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FORM AND FANTASY: 1870-1920

by

CATHERINE COPPOLA

A dissertation submitted to the Graduate Faculty in Music in partial
fulfillment of the requirements for the degree of Doctor of Philosophy,
The City University of New York

1998

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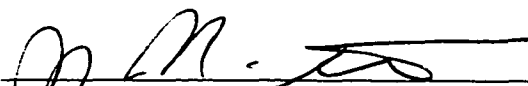
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Abstract

FORM AND FANTASY: 1870-1920

by

Catherine Coppola

Adviser: Professor Stephen Blum

The fantasy is such an elusive genre that it might seem too sphinxian for study. Most commentators have concluded either that the fantasy has no predictable features or that it conforms to a traditional formal outline—most often the sonata—and thus is not really a fantasy at all. I reject both of these extremes and show that the fantasy does have a form, but that the form is not always sonata form.

The fantasy is a defensible genre that is unified by certain shared concerns and procedures. Its elusiveness stems from the broad range and the variable combinations of features. From my analysis of twenty-nine antecedents and twenty-one fantasies composed between 1870 and 1920, four processes emerge: reference to established forms, often ternary, rondo or variation; the pervasive role of developmental processes; the imitation of improvisation through discontinuities created by contextual and constitutive interruption; and an emphasis on linking areas in general, and particularly in fantasies on existing themes. Four more features emerge from the treatises of Schilling, Mendel Czerny, Marx, Lobe, Riemann and

d'Indy: recitative style, variation techniques, cyclic organization and generic mixture.

While many writers have noted the balance between freedom and order in the genre, my thesis examines objective features that support this balance.

Significant issues examined include: semantic implications regarding imagination, improvisation and work; the creation of subtypes; the large role of program music; sources in existing or original themes; and the uneasy relationship between the fantasy and neighboring genres: the potpourri and the sonata. A fundamental paradox is that the great prestige of sonata form coexists with the recognition that the fantasy represents the ultimate challenge.

Antecedents examined in the opening chapter include keyboard fantasies of C. P. E. Bach, Mozart, Beethoven, Schubert, Chopin, Schumann and Liszt; contemporaneous orchestral and piano fantasies studied are those of Franck, Debussy, Sarasate, Wagner, Richard Strauss and Brahms.

The final three chapters analyze nine test cases from the period 1868-1920: Tchaikovsky's Fatum, Romeo and Juliet, Francesca da Rimini, Hamlet and Concert Fantasy; Bruch's Scottish Fantasy; and Busoni's Indianische Fantasie, Fantasia nach Bach and Kammer-Fantasie über Bizets Carmen.

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INTRODUCTION: TOWARD A MODEL FOR THE FANTASY

The fantasy is such an elusive genre that it might seem too sphinxian for study. Its intricate history is further complicated by the blurred boundaries of the genre system in the late nineteenth century. As with any genre, any treatment of the fantasy is pulled in two seemingly contradictory directions: each fantasy must be considered both as a representative of a diverse historical tradition and as an individual instance. A single perspective has proven especially problematic for the fantasy, since most commentators have concluded either that the fantasy has no predictable features or that it conforms to a traditional formal outline—most often the sonata—and thus is not really a fantasy at all.

I propose that study of the fantasy, arguably the most fluid of genres, is best attempted through the dual approach that has been advocated for “fixed” genres, one in which the tradition and the instance are equally privileged. A helpful framework may be found in the theory of family resemblance.¹ Rather than insist on a cut-and-dried definition, family resemblance allows for such terms as “often” and “sometimes,” thereby providing an intermediate stage between “always” (the fixed state) and “just this once” (the unique instance). Within the context of this model, I will show that the fantasy is actually both a form and a genre.

In recent years, the need for a dual model like the one that I am suggesting for the fantasy has reappeared in various constructions regarding genres that are more

¹ For an introduction to the theory of family resemblance, see Alastair Fowler, Kinds of Literature: An Introduction to the Theory of Genres and Modes (Cambridge, 1982), 41.

fixed. It is seen in Carl Dahlhaus's view of music history as reconciling the contrary demands of narrative history and aesthetics.² Here, assessments of historical significance impart value to a work based on what it foreshadows or connotes. Judgments of aesthetic value, however, are derived from the work itself, apart from its historical context. In literary criticism, a similar dichotomy is described by Alastair Fowler, who notes that genre criticism has often split into two distinct models. One concentrates on fixed states of permanent genres, while the other involves a "plodding chronicle history of individual genres that continually transform themselves without ever waiting long enough for generalization."³ Fowler argues that one must combine the two models. Thomas Beebee concludes that "recent genre theory has tended to regard its objects neither as collections of texts nor lists of essential features of texts, but rather as processes of interpretation."⁴ With his "generative" and "conformational" approaches, Mark Evan Bonds applies the same polarity to musical form, a significant factor in determining genre. In the first, form is "an aggregate of features that many unrelated works have in common," while the latter views form "as an element of that which makes an individual work unique."⁵

²The distinction between aesthetic and historical criteria appears in "The Value Judgement," Foundations of Music History, translated by J. B. Robinson (Cambridge, 1983), 93-96.

³ Fowler, Kinds of Literature, 49.

⁴ Thomas O. Beebee, The Ideology of Genre: a Comparative Study of Generic Instability (University Park, Pa., 1994), 250.

⁵Mark Evan Bonds, Wordless Rhetoric: Musical Form and the Metaphor of the Oration (Cambridge, Mass., 1991), 13.

Musicologists and literary critics alike, then, encourage a flexible approach to genre that relies on some combination of the diachronic and synchronic perspectives. The usefulness of family resemblance in this context may be tested with Adena Rosmarin's discussion of the dramatic monologue, which reveals striking similarities to the conflict between freedom and control in historical attempts to define the fantasy. A hybrid of lyric and drama, the monologue displays "paradoxical allegiances—to spontaneity and premeditation, to verisimilar disorder and artful design...which have repeatedly defeated the mimetic language traditionally used to define and discuss the genre."⁶ Since the dramatic monologue has always been recognized as a distinctive yet hybrid form, "its interpretive history has been obsessed with deciding its generic identity."⁶ We will see that a similar obsession has been engendered by the fantasy. The outcome of this obsession is that the fantasy is often cast as either impossible to classify or as a chameleon that simply takes the shape of any given genre. Family resemblance is a good alternative to one or the other of these extremes.

The fantasy is often viewed as a negation of form. For example, Hugo Riemann, writing in 1889, referred to it as a Nicht-Form, a particularly bald summary of that view.⁷ Likewise, Vincent d'Indy identified the fantasy as a work that is marked by

⁶ Adena Rosmarin, The Power of Genre (Minneapolis, 1985), 52-53.

⁷ "...ein charakteristischer Repräsentant dieser Form oder vielmehr Nicht-Form." Hugo Riemann, Katechismus der Kompositionslehre (Musikalische Formenlehre) originally published as Grundriss der Kompositionslehre (Leipzig, 1889), 3rd edition (Berlin, 1905), vol.2, 124.

the évasion⁸ of compositional rules. The tendency toward negation stems from the fact that, traditionally, the fantasy is addressed only in relation to fixed forms, an approach that resembles Thomas Beebe's contention that "all literature makes itself interpretable by referring to what it is not, by cordoning itself off from the contamination of other genres."⁹ This notion is relevant, but it is not without danger by centering too much attention on contrasting genres, we risk losing sight of the fantasy itself. As in the visual figure-ground relationship, in order to clearly perceive one part of the field, attention must be directed toward that part. Otherwise, both parts are out of focus.

This dissertation suggests a model for the fantasy that projects the object in relief and examines its attributes. While it is impossible to specify a single form for all fantasies, we *can* predict that a given fantasy will draw from a particular cluster of techniques. The following cluster is drawn from my survey of fifteen antecedents and twenty-six fantasies of the period 1870-1920; and in-depth analysis of nine fantasies of that period. Four processes emerge: relationship to established forms; developmental processes; types of interruption; and linkage methods.

While many writers have noted the balance between freedom and order in the genre, my thesis examines objective features that support this balance. The often sectional forms are conditioned by interruption and cohered by sometimes elaborate

⁸ "Cette véritable <évasion des règles> s'accommode fort bien du mot qui la signifie: Fantaisie." (brackets <> are original) Vincent d'Indy, Cours de composition musicale, (Paris, 1912), II, 299.

⁹Beebe, Genre, 27.

linking areas and systems of returning themes.¹⁰ These processes permit one to recognize the features that establish genre in the fantasy while acknowledging the influence of other genres.

I will show that the tendency of recent writers toward extremes of freedom and control is rooted in the language of the encyclopedias and treatises that I survey in Chapter Three. Those writing encyclopedias tend to emphasize subjective qualities, while writers of composition manuals attempt to pinpoint objective musical features. Represented here by Schilling and Mendel,¹¹ the first group focuses on four issues: freedom, improvisation, imagination and the mystery that enshrouds the plan of the work. In the second group, comprising Czerny, Marx, Lobe, Riemann and d'Indy,¹² a different set of concerns emerges due to the theoretical nature of their writings. The focus on form is seen in the view of the fantasy as a negation of sonata form, one that is related to the semblance of improvisation and, sometimes, to an association with an extramusical idea.

¹⁰ My use of the term denotes real-time interruption, distinct from the interrupted structural descent that is central to Schenker's idea of sonata form.

¹¹ Gustave Schilling and Hermann Mendel wrote the two best-known lexicons of the nineteenth century. Schilling completed his work by 1838 and Mendel began in 1870. Both relied on accomplished writers (Schilling's staff included A.B. Marx and Ludwig Rellstab). Gustave Schilling, Encyclopädie der gesamten musikalischen Wissenschaften (Stuttgart, 1835), II, 652-655. Hermann Mendel, Musikalisches Conversations-Lexicon: Eine Encyclopädie der gesamten musikalischen Wissenschaften für Gebildete aller Stände (Leipzig, 1890), vol. 10, 72.

¹² Carl Czerny, School of Practical Composition I, trans. John Bishop (London, 1848) 82-89; A. B. Marx, Die Lehre von der musikalischen Komposition (Leipzig 1838, 3rd ed. 1857), vol. 3, 335-40; Johann Christian Lobe, Lehrbuch der musikalischen Komposition, I, 1850 (3rd ed., 1866), 392; Hugo Riemann, Katechismus der Kompositionslehre (Musikalische Formenlehre) originally published as Grundriss der Kompositionslehre, Leipzig, 1889, 3rd edition Berlin: M. Hesse, 1905, vol.2, 123-146.

The cluster of objective features drawn from this group includes: the prevalence of development, importance of linking passages in sectional works, use of recitative style, variation techniques and cyclic organization. The resulting phenomenon of generic mixture is approached most directly by Marx. All of these sources provide rich documentation for my model for the fantasy.

After this survey, I will restrict my inquiry to the period 1870-1920, which has not received much scholarly attention. The keyboard fantasy of the early nineteenth century has been well studied. But while keyboard music was the main medium for the genre in the first half of the nineteenth century, it was the orchestral fantasy that blossomed in the second half. Despite this development, no comprehensive study has followed the genre into the post-Lisztian era.

Semantics and Subtypes: Meaning and Mode

Significant historical, aesthetic and theoretical issues are entwined with the fantasy. Four central issues are examined in this study: semantic implications and the creation of subtypes; the large role of program music; sources in existing or original themes; and the uneasy relationship between the fantasy and neighboring genres: the potpourri and the sonata.

We begin with the layered meaning of the word itself. "Fantasy" denotes a specific musical work, makes wider references to the practice of improvisation, and further signifies the imagination of the composer. In contexts both within and outside the realm of music, two broad uses of the word fantasy are found: "the creative

Vincent d'Indy, "Le poème symphonique et la fantaisie," Cours de composition musicale II (Paris, 1912), 297-332.

imagination” and “an imagined sequence of events, as in a daydream.” These general definitions resonate in specific concerns of the genre. The fantasy is often compared to a dream-like sequence, an effect that is produced by types of discontinuity that I have identified in the repertoire. In his Musikalisches Conversations-Lexicon, Mendel includes an entry for “Phantasie” (the composer’s imagination) that is separate from his entry on “Phantasia” (the musical work). The former is described as the “power of imagination . . . the actual ground out of which the art work drives forward.”¹³ In the latter, “imagination generates picture around picture”,¹⁴ thus Mendel makes the connection between the general use of imagination and a specific result in the episodic form of the fantasy.

The semantic overlap of imagination and work is reflected in the fact that the fantasy is the only modern genre in which improvisation and composition overlap so broadly. Sometimes the lines of the overlap are not clearly drawn by “kind” and “mode.” (According to Fowler’s terminology, kind refers to the noun, and mode to the adjective in a compound title.) For example, the term “free fantasy” makes an ostensibly straightforward reference to improvisation, yet it has other meanings. Free fantasy can indicate a composed fantasy that closely imitates improvisation. For C. P. E. Bach, the presence or absence of meter determines whether the mode is strict or free in both the composed and the improvised subtypes: “A fantasia is said to be free

¹³ Hermann Mendel, Musikalisches Conversations-Lexicon: Eine Encyclopädie der gesamten musikalischen Wissenschaften für Gebildete aller Stände, (Leipzig, 1890), vol. 10, 68.

¹⁴ Mendel, Musikalisches Conversations-Lexicon, 72. The complete paragraph is cited in Chapter Three.

when it is unmeasured and moves through more keys than is customary in other pieces, which are composed or improvised in meter."¹⁵

In practice, the improvised category is further subdivided according to function. Free fantasy sometimes denoted a short, improvised prelude for the practical purpose of testing an instrument before performance (a common practice up to the mid-nineteenth century). This overlap of fantasy and prelude is made literal in Brossard's description of "preludes or fantasies" that were improvised as a means of testing the condition of the keyboard.¹⁶ It still operates in Fétis's definition of the prelude as a short fantasy with which instrumentalists sometimes prepare themselves to play the programmed works.¹⁷ While the decline of extemporization made it less likely for the fantasy to be constituted by improvisation, an association with prelude persisted well into the eighteenth century. For example, even though Mozart's Fantasy in C Minor, K. 475, was composed seven months after his Sonata in C Minor, K.457, Artaria published the two works together in 1785. The expectation that the fantasy would

¹⁵ C.P.E. Bach, Versuch über die wahre Art das Clavier zu spielen (1753), trans. William Mitchell, Essay on the True Art of Playing Keyboard Instruments (New York, 1949), 430.

¹⁶ "De la vient qu'on nomme aussi Tastatura et Tastature ces sortes de Préludes ou Fantaisies que les Maîtres jouent sur le champ sur ces sortes d'Instrument, comme pour tâter ou éprouver si le Clavecin est en bon estat, si l'instrument est d'accord, si les cordes sont justes." "Fantaisie," Dictionnaire de musique (Paris, 1703).

¹⁷ François-Joseph Fétis, La musique mise à la portée de tout le monde, fifth edition (Paris, 1847), 410.

function as a prelude to the sonata was very much alive in the mind of the publisher, and by extension, the public.¹⁸

In addition to a short, improvised prelude, free fantasy also referred to the performance of an extended improvisation. For instance, Hummel's Weimar program of December 10, 1829, included his own Oberon's Horn, 'Phantasie with orchestral accompaniment,' and a programmed improvisation that was simply denoted Free Fantasie.¹⁹ Even in an extended improvisation, though, the composer is more in control of the outcome than the listener might suspect. This paradox resonates in C. P. E. Bach's idea of "rational deception":

It is one of the beauties of improvisation to feign modulation to a new key through a formal cadence and then move off in another direction. This and other rational deceptions make a fantasia attractive.²⁰

This aspect of planned disorder continues strongly through the nineteenth century into the composed fantasy tradition, where the semblance of improvisation is tied to careful planning. For example, Czerny describes the improvised fantasy as

¹⁸The presumption that Mozart was thinking along the same lines is supported by Eugene K. Wolf's study of the recently resurfaced autograph in which Wolf concludes: "the most likely hypothesis is that Mozart composed the Fantasy with a view toward publishing it together with the Sonata, perhaps as a sort of greatly extended prelude (though either work can stand alone equally well)." "The Rediscovered Autograph of Mozart's Fantasy and Sonata in C Minor, K. 475/457," Journal of Musicology 10/1 (1992), 3-47. Antecedents of the Fantasy and Sonata combination are examined by Katalin Komlós in "Fantasia and Sonata: K. 475/457 in Contemporary Context," Mozart-Jahrbuch, 1991 (Kassel, 1992), vol. 2, 816-823.

¹⁹ George Kehler, The Piano in Concert, vol. I (Metuchen, 1982), xxxi.

²⁰ C.P.E. Bach, Essay, trans. W. J. Mitchell, 434.

“seemingly irregular. . .but according to plan.”²¹ In reference to the composed fantasy, Schumann describes a similar duality of outward disorder and latent cohesion with this injunction: every good fantasy must have its “inner thread, which should also shine through the fantastic disorder if it wishes to be otherwise acknowledged in the realm of art.”²²

The identification of two subtypes of the improvised fantasy—short prelude and full extemporization—is not the whole story. Like the improvised type, the written type also contains two subtypes. In 1789, Türk writes that the fantasy is more likely to be improvised than written down. However, he still distinguishes two subtypes of the written fantasy: free and bound. The first applies to a fantasy

when it does not rely on a principal theme and when it is not bound by measure or rhythm (although for some thoughts a meter could be used), when it freely modulates, and when it expresses many diverse characteristics—briefly when it thoroughly gives way to capriciousness without following a definite plan.

In contrast, the second subtype constitutes those

²¹ Carl Czerny, A Systematic Introduction to Improvisation on the Pianoforte, Op. 200, trans. and ed. by Alice Mitchell (New York, 1983), 2. This feature of concealed artfulness lends generic meaning to the subtle motivic connections in Schubert’s Fantasie, D. 934 that were recently unearthed by Patrick McCreless in “A Candidate for the Canon? A New Look at Schubert’s Fantasie in C Major for Violin and Piano,” 19th-Century Music 20 (Spring 1997), 205-230. This feature is equally relevant to Berthold Hoeckner’s discovery of “the secretly intertextual tone” of Schumann’s Fantasie, Op. 17 in “Schumann and Romantic Distance,” Journal of the American Musicological Society 50/1 (Spring 1997), 55-132.

²² Robert Schumann, Gesammelte Schriften über Musik und Musiker, 5th ed. (Leipzig, 1914), vol. 1, 405. Translated by Jesse Parker in The Clavier Fantasy from Mozart to Liszt: A study in Style and Content, Ph.D. diss. (Stanford University, 1974), 45.

which do follow a strict plan, where there is greater adherence to the laws of modulation, and in which greater unity is observed, [these] are called bound.²³

The existence of two written subtypes prompts Schilling to portray “a double genre of fantasies, to distinguish free and bound fantasy.”²⁴ The latter demonstrates a more definite idea, a set pulse, and more unity in each of the parts. Schilling’s designation, “double genre,” serves as a useful reminder: to address mixed genre in the fantasy, one must acknowledge the possibility of mixture between fantasy types as well as between the fantasy and its neighboring genres.

I suggest that notions of form in the genre are rooted in the free and strict modes of the eighteenth-century fantasy. These two subtypes interact in later examples of the genre.²⁵ The many eighteenth- and early nineteenth-century descriptions of free and

²³ Daniel Gottlieb Türk, *Klavierschule* (Leipzig, 1789), 395, trans. Raymond H. Haggh as *School of Clavier Playing* (Lincoln, 1982), 388.

