (the Florestan theme), voice-leading sketch

The chromatic passage leading from the end of the Florestan theme to a B-major chord, reached in m. 24 of *Leonore 2* and m. 20 of *Leonore 3*, is two measures shorter in *Leonore 3* than in *Leonore 2* (cf. Exs. 5.5b and 6.4b). The voice-leading structure of the passages is, in principle, identical. The shorter version of the later work results from a foreshortening of two embellishing chromatic elements: in the bass both the chromatic passing tone G \flat (m. 17 in *Leonore 2* and m. 14 in *Leonore 3*) and the chromatic appoggiatura C \sharp (m. 21 in *Leonore 2* and m. 18 in *Leonore 3*) last a whole measure in *Leonore 2*, whereas in *Leonore 3* they last only a quarter-note. In the later overture the brevity of G \flat and C \sharp makes it easier to understand their embellishing character than it was in the earlier work.

Even though the thematic material of the measures leading from the B-major chord (m. 24 in *Leonore 2* and m. 20 in *Leonore 3*) to the tonicized A \flat -major chord (m. 36 in *Leonore 2* and m. 27 in *Leonore 3*) is somewhat similar in the two overtures, the voice-leading structure is different. The basic function of the two passages is similar: to fill in with a chromatic passing tone the augmented second F \sharp –E \flat , a problem inherent in the fourth-progression governing the course of the top voice of the introduction. As we saw in the preceding chapter, in *Leonore 2* mm. 24–36 consist of highly complex music in which the note that would fulfill the requirements of diatonic voice leading, F, is heard only as an embellishing element,

Fig. 109,a2.

⁵ The differences between the Florestan themes in the introductions of the two overtures do not result from differences found in Florestan's aria in the 1805 and the 1806 versions of *Fidelio*. The five-measure theme is heard in neither versions of the opera. See Braunstein 1927, 123–24.

EXAMPLE 6.4. *Leonore 3*, mm. 14–20, voice-leading sketch

13 15 18 20

a)

14 20

b)

EXAMPLE 6.5. *Leonore 3*, mm. 20–27, voice-leading sketch

20 22 24 27 20 24 27

a) b)

(susp.)

C# ? Db !
A# Bb

whereas its enharmonic equivalent, E \sharp , is present more emphatically as the top-voice note of a C \sharp -major chord (Ex. 5.6). The voice-leading structure of the corresponding passage of *Leonore 3* is more straightforward (Ex. 6.5a). The augmented second F \sharp –E \flat is filled in with an E \flat (m. 22), supported by an E-minor chord which is, in essence, in a $\frac{6}{4}$ position. In m. 24 the bass-note B moves to B \flat and in m. 26 the E of the top voice continues to E \flat . The chord of mm. 24 ff. is V $\frac{4}{3}$ of A \flat which is resolved to an A \flat -major chord in m. 27.

In spite of the voice-leading differences between the passages that lead in the two overtures from the B-major to the A \flat -major chord, their effect is rather similar. This impression of likeness results from two factors. First, Beethoven uses same thematic material, and the descending third motive, derived from the beginning of the Florestan theme, creates continuity in the music. And second, both of the sections include enharmonic ambiguity. In *Leonore 2* this ambiguity is left unresolved, so to speak: E \sharp is heard in the music more prominently than F in spite of the fact that F is the tone that would fulfill the requirements of diatonic voice leading. In *Leonore 3* the enharmonic ambiguity is resolved. In m. 24, when the bass descends to B \flat , E is still heard in the top voice as a suspension (Ex 6.5b). The E first creates, probably, an impression that the bass note is A \sharp , not B \flat , and that the inner-voice D \flat is C \sharp . A \sharp and C \sharp would be lower neighbors of B and D \sharp , and the chord of mm. 24–25 is therefore possibly first expected to be a neighboring harmony embellishing the B-major chord of m. 20. When E descends to E \flat in m. 26 the true function of the chord is revealed: it is a V $\frac{4}{3}$ of A \flat and the E of mm. 24–25 is, actually, to be understood as an F \flat . Hence the first impression of the chord of mm. 24–25 as a factor embellishing the B-major chord is superseded.

Mm. 20–27 are a beautiful example of the kind of revisions that Beethoven made in *Leonore 3*. He has kept both the thematic material and a prominent compositional idea—enharmonic ambiguity—of *Leonore 2*, but has replaced the very complex voice-leading structure of the earlier work with a more straightforward one. Hence the impression created by the two passages is similar but the actual music of *Leonore 3* is simpler than that of *Leonore 2*.

After the attainment of an A \flat -major chord (m. 27), the middleground voice-leading structure and the thematic material of *Leonore 3* are very close to those of the corresponding passage of *Leonore 2* (cf. Exs. 5.2 and 6.2). The deep-level passing seventh F is heard in *Leonore 3* first in the bass, in m. 30, from where it is transferred in the next measure to the top voice. Beethoven uses orchestration in a similar manner to *Leonore 2* to clarify the deep-level voice-leading structure of the introduction: the fourth-progression G–D that spans the first thirty measures of the work is unified by the fact that all its tones are played by the flute in the three-line octave.

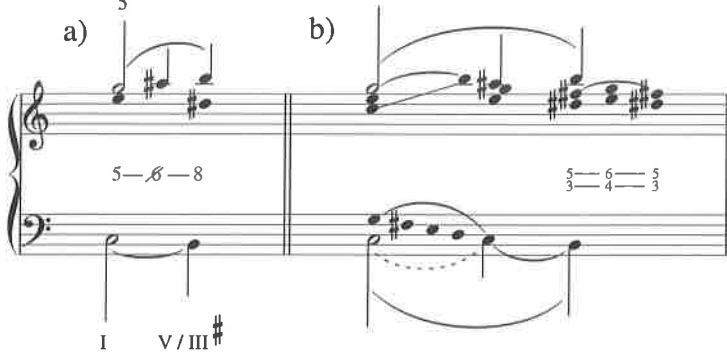
6.3 EXPOSITION

The exposition of *Leonore 3* is very similar to that of *Leonore 2*. Beethoven's revisions follow the same principles as those he made in the introduction: the exposition is shorter than in *Leonore 2* and the most complex passages of the earlier overture have been somewhat simplified.

In *Leonore 3* Beethoven connects the massive dominant prolongation of the introduction to the tonic chord that opens the Allegro with a device that is also found in *Leonore 2*. Even though the beginning of the Allegro resolves the voice-leading tensions of the introduction, it leaves the dramatic tensions at least partly unresolved. In m. 37 the low register and the pianissimo dynamic create an impression that it is not yet a structural downbeat. The gradual crescendo and the ascent of the top voice suggest that the tonic chord of m. 69 only functions as the first prominent downbeat of the Allegro. Hence the situation is similar to the corresponding passage of *Leonore 2*, shown in Ex. 5.9, but the registral difference between the introduction and Allegro is in *Leonore 3* an octave smaller than in the earlier overture.

EXAMPLE 6.6. *Leonore 3*, mm. 37–112, voice-leading sketch

37 109 110 37 102 109 110 112

a)  b) 

37 92 102 109 110 112

c) 

EXAMPLE 6.7. *Leonore 3*, mm. 110–144, voice-leading sketch

110/118 122 140 144 110/118 122 128 140 144

a) b)

118 122 125 130

c)

E: V (I)

135 140 144

c) (cont.)

V² I⁶

The modulatory passage leading from the tonic chord prolonged at the beginning of the Allegro to the V of III[#] is somewhat different in *Leonore 2* and *Leonore 3*. The basic voice-leading structure is similar in the two overtures (cf. Exs. 5.11a and b, and 6.6a and b) but the way the music unfolds on the surface is rather different. In *Leonore 2* the augmented sixth chord that is resolved, in the middleground, to the V of III[#] is given less weight on the musical surface than the diminished seventh chord on A[#] that is structurally subordinate to it. Furthermore, the V of III[#] is first heard with the seventh of the chord in the bass (Ex. 5.11c). In *Leonore 3* the situation is more straightforward. The augmented sixth chord leading to the V

of III \sharp is now given weight also on the musical surface, and it leads directly to the V of III \sharp , now heard in a root position (Ex. 6.6c). Also the prolongation of the V of III \sharp that precedes the second group is shorter and less complex in *Leonore 3* (cf. Exs. 5.11c and 6.6c).

Both the thematic material and the voice-leading structure are very similar in the second groups of *Leonore 2* and *Leonore 3* (cf. Exs. 5.1c and 6.1c). Both sections divide, furthermore, into four subsections. In *Leonore 3* the first subsection spans mm. 120–144, the second mm. 144–168, the third mm. 168–176, and the fourth mm. 176–187.

The middleground voice-leading structure of the first subsection is identical in the two pieces (cf. Exs. 5.12a and b, and 6.7a and b). The differences found on the musical surface have to do mainly with orchestration: the few minor changes Beethoven made in addition to these (cf., for example, the thematic contour and bass motion of mm. 128–137 in *Leonore 3* and mm. 164–173 in *Leonore 2*) do not fundamentally alter the course of the voice-leading structure (cf. Exs. 5.12c and 6.7c).

EXAMPLE 6.8. *Leonore 3*, mm. 110–176, voice-leading sketch

(110) 144 150 154 168 174 175 176

Mgd. V ⁸ ————— 7 I —————

Fgd. V — 2 I 6 IV 6 V 7 I II⁶ V⁷ I

Beethoven's use of dynamics creates a subtle difference to the manner in which the musical surface unfolds in the first three subsections of the second groups in the two overtures. The voice-leading structure of the first two subsections is almost identical in the pieces; the only notable difference is the fact that the long motion from an inner voice that prolongs the V⁷ of III \sharp begins in *Leonore 2* from F \sharp , whereas it is a bit shorter in *Leonore 3* and begins from A (cf. Exs. 5.13 and 6.8). But the use of dynamics is different in the two works. In the latter half of the first subsection of *Leonore 2* there is a crescendo (mm. 171 ff.) that leads to fortissimo (m. 174) slightly before the end of the subsection. The second subsection continues the high dynamic level, and right before its end there is *più forte* (m. 208) that leads, at the beginning of the third subsection (m. 210), into the dynamic marking *fff*. Hence Beethoven uses dynamics to emphasize the attainment of the structural III \sharp at the

beginning of the third subsection. The emphasis is somewhat diminished, however, by the fact that the difference between the *fff* of the beginning of the third subsection and the *ff* that precedes it is quite small.

Beethoven's use of dynamics is more effective in *Leonore 3*. The first subsection ends in pianissimo, a dynamic level that persists through most of the second subsection. The low dynamic level creates an impression of expectation and suspense: V of III \sharp is still being prolonged at the deep structural levels and one expects a resolution to a III \sharp . At the end of the second subsection there is a crescendo (mm. 162 ff.) that leads in m. 166 to *ff* emphasizing the attainment of III \sharp occurring two measures later.

EXAMPLE 6.9. *Leonore 3*, mm. 168–176, voice-leading sketch

As we saw in the preceding chapter, the music following the attainment of the structural III \sharp in *Leonore 2* (m. 210) is rather unstable on the surface (Ex. 5.14). In *Leonore 3* the passage that follows the arrival of III \sharp (m. 168) is more straightforward, and thus the III \sharp that is finally heard at the beginning of the third subsection is more firmly stabilized than in *Leonore 2* (Ex. 6.9). In *Leonore 3* Beethoven has omitted the chromatic sequence of the earlier work and therefore the governing of III \sharp is not obscured even on the musical surface. Also the rhythmic organization of the music is clearer in *Leonore 3*. In it the wind instruments play, in mm. 168–172, chords on the first and the third beats of the measure which helps one to maintain the basic organization of a bar into strong and weak beats in spite of the syncopes of the strings. In *Leonore 2* the wind instruments also play syncopes in mm. 210–225.

Let us have an overview of the differences between the expositions of *Leonore 2* and *Leonore 3* before continuing to the development section. In both pieces the music following the fairly straightforward prolongation of the tonic chord that opens the Allegro is quite complex. This is especially true in *Leonore 2* in which the complicated unfolding of the musical surface obscures three important deep-level events articulating the course of the music that follows the opening tonic—the attainment of V of III \sharp , the harmonic situation of the beginning of the

second group, and the reaching of the III \sharp .⁶ In *Leonore 3* only the second of these events—i.e., the harmonic situation of the beginning of the second group—has the same degree of instability that the corresponding passage has in *Leonore 2*. Therefore the character of the exposition is less unsettled in the later overture, a feature that makes this section, in my opinion, more effective in this work.

6.4 DEVELOPMENT SECTION

The development section divides into three subsections, though the exact location of both the beginning and the end of the first is somewhat indistinct. At the end of the exposition, in mm. 180 ff., the first violin plays a figure that basically breaks the E-major chord. In m. 188 the E-major chord is transformed into an E-minor chord, a change that is emphasized by the G \flat of the bassoon. M. 180 seems to belong still to the exposition but m. 188 is clearly already part of the development section. The situation is rather similar at the end of the first subsection. The goal of its music is the G-major chord reached in m. 267. Mm. 268–271 that follow the chord of m. 267 are somewhat ambiguous. As a gesture they seem to form an upbeat to the B \flat -major chord that begins the second subsection in m. 272. At the same time the weak C-minor harmony of mm. 268–270 seems to be associated with the strong G-major chord of m. 267. The second subsection of the development begins in m. 272 with the trumpet fanfare. The section ends in m. 330 when the opening theme of the Allegro, now heard in the dominant key, begins the third subsection which leads to the recapitulation that begins in m. 378.

In contrast to the introduction and the exposition of *Leonore 3*, in which both the surface design and the middleground voice-leading structure follow those of *Leonore 2*, the beginning of the development section introduces material not found in the earlier overture. The development begins with a sequential passage that has a strongly forward-moving character. The bass descends from an inner-voice B to an F \sharp (m. 228), the bass of an F \sharp -major seventh chord that functions, locally, as a dominant of B minor (Ex. 6.1c). In the top voice the E that was reached at the end of the exposition remains active through the sequential passage, and when the F \sharp -major seventh chord is arrived at in m. 228, the E functions as the seventh of the harmony. The B-minor chord heard in m. 236 is the first intermediate goal of the development section: the F \sharp of the bass is resolved to B and in the uppermost voice E descends to D. (The E–D motion does not occur, however, in the structural top voice. Rather, it initiates a fourth-progression that descends from the top-voice E to an inner-voice B in m. 267 [Ex. 6.10].) The

⁶ The three elements articulate somewhat different aspects of the unfolding of the music. The attainment of V of III \sharp and of III \sharp articulate the course of the voice-leading structure, whereas the beginning of the second group organizes formal design and tonal design. For a more detailed discussion on this aspect of the exposition, see chapter 5.3.

B minor of mm. 236 ff. does not possess the status of a stable key area, however. The bass-note B is an upper fifth of the E that ends the exposition. B continues, in m. 252, to C, and hence the bass forms a huge unfolded 5–6 progression above E (Ex. 6.1b).

EXAMPLE 6.10. *Leonore 3*, mm. 168–267, voice-leading sketch

(168) 236 239 252 265 266 267

(= 5 ————— 6)

III# V

The arrival of a C-minor chord in m. 252 begins a passage, extending all the way to m. 270, in which C minor is a fairly stable key area. As Ex. 6.10 indicates, the lowest voice ascends, in the middleground, first from the C of m. 252 to A \flat (m. 265). A \flat functions as a part of a descending arpeggiation from the C of m. 252 to an F \sharp (m. 266) that is a passing tone filling in the third between the E that ends the exposition and the structural dominant, G, heard in m. 267 (Ex. 6.10).

With the C-minor chord of m. 252 Beethoven returns, after the new thematic ideas of the beginning of the development section, to material that can be found already in *Leonore 2* (cf. mm. 360 ff. in *Leonore 2* and mm. 252 ff. in *Leonore 3*). Also the middleground voice-leading structure shows some striking hidden similarities between the development sections of the two overtures (cf. Exs. 5.19 and 6.10). In both works there is a C-minor chord (m. 348 in *Leonore 2* and m. 252 in *Leonore 3*), resulting from an unfolded 5–6 progression above the E ending the exposition, that begins a section in which C minor is a quite prominent key area. Furthermore, in both overtures the bass-note C of the C-minor chord begins a descending arpeggiation C–A \flat –F \sharp whose F \sharp is a passing tone filling in the third between the E of the exposition and a G, the root of an emphatic dominant chord. The situation is interesting. Even though Beethoven uses no thematic material taken from *Leonore 2* in the development section of *Leonore 3* prior to m. 252, he retains the large-scale middleground progression which he used in the earlier overture.

The prominent dominant chords that form the goal of the deep-level passing motion E–F \sharp –G, heard in the bass, act differently in the two pieces. As we saw in the preceding chapter, in *Leonore 2* the dominant is resolved in m. 382 to a minor-mode tonic chord that ends the first

large phase of the overture's voice-leading structure (Ex. 5.1a). In *Leonore 3* the G-major chord of m. 267 begins the prolongation of the structural dominant (Ex. 6.1c). Therefore the chord, initially understood as a dominant of C minor, is not immediately resolved to a minor-mode tonic harmony as one might expect from the manner in which the music arrives at it in the foreground. It is worth noting, however, that there is a C-minor chord in mm. 268–270. But the chord is not to be understood as a resolution of the dominant of the preceding measure. Ex. 6.11 shows that the C-minor chord has a primarily contrapuntal function. The bass ascends in mm. 267–272 from G to its lowered third B \flat via a passing note A supporting the neighbor-note E \flat in the top voice (Ex. 6.11a). The diminished fifth A–E \flat is prepared by a tenth C–E \flat , the C-minor chord of mm. 268–270 (Ex. 6.11b). Hence the C-minor chord functions as a consonant preparation of the following dissonance, not as a resolution of the preceding dominant.

EXAMPLE 6.11. *Leonore 3*, mm. 267–272, voice-leading sketch

The image contains two musical sketches, labeled 'a)' and 'b)', showing voice-leading in a piano accompaniment. Sketch 'a)' covers measures 267, 271, and 272. In measure 267, the bass line has a G note, and the top voice has a G note. In measure 271, the bass line has an A note, and the top voice has an E \flat note. In measure 272, the bass line has a B \flat note, and the top voice has an E \flat note. Sketch 'b)' covers measures 267, 268, 271, and 272. In measure 267, the bass line has a G note, and the top voice has a C note. In measure 268, the bass line has a C note, and the top voice has an E \flat note. In measure 271, the bass line has an A note, and the top voice has an E \flat note. In measure 272, the bass line has a B \flat note, and the top voice has an E \flat note. The interval between A and E \flat in measure 271 is labeled '10 \flat 5', indicating a diminished fifth.

The trumpet call that opens the second subsection cuts off the motion of the music in the same way it does in *Leonore 2*. The tonal situation in which it is heard is somewhat different, however, in the two overtures. In *Leonore 2* the music reaches, right before it, the C-minor chord that ends the first large phase of the overture's voice-leading structure. Hence it begins the second large phase of the overture and does not interrupt any expected voice-leading processes. In other words, even though the fanfare interrupts the dramatic course of the music in *Leonore 2*, it does not interfere with the immediate tonal aspirations of the piece. In *Leonore 3* the situation is different. The trumpet call is heard at a moment when one expects an immediate resolution to a C-minor chord. The call, which is in B \flat major, removes this expectation, however, and the G-major chord of m. 267 is understood, in retrospect, as the beginning of the prolongation of the structural dominant. Hence it does not occur in *Leonore 3* between two voice-leading processes as it does in *Leonore 2* but within a prolongation of the structural dominant. In other words, the fanfare removes the expectation of a resolution of the G-major chord of m. 267 to a minor-mode tonic chord, and therefore it changes the immediate tonal aspirations of the music.

The trumpet call begins the development's second subsection (mm. 272–330) whose

character is in a very sharp contrast to that of the preceding subsection: the music is quiet, slow, and calm in contrast to the preceding loud and forceful music. The second subsection consists of two cycles that are separated by a trumpet call heard in mm. 294–299. The first cycle (mm. 278–294) is in $B\flat$ major. The second (mm. 300–330) begins in $G\flat$ major and then modulates, at the very end of the cycle, to G major.

EXAMPLE 6.12. *Leonore 3*, mm. 267–330, voice-leading sketch

267 272 286 290 294 300 308 312 316 318 330

In the middleground the entire second subsection prolongs the structural dominant, reached in m. 267, with a descending fifth-progression D–G (Exs. 6.1b and 6.1c). Ex. 6.12 shows the foreground of the subsection. In the first cycle (mm. 278–294) the top voice descends from D to $B\flat$. The bass-note $B\flat$ is a third dividing the fifth from G (m. 267) to its dominant D (m. 318). The second cycle (mm. 300–330) begins, after the second trumpet call, unexpectedly in $G\flat$ major. The $G\flat$ -major chord results from a 5+6 progression above $B\flat$. The second cycle repeats in $G\flat$ major, and with only minor changes, the music of the first one all the way to the dominant chord (m. 312) which corresponds to the dominant heard in the first cycle in m. 290. The dominant of m. 312 is not resolved, however, to a tonic chord of $G\flat$ major. Instead, the music returns, in m. 316, to a $\frac{5}{4}$ chord, now with a lowered sixth $B\flat\flat$ instead of the diatonic $B\flat$. The $\frac{5}{4}$ chord of mm. 316–317 is then reinterpreted enharmonically (Ex. 6.12). The $D\flat$ of the bass is understood as $C\sharp$, an appoggiatura leading to the D heard in m. 318, and the $B\flat\flat$ of the top voice as $A\sharp$, an anticipation of the A of m. 318. The D-major chord of m. 318 is a dominant of G major, a function that becomes evident in m. 322 when the seventh is added to the chord. The top-voice A is, therefore, the second to the last note of the descending fifth-progression D–G that spans the second subsection.

The music arrives at a G-major chord in m. 330 when the third subsection (mm. 330–377) begins with the opening theme of the Allegro in G major. The chord that opens the third subsection prolongs the structural dominant reached in m. 267. This prolongation is highly

unusual. When first heard in m. 267, the G-major chord seems to require an immediate resolution to a C-minor chord. That is to say, the chord is, on the musical surface, a dominant of the minor-mode tonic key. In m. 330, when the third subsection begins, the G-major chord has been transformed, in the foreground, into a tonic chord of the dominant key. The process is exactly the opposite to procedures of an archetypal sonata form in which the structural dominant is first heard, in a local sense, as the tonic of a stable dominant key and only later transformed into the dominant of the home key.

EXAMPLE 6.13. *Leonore 3*, mm. 330–378, voice-leading sketch

330 347 352 370 378

1st theme 1st theme
Recap.

In the third subsection the G-major chord is transformed from a local tonic into a dominant chord of the home key, the function it initially had in m. 267. The F that signals, in m. 352, this change is first heard in a somewhat unsettled situation (Ex. 6.13). The role of the chord of m. 352 is at first not quite clear. Nothing before m. 352 implies that the music will modulate from G major to C major and that the function of the G-major chord will, consequently, change from a local tonic into a dominant. After m. 352 the new function of the G-major chord becomes gradually clearer, and the attainment of G in the bass (m. 370) makes the chord an unequivocal dominant.

6.5 RECAPITULATION AND CODA

The first group that opens the recapitulation is considerably shorter than that of the exposition. At the beginning of the recapitulation the tonic chord is heard only for eight measures, whereas it spanned in the exposition more than thirty measures. In m. 386, almost immediately after the beginning of the recapitulation, passing motions start that lead to a dominant chord, attained in m. 394, that ends the first group (Ex. 6.1c).

The second group repeats the corresponding section of the exposition, transposed to the tonic key, all the way to m. 459 where the music arrives at a dominant chord that supports the $\hat{2}$ of the *Urlinie*. If the recapitulation repeated also here the music of the exposition, the

dominant chord would be resolved immediately to a tonic chord and the top voice would reach the $\hat{1}$ that would end the *Uralinie*. However, the attainment of a C-major chord is postponed for a few measures to m. 468 where the Florestan theme is heard in C major. The C-major chord of m. 468 begins the coda.⁷

EXAMPLE 6.14. *Leonore 3*, mm. 459–534, voice-leading sketch

The musical score for Example 6.14 consists of two parts, a) and b), showing voice-leading sketches for measures 459–534. Part a) covers measures 459–468, showing a dominant chord (V) in measure 459 and a tonic chord (I) in measure 468. Part b) covers measures 481–534, showing a dominant chord (V) in measure 481, a tonic chord (I) in measure 491, and a final tonic chord (I) in measure 534. The sketches illustrate the chromatic descent of the bass line from C to G and the resolution of the top voice from C to B.

The C-major chord of m. 468 is not, however, a structural tonic chord but a harmony giving consonant support for a passing-tone C (Ex. 6.1c). Ex. 6.14 clarifies the situation. The bass descends chromatically from the C of m. 468 to G in m. 481. This G prolongs the dominant reached in m. 459. In the top voice the passing-tone C, heard at the beginning of the Florestan theme, descends to the leading-tone B when the dominant is regained in m. 481. The structural tonic chord and the $\hat{1}$ are attained only in m. 534 when the concluding Presto has already begun. The Presto that closes *Leonore 3* is based on the material of the concluding Presto of *Leonore 2*.

6.6 PROGRAMMATIC ASPECTS

We saw in the preceding chapter that the two large phases of *Leonore 2* may be interpreted as reflecting the basic tensions of the libretto of *Fidelio*. The first phase ends in a C-minor chord and the second in a C-major chord, and I suggested that this juxtaposition may be read as

⁷ In my view the coda starts already in m. 468 and not at the beginning of the concluding Presto. This reading is based on the fact that prior to m. 468 all the material of the exposition, except for the closing tonic of the second group, has been recapitulated, and the Florestan theme of mm. 468 ff. introduces music not heard at the end of the exposition.

mirroring the question of Florestan's fate. The C minor that ends the first large phase may be interpreted as reflecting the threat of Florestan's death, and the C major that gradually emerges during the second as first mirroring the hope of Florestan's rescue and then his liberation. But I also suggested that the juxtaposition of the phases caused some musical problems and that their relative weight left an overall impression of imbalance.

In my view C minor can be interpreted as reflecting the threat of Florestan's death and C major as his rescue also in *Leonore 3*. The programmatic associations of the later work are, however, far less obvious than those of *Leonore 2*. But at the same time it seems to succeed better in fusing the dramatic and programmatic features with the formal and structural unfolding of the music.

In the development section of *Leonore 3* the music tonicizes C minor in m. 252. The C-minor chord of m. 252 is not a structural chord, however, but a chord built on the unfolded upper sixth of the E that ends the exposition (Ex. 6.1b). In other words, in mm. 252 ff. C minor governs as a key area in the tonal design in spite of the fact that there is no structural tonic harmony. But the continuation of the music creates an expectation that there will be a C-minor chord that has the status of a stable *Stufe*: in m. 267 the music arrives at a strong dominant of C minor, and one expects an immediate resolution to a structurally emphatic C-minor chord. A resolution never takes place, however. Instead, the G-major chord of m. 267 begins the prolongation of the structural dominant that extends all the way to the end of the development section (Ex. 6.1b). Therefore, if we interpret C minor as representing the threat of Florestan's death, in the same manner we did when discussing *Leonore 2*, the expectation of a motion to a structural C-minor chord, that is created by the dominant chord of m. 267, makes the threat very concrete.

In m. 272 the trumpet call, in B \flat major, cuts off the motion of the music. Hence it is the factor that removes the expectation of a fast resolution to a C-minor chord. The programmatic associations of the fanfare are quite obvious. In *Fidelio* it is precisely the trumpet call, announcing the arrival of Don Fernando, that removes the immediate threat of Florestan's death. So in the opera it interrupts the plan to kill Florestan. Similarly, in *Leonore 3* the B \flat -major chord of the trumpet call interferes with the aspirations of the music to move to a minor-mode tonic chord, representing threat. In this manner the fanfare and its B \flat major remove the immediate threat of Florestan's death.⁸

The music that follows the trumpet call in *Leonore 3* is not as openly programmatic as the corresponding passage of the earlier overture. The reason for this would seem clear. In *Leonore 2* there is no recapitulation, and the second large phase of the overture, i.e., the music

⁸ The programmatic associations created by the trumpet call are more subtle in *Leonore 3* than in *Leonore 2*. In *Leonore 2* the fanfare is heard after the C-minor chord that ends the first large phase of the overture is reached, and therefore it does not interrupt any expected musical events. In *Leonore 3* the trumpet call removes the expected motion to a strong C-minor chord and therefore interrupts an expected tonal motion in the same manner that the trumpet call halts, in *Fidelio*, the plan to kill Florestan.

following the trumpet call, is directly followed by the coda. So the second large phase can be openly programmatic and lead to the resolution of the dramatic tensions of the music. In *Leonore 3* the situation is different. Since the overture has a recapitulation, the programmatic tensions cannot be as openly resolved in the development section as they are in *Leonore 2*. Hence the calmness of the second subsection that follows the preceding stormy music only refers in a very general sense to the dramatic events of *Fidelio*, to the fact that the trumpet call of m. 272 removes the acute threat of Florestan's death and brings hope of his rescue. This general impression is supported by a quotation from the opera. The thematic material that follows the trumpet call in the overture is from the passage in *Fidelio*, there heard between the two fanfares, in which Florestan and Leonore rejoice at the arrival of Don Fernando while Pizarro curses it.

Also the unusual prolongation of the structural dominant—the fact that the G-major chord is first heard, on the musical surface, as a dominant of C minor and only later transformed into a tonic of G major—may be seen as reflecting the programmatic tensions of the opera. When the structural dominant is first heard in m. 267 one expects a direct resolution to a C-minor chord, representing threat. Hence Florestan's danger is here very acute. The trumpet call, however, brings hope of rescue and the immediate threat seems to be gone. So when the structural dominant is heard again after the trumpet call, in m. 330, it has achieved the more stable status of a key.

At the beginning of the recapitulation Beethoven faces the problem of how to avoid the sense of a new beginning that a recapitulation usually signals. As we saw in the preceding chapter, it was probably the attempt to avoid this impression that led Beethoven to omit the recapitulation from *Leonore 2*. The omission led to a direct association between the trumpet fanfare—the signal that Don Fernando is arriving—and the Presto in which the actual rescue is celebrated. If *Leonore 3* is to associate with each other the trumpet call of the development section with the concluding Presto—which here also seems to celebrate the rescue—the course of the overture must, in some sense, embrace the recapitulation as a parenthetical event within the dramatic course of the overture. Otherwise the impression of a new beginning that the recapitulation would create would interfere with the dramatic unfolding of the piece.⁹

Beethoven's solution to this compositional problem is remarkable. The tonic chord that opens the recapitulation in m. 378 is very brief, only eight measures. In m. 386 passing motions begin that lead the music, in m. 394, to a very emphatic dominant chord (Ex. 6.1c). The brevity of the tonic chord that opens the recapitulation, together with the fact that it is surrounded by strong dominant harmonies, creates an impression that even though the tonic of

⁹ Several scholars have commented on the fact that the recapitulation follows the dramatic culmination of the development section that creates programmatic associations—the trumpet fanfare and the music following it—and dealt with the question of how the recapitulation affects the dramatic organization of the overture: see, for example, Braunstein 1927, 144; Hess 1962, 47; Mies 1985, 154; and Steinbeck 22.

the recapitulation. The emphasis placed on the dominant chord of m. 459 diminishes the stress on the tonic chord that precedes it in m. 452. The situation is similar to the beginning of the recapitulation. Even though the tonic chord of m. 452 is, in a voice-leading sense, a structural tonic, it is, in a dramatic sense, subordinate to the strong dominant chords that surround it (see the parentheses and the asterisks in Ex. 6.15). At the beginning of the coda (mm. 468 ff.) there is, again, a tonic chord. It is not, however, a structural harmony since it results from a consonant support given to a passing tone (Ex. 6.15).

There are four important C-major chords in the recapitulation and in the section of the coda that precedes the concluding Presto—in mm. 378 ff., mm. 406 ff., mm. 452 ff., and mm. 468 ff.—but none of them is emphasized in both the voice-leading structure and the dramatic unfolding of the music (Ex. 6.15). So the dramatic tensions of the development section, there having clear programmatic allusions, are still unresolved, as it were, when the concluding Presto begins. Only the tonic chord of m. 534 resolves all the tensions of the music, both tonal and dramatic. It is only here that the rescue of Florestan is celebrated. By avoiding in the recapitulation tonic chords that would be emphasized both in the tonal and the dramatic unfolding of the music, Beethoven manages to associate the programmatic tensions of the development section with the jubilant Presto, and hence avoids the danger that the recapitulation might interfere with the dramatic unfolding of the overture.¹⁰

Incidentally, the dramatic events of the development section and the music immediately preceding the Presto are associated on the musical surface as well. In m. 481, at the moment the music arrives at the dominant chord following the last occurrence of the Florestan theme, the timpani play a rhythmic figure derived from the trumpet call. As we saw in the preceding chapter, this idea plays a quite important role in the dramatic organization of *Leonore 2* (Ex. 7.21). When the figure is heard for the first time in *Leonore 3*, the trumpet call removes the expectation of an immediate resolution of the dominant chord of m. 267 into a minor-mode tonic chord. As we have seen, the dramatic tensions created by the dominant chord of m. 267 are still, in some sense, unresolved in m. 481 when the rhythmic figure returns. In this manner it associates the trumpet call which brings hope of rescue with the dominant chord of mm. 481 ff., that is resolved to the concluding tonic of m. 534 that celebrates the actual rescue.

The way the Florestan theme occurs in *Leonore 3* supports this programmatic interpretation in a remarkable manner. In the introduction and in the exposition the Florestan theme has a role similar to the one it plays in the corresponding sections of *Leonore 2*: it is heard first in the introduction in an unprepared A \flat major (mm. 9 ff.) and then at the beginning

¹⁰ In *Free Composition* Heinrich Schenker refers to Wagner, who objected to the recapitulation of *Leonore 3*, saying that it contradicted the events of the drama. Schenker opposes this view: "In music, the drama of the fundamental structure is the main event. Even though the story of *Leonore* provides opportunity for a music-drama, the prime concern of the music must be, not her experience, but first and foremost that purely musical motion whose ultimate aim is the unfolding of one chord..." (Schenker 1979, 137). The programmatic interpretation outlined above suggests that *Leonore 3* fuses in a remarkable manner Schenker's "drama of the fundamental structure" and "music-drama."

of the second group (mm. 120 ff.) in E major but with no stable harmonic support (cf. Exs. 5.12a and 6.7a). In the development section the Florestan theme is not heard at all. In the recapitulation and coda it occurs twice: first at the beginning of the second group (mm. 404 ff.) and then at the beginning of the coda (mm. 468 ff.). Both of these Florestan themes are in C major but neither of them has a stable tonic chord as harmonic support: in the first the C-major chord is a neighbor-note harmony, and in the second the C-major harmony is a consonant support given to a basically dissonant passing tone (Ex. 6.1c).

In my view the programmatic role that the Florestan theme plays in *Leonore 3* is as follows. In the introduction and exposition the theme is heard in fairly remote keys and with no stable harmonic support. This shows Florestan's danger in the same way that the corresponding occurrences of the theme do in *Leonore 2*. The dramatic turning-point of the overture is the trumpet call that announces the arrival of Don Fernando. The fanfare brings hope of rescue but not yet liberation. (As we saw in chapter 4, in the 1806 version of *Fidelio* Florestan is not freed immediately after the trumpet call.) Both of the Florestan themes that follow the trumpet call are in C major, the key that in the concluding Presto represents the celebration of freedom, but neither of the occurrences is supported by a chord that is a structurally stable tonic. Hence one may suggest that the two Florestan themes that follow the trumpet call represent the hope of rescue that the trumpet call announces: they anticipate, in a poetic rather than structural sense, the stable tonic chord that celebrates, in the jubilant Presto, Florestan's freedom.

Even though the Florestan theme is not heard in the concluding Presto, the thematic idea of mm. 554 ff. refers to the opening third of the Florestan theme in a similar way that the same figure does in mm. 462 ff. of *Leonore 2* (Ex. 5.22). The character of the theme underlines the impression that Florestan is now safe and all the dangers are over.

The programmatic character is created in *Leonore 3* by an interaction of deep structural levels and the musical surface in the same way as in *Leonore 2*: in both pieces the foreground draws extramusical associations at moments crucial for the unfolding of the deep structural levels. The programmatic features of the musical surface, however, organize the course of the music much less in the later piece. Yet the relation that the tensions of the opera have with the unfolding of the overture seems, in my view, more successful in it. When reflecting the events of *Fidelio*, *Leonore 2* abandons the principles of sonata form and shows a very unusual voice-leading structure. The piece follows the text in a remarkable manner but at the same time the anomalies lead to some musical problems. *Leonore 3*, in turn, combines programmatic features with a full sonata form and a more conventional voice-leading structure, and the piece has none of the musical problems of *Leonore 2*. The relation between the dramatic aspects of the music and its formal and structural unfolding is outstanding in it. The double role of the opening of the recapitulation as a beginning of a new formal section on the one hand, and as a part of an ongoing drama on the other, makes it possible for Beethoven to associate the trumpet call of

the development section with the jubilant Presto without abandoning the formal principles of sonata form or the voice-leading procedures common to it.

■ CHAPTER 7

LEONORE 1, OP. 138

7.1 THE DATE OF COMPOSITION

The date of composition of *Leonore* 1 has caused much controversy. The overture was not published or performed at a public concert in Beethoven's lifetime. It came to light only after the composer's death, when the publisher Tobias Haslinger purchased its score and a set of orchestral parts from Beethoven's *Nachlass*. The score that Haslinger received is not Beethoven's autograph, however, and it has no date of composition. The overture was published only in 1838, and therefore it has the high opus number 138.¹ The title page of the first print shows 1805 as the year of composition. 1805 is also given by Anton Schindler in his biography of Beethoven, first published in 1840. According to Schindler the overture was originally meant for the first version of *Fidelio* but then set aside. "As soon as he had finished it [*Leonore* 1], the composer himself was dissatisfied with his work, and his friends were of the same opinion. The piece was played by a small orchestra at Prince Lichnowsky's, and was

¹ Scholars disagree about the year of first publication. Gustav Nottebohm and Josef Braunstein suggest that the work was published already in 1832 (see Nottebohm 1872, 62; and Braunstein 1927, 3), whereas Willy Hess and Alan Tyson speak for 1838 (see Hess 1953, 41; and Tyson 1975, 294). Tyson's study explains the reason for the controversy: the orchestral parts and the score were engraved already in 1832, and the publisher announced that the work would be printed still in that year. However, the publication was then delayed until 1838 (ibid., 296).

pronounced inadequate as an introduction to the opera."² Schindler suggests, thus, that *Leonore 1* is the first of the four overtures Beethoven wrote to *Fidelio*.

The year 1805 was questioned by Gustav Nottebohm in his *Beethoveniana*, published in 1872.³ Nottebohm argues that the overture was composed in 1807 for a performance of *Fidelio* that was planned to take place in Prague but that never materialized.⁴ He bases his arguments above all on Beethoven's sketches. Numerous drafts for *Leonore 1* are found in the same series of sketches that contain some preliminary work on the second and the third movements of the Fifth Symphony and the first movement of the Cello Sonata Op. 69. Nottebohm argues that since the Fifth Symphony was composed in 1807–08 and the Cello Sonata was finished in January 1808, *Leonore 1* must have been written in 1807.

The controversy of the date of composition continued after the publication of Nottebohm's *Beethoveniana*. Josef Braunstein, for example, devotes the first fifty-odd pages of his book *Beethovens Leonore-Ouvertüren*, published in 1927, to refuting 1807 and to reinterpreting the sketches that Nottebohm had dealt with.⁵ Alan Tyson, in turn, has convincingly defended 1807.⁶ He bases his arguments on the manuscript papers that Beethoven used in the sketches for *Leonore 1*, and especially on their watermarks. Tyson says that Beethoven always used similar manuscript paper for only a relatively short period of time and that one can, therefore, base the dating of the sketches on the kind of paper that he used. Tyson suggests that *Leonore 1* was begun in the fall of 1806 and completed in 1807. Hence his arguments support Nottebohm's interpretation and confirm the claim that *Leonore 1* was the third of the overtures Beethoven wrote for *Fidelio*. Since Tyson's study was published in 1975, 1807 has generally been accepted as the year of composition.

7.2 FORM AND VOICE-LEADING STRUCTURE: AN OVERVIEW

Leonore 1 is in an original and unusual sonata form. The overture begins, like its two predecessors, with a long introduction that prolongs the dominant chord with a deep-level passing seventh (Ex. 7.1). The organization of the exposition is unusual. The music reaches a strong II[#] in m. 94. In Classical sonata-form expositions a II[#] is often resolved more or less directly to V, and the second group begins when the V is attained. This also happens at the

² Schindler 1966, 127–28.

³ Nottebohm 1872, 60–78. The chapter on *Leonore 1*, "Die Ouverture Op. 138," is a revision of an article published, in 1870, in the *Allgemeine musikalische Zeitung*.

⁴ This view was expressed before Nottebohm by Ignaz von Seyfried in his *Ludwig van Beethoven's Studien im Generalbasse, Contrapuncte und in der Compositions-Lehre*, published in 1832.

⁵ Braunstein 1927, 1–56.

⁶ Tyson 1975. Tyson's article also contains a detailed discussion on the history of the controversy of the overture's dating.

EXAMPLE 7.1. *Leonore 1*, an overview

57 94 142 181 196 212 228 282 330 334

a)

V I II# V 5 7 I (V I) V I

8—8—8

27 33 40 57 94 118 132 142 179 181 193 196 198

b)

(aux. cad.)

V 8—7 I II# V bIII P V II

Form: Intr. Exp. 1st group 2nd group Dev. / Middle section

212 228 250 270 281 282 306 330 334

b)

(cont.)

(rg.-ov.)

I V I V I

Recap. 1st group 2nd group

deep middleground-level in *Leonore* 1 (Ex. 7.1a). The more local levels greatly obscure this progression, however. Beginning in m. 104, the prolonged II[#] is tinged with shades of G minor, and in mm. 116–118 the music briefly tonicizes, rather abruptly, B_b major. B_b major is not to be understood as a stable key area, however, but rather as a passing event that leads, in m. 132, back to the II[#], now in a $\frac{4}{3}$ position with an A in the bass. In m. 142 the bass-note A descends to G. The goal of the music, the dominant, is now finally reached and the second group begins.⁷ Ex. 7.1b shows the voice-leading origin of mm. 94–142, the measures that contain the deep-level chord progression II[#]–V. In the lowest voice the descending fifth D–G is filled in with passing tones. In a voice-leading sense the unexpected B_b-major chord of m. 118 is, hence, a chord built on a passing B_b. The descending fifth-progression explains, also, why the II[#] regained in m. 132 is in a $\frac{4}{3}$ position.

The exposition as a whole leaves a strangely unbalanced impression. The long and unusual prolongation of II[#] would seem to create expectations of an emphatically confirmed V that would balance the instability of the end of the first group. The second group (mm. 142–78) does not, however, quite fulfill these expectations. Mm. 142–178 consist of two large phrases. At the end of the first, mm. 169–170, there is a V–I cadence, with a D–G leap in the bass. One would suppose the second phrase then to confirm and strengthen the dominant. This is not what happens, however. In mm. 170–78 the music just fades away and one gets an impression that its motion has stopped in the middle of a process, as it were.

After the music has faded away at the end of the exposition, two fortissimo gestures (mm. 179–180) lead, in m. 181, to E_b major and a new slower tempo, *Adagio*, *ma non troppo*. In mm. 181 ff. the Florestan theme is heard twice in E_b major. In m. 191 a sequential passage begins that leads to a dominant chord in m. 196. Tempo I returns in m. 205 and the recapitulation begins in m. 212 when a tonic chord is heard. The *Adagio* that follows the exposition has a kind of double function: it acts both as a slow middle section of a *da capo* overture and as a development section prolonging the structural dominant, reached in the exposition, to which a seventh is now added.⁸

The recapitulation follows the events of the exposition quite closely all the way to the end of the first group. In m. 228 the music arrives at a dominant chord that corresponds to the II[#] of m. 94. In the deep middleground the prolongation of this V is quite similar to the prolongation of the II[#] in the exposition (cf. mm. 94–141 and mm. 228–281 in Ex. 7.1b): in the lowest voice the descending fifth G–C is filled in with passing tones and E_b major is

⁷ In my view the large-scale harmonic progression I–II[#]–V organizes the music of the exposition so strongly that the second group—or, perhaps better, the second main section of the exposition—is best understood to begin in m. 142. This view is not shared by all commentators on the overture. Both Donald Francis Tovey and Josef Braunstein regard the thematic idea beginning in m. 96 as the beginning of the second group. Braunstein does specify, however, that the transition and the second theme are fused in the overture. See Tovey 1981, 141; and Braunstein 1927, 116–17.

⁸ See chapter 3.1 for a discussion on *da capo* overture.

fleetingly tonicized. The formal design of the recapitulation differs greatly, however, from that of the exposition. The beginning of the first phrase of the second group of the exposition has now been omitted. Instead, the large prolongation of the dominant (mm. 228–281) ends with thematic material (mm. 275–282) that closely resembles mm. 165–170 of the exposition. In the exposition mm. 165–170 lead to the second phrase of the second group in which, as we have seen, the music strangely fades away. In mm. 282 ff. the situation is exactly the opposite. The passage beginning in m. 282 consists of a rather Rossinian crescendo in which the tonic is very strongly emphasized. In a voice-leading sense, however, the music has not yet reached the structural closure (Ex. 7.1b): in mm. 228–281 there is a reaching-over in the top voice, and the *Kopfton* E is regained in m. 306. Only in m. 334 is there the structurally conclusive tonic chord.

7.3 INTRODUCTION

The deep-level voice-leading structure of the introduction is somewhat similar to that of *Leonore 2* and *Leonore 3* (cf. Exs. 5.1c, 6.1c, and 7.1b). In each a dominant chord is prolonged with a passing seventh. And further, before the seventh is reached, the top voice consists of a fourth-progression descending from G to D. Yet there is one crucial difference between the deep-level fourth-progressions of *Leonore 1* and its two predecessors. In *Leonore 1* the fourth-progression G–D is entirely diatonic. There is no F#, as there is in both of the earlier works, and hence the deep middleground has no need to fill in the augmented second F#–E♭. As we have seen in the two preceding chapters, the music that covers this augmented second in *Leonore 2* and *Leonore 3* is highly complex. The same degree of complexity cannot be found in the introduction of *Leonore 1*.

The introduction can be divided into four smaller sections that differ greatly from each other in general character. The first section (mm. 1–11) consists mainly of a single unaccompanied line moving quietly at a slow pace. The second section (mm. 12–26) forms a great contrast to the first: the music is now louder, faster, and more intense. The section consists of three large gestures (mm. 12–15, mm. 16–19, and mm. 20–26). At the beginning of the third section (mm. 27–37) the music briefly moves to C minor, in which a new thematic idea is heard, and in m. 33 it regains the dominant chord that has been prolonged, at deep structural levels, throughout the introduction. The fourth section (mm. 37–41) prepares the Allegro that begins in m. 42.

Ex. 7.2 is a voice-leading sketch of the introduction. The first two sections together (mm. 1–26) form one entity whose harmonic progression prolongs the G-major chord: each of the gestures of the second section support one chord, and the last of them brings the dominant chord back in m. 20, now with a seventh added to it (Ex. 7.2). The seventh is transferred, in

m. 26, to the top voice, and F descends to E \flat in m. 27 when the third section begins in C minor. The C-minor chord of mm. 27 ff. is not to be understood, however, as a structural minor-mode tonic harmony, i.e., as a resolution of the dominant prolonged in the first 26 measures. Rather, it is a consonant support given to a passing-tone E \flat , the third note of the descending fourth-progression G–D (Ex. 7.2a). In m. 33 the top voice arrives at D, the goal of the fourth-progression, and in m. 38, right after the beginning of the fourth section, the deep-level passing seventh is added to the dominant harmony.

EXAMPLE 7.2. *Leonore 1*, introduction, voice-leading sketch

Andante con moto Allegro con brio

12 16 20 26 27 33 38 57

a)

8 12 16 20 26 27 33 38 57

b)

v 8- -7 I

v (1b) v I

7.4 EXPOSITION

The dominant chord prolonged in the introduction is not immediately resolved to a tonic at the beginning of the Allegro: it prevails for another 15 measures, and the thematic idea of the first measures of the Allegro continues the thematic material that ends the introduction. The tonic chord is finally attained for the first time in m. 57. The dramatic idea here is, in principle, similar to the one we encountered in *Leonore 2* and *Leonore 3*: all the tensions of the introduction are not immediately resolved when the Allegro begins, and hence the music avoids a gap in its continuity that might follow if they were all resolved at once.

Mm. 57–96, the motion from the first tonic chord of the Allegro to a II^\sharp that prepares the secondary key area of the exposition, consist of two phrases. The first (mm. 57–80) moves from the tonic via an applied dominant (mm. 71–72) to a dividing dominant (mm. 73–80). The second repeats the music of the first, now more fully orchestrated, all the way to the attainment of the harmony that functioned as an applied dominant in the first phrase (mm. 94–95). Since the second phrase has so far repeated the music of the first, one probably expects here also a motion first to a dominant chord and then, perhaps, back to a tonic. But this expectation is not fulfilled. Instead of going to G as in the first phrase, the bass moves in m. 98 from F^\sharp , the third of a D chord, to D, its root. The D chord turns out to be the structural II^\sharp , but the fact that its prolongation begins already in m. 94 can be perceived only in retrospect. The kind of phenomenon encountered here will turn out to be characteristic of the continuation of the exposition: the voice-leading structure of the deep middleground is clear and logical—here the harmonic motion $\text{I}-\text{II}^\sharp$ that supports, in the top voice, a descent from E to D (Ex. 7.1)—but the foreground obscures the basic structure.

The way the II^\sharp is prolonged is a clear instance of this feature of the exposition. At deep levels there is a distinct $\text{II}^\sharp-\text{V}$ motion. At more local levels, the descending fifth D–G of the bass, supporting the harmonic progression $\text{II}^\sharp-\text{V}$, is filled in with passing tones (Ex. 7.1b). Within this passing motion, B_\flat major is briefly tonicized. The tonal organization of the exposition is unusual. The motion from I to II^\sharp —the part of the first group that ordinarily contains the actual modulatory process leading from the opening tonic to the dominant—is now very fleeting: so much so that the chord of m. 94 can only retrospectively be understood as the beginning of the prolongation of the structurally emphatic II^\sharp . The prolongation of the II^\sharp is, in turn, very complex and chromatic.

The way the musical surface unfolds further complicates the situation. Ex. 7.3b is a foreground sketch of mm. 94–142, the measures that contain the harmonic progression $\text{II}^\sharp-\text{V}$. If we follow the course of the top voice, we note that the D that governs it through mm. 94–142, at deep structural levels, is often implied rather than explicitly stated. When the prolongation of II^\sharp begins in m. 94, there is, in the flute part, a quite emphatic D. (The stress on it is diminished, however, by the A of the violins.) But as suggested earlier, in m. 94 one is

heard as the top-voice note of the important II[♯]. E_b is heard again in m. 117 as an upper neighbor of D. It functions now as the seventh of a dominant of B_b major. In m. 118, when the dominant of B_b major is resolved to a B_b-major chord, the motion from E_b to D is only implied in the uppermost voice. So there is, again, no explicitly stated D. E_b is heard once more in mm. 126–131, first as the top-voice note of a C-minor chord and then of a diminished seventh chord on F_♯. In m. 132 the bass arrives at an A—the penultimate note of the deep-level fifth-progression D–G—and at the same time E_b descends to D in the uppermost voice. In the foreground F_♯ is, however, superimposed above D (m. 132). When the structural V is reached in m. 142, a G is located, in the foreground, above the structurally primary D.

EXAMPLE 7.4. *Leonore* 1, mm. 142–170, voice-leading sketch

The image shows two musical sketches, (a) and (b), for the voice-leading structure of mm. 142–170. Above the staves, measure numbers are indicated: 142, 150, 162, 170 for sketch (a), and 142, 150, 156, 162, 169, 170 for sketch (b). Sketch (a) shows a top voice line with a structural 2-hat above it, and a bass line with a V chord. Sketch (b) shows a top voice line with a structural 5-4-3-2-1 progression above it, and a bass line with chords G: I, II 6, V 4-3, and I. The bass line in (b) has a 6/4 chord in m. 150 and a 3/5 chord in m. 169.

Once the G-major chord arrives in m. 142 the second group begins. The top voice of its first phrase (mm. 142–170) consists, in the middleground, of a fifth-progression that descends from D, the structural $\hat{2}$, to G (Ex. 7.1b). Hence the voice-leading structure of this passage is typical of second groups in major-mode sonata form. The way this fifth-progression is carried out in the foreground, however, is highly unusual. Ex. 7.4 shows the voice-leading structure of mm. 142–170. In m. 142 G has been superimposed above the structural top-voice note D. The G, first heard in mm. 142 ff. in the three-line octave, descends, in m. 150, to A (Ex. 7.4b). A is supported in the bass by C, and it continues, after a short delay, to a B supported by a cadential $\frac{6}{4}$ chord. The $\frac{6}{4}$ chord does not, in a strict sense, move to a $\frac{5}{3}$ chord. This resolution is to be understood in m. 169, however, where there is only a unison D. The implied top-voice note of m. 169, A, descends in m. 170 to G (Ex. 7.4b). It is noteworthy that only two of the notes of the fifth-progression D–G governing the top voice of mm. 142–170, B and G, are actually heard on the musical surface: the first note (D) is heard in an inner voice, the second note (C) is substituted for by an inner-voice passing tone A, and the fourth note (A) is only implied in m. 169 (Ex. 7.4b).

The interaction of the voice-leading structure, tonal design, and formal design creates an

unusual situation in the exposition. At the deep middleground level the voice-leading structure is very typical of major-mode sonata form: the basic harmonic progression is I–II[#]–V, and the top voice descends from $\hat{3}$ to a $\hat{2}$ which is prolonged with a descending fifth-progression (Ex. 7.1). The way this basic voice-leading scheme is carried out at more local structural levels is very complex, however (Exs. 7.3 and 7.4). Also the tonal design of the exposition is unusual. As we have seen, there is no actual modulatory process that would lead the music from the opening C major to the dominant of G major, the secondary key area of the exposition. The D chord of mm. 94 ff. is initially assumed to be an applied dominant, which is expected to continue to a local dominant chord, and it is only retrospectively understood as a structurally emphatic II[#]. Before this II[#] is resolved to a V, the music briefly tonicizes B \flat major, hence obscuring the organization of the exposition into key areas with distinct boundaries. In the formal design the second group is best understood, in my view, to begin in m. 142: the preceding music creates so strongly an impression of being in the middle of a tonal process that I cannot read a new large section to begin before m. 142. The organization of the formal design is, however, complicated by the fact that there is no actual thematic contrast in the exposition: the thematic material that prevails at the beginning of the second group is directly derived from the opening theme of the exposition.

All these features together create an expectation that the phrase beginning in m. 170, the second large phrase of the second group, should emphatically confirm and stabilize G major and the top-voice G. In this way it would balance the unsettled character of the preceding music. This expectation is reinforced by the fact that in sonata-form movements of the Classical era there is almost invariably some harmonic motion in the phrase, or phrases, following the first perfect cadence of the second group. Most often this motion ends with cadential progressions that confirm the secondary key of the movement.⁹ Beethoven, too, usually followed this practice. In each of the sonata-form first movements of his Symphonies, String Quartets, Piano Trios, Violin Sonatas, Cello Sonatas, and Piano Sonatas that were composed before *Leonore* 1 there is some harmonic activity in the passages of exposition that follow the first cadence of the second group.¹⁰

In *Leonore* 1 the second phrase of the second group (mm. 170–178) does not, however, emphatically confirm G major. In it the music becomes gradually quieter, and it contains no other harmonies but an expanded G-major chord. So there is no harmonic activity in the phrase, nor does it stabilize G major the way it would if it contained a V–I progression. It is as

⁹ William Rothstein has an illuminating discussion on this aspect of Classical expositions: see Rothstein 1989, 115–118. Many Classical theorists also mention that there are often new melodic ideas after the first cadence in the second group, or the second half of the movement's first part, according to their terminology. They say too that these melodic ideas close in the key in which the cadence was made. See, for example, Koch 1983, 199; and Reicha ca. 1833, 2: 298.

¹⁰ The only exception I have found is in the first movement of the Piano Sonata Op. 31/2 where the first clear cadence of the second group takes place only at the end of the exposition.

if the music just faded away and left the unsettled character of the preceding music unbalanced. In other words, the impression created by the end of the exposition is that something is left unsaid, that the dramatic unfolding of the music has been cut off in the middle. Ex. 7.5 shows a hypothetical version of the end of the second group in which two V–I progressions remove the impression that the exposition ends before the goal of the music has been reached.

EXAMPLE 7.5. *Leonore 1*, the end of the exposition rewritten

The image shows two musical staves for piano. The top staff is a hypothetical ending of the exposition, consisting of six measures. The first measure has a dynamic marking of *fp*, the second *p*, the third *p*, the fourth *p*, the fifth *dim.*, and the sixth *p*. The bottom staff is another hypothetical ending, also consisting of six measures. The first measure has a dynamic marking of *p*, the second *pp*, and the third *pp*. Both staves have a treble clef with a melodic line and a bass clef with a harmonic line. The first ending ends with a V⁷ chord, and the second ending ends with an I chord.

7.5 DEVELOPMENT/MIDDLE SECTION

The beginning of the development section strengthens the above-described impression created by the end of the exposition. After the pianissimo of m. 178, the fortissimo gestures of mm. 179–180 clearly denote the beginning of a new formal section which is relatively unrelated to the preceding music. In addition, the harmonic content of mm. 179–181 separates them from what was heard immediately before. Mm. 179–181 consist of an auxiliary cadence, IV–V–I in E_b major (Ex. 7.1b), which shows that something new is about to emerge: in a harmonic-linear sense, the fortissimo IV and V of mm. 179–180 look ahead to the forthcoming I of E_b major, not back to what has happened in the exposition. Furthermore, the new tempo (*Adagio, ma non troppo*) that begins in m. 181, together with the relatively remote key of E_b major, supports the impression that a new and quite independent section has begun.

After the beginning of the development section has been separated from the end of the

exposition by the auxiliary cadence of mm. 179–181, on the one hand, and the new tempo, character, and key of the music, on the other, the Florestan theme is heard in E_b major. It is played twice (mm. 181–186 and mm. 187–191): first with an accompaniment quite similar to the one it has in *Fidelio*—as well as in the introductions of *Leonore 2* and *Leonore 3*—and then with a more active accompaniment. After the second occurrence has ended in m. 191, a sequence begins that consists of passing motions, taking place both in the top voice and bass, that move from the E_b that closes the Florestan theme through an F (mm. 193–194) to G (mm. 196 ff.) (Ex. 7.6). The opening third of the Florestan theme plays an important role first in the sequence and then in the prolongation of the dominant starting in m. 196 (see brackets in Ex. 7.6).

EXAMPLE 7.6. *Leonore 1*, the development section, voice-leading sketch

The end of the development section closely resembles that of the introduction: in both, the seventh of the dominant chord is attained through an arpeggiation from an inner-voice B, and the arpeggiation arrives, initially, beyond the seventh, F, at the ninth, A. Also, the beginning of Tempo I, mm. 205–211 that precede the return of the tonic chord in m. 212, is quite similar to the first measures of the Allegro (mm. 42–57) that still prolong the dominant chord of the introduction.

7.6 RECAPITULATION AND CODA

At the beginning of the recapitulation the first phrase of the first group (mm. 212–228) moves from a tonic chord to a dominant. The dominant of mm. 228 ff. corresponds to the emphatic II^\sharp of the exposition (mm. 94–141), and the two chords are prolonged in the bass with passing tones filling in a descending fifth (cf. mm. 94–142 and mm. 228–282 in Ex. 7.1b). But the top

voice is different. In the exposition, D governs throughout the prolongation of II^\sharp . It anticipates the background $\hat{2}$ that is heard as the top-voice note of the structural dominant. In the recapitulation there is, in the top voice of mm. 228–306, a third progression G–F–E, a reaching over. The E that returns in m. 306 regains the $\hat{3}$ heard at the beginning of the recapitulation.

EXAMPLE 7.7. *Leonore* 1, mm. 212–306, voice-leading sketch

E_\flat major is briefly tonicized in m. 250, within the prolonged dominant chord of mm. 228–281, in the same way that B_\flat major is tonicized in m. 118 of the exposition. But the music following the E_\flat major differs from the corresponding passage of the exposition. Ex. 7.7 is a voice-leading sketch of mm. 212–306. The middleground voice-leading structure is quite similar in mm. 250–270, the measures that follow the tonicization of E_\flat major, and in mm. 118–132, the corresponding passage of the exposition (cf. Exs. 7.3a and 7.7a). The way the music unfolds in the foreground is different, however. In m. 262 the surface design changes. The new figuration first prolongs a diminished seventh chord on B (mm. 262–264) and then an F-minor chord (mm. 265–269). In m. 270 the music arrives at a G-major chord, V_4^6 , that is

built on a deep-level passing-tone D (Ex. 7.7). The F-minor chord that precedes this V^6_4 (mm. 265–269) is a passing event: it results from a passing-tone C that fills in the third B–D in the bass and stationary A_b and F in the upper voices (Ex. 7.7b). On the musical surface this passing function is somewhat obscured by the wide use of registers (Ex. 7.8). The top-voice note of the V^6_4 , G, is followed in m. 281 by an F, a passing tone that belongs to the large third-progression G–F–E that governs the uppermost voice of mm. 228–306 (Ex. 7.7). When the dominant that has been prolonged from m. 228 on moves to a tonic chord in m. 282, F is not immediately resolved to E in the top voice. Instead, there is an unfolding. The top-voice F leaps to an inner-voice B which continues, in m. 282, to an inner-voice C. E is heard in the top voice only in m. 306 (Ex. 7.7).

EXAMPLE 7.8. *Leonore 1*, mm. 259–270, the registers

Example 7.8 consists of two musical staves, labeled a) and b). Staff a) shows a single treble clef staff with a key signature of one flat (B-flat). It contains three measures of music, with measure numbers 259, 265, and 270 indicated below. The notes are mostly in the upper register, with some lower notes in the bass clef. Staff b) shows a grand staff with both treble and bass clefs. It also contains three measures of music, with measure numbers 259, 265, and 270 indicated below. This staff illustrates the wide register range, with notes spanning from the lower bass clef to the upper treble clef.

After m. 262 the course of the recapitulation differs greatly from that of the exposition. Let us first briefly recall how the earlier section unfolded, before continuing the discussion of the recapitulation (Ex. 7.3b). In the exposition the music proceeded in a straightforward manner from the diminished seventh chord on $F\sharp$ (m. 127) to a V^4_3 of G major (m. 132) and thence to the tonic chord of G major (m. 142) that begins the second group. The second group, then, consisted of two phrases, the second of which leaves a strange impression that the music fades away before the goal of its dramatic motion has been reached.

In the recapitulation the situation is different. The new surface design beginning in m. 262 postpones the resolution of the dominant prolonged at deep structural levels, and hence infuses tension and expectations into the music. In m. 275, a few measures after the V^6_4 has been arrived at in m. 270, the violins join in a unison passage that strongly resembles mm. 165–169, the measures that end the first phrase of the exposition's second group. In the recapitulation, the unison passage leads in m. 282 to a tonic chord that functions as a resolution of the dominant chord prolonged in mm. 228–281. The unison passage would seem to imply

that the first phrase of the second group has been omitted from the recapitulation: when referring to the end of the first phrase of the exposition's second group it suggests that the beginning of this phrase will not be heard in the recapitulation. And this is how it turns out.

The passage that begins in m. 282 is very different in character from mm. 170–178, the corresponding passage of the exposition. As we have seen, it is precisely in mm. 170–178 that the music just fades away. In the passage beginning in m. 282 the effect of the music is the reverse. Mm. 282–306 consist of an extended crescendo in which same musical idea—an alteration of tonic and dominant chords—is heard three times (mm. 282–290, mm. 290–298, and mm. 298–306), each time louder and more fully orchestrated. The effect would seem to be that the music now compensates, so to speak, for the end of the exposition, where the music left an impression that a certain dramatic process is left uncompleted. That is to say, since the unison texture of mm. 275–281 associates the passage beginning in m. 282 with mm. 170–178, the long crescendo of mm. 282–306 suggests that the music has now managed to finish the process that the exposition failed to complete.

EXAMPLE 7.9. *Leonore 1*, mm. 270–306, voice-leading sketch

Even though the passage beginning in m. 282 is important for the dramatic organization of the overture, it is not to be understood as the ultimate structural goal of the music. As Ex. 7.9 shows, the uppermost voice of mm. 281–306 consists of an unfolding F/B–C/E. Hence the C heard in the uppermost voice of m. 282 is, basically, an inner-voice note. This C is first prolonged, in mm. 282–306, with a neighbor-note D heard twice (Ex. 7.9). D occurs again in the uppermost voice in mm. 302–305 where it does not, however, function as a neighbor note but as a passing tone (Ex. 7.9). As a passing tone it moves forward to the top-voice E of m. 306, the last note of the unfolding shown in Ex. 7.9.

The large unfolding supports the forward-striving character of mm. 282–306. The long crescendo and the repetition of the same musical idea point forward. Similarly, the fact that the F of m. 281 has not yet been resolved in the top voice leads one to expect the final resolution in m. 306. Hence m. 306 functions both as the goal of the long crescendo and as a resolution of

voice-leading tensions. This twofold motion toward the C-major chord of m. 306 strengthens the idea, discussed above, that the forceful passage beginning in m. 282 functions as a compensation for the weak ending of the exposition.

The music following m. 306 consists, basically, of two large phrases. In the first (mm. 306–334) the *Uralinie* descends from the $\hat{3}$ regained in m. 306 via $\hat{2}$ (m. 330) to the final $\hat{1}$ (m. 334) (Ex. 7.1b). The second (mm. 334–365) basically just extends the tonic chord.

The formal design of the recapitulation is highly original. Neither the traditional terminology of sonata form nor the ideas of harmonic organization of form, prevailing in the Classical era, would seem to describe appropriately the unfolding of the music.¹¹ As we have seen, the first of the two phrases of the exposition's second group has been altogether omitted in the recapitulation, and the second receives a character opposite to the one it had in the exposition. Hence the recapitulation does not function as archetypal recapitulations do, i.e., merely repeat, more or less unchanged, the music of the exposition with those passages heard at the beginning of the movement in a non-tonic key now transposed to the tonic. Yet the similarity of the texture of mm. 165–170 of the exposition and mm. 275–282 of the recapitulation would seem to imply that mm. 170–178 and the passage beginning in m. 282 correspond, in some sense, to each other. Therefore I would like to call mm. 282–334 the second group, or the second main section of the recapitulation, and mm. 334–365, the passage following the attainment of the concluding $\hat{1}$, the coda. But more important than giving labels to the individual sections of the overture is understanding the dramatic organization of the music and its relation to the unusual formal design—i.e., grasping the idea, discussed above, that the second group of the recapitulation compensates, as it were, for the impression of an uncompleted process left by the end of the exposition.

7.7 PROGRAMMATIC ASPECTS

Leonore 1 is not as openly programmatic a piece as its two predecessors. As discussed in chapters 5 and 6, in both *Leonore 2* and *Leonore 3* the trumpet fanfare and the use of the Florestan theme would seem to reflect in a quite direct manner the events and tensions of *Fidelio*. The formal design and the deep-level voice-leading structure are also affected, especially in *Leonore 2*, by the programmatic factors. This is not quite the case in *Leonore 1*. The overture does quote the Florestan theme, but it is not used in the manner of *Leonore 2* and *Leonore 3*, i.e., throughout the overture to mirror the tensions of *Fidelio*. The trumpet fanfare is not heard at all in *Leonore 1*. Nevertheless, I do believe that programmatic factors have affected the compositional choices of *Leonore 1*. I believe, also, that the Florestan theme

¹¹ On the notion of harmonic organization of form prevailing in the Classical era, see, for example, Ratner 1949; and idem. 1980, 217–247.

creates extramusical associations in the overture, even though these are far less direct than in *Leonore 2* and *Leonore 3*.

The unusual formal design of the overture may be interpreted programmatically. As we have seen, at the end of the exposition (mm. 170–178) the music fades away and leaves an impression that a musical, or dramatic, process has not been completed. Hence the end of the exposition creates tension, expectation, and questions: is the subsequent overture going to compensate in some way for this sense of incompleteness? The development is a quite independent section in slow tempo. It is crucial for the programmatic character of the overture that the development section begins with the Florestan theme, whose opening third then forms an important motivic element in the entire development section. One may suggest, therefore, that the occurrence of the Florestan theme at this point in the overture implies that the question left unanswered, as it were, at the end of the exposition is precisely the question of Florestan's fate. That is to say, the Florestan theme that creates, on the musical surface, distinct programmatic implications is directly associated with the impression of incompleteness that the end of the exposition leaves.

In the recapitulation the passage that corresponds to the last phrase of the exposition (mm. 282–306) is very different in character. Mm. 282–306 consist of a long crescendo that leads, in m. 306, to a tonic chord whose top voice regains the $\hat{3}$. The crescendo compensates, in my view, for the impression of incompleteness created by the end of the exposition and therefore it, too, can be interpreted programmatically. Since the Florestan theme heard at the beginning of the development section can be seen as suggesting that the unanswered question is the question of Florestan's fate, we may interpret the extended crescendo as a resolution of that question. The section with the crescendo leads, then, to the jubilant passage that closes the background voice-leading structure of the overture, and the character of this passage shows that Florestan has been rescued, his life is saved.

The origin of the programmatic quality of *Leonore 1* is rather similar to that of its two predecessors. In all three pieces that quality results from the interaction of direct extramusical associations created by the musical surface and musical tensions appearing at deeper structural levels that do not by themselves refer to the events of *Fidelio*. So the distinctly programmatic details of the musical surface are, again, crucial to the programmatic nature of the overture as a whole.

■ CHAPTER 8

THE *CORIOLAN* OVERTURE, OP. 62

In 1807 Beethoven composed the *Coriolan* Overture for a play by Heinrich von Collin (1772–1811). The play was first performed in 1802 and was frequently presented between 1802 and 1805. Beethoven's overture was premièred in March, 1807, in a concert he gave in the palace of Prince Lobkowitz. The overture was presumably played only once—in April, 1807—in a performance of Collin's play.¹

8.1 FORM AND VOICE-LEADING STRUCTURE: AN OVERVIEW

The *Coriolan* Overture is a highly original composition. Its formal design, voice-leading structure, and tonal design all diverge from the procedures of an archetypal sonata-form movement. Ex. 8.1 shows an overview of the overture. In Ex. 8.1a it can be seen that there is no interruption in the voice-leading structure of the work as there usually is in sonata-form movements of the Classical era. After the structural dominant and the top-voice $\hat{2}$ are arrived at in m. 102, they are prolonged until the final tonic chord is reached. The prolongation consists in the top voice of a descending third-progression from D to B, the leading tone, and in the bass of a neighbor-note F that gives consonant support for the passing-tone C of the top voice.

¹ Alexander Wheelock Thayer has suggested that this performance was arranged specifically to bring together the play and the overture: see Thayer 1967, 416–417.

EXAMPLE 8.1. *Coriolan*, an overview (continues on next page)

52 78 102 126 206 230 296

11 46 52 75 78 102 122 126 136 144 152 178 202 206 230 244 294 296

a)

b)

3 2 (1)

3 (2) 2 P N

5-6-6 5

I (III) II \sharp v \flat (IV) v \sharp I

In m. 230 the structural dominant proceeds to a tonic chord. As the parentheses show in Ex. 8.1a, the concluding $\hat{1}$ of the *Urlinie* is not yet, however, explicitly stated in m. 230: Ex. 8.1b indicates that in m. 230 an inner-voice G is superimposed. $\hat{1}$ is heard in the top voice only in m. 296.

Ex. 8.1c shows how the formal design and the voice-leading structure are related to each other. The exposition (mm. 1–118) divides into first and second groups. Both of these can be further divided into two subsections which I have labelled, in the first group, introduction (mm. 1 ff.) and theme *a* (mm. 15 ff.), and, in the second group, theme *b* (mm. 52 ff.) and theme *c* (mm. 102 ff.). At the end of the first group the music begins to modulate toward E \flat major. The tonic chord of this key is heard at the beginning of the second group when theme *b* begins. Theme *b* does not, however, firmly stabilize E \flat major as a definite key. Instead, the theme is sequentially repeated, first in F minor and then in G minor. In m. 78 the music attains

EXAMPLE 8.1. (cont.)

11 15 37 39 46 52 64 72 75 78 85 89 100 102 118 122

Form : Exp. 1st group intr. theme a 2nd group theme b theme c Dev.

126 130 136 143 144 152 172 178 190 198 202 206 217 228 230 244 270 296

Recap. 1st group intr. 2nd group theme b theme c Coda

a dominant of G minor (II^\sharp) that is resolved to a G-minor chord (V) in m. 102 when theme c begins. The G-minor chord of m. 102 initiates the prolongation of the structural dominant.

In the tonal design of the exposition there are, somewhat unusually for a Classical composition, three distinct key areas: C minor, E_\flat major, and G minor. In my view the structural chord progression of the exposition is not, however, I-III-V as the key areas might lead one to expect. As Ex. 8.1a shows, the E_\flat -major chord of mm. 52 ff. is not, at deep structural levels, a *Stufe* since its bass note E_\flat is an upper third of the C-minor chord that opens the piece. Therefore the structural chord progression is $\text{I-II}^\sharp\text{-V}$ rather than I-III-V .² The

² Similar situations where the organization of the tonal design (I-III-V) differs from that of the voice-leading structure ($\text{I-II}^\sharp\text{-V}$) have been noted in the first movement of Schubert's String Quintet by David Beach (Beach 1993) and in the first movement of Brahms's Second Symphony by Carl Schachter (Schachter 1983a). In Cherubini's *Les deux Journées* Overture, discussed in chapter 3.1, we have seen an analogous situation where

exposition is, hence, unusual in two respects: first, it has three distinct key areas instead of the usual two; and second, the tonal design and the voice-leading structure do not emphasize the same harmonies.³

Near the beginning of the development section, in m. 126, the music tonicizes an F-minor chord, a harmony that is still prolonged when the recapitulation begins (Ex. 8.1c). The opening of this section is, consequently, in F minor, the subdominant key. At the beginning of the recapitulation the introduction of the first group is heard, but theme *a* has been omitted. The second group begins in m. 178 with theme *b* in C major. As Exs. 8.1b and 8.1c show, the C-major chord of m. 178 is not a structural major-mode tonic chord but a harmony built on an upper fifth of the F prolonged in the bass. A structural tonic is arrived at, in my view, only in m. 230 when theme *c* begins. The attainment of the top-voice $\hat{1}$ that ends the *Urlinie*, and is due in m. 230 when the structural tonic chord is heard, has been postponed to the end of the coda (m. 296).⁴

8.2 EXPOSITION

The first fourteen measures of the exposition form the introduction that opens the first group.⁵ The introductory character of these measures is created above all by the fact that the long chords cover the actual tempo of the overture all the way to the beginning of theme *a* (m. 15). Ex. 8.2 shows the voice-leading structure of the introduction. The course of the bass is unusual in mm. 1–13. As Ex. 8.2 indicates, I read a motion first from the opening C to F (m. 3), a root of a IV chord, and from there via the chromatic passing tone F \sharp (m. 11) to G (m. 13), a bass of a dominant chord. The emphatic Cs, heard in mm. 5–6 and mm. 9–10, are interpolations within the rising F–F \sharp –G line. They keep the tonic-note C alive even though the

the tonal design is organized I–III–V and the voice-leading structure I–II \sharp –V: see Ex. 3.1.

³ The three-key exposition of the *Coriolan Overture* has been discussed, for example, by Rey M. Longyear and Kate R. Covington (Longyear and Covington 1988, 451–454) and James Webster (Webster 1978, 26–27).

⁴ Timothy L. Jackson has a very different interpretation of the voice-leading structure of the overture. First of all, he reads the descent of the *Urlinie* from $\hat{5}$. In his view the IV chord attained in the development section supports the top-voice $\hat{4}$. He interprets a prolongation of this IV that extends from the development all the way to m. 265 in the coda. Therefore he reads the C chords of m. 230 and m. 244 not as structural tonic chords, as I do, but as chords built on the upper fifth of the F prolonged in the bass. He argues, however, that the C chord of m. 244 could be understood also as a structural tonic chord, and suggests a programmatic interpretation of this structural duality he sees in the middleground. See Jackson 1996, 90–93.

⁵ I interpret the introduction as belonging to the first group, rather than preceding it, for two reasons: first, it is so short and closely connected to theme *a* that it does not stand out, in my view, as an independent section; and second, since theme *a* has been omitted from the recapitulation, the introduction alone denotes the beginning of the new formal section. Timothy L. Jackson disagrees with this interpretation. He reads the beginning of the first group only in m. 15: see Jackson 1996, 90. Paul Mies, in turn, speaks about two parts of the first theme, the first being mm. 1 ff. and the second mm. 15 ff. (Mies 1969, 265).

voice-leading structure has already moved away from the tonic chord.⁶ Hence the Cs should be understood neither as inner-voice notes located below the rising F–F♯–G line nor as representatives of a prolonged tonic harmony that would be contrapuntally elaborated by the chords of mm. 3–4 and 7–8.⁷

EXAMPLE 8.2. *Coriolan*, mm. 1–15, voice-leading sketch

3 7 11 13 15

I IV (#IV⁷) v⁴⁻³ I

The emphatic Cs of the bass that are heard in the introduction help the music firmly to stabilize C minor as the tonic key. The strong stabilization of the main key at the beginning of the overture is important since the sense of a governing tonic key is, in the foreground, immediately weakened when theme *a* begins. As Ex. 8.1c shows, the tonic chord is prolonged in the deep middleground in mm. 15–37 with a third progression G–F–E♭ that descends from a fifth of the tonic chord that has been superimposed above the *Kopfton*. At more local levels the presence of the tonic chord is not as clear. Ex. 8.3 shows the voice-leading structure of mm. 15–52, theme *a* and the beginning of theme *b*. As Ex. 8.3a indicates, there is, in the lowest voice, an arpeggiation from an inner-voice C first to A♭ and F and then to B♭, a lower neighbor of C. In the foreground this arpeggiation is somewhat concealed. In mm. 22 ff. the beginning of theme *a* is repeated a whole tone lower in B♭ minor. The B♭-minor chord is built on a passing tone occurring in the bass. The thematic and harmonic factors emphasize, however, the chord in spite of its passing function. The situation is opposite in mm. 36–37 where the passing-tone F of the top voice, supported in the bass by a neighbor-note B♭, descends to E♭ that prolongs the *Kopfton*. There are two factors in the music that diminish the emphasis received by the

⁶ Carl Schachter has discussed a rather similar situation in Bach's *Gavotte en Rondeaux* from the E-major Partita for solo violin (Schachter 1987, 21–22). Although Schachter does not specifically state it, his examples seem to show that he reads a somewhat analogous situation also in mm. 29–38 of Chopin's Prelude Op. 28/5 (Schachter 1994b, 33–34).

⁷ Timothy L. Jackson reads the octave Cs of mm. 1–10 not as representatives of a structural tonic chord but as upper fifths of F. Therefore he interprets an auxiliary cadence at the beginning of the overture. See Jackson 1996, 93.

return of the tonic chord in m. 37. First, the tonic and the dominant that precedes it are very brief, lasting together only two measures. Second, the figuration of mm. 36–37 is similar to the measures following them, and therefore the surface design does not underline the tonic chord of m. 37.

EXAMPLE 8.3. *Coriolan*, mm. 1–52, voice-leading sketch

The image displays two musical sketches, labeled 'a)' and 'b)', for the first 52 measures of the Coriolan Overture. Each sketch consists of a treble clef staff and a bass clef staff. Above the treble staff, measure numbers are indicated: (1–14) 15, 29 31, 36 37, 46 52. Above the bass staff, measure numbers are indicated: (1–14) 15, 22, 29 31, 36 37, 39, 46 52. Sketch 'a)' features a prominent melodic line in the treble staff with a slur over measures 1-14 and 29-31, and a dotted line indicating a continuation or connection. Sketch 'b)' shows a more complex texture with multiple voices in both staves, including a section labeled 'N' in the treble staff and 'P' and 'III' in the bass staff.

Theme *b* begins the second group in m. 52. The E_b -major chord of m. 52 is prepared by its dominant (mm. 46–51) which is formed, at deep structural levels, of a neighbor note in the top voice and a passing tone in the bass (Ex. 8.3).⁸ The emphasis with which the dominant prepares the key of E_b major, together with the thematic contrast between theme *a* and theme *b*, would first lead one to expect that E_b major is the main contrasting key of the exposition. If this were the case, theme *b* would, most likely, stabilize with a cadence E_b major as an emphatic key. Ex. 8.4 shows a hypothetical version of theme *b* that, indeed, ends with a cadence rooting the music firmly in E_b major. (In Ex. 8.4 as much as possible has been retained from theme *b*

⁸ Timothy L. Jackson reads the V^6 of III (mm. 46–51) as still prolonging the B_b chord of mm. 22–26: see Jackson 1996, 90.

of the actual music.) The cadence that would stabilize E_b major is, however, evaded and the music moves, instead, to a passage in which theme *b* is repeated sequentially, first in F minor (mm. 64 ff.) and then in G minor (mm. 72 ff.). (Ex. 8.1c shows the voice-leading origin of the F-minor and G-minor chords of the sequential passage.) The evasion of the cadence and the sequential repetition of theme *b* both indicate that E_b major does not achieve as stable a status as a key area as one might have expected when an E_b -major chord was first heard in m. 52.

EXAMPLE 8.4. *Coriolan*, end of theme *b* rewritten

The course of the top voice supports the somewhat unstable character of the E_b major. Ex. 8.3 shows that the structural top-voice note of the E_b -major chord of m. 52, E_b , is implied, and that on the musical surface an inner-voice G is heard as the highest note. Hence the omission of E_b from the uppermost voice of m. 52 creates an impression that there is an unresolved factor in the music at the beginning of theme *b*, an impression that anticipates, as it were, the fact that E_b major is not stabilized as a strong key. E_b is explicitly stated in the top voice only after the G-minor occurrence of theme *b*, in m. 75 (see the dotted arrow in Ex. 8.1c that shows the delayed registral resolution of the F of mm. 46–51). The chord supporting the E_b of m. 75 is, however, not an E_b -major but a C-minor chord.

After the C-minor chord of m. 75 the music moves, in m. 78, to a dominant of G minor, or II^\sharp , that continues to a G-minor chord in m. 102 (Ex. 8.1). Ex. 8.5 shows the voice-leading structure of mm. 78–102 in which the II^\sharp is prolonged. As the chordal analysis of Ex. 8.5a indicates, these measures consist, basically, of a passing seventh above the prolonged II^\sharp . The seventh is prepared as an octave by a C-minor chord (m. 89) that is formed of a neighbor note occurring both in the bass and in the top voice (Ex. 8.5a). In the foreground mm. 78–101 consist of three phases that differ greatly in character from each other. In the first phase, mm.

78–83, the top voice ascends from an inner-voice A to the structural top-voice note D that is heard in m. 83. The crescendo at the end of this phase leads to the turbulent second phase (mm. 84–91) which consists of a gesture heard first twice in G minor and then twice in C minor. As Ex. 8.5c shows, in the G-minor gesture the highest voice descends to an inner-voice B \flat and in the C-minor gesture it first reaches over and then descends to E \flat , a neighbor note above the D prolonged at deep structural levels. On the musical surface this course of the highest voice is obscured by the fact that in m. 85 G has been superimposed above B \flat and in m. 89 C above E \flat . Consequently, on the musical surface the neighbor-note E \flat is heard in the top voice only in m. 92 when the third phase of the prolongation of II \sharp (mm. 92–101) begins. The II \sharp with D in the top voice and in the bass returns in m. 100 and it is resolved to a G-minor chord in m. 102.

EXAMPLE 8.5. *Coriolan*, mm. 78–102, voice-leading sketch

The musical score for Example 8.5 is presented in three parts, labeled a), b), and c). Part a) covers measures 78 to 102, showing the first two phases of the voice-leading sketch. It includes annotations such as (2), N, and V, and numerical markers 8 and 7. Part b) also covers measures 78 to 102, focusing on the second phase with an annotation N. Part c) covers measures 78 to 102, focusing on the third phase with an annotation (rg.-ov.) and N. The score is written for piano, with treble and bass staves. The key signature is G minor (two flats). The time signature is 3/4. The score includes various musical notations such as notes, rests, accidentals, and voice-leading lines.

Theme *c* that closes the exposition begins in m. 102 when the G-minor chord is reached. Ex. 8.6 shows that the top voice of theme *c* consists, in the middleground, of a descending fifth-progression D–G. This fifth-progression is subdivided into two thirds, both of which are

EXAMPLE 8.7. *Coriolan*, development section, voice-leading sketch

118 126 130 136 144 152

a)

5 6 6 5

118 122 126 130 136 140 142 143 144 152

b)

(unf.)
A^b F E^b G

V IV IV IV

Dev. Recap.

The beginning of the recapitulation, mm. 152 ff., is unusual in two respects. First, it is in the subdominant key that, furthermore, has been tonicized already in the development section.⁹ Second, theme *a* is not heard in the recapitulation. As a consequence of these factors, the beginning of the recapitulation does not create the impression of a new start the way it normally does. Rather, the opening of the recapitulation is here best understood to take place

⁹ The fact that the subdominant key that begins the recapitulation has been tonicized already in the development section is exceptional. In the other subdominant recapitulations from the Classical era I am aware of—a well known example being the first movement of Mozart's Piano Sonata K. 545—the first tonic chord of the subdominant key is attained only at the beginning of the recapitulation. (For an analysis of the subdominant recapitulation in the first movement of Mozart's Piano Sonata K. 545, see Laufer 1981, 173–176.) The subdominant recapitulation of the *Coriolan* Overture has been noted, for example, by Susanne Steinbeck (Steinbeck 1973, 98), Rey M. Longyear and Kate R. Covington (Longyear and Covington 1988, 453–454), and James Webster (Webster 1978, 31). Of the Schenkerian theorists it has been mentioned by Edward Laufer (Laufer 1996, 75) and Ernst Oster (Oster 1983, 209). None of these writers, however, comments on the fact that F minor has been tonicized already in the development section. Nor do they attempt to explain the structural role of the subdominant chord that opens the recapitulation—with the exception of Laufer, who shares my view of the IV as a harmony built on a lower neighbor of V.

within a large musical arch, the prolongation of IV that begins already in the development section.

The introduction that opens the recapitulation (mm. 152–157) does not lead to a full cadence as the corresponding passage does in the exposition. Instead, the music continues, in m. 158, to a passage that has been derived from the end of the first group of the exposition, and leads to the second group that begins in m. 178.¹⁰ Ex. 8.8 shows the voice-leading structure of the first group of the recapitulation. In the introduction the music moves from a tonic chord of F minor to a subdominant chord (m. 154). The voice leading of the passage beginning in m. 158 is quite complex. In m. 158 the music moves from the B \flat -minor chord of m. 154 to a diminished seventh chord built on B \flat . Instead of moving to the expected C-major chord, a dominant of F minor, the diminished seventh chord proceeds to another diminished seventh chord, built on B \flat in the bass. In the outer voices there are, hence, half steps: from D to D \flat in the top voice and from B to B \flat in the bass. In Ex. 8.8 I have added in parentheses C both in the top voice and in the bass to show that I read an implied V chord in m. 163. Therefore Ex. 8.8 shows the D \flat of the top voice basically as a neighbor note above C and the B \flat of the bass as a passing tone descending from C. In m. 168 the music proceeds to an F-minor sixth chord that prolongs the F-minor harmony that opens the recapitulation. In m. 172 the music attains a V⁶ of C that is resolved to a C-major chord in m. 178 when the second group begins.

EXAMPLE 8.8. *Coriolan*, mm. 152–178, voice-leading sketch

The musical score for Example 8.8 shows voice-leading sketches for measures 152, 154, 158, 163, 168, 172, and 178. The key signature is F minor. The top staff (treble clef) and bottom staff (bass clef) are shown. Measure 158 features a diminished seventh chord (B \flat 7) in the bass and a diminished seventh chord (B \flat 7) in the top voice. Measure 163 shows an implied V chord (C major) with C in parentheses in both the top and bottom staves. Measure 168 features an F-minor sixth chord. Measure 172 features a V⁶ of C, and measure 178 features a C-major chord. The sketches illustrate the complex voice leading between these chords, including half-step movements in the outer voices.

In my view the C-major chord that opens the second group should not be understood as a structural tonic chord. Ex. 8.1b shows that I interpret it, rather, as a harmony built on an upper fifth of F. This reading is justified by two factors. First, the C-major chord is not

¹⁰ The contour of the thematic figures heard in mm. 158–167 resembles to some extent that of theme *a*—specifically, mm. 158–167 consist, the same way as theme *a* heard in mm. 15–28 does, of two occurrences of a large gesture ending with a long rest. Both of the gestures heard in mm. 158–167 expand a diminished seventh chord. So I interpret them as tonally unstable elements leading to the second group rather than as a modified recapitulation of theme *a*. Timothy L. Jackson does not share this view. He reads m. 163 as the beginning of the recapitulation and the first group: see Jackson 1996, 90.

prepared with a strong dominant. The V^6 of C, heard in mm. 172–177, is somewhat abruptly torn, as it were, from the F-minor environment of the beginning of the recapitulation. And second, theme *b* that opens the second group does not stabilize C major with a cadence. Instead, it is sequentially repeated, in the same manner as in the exposition, first in D minor (mm. 190 ff.) and then in E minor (mm. 198 ff.). The course of the top voice further increases the instability of the C major. The parentheses in Ex. 8.8 show that the top-voice C of the C-major chord of m. 178 is implied and that on the musical surface the highest note is an inner-voice E. As Ex. 8.1c indicates, C is heard in the uppermost voice only in m. 202. The chord supporting the C of m. 202 is a C-minor sixth chord that proceeds, in m. 206, to a dominant harmony with B in the top voice.

Ex. 8.1a shows that when a dominant chord arrives in m. 206 the music finally moves in the deep middleground forward from the F-minor chord reached in m. 126: the top voice descends from C to B, the leading note, and the bass ascends from the F to G. At the deepest structural levels the dominant chord of m. 206 prolongs the dominant reached in the exposition (m. 102).

We can now see how the formal design, tonal design, and voice-leading structure organize the part of the recapitulation preceding the dominant chord of m. 206. In the formal design m. 152 denotes the beginning of the new formal section. But in the tonal design and voice-leading structure m. 152 is not a boundary: the key of F minor that opens the recapitulation also closes the development section, and the entire recapitulation up to m. 206 takes place within a prolonged F-minor chord which is itself a contrapuntal event within a dominant prolonged at deeper structural levels. Therefore the beginning of the recapitulation leaves an impression that it takes place within an uninterrupted musical process in spite of the formal boundary of m. 152.

After the dominant chord is regained in m. 206, it is prolonged, in mm. 206–229, in a manner similar to the prolongation of II^\sharp in the corresponding mm. 78–101 of the exposition (cf. mm. 206–230 and 78–102 in Ex. 8.1c). As Ex. 8.1c indicates, an inner-voice G is shifted in m. 206 (in the foreground only in m. 211) above the top-voice B. This superimposition is highly important for the organization of the overture: since G is prolonged in the highest voice through mm. 206–230, there is no C, structural \hat{I} , in the top voice when a structural tonic chord is heard in m. 230 (Ex. 8.1). In other words, even though the *Bassbrechung* arrives at I in m. 230, the *Urlinie* has not yet reached an explicitly stated \hat{I} . Therefore the attainment of a tonic chord in m. 230 should not yet be considered as the ultimate goal of the voice-leading structure of the overture.

EXAMPLE 8.9. *Coriolan*, mm. 230–244, voice-leading sketch

230 238 240 242 244

I II V I \flat II⁶ V I ^{\flat}

Ex. 8.9 is a voice-leading sketch of mm. 230–244, theme *c* that closes the recapitulation. These measures consist of two cadential progressions supporting a top-voice descent G–C. Owing to the occurrence of theme *c* in the exposition, one now expects a strong top-voice C—a note that would correspond to the emphatic G of m. 114—to close the theme. This C would then function as an explicitly stated $\hat{1}$ that would end the *Urlinie*. But just as the music is about to arrive in the top voice at the $\hat{2}$ that would lead to the concluding $\hat{1}$, its motion halts: the unexpected \flat II⁶ (m. 240), with D \flat in the top voice, cuts off the motion, so to speak. After a rest of one and a half measures, the \flat II⁶ proceeds to an octave G played by the horns (m. 242). As Ex. 8.9 shows, this octave represents a dominant chord, and therefore its implied top-voice note is a D, $\hat{2}$. In m. 244 the dominant is resolved to a major-mode tonic chord with E \flat , a note shifted from an inner voice, in the uppermost voice (Ex. 8.9). The major-mode tonic chord of m. 244 ends the recapitulation and, at the same time, begins the coda.

As we have seen, in the recapitulation there are two emphatic cadences that lead to a structurally conclusive tonic chord: one in mm. 229–230 and the other in mm. 243–244. In both cases the bass motion is a clear V–I skip. But in the top voice there is a $\hat{1}$ neither in m. 230 nor in m. 244. So the *Urlinie* has not yet attained its goal, the structural $\hat{1}$, when the coda begins, and hence the voice-leading tensions of the overture are still partly unresolved.

8.4 CODA

The coda divides into three subsections overlapping with each other: mm. 244–270, mm. 270–296, and mm. 296–314. The first subsection begins with theme *b* in C major, the major-mode tonic key. The two earlier occurrences of this theme have been heard in unstable keys: in the exposition in E \flat major, a key whose tonic chord is built on an upper third of C, and in the recapitulation in C major, a key whose tonic chord is built on an upper fifth of F. The situation is different at the beginning of the coda. The C key in which theme *b* occurs receives the status

of a stable element at the end of the recapitulation. But the key stabilized is C minor, not C major. The continuation of the music shows that the C major that opens the coda does not displace the C minor that closes the recapitulation: E_b supersedes E_b almost immediately, in m. 248, bringing back the key of C minor in which theme *b* continues (mm. 248 ff.). Therefore the key of C major is a fleeting event within the governing C minor, a result of mixture. In this sense the opening measures of theme *b* at the beginning of the coda resemble the two earlier occurrences of the theme: in all three the major key in which the theme is heard is not a structurally stable element.

EXAMPLE 8.10. *Coriolan*, mm. 244–270, voice-leading sketch

The image displays two musical sketches, labeled 'a)' and 'b)', illustrating voice-leading structures. Sketch 'a)' shows the upper voice leading from E_4 in measure 244 to E_4 in measure 270, with a dotted line indicating the path. Sketch 'b)' shows the lower voice leading from G_3 in measure 244 to C_4 in measure 260, and then to D_4 in measure 269 and E_4 in measure 270. The sketches include measure numbers 244, 248, 252, 254, 260, 264, 269, and 270.

Ex. 8.10 shows the voice-leading structure of mm. 244–270. It can be seen in Ex. 8.10b that the top-voice E_4 of m. 244 is transformed in m. 248 to E_b . After mm. 244–247 are repeated in C minor, a sequential passage begins in which the uppermost voice first moves from an inner-voice G to a C reached in m. 260 (Ex. 8.10). The lowest voice follows this motion in lower tenths. After a short delay the line of the uppermost voice continues first to D (m. 269) and then to E_b (m. 270) (Ex. 8.10). The E_b of m. 270 regains the E_b heard in m. 248. And since the E_4 of m. 244 is a local phenomenon, all of mm. 244–270 prolong, in the middleground, E_b in the top voice (Ex. 8.10a).

EXAMPLE 8.11. *Coriolan*, mm. 270–296, voice-leading sketch

The image contains two musical sketches, labeled a) and b), showing voice-leading for measures 270-296 of Coriolan. Sketch a) shows a melodic line in the upper voice and a bass line with a large interval. Sketch b) shows a more complex voice-leading structure with multiple voices and a 'twice' annotation.

The organization of the second subsection of the coda, mm. 270–296, is quite complex. Ex. 8.11 shows the voice-leading structure. In mm. 270–275 there is a vigorous thematic idea, derived from theme *c*, which prolongs the tonic chord with neighbor notes heard both in the top voice and in the bass. In m. 276, material derived from the introduction is heard. The C of the uppermost voice of m. 276 is basically an inner-voice note, and in m. 286 an ascending line brings back E_b , the structural top-voice note (Ex. 8.11b). The E_b of m. 286 is supported in the bass by an $F\sharp$. In a similar situation at the beginning of the overture $F\sharp$ continued to G, and the top-voice E_b was held over to the cadential six-four chord (Ex. 8.2). In m. 286 $F\sharp$ descends to $F\flat$ and E_b skips to B. As Ex. 8.11b indicates, I read an implied V chord in the second quarter of m. 286. According to this interpretation the $F\flat$ of the bass is a passing tone descending from an implied G, and the B of the top voice is an inner-voice note below an implied D. In m. 288 the F of the bass descends to E_b , and the implied top-voice D descends to C. As Ex. 8.11a indicates, the E_b of the bass (m. 288) is part of a large unfolding in the bass that spans mm. 270–290. C (m. 270) moves to an inner-voice E_b (m. 288) that continues to an inner-voice F (m. 289). F, in turn, leads to a neighbor-note B (m. 290).

When C returns to the bass in m. 292 there is an E_b in the top voice. It is now that the top voice finally descends to C, the structural $\hat{1}$ that closes the *Urlinie*. In m. 294 there is a D, and

in m. 296 a C that eventually resolves the remaining deep-level voice-leading tensions of the overture. The way the reaching of the \hat{I} is postponed is remarkable. \hat{I} is first due in m. 230 when the final structural tonic chord of the overture is attained, but an inner-voice G is superimposed above the C (cf. Exs. 8.1a and 8.1b). \hat{I} is then expected to be heard at the end of theme *c* that closes the recapitulation. But a strong and unexpected $\flat II^6$ cuts off the motion of the music in m. 240 and prevents, as it were, the top voice from reaching a definite \hat{I} . As a consequence of postponing an explicitly stated \hat{I} , its attainment in m. 296 creates an impression that the music has now finally been able to complete a process it had earlier failed to bring to a close.

The third subsection of the coda, mm. 296–314, prolongs in the top voice the \hat{I} reached in m. 296. Material from theme *a* is heard, but in a fragmented form and with ever longer note values. The impression created by the third subsection, in which the pace of the music slows up, is that after the arrival of \hat{I} it just fades away—the tonal tensions have now all been resolved and hence the overture can end.

8.5 PROGRAMMATIC ASPECTS

Coriolan, the hero of Heinrich von Collin's play to which the *Coriolan* Overture was written, was according to a legend a Roman soldier who lived in the fifth century B.C. In addition to the play of Collin, there are two better known renderings of the legend of Coriolan—or Coriolanus, to use his Latin name: one by Plutarch and the other by Shakespeare. According to his brother, Collin's play is not based on the play of Shakespeare but is an independent rendering of Plutarch's story.¹¹ Apparently, it cannot be demonstrated whether Beethoven knew the texts of Plutarch and Shakespeare when writing his overture. He might well have known them, since both Plutarch and Shakespeare were highly important writers for him. In the following outline of the plot of *Coriolan*, I shall deal with the events as they take place in Collin's play. I shall, however, refer to the texts of Plutarch and Shakespeare where the differences between the three versions seem important.¹²

Coriolan is a Roman patrician and soldier who is unjustly banished from his native town for political reasons.¹³ Outraged by the behaviour of his fellow Romans, the short-tempered Coriolan joins the Volscians, enemies of Rome, becoming their military commander and swearing an oath that he will be loyal to them until his death. The main tensions of the play

¹¹ See Bekker 1925, 242.

¹² Collin's *Coriolan* is discussed in some length in Hess 1962, 54–56. For a discussion on differences between the plays of Collin and Shakespeare, see Mies 1969, 261–264.

¹³ Collin's play begins with the banishment, whereas Plutarch and Shakespeare discuss in length the reasons and events that led to it.

grow out of the psychological conflict that Coriolan now faces. On the one hand, he has joined the Volscians. Owing to his anger towards the Romans, and the oath he has made, he feels that he must fight with his new companions against Rome. But on the other hand, he feels loyalty towards his native town and therefore wishes to avoid the war. When the Volscians are about to attack Rome, Coriolan postpones the assault, which earns him enemies among the Volscians. Coriolan's situation is desperate: he cannot find a solution that would satisfy both Volscians and Romans. It becomes evident that the only honourable way to get out of this conflict is to die.¹⁴ When Coriolan's mother and wife come to meet him and ask him not to destroy Rome, he agrees, hence saving the town. But at the same time he regards himself as a traitor and feels that he has no alternative left but to commit suicide.¹⁵

The play is mainly about Coriolan's inner conflict. He feels bound to both the Romans and the Volscians but knows that he cannot satisfy both. Hence he must decide whom to betray, a decision he postpones by deferring the attack. At the same time he puts off his own destiny, his death. We can express the narrative structure of the play in the following manner. After joining the Volscians, the banished Coriolan must decide whether to attack Rome or not—and hence decide whether to betray the Romans or the Volscians—knowing that once the decision has been made he will die. After first postponing the decision, Coriolan decides not to attack. He commits suicide.

Since the *Coriolan Overture* was written to precede a play, not an opera, there cannot, naturally, be quotations from the music that will follow the overture in the manner we have seen in the three *Leonore Overtures*. Consequently, a programmatic interpretation of the work cannot be based on thematic quotations that create direct extramusical allusions. I believe, all the same, that there are programmatic aspects to the *Coriolan Overture*, and that they can be found both on the musical surface and at deeper structural levels just as we have seen such features in the three overtures dealt with so far.

Let us begin the discussion of the programmatic features of the overture from the end of the piece. When material derived from the introduction is heard in the second subsection of the coda (mm. 276 ff.), the preceding even rhythmic flow of the music stops. In mm. 286–296 the rhythmic factors organize the unfolding of the music into pairs consisting of two chords, each chord lasting one quarter-note. The temporal distance between the chords within the pairs gets gradually longer, and at the same time the dynamic level descends from fortissimo to piano. The chords of the first three pairs follow each other immediately (m. 286, m. 288, and m. 289). Between the first two pairs there is a rest lasting one and a half measures, and between the second and the third pairs the rest lasts half a measure. In the fourth pair (m. 290) there is a

¹⁴ The inevitability of Coriolan's death is not present, at least as strongly, in the texts of Plutarch and Shakespeare. In Collin's play Coriolan makes an oath to be loyal to the Volscians until his death, and death is mentioned rather frequently in the play, whereas there is no such oath in Plutarch or Shakespeare.

¹⁵ In Plutarch and Shakespeare Coriolan is killed by the Volscians.

quarter rest between the chords. The fourth pair is followed by a rest of one measure (m. 291). In the fifth and the last pair (mm. 292–295) the chords are separated by a rest lasting one full measure and three quarters.

In the fifth pair the top voice descends from $\hat{3}$ to the $\hat{2}$ that is resolved in m. 296, at the beginning of the third subsection of the coda, to the $\hat{1}$ that concludes the *Urlinie*. The thematic material of the third subsection of the coda consists of fragments derived from theme *a*. Each thematic fragment is slower than the previous one and the dynamic level grows ever quieter. As a consequence, the energy and tensions of the music seem to decline, so to speak, until three quiet pizzicato octaves end the overture.

The process described above creates an impression that the music moves from a state of great vigour and agitation to absolute stillness. In my view this process can be interpreted as depicting the death of Coriolan.¹⁶ At a moment of utmost emotional turmoil, after deciding not to attack Rome and hence having betrayed the Volscians, Coriolan sees no alternative to killing himself. The descriptive character of the end of the *Coriolan* Overture is so strong that it seems justified to interpret it programmatically—the fragments of theme *a* heard in the third subsection, fragments that follow the preceding outburst, would then depict the last breaths of the dying man.

If one accepts that the end of the overture depicts Coriolan's death, then also the events occurring at deep structural levels earlier in the overture may be interpreted as creating indirect programmatic associations. In the play, Coriolan is torn between loyalty to Rome and his anger which led him to join the Volscian army. Hopes of a solution to this inner conflict that would satisfy all parties are vain. He postpones the attack on Rome until he commits suicide.

The fact that there is no interruption in the deep-level voice-leading structure creates an impression that the overture consists of one large uninterrupted tonal arch. This impression is reinforced by the fact that the recapitulation begins in the subdominant key, hence creating no sense of a new beginning. Therefore the entire overture consists of an uninterrupted motion toward the attainment of the conclusive tonic chord with $\hat{1}$ in the top voice. However, when the final tonic chord is heard in m. 230 there is no definite $\hat{1}$ (cf. Exs. 8.1a and 8.1b). Also the tonic chord that opens the coda in m. 244 is heard without $\hat{1}$. The attainment of an explicitly stated $\hat{1}$ is postponed to the very end of the overture, to m. 296.

The programmatic implications of the interaction of deep structural levels and the musical surface are, in my view, as follows. The uninterrupted tonal motion of the overture can be seen to reflect the interpretation that the death of Coriolan, that will take place at the end of the play,

¹⁶ Numerous commentators on the *Coriolan* Overture have noted that the final measures of the overture may be interpreted as reflecting Coriolan's death: see, for example, Fiske 1970, 56; Mies 1969, 265–268; and Osthoff 1969, 23. This interpretation is given credibility by the fact that a similar fragmentation of thematic material occurs in the final measures of the funeral march in the Third Symphony. Furthermore, in the first and the seventh numbers of the early *Joseph* Cantata, composed in 1790, somewhat fragmentary gestures that interfere with the flow of music accompany several times the word "Tot" (dead). (I am indebted to Solomon 1977, 49, for drawing my attention to the *Joseph* Cantata.)

is the end point of the narrative of the play, and that the play consists of a motion toward that point. And the postponement of the attainment of \hat{I} may be seen as mirroring Coriolan putting off the attack on Rome, hence deferring also his own death. When the \hat{I} is finally arrived at, the musical surface seems to depict Coriolan's death, the end point of the narrative structure of the play. In this manner the descriptive details of the musical surface and the programmatic implications of deeper structural levels meet at the end of the overture.¹⁷

The fact that the musical image of Coriolan's death that closes the overture is based on theme *a* may be interpreted as suggesting programmatic implications also for the thematic design of the overture—specifically for themes *a* and *b*. Notwithstanding their greatly different character, these themes share one important feature: the final measures of the overture excluded, neither of them closes in any part of the piece with a clear cadence. This creates a somewhat unfulfilled quality in the themes. The avoidance of a definite closure creates the impression that neither of them succeeds in ending a musical process. One may, then, suggest that this quality is related to the overture's avoidance of definite tonic chords prior to the one at the end of the piece. Therefore the character of the themes, too, seems to underline the notion of the work as one large dramatic arch.

One may also suggest a more detailed programmatic role for themes *a* and *b*. Theme *a* may be argued to represent throughout the overture Coriolan's death, a role it plays quite unequivocally at the end of the work. In his text Collin implies quite early on that the only possible end to the play is the death of his hero. The occurrences of theme *a* that precede the final one (mm. 296 ff.) may be interpreted as presentiments of the forthcoming death that the last occurrence depicts, and their avoidance of tonal closure shows that the time of death has not yet arrived. Theme *b*, in turn, may be read as mirroring the hope of a peaceful solution to Coriolan's inner conflict. But in the same manner that this hope is vain, none of the major keys in which the theme is heard is based on a structural harmony: the E_b -major chord of mm. 52 ff. is built on an upper third of C, the C-major chord of mm. 178 ff. on an upper fifth of F, and the C-major chord of mm. 244 results from mixture taking place in the foreground. The structural instability and the avoidance of tonal closure suggest that it is as impossible for theme *b* to arrive at a stable closure as it is for the play to achieve a nonviolent ending. This reading is supported by the fact that in each of its occurrences theme *b* is repeated in the minor after first being heard in the major, hence implying that the hopeful character created by the major key is not going to last.¹⁸

¹⁷ In spite of his different interpretation of the voice-leading structure of the overture, Timothy L. Jackson offers a rather similar programmatic reading: see Jackson 1996, 105–106.

¹⁸ Themes *a* and *b* may be seen to interact in the exposition in a concealed manner that underlines the inevitability of Coriolan's death. The opening four-note figure of theme *a* (C– E_b –D–G) is enlarged in the bass to extend through the entire exposition (Ex. 8.1a). So the first occurrence of theme *b*—the vain hope of a peaceful solution—is heard within an enlarged repetition of the figure that begins theme *a*—the anticipation of the forthcoming death.

The programmatic reading suggested above is more speculative than the interpretations of the three *Leonore* Overtures, pieces in which material quoted from *Fidelio* helps to link the tonal events of deeper structural levels with the tensions of the opera. In *Coriolan* there are no thematic ideas that would create direct programmatic associations in the manner that the trumpet fanfare, for example, does in *Leonore 2* and *Leonore 3*. But the descriptive final measures of the overture play, in my view, a role similar to the quotations from *Fidelio* heard in the three *Leonore* Overtures. So in *Coriolan*, too, certain factors of the musical surface that would seem to create programmatic associations interact directly with events of deeper structural levels. That is to say, the final measures that quite clearly describe Coriolan's death coincide with the eventual attainment of the postponed $\hat{1}$. The interaction that the descriptive end of the overture has with deeper structural levels could, then, be interpreted as transferring, as it were, the programmatic implications of the musical surface to the basic voice-leading tensions of deeper structural levels.

■ CHAPTER 9

THE *EGMONT* OVERTURE, OP. 84

At the end of the year 1809 the Royal Imperial Theater in Vienna was planning a production of Goethe's play *Egmont*. Beethoven was commissioned to compose the music for the production. The incidental music, written in 1809–10, consists of an overture and nine numbers: two songs for the leading female character of the play, Clärchen, four entr'actes, one melodrama, and two numbers depicting specific details of the play. Beethoven felt that by composing the *Egmont* music he might show his admiration for Goethe. He wrote to the publisher Breitkopf & Härtel in August 21, 1810: "I wrote it [the *Egmont* music] purely out of love for the poet; and, in order to prove this, I accepted nothing for it from the Theatrical Directors."¹

9.1 FORM AND VOICE-LEADING STRUCTURE: AN OVERVIEW

The *Egmont* Overture is in sonata form with an introduction and an extended coda. Ex. 9.1 shows the voice-leading structure of the piece. Unlike the three *Leonore* Overtures, the harmonic content of the introduction of *Egmont* is quite common for a Classical introduction: the music proceeds from a tonic chord that opens the piece into a dividing dominant closing the introduction. The voice-leading structure and formal design are relatively conventional also in

¹ Beethoven 1985, 1: 287.

EXAMPLE 9.1. *Egmont*, an overview

a)

20 28 74 82 157 162 225 285 295 321 329 334 341

5̂ 4̂ 3̂ 2̂ || 5̂ N 5̂ 4̂ b3̂ 2̂ 1̂

I III V || I (VI) V I b3 V I b3

b)

15 20 28 74 82 104 116 132 157

5̂ 4̂ 3̂ 2̂ ||

I (div.) I III V ||

Form: Intr. Exp. 1st group 2nd group Dev.

b)

162 217 225 247 275 285 295 307 309 321 329 334 341

5̂ N 5̂ 4̂ b3̂ 2̂ 1̂

(cont.) (rg.-ov.)

I VI V I b3 V I b3

Recap. 1st group 2nd group Coda Victory Symphony

the exposition and the development section. In the exposition the bass moves from F to A \flat (III), arrived at when the second group begins, and the top voice descends from $\hat{5}$ to $\hat{3}$. The second group is in A \flat major. In the development section the bass moves from A \flat to C, the dominant of an interruption, via a passing-tone B \flat . In the top voice there is a $\hat{2}$ at the end of the development section.

The formal design of the recapitulation closely follows the procedures of an archetypal sonata form: in the recapitulation the music of the first and second groups repeats the thematic material of the exposition with only minor changes. But both the tonal design and the voice-leading structure are very original. The entire second group of the recapitulation is in D \flat major, the major key on the sixth degree. As Ex. 9.1b shows, the voice-leading origin of the D \flat -major chord is a neighbor note occurring in the top voice and an incomplete neighbor in the bass. The situation is exceptional in that the recapitulation ends with a strong cadence, but the music is neither in the tonic key nor has it $\hat{1}$ in the top voice. Therefore the end of the recapitulation denotes a closure in the formal design, whereas the situation is left open in the voice-leading structure and the tonal design.

The coda consists of two sections, separated by a dotted bar line in Ex. 9.1b. In the first (mm. 259–286) the music moves from the D \flat -major chord that ends the recapitulation via an F-minor harmony (m. 275) to a dominant chord (m. 285) which supports $\hat{5}$ in the top voice. The F-minor chord of m. 275 is built on the upper third of D \flat , and so it should not be understood as a structural tonic.

The entire second section of the coda (mm. 287 ff.) returns at the end of the incidental music, there bearing the title *Victory Symphony (Siegesymphonie)*.² The *Victory Symphony* forms an immense contrast to the preceding music. First, it is in F major rather than F minor. Second, it has a new tempo, *Allegro con brio* in 4/4 meter. Third, its jubilant quality differs from the character of the preceding overture. And fourth, the emphatic use of the piccolo, not heard so far, and trumpets distinguishes its sonic quality from that of the earlier music. In the overture's voice-leading structure the tonal tensions are resolved only in the *Victory Symphony*: the *Uralinie* descends from the $\hat{5}$, resumed in m. 285, and the $\hat{1}$ is attained in m. 341, a few measures before the end of the overture.

9.2 INTRODUCTION AND EXPOSITION

The introduction, whose voice-leading structure is shown in Ex. 9.2, consists of three phrases overlapping with each other: mm 1–9, mm. 9–15, and mm. 15–24.³ In the top voice there is a

² This title comes from Beethoven himself, as one can see from his letter to the publisher Breitkopf & Härtel, dated October 15, 1810: see Beethoven 1985, 1: 297.

³ My interpretation of the voice-leading structure of the introduction has been influenced by Ernst Oster's

fourth-progression descending from F to a C anticipating the *Kopftón* $\hat{5}$ that is heard at the beginning of the Allegro (cf. Exs. 9.1 and 9.2). In m. 15 the third note of the fourth-progression, $D\flat$, is supported by a $D\flat$ -major chord that is briefly tonicized. The $D\flat$ of the bass is an incomplete neighbor that descends to C (m. 22) via an interpolated $B\flat$. (The asterisk denotes a neighbor-note $D\flat$ in Ex. 9.2, as well as in all other examples in this chapter.) It is significant that the main modulation of the introduction is made to $D\flat$ major, the key in which the second group is heard in the recapitulation. In this way Beethoven anticipates at the outset of the overture the uncommon tonal design of the recapitulation.

EXAMPLE 9.2. *Egmont*, introduction, voice-leading sketch

In a harmonic and melodic sense the introduction and the Allegro overlap. The dominant harmony and the melodic figure that end the introduction are repeated at the beginning of the Allegro. As a consequence, the thematic idea and the tonic chord that begin the first group are heard only at the end of m. 28, a few measures after the Allegro has begun.

The neighbor-note $D\flat$ also turns out to be a prominent motive in the Allegro. Ex. 9.3 shows the voice-leading structure of mm. 28–58, the first large phrase of the first group (the asterisks show, again, the neighbor-note $D\flat$). The thematic idea that opens the first group begins with a neighboring motion C– $D\flat$ –C, played by the cellos. The metric situation is interesting. The main note of the neighboring motion is the C that is heard at the last quarter of m. 28 (Ex. 9.3b). It occurs, hence, on a weak beat of the measure. This weak beat is, however, emphasized with both a sforzato and a syncopation. The motivically important $D\flat$ is, then, heard at the downbeat of m. 29. But since no stable metric organization has been established so far in the Allegro—the only clues implying that the music might be in 3/4 meter, with downbeats where they actually are notated in the score, are the slurs of mm. 25–28—one

reading (Oster 1983). In his study Oster discusses the introduction in great detail and shows some remarkable motivic connections between the introduction and the music that follows it.

EXAMPLE 9.3. *Egmont*, mm. 28–58, voice-leading sketch

28 37 38 42 58

a)

5 — 6 — 5
3 — 4 — 3

9

28 32 36

(rg.-ov.) (rg.-ov.)

b)

37 42 48 58

b) (cont.)

Detailed description: The image shows a voice-leading sketch for measures 28-58 of Beethoven's *Egmont*. Part (a) covers measures 28-38. It features a vocal line with a long note at measure 28, followed by a melodic line. Annotations include an asterisk (*) above measure 37 and another asterisk (*) above measure 42 with an 'N' below it. Below the vocal line, there are two sets of fingering: '5—6—5 / 3—4—3' and '9'. Part (b) covers measures 28-36 and 37-58. The piano accompaniment is shown in both staves. Annotations include '(rg.-ov.)' above measures 32 and 36, and several asterisks (*) marking specific notes in the piano part. A 'Z' symbol is present in the piano part at measure 42. Part (b) continues from measure 37 to 58, showing the vocal line and piano accompaniment with further annotations, including an asterisk (*) above measure 48 and another asterisk (*) above measure 58 with an 'N' below it.

cannot first be certain of whether the C or the $D\flat$ is metrically strong. When this thematic idea is later repeated, it is clear that the $D\flat$ occurs on the downbeat.⁴

After the $D\flat$ on the downbeat of m. 29, this pitch class is heard again several times in the following arpeggiations of mm. 29–36 (Ex. 9.3b). $D\flat$ appears in mm. 28–42 also at a slightly deeper level. These measures consist, basically, of a $\frac{5}{3}$ – $\frac{6}{4}$ – $\frac{5}{3}$ motion above a sustained F in the bass, and the $D\flat$ is heard as the top-voice note of the $\frac{9}{4}$ chord (Ex. 9.3a). In m. 42 the music reaches a dominant whose top voice arpeggiates up from C to a $D\flat$ that is a ninth of the chord and yet another occurrence of the prominent pitch class.

EXAMPLE 9.4. *Egmont*, mm. 58–74, voice-leading sketch

$D\flat$ is heard as an emphatic element also in the second large phrase of the first group (mm. 58–81). The thematic idea that begins in m. 58 is same as the one that opens the first group, and therefore $D\flat$ is again heard several times in the foreground (Ex. 9.4). Furthermore, the cellos and the violas repeat the C– $D\flat$ –C motion through mm. 58–65. From m. 66 on, the music differs from that of the first large phrase. Mm. 66–74 consist of two occurrences of a thematic figure (mm. 66–70 and mm. 70–74). In the first the top voice moves from C to a neighbor-note $D\flat$ (m. 69) and back to C (m. 70) (Ex. 9.4). In the second the top voice ascends again first from C to $D\flat$ (m. 73). But now the $D\flat$ does not function as a neighbor note but as a passing tone leading to $D\sharp$. This $D\sharp$ is the top-voice note of an augmented sixth chord that leads, in m. 74, to a dominant of $A\flat$ major, the key of the second group. (Incidentally, the motion up from C is prepared in mm. 69–70 by the $E\sharp$ –F motion shifted above the structural $D\flat$ –C descent [Ex. 9.4].) It is worth noting that the music leaves the tonic key via the important pitch class $D\flat$, now not functioning as a neighbor note, however, as earlier. It is as if the music reinterpreted

⁴ The neighboring motion that begins the first group has been derived directly from the introduction. The thematic figure that governs the music from m. 15 on consists of a neighbor note and a descending third-progression. This figure links, then, the introduction with the Allegro.

EXAMPLE 9.5. *Egmont*, mm. 82–104, voice-leading sketch

EXAMPLE 9.6. *Egmont*, mm. 85–110, voice-leading sketch

the function of a prominent sound, and this reinterpretation enabled the motion from the primary key to the secondary.

The second group spans mm. 82–116. Its top voice consists, basically, of a fifth-progression descending from E_b to A_b (Ex. 9.5). As Ex. 9.1b shows, the E_b that initiates the descent is a note superimposed above the structural top voice. The second group begins with a thematic gesture, heard twice in mm. 82–89, in which the uppermost voice descends from E_b to C (Ex. 9.5). In m. 90 the same idea begins for the third time, but now it is not completed. Instead, the music goes astray, so to speak, and finds the way again only in mm. 103–104 where the descending fifth-progression is completed.

Ex. 9.6 attempts to clarify the highly complicated voice-leading structure of mm. 89–110. Ex. 9.6b shows the chromatic foreground and Ex. 9.6a the diatonic middleground. After the top voice has descended to C (m. 85 and m. 89), the local $\hat{3}$ in A_b major, E_b is superimposed above it in m. 90 (Ex. 9.6b). In m. 91 the top voice ascends to F_b , a chromatically altered neighbor note that is supported by a minor chord of the fourth degree. The unexpected A-major chord of m. 92 should actually be understood as a B_{bb} -major harmony that results from a $5\text{--}b6$ progression above D_b . From the B_{bb} the lowest voice descends, then, via a passing tone A_b to G (m. 99) supporting a V^6_5 , a chord that is resolved in the next measure to an A_b -major chord. In the top voice this bass motion supports the descent from F_b to E_b . In my view the A_b -major chord of m. 100 should not, however, be understood as a structural tonic but rather as a harmony built on the upper fifth of D_b . So it takes place within a prolongation of IV. In m. 101 the IV chord returns, now as a major chord with a top-voice F_b instead of the F_b of m. 91. In mm. 101–102 there is a $5\text{--}6$ progression above D_b , this time with the diatonic B_b instead of the chromatically altered B_{bb} heard in m. 92. In the middleground this B_b comes from the fifth of the IV of m. 91 (see the chordal analysis below Ex. 9.6a). Hence mm. 101–102 in a way correct the F_b and B_{bb} , both of the chromatic alterations of mm. 91–92 that led the music, in the first place, to the unconventional path of mm. 91–100. Now that these chromatic changes have been rectified, the music may proceed to the cadence that ends the descending fifth-progression governing the top voice of the second group.

Although D_b does not appear prominently as a neighbor note in the second group, the important neighbor-note motive is heard quite emphatically. The neighboring motion has now, however, been transposed so that it appears on scale degrees $\hat{5}$ and $\hat{6}$ of A_b major, the same scale degrees on which the C– D_b motion took place in the F minor of the first group. In the thematic figure that opens the second group the top voice ascends from E_b ($\hat{5}$) to F ($\hat{6}$), an incomplete neighbor, before descending via D_b to C (Ex. 9.5). In the passage beginning in m. 90 E_b ($\hat{5}$) ascends first to F_b , a lowered $\hat{6}$. $\hat{6}$ is then heard in its diatonic form (m. 101) and F descends back to E_b ($\hat{5}$), in the top voice, in m. 110 (Ex. 9.6b).

9.3 DEVELOPMENT SECTION AND RECAPITULATION

The deep-level voice-leading structure of the development section is common for a sonata-form movement in the minor (Ex. 9.1). The bass moves from the III that closes the exposition via a passing tone to the dominant that ends the development section. In the top voice the *Urlinie* descends from $\hat{3}$ to $\hat{2}$. Above this descent there is an ascending third $A\flat-B\flat-C$ whose last note anticipates the $\hat{5}$ that begins the recapitulation. In the foreground an inner-voice line $E\flat-F-G$ has been shifted above the structurally primary $A\flat-B\flat-C$ motion (Ex. 9.7). The first note of the superimposed $E\flat-F-G$ line has been anticipated in the exposition: as Ex. 9.6 indicates, the neighboring-motion $E\flat-F-E\flat$ —shifted from an inner voice—is heard in the uppermost voice of mm. 90–110.

EXAMPLE 9.7. *Egmont*, development section, voice-leading sketch

The motivically important $\hat{5}-\hat{6}-\hat{5}$ neighboring motion is heard quite prominently also in the development section. The notes of the $E\flat-F-G$ progression are the fifths of the chords supporting the line's individual notes, and therefore the music can have the $\hat{5}-\hat{6}-\hat{5}$ motion in the top voice also in the passing keys of the development section. The first clarinet plays this neighboring motion in $A\flat$ major at the beginning of the development section, in mm. 117–118. The sequential repetition of this material in $B\flat$ minor brings the neighboring motion a whole tone higher (mm. 141–142). In mm. 145–153 cellos and double basses play the beginning of the first theme in C minor and hence the neighboring motion is heard in this key. C minor is to be understood, however, as an apparent key only (Ex. 9.7). The C-minor chord of mm. 145–148 consists of neighbor notes within a prolonged G-major harmony, and hence the C-minor chord is not an independent *Stufe*, I of C minor. When a C chord is heard as an emphatic scale degree in m. 157, the chord is a dominant of F minor, not a tonic of C minor.

The beginning of the recapitulation (m. 162) brings back both the tonic key and the $C-D\flat-C$ motion. Apart from some changes in the orchestration, the first large phrase of the first

group is identical in the recapitulation (mm. 162–192) and the exposition (mm. 28–58). So the occurrences of $D\flat$ in mm. 162–192 are similar to those shown in Ex. 9.3. The second phrase of the first group differs in the recapitulation (mm. 192–224) from that of the exposition (mm. 58–81). Ex. 9.8 shows the voice-leading structure of mm. 192–247, the second phrase of the first group and the second group. Beginning in m. 200 a thematic gesture that has a neighbor-note $D\flat$ in the top voice is heard three times in succession. In m. 206 $D\flat$ is heard again in the top voice, this time supported by a $D\flat$ -major chord in a root position. The bass arpeggiates downward from $D\flat$ to G, and hence the $D\flat$ of the top voice is transformed from an octave to a diminished fifth. When the G that concludes the arpeggiation of the bass is attained (m. 215), $B\flat$ reaches over in the top voice and therefore the resolution of the neighbor-note $D\flat$ down to C (m. 217) takes place in an inner voice. The $A\flat$ -major chord heard in mm. 217–224 functions as a dominant of the key of the second group, $D\flat$ major.

EXAMPLE 9.8. *Egmont*, mm. 192–247, voice-leading sketch

The course of the second group is very similar in the exposition and in the recapitulation (cf. Exs. 9.5 and 9.8). The only substantial differences can be found between the highly chromatic mm. 90–104 of the exposition and mm. 233–247 of the recapitulation (cf. Exs. 9.6 and 9.9).

In the second group of the recapitulation the neighbor-note $D\flat$ receives more emphasis than hitherto. Earlier $D\flat$ has occurred as an unstable embellishing factor in the foreground or at structural levels near it (see asterisks in Exs. 9.2, 9.3, 9.4, and 9.8). Now it appears also as a relatively stable element of the middleground. It is heard both in the bass and in the top voice (in the top voice only in m. 247 when the descending fifth-progression $A\flat$ – $D\flat$ attains its goal [Ex. 9.8]). In a voice-leading sense $D\flat$ functions in the top voice as a neighbor note and in the bass as an incomplete neighbor (Ex. 9.1a). The emphasis on $D\flat$ is increased by the fact that the recapitulation does close in $D\flat$ major. In the sonata-form movements preceding Beethoven the

9.4 CODA

The coda consists of two sections: mm. 259–286 and mm. 287–347, the latter being the Victory Symphony.⁶ In the first section the music moves from the D \flat major that ends the recapitulation back to the main key, F minor (Ex. 9.10). Mm. 259–278 consist of a sequential gesture heard three times: the first is in D \flat major—the key in which the recapitulation ends—the second in B \flat minor, and the third in F minor, the tonic key. In the tonal design the tonic key is, thus, brought back in the third of the sequential gestures. However, the F-minor chord of 275–280 should not be understood as a structural tonic. Ex. 9.10a shows that this chord consists of an upper third of D \flat in the bass and an anticipation in the top voice. Therefore it is a contrapuntal event, not an independent *Stufe*.

But the fact that an F-minor sonority is heard at this point of the overture is highly important for the dramatic unfolding of the piece. The Victory Symphony that ends the overture shifts the music from F minor to F major. The F-minor chord of mm. 275–280 functions as the last recollection, as it were, of the structural F-minor harmony that opens the overture and that returns at the beginning of the recapitulation. (Incidentally, the impression of a recollection is enforced by the thematic design of the music: the rhythmic figure governing the thematic material that opens the first section of the coda, and occurring therefore when the F-minor chord of m. 275 is reached, is first heard in the opening measures of the overture and then in the second group.⁷) But since the F-minor chord of m. 275 is not a structural harmony, there is a direct voice-leading connection between the D \flat -major harmony that ends the recapitulation and the dominant, attained in m. 285, that is resolved in the Victory Symphony to an F-major chord (Ex. 9.1a). So the factor that displaced the expected F-minor chord at the end of the recapitulation—the D \flat -major harmony—moves, in the deep middleground, directly to the dominant chord, the factor that leads, in the Victory Symphony, to F major. Within this motion from the D \flat -major harmony to the F-major chord of the Victory Symphony, the F-minor chord, the point of departure of the overture's drama, is recalled but without being brought back as a structural element.

In addition to the F-minor chord, the first section of the coda recalls the neighbor-note D \flat . Mm. 279–286 consist, on the musical surface, of a chord progression I–(VI)–II⁶–V in F

⁶ Scholars dealing with the *Egmont Overture* are not unanimous in locating the boundary of the beginning of the coda. Susanne Steinbeck, for example, uses the term "epilogue to the recapitulation" (*Reprisenepilog*) when describing mm. 259–286, and she maintains that the Victory Symphony alone forms the coda. See Steinbeck 1973, 100. I prefer to call the entire section beginning in m. 259 a coda, since prior to it all the thematic material of the exposition has been recapitulated.

⁷ Ludwig Misch has argued that the fact that the rhythmic figure heard at the beginning of the introduction and in the second group returns in F minor in the coda is the very reason for the fact that the second group of the recapitulation is in D \flat major. He maintains that the D \flat major of the recapitulation shows that the thematic development of the overture has not yet attained its goal and that this rhythmic figure must, therefore, still be heard in F minor. Hence he interprets the F minor reached in m. 275 as the goal of the course of the music. See Misch 1953, 97–99.

minor. In the top voice these measures are governed by a C–D \flat –C motion (Ex. 9.10b). Hence the music refers, in the foreground, to the important D \flat , right at the moment when the D \flat of the bass descends, at deep structural levels, to C, the dominant that prepares the F major of the Victory Symphony.

EXAMPLE 9.10. *Egmont*, mm. 259–285, voice-leading sketch

259 267 275 285

a) N P (antic.) 5

259 265 267 273 275 281 283 285

b) N (antic.) 5

* * *

8 5 8

VI ("T") V

When the Victory Symphony begins in m. 287 the music undergoes tremendous changes: the key turns from F minor to F major, the tempo from *Allegro* into *Allegro con brio*, the meter from 3/4 into 4/4, and the character from the impression of expectation that governs mm. 279–286, the end of the first section of the coda, into the jubilant nature of the Victory Symphony.

Ex. 9.11 shows the voice-leading structure of the Victory Symphony. The dominant chord reached in m. 285 is still prolonged in mm. 287–294. This prolongation, an extension of an unresolved tension, ties the beginning of the Victory Symphony and the music preceding it

into one continuum in spite of the great change in the surface design.⁸ In mm. 287–294 a line ascends from an inner-voice C to B \flat , the seventh of the dominant chord prolonged in the middleground (Ex. 9.11b). The dominant is resolved, in m. 295, to a tonic, and the top voice descends from B \flat to A. The top-voice descent then continues via G to an F attained in m. 307 (Ex. 9.11). In my view this F is not to be understood as the $\hat{1}$ that ends the *Urlinie* but as an inner voice note: the *Kopfton* is regained almost immediately in m. 309.⁹

EXAMPLE 9.11. *Egmont*, Victory Symphony, voice-leading sketch

The image shows two musical sketches, labeled a) and b), for the Victory Symphony from *Egmont*. Both sketches cover measures 287 to 341. Above the staves, measure numbers are indicated: 287, 294, 295, 306, 307, 309, 321, 323, 334, 341. Below sketch a), the chord symbols are v^8 —7, I, (V I), v^7 , I, V, I. Above sketch b), measure numbers are also indicated: 287, 294, 295, 300, 301, 306, 307, 309, 319, 321, 323, 331, 334, 341. Below sketch b), the chord symbols are v^8 —7, I, (V I), v^7 , I, V, I. The sketches show voice-leading lines for the top and bottom voices, with various annotations such as 'three times' and 'twice' indicating repeated patterns.

⁸ Ernst Oster has shown that the beginning of the Victory Symphony is also motivically connected to the preceding overture: see Oster 1983, 211, especially Ex. 1c.

⁹ Ernst Oster seems to interpret the F of m. 307 as the concluding note of the *Urlinie*. In his study he does not discuss the background of the overture but he writes that "[in m. 307] we have, in a way, arrived at the end of the composition, and what follows has the character of a coda" (Oster 1983, 220). One may assume that he uses here the term coda in the sense that Schenker uses it, i.e., to denote the music following the completion of the *Ursatz*. (For Schenker's definition of coda, see Schenker 1979, 129–130.)

When the inner-voice F is reached in m. 307, a two-measure thematic figure begins that is repeated five times, each time with more force and more fully orchestrated. This figure is the overture's last reference to the prominent pitch-class D_b that has greatly influenced the course of the work (see the asterisk in Ex. 9.12). D_b is now, however, not emphasized: it is a chromatic passing tone clearly subordinate to the diatonic D_b that precedes it. It is as if the music were recalling in the Victory Symphony the preceding drama, represented here by the D_b , but the subordinate role that this pitch class now plays shows that the tragic features of the overture have, indeed, been left behind.

EXAMPLE 9.12. *Egmont*, motivic D_b in m. 308



After the figure shown in Ex. 9.12 has been heard for the fifth time in mm. 315–316, the top voice begins to ascend from F, regaining the *Kopfton* C in m. 319 (Ex. 9.11b). It is now that the *Uralinie* begins to descend. The character of the music and the fanfares heard in mm. 319–341—in the very measures in which the actual descent of the *Uralinie* takes place—underline the impression that the tonal closure of the overture, and the end of its dramatic course, take place in the jubilant world of the Victory Symphony, and that the oppressive character of the preceding overture is over.

9.5 PROGRAMMATIC ASPECTS

Goethe's *Egmont* is set in the Netherlands in the mid-sixteenth century. The country was at the time under the rule of Spain, and the relations between the local people and the Spanish rulers create the main tensions of the text. In the play the Dutch feel that they are not given the sovereignty they deserve: the Spaniards do not allow them to practice the Protestant religion and the foreign rulers require a share of the wealth of the people. To calm down the growing unrest and opposition toward the Spaniards, the King of Spain sends the Duke of Alba, a soldier known for his cruelty, to replace the regent of the Netherlands, Margaret of Parma, who opposes violent actions against the people. Egmont is a Dutch Count and a hero of his compatriots. Unlike the other noblemen, he does not flee when the Duke of Alba arrives. Alba arrests Egmont and sentences him to death. Just before the execution is carried out, Egmont has a dream in which he sees that his death will bring freedom to the Netherlands. Therefore his death is a step that leads to the liberation of his country, and the play ends on a victorious

note: "As he advances toward the guards and the door rear, the orchestra strikes up and ends the play with a Victory Symphony."¹⁰ (It is worth noting that the term Victory Symphony used by Beethoven to describe the final piece of incidental music—heard also at the end of the overture—is taken directly from Goethe.)

Beside this primary plot there is a secondary one centering on the love between Egmont and Clärchen. When Clärchen finds out that Egmont has been sentenced to death, and as she notes that there is nothing she can do to help him, she commits suicide. In the dream that Egmont has at the end of the play it is Clärchen, disguised as Freedom, who tells him about the forthcoming liberation. Her appearance in the dream creates an impression that her death also functions as a step toward the forthcoming freedom that Egmont's execution brings about.

Egmont's dream has a profound effect on the play's narrative structure. The play is, in principle, about the combat between justice and injustice, represented by Egmont and Alba, or, in a more general sense, the Dutch and their Spanish rulers. The text itself ends with Egmont being brought to the scaffold, and therefore injustice seems at first to be victorious. But Egmont's dream shows that justice will, eventually, prevail. This victory, however, will take place only in the future. Hence the end of the text is, rather unusually, only a midpoint, so to speak, of the play's narrative structure, which can be summarized as follows. The Spanish rulers, personified by Alba, treat the Dutch unjustly. Egmont defies the Spaniards and is sentenced to death. He is executed but his death brings about the future liberation of the Dutch.

I do not believe that the *Egmont* Overture reflects in any detailed sense the content of Goethe's play or even many of its basic tensions. The concluding Victory Symphony is the only section of the work that has overt programmatic implications: it reflects quite obviously the fact that the Dutch will, eventually, attain freedom.¹¹ But to interpret the music preceding the Victory Symphony in any directly programmatic way would be, in my view, dubious. Yet I do not read the Victory Symphony as an isolated programmatic element that is unrelated to the rest of the overture. It is an inseparable part of the dramatic unfolding of the music, and the programmatic quality of the *Egmont* Overture results from the interaction between the direct programmatic implications of the Victory Symphony and the purely musical role it plays in the piece.

In the formal design the close of the recapitulation denotes the end of the actual sonata form of the overture. The recapitulation is followed by a coda. In the tonal design the first section of the coda (mm. 259–286) brings the music, in m. 275, back from the D_b major that

¹⁰ Goethe 1960, 120. The translation has been slightly modified: Trask translates *Siegessymphonie* as "symphony of victory."

¹¹ Beethoven himself expressed the idea that the overture was to reflect the ultimate victory of the Dutch. He wrote in the sketches of the overture that "the main point is that the Dutch will eventually gain victory over the Spaniards" (quoted in Floros 1989, 82). The programmatic role of the Victory Symphony has been noted by many commentators on the *Egmont* Overture. Scholars disagree, however, on how its dramatic allusions should be interpreted. See, for example, Burnham 1995, 124–142; Dahlhaus 1991, 13–16; Steinbeck 1973, 100; and Tovey 1981, 146–147.

ends the recapitulation to F minor, the tonic key. As Ex. 9.10 shows, the F-minor chord of m. 275 is not, however, a structural harmony. The tensions of the voice-leading structure are hence unresolved when the recapitulation and the first section of the coda end. These tensions are resolved only in the Victory Symphony, the second section of the coda. The Victory Symphony has a radically different character from the music preceding it and one has the impression that the first section of the coda closes one unit in the formal design, but that it leaves at the same time the voice-leading structure open. The Victory Symphony, then, begins a new formal unit and closes the voice-leading structure.

The programmatic implications of this interaction between the voice-leading structure and the formal design are, in my view, as follows. The fact that the recapitulation and the first section of the coda end before the tonal tensions are resolved may be interpreted as reflecting the situation encountered in Goethe's text in which the actual play ends before the goal of its narrative, the liberty of the Dutch, has been attained. In the play freedom will be reached only in the future, i.e., after the play has ended. Similarly, in the *Egmont* Overture the end of the recapitulation completes the actual sonata form and the first section of the coda brings back the key of F minor, though with no structural tonic chord. But the final closure of the music is arrived at only in the Victory Symphony when the *Uralinie* descends. So the goal of the voice-leading structure is attained only after the sonata form, the principle organizing the formal design of the overture, has been completed. This ambiguous situation could be interpreted as mirroring Goethe's play where the end of the actual text is not yet the final goal of the narrative.¹²

On the musical surface there is a detail that may be interpreted as underlining the programmatic reading suggested above. Several scholars have argued that the emphatic descending fourth C–G, played by the violins in m. 278, and the rest following it are a musical image of the actual execution of *Egmont*.¹³ This dramatic gesture that takes place when F minor is attained as a key, but not as structural tonic chord, can be interpreted as implying that in the same way as one unit of the formal design has now attained its closure, the events of the play, too, have come to an end. This programmatic interpretation of m. 278 would, therefore,

¹² Ernst Oster has shown a motivic transformation that supports this programmatic interpretation beautifully (Oster 1983). Briefly, he indicates how the descending fourth-progression F–E_b–D_b–C that spans the top voice of the entire introduction changes, through several transformations, into the piccolo's whistling fourth-figure C–D–E–F that closes the Victory Symphony in mm. 343–347. He also suggests a dramatic, but not directly programmatic, role for this transformation: "How different this whistling sounds to our ears if we remember its musical origin, how fraught it is with the deepest meaning! It is a victory symphony in the literal sense of the word, and we are witness to that struggle and ultimate triumph. We hear the drama of the motif as it frees itself from tragic somberness, as it undergoes various transformations and finally emerges victoriously" (ibid. 221).

¹³ Hugo Riemann was, to the best of my knowledge, the first one to suggest this interpretation in the additional material he wrote to his edition of Thayer's *Life of Beethoven* (see Thayer 1923, 3: 241). This interpretation is lent credibility by the fact that Beethoven wrote in his sketches around the same time as he composed the *Egmont* music that "death may be depicted by a rest" (Nottebohm 1887, 277). This comment does not refer to the *Egmont* Overture, however.

further emphasize the notion that freedom, represented in the overture by the Victory Symphony, is reached only in the future.

As in the *Coriolan* Overture, so in *Egmont* the entire programmatic interpretation of the overture results from the direct extramusical allusions created by the end of the piece and the interaction that these implications have with deep structural levels. Hence we encounter, again, a situation where the distinct programmatic features of the musical surface are transferred, so to speak, to the tonal tensions of the deep-level voice-leading structure.

■ CHAPTER 10

THE *FIDELIO* OVERTURE, OP. 72

When revising *Fidelio* in 1814, Beethoven reversed the order of the first two scenes, and consequently the final version of the opera begins with the duet of Marcellina and Jacquino in A major instead of the aria of Marcellina in C minor. Because of the new key in which the work began, Beethoven probably felt that the overture, too, should no longer be in C major, and so the *Fidelio* Overture is in E major. But Beethoven did not immediately start to sketch the *Fidelio* Overture that we now know. He initially planned at least two different overtures to open the revised version of the opera: one in C major that quotes the Florestan theme and the other in E major that is based on the material of *Leonore* 1.¹ In the final overture he gave up the idea of quoting the Florestan theme. The sketches show that Beethoven originally planned, instead, to include the trumpet fanfare.² But this idea too was given up and hence the *Fidelio* Overture quotes no material from the opera.

¹ See Nottebohm 1872, 74–76; and Tyson 1977, 201. The sketches for *Fidelio* show that in 1814 Beethoven was also working on material from *Leonore* 2 or *Leonore* 3 (Nottebohm 1887, 297; and Tyson 1977, 196). Alan Tyson has, however, convincingly argued that these sketches were done after Beethoven had decided to write the *Fidelio* Overture. Tyson suggests that since Beethoven could not finish the new overture by the first performance of the opera's revised version, he sketched revisions for the older ones and attempted to have a revised version of these for the first performance. See Tyson 1977, 200–202.

² See Nottebohm 1887, 295.

10.1 FORM AND VOICE-LEADING STRUCTURE: AN OVERVIEW

The *Fidelio* Overture is in a somewhat unusual sonata form with an extended introduction. The top voice of the introduction consists of an initial ascent moving from E to B. The bass that supports the ascent moves from the opening tonic to a dominant chord (Ex. 10.1b). The deep-level voice-leading structure of the exposition is quite common for a major-mode sonata form. The music moves from the initial tonic to a dominant which supports, in the top voice, $\hat{2}$ coming from an inner-voice $\hat{3}$ (Ex. 10.1a). But the formal design of the exposition is uncommon. In my view there is no actual second group. The music consists, rather, of an uninterrupted motion from the opening tonic chord via II^\sharp to the dominant chord of mm. 110 ff. that closes the exposition.

The development section is quite short. In it a seventh is added to the dominant, and the V^7 prepares the tonic that opens the recapitulation (Ex. 10.1a). In the recapitulation the music moves from the tonic key to a firmly tonicized C major (mm. 200 ff.). The C-major chord, I^\flatVI , consists of a neighbor note in the top voice and an incomplete neighbor in the bass. The C-major harmony proceeds via an augmented sixth chord (mm. 220–221) to a dominant that ends the recapitulation. The descent of the *Urlinie* that takes place in the coda (mm. 230 ff.) is unusual in that it occurs above a sustained dominant. So the $\hat{3}$ is not supported by consonant harmony.

10.2 INTRODUCTION AND EXPOSITION

At the beginning of the introduction two tempi, Allegro and Adagio, alternate. The slow tempo, Adagio, governs most of the introduction. The Allegro, heard in mm. 1–4 and mm. 13–16, anticipates the tempo of the main body of the overture. In addition to the tempo, the thematic material of mm. 1–4 and mm. 13–16 associates these measures with the opening of the exposition. Ex. 10.2 shows the voice-leading structure of the introduction. The Allegro passages consist of harmonic I–V motion, first in E major (mm. 1–4) and then in A major (mm. 13–16). The A-major chord of the second Allegro passage is transformed, in m. 19, into an A-minor harmony that leads, in m. 21, into an F-major chord. The F of the bass is a passing tone. It continues, in m. 22, to a G supporting a chord that functions as a V of a C-major chord that is quite firmly tonicized in m. 23. In the top voice mm. 1–25 consist of an ascending third E–F–G that starts the initial ascent (Ex. 10.2).

EXAMPLE 10.1. *Fidelio* Overture, an overview

23 31 49 82 110 136 147 200 222 242 244 246 258

a)

(= 3 2 ||)

I (V I) II# V 5 II 7 I V $\frac{8-7-6-5}{5-4-3}$ I

13 21 22 23 31 37 49 82 98 102 108 110 122 131 135 136

b)

(= 3 2 ||) 8 7

I V I II# (antic.) V II

Form: Intr. Exp. Dev.

147 194 200 212 220 222 230 233 236 240 242 244 246 258

b) (cont.)

N 5 4 3 2 1

$\frac{5-6-5}{3-4-3}$

I bVI V $\frac{8-7-6-5}{3-4-3}$ I

Recap. Coda

EXAMPLE 10.2. *Fidelio* Overture, introduction, voice-leading sketch

7 13 19 21 22 23 27 31 35 37 41 43 45 49

The C of the bass (mm. 23 ff.) is an incomplete neighbor, and it descends in m. 31 to B, the bass note of the dominant chord that is the goal of the introduction (Ex. 10.2). The course of the top voice is quite complex after m. 23 (Ex. 10.3). At deep structural levels it ascends from G, the top-voice note of the C-major chord, via the passing-tone A to B, the top-voice note of the dominant chord of mm. 31 ff. (Ex. 10.3a). Ex. 10.3b shows how this ascending third G–A–B occurs in the foreground. A is heard in m. 27 as the uppermost voice of a $\frac{6}{4}$ chord. In m. 29 the third and the fifth of the B-major chord of m. 31 are anticipated. When the B-major chord is arrived at in m. 31 there is still A in the top voice. In my view this A is not, however, a true seventh of a dominant that has a tendency to move downward to G \sharp , the third of a tonic chord. Rather, I read it as a rhythmically displaced sixth of a 5–6 progression above C. So it is, in essence, a suspension with a tendency to move upward to B, the octave of a dominant chord. But the rhythmic displacement disguises this rising tendency and the A \sharp of mm. 35–36 is necessary to provide the impulse for the top voice to move forward to B. The B that appears in m. 37 finally in the foreground is the goal of the initial ascent. In m. 45 there is an A that functions, now, as a true seventh of the dominant, and this seventh is resolved to G \sharp when the exposition begins in m. 49 (Ex. 10.2)

EXAMPLE 10.3. *Fidelio* Overture, mm. 23–37, voice-leading sketch

23 27 31 23 27 29 31 37

The exposition divides into two main sections of which the first (mm. 49–81) prolongs the tonic chord and the second (mm. 82–119) moves from tonic to dominant (Exs. 10.1 and 10.4). In the first main section the tonic chord is prolonged with a fifth-progression descending from B (Ex. 10.4). The way this fifth-line is organized in the foreground is interesting (Ex. 10.5). A dominant chord is heard in m. 57 with B still in the top voice. The V is then prolonged until m. 63. The top-voice motion down from B to E is very brief, lasting only two measures. The first four notes of this descent are heard above B in the bass, and hence the G \sharp of the fifth-progression, the local $\hat{3}$, is a passing tone, a top-voice note of a $\hat{4}$ chord. The brackets in Ex. 10.5 show that the same melodic figure constituting the eventual descent in mm. 63–64 is heard three times in mm. 57–62.

EXAMPLE 10.4. *Fidelio* Overture, exposition, voice-leading sketch

At the beginning of the second main section of the exposition, in m. 82, the music moves abruptly to II \sharp , which is first heard with the third, A \sharp , in the bass and only in m. 86 with an F \sharp , the root of the chord (Ex. 10.4).³ The bass arpeggiates, then, down from an inner-voice F \sharp ; first to E (m. 98) and then to A \sharp (m. 102), the third of the II \sharp (Exs. 10.1b and 10.4). The II \sharp prolonged from m. 82 on moves in m. 108 to a V whose top-voice note is F \sharp , $\hat{2}$ coming from an inner-voice $\hat{3}$. The $\hat{2}$ is then prolonged with a descending fifth-progression. In my opinion the V of m. 108 is not yet to be understood, however, as a clear goal of motion, i.e., as the definite attainment of the structural dominant. Rather, since it occurs within a unified thematic figuration, extending to the beginning of m. 110, I read the B-major chord of m. 108

³ In Donald Francis Tovey's view, m. 82 begins the second group. He writes that "[t]he 'second subject' [mm. 82 ff.] is in the dominant, as usual, and contains several short new themes" (Tovey 1981, 142). This view is held also by Susanne Steinbeck (Steinbeck 1973, 25). I agree with Tovey and Steinbeck in that m. 82 begins a new subsection of the exposition, but since the beginning of this section is so clearly transitional—prolonging the II \sharp that leads to V in m. 110—I prefer to call it the second main section of the exposition rather than the second group.

as an anticipation of the strong V arrived at in m. 110.⁴ In other words, mm. 108–110 create an effect somewhat similar to an auxiliary cadence starting with a I⁶.

EXAMPLE 10.5. *Fidelio* Overture, mm. 55–64, voice-leading sketch

As is widely known, in major-mode sonata-form movements the structural V of the exposition is very often prolonged with a fifth-line descending from $\hat{2}$. This descent usually constitutes the opening thematic idea of the second group. The fifth-progression of the *Fidelio* Overture does not, however, organize the formal design of the music as the descents from $\hat{2}$ often do. The line beginning in m. 108 is very brief, lasting only three measures, and it is not emphasized in the surface design. Furthermore, the fifth-progression takes place above a B-major chord that only anticipates the arrival of the structural dominant of m. 110, not above a definitively stated V. The exposition as a whole is, therefore, a rather interesting mixture of features common and uncommon for sonata-form movements of the Classical era. It retains from archetypal sonata form the juxtaposition of I and V and the prolongation of the V with a fifth descent—now, however, with an anticipatory rather than stabilizing function—but it has no thematic contrast or formal boundary to underline the contrast of I and V.

10.3 DEVELOPMENT SECTION, RECAPITULATION, AND CODA

The development section, whose voice-leading structure is shown in Ex. 10.6, is quite brief. The top voice ascends, at deep structural levels, from the inner-voice B, reached at the end of

⁴ It would also be possible to interpret the B-major chord of m. 108 as a harmony elaborating the underlying II[♯] that would then be prolonged until the end of m. 109. I find this reading problematic in two respects: first, the fifth-progression of mm. 108–110 suggests that the chord that is being prolonged in these measures is a B-major chord; and second, the cadential progression associates the B-major chords of m. 108 and m. 110 with each other.

the exposition, to a neighbor-note $C\flat$, arrived at in m. 131. The $C\flat$ is first supported by a C-major chord (m. 131) and then by an A-minor chord (m. 135) built on a lower neighbor of B. Both the C-major and A-minor chords are prepared by their dominants. This basic voice-leading structure is somewhat concealed in the foreground by the fact that the structurally primary C-major and A-minor chords last only one measure each, whereas the applied dominant chords that precede them both extend through several measures.

EXAMPLE 10.6. *Fidelio* Overture, development, voice-leading sketch

The musical score for Example 10.6 consists of two parts, a) and b), showing voice-leading sketches for the development section of the *Fidelio* Overture. Part a) covers measures 110, 122, 128, 131, 132, 135, 136, and 147. Part b) covers measures 108, 110, 122, 128, 131, 132, 135, 136, 139, and 147. The score is in G major and features complex voice-leading with various chords and accidentals. Annotations include 'N' for neighbor notes, '5' for fifth, '8' and '7' for octave and seventh, 'antic.' for anticipations, and 'V' for dominant chords.

The first main section of the recapitulation (mm. 147–179) is, apart from the last few measures, almost identical with the corresponding passage of the exposition. (The events of this section are summed up in Ex. 10.7 by the fifth-progression B–E in parentheses.) In the second main section (mm. 180–229) the music moves from tonic to a firmly tonicized C-major chord (mm. 200 ff.) whose bass-note is an incomplete neighbor above B (Ex. 10.1). The way the music proceeds from the E to the C is quite complex. The E-major chord is first prolonged in mm. 160–184—a passage extending from the end of the first main section of the recapitulation to the beginning of the second—with a fourth-progression E–B descending from the top voice to an inner voice (Ex. 10.7). The E-major chord of m. 184 is then followed, in mm. 184–194, by an ascending line E–F \sharp –G whose last note functions as a V of C. The C-

major chord that is attained in m. 200 is prolonged with a descending fifth-progression ending with a C, a deep-level neighbor note above $\hat{5}$ (Exs. 10.1b and 10.7).

EXAMPLE 10.7. *Fidelio* Overture, mm. 148–212, voice-leading sketch

The recapitulation repeats some structural features of the introduction in a modified form (cf. Exs. 10.2 and 10.7). First, in both sections there is a motion in the bass from E to C, an incomplete neighbor note, and then to B. Second, the motion from an E-major chord to a G, functioning as V of C, is carried out in both sections with passing motions heard both in the top voice and in the bass. In the introduction the motions consist of ascending lines E–F–G, and in the recapitulation of E–F \sharp –G. And third, in both introduction and recapitulation A major plays a somewhat prominent role in the motion from E major to C major. In the introduction the A-major chord, later transformed into A-minor chord, is prolonged in mm. 13–20. In the recapitulation the music implies, at the beginning of the second main section, a motion toward a tonicized A major. As Ex. 10.7 indicates, there is a chromatic passing-tone D \flat in the fourth-progression descending from E to the inner-voice B of m. 184. As a consequence, the E-major chord of m. 184 is locally understood as a V of A. However, A major never materializes as a definite key.

From the top-voice C (m. 212), the deep-level neighbor note, the music moves via an augmented sixth chord (m. 220) to a dominant that ends the recapitulation (Ex. 10.8).⁵ The coda (mm. 230 ff.) consists of two sections, separated by a dotted bar line in Ex. 10.8. In the first material that opened the introduction returns. Even though there are three E-major chords in this section, none of them functions as a structural harmony (Ex. 10.8). The E-major chord that begins the coda (mm. 230–232) is a $\frac{4}{4}$ chord that is formed of neighboring motions above a

⁵ The location of the beginning of the coda is somewhat indistinct. It would be possible to maintain that the C-major chord of m. 212 would close the recapitulation. However, because of the unifying thematic material I prefer to read the recapitulation as extending to m. 229.

sustained B in the bass, and the E-major chord that follows in mm. 236–239 is built on an upper fifth of A. The A of the bass (mm. 240–241) is a neighbor note that gives consonant preparation for the $\hat{4}$ of the *Urlinie* that is heard, in m. 242, as the top voice of a dominant chord. The *Urlinie* then continues, first to $\hat{3}$ (m. 244) which is supported by a $\hat{4}$ chord, the third of the E-major chords that receive no structural status, then to the $\hat{2}$ (m. 246) that is heard at the end of the first section of the coda.

The second section of the coda (mm. 248 ff.) begins with a neighboring motion C–B (Ex. 10.8). This motion is a reminiscence, as it were, of the emphatic C–B motions heard in the introduction and recapitulation at deeper levels (Ex. 10.1a). In m. 255 the chromatically altered C is transformed into its diatonic version C \sharp , after which the dominant chord is resolved to a tonic chord and the *Urlinie* descends to $\hat{1}$ (Ex. 10.8).

EXAMPLE 10.8. *Fidelio* Overture, mm. 212–258, voice-leading sketch

The descent of the *Urlinie* is unusual in that it takes place in its entirety above a sustained dominant in the bass. Therefore $\hat{3}$, an inherently stable third of a tonic chord, is a passing tone. This procedure has been anticipated earlier in the overture at more local structural levels. Ex. 10.5 shows that the situation is similar in the fifth-progression B–E that opens the exposition. Also there G \sharp , the local $\hat{3}$, is a passing tone above a sustained dominant in the bass. A somewhat similar situation can also be found in the C-major passage of the recapitulation (Ex. 10.7). G of the top voice (mm. 200 ff.) descends to C rapidly in mm. 210–212. The descent takes place, in principle, above a sustained dominant. But the situation is here different from those described above, in that the local $\hat{4}$ is not a seventh of a dominant chord but an octave above a neighbor-note F.

10.4 PROGRAMMATIC ASPECTS

In my view one cannot offer a convincing programmatic interpretation of the *Fidelio* Overture. Apart from *Coriolan*, the *Fidelio* Overture is the only one of the pieces discussed in the present study that quotes no material of the opera or incidental music that follows it. In the *Coriolan* Overture there could not be, of course, references to the following music since the piece was written to precede a play, not to open an opera or incidental music. But as we saw in chapter 8, the final measures of the work are so clearly descriptive that they justify a programmatic interpretation as the quotations do in the other overtures. The *Fidelio* Overture opens an opera and hence Beethoven could have included quotations that would create direct extramusical references. Indeed, as we saw at the beginning of the present chapter, he actually first planned to do so but then gave up the idea.

There are, however, certain structural features in the *Fidelio* Overture that could be interpreted as reflecting the basic tensions of the opera. One could, for example, maintain that the fact that the opera opens with Florestan being in danger and ends with his rescue could be interpreted as being mirrored either by the return of the opening material of the introduction in the coda when the *Uralinie* descends or by the correction, so to speak, of a prominent chromatically altered motivic element (C_{\sharp}) to its diatonic origin (C_{\natural}) right before the structural $\hat{1}$ is attained. Or one could suggest that the fact that the same voice-leading procedures that govern the course of the introduction return in the recapitulation would imply that the overture recalls the opening situation at the end of the piece, only slightly before the *Uralinie* begins to descend, hence associating the beginning of the piece with the resolution of the deep-level voice-leading tensions of the music. However, since there is nothing in the music that would link these musical features with the tensions of the text underlying the overture, as there is in all the other pieces discussed in the present study, I do not find programmatic interpretations like these plausible. Admittedly, the *Fidelio* Overture is certainly a dramatic piece, but its drama is, at least as far as we can tell, purely musical, and therefore I do not interpret the features described above as references to the tensions of *Fidelio*.

■ CHAPTER 11

EPILOGUE

11.1 CHANGES IN THE PROGRAMMATIC ORGANIZATION OF BEETHOVEN'S OVERTURES

In this final chapter I shall first attempt to outline the changes that take place in the way in which the programmatic features organize the course of the overtures that have been analysed in the present study. Such an attempt is necessarily rather hazardous. The pieces do not form an integrated oeuvre. They were written during a period of nine years for a number of purposes—to open an opera, as part of incidental music, or to precede a play. Hence they are not related closely enough that it would be plausible to argue that they show a clear and unequivocal development from one kind of programmatic organization to another. Furthermore, the changes in the programmatic features of the individual overtures do not form a continuum from one to the next. Yet I believe that one may observe a general, albeit rather indistinct, trend in the changes that take place in these overtures.

In the preceding chapters I have suggested that apart from the *Fidelio* Overture, each of the pieces discussed reflects an underlying program both at deep structural levels and on the musical surface. The programmatic associations created by the musical surface fall into two basic categories: 1) direct quotations from the opera (the three *Leonore* Overtures) or the incidental music (*Egmont*) that the overture precedes; and 2) the strongly descriptive character of certain passages of the music (*Coriolan*). In each overture, music that creates extramusical allusions on the surface is heard at moments highly important for the organization of the deep-

level voice-leading structure. Thus the programmatic features of local and deep levels interact, and the dramatic implications of the musical surface may be interpreted as being transferred, so to speak, to the tonal tensions of remote levels.

The extent to which the programmatic features organize the course of the music changes from overture to overture. The earliest, *Leonore 2*, is the most overtly programmatic. In it Beethoven abandons many of the principles of archetypal sonata form and introduces a highly original voice-leading structure to reflect the tensions of *Fidelio*. In *Leonore 2* the programmatic features largely organize both the course of the musical surface and deeper structural levels. When writing *Leonore 3*, a revised version of *Leonore 2*, Beethoven abandoned the most extreme compositional procedures of its predecessor. The most important of the revisions is the fact that *Leonore 3* is in full sonata form. As in *Leonore 2*, programmatic features play an important role both on the musical surface and at deeper structural levels. But these features are fewer in the foreground, and they organize the general course of the music far less in *Leonore 3* than in the earlier work.

The next overture, *Leonore 1*, is not as overtly programmatic as its two predecessors. Beethoven does quote the Florestan theme in it, hence drawing an association between the overture and the opera that follows it, but the Florestan theme is now not used in as clearly a programmatic manner as in the two earlier overtures. At deeper structural levels there is only one feature that can be interpreted programmatically: the end of the exposition creates an impression of questions left unanswered, as it were, and these are answered only in the jubilant conclusion of the overture. This impression may be suggested to mirror the basic tension of *Fidelio*. This interpretation is supported by the way in which the Florestan theme is used in the overture.

The form and the deep level voice-leading structure of the next overture, *Coriolan*, are in their originality second only to those of *Leonore 2*. The unconventional features of the piece would seem to reflect the basic tensions of Collin's play. In the overture there are no directly programmatic factors, but the final measures can be interpreted as a musical image of Coriolan's death. The arrival at the $\hat{1}$ that ends the *Urlinie* only in these measures supports the interpretation that the musical and dramatic tensions are ultimately resolved only there. In the *Egmont* Overture the programmatic quality results from the role that the concluding Victory Symphony plays in the whole—i.e., from the interaction of formal design and voice-leading structure. But apart from the Victory Symphony, no section of the work can be interpreted as creating distinct extramusical associations.

The last piece, the *Fidelio* Overture, quotes no material from the opera and cannot be interpreted, in my view, in a directly programmatic manner. But we can see from Beethoven's sketches that he first planned to include in this work too the trumpet fanfare, a clearly programmatic element. Therefore he may have considered initially to refer to the opera in this piece too, as he had done in the three earlier overtures written for *Fidelio*.

From the foregoing discussion one may draw the following conclusions. The overtures discussed in this study move from an overtly programmatic piece, *Leonore 2*, to an overture that creates no direct extramusical associations, the *Fidelio* Overture.¹ Between these two extremes there are pieces that reflect the programs but in a more covert manner than *Leonore 2*, whose programmatic quality results considerably from the features of the musical surface—the entire second large phase of the overture's voice-leading structure reflects quite directly the events of *Fidelio*. Programmatic factors in the foreground play an important role also in *Leonore 3*. This is not the case in the later overtures. In *Leonore 1*, *Coriolan*, and *Egmont* there is only one passage in each that creates extramusical implications on the musical surface. (In the *Egmont* Overture this passage, the Victory Symphony, is quite substantial.) This one passage is, however, of crucial importance for the programmatic quality of the three works. Finally, after writing the five quite clearly programmatic overtures, Beethoven composed the *Fidelio* Overture in which the musical surface suggests no extramusical allusions.

By saying that the later overtures are less overtly programmatic than the earlier, I do not maintain that their music would therefore follow conventional Classical procedures more rigidly. Each of the overtures applies sonata form in a more original way than the vast majority of Beethoven's middle-period works, not to speak of pieces by other Classical composers. *Leonore 2* even surpasses the borders of sonata form in that it has no recapitulation, the third of the main formal sections, and *Coriolan* approaches those borders since its recapitulation is somewhat truncated and begins in the subdominant. As I have argued throughout the present study, the texts associated with the music help one to explain these unconventional features. This raises two fundamental questions. First, if one wishes to understand deeply the purely musical aspects of the overtures, does one have to take the programs into consideration? Second, should one suggest that the uncommon features of the *Fidelio* Overture, too, result from programmatic associations which cannot, however, be recovered since the piece makes no direct extramusical references?

The answer to the first question is yes, I think. Even though one might come up with a similar analysis of the musical aspects of the pieces without knowing the programs, knowledge of them gives one a chance to suggest reasons that gave rise to the unusual musical features. So the underlying texts may help one to deepen and widen the interpretation of the overtures, even if it did not change anything in the actual technical analyses. The question of the *Fidelio* Overture is more problematic. Since the earlier overtures are so clearly associated with programs, it would seem at least possible that the libretto of *Fidelio* might explain the unusual aspects of the overture. But since the musical surface creates no extramusical associations, a programmatic interpretation would necessarily be rather arbitrary, so I will refrain from offering one.

¹ This development has been described along similar lines by Paul Bekker, Josef Braunstein, and Susanne Steinbeck: see Bekker 1925, 247–248; Braunstein 1927, 154–155; and Steinbeck 1973, 24.

11.2 THE RELATION OF BEETHOVEN'S OVERTURES TO HIS OTHER INSTRUMENTAL WORKS AND TO LATER NINETEENTH-CENTURY MUSIC

The unusual features that create the programmatic quality of the overtures were not all unheard of in Beethoven's instrumental music written before or around the same time as these works. And in addition to Beethoven's output, one occasionally encounters somewhat similar procedures in later nineteenth-century music. I shall close the present study by briefly referring to a few of Beethoven's works and to music by composers of following generations which have some common technical features with Beethoven's overtures. None of the pieces to be discussed has an explicit program. So the aspects they share with the overtures do not now call for extramusical explanations.²

EXAMPLE 11.1. Beethoven, Piano Sonata Op. 31/2, I, end of the development and recapitulation, voice-leading sketch

Form: Dev. Recap.

The highly unconventional first movement of Beethoven's D-minor Piano Sonata Op. 31/2 (1802) resembles *Leonore 3* in one important respect: in both pieces none of the tonic chords that follow the interruption of the development section is emphasized on the musical surface, except for the one that closes the *Ursatz* at the end of the work (cf. Exs. 6.15 and 11.1). In the Piano Sonata there are four structural tonic chords in the recapitulation: in m. 148, m. 193, m. 202, and m. 217 (Ex. 11.1). In addition to these, m. 185 has a strong I^6 that begins an auxiliary cadence. Of these chords only the last is strongly emphasized in the

² In one of the works I shall deal with—Beethoven's Piano Sonata Op. 31/2, I—the composer suggested, according to Schindler's testimony, that Shakespeare's *Tempest* can be associated with the work: see Schindler 1966, 406. Even if we trust Schindler here, it seems probable that Beethoven meant a spiritual kinship between the two works rather than a structural analogy.

foreground. Hence the other tonic harmonies have a kind of parenthetical quality, and the dominant chords appear to be associated with each other even though there is no voice-leading connection between them (see the parentheses and asterisks in Ex. 11.1). So neither in *Leonore 3* nor in the first movement of the Piano Sonata does the beginning of the recapitulation signal the start of a new musical process as the opening of this section usually does.³

EXAMPLE 11.2. Beethoven, Piano Trio Op. 70/2, IV, recapitulation and coda

181 208 209 236 242 252 288 298 301 311 312 335 348

I V / VI VI \flat V I V I

Form : Recap. 2nd group Coda 2nd group
1st group

One can find a counterpart, so to speak, for the *Egmont* Overture, and specifically for the Victory Symphony, in Beethoven himself in the fourth movement of the F-minor String Quartet Op. 95 (1810–11). Both somewhat gloomy pieces are closed by a major-mode coda in a faster tempo.⁴ The unusual tonal scheme of the recapitulation of the *Egmont* Overture, in turn, was preceded by the fourth movement of the E \flat -major Piano Trio Op. 70/2 (1808) (cf. Exs. 9.1 and 11.2). In both pieces the entire second group of the recapitulation is heard in the key of the sixth degree. So when the music arrives at the end of the sonata form, it is not in the tonic key, and the voice-leading tensions are still unresolved. In the coda of the Piano Trio the second group is repeated, and now it is in the main key and hence the *Ursatz* is closed. In spite of the similarities in tonal organization, the effect this plan produces is very different in the two pieces. In the overture the tonal scheme postpones the structural closure from the main body of

³ Edward Laufer has also noted that the tonic chord that begins the recapitulation of the Piano Sonata is a structural chord, but that at the same time the dominant harmonies of the end of the development section and m. 171 of the recapitulation appear to be associated with each other, thus creating the impression of a parenthetical return: see Laufer 1996, 102–104.

⁴ The analogies between the two pieces extend beyond this formal similarity: both are in F minor; in both, pitch-class D \flat functions as a prominent neighbor-note motive (this is true also of another well-known F-minor work, the Piano Sonata Op. 57, I); and in both, the *Ursatz* descends only in the major-mode coda.

the work to the Victory Symphony. At the same time it puts off the attainment of the goal of the drama, the freedom of the Netherlands. In the Piano Trio, in turn, the tonal scheme underlines the playful character of the movement.

EXAMPLE 11.3. Schumann, Symphony Op. 120, I, an overview

29 50 59 97 101 121 173 175 195 285 336 337

3

2 1

V⁸⁻⁷ I III V I#

Form: Intr. Exp. Dev. Coda

I am not aware of any Beethoven work that uses procedures similar to those creating the programmatic character of the two most extreme overtures, *Leonore 2* and *Coriolan*. However, in the music of the later nineteenth century one can find features that are somewhat analogous to those of the overtures, although by no means identical. The form of the first movement of Schumann's Fourth Symphony Op. 120 resembles that of *Leonore 2* (cf. Exs. 5.1b and 11.3). Specifically, in both pieces the development section is followed directly by the coda. Further similarity is created by the fact that the introductions prolong dominant chord with a passing seventh.⁵ But apart from the dominant harmony governing in the introduction and the undivided *Ursatz*, the voice-leading structure shows no noteworthy similarities in the two pieces.

Although very rare in the Classical era, the subdominant recapitulation, a factor characterizing the *Coriolan* Overture, became more common among composers of the nineteenth century. Schubert, in particular, was fond of this procedure.⁶ Moreover the principle of composing sonata-form movements with an undivided *Ursatz*, a feature

⁵ It is even possible that Schumann based, consciously or unconsciously, some aspects of the first movement of the symphony on *Leonore 2*. Although the symphony was finished only in 1851, it had been sketched already in 1841. In 1840 Schumann had heard Mendelssohn conduct all four overtures to *Fidelio*, and his review of the works shows his enthusiasm for them, especially *Leonore 2*. See Schumann 1983, 102–103.

⁶ For discussion on this aspect of Schubert's music, see, for example, Beach 1993; Laufer 1996, 109–115; and Webster 1978, 31. Webster even suggests that *Coriolan* influenced Schubert's subdominant recapitulations. There is, also, at least one Beethoven movement preceding *Coriolan* in which the recapitulation does not begin in the tonic key: the Piano Sonata Op. 10/2, I. But here the recapitulation begins on VI[#], not on IV.

encountered in *Coriolan*, is quite frequent in nineteenth-century music. In pieces like this the opening of the recapitulation does not begin a new structural process. Ex. 11.4 shows the voice-leading structure of the first movement of Brahms's C-minor String Quartet Op. 51/1.⁷ Determining the exact location of the beginning of the recapitulation, a moment in which the structural tonic chord that follows the development's interruption usually occurs, is now impossible, as so often in Brahms. M. 133 appears to belong still to the development, but in m. 137 the recapitulation seems to have already started. The indistinctiveness of the boundary between development and recapitulation obscures the formal articulation of the movement and creates the impression that the music's dramatic arch continues past that border. To be sure, the opening theme of the movement is heard at the original pitch level in mm. 137 ff., but the harmony that supports it is not a tonic chord. So the recapitulation does not here begin a new structural process as it often does in sonata form.

EXAMPLE 11.4. Brahms, String Quartet Op. 51/1, I, an overview

23 31 60 73 75 92 115 133 147 164 172 201 214 216

I V/III III IN V I₄

Form; Exp. Dev. Recap.

The Brahms movement also resembles the *Coriolan* Overture in that in both pieces the reaching of the conclusive tonic harmony is postponed. In Brahms the music arrives at the structural dominant in m. 172. The resolution to the tonic chord that completes the *Ursatz* is then put off until m. 216, almost at the end of the recapitulation.

I do not offer these few remarks as any finished discussion on the relation that Beethoven's overtures have with other of his works or pieces by later composers. Rather, I offer them to suggest that in spite of their original aspects, the overtures share a number of features with other compositions. A fuller examination of their relation would require a study in itself. Such a work would greatly deepen our understanding of Beethoven's overtures. If we

⁷ For a somewhat different interpretation of the structure of the movement, see Smith 1994, 102.

are able to see better the context in which these pieces were composed and the way in which the procedures found in them appear in later music, we will be able to appreciate more fully the unconventional features of the works and the programmatic implications of the music.

■ REFERENCES

Note. Where a facsimile reprint of older publications is mentioned, it has been used as a source.

Abbate, Carolyn. 1991. *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century*. Princeton: Princeton University Press.

Agawu, V. Kofi. 1991. *Playing with Signs: A Semiotic Interpretation of Classic Music*. Princeton: Princeton University Press.

Barthes, Roland. 1982. "Introduction to the Structural Analysis of Narratives." In *Image, Music, Text*, selected and translated by Stephen Heath, pp. 79–124. London: Fontana Paperbacks. First published 1977. French original, "Introduction à l'analyse structurale des récits," 1966.

Beach, David. 1993. "Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure." *Music Theory Spectrum*, vol. 15/1, pp. 1–18.

Beethoven, Ludwig van. 1985. *The Letters of Beethoven*, 3 vols. Translated and edited by Emily Anderson. New York and London: W.W. Norton. First published 1961.

Bekker, Paul. 1925. *Beethoven*. Translated and edited by M.M. Bozman. London: J.M. Dent & Sons. Facsimile, New York: AMS Press, 1971. German original, *Beethoven*. Berlin and Leipzig, 1911.

Botstiber, Hugo. 1913. *Geschichte der Ouvertüre und der freien Orchesterformen*. Leipzig: Breitkopf & Härtel.

- Braunstein, Josef. 1927. *Beethovens Leonore-Ouvertüren: Eine historisch-stilkritische Untersuchung*. Leipzig: Breitkopf & Härtel.
- Broyles, Michael. 1987. *Beethoven: The Emergence and Evolution of Beethoven's Heroic Style*. New York: Excelsior Music Publishing Co.
- Burkhart, Charles. 1990. "Departures from the Norm in Two Songs from Schumann's *Liederkreis*." In *Schenker Studies*, edited by Hedi Siegel, pp. 146–164. Cambridge: Cambridge University Press.
- _____. 1991. "How Rhythm Tells the Story in *Là ci darem la mano*." *Theory and Practice*, vol. 16, pp. 21–38.
- Burnham, Scott. 1995. *Beethoven Hero*. Princeton: Princeton University Press.
- Coldicott, Anne-Louise. 1991. "Stage Music." In *The Beethoven Compendium: A Guide to Beethoven's Life and Music*, edited by Barry Cooper, pp. 249–255. London: Thames and Hudson.
- Collin, Heinrich Josef von. 1804. *Coriolan*. Vienna: Wallishauser.
- Culler, Jonathan. 1993. *Structuralist Poetics: Structuralism, Linguistics, and the Study of Literature*. Ithaca, New York: Cornell University Press. First published 1975.
- Czerny, Carl. ca. 1848. *School of Practical Composition*, 3 vols. Translated by John Bishop. London: Robert Cocks & Co. Facsimile, New York: Da Capo Press, 1979. German original, *Schule der praktischen Tonsetzung*, ca. 1849–50.
- Dahlhaus, Carl. 1991. *Ludwig van Beethoven: Approaches to his Music*. Translated by Mary Whittall. Oxford: Clarendon Press. German original, *Ludwig van Beethoven und seine Zeit*. Laaber, 1987.
- Dean, Winton. 1967–68. "Opera under the French Revolution." *Proceedings of the Royal Musical Association*, vol. 94, pp. 77–96.
- _____. 1973. "Beethoven and Opera." In *The Beethoven Companion*, edited by Denis Arnold and Nigel Fortune, pp. 331–386. London: Faber and Faber. First published 1971.
- Deane, Basil. 1972–73. "The French Operatic Overture from Grétry to Berlioz." *Proceedings of the Royal Musical Association*, vol. 99, pp. 67–80.
- _____. 1973. "The Symphonies and Overtures." In *The Beethoven Companion*, edited by Denis Arnold and Nigel Fortune, pp. 281–317. London: Faber and Faber. First published 1971.
- Fiske, Roger. 1970. *Beethoven: Concertos & Overtures*. London: British Broadcasting Corporation.
- _____. n.d. Foreword to the Eulenburg score of the *Coriolan* Overture.
- Floros, Constantin. 1989. *Musik als Botschaft*. Wiesbaden: Breitkopf & Härtel.

- Gluck, Christoph Willibald. 1994. "Preface to *Alceste*." In *Music and Culture in Eighteenth-Century Europe: A Source Book*, edited by Enrico Fubini, translation edited by Bonnie J. Blackburn, pp. 364–366. Chicago: University of Chicago Press.
- Goethe, Johann Wolfgang von. 1960. *Egmont*. Translated by Willard R. Trask. Woodbury, New York: Barron's Educational Series. German original first published 1788.
- Hatten, Robert S. 1994. *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation*. Bloomington: Indiana University Press.
- Hawkes, Terence. 1977. *Structuralism and Semiotics*. Berkeley and Los Angeles: University of California Press.
- Hess, Willy. 1953. *Beethovens Oper Fidelio und ihre drei Fassungen*. Zürich: Atlantis Verlag.
- _____. 1962. *Beethovens Bühnenwerke*. Göttingen: Vandenhoeck & Ruprecht.
- Hoffmann, Ernst Theodor Amadeus. 1989. *E.T.A. Hoffmann's Musical Writings: Kreisleriana, The Poet and the Composer, Music Criticism*. Edited, annotated, and introduced by David Charlton; translated by Martyn Clarke. Cambridge: Cambridge University Press.
- Jackson, Timothy L. 1995. "Aspects of Sexuality and Structure in the Later Symphonies of Tchaikovsky." *Music Analysis*, vol. 14/1, pp. 3–29.
- _____. 1996. "The Tragic Reversed Recapitulation in the German Classical Tradition." *Journal of Music Theory*, vol. 40/1, pp. 61–111.
- Kivy, Peter. 1984. *Sound and Semblance: Reflections on Musical Representation*. Princeton: Princeton University Press.
- Koch, Heinrich Christoph. 1802. *Musikalisches Lexikon*. Frankfurt: August Hermann. Facsimile, Hildesheim: Georg Olms Verlag, 1964.
- _____. 1983. *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*. Translated by Nancy Kovaleff Baker. New Haven: Yale University Press. Partial translation of *Versuch einer Anleitung zur Composition*, 3 vols. Leipzig, 1782–93.
- Kollmann, Augustus Frederic Christopher. 1799. *An Essay on Practical Musical Composition*. London. Facsimile, New York: Da Capo Press, 1973.
- Kramer, Lawrence. 1991. "Musical Narratology: A Theoretical Outline." *Indiana Theory Review*, vol 12, pp. 141–162.
- Lacépède, Bernard Germain Étienne. 1785. *La Poétique de la Musique*, 2 vols. Paris: Imprimerie de Monsieur.
- Laufer, Edward. 1977. "Brahms: 'Wie Melodien zieht es mir,' Op. 105/1." In *Readings in Schenker Analysis and Other Approaches*, edited by Maury Yeston, pp. 254–272. New Haven: Yale University Press. First published 1971.
- _____. 1981. Review of Schenker's *Free Composition*. *Music Theory Spectrum*, vol. 3, pp. 158–184.

- _____. 1988. "On the Fantasy." *Intégral*, vol. 2, pp. 99–133.
- _____. 1996. "Voice-Leading Procedures in Development Sections." In *Studies in Music from The University of Western Ontario, vol. 13: Music Theory Canada 1990, Selected Essays*, edited by Richard S. Parks, pp. 69–120. London, Canada: The University of Western Ontario.
- Longyear, Rey M. and Kate R. Covington. 1988. "Sources of the Three-Key Exposition." *The Journal of Musicology*, vol. 6/4, pp. 448–470.
- Marx, Adolph Bernhard. 1884. *Ludwig van Beethoven: Leben und Schaffen*. Vierte Auflage, mit Berücksichtigung der neuesten Forschungen durchgesehen und vermehrt von Dr. Gustav Behncke, 2 vols. Berlin: Verlag von Otto Janke. First edition in 1859.
- McCreless, Patrick. 1988. "Roland Barthes's *S/Z* from a Musical Point of View." *In Theory Only*, vol. 10/7, pp. 1–29.
- _____. 1990. "Schenker and Chromatic Tonicization: A Reappraisal." In *Schenker Studies*, edited by Hedi Siegel, pp. 125–145. Cambridge: Cambridge University Press.
- _____. 1991. "The Hermeneutic Sentence and Other Literary Models for Tonal Closure." *Indiana Theory Review*, vol. 12, pp. 35–73.
- Mies, Paul. 1969. "Zur Coriolan-Ouvertüre op. 62." In *Beethoven-Jahrbuch*, vol. 6, edited by Paul Mies and Joseph Schmidt-Görg, pp. 260–268. Bonn: Beethovenhaus. First published 1938.
- _____. 1985. "Beethoven's Orchestral Works." In *The New Oxford History of Music: The Age of Beethoven*, edited by Gerald Abraham, pp. 120–156. Oxford: Oxford University Press. First published 1982.
- Misch, Ludwig. 1953. *Beethoven Studies*. Translated by G.I.C. De Courcy. Norman: University of Oklahoma Press. German original, *Beethoven-Studien*. Berlin, 1950.
- Nattiez, Jean-Jacques. 1990. "Can One Speak of Narrativity in Music?" Translated by Katharine Ellis. *Journal of the Royal Musical Association*, vol. 115/2, pp. 240–257.
- Newcomb, Anthony. 1987. "Schumann and Late Eighteenth-Century Narrative Strategies." *19th-Century Music*, vol. 11/2, pp. 164–175.
- Nottebohm, Gustav. 1872. *Beethoveniana: Aufsätze und Mittheilungen*. Leipzig: Verlag von C.F. Peters. Facsimile, New York and London: Johnson Reprint Corporation, 1970.
- _____. 1887. *Zweite Beethoveniana: Nachgelassene Aufsätze*. Leipzig: Verlag von C.F. Peters. Facsimile, New York and London: Johnson Reprint Corporation, 1970.
- Oster, Ernst. 1983. "The Dramatic Character of the *Egmont Overture*." In *Aspects of Schenkerian Theory*, edited by David Beach, pp. 209–222. New Haven: Yale University Press. First published 1949.

- Osthoff, Wolfgang. 1969. "Zum dramatischen Character der zweiten und dritten Leonoren-Ouvertüre und Beethovenscher Theatermusik im allgemeinen." In *Beiträge zur Geschichte der Oper*, edited by Heinz Becker, pp. 11–24. Regensburg: Gustav Bosse Verlag.
- Plutarch. 1988. *Coriolanus*. In *Makers of Rome*, translated by Ian Scott-Kilvert, pp. 15–52. London: Penguin Books. The translation first published 1965.
- Prince, Gerald. 1973. *A Grammar of Stories*. The Hague: Mouton.
- Propp, Vladimir. 1958. *Morphology of the Folktale*. Edited by Svatava Pirkova-Jakobson, translated by Laurence Scott. Bloomington: Indiana University Research Center in Anthropology, Folklore, and Linguistics. Russian original, *Morgologija skazki*. Leningrad, 1928.
- Quantz, Johann Joachim. 1966. *On Playing the Flute*. Translated by Edward R. Reilly. London: Faber and Faber. German original, *Versuch einer Anweisung die Flöte traversiere zu spielen*. Berlin, 1752.
- Ratner, Leonard G. 1949. "Harmonic Aspects of Classic Form." *Journal of the American Musicological Society*, vol. 2, pp. 159–168.
- _____. 1980. *Classic Music: Expression, Form, and Style*. New York: Schirmer Books.
- Reicha, Anton. ca. 1833. *Traité de haute composition musicale*, 2 vols. Paris: A. Farrenc. Reprinted from the plates of the first edition, 1824–1826.
- Riezler, Walter. 1951. *Beethoven*. Zürich: Atlantis Verlag. Revised edition, first edition in 1936.
- Rimmon-Kenan, Shlomith. 1983. *Narrative Fiction: Contemporary Poetics*. London and New York: Methuen.
- Rothstein, William. 1989. *Phrase Rhythm in Tonal Music*. New York: Schirmer Books.
- Rousseau, Jean-Jacques. 1768. *Dictionnaire de musique*. Paris: Veuve Duchesne. Facsimile, Hildesheim: Georg Olms Verlag, 1969.
- Salzer, Felix. 1982. *Structural Hearing: Tonal Coherence in Music*. New York: Dover Publications. First published 1952.
- Schachter, Carl. 1983a. "The First Movement of Brahms's Second Symphony: The Opening Theme and its Consequences." *Music Analysis*, vol. 2/1, pp. 55–68.
- _____. 1983b. "Motive and Text in Four Schubert Songs." In *Aspects of Schenkerian Theory*, edited by David Beach, pp. 61–76. New Haven: Yale University Press.
- _____. 1987. "The Gavotte en Rondeaux from J. S. Bach's Partita in E major for Unaccompanied Violin." *Israel Studies in Musicology*, vol. 4, pp. 7–26.
- _____. 1991. "The Adventures of an F#: Tonal Narration and Exhortation in Donna Anna's First-Act Recitative and Aria." *Theory and Practice*, vol. 16, pp. 5–20.
- _____. 1994a. "The Prelude from Bach's Suite No. 4 for Violoncello Solo: The Submerged Urlinie." *Current Musicology*, no. 56, pp. 54–71.

- _____. 1994b. "Chopin's Prelude in D major, Op. 28, No. 5: Analysis and Performance." *Journal of Music Theory Pedagogy*, vol. 8, pp. 27–46.
- _____. 1995. "The Triad as Place and Action." *Music Theory Spectrum*, vol. 17/2, pp. 149–169.
- Scheibe, Johann Adolph. 1745. *Critischer Musikus*. Leipzig: Bernhard Christoph Breitkopf. Facsimile, Hildesheim: Georg Olms Verlag, 1970.
- Schenker, Heinrich. 1979. *Free Composition*. Translated and edited by Ernst Oster. New York: Longman. German original, *Der freie Satz*. Vienna, 1935.
- _____. 1987. *Counterpoint*, 2 vols. Translated by John Rothgeb and Jürgen Thym, edited by John Rothgeb. New York: Schirmer Books. German original, *Kontrapunkt*. Vienna, 1910 (vol. 1) and 1922 (vol. 2).
- Schindler, Anton Felix. 1966. *Beethoven as I Knew Him*. Edited by Donald W. MacArdle, translated by Constance S. Jolly. London: Faber and Faber. Translation of the third edition of *Biographie von Ludwig van Beethoven*. Münster, 1860. The first edition was published 1840.
- Schmitz, Arnold. 1925. "Cherubinis Einfluß auf Beethovens Ouvertüren." In *Neues Beethoven-Jahrbuch*, vol. 2, edited by Adolf Sandberger, pp. 104–118. Augsburg: Braunschweig.
- Schoenberg, Arnold. 1969. *Structural Functions of Harmony*. Edited by Leonard Stein. London: Faber and Faber. Revised edition, first edition in 1954.
- Schubart, Christian Friedrich Daniel. 1806. *Ideen zu einer Ästhetik der Tonkunst*. Vienna: J.V. Degen. Facsimile, Hildesheim: Georg Olms Verlag, 1969.
- Schumann, Robert. 1983. *On Music and Musicians*. Edited by Konrad Wolff, translated by Paul Rosenfeld. Berkeley and Los Angeles: California University Press. First published 1946.
- Shakespeare, William. 1981. *Coriolanus*. In *The Complete Works of William Shakespeare*, pp. 684–718. London: Hamlyn Publishing Group. The edition first published 1958.
- Smith, Peter H. 1994. "Brahms and Schenker: A Mutual Response to Sonata Form." *Music Theory Spectrum*, vol. 16/1, pp. 77–103.
- Solomon, Maynard. 1977. *Beethoven*. New York: Schirmer Books.
- Steinbeck, Susanne. 1973. *Die Ouvertüre in der Zeit von Beethoven bis Wagner: Probleme und Lösungen*. Munich: Musikverlag Emil Katzwichler.
- Sulzer, Johann Georg. 1792–94. *Allgemeine Theorie der schönen Künste*, 4 vols. Leipzig: Weidmannschen Buchhandlung. Second edition, first edition in 1771–74. Facsimile, Hildesheim: Georg Olms Verlag, 1967–70.
- Suurpää, Lauri. Forthcoming. "Schumann, Heine, and Romantic Irony: Music and Drama in the First Five Songs of *Dichterliebe*." *Intégral*, vol. 10.
- Tarasti, Eero. 1994. *A Theory of Musical Semiotics*. Bloomington: Indiana University Press.

- Thayer, Alexander Wheelock. 1923. *Ludwig van Beethovens Leben*. Translated and edited by Hermann Deiters and Hugo Riemann, 5 vols. Leipzig: Breikopf & Härtel. Vols. 1–3 first published in Berlin, 1866–77; vols. 4–5 first published in Leipzig 1907–08. Facsimile, Hildesheim: Georg Olms Verlag, 1971.
- _____. 1967. *Thayer's Life of Beethoven*. Revised and edited by Elliot Forbes. Princeton: Princeton University Press.
- Tovey, Donald Francis. 1981. *Essays in Musical Analysis: Symphonies and other Orchestral Works*. Oxford: Oxford University Press. New edition, essays first published 1935–39.
- Türk, Daniel Gottlob. 1789. *Klavierschule*. Leipzig: Schwickert. Facsimile, Kassel: Bärenreiter, 1967.
- Tyson, Alan. 1975. "The Problem of Beethoven's 'First' *Leonore* Overture." *Journal of the American Musicological Society*, vol. 28/2, pp. 292–334.
- _____. 1977. "Yet Another 'Leonore' Overture?" *Music & Letters*, vol. 58/2, pp. 192–203.
- Webster, James. 1978. "Schubert's Sonata Form and Brahms's First Maturity." *19th-Century Music*, vol. 2/1, pp. 18–35.