stood; and thus, since integrity of the melos has been seen to with complete adequacy by Beethoven himself (if only the fact be recognized), the performance will undoubtedly find its way to the listener's heart even without troublesome revisions. The only particular in which one may join Wagner is thus just the performance itself—that is, his indication of the several occurrences of < >, as shown in figure 95. The continuation of the passage quoted there adds the following: "in the seventh and eighth bars, on the other hand, a beautifully drawn and at the end quite penetrating *crescendo* would help to achieve the expression with which we now plunge ahead to the vehement accents of the coming cadential passage"—an instruction that doubtless goes too far, and should by all means be reduced simply to the one I recommended above, with justification, concerning bars 144–145.

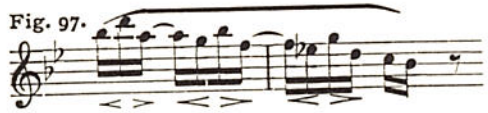
Riemann's error in connection with the closing theme was discussed earlier, on p. 72. All that remains to be mentioned here is that he too (like Wagner, but without giving reasons) unfortunately reads bars 142–143 as follows:

Fig. 96.

Kretzschmar has the following to say about the closing theme (p. 115):

> The woodwinds try to assuage; they plead for a more congenial tone:

Fig. 97.



> And they succeed, in that the first part of the movement is concluded with a certain potent joyfulness.

Great heavens, what intellectual sloth! Such a way to write about music!

Grove's ineptitude regarding the closing theme was portrayed above on pp. 72–73; the reader is referred to that discussion.

Weingartner (p. 182) allies himself completely with Wagner in the matter of bar 138ff. "It would be puritanical," he writes, "to deny that his alterations, both here and in the similar passage which occurs later on, without doing detriment to the style in any way, conduce to a clearness which cannot be obtained by means of a merely literal rendering."

Second Part

Development (Bars 160–300)

General plan

Beethoven dispenses with repetition of the First Part; thus the Development begins in bar 160—observe in this situation as well (cf. above, bar 35) the extremely orientating function of the horn part!

The first tonal complex, bars 160–179, accomplishes two tasks at once: it is just as much an introduction for the subdivisions that follow as also—because it includes two modulations—at the same time a transition.

It is followed by four carefully circumscribed subdivisions, which represent the actual Development:

first subdivision: bars 180–197
second subdivision: bars 198–217
third subdivision: bars 218–274
fourth subdivision: bars 275–300

Their content consists throughout of the working out of only bars 1–4 of the first theme (bars 17–20 of the First Part) and—again—only bars 1–4 of the second theme (see bars 80–83).

As in so many other works, Beethoven has chosen also for the Development of the first movement of the Ninth Symphony that technique of working-out which adheres strictly to the order of the themes, and within them to the order of the bars. Thus appearing in the first two subdivisions are bars 1–2 and, at first independently, bar 3 of the first theme; in the third subdivision bars 3–4 of the same first theme; and finally in the fourth subdivision bars 1–4 of the second theme.[54]

But here, in the Ninth Symphony, Beethoven gives all subdivi-

54. A similar technique, indeed just as beautifully forged as here, is found in particular in the great B♭-major Trio, Op. 97, first movement.

sions, without exception, a common feature of a completely original stamp—a feature not to be encountered in other works: at the end of each subdivision he always uses—fully with the effect of a refrain—only bar 3 of the first theme (bar 19 of the First Part), whether in its original version or in a derivative form! It is precisely this refrain that expedites differentiation of the individual subdivisions. Now to the details.

Transition

79 At the beginning of the Development, the Introduction returns, and with it a situation similar to the one we already encountered before the beginning of the antecedent and consequent sections of the first theme: just as in those earlier situations, here as well it was necessary to preludize before the first two bars of the theme! Thus is the organic character of the introductory material (see above, p. 34) confirmed by the transition as well.

If we consider the succession of keys, however, we observe that here no fewer than two modulations enter the picture.

The first modulation (already beginning, indeed, as early as bar 158—cf. above, p. 80) is based on a reinterpretation of the tonic of B major as VI of D minor, so that the scale-degree progression is fashioned as follows:

Bars 158–159,	160–170,	170–
B♭ maj: I	——	
D min: VI	—— V ——	I

The second modulation takes the following course:

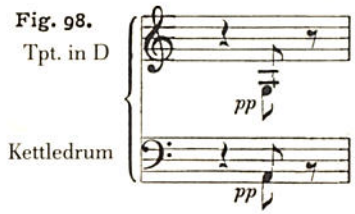
Bars 170–178,	178–
D min: I♯3	——
G min: V	—— I

From this it can be inferred that in bar 170 the tonic of D minor obtains a chromatic alteration at the third (f♯) so as to be able to function immediately as V in G minor (and not as I in D major!).

It is still more urgent to observe, however, how deeply concerned Beethoven is about the highlighting of those places at which he plans respectively to realize the modulation to G minor and to place the tonic of the newly gained key: after settling on the second, and therefore weak, quarters of bars 170 and 178 for these respective

for the purpose of preparing and announcing these unusual rhythmic happenings—as follows:

Fig. 98.



In the sequel as well (see in addition to bars 170 and 178 also bars 166 and 174) he insists on singling out precisely the second quarter in the same way. All told, then, it is bars 160, 166, 170, 174, and 178 in which the second quarter is emphasized, which has the result that the same type of emphasis extends as far as bar 187 in the first subdivision, as though by self-propagation.

The first subdivision

The first subdivision already stands upon the territory of G minor. Bars 180–197

The motif of bars 1 and 2 of the principal theme is for the first time withdrawn from *forte* into *piano*, and the woodwinds carry the main activity.

Bassoon I enters first in bar 180. Two features here that should not be overlooked are: (1) that the motif begins with its fifth, and not, as in bar 1 of the model, with the octave of the triad; and (2) that the doublebass, however, supplies the continuation of the motif:

Fig. 99.

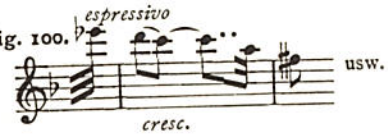
Now the bassoon is answered in bars 182–183 by flute I, oboe I, and clarinet I, under the leadership of the flute, which, however, instead of continuing the line ever downward, suddenly takes an upward turn in the second bar (bar 183)—one should take care to avoid any "rectification" of this flute line in the name of greater clarity!

Next, it is the bassoon that again takes up the motif in bars 184–185, this time, however, composing it out within the seventh-chord of the dominant.

Also in the dominant harmony the answer finally comes from

the answer—observe the *espressivo* written exclusively for flute I in bar 186—is fortified to the extent that a very expressive nuance is added:

Fig. 100.



From this *espressivo* marking it follows that the leading role in bars 186–187 continues to be assigned to the flute (thus just as shortly before, in bars 182–183)—that is, that the flute must not on the contrary be conceived as perhaps merely a reinforcement of clarinet I, which presents the same tone-succession an octave lower. But from this it follows logically that in the preceding bars 184–185 as well, clarinet I relinquishes the leading character, in spite of the fact that it there presents the motif an octave higher than bassoon I: one sees that it is by no means register alone, as is usually believed, that has the final say about the leading character of a voice (cf. above, p. 87, Wagner's misguided remarks concerning the flute); and thus in spite of the higher register of clarinet I in bars 184–185, as leading instruments in bars 180–187 are to be counted only bassoon I and flute I, which are here as though engaged in a dialogue.

One should not overlook, finally, the way the doublebass applies itself with consistent regularity at the end of each two-bar unit (see bars 180, 182, 184, 186) to the thematic continuation mentioned above (see figure 99).

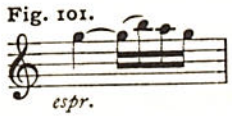
-191 Scale degree V, having arrived already in bar 184, controls the following four bars (bars 188–191): Thematically dominated by the motif from the closing theme (bar 15off.), these bars lead ahead to the cadence in G minor in bars 192–197.

-197 In the *cadence* itself:

bar: 192–193, 194–195, 196–197
I ——— IV ——— ♯IV – V

bar 3 of the principal theme is, as mentioned above, interwoven, but supplied with the following new and very expressive articulation:

Fig. 101.



The *espressivo* added by Beethoven to oboe I announces that it alone takes the leading role at this point. It is therefore incorrect to bring

out clarinets and bassoons, for example, to the detriment of the melodically leading oboe I just because those instruments fill out each first quarter of bars 192–195 with the second half of the motif in question. Flute I takes over the melodic leadership from oboe I in bars 194–195, until the latter again falls heir to continuation of the melos in bar 196.

The second subdivision

Bars 198–217

The second subdivision shows the same construction as the first: bars 1–2 of the principal theme prevail up to bar 205, and then we move through the "mountain pass" of bars 206–207 to the cadence, which again brings bar 3 of the model!

The *differences* between the second subdivision and the first, however, are the following.

1. Bars 202–203 carry out a *modulation* to C minor, which new key represents exactly the hallmark of the new subdivision;

2. the dialogue of bars 180–187 portrayed above unfolds here in the second subdivision between different instruments, namely, violin I on the one side and bassoon and clarinet on the other;

3. in the cadence, on the other hand, a lower voice, namely bassoon (observe in bar 210 the *espressivo* marking for just the bassoon alone!), first enters the picture in a melodically leading role; and finally

4. a cadential reinforcement is added through repetition of bars 214–215, so that the second subdivision comprises two bars more than the first.

The third subdivision

Bars 218–274

The third subdivision comprises fifty-six bars, and therefore surpasses both of the preceding subdivisions in length. Its content consists, as already mentioned, in the working out of bars 3–4 of the principal theme—thus for the first time bar 4 too is incorporated into the Development! That it is again bar 3 which flanks this subdivision at its conclusion was likewise already mentioned.

Bar 218ff. The working-out of bars 3 and 4 occurs at first in the manner of a *double fugue*, according to the following plan.

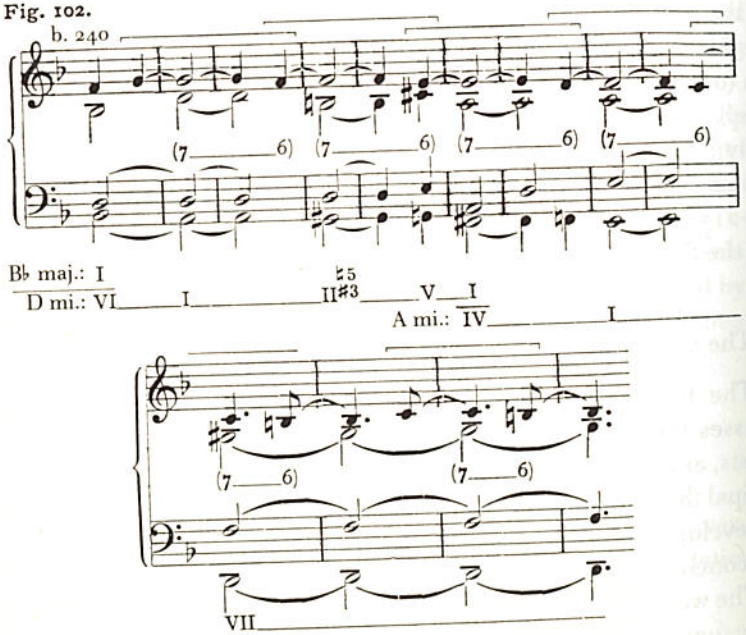
The theme in the basses modulates from C minor to G minor, and is accompanied by a counterpoint (*Gegensatz*) in sixteenths in violin II, which likewise contains the motif of bar 3. In bar 224 the answer ensues in violin I (and also flutes I and II), while the viola

attends to the counterpoint. A three-bar modulation (bars 229–231) then leads to B♭ major, for which reason (leaving still other reasons aside) the character of a true double fugue is now suddenly discontinued.[55]

The third entrance thus follows in B♭ major: violin II takes the theme, violin I, flute, and clarinet the counterpoint. But after only four bars (thus in bar 236), violin I (this time reinforced not only by flute but also by clarinet and bassoon) takes over the theme. So it comes to pass that here (since—as is obvious, incidentally—any modulation or other form of transition is lacking) two entrances in B♭ major occur in direct succession.[56] This organization finds it explanation in the fact that where an extended modulation was to follow, an even stronger abutment had to be built for it, and thus precisely the head of the theme had to be suitably expanded. The counterpoint is taken up by the basses.

ar 240ff. Now in bar 240 begins the modulation that leads through D minor toward A minor. The précis of bars 240–250 appears as follows:

Fig. 102.



[55. Because a true double fugue would require a third entrance in the tonic of C minor.]

56. Compare, for example, in J. S. Bach's "Dorian" Toccata [BWV 538], the two C-minor entrances, which likewise occur in direct succession.

From this we can infer that the first reinterpretation brings D minor in bar 240, the second A minor in bar 245; further, that by contrast to the preceding bars 237–240, in which the harmony changes in each bar (even twice in bar 240), in bar 241ff.—indeed, because of the syncopes—each pair of bars is for the first time fused into a unit.

Add to this that precisely because of the 7 – 6 syncope-formations as well as for still other reasons, the arpeggiations (*Zerlegungen*) in violin I (the same applies to flutes and bassoons) take place in open spacing and thus in wide leaps, which by their very nature create a highly charged atmosphere. The tempestuousness of this mood as it results from the broadening of the syncopes in bars 241–246, and from the leaps in the arpeggiations (along with simultaneous modulatory activity in the harmony), is at last mollified once again (although only after the arrival of the A-minor key) by the simple fact that the fusion of successive pairs of bars is discontinued—that is, resolution of syncopes within the same bar is instituted (see bars 249–251). By means of this reversion, a gradual transition is achieved to the more normal events of the bars that lie ahead. Such clear insight on the master's part into his own intent, and such appropriate execution!

Once we emerge from the harrowing domain of the syncopes Bar 253ff. into the open air, as though from a tunnel, we now find awaiting us here as well (as mentioned earlier) the motif of the third bar. And it is indeed the original *staccato* form that returns, which appears all the more organic in that the counterpoint in the basses has adhered to precisely this form up to the last moment.[57] In bar 259, however, that form familiar to us from the two preceding subdivisions finally enters the picture, with its slur from the first to the second sixteenth. Thus is the parallelism at last reinstated of the third subdivision to the first and second.

How broad the base upon which all of this transpires! After the arrival in bar 249 of VII, which can appropriately be understood here as precursor of V (cf. *Harmony*, p. 108), the latter harmony itself appears in bar 255—observe the bass:[58]

[57. This original articulation has, of course, been present in all of the fugal entrances from bar 218 on.]

[58. The bass given in figure 103 is actually that of bar 259, although the text is correct in placing the arrival of V in bar 255.]

The fourth subdivision

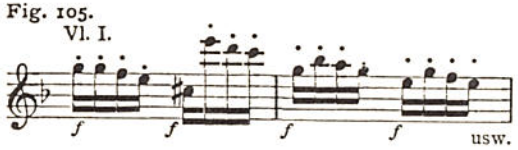
Bars 275–300

The fourth subdivision presents bars 1–4 of the second theme three times: first in A minor (bars 275–278), then in a modulation to F major (bars 279–282), and finally in F major itself (bars 283–286).

In bar 287 the motif of the third bar of the principal theme reappears for the conclusion of the subdivision; here it takes the form in which it occurred in bar 192ff., 210ff., and 259ff.

From bar 297 on, however, it is again the original form of the motif—with sixteenths in *staccato!*—that is provided. Two motifs are compressed into each bar, which generates a characteristic tension. This is further intensified by the fact that each first sixteenth takes on a passionate *f* accent, as though attempting to elbow forcefully to make room for the motif in the bar:

Fig. 105.



The pressure for release mounts; the recapitulation follows.

PERFORMANCE

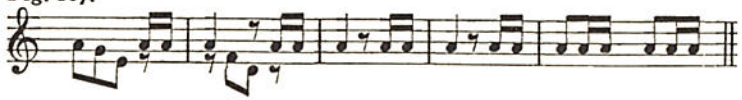
Bar 160ff. It is clear that the performance of the Development will be the better the more its subdivisions described above are given clear expression as such. To achieve the effect of clarity, one must thus summon all powers to direct one's consciousness immediately, exactly upon entering the first subdivision—thus as early as bars 180–181!—, toward the cadence of bar 192ff., which awaits beyond the "mountain pass" of bars 188–194; that is, one must organize the performance of the subdivision according to a kind of bird's-eye view, a premonition of the overall course of the subdivision from its first tonic up to the last cadence. Only then will the cadence be performed as a cadence to the whole subdivision and not, as we unfortunately hear all too often, as a new unit (*Stück*) in itself. The tonal quality differs markedly from the one conception to the other.

Bars 178–180. In consideration of the cantabile execution required of the bassoon in performing the motif at bar 180, that instrument must on the contrary still play in a neutral manner (*beziehungslos*) in bars 178–179—that is, without any concern for the motif that is to follow later. In other words: only in bar 180 should the bassoon come more strongly to the fore!

LITERATURE

The sketch transmitted by *Nottebohm* from the year 1817 (1818) may, even in consideration of its early appearance on the scene, pertain already to the third subdivision of the development:

Fig. 107.



Clearer, it must be granted, is the sketch from the year 1822, which Nottebohm quotes on p. 165:

Fig. 108.

—a sketch which, as we know, eventually prevailed in exactly this form, even to the inclusion of the B♭-major key.

Riemann acquits himself on p. 147 by merely describing—and that only in the baseless linguistic conventions of his theory—instead of illuminating the inner nature of the events and their interconnections.

Thus the rhythm of the trumpets and kettledrums in bar 160 comes into consideration for him only as a "general upbeat"(!). The consequences of this ingenious feature from the compositional point of view, however, he is unable to specify. The meaning of Beethoven's having entered in bar 160 into the region of the harmony A ($\frac{C\sharp}{C\sharp}$) E, and later in bar 170 into that of the harmony D – F♯ – A, he is likewise unable to explain. Instead he writes, out of both befuddlement and naive unawareness, as follows:

> The a presented at first only by second horn and second violins is to be understood as a general upbeat, and only with the beginning of the tremolo on the open fifth a–e in cellos and second violins (with the two first horns) are we relocated once again to the beginning; that is, we have once again a strong beat of the highest order. Since the concern here is not once again an introduction of the principal theme, naturally the sixteen bars of a^7 do not remain in place. Instead, Beethoven relocates after only eight bars into D major as dominant of the subdominant (G minor) so as to present the principal theme in the latter key.

What good at this point is his "general upbeat," when what is so desperately needed is an explanation of the harmonic paths? Nothing but ignorance is behind his failure to provide any such explanation. This follows from the simple fact that (1) he speaks of a D major already at bar 170, where instead all that is present is a I of D minor with chromatic alteration of its third—the difference is a very big one!—, which functions as a V in G minor, and (2) that he himself in turn nevertheless speaks at once of this D major as a "dominant of the subdominant" (G minor)! The actual G minor in bar 178 is, according to him, first of all only the subdominant (cf. his annotation on

p. 148 "first theme in the subdominant"[63]); and only on p. 150 does he suddenly speak—the reference is as contradictory as it is surprising, to be sure—of a "G minor," which a few lines earlier still was no such key for him! The imitations in bars 198ff. already signify "stretti" to him (p. 149), where in fact a strict distinction prevails between the two concepts [of imitation and stretto].

He speaks at first correctly enough on p. 149 of the first cadence, bar 192ff., as a "four-bar group (*Viertakter*), whose first motif is borrowed from the first theme"; the second cadence, in C minor (bar 210ff.), is also described correctly on p. 150: "The confirmation of the cadence also corresponds exactly to the one written above, except that it is in C minor instead of G minor". But just before the third cadence his empathic capacity gives out, and instead of recognizing the synthetic power—so characteristic in this point—of Beethoven, who, as I said above, uses the motif of bar 3 of the principal theme as a consistently recurring refrain in all four subdivisions of the development, he interprets the third cadence in bar 253 in a neutral manner (p. 152ff.) merely as follows: "The development of the motif  now reaches its culmination in the following A-minor passage" [a condensed quotation of bar 253ff. follows in Riemann's text]. (NB: Unfortunately Riemann, in reliance on his theory, which he obviously considers better than the instincts and insight of Beethoven, corrects the latter's own version of the third bar to the extent that instead of  he reads  , and this even in the situation of the cadences, which show *slurs!*[64]) He erroneously derives the third cadence in this passage only from the counterpoint of the basses (which does include bar 3 as well, to be sure),[65] and further, accordingly, he obviously overlooks the higher compositional intent of the master, which invokes for cadential purposes even once again at the fourth cadence in bar 287ff. (in spite of the fact that here no such preparatory context exists) the motif of bar 3! All he has to say about this [fourth cadence] is the following (p. 154): "Returning once again to the motif  , but continuing in the horns at the same time the syncopes  of the preceding passage, the development now moves swiftly to its conclusion by returning with rapid intensification to the *fortissimo* entrance of the introduction motif in D major." It is clear, then, that he is unable to fuse the four cadences of the four subdivisions of the development into that charac-

[63. *I. Theme und die Unterdominante* by mistake in Schenker's text; Riemann's annotation reads "*I Theme i. d. U. = Dom.*"]

[64. That is, from first to second sixteenth note of the group in bars 192ff., 210ff., and 259ff.]

[65. That is, he derives the motif of first violins in bar 253ff. exclusively from the bass counterpoint in the preceding bars.]

teristic higher unity of an artistic design with which Beethoven, precisely by force of a unique creative power unfathomable to further intellectual scrutiny, has imbued them!

Kretszchmar writes on p. 116:

> The development further unrolls the Faustian picture: seeking and not finding; rosy fantasies of future and past, and reality filled with a pain that suddenly makes its presence felt! The development section, comparatively, is but short. Thematically it is chiefly carried by images from the third and fourth bars of the principal theme. The element of gloom resurfaces in it, to explode with fullest force in the return of the principal section.

Depictions of this kind, which could just as well be applied without scruple to countless other developments in randomly selected works, may doubtless pass judgment on themselves!

Grove provides a rather detailed discussion (p. 312ff.), which, however, does not fail to avoid the most byzantine errors:

> Perhaps in deference to the great demands posed by the Finale, Beethoven here abjures repetition of the first part of the movement, and rather crosses immediately with one of his direct modulations from B♭ major to A minor [here the first error!], draws a double bar through the score, changes the signature from ♭♭ to ♭, and begins the development. The Prologue sounds first in a concise form [here the second error!], after which the energetic rhythm familiar to us from examples 25 and 26,[66] emphasized still more by pungent *sforzandi*, gains the upper hand. Thereupon the tonal poet leads the way to G minor. [Third error: obviously he is unaware that G minor appeared already at bar 180, thus at the beginning of the first subdivision. The consequences of this error, too, are not avoided.] He has already given us a sense (see example 20[67]) of how he intends to handle the principal theme; here he takes up the fragment of it mentioned earlier (No. 17*a*[68]) and develops it into a four-bar phrase, which he assigns alternately to the oboes and clarinets. At the end he endows it with an expressive *ritardando* as well, which we will recall again later, near the end of the movement. At first, however, Beethoven turns back from this motif to the complete theme, as we know it from No. 17. [Fourth error: he simply has not recognized the first subdivision as such, and has rather represented it merely as a "Prologue"!] And then we see his great art in its finest form. The theme descends through the steps of the triad from high to low, while the bass strides upward in the opposite direction with pizzicato notes, and almost seems to represent an inversion of this theme. How expressively the half-step from A♭ to G grieves at the second occurrence of the melody [he refers here to the neighboring thirty-second note a♭² in violin I in bar

[66. Grove's examples showing extracts of bars 102–107 and 110–113 respectively.]

[67. An example showing bars 55–56.]

[68. Showing the principal theme; the fragment referred to is the third bar.]

> 201]. But the course of events that might want to announce its presence here is still not Beethoven's goal, and so just as he interrupted the Prologue, he soon interrupts this tonal shape as well with a few bars in C minor based on the rhythm of No. 25b. [Fifth error: he ascribes, as is clear, an excessive significance to the bars that lead in each case to the cadence (see bars 188ff. and 206ff.), since he fails to understand their true significance!] He now takes up the four sixteenths that he favors so highly from No. 17a [sixth error: the very words "takes up" (*aufgreifen*) show that Grove too remains innocent of the construction of the cadences!], but soon turns his attention [seventh error: how grotesque to hail the third and most important subdivision with such vacuous words!] to the incorporation of the following bars [meaning bars 3 and 4] of the principal theme as well into the developmental process, and proceeds to construct thereupon a longer section of the movement, which he begins in this way: [a quotation of bars 218–223 follows]. Second violins and basses have the actual thematic task here, while first violins excitedly attack their lowest G and then again the G two octaves higher. This lasts six bars, and the passage is now repeated three more times with the artifices of double counterpoint—that is, such that a lower voice is taken over by a higher one and vice versa—, to leave aside certain other smaller divergences. [Eighth error: Grove has no sense at all of the two B♭-major entrances ("the passage is now repeated three more times")!] Beethoven has here linked, as we see in the above example,[69] three themes together—the one in sixteenths and the one in eighths, as well as the octave-theme. Each of them, however, is conceived for varied applications in different registers and thematic relationships. At the close of the section the basses have gained title to the sixteenth-note figure, while the violins take up the eighth-note figure, into which they transplant their intervallic leaps, now expanded to more than an octave. [Ninth error: the middle of the third subdivision is for him its close—such hearing!] We might think that Beethoven had already exploited every expressive capability of the theme; and yet, he is able to say completely new things with it even after these forty bars. The expression has become calmer, and the sixteenth-note figure appears with the expression *cantabile*, which is used by the composer only with special intent. [Tenth error: at long last he discovers what he should have seen much earlier, at bars 192 and 210; true, the marking at those points is at first only *espressivo!*] A duet between violins I and II develops from this, the accompaniment to which is taken over by the 'celli with the eighth-note figure. [Here the quotation of bars 259–266.]
>
> But Beethoven now recalls other tonal ideas as well [such a tasteless form of expression! Eleventh error!], and intermingles for a short period the second part[70] of the second theme (No. 23) in F, by both presenting the theme in its original form and also assigning the melody to the basses and the arpeggiations to the treble in double counterpoint. But he

[69. That is, of bars 218–223.]

[70. Bar 80ff.]

has grown too fond of that sixteenth-note figure not to return to it again. He presents it several times, and in inversion as well; and when the time comes to bid it farewell, he does so in a *forte* of the full orchestra. [Twelfth error: with the locution "that sixteenth-note figure" Grove expresses a comprehensive structural intent by Beethoven, one that elevates the whole Development to a state of utmost transparency!]

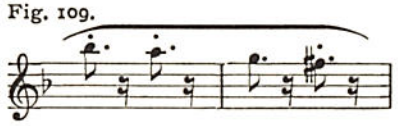
Weingartner makes the effort, which cannot be valued highly enough, to supplement the dynamic shadings on the basis of the sense of the composition also in those places where Beethoven considered such an exact specification to be superfluous, because probably all too self-evident. In bar 232, however, he overlooks the fact that the dynamic level is intentionally held in check by Beethoven himself, because only with the entrance of violin I in bar 236 are all registers of the reinforcing wind instruments to be opened.

It is a shame that he fails to extend the nuancing that he applies in particular only to bar 249ff.[71] to all preceding syncopations as well, since the same reason for the nuancing is indeed also to be assumed for them! (To bring out the "despairing beauty" of bars 249ff. is another matter, and is moreover the particular duty of the conductor.)

On p. 185 he writes perfectly correctly, even if without completely clear consciousness, about bar 196 as follows:

> Strange to say, the *a tempo* in these bars is often overlooked and the short *ritard.* that precedes is carried in each case over the two bars following it. It should therefore be observed that the whole beauty of the execution depends on the *a tempo* coming in just where Beethoven has prescribed it, and on the careful avoidance of any sentimentality of expression. If the quavers are held on dotted, as they should be in spite of the return of the original time, we get a kind of *portamento*,[72] which might be given by the notation,

Fig. 109.



which is really only a continuation of the notation already prescribed for the three *ritardando* notes.

[71. Weingartner, p. 187.]
[72. The correct word would be *portato*. See above, note 10.]

Third Part

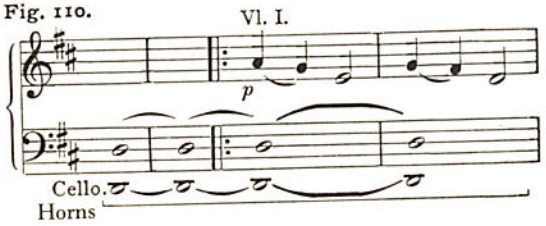
Recapitulation (Bars 301–426)

After the exhaustive treatment of the First Part offered above, it may now be appropriate to describe the Recapitulation merely by means of a sequential presentation.

The Recapitulation begins with bar 301, since, as we know, Beethoven treats the Introduction as an organic component of the principal theme.[73] Bar 301ff.

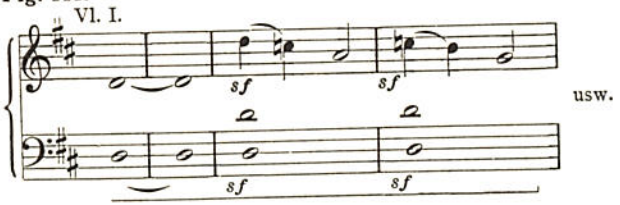
73. On a smaller scale, but perhaps for that very reason in a more ingenious manner, Haydn uses a similar technique in his D-major Symphony [No. 104], Payne No. 9, last movement. Observe there too how two introductory bars:

Fig. 110.



are brought into an organic interdependency with the theme; they return in the modulating section:

Fig. 111.



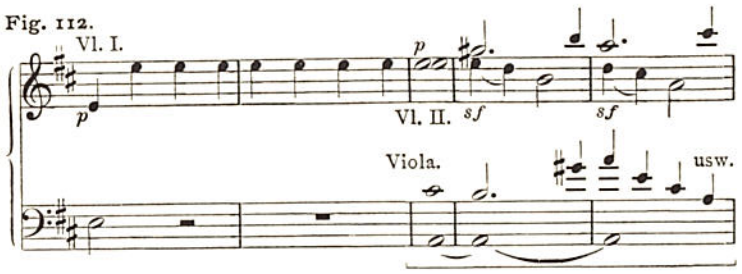
in the second theme:

In comparison to the introduction to the First Part, which was based on V, the head of the Recapitulation is distinguished first of all through the use of the tonic D itself. Its major third f♯, however, is not a product of mixture, as it might appear at first glance, but rather of a chromaticization in favor of the IV that is to be expected (cf. *Harmony*, §139ff.):

$$\text{Effect: } \frac{\text{D minor: } I\flat \text{ ——— IV}}{\text{G minor: V}\sharp \text{ ——— I}}$$

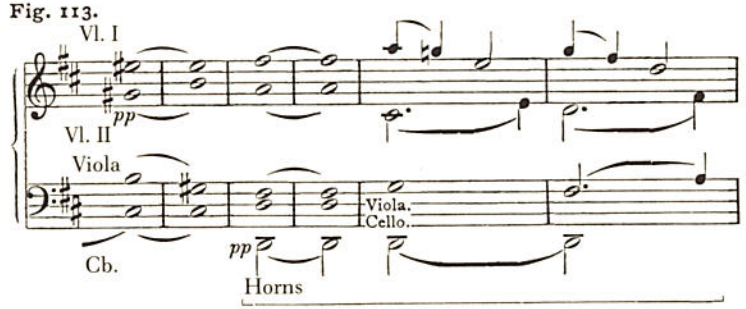
The latter then actually appears in bar 312, only to be itself chromaticized in turn, as though the V were to be expected immediately afterward:

Fig. 112.



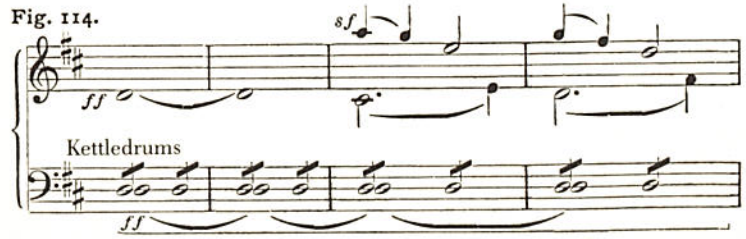
at the beginning of the Recapitulation (!):

Fig. 113.



and most imposingly, without doubt, at the close:

Fig. 114.



$$\text{Effect: } \frac{\text{D minor: } \sharp\text{IV ——— (V)}}{\text{A}^{\text{maj}}/_{\text{min}}\text{: VII ——— (I)}}$$

If we consider that in bars 301–314 Beethoven could also have simply placed the harmonies D – F♯ – A and D – F – A in direct succession in the sense of a mixture, so that intervention by the harmony B♭ – D – F – A♭ would thus have been completely superfluous, we recognize all the better that the harmony D – F♯ – A, as I have just affirmed, is by no means to be understood in the sense of a D-major key (which would later have had to yield to the D-minor key only through the device of mixture!), but only in the sense of a tonic, chromaticized at the third, of the immediately entering D-minor key itself. In reality, then, what is present here is the scale-degree progression $I\sharp^{3}$ – $\sharp IV\flat\frac{7}{3}$ – (V) – I in D minor, in which the organic necessity of the harmony b♭ – d – f – a♭ (g♯) is clearly revealed; the chromatic alteration in principle acquires a kind of *causality* that mixture entirely lacks.[74]

From the compositional standpoint, one should finally observe also in bars 304, 308, 310 the rhythmic organization of the kettledrums, which participate thematically:

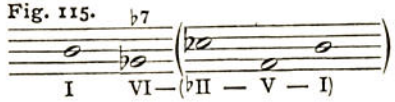
Fig. 116.

At bar 315 the principal theme itself begins. Its presentation in the Recapitulation is limited to only the antecedent section; but even

Bar 315ff.

74. We arrive at the same result, incidentally, if we assume the bass tone B♭ in bar 313 to represent a VI. In keeping with the tonicization process, the chromatic alteration of the seventh (a♭) would then, admittedly, have to point to a ♭II:

Fig. 115.



The circumstance, however, that, as the continuation shows, the ♭II that is expected and due fails to materialize, and that instead the tonic itself suddenly appears, constrains us ultimately to relinquish the seventh a♭—as though it were a cause without an effect!—in its identity as seventh of VI, and rather to reinterpret it as a g♯, by which, however, we produce once again (*quod erat demonstrandum!*) only the raised IV.

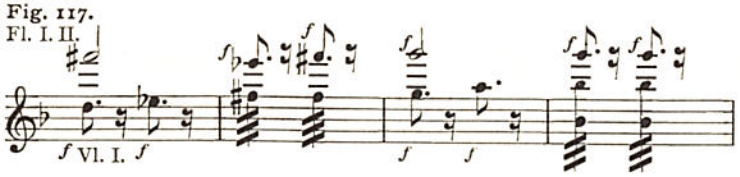
the latter does not proceed all the way to a full cadence, as it did in the First Part, but instead comes to its conclusion on the dominant (see bar 339), the scale degree that proves to be the one most uniquely suited to take up the modulation theme (see bar 74ff.).

For this attenuation of the principal theme, however, Beethoven offers an original substitute: he gives the leading role to imitations between strings and winds in the manner of a double choir, and thereby artificially extends the passage!

First, successive pairs of bars in the strings are repeated by the winds. Observe how bars 315–316 (= bars 17–18 of the First Part) and bars 319–320 (= bars 19–20 of the same) are imitatively countered by bars 317–318 and 321–322 of the winds.

Next—from bar 323 on—, however, the imitations even assume the character of actual stretti. As the following example shows:

Fig. 117.



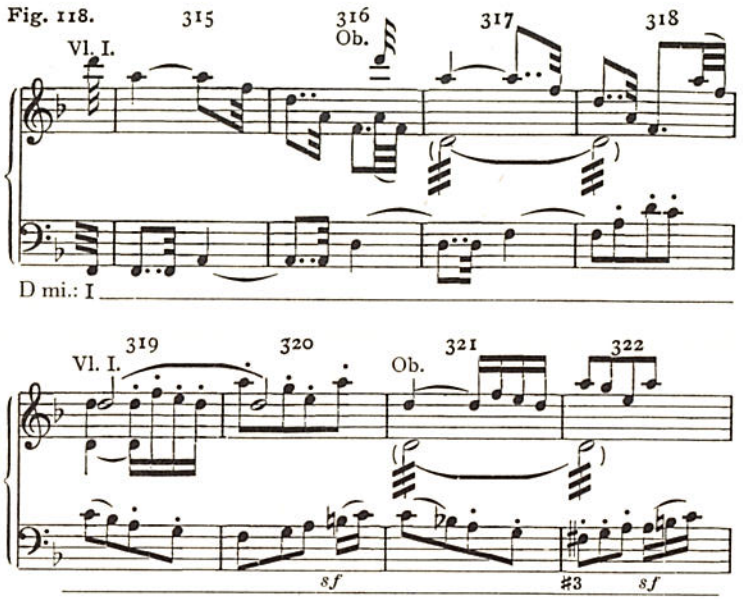
in each of bars 324 and 326 the winds enter after only one bar—that is, before each respective pair of closely affiliated bars of the principal theme (e.g. bars 323–324 (= bars 21–22) and bars 325–326 (= bars 23–24)) has been completely traversed.

From bar 327 on, however, the imitation in two-bar units is resumed.

In bars 315–322 a new content is noticeable in the basses, one that has no past history in the work. To view it as perhaps a new ornament, an insignificant stroke of variety present merely out of deference to the Recapitulation, would be a mistake. It represents, rather, an organically necessary resultant of the double-choral technique described above. Specifically, it was not appropriate to have the basses of the string section join with the *unisono* of *both* choirs and thus utter twice the same two-bar content. That would have been not only aesthetically but also technically impermissible, since it would have completely obliterated the double-choral technique. Like it or not, Beethoven therefore had to make up his mind to give the doublebasses their own, new counterpoint. It has the appearance, as we

can observe, of a clamp running underneath, which binds the two choirs with their 2 × 2–bar organization:

Fig. 118.

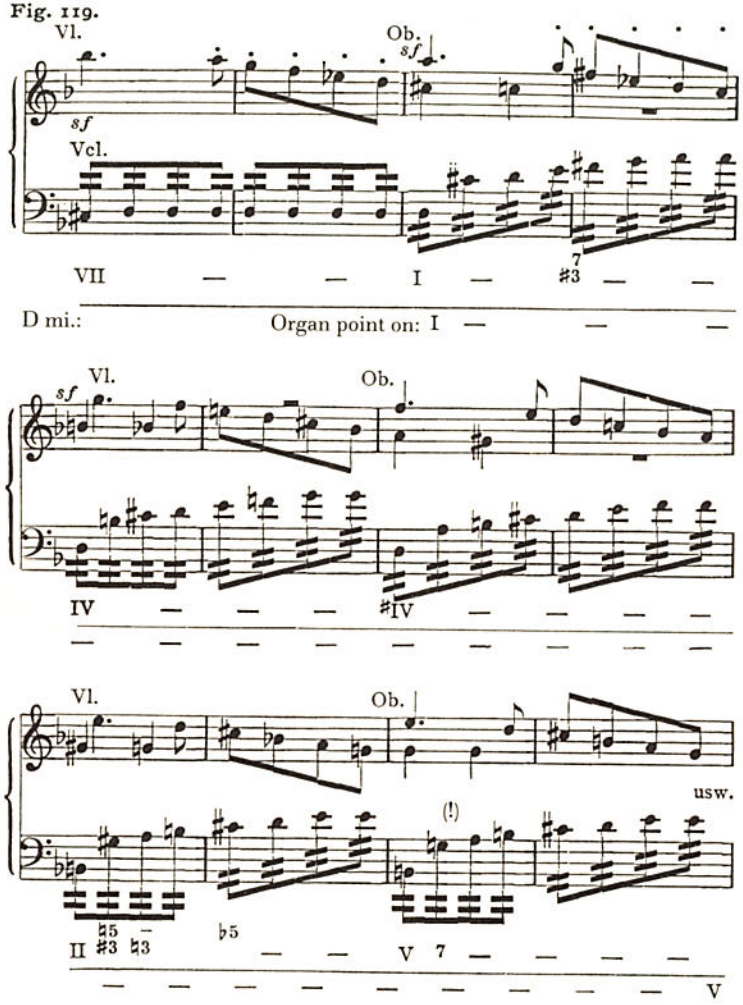


In comparison to bars 17–24, which in the harmonic aspect brought scale degrees I – IV only in simple diatonic form, bars 315–325 show a chromaticization of the I in favor of the IV. It is precisely this chromaticization that casts its first shadow in a marvelous way already in bar 320. There we see in the cellos and doublebasses the sixteenth-note b before the seventh c, which, it is true, attains full illumination only through the chromaticized third f♯ in bar 322, and points toward a subdominant to be composed out in the sense of a G-major key.

Bar 327ff.

I mentioned already that from bar 327 on the play of the imitations again unfolds in units of two bars at a time. The motif in question here is that of bars 25–26, which is repeated no fewer than six times. This large number of repetitions, in which Beethoven seems to pay a final tribute to the Development, is, to be sure, enabled only by the scale-degree progression, which runs its course above a tonic organ point as follows:

Fig. 119.



Now it becomes clear only through the imitations why Beethoven in bar 327 abandoned the syncopation as it appears in bars 24–25 and set in its place the *sf* accent: if the motif of the imitation were not equipped with such a free beginning,[75] how would the winds of bar 329 even have been able to enter at all?

Noteworthy and instructive is the technique of composing out that emerges in the contrary-motion figures of the cellos in bars 329–338. Compare, just for example, the two tones g♯ and g in bars 9 and 11 of the preceding example, of which the first is to be understood as

[75. That is, if had not been free to deviate from the model of bars 24–25.]

the chromatically raised third of II, but the second as the diatonic seventh of the dominant!

The many modifications in respect to instrumentation and scale-degree progression to which the Recapitulation lays claim as such are not to be discussed in detail here; only a few points may be singled out as especially important features.

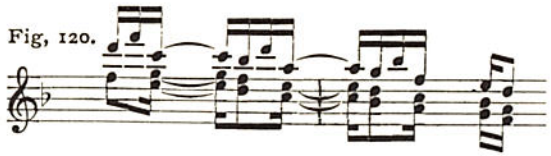
In order to preserve the major quality of the corresponding theme in the First Part, the second theme here begins likewise in major, thus in D major. Bars 349–350 (the fifth and sixth bars of the theme), which are analogous to bars 84–85, also linger in major; but suddenly, and indeed only by dint of mixture, D minor enters already in the next bars (351ff.). At the same moment—observe this feature of such great psychological interest!—the consequent that has just begun is expressly started over from the beginning, although two bars of it have already elapsed. How ingenious an expression of the tenacity of the D-major key, which gives the impression of not wanting to relinquish the floor until it is—at last—compelled to! Bar 345ff.

Here in the Recapitulation as well, the closing theme in particular demands full attention. Bar 407ff.

Even the first prototype of bars 407–408 shows two alterations in comparison to the corresponding bars 138–139:

1. the second syncope at the end of bar 407 is missing, since the exact replica would have had to go as follows:

Fig, 120.



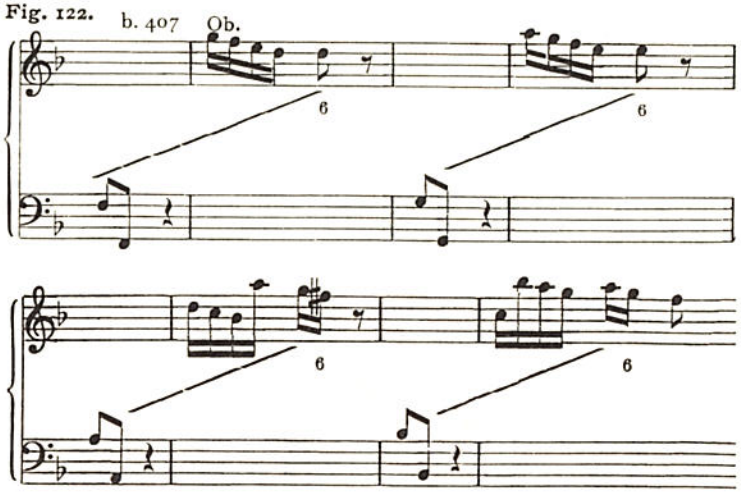
2. the second-step $a^2 - g^2$, which appears in place of the omitted syncope, is retained only in oboe I, while the flute converts the second into a seventh, which, precisely for this reason, has no intrinsic thematic significance.

The subsequent bars 409–410 bring a II; the diminished fifth proper to that harmony causes a new difficulty. It is this fifth specifically which, because of the augmented fourth, on the one hand rules out from the beginning a version such as this (cf. bars 140–141), for example:

Fig. 121.

But since here too, as in bars 138–145, the governing necessity of reaching a sixth at the end of the motif:

Fig. 122.



demanded, on the other hand, a version whose last interval formed exactly the sixth, e (with g of the bass), equally excluded from the start therefore was a figure such as the following:

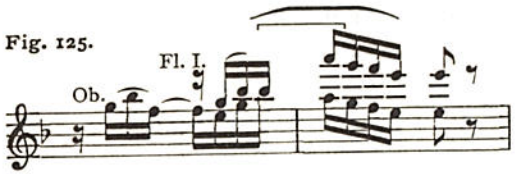
Fig. 123.

which falls below e^2, and, having overstepped this boundary, necessarily continues to $c\sharp^2$, whereby the character of the II is completely obliterated, and specifically in favor of VII. On the horns of this dilemma, then, of the need to avoid the diminished fifth at the beginning of the motif, but nevertheless to have the figure descend only to e^2, Beethoven had to arrive first of all at the following construction:

Fig. 124.

But since this line would, because of the twofold encounter of the tone $b\flat^2$ (especially in such quick succession), have made a poor effect (cf. *Counterpoint* 1, p. 100), Beethoven invoked the device of imitation:

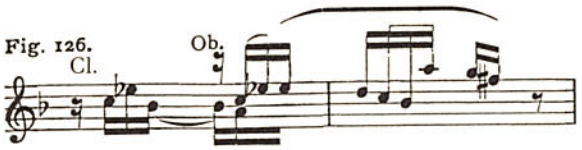
Fig. 125.



which is used here as a metaphorical safety valve against the effect of the poor line, while the new articulation in the flute at the same time imbues the motif with a more intensive expression.

The version of the motif thus gained in bars 409–410 then becomes prototypical also for the subsequent composing out of $I\sharp^3$ in bars 411–412:

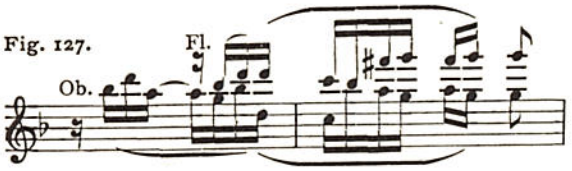
Fig. 126.



Imitation acts as an aid here as well, with the only difference in comparison with the model being that the inversion of the seventh, instead of occurring as in the latter at the boundary of bar 409, takes place here only between the third and fourth[76] sixteenths of bar 412.

The composing out of the IV in bars 413–414, finally, is shaped as follows:

Fig. 127.



In the imitation, which, as we see, this figure also shares with the two preceding ones, the only difference in comparison to the earlier versions is again in the ordering of the leaps: the oboe presents a seventh-leap (between the first and second sixteenths), while the flute makes a fifth-leap (between the second and third sixteenths) so as to continue by forming counterpoint in sixths and octaves against the oboe.

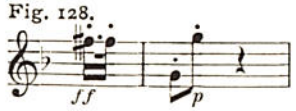
[76. Erroneously, *zweiten und dritten* in the original.]

On comparison of all of the possibilities for composing out the harmonies involved here, we find as end result a progression from the simplest and most natural type, as shown by bars 407–408, to the most complicated, which is to be seen in bars 413–414. In bars 407–408 the motif is still free of any imitation, which enters as a complicating factor only in the immediately following formations; and even with respect to the seventh-inversions, it will be found that the first one, from weak to strong beat at the boundary of bar 409, is more natural than the following ones in bars 412 and 414 respectively.

Observe, however, that the various modifications and intensified complexity here are not to be ascribed solely to the Recapitulation, which would as such be in a position to justify them, but also to the fact that the melos in question is already known to us from the First Part, and is moreover secured by the clarity of bars 407–408, so that in an appropriate performance the subsequent burden of complexity can no longer mislead the ear in the slightest.

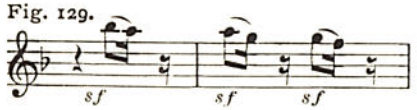
-413 It is worth noting that first violins no longer continue their motif in the register of the preceding bars, but rather an octave lower:

Fig. 128.



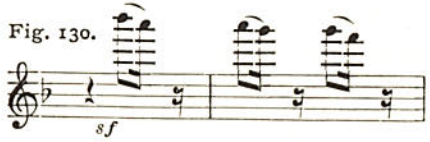
The reason is simply that only by means of a descending register-transfer were they able to gain access to the register of the subsequent motif in bar 416ff.:

Fig. 129.



Otherwise a gap of an octave would have opened up between the conclusion of the motif in bars 412–413 and the beginning of the new motif in bar 416. Beethoven resisted the opposite procedure of placing the coming motif an octave higher:

Fig. 130.



for reasons of principle related to orchestral style, as will be shown at other points in this work. What a distance between the musical instinct of a Beethoven and that of the modern musician!

PERFORMANCE

Bar 301ff. The principles already described above on pp. 42 and 44[77] are to be applied also to the performance of this *ff* condition, so broadly dimensioned dynamically and perhaps completely unique in the literature, which persists through bars 301–337. That is to say, only those tones that Beethoven has expressly marked either *ff*—e.g., in bars 301, 305, 309, 311, 312 (in the winds), 313, 315, etc.—or *sf*—bars 315, 316, 317, 320, and 322 (in the cellos and basses), etc.—or simply *f*—e.g., bars 323, 324, 325—should be brought out with emphasis and force. Such emphasis, however, demands—just to hone the appropriate technique anew at this opportunity—that the weight of force be moderated just before [each accent].

Bars 323–326. Here we observe that Beethoven in bar 324 discontinues in violin I and II and viola the *f* indication shown by bar 323, and proceeds similarly in bars 325–326 as well. What is this intended to mean? If it is recalled that in these bars the stretto that I have described above on p. 108 takes place, the care with which Beethoven moderated the *f* of the strings as soon as the winds take their turn can only be viewed with astonishment! How else could the stretto be brought to expression here than by strict adherence to Beethoven's indication, which so expressly guarantees the effect?

Bars 349–354. Only the most faithful execution of the < > indicated in bars 349–350 will give expression to the abrupt breaking-off of the major mode, which has to give way to the minor in bar 351, and will thus at the same time secure the necessary vividness for the content of the subsequent bars 351–354.

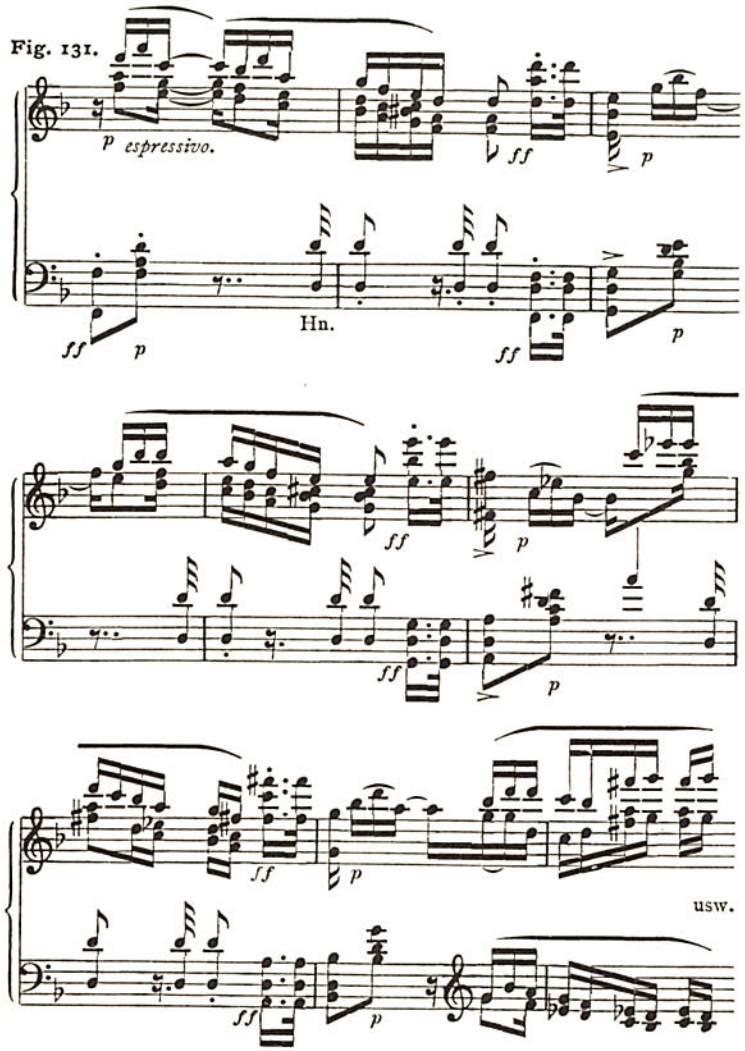
Bar 426. At this point, in order to suggest the beginning of the Coda, a modest *ritardando* should be combined with the marking >.

LITERATURE

Reserving the rights attendant on purely pianistic necessities, Liszt represents the closing theme with perfect accuracy:

77. Compare also my remarks in the elucidations to *J. S. Bach's Chromatic Fantasy and Fugue.* [See the Appendix.]

Fig. 131.

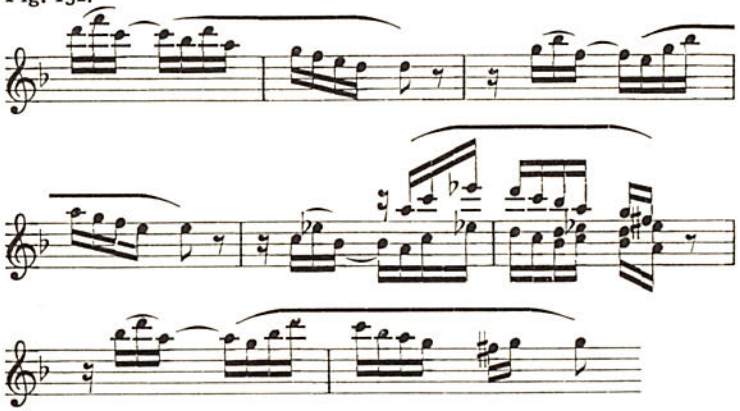


The remarks and emendations by *Wagner* in connection with the same passage, on the other hand, deserve to be most emphatically rejected. His ratiocinations show him to be completely devoid of any feeling for those reasons described above that Beethoven had for the seventh-leaps and the imitations, and thus he ends up wanting to bring out exactly that from which Beethoven himself, intentionally and with application of subtlest technique, urgently tries to distract attention! It would scarcely be possible simply to *imagine* a more profound opposition than that which emerges from the tendencies that guided Beethoven and Wagner in this passage! Wagner writes [pp. 248–251]:

It will be vastly more difficult, however, to make the melodic content

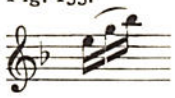
equally comprehensible in the parallel passage in the second part of the movement,[78] where it returns in a different key and register. Here the flute, whose use is favored for the sake of the higher register now needed, dictates, because of its own limitations in the upward direction, alterations of the melodic course. These alterations immediately becloud its clarity, which is demanded by the meaning of the phrase as nevertheless made explicit at the same time. If we compare the flute part from the score [here Wagner quotes the original version of the flute part of bars 407–414] to the melodic course that is very perceptible from the combination of the oboe and clarinet, and which also corresponds to the earlier configuration at the close of the First Part:

Fig. 132.



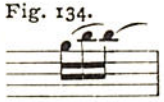
we must make up our minds to acknowledge a dubious—because disruptive of correct assimilation of the melody—distortion of the musical thought. Here a thorough restoration of the latter appears very audacious, because in two cases an interval must even be altered—namely in the third bar of the flute:

Fig. 133.



instead of

Fig. 134.



and in the fifth bar:

[78. Wagner's context here is a discussion of bars 138ff.]