²⁴ “. . . eine doppelte Gattung von Fantasien, unterschieden freie und gebundene Fantasie, und wollten unter der letzteren eine solche verstehen, der ein bestimmter Gedanke und eine bestimmte Tactart zum Grunde liegen und in deren einzelnen Theilen mehr Einheit herrscht.” Gustav Schilling, *Encyclopädie der gesamten musikalischen Wissenschaften* (Stuttgart, 1835), II, 654. That Schilling still uses this double genre in reference to the music of Hummel and Moscheles represents some historical continuity beyond Mattheson, Türk and Koch.

²⁵ As we will see in Chapter One, Beethoven’s *Fantasy*, op. 77 is a good example of the interaction between free and strict subtypes. It opens in the free style of C. P. E. Bach, yet it ends with a clear theme and eight variations. Perhaps this is why Hanns Steger minimizes the significance of this work in favor of the cyclic *Choral Fantasy*, op. 80. The latter supports his view of Beethoven’s fantasy concept as a junction [Knotenpunkt] between two predecessors—the free fantasy of C.P.E. and the fixed fantasy of Haydn and Wagenseil—on the one hand, and two successors—the fantasy as modified sonata cycle in Schubert and as poetic and psychological expression in Schumann. In order to make this work, he privileges op. 80 over op. 77. Again we encounter the problem of overgeneralization toward conventional form in order to carve out a seemingly direct path for the fantasy. Hanns Steger, “Gedanken über den

bound types may account for the tendency of writers in later periods to describe the fantasy as either independent or tied to existing forms. My study attempts a synthesis of this duality.

The three meanings that I have identified here—imagination, improvisation and work—form inseparable layers. The importance of imagination combines with the semblance of improvisation in the composed work to produce a strong tie with deep, personal feeling in the fantasy as a genre. This connection is made literal in C. P. E. Bach's inscription of his last fantasy (in F-sharp Minor, Helm 300, 1787), "Sehr traurig und langsam. C. P. E. Bach's Empfindungen." This emphasis on personal emotive content translates into a highly personal performance style—another generic marker. C. P. E. emphasizes the importance of physical gesture to the performance of all fantasies, whether they are extemporized or composed:

It is principally in improvisations or fantasias that the keyboardist can best master the feelings of his audience. Those who maintain that all of this can be accomplished without gesture will retract their words when, owing to their own insensibility, they find themselves obliged to sit like a statue before their instrument.²⁶

For Schilling, the value of freedom in performance supersedes formal distinctions: he writes that even fantasies in a strict form are suited to the character of actual free fantasy. in that an extraordinary depth of feeling and profound meaning are required in a

Fantasie-Begriff in der Musik des 18. und 19. Jahrhunderts," Beck Gedenkschrift, 1982, 148.

²⁶ C.P.E. Bach, Essay, trans. W. J. Mitchell, 152.

performance that should be elevated above all constraint.²⁷ Schumann reveals the continued generic relevance of deep feeling, specifically lament, in an often-quoted letter that was written to Clara after he had completed his Fantasy, Op. 17: “The first movement is possibly the most passionate I have ever written—a deep lament for you.”²⁸ As many have noted, this work was an ultimate vehicle of personal meaning for Schumann.

In sum, these layered meanings of imagination, improvisation and work, as well as the subtypes, free and bound, must be kept in mind as one sorts through writings on the fantasy. My presentation of the encyclopedias and treatises (Chapter Three) demonstrates the connection between these layered meanings and the cluster of compositional techniques that I have outlined in the genre.

Another important historical consideration that emerges from the treatises is the role of program music in the history of the fantasy. For Liszt and Wagner, program music was the answer to the questions posed by new forms and by the seeming inadequacy of old ones. In his well-known letter on Liszt’s symphonic poems, Wagner lamented the effect of the obligatory recapitulation of the exposition

²⁷ “. . . gemäss dem Character der eigentlich freien Fantasie—einen ausserordentlich empfindungsvollen und tief bedeutsamen, einen höchst durchdachten und über allen Regelzwang erhabenen Vortrag erfordern.” Schilling, 654.

²⁸ Letter of March 19, 1838. Eva Weissweiler, ed., Clara und Robert Schumann: Briefwechsel, vol. 1 (Frankfurt, 1984), 126. Trans. Berthold Hoeckner, in “Schumann and Romantic Distance,” 110.

in the overture: it undermined the work's dramatic import.²⁹ We will see an echo of this idea in George Bernard Shaw's claim that program music and sonata form are antithetical.³⁰ D'Indy takes the same notion to an extreme: the form of a symphonic poem (d'Indy's equivalent of the orchestral fantasy) can only be explained by extramusical considerations.³¹

Like the symphonic poem, the programmatic fantasy sometimes relies on idiosyncratic formal organization to advance dramatic goals. But for the fantasy, form is also derived from generic conventions that predate the ascendancy of program music in the nineteenth century. Independent form is related to improvisation and to the semblance of improvisation that was deemed essential to the written subtype. The fact that many composers take the next step to actual programs may derive from a second generic feature: the connection between the genre and strong, personal feeling. We have seen C. P. E. Bach and Schumann make both overt and concealed statements of specific, personalized meaning in works titled fantasy. From there, it is not a great leap to turn to other extramusical sources of inspiration.³²

²⁹ Richard Wagner, "On Franz Liszt's Symphonic Poems," Letter to Marie Wittgenstein (1857), trans. by Thomas Spencer Grey in "Richard Wagner and the Aesthetics of Musical Form in the Mid-19th Century," Ph.D. diss. (Berkeley, 1988), 416.

³⁰ See Chapter Five.

³¹ d'Indy, Cours de composition musicale II, 300.

³² Certainly, all genres permit the expression of deep feeling. However, as we have shown above (on pp. 12-13), the generic connection between the fantasy and the conveyance of deep feeling—particularly that of a lamenting quality—is made quite explicit by composers and commentators.

The role of program music is a fluid one. Not all fantasies are programmatic, but the combination of freer form and programmatic content produced an overlap between some fantasies and the symphonic poem in the second half of the nineteenth century. For example, this overlap is visible in Smetana's deliberations over the title of his Richard III, which he described as "a sort of musical illustration, composed in one movement yet neither overture nor symphony, in short something that awaits a name."³³ Richard III was labeled *symphonic poem* in its original 1860 performance in a sixteen-hand piano arrangement, *symphony* in Smetana's diary prior to 1861, and *fantasia* at an 1862 Prague performance. A few years later, the composer called the work a symphonic poem.³⁴ We will see that, in his influential treatise of 1912, d'Indy explicitly links the two genres in a chapter entitled "Le poème symphonique et la fantaisie."³⁵ He uses the overidentification of fantasy and program music to support his idea that the fantasy represents an encroachment on sonata form. Thus we find the fantasy situated at the center of the nineteenth-century controversy over the validity of program music.

By now it is obvious that any attempt to define the fantasy can not be monolithic, rather it must reflect the existence of several subcategories. These can be classified according to form (independent, derived or some combination of the two); intent (programmatic or absolute); medium (keyboard, other solo instrument, small

³³ From a letter of September 9, 1858 to Smetana's former teacher, Josef Proksch, translated by Gerald Abraham in "The Symphonic Poem and Kindred Forms," New Oxford History of Music vol. IX (London, 1990) 492.

³⁴ Abraham, "The Symphonic Poem and Kindred Forms," 492.

ensemble or orchestra), and source of themes (original or existing themes). This last duality subsumes the uneasy relationship that exists between the fantasy and its subgenre, the potpourri. We will encounter divergent views on these related genres. For example, Czerny allots a separate category to the “Fantasy forming a potpourri,” in which he finds creative worth if the passages that connect the existing themes are sufficiently inventive. In that case, “this species, when successful, must by no means be deemed insignificant.”³⁶ In contrast, Marx summarily dispatches the potpourri as “for the most part a stew from other bowls.”³⁷ D’Indy further reduces the category to “unspeakable medleys of operatic airs.”³⁸ We will see that such complaints about the potpourri were often generalized to all fantasies. As a way of countering this over-identification with a subtype, Schumann and Schilling defended the fantasy against those lesser works that misused its “fine name.”³⁹

A fundamental paradox is that the great prestige of the sonata and the symphony coexists with the recognition that the fantasy represents the ultimate musical challenge. For example, Marx identifies the freedom inherent in the fantasy as the true goal of compositional study: through the study of form one becomes free.⁴⁰

³⁵ Vincent d’Indy, Cours de composition musicale, (Paris, 1912), II, 299.

³⁶ Czerny, 88.

³⁷ “(meist ein Ragout aus Andrer Schusseln)” Marx, Die Lehre, 336.

³⁸ “. . . ces innommables agrégats d’airs d’opéras.” d’Indy, 302.

³⁹ See full citations in Chapter Four.

⁴⁰ Die Lehre von der musikalischen Komposition (Leipzig, 1838), 3rd. ed. 1857, vol. 3, 336.

Hugo Riemann concludes that lyric pieces and fantasy pieces “hold some of the most genuine, best music.” Despite the fact that some “would push these pieces aside,” he emphatically recommends their study.⁴¹ Busoni states another version of this idea by describing areas of formal freedom as those that approach “the true nature of music.”⁴² Primary ontological issues, then, dovetail with the aesthetic of the fantasy.

Perhaps conditioned by the dualities that we have introduced—
independent/derived; programmatic/absolute; original/existing themes—descriptions of the fantasy are couched in terms of what it does *not* do rather than in reference to its essence. This is true of both contemporary and nineteenth-century writing. I counter this tendency in Chapter Three by culling the largely unexamined and quite concrete descriptions from the treatises.

Between Sonata Form and “Nicht-Form”

As I have suggested above, the existence of a double genre in improvised and written fantasies of the eighteenth and early nineteenth centuries informs perceptions of the fantasy in later periods. Namely, the long-standing classification of strict and free types leaves the genre susceptible to overgeneralization. Commentators on the fantasy have tended to either of two extremes: forcing it into sonata form or denying that it has any form at all. In my view, the fantasy demands a critical approach that matches the fluidity of the genre itself. Thus I reject both of these extremes and will

⁴¹ Hugo Riemann, *Katechismus der Kompositionslehre* (Musikalische Formenlehre) originally published as Grundriss der Kompositionslehre, Leipzig, 1889, 3rd edition Berlin: M. Hesse, 1905, vol.2, 146.

⁴² Ferruccio Busoni, Entwurf einer neuen Aesthetik der Tonkunst, 1907, rpt. Weisbaden, 1954, 14. The full citation is provided in Chapter Four.

show instead that the fantasy does have a form, but that the form is not always sonata form.

Those who view the fantasy with the presumption of established forms have done so largely because of the prestige of sonata form. Despite the widespread notion that the fantasy transcends fixed forms, there is no question that works in sonata form were the ultimate proving ground for nineteenth-century composers. As the standard against which other genres are measured, it is the foil to the fantasy in many of the treatises.⁴³ It is something of a contradiction then, that even though many treatises define the fantasy as, in effect, a “non-sonata,” examples of the genre are often assessed against that model. One reason for this phenomenon is that the elevation of the sonata was matched by the fear that it could be toppled from its throne. This fear is visible in the incendiary language that was used by some writers. According to Fétis in 1836, the fantasy had “invaded” the sonata. Nearly a century later, d’Indy found it responsible for the “dismemberment” of sonata form.⁴⁴ One way to remove such a threat is to project features of the self—in this case, the sonata—onto the other, the fantasy. This projection may account for some readings that insist on the dominance of sonata form in fantasies even when major components, e.g. the development section, are missing.

⁴³ “when we leave the strict form of the Sonata, and, in regard to construction, allow ourselves greater freedom, such a composition belongs to the class of the Fantasia.” Czerny, School of Practical Composition (London, 1848), I, 82. Nearly a century later, Albert Bertelin (winner of the Grand Prix de Rome de Composition Musicale) writes that the fantasy “is distinguished from the Sonata by the fact that it avoids schematic forms.” Traité de Composition Musicale, (Paris, 1931), III, 314.

⁴⁴ François-Joseph Fétis, La Musique mise à la portée de tout le monde, 2nd edn. (Paris, 1836) 171. The full citation is included in Chapter Four of the present study. d’Indy, Cours de Composition, I, 390. The full citation appears in Chapter Five.

In addition to the prestige of the sonata, two ideological factors play a role in the reception of the fantasy. One is the critical skepticism of concatenated forms, which leads to suspicion of the often sectional forms of the fantasy.⁴⁵ The second is the desire to prove that modernist composers simply disguised the old as new. The perception of the modern goes hand in hand with the fantasy. For example, writing in 1860, A.W. Ambros delineates his view of the novel compositional techniques shared by Wagner and Liszt:

Both seek an amalgamation of music with a distinctly conceived poetic content, . . . scorn the conventional divisions of their respective genres . . . or just barely hint at these, . . . seek to establish a higher unity across the whole by means of consistent leitmotives, . . . push musical expressivity to its furthest limits for the sake of poetic intentions, even if this means sacrificing beauty and consonance, . . . depict their subject with the most brilliant possible colors.⁴⁶

There is a striking similarity between the features that connote the modern style for Ambros and those that play a major role in defining the fantasy: specific meaning; generic mixture; systems of recurrent motives; the privileging of expression over

⁴⁵ Elaine Sisman identifies a similar case in the relationship between the “paratactic” variation and the “hypotactic” sonata. Haydn and the Classical Variation (Cambridge and London, 1993), 107.

⁴⁶ Translated by Thomas Spencer Grey in “Richard Wagner and the Aesthetics of Musical Form in the Mid-19th Century,” Ph.D. diss., (Berkeley, 1988), 363. In tracing the similarities between the fantasy and the idea of modernism to the 1860s and 1870s, my analogy diverges from Theodor Adorno’s controversial claim that the similarity between the fantasy ideal and the goals of the New Viennese School eliminated the need for the genre in the twentieth century. See Adorno, “Arnold Schönberg: Phantasie für Geige mit Klavierbegleitung Op. 47,” Der getreue Korrepetitor (Frankfurt, 1963).

order;⁴⁷ and brilliant color in both orchestral and keyboard works.⁴⁸ This overlap between the genre and the modern aesthetic plays a role in criticism of the fantasy. When works are proffered as modern, some writers have a stake in proving that the music actually betrays conventional means of organization. This often translates into the imposition of sonata form onto the fantasy.⁴⁹

At the other extreme are those who reject the idea that the fantasy has a form. One reason for this view is the notion that the fantasy transcends form, thereby representing a higher order of creativity than that found in established forms. Thus anti-form becomes a positive value. We have seen that this is true for Riemann, who refers to the fantasy as a “Nicht-form” while finding in it “some of the most genuine, best music.” Yet for others, like d’Indy, anti-form is an “évasion” that constitutes failed form.

Another reason to reject the idea of form in the fantasy lies in the recurrent definitions of the fantasy as a sort of formal vacuum. In response, many writers

⁴⁷ Annette Richards draws a telling analogy between the fantasy and the aesthetic of the picturesque: they both favor a rough, rugged quality over the smoothly ordered features associated with the beautiful. “Fantastical Landscapes: C.P.E. Bach’s Free Fantasias and the Musical Picturesque,” paper delivered at the 1996 conference of the American Musicological Society.

⁴⁸ Regarding special coloristic effects in the improvised fantasy, C. P. E. Bach finds that “the undamped register of the pianoforte is the most pleasing and, once the performer learns to observe the necessary precautions in the face of its reverberation, the most delightful for improvisation.” Bach, *Essay*, 431. As we will see in Chapter Three, Mendel concludes that the emphasis on color in early-nineteenth century keyboard fantasies sets the groundwork for the orchestral fantasy.

⁴⁹ See the subsection, “From Genre to Instance,” in Chapter One for recent examples of this view.

simply abandon the possibility that the genre can be defined. This posture carries into the early 1900s in Hugo Leichtentritt's form manual:

A fantasy is a piece freely constructed without a definite formal scheme. Since fantasies are therefore extremely varied, hardly anything definite can be said about the fantasy as a musical form.⁵⁰

This extreme is actually an unwillingness to see form when that form is not easily cast in a traditional type. It is precisely for this reason that Busoni disagreed with Leichtentritt's assessment that the composer's Nocturne symphonique (1914) was devoid of a "comprehensive system." Busoni countered that, rather than lacking a system, its system was created "out of the structural content of the piece itself."⁵¹

From this exchange, we can extrapolate two responses to form in the fantasy: for Leichtentritt, it defies description and therefore can not exist. For Busoni, a form that is new and individual still exists as a particular and discrete entity. My position is aligned with that of Busoni.

In establishing my thesis, I have attempted to circumvent these extremes: the fantasy is either structured according to established forms or it is so diffuse that it simply cannot be considered a genre. I have mediated these extremes by focusing on the processes that are crucial to the composition of fantasies. Related to ideas of development, these processes function independently of sonata form. And they are

⁵⁰ Hugo Leichtentritt, Musikalische Formenlehre (Leipzig, 1911), 185. trans. Harvard University Press, 1951, 174.

⁵¹ Ferruccio Busoni, Letter to Hugo Leichtentritt, June 27, 1916. trans. Antony Beaumont, Selected Letters, (New York, 1987), 241. There is no personal motive behind this exchange. The two men were on friendly terms. As we will see in Chapter Eight, Leichtentritt sought Busoni's advice on the preparation of his form manual.

tied to the discontinuities that are woven through often sectionalized works that establish their own means of organization and coherence.

This dissertation shows that the fantasy is a defensible genre that draws from a predictable cluster of sectional forms and compositional techniques. Its elusiveness stems from the broad range of this cluster, and from the use of variable combinations of features. Such a conclusion may seem to contradict the historical descriptions of the fantasy that are deliciously laced with intangibles. Central to an understanding of the fantasy, these ephemeral qualities need not be abandoned in favor of positivist data. Rather—as I demonstrate in Chapter Three—one type of evidence illuminates the other. It is the manner in which the compositional techniques are used that accounts for the ethereal nature of the fantasy.

Considering the plethora of alternate titles in the period, the main question is: what did composers have in mind when they chose to write a *fantasy*? Ideas of mixed genre are distinctive for the period. Not only do we need to examine the meaning of the fantasy, but the meaning of dual titles such as *fantasia quasi una sonata*, *symphonic fantasia* and *fantasy-overture*. Faced with this situation, I decided to look at how pieces called *fantasy* are put together.

Form in the Fantasy: Discontinuity and Cohesion

My view of form in the fantasy emerges from analysis of four practices and processes: relationship to established forms; developmental processes; types of interruption; and linkage methods. The central theoretical question is deceptively simple: in the absence of fixed expectations, how do composers organize works called fantasies? Most common are sectional types such as ternary, rondo or

variation form. Conventional sonata form is rarely applied, although its properties are often engaged in dialogue. Cyclic organization is prevalent in early and mid-century examples such as Beethoven's Choral Fantasy, Op.80 (1808), Schubert's Wanderer Fantasy (1822) and Liszt's Après une lecture de Dante, "fantasia quasi sonata" (1837, revised 1849). Later in the century, however, a network of returning themes is more common than a single organizing theme. The monothematic fantasy seems to have run its course.

Ideas of development are important in all of the pieces that I have examined. Developmental processes of juxtaposition, combination, and fragmentation play a large role in structuring the works. This is not surprising, since the term "free fantasia" was used interchangeably with "development" in writings on sonata form.⁵² But in a fantasy, developmental processes are more likely to permeate the work than to be found largely in self-contained sections.

For a genre that is defined by discontinuity, yet not wholly chaotic, two compositional issues become paramount: how are the discontinuities created, and how does the music remain coherent in spite of these discontinuities? The first is accomplished by means of interruptions in the flow of musical events. I have observed two primary types of interruption: contextual and constitutive. In the first, the discontinuity is created by the placement of a block of new material at a point where it interrupts an ongoing section. This process creates the dream-like effect that has been noted in many writings on the genre. The resulting stark contrasts may also

⁵² Ebenezer Prout, Applied Forms (London, 1895). See full citation in Chapter Four.

be compared to montage techniques in film. An example of this type is the episode that seems inserted between the second and third variations of Francesca da Rimini. The second, constitutive type of discontinuity is more intrinsic—it occurs *within* rather than between themes. This type is most often achieved in three ways: rhythmic, motivic and thematic. Rhythmic disruptions are unexpected silences that seem to halt the flow of the work, leaving the listener uncertain of what is to follow. These are usually measured but sometimes unmeasured, as in Fatum—accomplished by means of a fermata.⁵³ In motivic interruption, transformations of the motive circumvent the expectations of the listener. Thematic interruptions occur when, instead of completing a theme, the music veers in a new direction. This type is best understood in light of Hugo Riemann's pithy definition of the fantasy in which "no complete theme is used, but, as if improvising, [such pieces] only hint [at the theme], in order to quickly abandon it again."⁵⁴ Perceived interruptions give rise to descriptions of the ephemeral character of the fantasy. This organized discontinuity corresponds to Czerny's account of improvisation as seemingly irregular yet according to plan.

This brings us to the second compositional issue articulated above: what is the plan for holding heterogeneous elements together? A crucial aspect of highly sectionalized works is the manner in which parts are connected. In the works

⁵³ Annette Richards places great significance on the fermata in the fantasy style of C. P. E. Bach: "It is perhaps not too fanciful to see the fermata as the encapsulation of the free fantasia." Richards, "Fantasy and Fantasia: A Theory of the Musical Picturesque," Ph.D. diss., (Stanford University, 1995), 259.

⁵⁴ Hugo Riemann, Katechismus der Kompositionslehre (Musikalische Formenlehre) originally published as Grundriss der Kompositionslehre, Leipzig, 1889, 3rd edition Berlin: M. Hesse, 1905, vol.2, 123.

analyzed, I have called such passages “linking areas,” avoiding the term transition. This choice stems from the fact that many of the works are focused less on a harmonic journey akin to that of sonata form than on a thematic network that is independent of prescribed key relationships. Thus, rather than accomplish a change of key, many linking areas make a connection between sometimes incongruous sections. This feature is even more crucial in works composed on existing themes, where the melodic invention of the composer is not a factor. Rather, as Czerny noted, such works test the composer’s ability to create “artful” connections between the given themes.⁵⁵

In sum, we see that the fantasy as a genre is unified by certain shared concerns and procedures. I have outlined four primary techniques: one, frequent reference to established forms, most often ternary, rondo or variation; two, the pervasive role of developmental processes; three, the imitation of improvisation through discontinuities created by contextual and constitutive interruption; and four, an emphasis on linking areas in general, and particularly in fantasies on existing themes. In addition, four features emerge from the treatises: recitative style, variation techniques, cyclic organization and generic mixture. The documentation provided in the encyclopedias and treatises demonstrates the connection between this cluster of compositional techniques and the layered meanings that I have explored in the word

⁵⁵ Carl Czerny, School of Practical Composition I, trans. John Bishop, (London, 1848) 88.

fantasy: imagination, improvisation and work. As I have shown above, these techniques occur within works that can be classified according to form (independent, derived or some combination of the two); intent (programmatic or absolute); medium (keyboard, other solo instrument, small ensemble or orchestra), and source of themes (original or existing themes).

Repertoire

To demonstrate the applicability of my model for the fantasy, the final three chapters will examine nine fantasies from the period 1868-1920. The works are:

Tchaikovsky	four orchestral fantasies:
	<u>Fatum</u> , fantasy (1868)
	<u>Romeo and Juliet</u> , fantasy overture (1869, rev. 1870, 1880)
	<u>Francesca da Rimini</u> , symphonic fantasia (1876)
	<u>Hamlet</u> , fantasy overture (1888)
	<u>Concert Fantasy</u> for piano and orchestra (1884)
Bruch	<u>Scottish Fantasy</u> for violin and orchestra (1880)
Busoni	<u>Indianische Fantasie</u> for piano and orchestra (1914)
	<u>Fantasia nach Bach</u> for piano (1909)
	<u>Kammer-Fantasie über Bizets Carmen</u> for piano (1920)

Criteria for Selection

While many other pieces are discussed, the subjects of extended treatment were selected according to three criteria. The first is straightforward: amid the abundance of related titles, I narrowed the focus to only those works that are specifically designated “fantasy” by their composers. Thus, while the main issues are also immanent in several works of Wagner (especially in the Siegfried Idyll, 1870, pub. 1878) and Strauss (particularly Don Quixote: Fantastische Variationen über ein Thema ritterlichen Characters, 1896-7), these composers do not make explicit use of the title. In contrast, the designations of Bruch, Tchaikovsky and Busoni are

unambiguous. The genre is particularly important to Tchaikovsky and Busoni, who composed *fantasies* throughout their careers. Thus they receive the most attention.

The second criterion is the relative alacrity with which the composer expounds his usage of the title and its relationship to his compositional method. Very clear on the issue, Bruch is particularly helpful in this regard. Not only is he a fertile source of a composer's viewpoint, but he is a valuable witness to the opinion of a performer—the violinist Joachim—who often disagreed with Bruch's decisions to use the title *fantasy*. Several detailed reviews offer yet another perspective on the *fantasy*—that of the critic.

The third factor in my selection of repertoire is the relevance of each work to the central compositional issues outlined above. Samples from the analyses demonstrate all three types of interruption: rhythmic in Fatum, Romeo and Juliet and the Scottish Fantasy; motivic in Hamlet and Romeo and Juliet; thematic in Francesca da Rimini, the Indian Fantasy and Fantasia nach Bach. Tchaikovsky's Concert Fantasy typifies fantasies in which disparate parts are joined by extended linking areas. Because, as noted above, such areas are particularly important in the works on existing themes, the Scottish Fantasy and the Carmen Fantasy provide excellent case studies. Notable examples of protracted linking passages—fantasies within the larger *fantasy*—are those marked *Cadenza* in the Indian Fantasy.

Reflecting the variable nature of the link between the *fantasy* and program music, each of the three composers represents a different viewpoint on the topic: Tchaikovsky makes a strong connection between literary stimuli and the *fantasies*,

Bruch is neutral on the issue, and Busoni voices an outright objection to the aesthetic of program music.

Chapter Survey

The first five chapters explore facets of the fantasy against the backdrop of mid- to late- nineteenth century formal concepts. Chapter One is in three parts: an overview of the treatment of the period 1870-1920 in the secondary literature; a brief historical survey of the fantasy in the period before 1870; and a look at significant repertoire of the period under study. The important antecedents are the keyboard fantasies of C. P. E. Bach, Mozart, Beethoven, Schubert, Chopin, Schumann and Liszt. The later group includes works by Franck, Debussy, Sarasate, Wagner, Richard Strauss and Brahms.

Chapter Two sorts through the many titles that overlap with the fantasy—with particular attention to their formal implications; traces the connection between improvisation and the fantasy; and examines the tradition of composing fantasies on existing themes drawn from folksong, opera and the music of Bach.

In Chapter Three, I provide a nineteenth-century historical overview of the fantasy and its relationship to the sonata. Here I assemble material from major treatises and encyclopedias, much of which has not appeared in translation. The encyclopedias are those of Schilling and Mendel, and the treatises include those of Czerny, Marx, Lobe, Riemann and d'Indy. Unless otherwise noted, all translations are mine.

In Chapter Four, I sketch the overlapping story of the fantasy and the sonata according to three trends: one, the slippery genre of the fantasy was more often discussed in terms of its omissions than described according to its features. Two, this tendency led

to comparisons with the sonata that inevitably showed the fantasy in a negative light.

Finally, as compositional qualities associated with the early fantasy grew more visible in nineteenth-century sonatas, the fantasy was perceived as a pernicious influence that threatened the sonata's very survival. Chapter Five examines the interaction between the fantasy and program music.

As noted in the preceding discussion of repertoire, the last three chapters comprise analyses of works by composers who are strongly linked with the fantasy tradition. Chapter Six is devoted to the orchestral fantasies of Tchaikovsky. Chapter Seven considers fantasies for solo instrument and orchestra by Tchaikovsky and Bruch. Illustrating each of the three categories of fantasies on existing themes, three works by Busoni are the subjects of Chapter Eight.

Obviously, these final chapters do not represent an attempt at historical completeness. Rather, this choice of repertoire reflects the relevance of each work to the main thesis pursued in the first five chapters: the late-nineteenth century fantasy hinges on the balance between discontinuity and cohesion, and its sectional forms are best analyzed by recognizing that they are conditioned by interruption and unified by linking areas and returning themes. Equally important, a flexible relationship to established forms must also be acknowledged.

With this conclusion, I am not suggesting that these processes do not occur in any other genre. Certainly they do. However, we should not ignore the fact that these processes appear in combination in a large number of fantasies. If we accept the notion that the fantasy simply emulates a diverse range of genres, we can only assume

that it is too nebulous for characterization. In that case, it would be pointless to pursue the implications for composers who choose the fantasy designation. However, since so many composers have deliberately used the title, we are obligated to investigate the link between their music and their concept of the genre. This is the work of the present study.

PART ONE: A HISTORICAL FRAMEWORK FOR THE FANTASY

CHAPTER ONE

GENRE AND INSTANCE IN LITERATURE AND REPERTOIRE

This chapter examines the literature and repertoire of the fantasy in three parts: first, encyclopedias, dictionaries and a seminal monograph on the history of the genre,¹ with particular attention to treatment of formal issues; second, a brief sketch of the fantasy in the period before 1870, with reference to secondary literature on representative works; and third, a survey of the state of the genre in the years 1870-1920.

Among writers on the repertoire, we will see that a straightforward consensus emerges: beginning in the early nineteenth century, fantasies took on an increasing likeness to established forms, most often, to sonata form. In this chapter, I will show that this presumption is contradicted by the repertoire itself. The situation is too elusive for such a prescriptive, evolutionary model. Throughout the representative works, the varied compositional approaches demand the critical approach set forth in my thesis, that is, the dual approach previously reserved for fixed genres, in which the tradition and the instance are equally privileged.

¹ Peter Schleuning, Die Fantasie, 2 vols. trans. A. C. Howie (Cologne, 1971).

On the Genre: Dictionaries, Encyclopedias and Monographs

New Grove Dictionary

The New Grove Dictionary treats the genre like a pre-eighteenth century phenomenon: five pages are devoted to the seventeenth-century fantasy, while that of the eighteenth century is covered in one page, and barely more than a page suffices for the nineteenth and twentieth centuries, which are treated as a group. There is no mention of Tchaikovsky's orchestral fantasies, nor, for that matter, those of any Russian composer.² While the operatic fantasy is noted, the tradition of composing fantasies on national themes is ignored. The early twentieth-century fantasy is reduced to "something of a retrospective form."³

Writing the segment on the eighteenth century, Eugene Helm characterizes the fantasy as a chameleon that takes the shape of established forms: "Just as in the 16th and 17th centuries, many fantasias of the 18th century readily took on the forms and styles of other contemporary genres (dance movement, prelude, capriccio, invention, variation, toccata, sonata movement, etc.)."⁴ This presumption is contradicted by recent work on C. P. E. Bach, a figure central to the period.

² One misses for example, Glinka's precedent-setting orchestral fantasies, and fantasies on national themes by composers such as Glazunov and Rimsky-Korsakov.

³ William Drabkin, "Fantasia: 19th and 20th centuries," The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (London, 1980), vol. 6, 391.

⁴ Eugene Helm, "Fantasia: 18th century," The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (London, 1980), vol. 6, 389.

According to Matthew Head, even the strict fantasia demonstrates “the adoption of the style but not the form of another genre.”⁵ Free fantasies constitute twelve of C. P. E. Bach’s twenty keyboard fantasies. Marked by “the disorderly arrangement of ideas,”⁶ these are even further afield from conventional form.

Continuing in the vein of preference for established forms, Helm finds that Mozart’s Fantasy in C Minor, K. 475, is antithetical to the fantasias of C. P. E. Bach (something of a contradiction since the same article describes these latter fantasies as conventional in form). “In K. 475 [Mozart] showed no interest in C. P. E. Bach’s ‘free’ fantasia: it is barred throughout, very much in the character of a sonata movement, with a thematic return near the end that is prepared and emphasized in true Classical fashion.”⁷

In my view, it is difficult to reconcile this work with the sonata principle. The fact that the opening material returns at the end—after nine measures of dominant preparation—is not enough evidence to outweigh two other factors: one, the opening material is never heard in a key other than the tonic, making a conventional harmonic return impossible, and, two, the abrupt and wide-ranging modulations and successions of ideas are clearly allied with the fantasia tradition.

⁵ Matthew Head, “Fantasy in the Instrumental Music of C. P. E. Bach,” Ph.D. diss. (Yale University, 1995), 28.

⁶ Head, “Fantasy in the Instrumental Music of C. P. E. Bach,” 67. His table of strict and free fantasies is on pp. 26-27.

⁷ Helm, “Fantasia: 18th century,” The New Grove vol. 6, 389.

In fact, Charles Rosen has gone so far as to say that this work is “truly abnormal by classical standards.”⁸ While it is abnormal in relation to the classical sonata, the work is not served by locating classical standards solely in the sonata. The classical fantasy operates under a different, yet equally viable set of norms. The tendency to view the fantasy as either formless or in standard form is at the heart of these conflicting assessments by Rosen and Helm. Both writers invoke conventional form yet they come out on opposite sides of the fence: the same work cannot be “in true classical fashion” and “truly abnormal by classical standards.”

In the segment on the nineteenth-century fantasy, William Drabkin rightly emphasizes Beethoven’s pivotal role, particularly the link between the fantasy and the unification of multimovement works that is first explored in the two sonatas ‘quasi una fantasia’ of Op. 27.⁹ He compares the style of Beethoven’s Fantasy, op. 77, to the *empfindsamer Stil* of C. P. E. Bach. The use of a variation finale in the same work is ignored, even though this feature comes to play an important role in later fantasies. The Choral Fantasy, op. 80, is mentioned for its addition of chorus but not for its cyclic structure.

⁸ Charles Rosen, The Classical Style (New York, 1971), 92. For an alternative view, see Heinrich Deppert, “C. P. E. Bach und die Nachwelt,” Musik und Kirche LIX/4, 1989, 184-198. The author argues that C. P. E. Bach’s teachings on the free fantasy proved stimulating for the Viennese school.

⁹ The more famous of the two, the ‘Moonlight,’ is mistakenly highlighted in the entry as the first use of the indication ‘attaca’ to join two sonata movements. Actually, each movement of the first ‘sonata quasi una fantasia,’ op. 27, no. 1, is so marked. Though Haydn joined the second and third movements of his Piano Sonata in D Major, Hob. XVI:24 (1773), Beethoven was the first to connect all the movements of a sonata. And he did so only in a sonata marked ‘quasi una fantasia’: op. 27, no. 1.

Drabkin traces a line of influence from the 'sonata quasi una fantasia' to the full integration of individual movements in Schubert's Wanderer Fantasy and Schumann's Fantasy in C Major, op. 17. These works are used to support the notion that the Romantic fantasia "provided the means for an expansion of forms, both thematically and emotionally."¹⁰ The article leaves a gap between 1841 (the year of Liszt's Don Juan fantasy, the last large-scale nineteenth-century fantasy mentioned in the article) and 1910 (the first twentieth-century fantasy noted, Busoni's Fantasia contrappuntistica). The only mention of the orchestral fantasy is that of British composers Ralph Vaughan Williams and Michael Tippett.

From this article, a reader could easily infer that the fantasy has virtually disappeared, with the exception of some dinosaurs that return either to the genre's contrapuntal origins or to the reworking of motifs by Bach.¹¹ Though shared by many, this impression is not accurate. Composers are still attracted to the genre, even though the last work to be given attention by Drabkin (and others) is the Schoenberg Phantasy, op. 47 (1949).¹²

¹⁰ William Drabkin, "Fantasia: 19th and 20th centuries," The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (London, 1980), vol. 6, 390. In the second section of this chapter, we will see that some controversy surrounds the claim that Schumann's Fantasia, op. 17 is best related to sonata form.

¹¹ Likewise, in his seminal monograph on the fantasy, Peter Schleuning writes, "hardly any use has been found for the generic designation fantasia in the 20th century." Trans. A. C. Howie, Die Fantasie, (Cologne, 1971), II, 21.

¹² See Adorno, "Arnold Schönberg: Phantasie für Geige mit Klavierbegleitung Op. 47," Der getreue Korrepetitor (Frankfurt, 1963) and Raab, "Fantasia quasi una sonata: Zu Schoenbergs Phantasy for violin with piano accompaniment op. 47," Melos/Neue Zeitschrift für Musik 2, 1976, 191-196.

The continuing relevance of the genre can be seen in this thumbnail sketch of twentieth-century applications: Copland, Piano Fantasy; (1952-7), George Rochberg, Sonata-fantasia (1956);¹³ Ralph Shapey, Partita-fantasy (1967); Ross Lee Finney, Sonata quasi una fantasia (1961); Donald Martino, Fantasy-Variations (1962); and Elliott Carter, A Fantasy about Purcell's 'Fantasia Upon One note' (1974).

As with Tchaikovsky and Busoni, several mid- to late- twentieth-century figures have composed fantasies throughout their careers. Otto Leuning is a good example: Symphonic Fantasia I (1924) and II (1939-40) III and IV (1969); Fantasia brevis (flute and piano, 1929); Fantasy in Space (electronic, 1952); Fantasia (string quartet and orchestra, 1961); Fantasia (strings, 1966). Similarly, Bohuslav Martinu has written fantasies that span the years 1912 to 1957 in orchestral, piano and chamber media. Roy Harris composed four fantasies between 1925 and 1954 ranging from those for orchestra to three pianos and chorus; and Alan Hovhaness wrote five fantasies between 1944 and 1965, including his Celestial Fantasy (orchestra, 1944), and Fantasy on Japanese Woodprints (chamber orchestra and xylophone, 1965).

¹³ See Joan De Vee Dixon, "George Rochberg's *Sonata-Fantasia* (1956), *Nach Bach* (1966), and *Carnival Music* (1971): Similarities and Differences in the Use of Borrowed Materials," Ph.D. diss. (University of Maryland, 1990).

Emphasis on the fantasy continues in recent work of John Corigliano. His Etude Fantasy (1976) is a set of five piano etudes, performed without pause. This work integrates features of the nineteenth-century fantasy (connected segments of a larger work, thematic transformation) with twentieth-century compositional techniques.¹⁴ Showing the continued application of fantasia as a work on an existing theme, Corigliano's Fantasia on an Ostinato (1985) is based on the second-movement theme of Beethoven's Symphony No. 7. Clearly, the twentieth-century fantasy is alive and well and worthy of further study.

Die Musik in Geschichte und Gegenwart (1954)

Like that of the New Grove, the lengthy "Fantasie" article in Die Musik in Geschichte und Gegenwart¹⁵ is heavily weighted toward pre-nineteenth century repertoire. The sixteenth and seventeenth centuries receive 23 columns, the Baroque receives 10, and the final 10 columns appear under the broad rubric, "the fantasy since 1750." In this latter period, Willi Kahl covers similar ground as does the New Grove, but the repertoire is a bit wider, and it is arranged according to medium: the large opening section covers piano fantasies, and a short paragraph each is devoted to organ and orchestral fantasies.

Kahl emphasizes the importance of rhetoric and instrumental recitative in the fantasies of C. P. E. Bach. He also notes the influence of the fantasy on Bach's sonatas

¹⁴Beverley Singleton Simms, "The Solo Piano Works of John Corigliano: 'Etude Fantasy' (1976) and 'Fantasia on an Ostinato' (1985)," D.M.A. diss. (University of North Texas, 1991).

¹⁵ Willi Kahl, "Fantasie," Die Musik in Geschichte und Gegenwart vol. 3 (Kassel, 1954), cols. 1762-1800.

and rondos, particularly in the transformation of themes in the rondos. He cites works by such contemporaries as Löhlein and Hiller which show the influence of C. P. E. Bach, particularly in their use of recitative.

Kahl tends to use the work of a single composer as the benchmark for the state of the genre at any given point. For example, he finds that Haydn gave “a whole new face” to the eighteenth-century piano fantasy, marked by orchestral effects. He connects this development to the rise of virtuosity, from which the eighteenth-century Viennese fantasy received a strong impetus. Citing Haydn’s view that improvisation goes hand in hand with the rules of art, Kahl suggests that formal tightening in the Haydn fantasy marks a sharp disruption with C. P. E. Bach’s idea of the fantasy. Kahl observes “true themes” which allow “sonata- and rondo-form [to] gleam through” Haydn’s Fantasy in C Major, Hob. XVII: 4.¹⁶

In this context, he finds that “the unthematic, arpeggiated passages have only episodic meaning.” (Drabkin echoes this conclusion in the New Grove.) In my view, that “episodic meaning” should not be minimized. These episodes demonstrate the quality of a free fantasy, and some of them are lengthy, as in the twenty-five measure passage that leads to the return of Haydn’s opening theme in the tonic. Kahl’s reading of this work supports his idea that Haydn marks a huge break from the improvisatory style of C. P. E. Bach. This view contributes to the frequent use of this period as a cutoff after which the fantasy is presumed to take on established forms.

¹⁶ Kahl, col. 1793.

For Kahl, Mozart accomplishes still another transformation of the fantasy, yet Kahl's descriptions of conventional form in Haydn and Mozart are actually quite similar: the Mozartean fantasy is not marked by "limitless roaming," rather, it is always "contained within a delimited sphere."¹⁷

As an example, he cites the return of the opening theme in the Fantasy in C-minor, K. 475 (1785).¹⁸ For Kahl, this work, together with the Fantasy in D-minor, K. 397 (1782), exemplifies a shift toward conventional formal organization—one that prefigures a similar shift in the late fantasies of C. P. E. Bach (1787 and earlier). This sense that the C. P. E. Bach fantasies progress in an evolutionary way toward a more fixed form is at odds with Matthew Head's analyses of the late works.

For example, in the Fantasia in B-flat, H. 289 (1785-6), Head identifies fourteen distinct motifs, through which he observes that "the proliferation of contrasting inventions in the free fantasia in B-flat, H. 289 also creates the whimsical or eccentric impression that is so characteristic of C. P. E. Bach's solo keyboard music."¹⁹

¹⁷ Kahl, col. 1794.

¹⁸ As we have noted, Drabkin also emphasized this brief thematic return to support the notion that form becomes regularized in K. 475.

¹⁹ Head, Fantasy in the Instrumental Music of C. P. E. Bach, 70.

The same author identifies a song quotation in the Fantasia in F-sharp minor, H. 300 (1787), that reappears, “set off from its immediate context in both register and key.” in a type of interruption that belies attempts to find formal tightening in the late fantasies. Likewise, Annette Richards refers to the B-Flat Fantasia, H. 289, as “seductively setting up expectations within the sonata paradigm, yet threatening at any moment to swerve off course in the aberrant manner of the fantasia.”²⁰

Kahl continues to trace a line of progress toward fixed form in his discussion of Beethoven, proposing that the Fantasy, op. 77, arises out of Mozart’s more fixed form. This view is difficult to reconcile with the music, in which even Kahl recognizes no less than six unrelated themes. He points to the improvisatory style of the unbarred passages and arpeggios of the majority of the work, but interprets the closing variation section as a sign that Beethoven needed to set “the piece on the path to form, to a variation movement.”²¹

To support this move toward regularization, Kahl ignores the harmonic shocks in the preceding sections and focuses instead on the set of variations with which the piece ends. Yet the stable closing section in B major caps a work that begins in g-minor and juxtaposes the keys of A-flat, B-flat, d minor, A-flat, and b minor—key changes that are accompanied by alternations of tempo that range from Adagio to Presto. Again we see that an insistence on strict form in the fantasy often requires critical tunnel vision.

²⁰ Annette Richards, “Fantasy and Fantasia: A Theory of the Musical Picturesque,” Ph.D. diss. (Stanford University, 1995), 264.

²¹ Kahl, col. 1796.

The cyclic structure of Beethoven's Choral Fantasy, op. 80 (a feature ignored in New Grove) is rightly emphasized, and Kahl points to this element as the root of the fantasy of the next period. He sees free improvisation as the model for the romantic, cyclical fantasy.²² The Schubert fantasies are portrayed as an essay in compositional and technical maturation through which the composer subverts sonata form, without attempting to replace the genre of the sonata with that of the fantasy. The notion of maturation is traced from the early fantasies (1810-1813) in which Schubert is "finding his way to cyclic form,"²³ a form that culminates in the Wanderer Fantasy (1822).

This conclusion is indisputable, but Kahl pursues the idea of increasing formal control to the Fantasy in F minor, (1828) while ignoring the Fantasy in C Major for violin and piano (1827), a work in which formal ambiguity and independence of sonata form have been recently noted by Patrick McCreless.²⁴

Continuing his focus on the relationship to the sonata, Kahl recognizes Schumann's change in title from Grosse Sonata to Fantasie, op. 17, as a sign that the fantasy was a forum in which Romantic composers argued with the classical sonata tradition. However, Kahl ignores the very first title, which was actually Fantaisie.

²² In Chapter Three, we will see this observation borne out in Czerny's discussion of the fantasy on a single theme.

²³ Kahl, col. 1796.

²⁴ Patrick McCreless, "A Candidate for the Canon? A New Look at Schubert's Fantaisie in C Major for Violin and Piano," 19th-Century Music 20 (Spring 1997), 212. McCreless's analysis is discussed in the segment on Schubert in the second part of this chapter.

For Kahl, the opera fantasy is a natural outgrowth of the classical variation on song themes. He cites the opera fantasies of Josef Gelinek (1758-1825), many of which are virtual variation cycles without numbering the variations. This is an important observation, since variation techniques are allied with the fantasy throughout its history.

Kahl points to the mid-nineteenth century virtuoso vehicles of Henri Herz, Johann Pixis and Siegmund Thalberg as representatives of the tradition of the opera fantasy—one that would be developed by Liszt into an independent genre. While he notes that the opera fantasies of the first group would often be accused of empty virtuosity,²⁵ Kahl credits Liszt with the balancing of virtuosity and the dramatic intent of each opera. After Liszt, the next opera fantasy mentioned is Busoni's Kammerfantasie, Sonatina super Carmen (1920).²⁶ Kahl rightly credits Busoni with widening the modern concept of the piano fantasy, and he emphasizes Busoni's connection to folklore in the Indian Fantasy.

Kahl's brief discussion of organ fantasies begins with those of the Bach circle, which often resemble preludes and toccatas. He points to those of Reger as the culmination of chorale fantasies and free fantasies for organ, but makes no mention

²⁵ Opera fantasies were not uniformly condemned. For example, Schumann was extremely critical of Herz but he praised Thalberg, particularly for his Fantasie and Variations, op. 12 on Norma.

²⁶ This gap between the Thalberg/Liszt opera fantasies and that of Busoni is justified if one is restricted to the piano, but it excludes such works as Sarasate's Concert Fantasies on Carmen, op. 25 for violin and piano (1883). See Charles Suttoni, "Piano and Opera: A Study of the Piano Fantasies written on Opera Themes in the Romantic Era," Ph.D. diss. (New York University, 1973).

of Franck, a major figure in this medium. A connection is made between the orchestral fantasy and the symphonic poem, citing Mussorgsky's Night on Bald Mountain (designated "Fantasy for Orchestra" by the composer) as a successor to Liszt's symphonic poems. Kahl suggests that in the nineteenth and twentieth centuries, most pieces titled 'symphonic fantasy' have programmatic intent, and that a large number of orchestral fantasies are folkloric, especially those of the Russians.

In sum, Kahl makes two assumptions, the first, indisputable, and the second, open to question: one, the fantasy progressed from an imitative type in the sixteenth and seventeenth centuries to an improvisatory type in the early fantasies of C. P. E. Bach. Two, the later fantasies of C. P. E. tend toward forms that are more fixed, and, from that point on (ca 1787), composers demonstrate ever-increasing dependence on fixed genres, leading to a cyclic type in dialogue with sonata form, of which it is never considered fully independent.

Die Musik in Geschichte und Gegenwart (1995)

Writing in the New MGG, Dagmar Teepe tones down the evolutionary view of the earlier edition.²⁷ He contradicts the regularized view of C. P. E. Bach's late fantasies, referring to the last collection (1783-1787) as "out of the ordinary."²⁸ Regarding Mozart's K. 475, he pays more attention to the harmonic juxtapositions, and avoids forcing this work into a progression toward tighter formal structures. He focuses the Beethoven discussion on the "sonata quasi una fantasia," not just in

²⁷ Dagmar Teepe, "Fantasie: 18. 19. und 20. Jahrhundert," Die Musik in Geschichte und Gegenwart, 2nd ed., vol. 3, ed. Ludwig Finscher (Kassel, 1995), cols. 336-341.

²⁸ Teepe, "Fantasie," col. 337.

reference to specific works but to support the view of the Beethoven fantasy as a new phase in which the borders between sonata and fantasy are explored. While Kahl ignored Schubert's Fantasy in C for violin and piano, D. 934, Teepe mentions its cyclic tendencies. But he too fails to note its divergence from the engagement with sonata form in Schubert's better-known fantasies.

New here is a brief mention of Bruch's Scottish Fantasy, named as an example of folkloric fantasies. Also new is the treatment of the opera fantasy and the salon fantasy as separate subgenres. The latter is defined by social function: it is destined for a non-selective circle of listeners and marked by a clear loss of quality. Teepe adds Franck to the discussion of organ fantasies, but omits the earlier discussion of the orchestral fantasy, and with it, any mention of Russian composers.

It must be noted that the two mature Chopin fantasies are ignored in the New Grove and in both editions of MGG. As I show in section two of this chapter, these works do not easily fit the presumed kinship between fantasy and sonata in the mid-nineteenth century. A broader reason for critical neglect of the scherzos, ballades and fantasies has been suggested by Jim Samson: "Yet so powerful were the associations of the salon in Chopin reception that these [extended single-movement] works were habitually undervalued in critical commentaries of the late nineteenth and early twentieth centuries."²⁹ Particularly for the fantasies, perhaps the resonance of the salon continues to affect reception.

²⁹ Jim Samson, "Extended Forms: the Ballades, Scherzos and Fantasies," The Cambridge Companion to Chopin, (Cambridge, 1992), 123.

Schleuning: Die Fantasie

Peter Schleuning is a prolific commentator on the fantasy, especially that of the eighteenth century. In addition to his dissertation on the free fantasy.³⁰

Schleuning has published a two-volume anthology of the fantasy from the sixteenth through the twentieth century.³¹ Here he introduces his general conception of the fantasy in relation to two Romantic ideals: rebellion against norms, and emphasis on personal expression. He distances the genre from this stereotype, though, using Schumann's dictum that an "inner thread" must organize a good fantasy.

For Schleuning, the opposing forces of disorder and order in the fantasy as a genre are illustrated in Schumann's Fantasie, op. 17: namely, disorder is created by distorting sonata form, and order is provided by the underlying poetic mood and hidden motivic connections. He stretches the power of veiled allusion too far, though, by suggesting that such allusions can be sensed on a subconscious level: "Such veiled allusions are to be deciphered by experts, of course, but through the character of the quotation, the person who cannot identify them immediately should be given the feeling of the allusion and of the mysterious reference."³²

Aspects of the Schumann Fantasie are used to summarize the criteria "which are to be encountered throughout the entire history of the fantasy genre." These are: one, deviations from formal, stylistic and structural norms; two, concealed methods

³⁰ Peter Schleuning, Die freie Fantasie, Göppinger Akademische Beiträge, no. 76 (Göppingen, 1973).

³¹ Schleuning, Die Fantasie, 2 vols. trans. A. C. Howie (Cologne, 1971).

³² Schleuning, Die Fantasie, I, 6.

of organization that create a vague impression of formal unity: three, individual feeling that gives unity to the work through a single mood; and four, an esoteric character.

Schleuning's first criterion—deviation from existing norms—is traced to the first fantasias (ca 1520), which were an escape from earlier theoretical models. He identifies “a compositional style of thematic metamorphosis in an imitative movement” throughout the sixteenth century.³³ Included in his anthology is a work by Hans Newsidler (1508-1563), interestingly entitled “Preamble oder Fantasey.” Most authors refer to overlapping titles as a sign of generic breakdown in the nineteenth century, yet from this example it is obvious that the fantasy has always been a genre about borders.

Schleuning notes that the seventeenth-century fantasia is based on various types of *soggetti*, or themes that are treated in imitation. He cites fantasias on chromatic *soggetti* and hexachord fantasias (based on an ascending stepwise sixth *soggetti*) with examples by Sweelinck, Bull, Scheidt and Froberger.³⁴

While the imitative component was largely limited to the seventeenth century, the component of mystery in the same period leads directly to notions of mystery and enigma in the late eighteenth and early nineteenth centuries. He confirms that the enigmatic qualities of the imitative fantasy are documented in Athanasius Kircher's

³³ Schleuning, *Die Fantasie*, I, 8.

³⁴ For a recent study of the subtype ‘fantasia super hexachordum,’ see Dietrich Kämper, “Vincenzo Ruffos *Capricci* und die Vorgeschichte des Musikalischen Kunstbuchs,” *Zeichen und Struktur in der Musik der Renaissance*, (Barenreiter, 1989), 107-20.

description of the “Stylus Phantasticus” (1650). According to Schleuning, this notion of mystery in the fantasia overlaps with that of the toccata, particularly as represented by a group of Neapolitan keyboard composers. He relates the technique “*inganno della fuga*” (deception by transformation of the *soggetto*) to the “rational deception” practiced by C. P. E. Bach and to the hidden relations among motifs in Schumann’s Fantasy, op. 17.

Schleuning identifies a second type of seventeenth-century fantasy, one that loosened the contrapuntal texture and incorporated freer episodes. In an example by Farnaby, a five-measure segment is constituted simply by a gradually slowing alternation between two pitches.³⁵ A third type is the chorale fantasia, identified as a kind of paraphrase fantasia represented by Scheidt, Buxtehude, and J. S. Bach. Features that play a role here are virtuoso passagework, motivic modification and strict imitation. The final species is the variation/ostinato fantasia, exemplified by Sweelinck, Scheidt, Pachelbel and Krieger. Its basis is a repeated thematic motive with varying accompaniments and descants.

We will see that all of these types contribute to the way that later composers use the genre: it departs from the norm; often involves paraphrase; and is closely linked with variation techniques.

³⁵ This isolation of pitches for pure sound effect can be seen as a precedent for the emphasis on sonority in the fantasia that continues from C. P. E. Bach into the nineteenth century.

Schleuning identifies a gap between 1700 and 1750 in which the fantasia took on a generalized meaning that could not be classified.³⁶ He follows this assertion with the observation that the term was used for virtuosic etude movements in the early eighteenth century.³⁷ The suggested fifty-year gap is contradicted by his examples, which continue in the vein that he articulated for the period before 1750: namely deviations from the norm. Examples are the cycles by Telemann that mix and alter the sequence of movements in suites and sonatas, and Wagenseil's *Fantasia maestoso*, an example of a movement "which was not modeled on any dance- or sonata movement prototypes."³⁸ Schleuning's thesis is that, around 1750, the free fantasia was consolidated as a new type in a re-affiliation with the ideals of the "Stylus Phantasticus." It seems an arbitrary cutoff, though, since he provides an earlier example by Pachelbel (composed before 1706) which also displays this re-affiliation.

Schleuning's idea of the free fantasy is closely linked with the private sphere of composition, a link which he supports with passages of C. P. E. Bach's *Versuch* that relate to the focus on personal feelings, the relationship to improvisation and the break with the unity of affections. He amplifies the often-told story of the poet

³⁶ For an alternative view, see Jan Muylle, "Capriccio, muziekaal genre un schilderkunstig droombeeld," [musical genre and artistic dream-image], *Adem* XXV/4, Oct.-Dec. 1989, 200-202. Muylle connects the musical capriccio and fantasia to the capriccio in painting, which followed a continuous progression from 1600-1900 that was marked by freedom from classical rules and related to dream metaphors. RILM abstract 11374.

³⁷ As we will see in Chapter Two, this type of etude often overlapped with the caprice.

Heinrich Wilhelm von Gerstenberg, who added song texts from Hamlet's monologue and Socrates's death scene to C. P. E. Bach's Fantasy in C minor, H. 75 (1753).

Schleuning finds that this practice cancels the goal of the free fantasy: to be free from the specific associations of a "characterized fantasia," in the words of a contemporary critic of Gerstenberg's endeavor. For Schleuning, fantasia is associated with freedom from vocal expectations. Perhaps he means expectations engendered by text, since he also notes several of the vocal affinities of the fantasy, e.g. the connection with recitative, and later with folksong and opera.

Schleuning distinguishes between improvised (often hour-long) fantasies and their written-down versions. For example, the sketches for Mozart's K. 594 and 617 exhibit much greater freedom than do the final versions. He notes that in written free fantasies, "the necessity to reach a conclusion after a relatively short time compelled the composer to sacrifice a part of the pleasant and continual dreamlike character of the fantasia for the sake of some kind of symmetry, so that the ending could have a meaningful effect."³⁹

³⁸ Schleuning, I, 13.

³⁹ Schleuning, I, 20.

Contradicting Helm, Schleuning declares Mozart's K. 475 a "masterwork of formal deception."⁴⁰ Like Drabkin and Teepe, he identifies the beginning of the breakdown between sonata and fantasy in the "sonata quasi una fantasia" idea. He cites works by Schubert, Chopin and Schumann to support the notion that "the fusion of sonata and fantasia principles to form a mixed style ... is displayed in all the important large fantasies composed in the first half of the century—just as it is in symphonies and sonatas."⁴¹

Schleuning sees the fantasy as the direct progenitor of program music, in that some idea of program was always necessary to explain the surprises and delusions inherent in the genre. (This seems to contradict his earlier separation of the fantasy from specific references.) He draws a parallel between C. P. E. Bach's description of fantasy elements and an early description of romanticism by Novalis: "Romantic poetry is the art of surprising in a pleasing manner, of making a subject strange and yet familiar and attractive."⁴²

⁴⁰ Schleuning, I, 21.

⁴¹ Schleuning, II, 16. As we will see in section two of this chapter, this is too broad a claim for these works.

⁴² Schleuning, II, 17.

Six types of nineteenth-century fantasy can be discerned in Schleuning's discussion: one, sonata-fantasies; two, virtuosic display pieces combined with harmonic surprises; three, programmatic works in four subtypes (pastoral, battle, exotic and atmospheric);⁴³ four, the salon fantasy with two potpourri subtypes: one characterized as a string of tunes, the second as a variation set preceded by a free piece; five, works based on themes of Bach; and six, opera fantasies. His otherwise comprehensive sketch makes no mention of fantasies on national themes outside the salon tradition, and does not include Tchaikovsky or any other Russian composer.

Like Drabkin and Kahl, Schleuning reduces the twentieth-century fantasy to a referential genre, citing those based on themes of Bach. Other than this type, he finds that "the fantasia output in the twentieth century has been very scanty."⁴⁴ He suggests that it is the similarity between the fantasy ideal and the goals of the New Viennese School that has eliminated the need for the fantasy: "the generic term [fantasy] is rarely encountered now, as all works are fantasias."⁴⁵

As Schleuning acknowledges, his argument is heavily dependent upon Adorno's view of twentieth-century music. While I have noted that features of modernism overlap with those of the fantasy, my view differs from that of Schleuning and Adorno in two ways: this phenomenon can be traced much earlier than to the

⁴³ The last is nonspecific, and the most subtle. As we will see in Chapter Three, A. B. Marx established this distinction within programmatic fantasies—the more subtle types are separate from trivial, "perfumed" fantasies.

⁴⁴ Schleuning, II, 20. As we have seen even in my brief sketch above (on pages 38–39), the twentieth-century fantasy is alive and well.

⁴⁵ Schleuning, II, 21.

New Viennese school, and the overlap with modernism did not obviate the fantasy. Aside from this problematic assessment of the twentieth-century fantasy, Schleuning makes an invaluable contribution to the study of the genre, particularly the eighteenth-century free fantasy.

From Genre to Instance: Views of Form and Fantasy

The formal dichotomy of free and strict fantasies is reincarnated in contemporary writings that seek to mold the genre into either independent or established form.⁴⁶ As I have outlined in the introduction, three factors account for the preference toward the latter: the prestige of the sonata, critical skepticism of concatenated forms, and the desire to prove that modernist composers simply disguised the old as new.

This last factor guides Richard Kaplan's argument that Liszt's symphonic poems are actually in a conventional sonata form, which he delineates in an orderly sequence of exposition, development and recapitulation.⁴⁷ He makes the helpful point that Liszt may have exaggerated the role of free form, but the argument stumbles on the treatment of development sections. His own descriptions of these sections reveal that they do not function in the manner of a development in sonata form.

⁴⁶ For a recent study of free and strict fantasy, see Hartmut Grimm's "Freie und gezügelte Phantasie: Zur Ästhetik einer Gattung des 18. Jahrhunderts und ihre Zurücknahme," in Musik und Gesellschaft, XXXV/11 (1985), 592-97.

⁴⁷ Richard Kaplan, "Sonata Form in the Orchestral Works of Liszt: The Revolutionary Reconsidered," 19th-Century Music VIII/2 (Fall 1984), 142-152.

For instance, Kaplan states that the development of *Faust* is “sectionalized, comprising the false exposition repeat, the introduction reprise, and only then two sections which are conventionally ‘developmental’” . . . and that “the central section of *Tasso* is a minuet which is developmental only in that it is motivically based on the opening motive and on the second theme.”⁴⁸ He continues by acknowledging that *Orpheus* has no development section. Can we really speak of a work in sonata form if it avoids the development?

While Kaplan invokes Charles Rosen’s nomenclature for slow movement form-- “sonata form without development”—I would emphasize the same author’s cautionary words regarding such movements: “We cannot label something a development section merely because it is to be found sandwiched between an exposition and a recapitulation.”⁴⁹ I would further suggest that the coinage of “sonata without development” in specific reference to slow movements is less relevant to fantasies and symphonic poems, themselves often a conflation of several traditional movements.

Kaplan asserts that many of Liszt’s symphonic poems are based on sonata form, and that the composer invented at most a new genre, not a new form. If indeed the symphonic poems do not constitute a new form, perhaps this is due to the fact their flexible approach to form is equally indebted to the fantasy tradition and to sonata form. As I show in Chapter Three, Czerny’s description of the fantasy prefigures the cyclic

⁴⁸ Kaplan, “Sonata Form in the Orchestral Works of Liszt,” 150.

⁴⁹ Charles Rosen, Sonata Forms (New York, 1980), 68.

structure of Liszt's "fantasia quasi sonata" (1837, rev. 1849) and symphonic poems (begun in 1848).

Similar problems surface in David Brown's discussion of Hamlet, a fantasy overture by Tchaikovsky which I analyze in Chapter Six. Like Kaplan, Brown seizes the convenient tag, "sonata form without development."⁵⁰ Timothy L. Jackson presents a more flexible model for the same work by identifying the sequence as follows: Introduction-Exposition-Recapitulation-Development-Coda.⁵¹ This is a better interpretation, but the insistence on a self-contained development section still seems forced. My reading agrees with that of Jackson only in that we both identify the area of m.331 as developmental. Unlike Jackson, though, I trace developmental areas throughout the work, particularly that beginning at m.105—music that is restated in Jackson's development section. How can the same music constitute a "development section" in one appearance and the "first group of the exposition" in another?

As will become apparent in the next segment of this chapter, the pervasive role of development—a defining feature of the fantasy—is often a stumbling block for analyses that presume an allegiance to sonata form.

⁵⁰ David Brown, Tchaikovsky, vol. 4 (London, 1991), 159-160.

⁵¹ Timothy L. Jackson, "Aspects of Sexuality and Structure in the Later Symphonies of Tchaikovsky," Music Analysis 14/1, March 1995, 3-25.

Kaplan, Brown and Jackson typify the problem of over-identification between the fantasy and the sonata.⁵² On the other hand, as I have suggested in the Introduction to this study, the notion that the fantasy transcends form has caused some writers to reject the notion that the fantasy has a form. For example, Mark Evan Bonds treats the fantasy as completely unrelated to conventional forms. He cites the expression “Nicht-Form” used by Hugo Riemann, but does not include any of the writer’s more specific expectations for the genre and related works.⁵³ The reason for this focus may be that the fantasy serves as a foil to the more conventional forms that support Bonds’s analogy between rhetoric and form, in which “form was viewed not so much as a harmonic or thematic plan but as an ordered succession of thoughts.”⁵⁴

Having rejected either extreme toward fixed or free form, I will now trace these prevailing views on the main repertoire of fantasias composed prior to 1870. The following survey covers the period from the creation of the free fantasy by C. P. E. Bach to the height of the virtuoso fantasy tradition in the works of Liszt.

⁵² This notion is often reinforced in general studies of the genre. For example, Hanns Steger broadly states that, in the second half of the eighteenth century, the fantasy began to shift from an improvisatory style to one that was connected to the sonata. “Gedanken über den Fantasie-Begriff in der Musik des 18. und 19. Jahrhunderts,” Beck Gedenkschrift, 1982, 146.

⁵³ Mark Evan Bonds, Wordless Rhetoric: Musical Form and the Metaphor of the Oration (Cambridge, Mass., 1991), 115. I cover Riemann’s discussion of related titles in Chapter Two, and his references to the fantasy itself in Chapter Three.

⁵⁴ Bonds, Wordless Rhetoric, 53.

Survey of Representative Works:
Form and Fantasy from C. P. E. Bach to Liszt

This section focuses on the well studied period bounded by C. P. E. Bach's first fantasy, in E-flat major, H. 339 (*ca* 1749), and the revised version of Liszt's Après une lecture de Dante, "fantasia quasi sonata" (1849).⁵⁵ My use of these two keyboard works as boundaries reflects both the stylistic break with the imitative fantasy around 1750, and the dominance of the piano as the main medium for the fantasy through the 1860s. The latter accounts for critical neglect of the orchestral works of the later nineteenth century.⁵⁶

I will now trace the formation of a broad consensus with regard to the representative works: most writers believe that the fantasy gradually lost its identity as it developed greater likeness to established forms, primarily to that of the sonata.

⁵⁵ Dissertations on the nineteenth-century fantasy have maintained the focus on the first half of the century: Thomas Clifton Doran, "The Fantasies of Schubert, Schumann, Mendelssohn and Chopin; Sonata Form and Other Formal Structures in the Early Sonatas of Beethoven," Ph.D. diss. (Northwestern University, 1969); Gudrun Fydrich, "Die Klavierfantasie in der ersten Hälfte des 19. Jahrhunderts," (Freiburg, 1990); Jackson Yi-Shun Leung, "A Selective Study of Sonata-Fantasies in the First Half of the Nineteenth Century," D.M.A. diss. (University of Cincinnati, College-Conservatory of Music, 1990); Jesse Parker, "The Clavier Fantasy from Mozart to Liszt: A study in Style and Content," Ph.D. diss. (Stanford University, 1974); Charles Suttoni, "Piano and Opera: A Study of the Piano Fantasies Written on Opera Themes in the Romantic Era," Ph.D. diss. (New York University, 1973); Mike de Grace Zachary, "Style and Structure in Selected Viennese Keyboard Fantasies of the Early Nineteenth Century," D.M.A. diss. (American Conservatory of Music, 1991).

⁵⁶ Acknowledging the omission of orchestral fantasies from his essay on the eighteenth- and nineteenth-century fantasy, Hanns Steger justifies this choice by pointing to the origin of the genre in individual, personal expression on the keyboard. This origin is real, but it produces an incomplete picture of the later nineteenth century. Steger, "Gedanken über den Fantasie-Begriff in der Musik des 18. und 19. Jahrhunderts," Beck Gedenkschrift, 1982, 144.

Despite this consensus, I will show that these works are best approached from the perspective described in my cluster of techniques for the genre, through which flexible, individual analyses emerge.

C. P. E. Bach: *Fantasy in C minor*, H. 75 (1753)
 Fantasy in F= Minor, H. 536 (1787)

C. P. E. Bach is a pivotal figure who represents a stylistic break with the imitative fantasies of the seventeenth century. No longer attached to a work in strict form (like the fantasia and fugue of J. S. Bach's circle), the independent genre was well-suited to C. P. E. Bach's coinage, 'free fantasy.' In a legacy that is both compositional and theoretical, C. P. E. Bach composed twenty keyboard fantasias between the years 1749 and 1787, and he chronicled his thoughts on the genre in various sections of the influential Versuch über die wahre Art das Clavier zu spielen.⁵⁷ His fantasy style permeated his rondos and sonatas,⁵⁸ an influence that may have helped shape that of the nineteenth-century fantasy on the sonata. Yet we have seen that many writers view the path of the fantasy as an alternation of strict and free types through successive periods, without acknowledging the formal overlap that begins so clearly in the free and strict works of C. P. E. Bach.

⁵⁷ Versuch über die wahre Art das Clavier zu spielen (Berlin, 1753). Translated by William S. Mitchell as Essay on the True Art of Playing Keyboard Instruments (London, 1974).

⁵⁸ This is Matthew Head's primary thesis in "Fantasy in the Instrumental Music of C. P. E. Bach," Ph.D. diss. (Yale University, 1995). It is also suggested by Hans Günter Ottenberg in "Zur Fantasieproblematik im Schaffen C. P. E. Bach," Blankenburger Studien, vol. 13, 1980, 74-80.

The Fantasy in C minor, H. 75, is a good starting point since this work was the example provided in the original edition of the Versuch in 1753. For ensuing generations, it was the model for Bach's thinking on the genre. Clearly sectional, it does not rely on thematic repetition, rather, it is segmented according to tempo, meter, texture and tonality. The opening *Allegro moderato* is in C minor, unbarred, and marked by the alternation of declamatory passages and rapid-scale figurations. A recitative-like link connects to the middle *Largo*, in the relative major, strictly barred in triple meter, and in a songful style.

One aspect of concealed order in C. P. E. Bach's fantasy style is seen in the blurring of the boundary to the final *Allegro moderato*.⁵⁹ The texture of the opening allegro returns immediately with the return to the opening tempo, but the tonal return is delayed until the end of the final section. This delay is emphasized by "rational deception"—a technique originated by C. P. E.—in which the music seems to establish a cadence, only to immediate restart in a different key.⁶⁰ In this case, even the formal cadence is evaded: the *Largo* ends on a V7 of F, feigning a modulation that is stranded by the a-minor tonality of the *Allegro*. He heightens the surprise of this moment by using another of his favorite techniques for harmonic deception in the fantasia—the ellipsis. This process is defined in the Versuch as the juxtaposition of

⁵⁹ Annette Richards offers a striking analogy between the blurring of borders in the fantasy and in the English landscape garden: "The ha-ha, or sunken fence, a ditch that falls away sheer on the inside (the observer's side) but slopes gently on the far side, provides an impassible but invisible barrier between the cultivated area within and the wild one outside." Richards, "Fantasy and Fantasia: A Theory of the Musical Picturesque," Ph.D. diss. (Stanford University, 1995), 161.

⁶⁰ See Introduction, page 9.

chords with no common tones (here, the C dominant seventh is preceded by a B-flat major sonority). Thus Bach's otherwise clearly defined sections are obscured by harmonic surprises.⁶¹

In the opening section of this chapter, we have seen many writers emphasize a teleological progression toward conventional form in the fantasies of C. P. E. Bach.⁶² This idea is contradicted in the late works, particularly the last fantasy, intriguingly marked "C. P. E. Bach's Empfindungen." This work is in two sections, an *Adagio* marked *Sehr traurig und ganz langsam* and an *Allegretto*. The *Adagio* employs thematic repetition, and it is separated from the *Allegretto* by a fermata over a rest. This use of a grand pause is a central element of interruption in C. P. E. Bach's fantasy style.

For Annette Richards, "the sudden moments of silence work to create surprise, to initiate a startling change of direction, and to arouse the listener's interest."⁶³ In this case, the use of silence accomplishes all three effects: the final

⁶¹ Doris Patricia Tishkoff relates the coexistence of the rational and the irrational in Bach's fantasies to the contemporary belief in the union of reason and emotion evidenced in the eighteenth-century theory of passion. (Tishkoff also subscribes to the notion of greater formal control in the late works.) "Sensibility in the 18th Century as seen in the Fantasias from the 'Für Kenner und Liebhaber' of C. P. E. Bach," Ph.D.diss. (Michigan State University, 1983).

⁶² Alternatively, David Schulenberg concludes that the late works of C. P. E. Bach are not models of conventional form, instead, they establish their own means of coherence. "The Instrumental Music of Carl Philipp Emanuel Bach," Ph.D. diss. (State University of New York at Stony Brook, 1982). As we have noted above, Matthew Head and Dagmar Teepe concur.

⁶³ Richards, *Fantasy and Fantasia*, 256. Richards further suggests, "It is perhaps not too fanciful to see the fermata as the encapsulation of the free fantasia." Richards, 259.

Allegretto is in a new texture and key marked by the scale and arpeggio figuration associated with an improvisatory cadenza.⁶⁴

The sudden contrasts that define the fantasy are especially meaningful in this work, which was marked by the composer as “C. P. E. Bach’s feelings.” This last fantasy contradicts Bach’s own suggestion for coherence in the genre, namely that a fantasy should firmly establish the tonic at the opening and at the close. Here, he creates an expectation of F major, then respells Bb (the seventh of the V7 in F) as A# and closes on B minor. In this way, the last fantasy circumvents both the harmonic and thematic returns of conventional sonata and rondo practice.

Thus we see the error of forcing C. P. E. Bach’s late works into an increasingly conventional formal mold. For most who have done so, this music becomes a microcosm for a similar progression in the path of the genre. Both conclusions are untenable.

Mozart: *Fantasy in C minor*, K. 475 (1785)
 Fantasy in D minor, K. 397 (ca 1782)

The two most well-known of Mozart’s efforts in the keyboard genre are the Fantasy in C minor, K. 475 (1785) and the Fantasy in D minor, K. 397 (ca 1782). A third is actually a prelude to a fugue (K. 394). Although it has not received nearly as much attention as have the first two, the incomplete Fantasy in C minor, K. 396

⁶⁴ Hartmut Grimm explores the influence of harpsichord and organ improvisation on the extemporaneous nature of the free fantasy in “Freie und gezügelte Phantasie: Zur Ästhetik einer Gattung des 18. Jahrhunderts und ihre Zurücknahme,” Musik und Gesellschaft XXXV/11 (1985), 592-97.

(1782) is revealing in its similarity to C. P. E. Bach's well-disseminated Fantasy in C minor, H. 75, discussed above. In both works, the opening material is composed of sweeping, upward arpeggios that alternate with lyrical passages on offbeats. Though Mozart's is barred, the agogic and tonic accents mitigate against the perception of metric regularity. This fantasy was probably intended as an introduction to a fugue or sonata—he left it incomplete on the dominant arpeggio.

The Fantasy in C Minor, K. 475 is at the center of any discussion of Mozart's idea of the fantasy. This attention is especially justified since K. 475 is the only complete work that was given the title "Phantasie" in Mozart's own *Verzeichnis*. As we have seen above, both Eugene Helm and Willi Kahl draw a sharp distinction between their perception of conventional form in this work and in the fantasy style of C. P. E. Bach.⁶⁵

They are not alone. Marius Flothius uses K. 475 as a turning point between the style of C. P. E. Bach and the "new path" created by Schubert's Fantasy in F Minor, D. 940 (1828).⁶⁶ For Flothius, K. 475 unites Bach's fantasy style with classical principles, setting out on this new path. In the same essay, he rightly acknowledges that Beethoven's Fantasy, op. 77 (1809), is closely allied with C. P. E. Bach's style. In my view, this very kinship indicates a problem with the generalization of a path toward conventional form after the free fantasies of C. P. E. Bach.

⁶⁵ See pages 34 and 40 of this chapter.

⁶⁶ Marius Flothius, "Mozarts Fantasie und Sonate in c-moll, ein Wendepunkt?" Über das Klassische (Frankfurt am Main, 1987), 276-87.

While inexplicably distancing K. 475 from the “sound” of a C. P. E. Bach fantasy, Katalin Komlós acknowledges the specific influence of the *stylus phantasticus*: “Its [K. 475] sectional form, its extraordinary and ambiguous harmonic and tonal language, and its sharp juxtaposition of contrasting musical characters speak clearly of his knowledge of this source.”⁶⁷

In my view, the many harmonic ambiguities of K. 475 are rooted in the harmonic language of C. P. E. Bach, particularly in the two important harmonic devices discussed above: ellipsis and rational deception. The first is seen in the juxtaposition of chords with no common tones, e.g. A⁷ to F minor in mm. 12-13, and G⁷ to E-flat minor in mm. 14-15. A striking use of rational deception occurs at the point where the true dominant is finally introduced. Playing with the norm that he is about to contradict, Mozart feigns a modulation to B major, and resolves instead to G major, which can no longer be heard as the true dominant now that so many keys have been traversed. Instead, it conveys the impression that the dominant was avoided. Like the cap supplied by thematic repetition in the last of the six sections, the nod to the dominant barely conceals the inheritance of the free fantasy tradition. Mozart stays on the road of the improvisatory fantasy, not the path to conventional form.

It is clear that Mozart’s idea of the fantasy was different from his notion of the sonata. A comparison of the Fantasy, K. 475 (May 1785) and the Sonata, K. 457

⁶⁷ Katalin Komlós, “Fantasia and Sonata: K. 475/457 in Contemporary Context,” Bericht über den Internationalen Mozart-Kongress: Salzburg 1991, II (Kassel, 1992), 818.

(October 1784) is especially revealing. Though written seven months apart, they were published together by Artaria as “Fantaisie et Sonate pour le Fortepiano.”⁶⁸ A comparison of the opening measures of each work shows a clear distinction between the material of the fantasy and the sonata. The Sonata opens with a concise idea that is immediately answered in the dominant—perfect material for a movement in classical sonata form. In contrast, the opening motive of the Fantasy is an ethereal one that is stated three times, each time slipping a whole step lower. Combined with the harmonic ambiguities noted above, this motivic ambiguity supports the independence of the fantasy from the sonata—as both form and genre—in the mind of the composer. Rather than a negation or a turning point toward a new path, Mozart’s concept of the fantasy is an affirmation of the fantasy style of C. P. E. Bach.

Beethoven: *Sonata quasi una fantasia, op. 27, no. 1 and no. 2* (1800-1801)
Fantasy, op. 80, for piano, chorus and orchestra (1808)
Fantasy, op. 77, for piano (1809)

If one were inclined to argue for a turning point in the history of the fantasy, it would be tempting to identify that point with Beethoven. However, this inclination is moderated by generic context. Demonstrating compositional features clearly rooted in the genre, the fantasies composed by Beethoven do not fit comfortably into a presumed directional drive toward conventional form. Instead, they represent individual approaches that are at times in a close relationship with established forms and at times completely independent.

⁶⁸ The recently resurfaced autograph supports the notion that Mozart expected the Fantasy to be performed together with the Sonata. See Introduction, Note 18, page 9.

These two types are well-illustrated in the Fantasy, op. 80 for piano, chorus and orchestra (1808), and the Fantasy, op. 77 for piano (1809).⁶⁹ Known as the Choral Fantasy, the first begins with a solo piano introduction—a lengthy *Adagio*—that is followed by a huge finale in which one theme is treated to a series of five variations. The finale consists of four connected movements that parallel those of the sonata: *Allegro*; *Adagio ma non troppo*; *Marcia, assai vivace*; and *Allegretto*. Despite this large-scale connection to multimovement form, the work can also be viewed as a Fantasy and Variations—a prominent type in the fantasy tradition.⁷⁰ As in the Fifth Symphony (1807-1808), the overall harmonic motion is from C Minor to C Major.

In contrast, the Fantasy, op. 77, is much more aligned with the fantasies of C. P. E. Bach. The harmonic changes are many and abrupt—the opening tonality of G minor lasts only two bars, and the piece ends in B major. It is clearly sectional, but there is no relation to sonata form.

For Hanns Steger, the Choral Fantasy places Beethoven at a junction [Knotenpunkt] between two predecessors—the free fantasy of CP.E. and the fixed fantasy of Haydn and Wagenseil, and two successors—the fantasy as modified sonata

⁶⁹ These are the only two works given the name *fantasy* by Beethoven. His other usage is the hybrid *sonata quasi una fantasia*.

⁷⁰ The relationship between the fantasy and variation techniques has been noted in the Introduction. The interaction of fantasy and variation titles is discussed in Chapter Two.

cycle in Schubert and as poetic and psychological expression in Schumann.⁷¹ To support this view, he privileges op. 80 at the expense of op. 77. Again we encounter tunnel vision in order to carve a seemingly direct path for the fantasy.

A brief look at op. 80 shows that it strays from the overgeneralized path. Beethoven combines the free fantasy style with references to sonata movements. The lengthy piano introduction links the work with its free fantasy predecessors, which were always keyboard works.⁷² Like the opening section of C. P. E. Bach's Fantasy in C minor, H. 75, this introduction is athematic and it is based on arpeggio and scale figuration, unbarred recitative-like passages, and virtuosic octaves and double thirds. It is largely barred, but the figuration in rapidly articulated arpeggios is more in keeping with improvisatory free fantasies than suggestive of metric regularity.

The introduction ends on a V7 in G, but the mysterious ensuing *Allegro* remains in C Minor.⁷³ This is just the type of "rational deception" essential to C. P. E. Bach's fantasy style. The work's improvisatory origin is at the heart of all the liberties in the introduction. The Choral Fantasy was premiered with Beethoven at the keyboard in what was to be his last public appearance as a pianist, December

⁷¹ Hanns Steger, "Gedanken über den Fantasie-Begriff in der Musik des 18. und 19. Jahrhunderts," Beck Gedenkschrift, 1982, 148.

⁷² Not until 1835 did Schilling credit Siegmund Neukomm's fantasies for large orchestra with the arrival of "a whole new and magnificent genre in voluminous Fantasies for full orchestra." Schilling, 654.

⁷³ C. P. E. Bach, Mozart and Beethoven all composed fantasies in the key of C Minor. Could the tonality of the later works contain an allusion to the C. P. E. Bach model?

22. 1808. The introduction was improvised by Beethoven at this performance and only later written down.⁷⁴

After this free introduction, the remainder of the work comprises a huge section simply marked *Finale*. Here a simple song melody is treated in variation techniques throughout the sequence of four contrasting movements.⁷⁵ While most commentators point to this work as a precursor of Schubert's *Wanderer Fantasy*—a work celebrated as a double function sonata—that connection is only half the story.⁷⁶

The *Choral Fantasy* is equally indebted to the fantasy tradition, as seen in its use as Czerny's model for the fantasia on a single theme. Czerny delineated three main features of this type: the theme is subjected to changes in tempo and character, the whole work permits freer development than in a sonata, and the sections are joined by important linking passages. As an example of the latter, Beethoven uses the mysterious *Allegro* that opened the *Finale* as a link to the closing *Allegretto*. This link grows from the solo arpeggios in a passage that contains four fermatas within the scope of six measures, an important feature of C. P. E. Bach's fantasy style. Thus even in this brief look at op. 80, it is clear that Beethoven integrated the free style with the cyclic sonata in a way

⁷⁴ F. E. Kirby, "Beethoven and the 'Geselliges Lied'," *Music and Letters* XLVII/2 (April 1966), 120.

⁷⁵ Kirby describes the song as "an example of an important type of eighteenth-century German song, the *geselliges Lied* (the social, or perhaps sociable song)" in which the poetic and musical structures are strophic, the phrase structure is regular and the text setting is syllabic. Kirby, "Beethoven and the 'Geselliges Lied'," 120.

⁷⁶ The double function sonata denotes a work in which the harmonic path of a single movement sonata form is protracted over a sequence of four interconnected movements, the movements themselves reflecting a conventional tempo sequence.

that was indebted to the fantasy tradition created by C. P. E. Bach and documented by Czerny.

The cyclic organization of op. 80 can be seen as an outgrowth of the cyclic connections between movements in the Fifth Symphony, composed just before this work. In turn, this tendency has earlier roots in Beethoven's concept of the "sonata quasi una fantasia" in his op. 27 piano works. All the movements of op. 27, no. 1, are marked *attaca*. His only sonata so marked, the work demonstrates cyclic connections (the *Adagio* theme is recalled near the end of the last movement), recitative linking passages between movements, and variation techniques.

In contrast, op. 27, no. 2 (the famous "Moonlight" Sonata) illustrates another trait in the fantasy cluster: the emphasis on sonority in performance. Recall that C. P. E. Bach recommended "the undamped register" of the piano for improvisation.⁷⁷

Beethoven's very specific performance direction, *senza sordini*, implies that the performer use raised dampers throughout the movement: "Si deve suonare tutto questo pezzo delicatissimamente e senza sordini."⁷⁸ It is clear that Beethoven had a particular sound in mind. In no other sonata does he describe such a specific sound quality—not even the late ones, which are so redolent of his fantasy style.

See William S. Newman, The Sonata Since Beethoven, 3rd edn. (Chapel Hill, 1983), 134-135, 373-78.

⁷⁷ See Introduction, Note 48.

⁷⁸ On Beethoven's piano, the undamped sound would not have lasted beyond the slow changes in harmony.

In a recent article on Beethoven's "sonata quasi una fantasia," Peter Benary looks at the interpenetration of sonata and fantasy in op. 27.⁷⁹ He concludes that the two genres are not exclusive opposites, even as he demonstrates specific ways in which the two types interact both as concepts and as formal principles (e.g., in beginnings, tonal schemes, tempo sequence and motivic linkage). In my view, we cannot have it both ways—we cannot look at the interaction of divergent tendencies without acknowledging the identity of each of these definable categories: sonata and fantasy.

We have seen that the Choral Fantasy, op. 80 and the "Sonata quasi una fantasia" examples of op. 27 maintain a relationship with the sonata while the Fantasy, op. 77, is independent. Perhaps this is why the last named is rarely performed.⁸⁰

Musically, op. 77 is certainly characteristic of the composer, indeed the second motive introduced in the opening section is closely related to the first-movement theme of the Piano Sonata, op. 110.⁸¹ The opening section of the Fantasy

⁷⁹ Peter Benary, "Sonata quasi una fantasia: Zu Beethovens Op. 27," Musiktheorie II/2, 1987, 129-136

⁸⁰ A prominent New York City musician told me that he had heard a piece that he did not recognize on his car radio. Convinced it must be Beethoven, he wondered why he had never heard the work. The announcer then identified it as op. 77.

⁸¹ Ernest Hutcheson takes the opposite view: [The Polonaise in C, op. 89] is "neither good Beethoven nor a good polonaise. Nor is the Fantasia, op. 77 in Beethoven's best manner, though it throws some light on one type of his improvisations ... The logic of the key succession is hard to perceive, and the thematic material makes no pretense to cohesion. To be blunt, it is a disconcerting and disappointing work." Thus his criticism derives from a crucial generic aspect of the fantasy: the seemingly

is vividly fantastic. In its fifteen measures, *allegro*, *forte* scale passages alternate with *adagio*, *piano* lyrical motives. Within this section alone, there are eight fermatas, creating metric freedom that has more in common with the unbarred fantasies of C. P. E. Bach than with works in regularized meter. As I have suggested, these rhythmic interruptions constitute a hallmark of fantasy style as it continues into the late nineteenth century. If one thinks of this opening section as an introduction, the form evolves as follows:

Introduction - A - B - C - D - C - E

This is just the kind of chain form that is undervalued in the literature.⁸² In a fantasia, though, it is not just acceptable, but desirable. Evident even in a cursory outline of the juxtapositions of harmony and tempo, the work demonstrates the defining principles of the genre:

disorderly succession of themes and tonalities. The Literature of the Piano, 3rd ed., revised by Rudolph Ganz, (New York, 1977), 133.

⁸² As Carl Dahlhaus writes: "Musical form based on mere juxtaposition of sections arouses distrust leading to exaggerated criticism—form analysts tend to interpret the inappropriateness of their method as a deficiency of the object." Analysis and Value Judgement, trans. Siegmund Levarie (New York, 1983).

Figure 1-1: Beethoven Fantasy, op. 77, chain form linked to tonality and tempo

Introduction:	gm / fm / Db / F	Allegro / Poco Adagio
A:	Bb	Allegro, ma non troppo
link:	Eb / A, fermata	
B:	d minor	Allegro con brio
link:	A, Eb7, fermata	
C:	Ab, character of Introduction	Adagio
D:	tonal flux: F#7, a#dim7	Piu presto
C:	F#7	Adagio
E:	B / C / B, theme and 8 variations	Allegretto . Adagio

In addition to motivic and harmonic juxtapositions, a connection to fantasy techniques is seen in the theme and variations that comprise the closing section. Interruption functions strongly here. Between the seventh and eighth variations, five descending scale passages reminiscent of those in the introduction—in contrasting keys and separated by fermatas—connect to a restatement of the theme, now raised one half-step. Here the theme is perceived as an interruption since we expect another variation in its place. Returned a half-step lower to the original B Major, the culminating variation is followed by the descending scale motive. The piece ends with an *Adagio* version of the theme's first phrase, which is interrupted one last time by a rapid descending scale.

Thus we see that the Fantasy, op. 77 is clearly organized in a sectional form that is conditioned by interruption and variation, and cohered by linking areas that relate to the declamatory style of the opening section. The work is a good example for my main thesis: a flexible perspective reveals a cluster of specific processes that define the fantasy as a genre. Op. 77 certainly merits a place in the canon alongside those fantasies that display obvious connections to fixed genres. Op. 80 and Op. 27 demonstrate a closer relationship to the sonata, yet we have observed equally strong features of the fantasy in all of these works. Beethoven's idea of the fantasy cannot be narrowly restricted to a progression toward greater formal control.

Schubert: *Fantasia in C Major for Piano ("Wanderer")*, D. 760 (1822)
 Fantasia in C Major for Violin and Piano, D. 934 (1827)
 Fantasia in F Minor for Piano Four Hands, D. 940 (1828)

Like those of Beethoven, Schubert's contributions to the genre resist easy accommodation by a presumed drive toward conventional form. The creation of the double function sonata in the Fantasia in C Major (the "Wanderer") has prompted overgeneralization: critics tend to ignore the crucial role of the fantasy genre in all three of Schubert's large-scale fantasies, while at the same time supporting an overidentification with sonata techniques. One result of this view is the marginalization of the Violin Fantasy, which—like Beethoven's Fantasy, op. 77—is rarely performed. Both works lie outside the mold that some have created for the fantasy, that is, its being overtaken by established forms in the early nineteenth century. While he subscribes to this view regarding the genre as a whole, Patrick McCreless cogently describes formal ambiguity in the Violin Fantasy that proves

independent of sonata form: “At the very least, we can see Schubert trying his hand at an extended instrumental work that would be indebted neither to the model of the single-movement sonata form nor to the conventions of the four-movement sonata cycle.”⁸³ McCreless reassess the role of the song *Sei mir gegrüsst*, which Schubert recomposed for the theme and three variations that constitute the third movement of the fantasy.⁸⁴ McCreless convincingly shows that this song—ostensibly a contextual interruption—is subtly integrated throughout the whole work, contradicting the more conservative view of Arthur Godel.⁸⁵

McCreless’s argument is more convincing precisely because he attempts to place the work in the context of the genre. In contrast, Godel’s introductory words on the genre simply play into the presumption of established forms: from Beethoven on, fantasy is best characterized as the content that is circumscribed by sonata form. Like many writers, he claims that the interpenetration of fantasy and sonata elements precludes the establishment of a fantasy idea in the nineteenth century.

To support this premise, he takes a phrase of the 1830 review of the Wanderer Fantasy out of context: “the strangest form is bound to the greatest possible unity.”⁸⁶ Not cited by Godel, the opening of the review includes a depiction of the genre as

⁸³ Patrick McCreless, “A Candidate for the Canon? A New Look at Schubert’s *Fantasie in C Major for Violin and Piano*,” 19th-Century Music 20 (Spring 1997), 212.

⁸⁴ The use of variation as a guiding principle in the Schubert Fantasies is noted by Mei-Luan Chen in “The Variation Elements in the Piano Works of Franz Schubert,” D.M.A.diss. (University of Cincinnati, 1991).

⁸⁵ Arthur Godel, “Zur Eigengesetz der Schubertschen Fantasien,” Schubert-Kongress Wien 1978, ed. Otto Brusatti (Graz, 1979), 199-206.

⁸⁶ Godel, “Zur Eigengesetz der Schubertschen Fantasien,” 199.

music where an abundance of musical inventiveness is not subject to any such constraint of form and may, as it were, meander through the most delightful fields of musical art like a stream running in all directions... freed of all obstructions.⁸⁷

In effect, Godel takes a comment on one Schubert fantasy that is arguably a study in unity and extrapolates an assessment of the entire genre. In turn, this assessment supports his analysis of the three large Schubert fantasies as cyclic fantasy sonatas that rely on various modifications of the classical sonata cycle. The argument stumbles on Godel's acknowledgment that the three Schubert fantasies differ from a sonata in two ways: freer key structure, and variable sequence of themes and component parts. Can one establish a strong relationship to the sonata if the defining elements of sonata form are missing? Can we identify major differences from the sonata without acknowledging the independent role of form in the fantasy? By ignoring that role, too much attention is focused on other genres, and we lose sight of the fantasy.

In spite of the differences delineated by Godel, the Violin Fantasy remains a three-movement sonata cycle in his reading.⁸⁸ This conclusion serves his argument for the late works of Schubert as "the reconstruction of classicism," which, for Godel,

⁸⁷ Vienna Allgemeine Musikalische Zeitung, April 30, 1823. Translated by Eric Blom in The Schubert Reader: A Life of Franz Schubert in Letters and Documents (New York, 1947), 277.

⁸⁸ This reading calls to mind Joseph Kerman's celebrated words regarding a forced reading of sonata form in the second movement of Beethoven's String Quartet, op. 59, no. 3: "To speak of such a movement as a sonata form with irregularities is like calling a dog irregular when it grows long whiskers, washes its face, and miaows." Kerman, The Beethoven Quartets, (London, 1967), 150.

includes a move away from freedom and a return to conventional structure.⁸⁹ As McCreless has shown, the Violin Fantasy is not a sonata fantasy at all. His analysis includes the observation of development sections that are interspersed throughout the work, a feature that I have identified with the fantasy. He also unearths subtle motivic connections through which the song quotation integrates the entire work. While he does not make explicit the role of genre here, these hidden motivic connections are part of the tradition of concealment in the fantasy.

One of McCreless's objectives is to ascertain whether the work deserves its marginalized status. Though he finds that the whole piece turns on the variations, he doesn't connect the devaluation of variation and chain forms with reception. As I noted in the Introduction, the notion that concatenated forms are inferior to sonata forms has long dogged the fantasy.

In fact, McCreless nearly falls into the devaluation trap himself. He refers to the first movement of the Fantasy in F Minor as "a simple ternary form rather than a sonata exposition," and to the observation that the fantasy penetrated the sonata as "the idea of *Fantasie* extended its tentacles into other genres" (emphases mine).⁹⁰ Skepticism of the fantasy is embedded in the critical subconscious: it leaks out even as McCreless articulates a persuasive defense of this work.

As with the Violin Fantasy, I suggest that a picture of the Fantasy in C Major (the "Wanderer") is not complete if it minimizes the relationship between the work

⁸⁹ Godel, "Zur Eigengesetz der Schubertschen Fantasien," 204.

⁹⁰ McCreless, "A New Look at Schubert's *Fantasie* in C Major for Violin and Piano," 211 and 216.

and the fantasy tradition. As many have noted, the Wanderer Fantasy is celebrated for the creation of the double function sonata, one in which the harmonic trajectory of a single movement sonata form is protracted over a sequence of four interconnected movements, the movements themselves reflecting a conventional tempo sequence. This well-reported attribute does not spring from a vacuum. Precedents in the genre include Beethoven's Sonata 'quasi una fantasia' op. 27, no. 1, and, more strongly, his Choral Fantasy, op. 80. As we have noted, the latter encompasses a harmonic trajectory from C minor to C major over the course of its four interconnected movements.

It is easy to view the Wanderer Fantasy as the culmination of this structural process and to leave it at that. However, equal attention is merited by the fantasy tradition as articulated by Czerny, for whom Beethoven's op. 80 was the model of interconnected movements based on a single theme. In this context, each movement of the Wanderer demonstrates a strong affinity with the genre. In the first movement, three of Czerny's criteria for a successful fantasia are clearly demonstrated: the pervasive role of development; the importance of linking passages; and the creative use of an existing theme. In this case, the self-quotation of the song *Der Wanderer* is also crucial to the genre. It functions on two levels: an obvious continuation of the tradition of composing on an existing theme, and a more subtle connection to the emulation of vocal qualities that begins with the free fantasies of C. P. E. Bach and remains strong throughout the nineteenth century. The variation techniques of the second movement, the transformation of the theme in both meter and tempo in the third movement, and the fugue of the finale are all related to the fantasy tradition as

well. The fugue harks back to the prelude function of the fantasy—the three movements can be viewed as an extended prelude to the strict finale.

While differing greatly in structure, both the Violin Fantasy and the Wanderer are strongly rooted in Schubert's concept of the fantasy genre. Their shared reliance on an existing song sets them apart from Schubert's last effort in the genre, the Fantasy in F Minor for piano duet. In William Kinderman's analysis, the structural basis for this work is "the controlled juxtaposition of strongly contrasting themes."⁹¹ While he does not address the role of genre, Kinderman describes abrupt interruptions that are consistent with those of the fantasy tradition.

For Kinderman, the lyrical first theme represents an illusion which is shattered by the sudden juxtaposition of the dramatic theme. His recognition of the striking power of this work seems more trenchant than McCreless's view that the work represents the "replacing of dynamic forms with lyrical ones."⁹² Instead, Kinderman finds that the thematic juxtapositions progress steadily toward the end, and "this dual perspective reaches its culmination only in the final bars."⁹³ He suggests that the drama of the work must result from a "latent symbolism," as in *Winterreise*. In the F Minor Fantasy, "the expressive content of the wanderer's tragic journey is transformed, as it were, into a purely musical structure, absorbed into the sphere of

⁹¹ William Kinderman, "Schubert's Tragic Perspective," Schubert: Critical and Analytical Studies, ed. Walter Frisch (Lincoln and London, 1986), 75.

⁹² McCreless, "A New Look at Schubert's *Fantasie in C Major for Violin and Piano*," 216.

⁹³ Kinderman, "Schubert's Tragic Perspective," 78.

instrumental music.”⁹⁴ As we have noted, this notion of concealed meaning is central to the genre.

In sum, the three large Schubert fantasies engage the main approaches that we have traced in the genre: the Wanderer and the F Minor Fantasy demonstrate a clear relationship to established forms, particularly to the double function sonata; while the Violin Fantasy represents the search for new forms, particularly in the formal ambiguities articulated by McCreless. All three reflect Schubert’s concept of the fantasy, evidenced in the focus on mixed genre, the pervasive role of development, the use of variation, the reliance on an existing theme and the implication of concealed meaning. Yet, as we have seen, some commentators still prefer to view these fantasies as monolithic support for the notion that Schubert, like all nineteenth-century composers, simply used the title for conventional works in sonata form.

Schumann: *Fantasie, op. 17* (1838)
Symphonische Phantasie für grosses Orchester (1841)

In the above discussions, we see that form becomes an increasingly central issue as critics try to come to terms with the relationship between fantasy and sonata as both form and genre in the nineteenth century. In no single work has this attempt played itself out more clearly than in the flurry of writing on the first movement of Schumann’s Fantasie, op. 17, for solo piano.

Significantly, recent discussions turn (and some fall) on the function of the central area which Schumann marked ‘Im Legendenton.’ Charles Rosen sees it as a

⁹⁴ Kinderman, “Schubert’s Tragic Perspective,” 82.

simultaneous central section of a ternary form and development section of a sonata form.⁹⁵ For Linda Roesner, it is a self-contained section between the parallel areas formed by exposition/development and recapitulation/development. Here it constitutes “a further interruption of the tonal ‘plot.’”⁹⁶

For John Daverio too, ‘Im Legendenton’ is an interruption, but one that interrupts his recapitulation. Roesner is more convincing since her model of ‘parallel form’ is able to accommodate the repeated developmental areas. In contrast, Daverio’s view forces his corollary that there is no “true development,”⁹⁷ minimizing a major aspect of both the work and the fantasy as a genre: the prevalence of development. We encounter once again the struggle to reconcile a generic attribute of the fantasy with a functional sonata reading.

These very different interpretations emerge from a shared, implicit assumption: the *Fantasie*, op. 17 is best approached in the context of sonata form, even if that approach forces the analyst to explain away difference. Yet, in his comprehensive survey of Schumann’s sonata forms, Joel Lester concludes that “in just about every way, [the *Fantasie*, op. 17] stands apart from Schumann’s sonata-

⁹⁵ Charles Rosen, *The Romantic Generation* (Cambridge, Mass, 1995), 108.

⁹⁶ Linda Correll Roesner, “Schumann’s ‘Parallel’ Forms,” *19th-Century Music* 14 (1991), 275.

⁹⁷ John Daverio, “Schumann’s ‘Im Legendenton’ and Friedrich Schlegel’s *Arabesque*,” *19th-Century Music* 11 (1987), 161. In ignoring both developmental areas identified by Roesner, Daverio falls into the same trap as does Jackson, discussed on page 55 of this chapter. Both writers paint themselves into a corner where they must minimize wholesale repetition of developmental areas in order to maximize the relevance of sonata form.

form practices.”⁹⁸ He pinpoints a crucial distinction: “Although Schumann wrote sonata movements with interruptions akin to the ‘Im Legendenton’ section of the Fantasie, no other movement has such an extensive interruption.”⁹⁹

Interruption is also pivotal to Berthold Hoeckner’s recent discussion of ‘romantic distance’ in this work.¹⁰⁰ He explores new intertextual relationships to the Beethoven song cycle *An die ferne Geliebte* and to Clara Schumann’s Romance variée, op. 3. As he unveils the work’s “secretly intertextual tone,” Hoeckner adds a new perspective on the ‘Im Legendenton’ section: it is “not the disrupting narration but the narration disrupted.”¹⁰¹ This conclusion stems from Schumann’s original name for this section — ‘Romanza’—which supports the idea that Clara’s Romance variée was indeed a model for the section. For Hoeckner, it becomes clear only in the coda “that both ‘Im Legendenton’ and the movement it disrupts grew out of improvisation, which itself grew out of song.”¹⁰² Though Hoeckner does not articulate their relationship to genre, he highlights crucial factors: interruption, improvisation and song. In adding new motivic connections to the quotations and

⁹⁸ Joel Lester, “Robert Schumann and Sonata Forms,” 19th-Century Music 18 (1995), 209.

⁹⁹ Lester, “Robert Schumann and Sonata Forms,” 209. Lester stops short of concluding that the work is not in sonata form, instead he persuasively argues for a rethinking of Schumann’s use of sonata form in the context of his style.

¹⁰⁰ Berthold Hoeckner, “Schumann and Romantic Distance,” Journal of the American Musicological Society 50 (1997), 55-132.

¹⁰¹ Hoeckner, “Schumann and Romantic Distance,” 124.

¹⁰² Hoeckner, “Schumann and Romantic Distance,” 124. The song reference is to the widely celebrated connection between the work and Beethoven’s song cycle “An die

allusions already explored in the literature, he deepens the relationship of this work to the quality of mystery that is another component of the fantasy cluster.

While they differ regarding structural details, Daverio and Roesner share with Lester and Hoeckner an emphasis on the role of interruption in the middle section. What they do not make explicit is its effect on the form of the work. Thus these analyses bring us to the brink of my thesis: the fantasy is best evaluated in the context of the genre, in which I have found that the role of interruption is primary. ‘Im Legendenton’ embodies both types of interruption—it is a huge contextual interruption of the movement, and it is a constitutive interruption due to its motivic connection to the entire work. Thus the section that has generated the greatest controversy regarding formal procedure demonstrates allegiances to neither sonata form nor the sonata genre, but to the fantasy as both form and genre.

Because it fully considers genre, the most satisfying reading of the first movement to date is that of Nicholas Marston.¹⁰³ Significantly, he first asks, “is it a sonata in fantasy’s clothing, or the reverse?”¹⁰⁴ Though he doesn’t make this explicit, Marston’s analysis provides the answer: it is really a fantasy in fantasy’s clothing, for which, as he concludes, the model of sonata form is inadequate. To facilitate a comparison of the recent readings, Figure 1-2 includes Marston’s analysis alongside those that remain tied to sonata form:

ferne Geliebte.” The distant beloved is of course Clara, separated from Robert by her father during the composition of the Fantasie.

¹⁰³ Nicholas Marston, Schumann: Fantasie, op. 17 (Cambridge, 1992).

¹⁰⁴ Marston, Schumann: Fantasie, op. 17, 26.

Figure 1-2: Schumann, *Fantasie*, op. 17. four analyses of the first movement showing increasing distance from sonata form

Rosen:

“exposition”	development/B section of ABA	“recapitulation”
mm. 1-128	129-224	225-309

Daverio:

Exposition	False Development	Recap (part 1)	Digression <i>Im Legendenton</i>	Recap (part 2)
mm. 1-81	82-96	97-128	129-224	225-309

Roesner:

Pre-Exposition (unnamed)	Exp.	Dev.	(unnamed)	<i>Im Legendenton</i>	Recap	(Exp. Dev.)	Adagio
1-28	29-81	82-112	113-128	129-224	225-295	295-309	

Marston:

Section 1: 1-128 (ternary)	Section 2: 129-224 (“rondo-like” <i>Im Legendenton</i>)	Section 3: 225-309 essentially a recap of Section I
A trans. B trans. A Intro A1 B A2 C A3 Coda		
1-28 28-41 41-81 82-97 97-128 129 133 136 173 181 204 216		

The most compelling of the four, Marston’s account eliminates the need for such inventions as a “false development” (Daverio) or a “pre-exposition” (Roesner); for areas of unspecified function (Roesner); and for the enclosure of functional areas in quotation marks as if to simultaneously embrace and distance the relationship to

sonata form (Rosen).¹⁰⁵ Marston stops short of considering a single large-scale form for the movement, preferring a mixture of forms that are represented in self-contained sections. Thus the *Im Legendenton* is now “regarded as a section in its own right rather than as part of some larger formal unit beneath the level of the complete movement.”¹⁰⁶ In my view, the work as a whole is not well served by stopping at individual sectional analysis. After all, Marston himself contributes to the existing body of evidence for a high level of thematic unity both within and between movements.¹⁰⁷ Why not go ahead and call the movement tripartite, the middle section of which is a self-contained episode that functions as an interruption?¹⁰⁸

Many writers justify a continued allegiance to sonata form in this work with a partial reference to title changes, one of which was ‘sonata.’ For instance, Charles Rosen implies that ‘sonata’ was Schumann’s first choice: “A sonata exposition, which the Phantasie mimics (and it was originally to be called a grand sonata). . . .”¹⁰⁹ However, before the three-movement version was complete, the one-movement work was initially called *Fantaisie*. Thus, amid the plethora of titles outlined by

¹⁰⁵ To these rather forced terms, we can add Jeffrey Michael Jamner’s “alternative sonata form.” “Robert Schumann’s *Fantaisie* in C Major, opus 17: a Historical and Analytical Study,” D.M.A.diss., (Manhattan School of Music, 1996), 164.

¹⁰⁶ Marston, *Schumann: Fantaisie, op. 17*, 50.

¹⁰⁷ Marston, *Schumann: Fantaisie, op. 17*, Chapter 5: “Schlegel’s *leiser Ton* and thematic unity in the *Fantaisie*,” 61-75

¹⁰⁸ The change in key, meter and tempo is not unlike the change noted earlier in the C. P. E. Bach *Fantasy in D Minor*, H. 75. In Chapter Six, we will see a similar use of episode as interruption in Tchaikovsky’s *Francesca da Rimini*.

¹⁰⁹ Rosen, *The Romantic Generation*, 108. Likewise, as noted on page 42 of this chapter, Willi Kahl mentions only the change from sonata to fantasy.

Marston,¹¹⁰ those that use ‘fantasy’ and ‘sonata’ began with fantasy, changed to sonata and changed back to fantasy. In my view, this evidence should not be underestimated.

A similar situation exists for Schumann’s Fourth Symphony: the first version was called Symphonische Phantasie für grosses Orchester (1841). Schumann’s concept of the genre is illuminated by a brief look at the reception of this work, and at the revised version of 1851, now called ‘symphony.’ The dismal reception of the first version, called Symphonische Phantasie, drove the composer to put it aside for a decade.

To use a term from Jeffrey Kallberg’s study of the nocturne, it was a breakdown in the “generic contract” that caused the work to fail.¹¹¹ Critics and audience heard the piece through the filter of the symphony. A criticism levelled by Brockhaus (Leipziger Allgemeine Zeitung) was that the work was performed “without the till now customary pauses between individual movements.”¹¹² Brockhaus imposed the generic expectations of the symphony onto the work. But Schumann wrote a fantasy, not a symphony. He knew the difference. In his review of Berlioz’s Symphonie fantastique, Schumann wrote “we apply certain criteria to a ‘fantasy,’ others to a ‘sonata.’ With second-rate talents it

¹¹⁰ Marston, Schumann: Fantasie, op. 17, 23.

¹¹¹ Jeffrey Kallberg, “Understanding Genre: A Reinterpretation of the Early Piano Nocturne,” Atti del XIV congresso della Società Internazionale di Musicologia, Bologna, 1987: Trasmissione e recezione delle forme di cultura musicale (Torino: Edizione di Torino, 1990) III: 775-779.

¹¹² The review is cited in Marc Andrae’s “Die vierte Symphonie Robert Schumanns, ihre Fassungen, ihre Interpretationsprobleme,” Robert Schumann—ein romantische Erbe in neuer Forschung, (Mainz, 1984), 35.

suffices that they abide by the traditional forms. With first-rate talents we acknowledge their right to extend them. Only the genius may fly free.”¹¹³

Schumann wrote a fantasy with symphonic qualities—the mode was *fantasy* and the kind was *symphonic*—but critics did not permit success with a *symphonic fantasy*. His publisher even refused the work. And since he bowed to negative opinion, apparently Schumann was less confident in his own freedom to extend forms than in the right of Berlioz to do the same.

Noting the influence of cyclical procedures in Beethoven’s Fifth Symphony on the cyclic structure of Schumann’s Fourth, Mark Evan Bonds concludes that the decision to call the revised version a symphony (1851) “reflects [Schumann’s] renewed confidence in the work to stand up to the symphonic tradition.”¹¹⁴ While Bonds credits such cyclic precedents as the Wanderer Fantasy, he minimizes the implications of the change in title.

In my view, comparison of the fantasy and symphony versions yields differences that reflect Schumann’s concept of the genre. He changed the very features that justified the original title. For example, in the first movement and in the finale, the 1851 version imposes a repeat of the exposition. It takes away the tempo change to “*animato*” at the

¹¹³ “...wir machen andere Ansprüche an eine ‘Phantasie’, andere an eine ‘Sonate.’ Bei Talenten zweiten Ranges genügt es, dass sie die hergebrachte Form beherrschen: bei denen ersten Ranges billigen wir, dass sie sie erweitern. Nur das Genie darf frei gebaren.” Robert Schumann, Gesammelte Schriften über Musik und Musiker, (Leipzig, 1891), I, 133. Translated by Henry Pleasants in The Musical World of Robert Schumann, (New York, 1965), 81.

¹¹⁴ Mark Evan Bonds, After Beethoven: Imperatives of Originality in the Symphony (Cambridge, Mass., 1996), 136.

second theme of the first movement, and it removes the *ritardando sempre* that aided the merge from the third movement to the slow opening of the finale. This version is also weighed down by heavy doublings. The compulsion to literally add weight to the symphony, coupled with the conventional repeat of the exposition in the outer movements is a clue to the true source of Schumann's confidence in the 1851 version: it had a better chance to succeed if the fantasy elements were suppressed. Perhaps the cyclic connection over four movements—noted by Bonds and others—was as far as Schumann was willing to go without jeopardizing reception a second time. Not until the symphonic poems of Liszt had made their mark could composers succeed with symphonic fantasias.¹¹⁵ In its suppression of the fantasy though, Schumann's symphony lost its lightness.¹¹⁶ In fact, Clara Schumann's desire to publish the revised version caused a major falling-out with Brahms, who compared the second version to a clumsy, awkward dress that impedes graceful movement.¹¹⁷ The first version is an important antecedent of the symphonic poem and the orchestral fantasy.

¹¹⁵ In "The Decline of Romanticism: End of the Century, Turn of the Century" Benno Szabolsci likened symphonic poem and fantasia as representatives of the new in music. "[A] symphonic poem, an orchestral picture, suite or fantasia, using allusion[s] that were beyond music, could much more readily permit themselves the liberty of being more startling and bold in their language and means of expression, for Liszt had already shown such examples." *Studia musicologica* 12 (1970), 277.

¹¹⁶ Recordings of the 1851 revision are ponderous in comparison to that of the 1841 version recently released by Kurt Masur with the London Philharmonic Orchestra, Teldec 2292-46445-2, 1990.

¹¹⁷ The letter from Johannes Brahms to Clara Schumann (December 1889) is cited by Marc Andrae in "Die vierte Symphonie Robert Schumanns, ihre Fassungen, ihre Interpretationsprobleme," 36.

In sum, both the Fantasie, op. 17 (1838), and the Symphonische Phantasie für grosses Orchester (1841) represent Schumann's interpretation of the received concept of the fantasy. In the former, he expands the keyboard fantasy from a one-movement to a three-movement keyboard work that functions independently of sonata form while emphasizing generic elements of the fantasy: interruption, personal expression, hidden meaning, and connection to vocal music. In the latter, the fantasy is expanded to the symphonic medium, where it will play a large role in the later nineteenth century.

Chopin: *Fantasy, op. 49* (1841)
 Polonaise-Fantasy, op. 61 (1846)

Like Schumann, Chopin is often censured for a presumed inability to handle large forms. In both cases, the problem lies more in our need to impose existing form than in a deficiency on the part of the composer. For instance, with the notable exception of Carl Schachter's analysis, the Fantasy, op. 49 is often viewed in the framework of sonata form, even though it is clearly within the fantasy tradition. The last segment of the introduction—which returns to articulate the three main structural areas—imitates the preluding gestures that we have observed in descriptions of the fantasy by Czerny and Fétis.

The importance of thematic integration to Czerny's "successful fantasia" is reflected in two features of op. 49: the preluding gesture becomes the link between each of the main sections of the work, and the *Adagio* theme of the middle section is

recalled briefly in the coda.¹¹⁸ The work opens with a march that is not unlike a funeral march, engaging the association of lament and fantasy.

While the sectional construction of the Fantasy is undisputed, recent analyses disagree on the formal function of these sections and of the work as a whole. For Jim Samson, it is clearly grounded in sonata form:

The binding agents are on the one hand a sonata-form framework and on the other a firmly grounded, albeit directional, tonal structure. Chopin undoubtedly composed the work against a sonata-form background, though its dialogue with that background is rather free.¹¹⁹

In my view, the section that Samson calls the development presents the greatest clash with a sonata framework. The problem is twofold: first, development in this work is too pervasive to be confined to a section, as seen in Schachter's reference to each of the three large sections as "developmental phases."¹²⁰ And second, the area that Samson calls a development is tonally stable.¹²¹ Again we see a

¹¹⁸ Jim Samson disregards the importance of cyclic construction to the fantasy tradition when he writes that, in the prelude, impromptu and fantasy, Chopin's "concern for integration within the work and within the cycle spelled out his rejection of the genre titles' obvious connotations." "Chopin's Alternatives to Monotony," Kindermann and Harold Krebs, eds. The Second Practice of Nineteenth-Century Tonality (University of Nebraska Press, 1996), 36.

¹¹⁹ Jim Samson, "Extended Forms: the Ballades, Scherzos and Fantasies," The Cambridge Companion to Chopin (Cambridge, 1992), 121. In acknowledging a free dialogue with sonata form, Samson takes us further than the very prescriptive view put forth by Alan Walker: "As its title does not imply, it is a full-fledged sonata movement." Walker, "Chopin and Musical Structure," Frederic Chopin, ed. Alan Walker (New York, 1967), 234.

¹²⁰ Carl Schachter, "Chopin's Fantasy op. 49: the Two-Key Scheme," Chopin Studies, ed. Jim Samson (Cambridge, 1988), 227.

¹²¹ Both commentators agree on tonal stability in this section: Samson identifies Eb as "the controlling tonality for the development section" and Schachter finds that "the second, incomplete cycle and the Lento sostenuto section that follows it remain . . . in

that a sonata form interpretation stumbles on a primary feature of the fantasy—the role of development.

While Samson recognizes that Chopin “allows the influence of improvisation to loosen and stretch a sonata-form archetype,” he does not specify how this takes place.¹²² More important, his valuable assessment of the influence of improvisation stops short of the connection between improvisation and the fantasy tradition.

Alternatively, Carl Schachter’s reading is a compelling union of genre study and Schenkerian analysis that avoids any reference to sonata components. The “developmental phases” are identified as a series of three cycles, which correspond to Samson’s exposition, development and recapitulation:

Figure 1-3: Chopin’s *Fantasy*, op. 49, two analyses showing conflicting views of the role of sonata form

Samson:							
Introduction	Exposition		Development		Recapitulation		
March and Prelude							
mm. 1-67	68-154		155-234		<u>235-332</u>		
Schachter:							
Introduction	1 st cycle	Trans.	2 nd cycle	Lento	Trans.	3 rd cycle	coda
March and Transition			(abridged)				
mm. 1-67	68-142	143-54	155-198	199-222	223-234	235-310	310-332

the domain of the Eb harmony.” Samson, “Extended Forms,” 121-122; Schachter, “Chopin’s *Fantasy* op. 49,” 223.

¹²² Samson, “Extended Forms,” 121.

Samson's adherence to the "sonata-form framework" as a "binding agent"¹²³ obscures the important connections that he makes with improvisation. Instead of a sonata model, the true binding material of this Fantasy is the area identified as prelude (Samson) and transition (Schachter). Samson is justified in calling this area a prelude, since it embodies improvisatory, preluding gestures, but his sonata frame does not permit the importance of this area to be visible throughout the work. Though its connection to genre is not made explicit in Schachter's reading, the use of this prelude/transition between each of the three cycles is essential to the genre as outlined by Czerny. In emphasizing the blurring of boundaries crossed by these transitions, Schachter's interpretation fully integrates the genre with Chopin's compositional style:

Avoiding strong cadences and closed form sections is a traditional trait of the fantasy as a genre: overlapping phrases to create continuity is a hallmark of Chopin's style; but surely this piece represents an extreme instance of these tendencies (perhaps *the* extreme instance) both in the tradition of the genre and in the composer's output.¹²⁴

Thus we see that the Fantasy, op. 49 is emblematic of the formal procedures of the genre, yet some commentators still hold an allegiance to sonata form.

Regarding the Polonaise-Fantasy, op. 61, dependence on sonata form is more common in older writings, while recent critics focus on other formal processes. Samson's view of a large ternary form is certainly warranted. As he and Jeffrey Kallberg have noted, Chopin again blurs the formal outlines, often by means of

¹²³ Samson, "Extended Forms," 121.

¹²⁴ Schachter, "Chopin's Fantasy op. 49," 237. Note Schachter's willingness to speak of the fantasy as a genre associated with specific formal procedures.

interruption. For example, the slow central section is interrupted by part of the introduction, which itself is interrupted by a reference to the middle segment of the slow section.¹²⁵

Like that of Schumann's *Fantasie*, op. 17, the hybrid title, *Polonaise-Fantasy* was not easily chosen by Chopin. The indecision of Chopin and others regarding title stems from the fact that the fantasy exists on the margins of genres that are more fixed, and its often unconventional form invites a new name.

Chopin apparently struggled to name op. 61, and he used almost the same words as did Smetana, who twenty years later wrote about his orchestral fantasy, *Richard III*: this is "neither overture nor symphony, in short something that awaits a name."¹²⁶ Similarly, in a letter of 1845, Chopin refers to a number of completed compositions and then to "something else that I do not know how to name."¹²⁷ Jeffrey Kallberg identifies this "something else" as the *Polonaise-Fantasy*. In establishing the generic context for the work, Kallberg notes that Chopin also considered the title *fantasy* for another composition, the *Polonaise*, op. 44. Kallberg suggests that the work did not diverge widely enough from Chopin's polonaise practice to justify his calling it a fantasy.

¹²⁵ We have seen a similar interruption-within-interruption in the Beethoven *Fantasy*, op. 77. This phenomenon will play a large role in Busoni's concept of the fantasy, especially evidenced in the *Fantasia nach Bach* (1909). See Chapter Eight.

¹²⁶ See the full citation on page 15 of the Introduction.

¹²⁷ Letter of December 12-26, 1845. Translated by Jeffrey Kallberg in "Chopin's Last Style," *Journal of the American Musicological Society* 38/2 (1985), 267.

For Kallberg, op. 61 bears greater similarity to the *Fantasy*, op. 49 (Chopin's only other fantasy on original themes) than does the *Polonaise*, op. 44.¹²⁸ Both op. 61 and op. 49 begin with an introduction that supplies motives which are used later in the work, and both incorporate a contrasting thematic unit in B major at their midpoints.

To Kallberg, this means that the main attributes of the genre are present in op. 61: the slow introduction and the sudden entrance of the slow central theme are the "most arresting features of the fantasy."¹²⁹ While he overemphasizes the importance of these two features to the genre, this notion supports Kallberg's discovery that these two areas were almost completely sketched when Chopin first began to notate the piece.

While Kallberg views op. 61 in ternary form, he still relies on terms that relate to the sonata: the outer sections represent "Romantic reinterpretations" of an exposition and reprise despite his grievance that "Although the *Polonaise-Fantasy* has often been interpreted as a hybrid genre, it has—surprisingly—yet to be viewed simply as an alloy of the two genres in its title."¹³⁰ His complaint regarding the analysis by Hugo Leichtentritt is weakened by its resemblance to his own

¹²⁸ Besides op. 49 and op. 61, Chopin named only one other work a fantasy: the *Fantasy on Polish National Airs*, op. 13, a fantasy on existing themes. As Kallberg notes, the work popularized as *Fantasy-Impromptu*, op. 66 was published posthumously and its autograph manuscript is untitled.

¹²⁹ Kallberg, "Chopin's Last Style," 273.

¹³⁰ Kallberg, "Chopin's Last Style," 274, Note 21.

interpretation: “Leichtentritt described the work as a fantasy with some elements of the polonaise laced in, with the whole shaped into a kind of sonata design.”¹³¹

An interesting result of sketch studies by both Samson and Kallberg is the discovery that the piece originated as more of a fantasy than a polonaise: the original did not use the polonaise rhythm at all; it was added in subsequent versions. Kallberg also traces changes in the later sketches that produced increasingly blurred distinctions between sections, another hallmark of both the tradition and the composer as noted by Schachter in his discussion of the *Fantasy*, op. 49. For Kallberg, the slow section is both a middle section of a ternary form and an interruption of the whole. Samson also sees interruption as a major feature: “While a large ternary design was clearly the starting point and remains a perceptible background, the foreground highlights processes of interruption, discontinuity and asymmetry.”¹³² The use of a slow, songful middle section that functions as an interruption has models in the *Im Legendenton* of Schumann’s op. 17 and in the contrasting lyrical sections of C. P. E. Bach’s free fantasies. In his two major efforts in the genre, then, Chopin created independent forms that are conditioned by interruption and unified by connecting material and recurrent themes. As both form and genre, they are fantasies.

¹³¹ Kallberg, “Chopin’s Last Style,” 274, Note 21.

¹³² Samson, “Extended Forms,” 123.

Liszt: *Après une lecture de Dante, Fantasia quasi sonata* (1837, rev. 1849)¹³³

The problem of form in both this instance and in the history of the genre is encapsulated in the common abbreviation of the work's full title, *Après une lecture de Dante, Fantasia quasi sonata*. Most discussions of this work refer to the "Dante Sonata," a tag in no way denoted by Liszt's title. For convenience, it would certainly make sense to shorten the cumbersome title to "Dante Fantasia," giving preference to the kind rather than to the mode. I have encountered this abbreviation only once, in the work of William Lipke: "The abbreviated title *Dante Fantasia* is used in favor of the more common *Dante Sonata* because the phrase "fantasia quasi sonata" indicates that the work is a fantasia in the style of a sonata and not vice versa."¹³⁴ Despite this usage, Lipke still favors a sonata form interpretation. For Charles Rosen, the seemingly innocuous reversal of emphasis in the abbreviation supports his presumption that Liszt intended to write a Classical sonata: "Liszt largely ignored the Classical sonata except for the eccentric and splendid experiments of the *Piano Sonata*, the '*Dante*' *Sonata*, and the '*Faust*' *Symphony*."¹³⁵ Dahlhaus uses the same abbreviation: "Liszt's *Après une lecture de Dante*, or '*Dante Sonata*' . . . is a 'fantasia quasi sonata' based on three themes, which we might label introductory theme, main

¹³³ Many editions repeat the grammatical error in the title on Liszt's manuscript ("du Dante"); I cite the title as it appears in Hugo's poem of the same name. Other than this work, Liszt's use of the genre centers on the opera fantasy and on works related to themes of Bach. These are treated in the subsection, "Fantasies on Existing Themes: Central Figures—Liszt and Busoni," in Chapter Two.

¹³⁴ William A. Lipke, "Liszt's Dante Fantasia: An Historical and Musical Study," D.M.A. diss. (University of Cincinnati, 1990), 2.

¹³⁵ Charles Rosen, *The Romantic Generation* (Cambridge, Mass., 1995), 706.

theme, and secondary theme.”¹³⁶ In my view, the tag “Dante Sonata” turns the customary relationship between kind and mode on its head by favoring mode (in this case, *quasi sonata*) over kind (*fantasia*).

Not only does this emphasis on the sonata contradict Liszt’s final choice of title, but it is at odds with the four earlier designations for the piece.¹³⁷ The title under which the first version was performed, *Fragment dantesque* is devoid of all reference to the sonata. Instead it emphasizes the connection to both the literary source and to a literary type, the fragment. In his gloss on Schlegel’s definition of this type (1798), Rosen writes: “Its form is well defined and yet blurred at the edges . . . The Romantic fragment is a closed structure, but its closure is a formality . . . the form is not fixed but is torn apart or exploded by paradox, by ambiguity.”¹³⁸ Surely Liszt was aware of these kinds of connotations, which resonate strongly with the aesthetic of the fantasy.

Liszt’s next two ideas are more explicit regarding genre: *Paralipomènes à la Divina commedia*, *Fantaisie symphonique pour piano* and *Prolegomènes à la Divina commedia*, *Fantaisie symphonique pour piano*. In these choices, the initial Greek terms refer to a supplement and a prologue, respectively. As in the *Fragment*, Liszt implies an incomplete part, but now it is one that amplifies the literary work. At this point in his thinking, *Fantasy* is the explicit kind and *symphonique*, the mode. The

¹³⁶ Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson, (Berkeley, 1989), 135.

¹³⁷ I am indebted to Lipke’s outline of the series of title changes in “Liszt’s Dante Fantasia,” 71ff.

latter is somewhat ambiguous, having both sonic and formal implications:

symphonique may refer to the often-noted orchestral effects produced by tremolos and repeated chords, and to symphonic construction, which in 1839 is closely tied to sonata form.

With Liszt's fourth choice, the literary and musical components are reversed and the genre assumes the primary position: *Fantasia quasi sonate (Prolegomènes zu Dantes Göttlicher Comödie)*. As in the previous two, kind and mode are clearly drawn, but, the use of *quasi* raises new questions. Does it denote—"après," "in the style of?" Is it more prescriptive—"as if?" Or, most likely, is it an allusion to the hybrid form of Beethoven's op. 27, *Sonata quasi una fantasia* (1800-1801)? It is significant that Liszt (who often programmed the Beethoven examples) reversed the order in Beethoven's compound title, making *fantasy* the kind. Another influence was surely Schubert's Wanderer Fantasy (1822), which Liszt performed frequently, both in its original version and in his arrangement for piano and orchestra. As we have seen, this work maintains a closer relationship to sonata form than does Schumann's Fantasie, op. 17, which was completed and dedicated to Liszt one year before the first version of the *Dante Fantasia*. Like the Schumann example, Liszt's is a true fantasia.

In his final choice—*Après une lecture de Dante, Fantasia quasi sonata*—the importance of the literary source is reasserted, and the relationship of kind and mode are maintained. In this early stage of championing program music (the symphonic

¹³⁸ Rosen, "The Fragment as Romantic Form," The Romantic Generation, 50-51.

poems were still over a decade away), one wonders if Liszt attempted to mollify absolutist critics by relying on the imprimatur of the sonata, albeit reduced to the role of mode. For example, an early review of the *Fantasia* (still called *Fragment dantesque*) was couched in terms of a reaction against program music:

To me music is an independent text, not an annotation in the margin of a program. I will not swear allegiance to the banner of this school until they have justified their originality—which is not only a mere deviation from the forms but also from the very principle of art—with masterpieces which create a new law of art . . . Thus originates the grandiose construction of this so-called fragment, which is essentially [like] a piece for orchestra with piano effects; through rich and original modulations in the development and transformation of the eloquent main subject it demonstrates advances in which lie a whole future.¹³⁹

Since it equates traditional form with aesthetic value, such a response could have prompted Liszt's decision to add "quasi sonata" to the title. Perhaps to minimize its role, however, he did not use the article, "una," which would directly parallel Beethoven's "quasi una fantasia." Instead, he implied a more general relationship to the sonata, from which we should not necessarily infer a specific formal analogy.

What is the formal scheme? For Dahlhaus, it is "at once a single sonata movement and multimovement cycle,"¹⁴⁰ a finding that supports his abbreviation of the title, *Dante Sonata*. At the same time, he concludes that the thematic motives "prove problematical as a basis for a large-scale sonata."¹⁴¹ In my view, by using the

¹³⁹ Review of February 25, 1840 by Karl Tausenau in the *Allgemeine Theaterzeitung*. Reprinted in Dezső Legány, *Franz Liszt: unbekannte Presse und Briefe aus Wien 1822-1886* (Budapest, 1984). Translated by Lipke in "Liszt's Dante Fantasia," 69.

¹⁴⁰ Dahlhaus, *Nineteenth-Century Music*, 135. This description matches that of the double-function sonata seen in Schubert's *Wanderer Fantasy*.

¹⁴¹ Dahlhaus, *Nineteenth-Century Music*, 136.

standard of the sonata, Dahlhaus contradicts his claim that chain forms are often judged deficient because they are held to an unsuitable model.¹⁴² Similarly, in favoring sonata form over a chain-like interpretation, Lipke undermines a reading of this work as a fantasia: “If heard simply as a fantasia, the form of the *Dante Fantasia* seems to consist of a rhapsodic arrangement of three primary themes and several episodes.”¹⁴³ To support the implicit elevation of the work to the level of a work in sonata form, Dahlhaus interprets the technique of virtuoso variation as the solution to formal looseness. In so doing, he creates a hierarchy in which *fantasia* simply constitutes the surface of a deeper *sonata* structure. To insist on the supremacy of the sonata in the *Dante Fantasia* is to ignore the role of the fantasy in Liszt’s series of title changes, and more important, its role in the work.

Formal procedures in the *Dante Fantasia* are directly related to the cluster of techniques in the fantasy tradition, particularly those codified by Czerny.¹⁴⁴ The features that Liszt demonstrates most clearly are the primary role of connecting material and the cyclic transformation of themes through varied keys, tempi and rhythms. Readings of this work as a sonata ignore the recurring versions of the introductory idea. For example, these areas are absent from Dahlhaus’s sonata form

¹⁴² See Note 82, page 71.

¹⁴³ Lipke, “Liszt’s Dante Fantasia,” 80.

¹⁴⁴ Zsuzsa Domokos has studied the influence on Liszt of the Viennese *brilliant* school, itself created out of Czerny’s systematization of the forms and rules of improvisation. Both Liszt’s early and later fantasias are shown to be rooted in that school. “Czerny hatása Lisztre: A fantáziálás művészete” [Czerny’s Influence on Liszt: The Art of Fantasy], *Magyar zene* XXXIII/1 (1992), 70-96. (RILM 3760, 1992.)

interpretation: “introduction, first theme and second theme in presto and andante version, the first theme *scherzando*, a development section combining all the themes, a varied recapitulation, and a *stretta* finale.”¹⁴⁵ Lipke’s sonata reading is equally unsatisfying. In Figure 1-4, I propose a reading that reflects the fantasy genre. Like the prelude/transition noted in the above discussion of Chopin’s *Fantasy*, op. 49, the introductory idea functions as essential connecting material. It returns first as a link to the *Andante (quasi improvisato)* transformation; then in combination with the two other themes in the middle section; again when its rhythm is transformed to accompany the culminating version of the first theme; and finally, as a closing frame for the work. In this way, the fantasy tradition maintains a strong presence:

Figure 1-4: chain form of the *Dante Fantasia*, showing primary role of introductory idea as connecting material (I=introductory idea; e=episode)

I	A	B	I/e	B	I/e	B	A	B	B/I	e	I
m.1	35	103	115	136	157	253	276	293	310	331	370

Thus we see that the *Dante Fantasia* epitomizes the struggle of both the composer and the genre: Liszt presented himself as the creator of new forms, but he was often ridiculed as either offering a formless alternative or simply disguising old forms. We have discerned a similar critical response in the preceding sketch of representative works from C. P. E. Bach through Liszt: with rare exceptions, scholars continue to restrict the fantasy genre to established forms, even though such models

¹⁴⁵ Dahlhaus, *Nineteenth-Century Music*, 136.

often prove inappropriate. A striking result of this response has been the evolutionary view that, starting in the early nineteenth century, fantasies took on an increasing likeness to established forms. In the above discussion of representative works, I have shown that this generalization is not supported by close readings of the repertoire. Rather, the varied compositional approaches identified in the repertoire demand that the fantasy be approached with the same flexibility with which we interpret forms that are more fixed.

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State of the Genre: 1870-1920

Despite the abundance of fantasies and fantasy-related works in the late nineteenth century, this last period is largely ignored in recent studies of the genre. My study begins to fill the void surrounding period and medium by focusing on selected instances, primarily those for orchestra in the period. As noted in the Introduction, I have chosen fantasies composed by Tchaikovsky, Bruch and Busoni for extended treatment in Chapters Six, Seven and Eight. In these chapters, I show that the compositional issues that are central to the genre are clearly demonstrated in the selected works, which date from 1870 to 1920. As a historical backdrop for these major exponents of the fantasy, the following survey sketches the state of the genre in the same period.

An important development beginning in the 1850s is the simultaneous decline in the composition of keyboard fantasies and the rise of the orchestral fantasy. Russia is an important center for this phenomenon. Specifically, the techniques of juxtaposition, combination and variation are as central to the Russian orchestral tradition as they are to the fantasy. This connection is seen in Tchaikovsky's famous declaration that the Russian symphonic school is "all in Kamarinskaya, just as the whole oak is in the acorn."¹⁴⁶ The third in Glinka's series of "fantaisies pittoresques," Kamarinskaya (1848) is based on the juxtaposition and variation of two Russian folk tunes—a wedding song and a dance song. Of interest here is not simply the use of combination, but the extreme surface dissimilarity between the tunes. The most explicit relationship between this

¹⁴⁶ Diary entry of June 27, 1888, quoted in Richard Taruskin, "How the Acorn Took Root: A Tale of Russia," 19th-Century Music 6 (1982-83), 190.

procedure and the orchestral fantasies of Tchaikovsky is seen in the second movement of the Concert Fantasy, in which two contrasting themes are combined in a similar manner.¹⁴⁷ Yet Glinka's influence exceeds the national limit of Tchaikovsky's remark, reaching the heart of the fantasy tradition. Kamarinskaya introduced formal procedures independent of conventional structures, and it established the primary role of orchestral color in creating form. Richard Strauss conducted Kamarinskaya on several occasions.¹⁴⁸ Regarding Strauss's Don Quixote: Fantastic Variations (discussed below), Strauss's description of the combination of incongruous themes is strikingly similar to the celebrated procedure on which Kamarinskaya is based.

As noted in the Introduction, d'Indy classified the fantasy as an "actual variety of the symphonic poem." Thus he codified a blend of the terms that was already evident in editorial practice. An example of this overlap of fantasy and symphonic poem is seen in Mussorgsky's Night on Bare Mountain (1867). Originally designated a "Fantasy for Orchestra" by the composer, it is frequently called a symphonic poem both in later editions and in critical commentary. Among its published titles are: "Fantaisie pour l'orchestre" (St. Petersburg: Bessel & Co. 1886); "Fantaisie de concert pour orchestre" (Petrograd: Bessel & