

Plan of the First Movement

The need to provide orientation as to the segmentation of the respective movements has induced me to precede the analytical discussion of each movement with a schematic representation of the movement's formal plan.

First Part¹

First Theme (Bars 1-70)

The first theme is preceded by an *Introduction* of sixteen bars, which is based on only two harmonies. Bar 1ff.

The first of these harmonies, founded on the root A, lacks a third (cf. my *Harmony*,² p. 26), so that an a priori judgment of its meaning is scarcely possible; that is, the listener cannot know at first whether he is faced here with the I of A minor or with a different scale degree, which would, of course, indicate a different key. Not until bar 15 does a second harmony finally resolve the first one; it is founded on D. But since it too, like the first harmony, still lacks its third, evaluation of the falling fifth formed by the two harmonies, A - D—in particular whether its meaning is I - IV or V - I—can first issue only from assumption, and indeed we rightly tend to assume V - I here, since this falling fifth elicits stronger scale-degree value than, for example, I - IV (see *Harmony*, §153ff.). In fact, as will be shown later, confirmation of the assumption of exactly V - I is provided already by the beginning of the principal theme. Thus are the third-bar harmonies most particularly suited by their indefinability to the tension-generating purpose of the Introduction.

Yet more impressive, however, is the significance of the Introduction from the thematic standpoint: it is nothing less than the birthplace of the *Ur*-motif that gives the first movement its special stamp! But already at its first appearance the *Ur*-motif is inseparably bound up with the harmony in such a way that one must view as the finished motif not so much the individual fifth- or fourth-leap as rather the sum of several leaps within the same harmony:

[1. "First Part" is synonymous with "Exposition"; Schenker never used the latter term, and his *erster Teil* has been rendered literally throughout. The Second Part is coterminous with the Development, and the Third Part comprises the Recapitulation and the Coda.]

[2. See the Appendix, "Works by Heinrich Schenker."]

Fig. 1.

(Root: A)

It is of great importance to recognize this if one wants to understand the first two bars of the principal theme itself, which, as we shall see, undoubtedly presents a harmony that is likewise merely arpeggiated.

Beyond this, however, the point of view just outlined—and only that point of view—at the same time facilitates a deeper grasp of the organization of the Introduction. For as the following sketch provides a précis of it:

Fig. 2.

VI. I
Cb.
usw.

we see clearly that both the arpeggiation of the harmony and the acceleration of the arpeggiation rest precisely on the following foundation and nothing else:

Fig. 3.

bar
4
8
12

To the arpeggiation of the harmony, incidentally, is bound also the articulation of the Introduction into four times four bars, and, finally, the organization of the gradual entry of instruments as well.

The latter effect in particular merits closer consideration. Since the task at hand was to depict the dynamic growth of the harmony, it was necessary to maintain in the entry of the instruments certain proportions that would be intended to achieve the expression of that dynamic growth. Beethoven proceeded here by introducing, after the entry of the horns in D in bar 1, the remaining wind instruments—clarinet I, oboe I, flute II, flute I, horn in B \flat —at ever decreasing time intervals:

Fig. 4.
Horn
pp Cl. I
pp Ob. I
Fl. II
Fl. I (!)
Hrn. in B \flat
pp
p
p cresc.
(!)

Especially consequential is the inclusion in this process of the fourth eighth in bar 14. Since it is, specifically, metrically weak, its accentuation by the instrumental entry is shaped into an event of special piquancy. A similar effect is repeated in bar 15, where the point of metric weakness—this time the second eighth—receives a still stronger emphasis through combination with the change of harmony already mentioned.

However certain it may be that the Introduction just described at first sets out only with the aim of preparing the first two bars of the

principal theme, we must nevertheless certify even here that it does not at all content itself with this one aim, but rather expands its role much further. For when we consider the beginning of the antecedent section of the first theme, and moreover the beginning of the development and finally that of the recapitulation, we observe that the Introduction returns in all cases! But does this not make it logical to consider the Introduction an integral part of the principal theme itself?

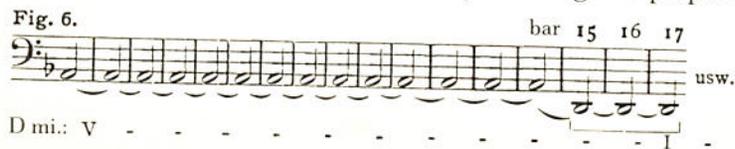
The Antecedent Section

Bar 17ff.

In bar 17 the antecedent section of the principal theme itself begins. It extends from bar 16 to bar 35, and begins with the tonic in D minor. The motif of bars 17-18:



arpeggiates the harmony on D, in the process of which for the first time, as we see, the third—here the minor third, f—is included. For this reason, and still more because of the subsequent course of the harmonies in which we easily recognize a scale-degree progression belonging to the D minor key alone, our assumption is, as I said earlier, upgraded to certitude that already in bar 15 the falling fifth A - D was to be understood as V - I in D minor and not as perhaps I - IV in A minor. Further, only from the standpoint of the tonic that opens the principal theme in bars 17ff. can the full technical profundity of the harmonic-change construction in bar 15 of the Introduction be evaluated: in a higher sense, one may savor the entry of the tonic precisely at bar 15, two bars before the tonic of the principal theme in bar 17, as what might be called an anticipation of grandest style! It is well known that Beethoven in his last period liked to form anticipations (cf. *Harmony*, p. 305, and, in the Ninth Symphony, bars 68, 72, and 130 of the Scherzo, bars 18, 23 of the Adagio, etc.); and thus, undecieved by the large dimensions of the Introduction, we may assume in bar 15 as well an anticipation of grand proportions:



The scale-degree progression in the antecedent section now takes the following form: I in bars 17-22, IV in bars 23-24, \flat II in bars 24-26, V in bars 27-31, \sharp IV in bars 32-33, V in bars 33-34, and finally I in bar 35. That the antecedent section thus closes with the tonic signifies of itself nothing abnormal, least of all here, where the consequent section (see below) is assigned the mission of leading to the modulation.

When we examine the thematic content of the principal theme, we must above all interpret as the particular hallmark of its construction the variety of the individual components from which it is assembled. From this perspective the contents of bars 17-18 (figure 7), 19-20 (figure 8), 21-24 (figure 9), 25-26 (figure 10), 27-30 (figure 11), and finally the cadence of bars 31-35 present clearly discriminable motivic units that are to be held strictly distinct from one another.

17-18:



19-20:



21-24:



25-26:



27-30:



If we compare the procession of scale degrees on the one hand with the aforementioned motivic units on the other, we gain the

appreciation that a strong alliance prevails between the two, precisely in the sense that with a change of scale degree there is associated at the same time a change of motif, although in some cases a change of motif occurs within a single scale degree.³ Thus it happens that the tonic accounts for two or (even) three motivic units, while IV, \flat II, and V account for one apiece.

Bar 24 The scale-degree change IV- \flat II in bar 24 merits special attention:



Here we see, specifically, the root $E\flat$ enter abruptly with great vehemence already at the second eighth (thus metrically weak). Yet this entrance is present less for its own sake—that is, for the distinctive effect of introducing a change of harmony on the weak part of the beat—than to underscore the effect of the syncopé⁴ that ties across from the second quarter of bar 24 to bar 25. Beethoven was particularly fond of securing his syncopes in exactly this manner, as can be attested also by the following analogous example:



[3. The “V” in figure 8 might appear to be an exception to this observation, in that the change of scale degree is not in this case accompanied by a change of motif. This V, however, is clearly a lower-level event bracketed within the more comprehensive prolongation of I, and is thus not comparable to the other scale degrees shown in figures 7–11.]

[4. Schenker speaks of both syncopé and syncopation. A syncopé is a specific projected duration that internally includes a time-point of metrical value stronger than that associated with its beginning. Syncopation is the process of creating syncopes in general, or a particular act of such creation.]

Bar 33 In bars 33–34 the dominant harmony incorporates an elision of the [suspension-] resolution: V_{4-3}^{6-5} , similarly to bars 264–268 of the Scherzo.

Bar 34 Finally, the greatly misunderstood figure in first violins and violas in bars 34–35 remains to be elucidated. It is nothing more nor less than a (brilliantly, to be sure) composed-out *portamento* from a^2 to d^1



which, incidentally, is shown completely bare and distinct by the flutes at the same time:



(Concerning the \flat_4 chord and the elision of its resolution in bar 34, as well as the *portamento* in the same bar, see *Counterpoint* 1, pp. 118–119.)

The Consequent Section

Bar 38ff. The consequent section begins already at bar 35, not, as is commonly surmised, only at bar 36. This is clearly implied by the fact that the consequent section, as already mentioned, includes a repetition of the Introduction, whose beginning here, however, definitely belongs only to bar 35 (observe the horns in D (and clarinets) entering in bar 35, by analogy with bar 1!). Thus in bar 35 both the end of the antecedent section and the beginning of the consequent occur, combined and dovetailed with one another. What a silent marvel of organic fusion, and how simple the technical means by which it is effected! The horn entrance simply appears at the proper time, and the parallelism with bar 1 itself then takes care of its intended effect! Just as in the Introduction, naturally, the articulation into recurrent four-bar groups is reckoned only starting from that horn entrance in bar 35.

Unlike the Introduction to the antecedent section, however, which was built on the dominant of the key, the Introduction to the

consequent section is built here on the tonic itself. This alteration naturally brings with it in the course of events significant deviations in harmonic and thematic respects. For while specifically in bar 15 the harmony was able to turn from A toward D (i.e., from dominant to tonic) in bar 49, on the contrary, the tonic, having just been used up, had to be left and a different scale-degree progression initiated; and indeed it is here the falling third from D to B \flat (i.e., to VI) that henceforth points the content in new harmonic directions. Incidentally, a simultaneous consequence of this falling third is the further difference in comparison to the situation at bar 15, namely that the new harmony here automatically includes its third: B \flat – D – F.

Bar 49

Bar 51ff.

The principal theme itself, however, which begins with the consequent section in bar 51, is here continued only four bars, which, as previously mentioned, are all moreover created out of scale degree VI. After four bars the content of the consequent section veers off in order to seek an approach to the dominant (recall that the antecedent section closed with the tonic!), at which point, instead of that motif which appeared from bar 21 on in the antecedent section, it is only the motif of the third bar of the principal theme that finds exclusive employment:



In the meantime the scale degrees traverse the following path: VI in bars 55–56, VII (V) \flat in bars 57–58, I \flat – # \flat in bars 59–61, IV and #IV in bars 61–62, and finally V in bar 63ff. This scale-degree progression, then, proves most conclusively that the major triad on B \flat is not at all to be immediately interpreted as perhaps already a key of B \flat : the true modulation is reserved for a later point in time and moreover for [motion to] a genuine B \flat -major key. Let a tonal complex like that of bars 49–56 clearly instruct the listener, finally, that however deceptively a composed-out entity may resemble a genuine key, the two concepts (see *Harmony*, §76ff.) must be kept strictly separate if our tonal sense is not to lose itself in chaos!

The dominant in bar 63 brings a new motif:

5. Regarding the equivalence (under certain circumstances) of VII and V, see *Harmony*, 190ff.



Perhaps it would not be an error to regard this nevertheless as still a derivative of the sixteenth-note motif of the preceding bars.

In bars 67–70 the bass then takes over the motif, while the treble voice in bars 68–71 enters with it in a type of stretto. Just at the end of the motif (or of the stretto, thus in bar 71) the modulation to B \flat major arrives on the scene.

Modulation (bars 71–79)

The modulating part is kept extraordinarily concise: It reaches only from bar 71 to bar 79, but contains, in spite of such brevity, enough space not only to satisfy the purely mechanical modulatory process as such—the reinterpretation of harmonies toward the end of gaining a new key-center—but moreover to combine with it most aptly (what a marvel!) an independent cantabile theme, which already stands in B \flat major.

Bars 71ff.

The first aspect, the technique of modulation, rests on a reinterpretation of the harmony e – g – b \flat , which in bar 71 is part of the dominant of D minor (cf. *Harmony*, §§66 and 108), as a VII of F major, which expressly drops to V in bar 72:



—a modulatory process that is aided also through clarification by the passing tone, which presents in the contrabasses the succession d \flat – c:



in the sense of a mixture of F maj/min .

But the dominant just mentioned is at once newly reinterpreted as II \sharp of B \flat major, so that the dominant of B \flat major can arrive already at bar 75:

Bar 74

F major: V
 B \flat major: II ——— V

And precisely over the dominant appears finally the aforementioned modulation-theme itself:

Fig. 20.

However expressive this motif may already appear—Beethoven expressly marks “dolce”—, it is nevertheless too obviously mere preparation for what is coming to be able to count as the true blossoming of an era that might linger. In other words: this theme—I might call such a theme the heart, or, if such a term be permitted, the expressive eye of the modulation (or the modulation-eye for short), and mention that it belongs to the technique of our masters to invent similar themes for the purposes of modulation in sonata movements⁶—is not so much self-contained as rather pointing toward a more distant future. Accordingly, it has just enough independence to be able to assert itself after all as a theme in its own right, but has, on the other hand, far too little development and scope to be able to stand as an equal alongside the first or second theme.

PERFORMANCE

The metronome markings as given in the score of the Ninth Symphony are all by Beethoven and thus are to be accepted as authentic. He himself set them down, in a letter written a few days before his death, expressly for a London performance. More detailed information about the master's views on the metronome may be found in Nottebohm's *Beethoveniana*, p. 126ff. Confirmation will also be found there that the selection by Beethoven of a particular tempo at the beginning of a piece, which is precisely what the metronome marking represents, by no means ruled out possible tempo modifications; but rather, that the master himself always preferred a free

6. Cf. in this connection my “Contribution to Ornamentation” [see the Appendix].

manner of playing to the rigid one.⁷ With this general provision in place, I can now proceed to the elaboration of details of performance.

Bars 1–16. Here the wind instruments, commencing singly in succession, must enter altogether imperceptibly; their arrival must be just as difficult to notice as it would be, for example, to fix exact increments of intensity in a gathering storm. The individual entrances of the wind instruments as such therefore must in a way merge into the overall picture, and only the *fortissimo* must appear before us as a *fait accompli*, in such a way that we do not notice the details of its emergence.

Particular care must be taken with the contrabasses as well as with the winds:

Fig. 21.

since with these instruments the *cresc.* must be given expression over the course of longer rests. The *crescendo*-breath here must somehow waft hotly across into the subsequent rest, as the following illustration attempts to clarify:

Fig. 22:

Just so, it may be proclaimed as a general principle that an overall *cresc.* or *dim.* can attain full credibility in performance only when the lowest voice in particular is a participant in it! How remiss in this matter are most conductors and piano teachers, who take an interest in the lowest voice only when it concerns itself with thematic material but ignore the obligation of molding and nuancing the bass line—even in cases of *cresc.* or *dim.*—except in such cases!

7. Thus we read even in the preface (p. 7) to F. Rochlitz, *Sammlung vorzüglicher Gesangsstücke usw.* (Mainz, 1858): “It is, incidentally, well known—and should be, at least to everybody who claims to be a conductor—that in both the modern and the older styles the sense and expression of the composition prescribes the tempo of any piece far more accurately than any kind of verbal addendum, and that even the metronome of most recent times (its invention belongs to the year 1805) should be able to do nothing more than avert crude misjudgments. Even various side-issues must exert in performances a by no means insignificant influence on the setting of tempo for one and the same work—whether, for example, a chorus is full or sparse, whether the work is to be performed in a large or a small space, and more besides.”

Bar 17. The *ff* of the principal theme of bar 17^{ff.} gives me the opportunity to demonstrate once and for all the technique of performance of a *fortissimo*: if it is clear that not only a^2 , but also d^2 and f^1 of the figure are to acquire particular emphasis, then in the execution of these tones it is necessary to subtract in each case as much of the tone's value as is necessary to collect in a free and elastic way that force which is demanded by the subsequent emphasis. An image something like that of pouncing is thus offered, wherein the moment of propulsion away from a fixed surface involves, as we know, only the smallest quantum of gravity itself: if one wants to leap away, the last thing one can do is to weight down and depress the place from which one wants to leap.⁸ In the performance of a series of accented tones, then, one must observe a similar principle—that is, one must take care not to exert pressure at exactly the point where one is preparing to spring ahead to the accent. Therefore nobody need fear to apply curtailments of note values for the sake of a subsequent accent! The reward of such a technique is multifaceted: through the emphasis of the accented tones, the content itself above all gains in vividness; but the hand of the string player or the breath of the wind player as well, to speak of purely mechanical matters, ensures, by constantly renewing the stored-up force to approach the accent, a fresh mobility, which comes precisely from the fluctuation that rests on a sound psychological basis.

Bar 19. The first sixteenth note must be sundered from the second one; it must therefore not sound like the following, which we unfortunately always hear:



This latter version is reserved for the development and the coda, where it then appears as already a thematic modification of the motif presented in bar 19.⁹

[8. Obviously pressure must be applied to the point of departure in order to gain energy for the leap; the moment to which Schenker refers is the very last moment of contact between leaper's feet and fixed surface. The time gained by the foreshortening he recommends might also be compared to the time that elapses between the propulsion away from the fixed surface (*Abstoßen*) and the landing on the object of the pounce.]

9. For purposes of comparison I offer here yet another similar example, from Beethoven's Piano Sonata in D major, Op. 10 No. 3, *Largo e mesto*:

Bar 21 *ff*. The dotted notes must be held their full value. One can say that a type of *portato*¹⁰ is present here, but that the composer himself wrote out exactly the desired value of the individual tones—thus a written-out *portato*! In spite of the outward values that are seen here, the effect in question is fundamentally the same as if the notation were merely as follows:  (cf. bar 26).

Bar 24. A general comment: when approaching an *sf* on a weak beat—obviously this often involves a syncope—one will almost never go wrong in “tumbling ahead” to the *sf* so as to initiate the weak beat earlier than would be indicated by strict adherence to the metronome.

The rhythmic falsification, which consists in an acceleration, proves necessary in such a case because the aforementioned “tumbling”—in quest of an association of ideas—gives our ear an impression of that psychic urgency which ruled within the composer when he set the stronger accent exactly on a weak beat. If it is to be considered a norm that the stronger beat takes the stronger accent, then it must logically be regarded as less normal when, by exception, a stronger accent is associated with the weaker beat. This latter effect, because it is a special one, must therefore also have its special reasons. It is as though an upsurge of blood pressure were the cause of the deviation, and this very upsurge just now finds expression in the performance as well; that is possible, however, only if it is translated into the equivalent energy of an acceleration, which in turn needs to be dictated only by a more ardent upwelling of the blood!

Bar 27. Since there is still no half-cadence at this point, the

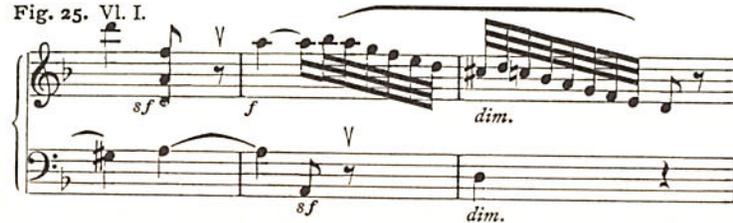


[10. *Portamento* in the original text. Schenker applies this term both to the articulation it strictly denotes and to the one more accurately called *portato*.]

content must simply be allowed to stream ahead unchecked. In other words: to be able to give the events of bars 27–30 the correct proportion in the continuity one must constantly look to the course that lies ahead, and bear in mind especially the cadence still to come in bars 31–35.

Bars 33–35. The following example shows the difference in the employment of eighth-note rests in first violins and contrabasses:

Fig. 25. VI. I.



Where the violins separate, the contrabasses sustain; and, vice versa, the contrabasses detach where the violins execute their *portamento* run. It is extremely important, though, to perform the detachment of the eighth notes with the greatest precision, for the more drastically this is done, the warmer and more beautiful the following attack will sound!

For successful expression of the *portamento* itself in bars 34–35, first of all the *idea* of *portamento* must come or be brought most clearly to the consciousness of the players. Consciousness then awakens and nurtures perception, and all at once it sounds from first violins and violas as though the tone a² had simply sunk, somehow mysteriously, to the tone d¹. As inappropriate as it would be here, in view of the desired effect, to make the individual thirty-second notes altogether too distinct, it is nevertheless advisable at the beginning of bar 35 to inject a certain warmth (if ever so fleeting) into this niche in the figure by means of a minute sustaining of the first thirty-second note c^{#2}.¹¹

Bar 55ff. I remind the reader here of what has already been said about bar 55ff. and add only that on both sides of each *sf* accent, even within *ff*, the force must first of all appear still to wait upon and aim for the accent. On the other side, however, in the departure from the accent, it is relaxed, so that only exactly in the middle—that is, in the accent itself—should the specified explosion be permitted to occur.

[11. c^{#1} by mistake in the original.]

Bars 63–65. Beethoven's instruction *ben marcato* requires an emphasis on each individual eighth note; the performance of this passage, therefore, may stand as a counterexample to the technique depicted in the preceding paragraph.

Bars 71–73. Here the modulation must be performed, with full artistic consciousness, specifically as such. The conductor will need to draw on those psychic powers that enable him to impress the change of key area as an altogether necessary tonal event upon the listener as well.

Bar 74ff. One should not be misled by Beethoven's *dolce* marking into lending the theme to be performed here a greater significance than is its actual due; it should be remembered that at this point, as I said earlier, only a modulation-theme is to be carried out. It is part of the nature of that theme that even during its course we keep our gaze directed toward the coming second theme and, while giving proper attention to the modulation-theme, nevertheless at the same time preserve in the performance a quality of scouting ahead. Thus all that would suggest lingering or retardation should be excluded from the passage; not until bar 79 should a *ritenuto* be applied, to signal the approach of the second theme.

LITERATURE

In *Nottebohm*¹² we read on p. 159:

The beginning of the composition of the Ninth Symphony is synonymous with the beginning of work on the first movement. The first sketches for this movement show that Beethoven had it in mind to write a symphony. They are found on individual dispersed pages from the year 1817. How far the work had progressed by the end of 1817 or the beginning of 1818, and that Beethoven was already thinking of the other movements, can be inferred from a sketchbook from that period. Beethoven writes there first of all: [the sketch citations follow].¹³

The sketches Nottebohm provides at this point show the chronological order in which they originated. For purposes of study, however, it seems to me far more appropriate to present them here in the order in which they correspond to the definitive thematic succession of the score.

Thus the following sketches from the year 1817 (or 1818) relate to the Introduction as well as to the first bars of the principal theme (see Nottebohm, pp. 159–160):

[12. This and all future references to Nottebohm are to *Zweite Beethoveniana*.]

[13. Bracketed matter interpolated into quotations of other authors is by Schenker unless otherwise noted.]

Fig. 26.

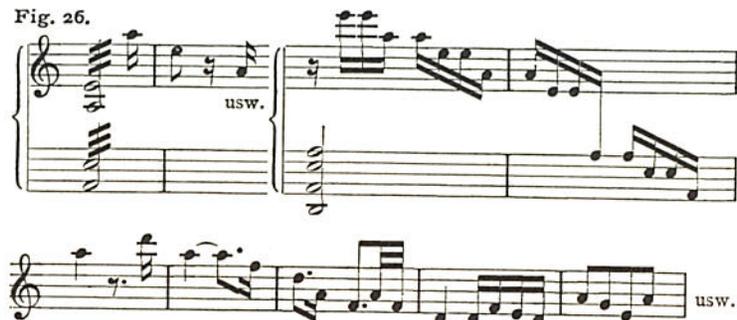


Fig. 27.

"anfangs vielleicht auch Triolen"



(Regarding the last sketch in particular, Nottebohm says on p. 162 that "the remark on the sixth sketch concerns the treatment of the violins. Beethoven was undecided about whether triplets should be used instead of the indicated sextolets.")

But we also come upon the following version of the principal theme among the sketches (see Nottebohm, p. 160):

Fig. 28.



"On a page that was used either at the same time as that sketchbook or somewhat later," Nottebohm writes on p. 163, "Beethoven decides in favor of the sextolet motion at the beginning of the first movement, about which he had still been undecided in the sketchbook":

Fig. 29.

"nur 6tel und im Stück 16tel"



Beethoven's additional notation given in the next example (see Not-

tebohm, p. 159) obviously relates to the conclusion of the antecedent section, bars 34-35 of the score:

Fig. 30.



How infelicitous, still, the expression of the *portamento*!

The following sketch (Nottebohm, p. 159) pertains to bar 63ff., in the consequent section:

Fig. 31.



This is where work on the symphony stood in the year 1817 (or 1818). Concerning its further progress, Nottebohm writes (p. 164):

The drafts mentioned thus far of the first movement of the symphony, and of the symphony in general, were written during the composition of the Sonata Op. 106. Two of Beethoven's greatest instrumental works thus fall in more or less the same time period with respect to date of origin.

In the next four years the work did not go well. It was interrupted by work on other compositions. Among the greater works to originate in this period are the three piano sonatas Opp. 109, 110, and 111, the second Mass,¹⁴ and the overture¹⁵ Op. 124. Beethoven was most intensively involved with the Mass. Only when it and the overture and chorus¹⁶ were fully sketched did his attention turn almost exclusively to the symphony.

The state of the work as it was resumed and continued in summer or autumn of 1822 can be determined from a sketchbook. Work on the first movement has, as these excerpts show, advanced somewhat:

Fig. 32.
Sinf.



[14. *Missa Solemnis*, Op. 123.]

[15. *Die Weihe des Hauses*.]

[16. "Wo sich die Pulse jugendlich jagen," WoO 98.]

Fig. 36.

1a. b. 14

1b. b. 22

or:

2. b. 57

On comparison of 1a with 1b, we see at the fifth eighth note [of 1b] a reinforcement by the octave carried out exactly in a manner that is otherwise usable only in orchestral music. But what the example confirms in relation to the preceding concerns of our presentation is that such a reinforcement, in keeping with Beethoven's technique, can enter even at a point in the motif which otherwise exhibits no particularly decisive significance for it.

Beethoven's orchestral technique is all the more to be expected, then, in a case such as the following, for example:

Overture to *Coriolanus*, Op. 62

Fig. 37.

Fl. I

Ob. I

Vl. I *p*

cresc.

Basses *cresc.*

Now who, except Beethoven himself, would have the courage to enter with the reinforcement by the flute precisely on a passing tone (as in this case the second half note *g*)? On the other hand, who would allow himself to be led so far astray by such an unexpected reinforcement as to misunderstand the course of the melody and continue it in the region of the reinforcement?²⁴ (Compare, in figure 67, the flute in bar 4!)

Moreover, it was yet another principle of his technique that deterred him from so blithely abandoning a higher register of the flute activated by doubling. Because of an effect perceived as poor, he avoided, specifically as a matter of principle, using an octave region merely for doubling but then leaving it subsequently unused after having committed himself!

Second Theme (Bars 80–137)

At bar 80 the second theme begins. It consists of three more or less independent bar-groups,²⁵ which I here indicate *a*, *b*, and *c*.

Part *a* comprises bars 80–87, part *b* bars 88–101, and finally part *c* bars 102–137.

Part a

The content of this first thematic segment is the following:

Bars 80ff.

Fig. 38.

Cl.

Fl.

Ob.

Fl.

It subdivides, as we see, into twice four bars, wherein the latter four bars moreover present only a repetition of the first four. The scale-degree progression moves exclusively with the alternation of I and V. It is on the one hand the brevity of the theme that naturally calls for continuation. This is supplemented on the other hand, however, by the fact that even from the harmonic standpoint the alternation of I and V alone appears insufficient and therefore needs continuation.

[24. The "who" in this latter conundrum is Richard Wagner; see the discussion under the Literature rubric. This also accounts for the next, parenthetical, remark.]

[25. *Tongruppen* (tone-groups) in the original—almost certainly a mistake.]

Part b

Bar 88ff. Now the second thematic segment appears. If one wants to grasp its meaning in terms of its ultimate cause, it is advisable to trace the content back to the succession of the following cardinal points:²⁶

Fig. 39.

Scale degrees in B \flat maj.: I — V — VI — III — VI — I \flat 7 — IV — V (Half cadence)

VI. I.

VI. — I \flat 7 — IV — VI \sharp 3 — II — V — I usw.

The form of this theme thus shows a half-cadence already in bar 95, but a further reinforcement of the cadence is generated in bars 95–101 by means of repetition and expansion of bars 92–95 (see the bracketed bar-groups in the example).

Part c

Bar 102ff. With bar 102 begins the third thematic segment. Itself articulated into two parts, it exhibits antecedent-consequent construction.

As the scale degrees I — IV — V are consumed, the antecedent, bars 102–105, is assembled from two different characters (see below, the brackets in figure 40):

Fig. 40.

I IV V

Bar 106ff. In the consequent, however, which begins with bar 106, along with an otherwise strict response to the first motif, a mixture also occurs immediately, in that the minor triad is used as IV in bar 107.

Bar 108ff. This minor subdominant in turn provides an incentive to have a \flat II (Phrygian—cf. *Harmony*, p. 50) follow in bar 108ff.: $c\flat - e\flat - g\flat$ for $c - e\flat - g\flat$ in B \flat minor, so that now the second motif of the

[26. *Hauptpunkte*; perhaps the word intended was *Höhepunkte* (high points, or apex-tones).]

antecedent (see the second bracket in figure 40) is already extracted here in the consequent from the harmony of a \flat II of B \flat minor. For the sake of more convenient orthography, Beethoven writes the motif, to be sure, in the spelling $b - d\sharp - f\sharp$.

Musicians should long ago have noticed that the motif of the second bracket in figure 40 shows a different slur articulation in the antecedent (bars 104–105) than later in the consequent (bars 108–109—[see below in figure 41]): where in the former a slur is written for each bar, in the latter only a single slur spans both bars instead. An artistic sensitivity that had grasped this notable distinction in the first place would then no doubt have been able to solve the great puzzle of the following bars 110–113 as well. But what all hasn't been read into this, and falsely too! And exactly just the one and only correct meaning has occurred to nobody: namely, that the content of the bars just mentioned represents nothing other than an enlargement of the motif given in the preceding bars:

Fig. 41.

(Enlargement)

And let us marvel at the care with which the master deliberately binds the motif first with one single slur in bars 108–109, so as to be able to “bisect” it the more effectively by means of two slurs in bars 110–113; specifically, just as the motif seemed to gain expansion through lengthening of the slur in bars 108–109, it also admits of a thematic enlargement²⁷ in the subsequent bars.

27. Analogous examples of an immediately ensuing enlargement are found, for example, in the finale of the Ninth Symphony (see below, Fourth Movement, first Division, bars 198–199):

Fig. 43.

or in the Ballade in A \flat , Op. 47 by Chopin:

Concerning the bass in bars 102–103 (and likewise later in bars 106–107):



it is widely assumed that this is merely a slip of the pen on the part of the master and that the following version was intended instead:



An incorrect assumption; it is only for the sake of harmonic precision that Beethoven refrains from having the bass as well participate in the neighboring-note construction immediately at the first appearance of the motif. It is for the same reason that he dared only in bar 103 that which he did not yet consider appropriate in bar 102.

One must likewise decide in favor of the original version in the cello in bar 111; thus:



And similarly—although admittedly on the basis of a cadential situation—Brahms writes as follows in the C-minor Piano Quartet, Op. 60, finale:



instead of:



Here too the neighboring note is avoided, again only for the sake of better clarification of the fundamental B, whose octave is, after all, stated at the same time in the treble.²⁸

It is scarcely to be overlooked that during the enlargement in bars 110–113 the motif of bar 102—or more exactly only its rhythm:



—continues to be used in the lower voices.

At bar 116 a change of scale degree must be assumed. Here it is, to be precise, a scale degree V, which follows upon a \flat II. The dominant is imprinted with complete clarity in bar 120, from which point it is to be regarded as in complete control up to the entrance of the closing theme, thus up to bar 138.²⁹ Such breadth of scale degrees!

Bar 116ff.

In the figuration of bars 116–117 a second motif is generated, which undergoes the following transformations. First it takes on a rhythm of eighths in bars 116–119



so as to arrive at an enlargement already in bars 120–127, as the following illustration shows:



—since figure 50 obviously has to be understood as follows:



From a different perspective, however, figure 50 shows at the same time a contraction (*Verkleinerung*) as well, as can be seen in the

[28. It might be added that the original version supports the pairing of bars better than does that of figure 48.]

[29. The original has 132 by mistake.]

first two sixteenths. Precisely this contraction now governs bars 128–129, so as to lead finally to the following intensification in bar 130:



Bar 120ff.

Far more significant than the fate of the second-motif just cited, however, is that of the particular third-motif that surfaces for the first time in bar 120 in flute I:



Who would suppose just at this point that the motif, which, as the following example shows, first presents itself modestly merely as a filler, almost as a product of inattention:



nevertheless already represents the seed of the closing theme (see bar 138) with its deluge of expression!

As early as bar 128 the third-motif appears two sixteenths sooner:



It is clear, however, that this surely is only a consequence of the abbreviation of the motif in the violins. In bars 130–131, still, it appears as though the two motifs—the second- and the third-motif—would grapple with each other, since the shape of the violin figure admits both readings:



In the subsequent bars 132–137, however, it is exclusively the third-motif which, in the form of a tenth-leap in the basses,³⁰ ultimately carries the day! And in the further course of events it is finally again just the third-motif that breaks forth in the oboe as principal motif of the closing theme itself! That the motif of bar 20 is in the meantime used in bars 132–137 in the oboes (and, in figuration, in the first violins as well) as counterpoint against the third-motif of the basses should no longer mislead about the true state of affairs.

This very counterpoint, however, deserves close attention for a different reason. Specifically, if we examine a précis of the bars in question:

we see immediately that in the performance of the motif dissolved into thirty-second-note figuration, violin I and violin II alternate, and in such a way that the former goes first. (The reinforcement of violin I by the viola in the lower octave changes nothing in this connection.) This alternation occurs three times in the six bars, and is moreover combined with an alternation of registers in which the individual entrances take place as well.

The succession of events in particular is the following. In the first two bars (bars 132–133) violins I and II remain in the same two-line octave with their entrances ($e\flat^2$ and f^2). In the next pair of bars (bars 134–135) the register-alternation just mentioned enters with its differentiating effect: the entrance of violin I takes place in the two-line octave, and that of violin II in the one-line. The same procedure is followed in the next pair of bars (136–137): violin I enters with $b\flat^2$ in

30. See *Counterpoint* 1, p. 87.

The points in Riemann's discussion that must be considered errors are that he (1) describes the cadential reinforcement in bars 96–101 as “consequent” (*Nachsatz*); (2) assumes in bar 102, where in fact a new thematic subdivision is adjoined, a merely “sequential spinning-out”; (3) claims in bars 108ff. the presence already of a new key, “C♭ major,” where all that appears is a II (lowered, to be sure); (4) fails to recognize the enlargement of the motif in bars 110–113 as such and dismisses it as nothing but a “new phrase”; (5) assumes a re-modulation from C♭ major to B♭ major (note the words: “which reveals itself . . . as subdominant of B♭ major”); (6) comprises summarily under the title “Closing Group” (“the balance of the thematic section remains in B♭ major”) a large complex of bars that requires a more detailed differentiation simply because in bar 138 the actual and independent closing theme begins; and (7) completely fails to recognize the preparation of the latter by the third-motif in the basses, which, incidentally, follows still more clearly from his incorrect citation of bars 132ff.! I think there are truly enough errors here—more than enough!

After first quoting bars 74ff., *Kretschmar*, in an again altogether naive way, contents himself with the following comments (p. 115):

Here again the potency of the lengths, which characterizes every thematic and formal entity of the Ninth Symphony, and especially of this first movement. The same demonic unrest, which ever again rouses perception and imagination. It charges forth here from the realm of the mild nostalgia of sympathetic yearning, of consolatory remembrance, into the impetuosity of battle [here a quotation of bars 102–102]. Immediately after follow again pictures of peace and of blissful contentment [here a quotation of bars 110–115], etc. All torment sleeps momentarily; but even from the soothing cradle of the dreamworld, opposing forces make their presence felt [here a quotation of bars 120–123]. In an instant there appears a new expression, in which the basses, with tempestuous upward gestures, now take over the leading role: [here the bass figures of bar 132ff. are quoted].

Poor in insight—alas! but how these commentators drift about on the most barren stock of phrases, empty words and pictures! Can such activity be of use in any way to the layman, performer, student, or conductor?!

Grove writes comments of greater relevance (p. 309), but at the same time falls from one error into another. Thus, according to him the modulation-theme (bar 74ff.) belongs to the “second subject”; part b of the second theme (bar 88ff.) he designates as “a codetta finishing in G minor [!] instead of B♭ major”. Concerning bars 92–95, which in fact contain a scale-degree succession V – I^{♭7} – IV in B♭ major, he speaks as though of an E♭-major phrase, and further on similarly also of “C minor” and “D minor,” where it is likewise permissible only to assume scale degrees of the B♭-major key. In the motivic enlargement of bars 110–113 he spies a “broadly drawn, two-bar”⁴²

[42. The English original does not include the qualification “two-bar.”]

theme in B major”; in the V of bar 120ff. a “new episode”;⁴³ and, like Riemann, he hastens over the great difficulties of the remainder merely with the ineffectual words, “B♭ major now remains the governing key to the end of the first division.” What a limited view, and how wrong everything is besides!

Third (Closing) Theme (Bars 138–159)

The closing theme consists of two bar-groups: 138–149 and 150–159.

The third-motif, which has dominated the preceding bars in ascending series, now appears in the *first bar-group* in the descending direction, occurring twice in each bar. The motif thus newly shaped appears in several versions in bars 138–145: in bars 138–139 in the sense of I, in bars 140–141 in that of II, in bars 142–143 in that of I^{♭7}, and finally in bars 144–145 in that of IV; all of this over and above the numerous additional variances associated with those versions, which are to be investigated more thoroughly here.

As a preliminary observation, however, let it be noted moreover that the complete harmonic content of bars 138–145 can be reduced to the succession of four sixth-chords:

Fig. 69.

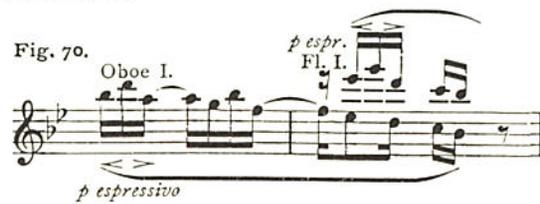


Formed most clearly by the strings, this succession could possibly cause the II and I^{♭7} of bars 140–143 to appear as only passing harmonies. The misguided interpretation of the closing theme that I will expose below in comments on the literature—and, even more, the circumstance that the arts of transposition of a motif to different harmonies as Beethoven applies them in the construction of the closing theme are today, in spite of their far-reaching compositional significance, so completely undervalued and discredited merely because of the difficulties that attend them—obliges me to devote my effort here to the most detailed description of the individual transpositions.

In keeping with the principle Beethoven always observes of completely securing a motif immediately when he introduces it, the

[43. In the original, “an episode entirely different and distinct from anything that has come before it.”]

new motif in bars 138–139 is purely and clearly shaped at the outset, as follows:



If we consider the prototype established here only in the horizontal direction, we find the motif implanted threefold within a major triad on B \flat , where it descends through a full octave from b \flat^2 to b \flat^1 .

The next version of figure 70, in bars 140–141, takes the following form:



Within the minor triad on C (whether in the sense of a II or only in that of a harmony passing through in the form of a sixth-chord), an exact replica of the first prototype of figure 70 would, indeed, now have had to assume the following shape:



The reasons this was ruled out, however, are the following:

1. the law of variety—thus that law which belongs among the strongest laws of composition—by itself demands a variant of the prototype;
2. at the first sixteenth of the second eighth an octave would have resulted with the bass, which, however, together with the first octave in the corresponding sixteenth of the preceding bar 138, would produce the effect of parallel octaves;
3. the replica (figure 72) would lack the harmonic advantage of a $\frac{6}{3}$ chord, whose appearance is so welcome in the variant of figure 71.

Only the last point needs clarification. Figure 71, since it begins with the fifth g 2 , appears in spite of the c 3 as a dispersion of the triad

in the [treble] position of the fifth.⁴⁴ Just this circumstance, however, confers a very significant advantage upon the voice leading from the outset, in that the fourth g 2 –c 3 at the beginning of the figure, when added to the bass tone E \flat , yields a securely formed $\frac{6}{3}$ chord, which, as already said above in connection with figure 69, is of such crucial importance here. (Such a sixth-chord would have been lacking in the exact replica of figure 72.)

This proves first of all that the beginning of the transformation here in question could only take the shape shown in figure 71. But the change from the original octave-position into a fifth-position (always understood only in the horizontal direction!⁴⁵) does lead to still further consequences. For when it begins with the fifth, the motif arrives at the root of the triad already at the beginning of the second bar, so that the composer, if he is not to deviate from the temporal length of the motif, has all of two quarters left over to fill out. To descend below c 2 for this purpose was ruled out, however, on the grounds that the figure would then have arrived at g 1 , [yielding] an interval which, as a third, would be less desirable from the standpoint of the sixth-chord to be forged at the end of the figure than the tone c 2 , which represents the sixth of the bass, or—which amounts to the same thing—the root of the harmony.

In this sense, therefore, the figure had to be brought to a conclusion in such a way that it could end with a reappearance of c 2 , and thus arose in bar 141 that turn in the variant (see the bracket in figure 71) which begins with c 2 and, after taking the detour by way of the fifth g 2 , also concludes with the same tone. (Observe that only such a procedure could also lead again to an optimal expression of the sixth-chord!) This fifth c 2 – g 2 —the “knee” of the figure, so to speak—now cancels most decisively the [priority of the] constructional principle of the third, which has been the basis all along of both the prototype in bars 138–139 and the variant in bar 140. This breach should be noted well, and one should confirm as the most important result of the comparison of the two versions the fact that the variant now shows instead of three arcs of thirds only two.⁴⁶

[44. Schenker measures from the root here and in the subsequent remarks.]

[45. That is, by “original octave-position” Schenker means the octave-position of the B \flat harmony in bar 138, not a conceptually “original” octave-position of the C-minor sound currently under discussion.]

[46. Literally only one; but the fourth-leap at the beginning of the variant of bar 140 is not yet regarded as canceling the third-principle, since it is a minimal possible adjustment for the sake of the sixth-chord. The breach of this principle occurs only in bar 141, where an available third-leap is bypassed (for the reason given in the preceding paragraph) in favor of a fifth-leap.]

The version according to I^{b7} in bars 142–143 appears as follows:



It is clear at first glance that we here stand before a new, second variant. What are the reasons for its origin, and what are its relationships to the two preceding variants? It is here again the perspective of the sixth-chord, which had to be formed with perfect clarity at both the beginning and the end of the motif, that served as regulator of highest authority.

Thus possible replications of figure 70 such as the following were ruled out from the start:



—replications, that is, which, because formed in the octave- or third-position, would more closely have approached the prototype of bars 138–139 (precisely figure 70). The intervals produced at the very beginning— 4 or $\frac{6}{4}$ in the case of a and $\frac{8}{6}$ in the case of b —clearly contradict from the outset the demand for the $\frac{6}{3}$ -chord.

The fifth-position on the other hand, to the extent that the chromatic tone of the lowered seventh was also to be taken into consideration, would have had to lead, according to the model provided by the variant of bars 140–141, to the following replica:



Accordingly, the version Beethoven ultimately settled on as definitive (figure 73) is in fact closer to the fifth-variant than to the original prototype. What specifically appears as a common feature of both figures 71 and 73 is first of all that they arrive at the root (b^2)⁴⁷ already at the beginning of the second bar (thus differently from bar 139 in the original motif), and next, that in order to fill out the space of two remaining quarters, the aid of a melodic “knee” (in bar 141 a fifth-, here in bar 143 a seventh-arc) must be invoked. But from this it follows that even precisely the *seventh*, since it is a thematic replication of the fifth in bar 141, itself in turn has *thematic significance* and therefore represents a real seventh, and is not, as is unfortunately assumed, to be understood as perhaps only the inversion of an originally conceived second!

In order to arrive at the ultimate version, however, Beethoven had to apply a few improvements to figure 75.

First, he found it necessary to set the tone d^3 in place of the first sixteenth f^3 , for only thereby, when the bass is included, does the required $\frac{6}{3}$ chord $f - d - a^b$ arise (the diminished fifth, incidentally, immediately provides orientation as to the function of the harmony—cf. *Harmony* §66—, which points to the triad $E^b - G - B^b$).

Second, he had, in spite of the indebtedness of figure 75 to the model of bars 140–141, to omit the first syncope, since it was no longer feasible to use the tone e^b2 as the fourth sixteenth-note of the first quarter, which alone would have been able to make the syncope possible:



But this eliminated also the second syncope, across the barline of bar 142, which—after deletion of the first syncope—would itself now have appeared as the first, and could as such scarcely have made a good effect at this point.

Thus the variant of bars 142–143 dispenses with any syncope, which latter has always been the hallmark of both the prototype in bars 138–139 and its first variant in bars 140–141. In spite of such lack of syncopes, however, the second variant must be derived—and this is doubtless the point of greatest emphasis—from the first variant, not from the prototype!

[47. In figure 73; c^2 in figure 71.]

All of this discussion now leads to the final conclusion that the second variant in bars 142–143 is presented not by oboe I, but by flute I (see above, figure 73)! The oboe, after all, shows the following version:



—and one need only consider the last sixteenth note g^2 of the first bar to verify the presence in this idiom of a complete departure from the melos; while the flute in the same place, on the other hand, adheres completely—the missing syncope notwithstanding—to the construction prescribed by the prototype:



(Precisely the g^2 of the oboe would then form a $\frac{6}{3}$ harmony with eb^2 of clarinet II⁴⁸ and c^3 of the flute, which again proves that at the end of bar 142 the flute alone must count as main upper voice, i.e., as soprano of the harmony!)

In bars 144–145, finally, the IV is composed out in the following manner:

Fig. 79.

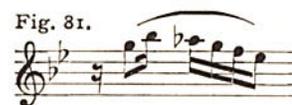
As with the first variant in figure 71, we encounter here again the fifth-position of the motif. What distinguishes the two shapes of figures 71 and 79 from one another in a completely new way (one still not found even in the second variant of figure 73), however, is the canonic imitation in clarinet I and flute, which could appropriately

[48. *Klarinette I* in the original, obviously by mistake.]

be described also as *stretto*. Notable moreover is a characteristic trait of variety, which consists in the fact that within the imitation, the flute, in contrast to bassoon I and clarinet I, forgoes the syncope. The circumstance, however, that it would originally have had to go as shown by the syncopated version:



causes the seventh of the definitive version to appear to us only as an opened-up second (cf. *Counterpoint 1*, p. 84ff.) and not as a real seventh born of thematic causes. Oboe I, incidentally, also confirms the truth of the matter:



The following depiction of all the beginnings and endings of the prototype and its variants shows the consistency with which the $\frac{6}{3}$ chord is forged:

Fig. 82.

Now we continue in bar 146 to the cadence, and indeed to $\frac{4}{4}$ IV and V as the suitable continuation of the IV that appears for the last time in bars 144–145. The motif of the cadence is new:

Bar 146ff.

Fig. 83.
Fl. II

Bn. I

Bb maj.: IV V

The second-moves of the melody are transformed in the winds to nothing less than seventh-leaps:

Fig. 84.

usw.

Under the sign of the rhythm from bar 102: , there arises in the *second bar-group* the final motif, founded exclusively on the tonic:

Fig. 85.

One gathers from this that the coupling of several rhythmic units necessarily had to lead also to syncopation in bars 150–153, or to foreshortening of the motif in bar 153ff.

After the conclusion of the First Part the path to the development is paved in bars 158–159, and indeed with the aid of that rhythm which is characteristic of the *Ur-motif* (see figure 1). These two bars may on the one hand, in consideration of the fact that the force of the tonic continues here, be affiliated in any case with the First Part, while on the other hand the fact that the tonic is reinterpreted as a VI in D minor (see below) causes it to participate already in the character of the Development. Thus in the bars in question (similarly to bar 35!) two effects intermingle: by virtue of the tonic, that of membership in the First Part; and, by virtue of thematic preparation of the Development and the modulation, that of membership in the Development.

PERFORMANCE

Bar 138ff. In the third theme (bars 138–149), just as in the second, the chief aim is again to achieve the clear effect of an idea that is musically-organically fully self-contained. At the point of arrival of the IV (bar 144), therefore, the conductor must express a perception

of its presence mainly by mobilizing every available sign of an inner dynamism of content (a minute acceleration from bar 145 to bar 146 will suffice!) as though in hot pursuit of the coming V. He will then undoubtedly succeed in transferring his sense of the whole to the listener as well, and the V (bar 146ff.) will appear to the latter—and this is the principal objective—as though he himself had long since foreseen its coming.

In particular, it is necessary to observe scrupulously Beethoven's markings, which suggest with greatest precision the path to be followed.

The first *espressivo* marking is found in oboe I in bar 138, from which it follows that here alone is to be found the origin of the theme that now comes to the fore.

The second *espressivo* mark is in flute I in bar 139, and is intended to suggest that the continuation of the melos is to be found exactly there. The oboe contents itself at this same time, after all, merely with the following locution:

Fig. 86.

Incidentally, this manner of continuation confirms that principle of Beethovenian instrumentation technique according to which, for reasons of variety, he often enough employs two or more different octaves for the presentation of a certain content, even where the content could and "should" have continued within the confines of a single octave.⁴⁹ A technique of this kind is to be strictly distinguished

49. We find similar application of the same principle in, for example, the piano works of Brahms as well:

Fig. 87. Brahms, Intermezzo, Op. 117, No. 1

b. 21
Piu Adagio.

usw.

Brahms, Piano Concerto in Bb major, Op. 85, First Movement

b. 139

usw.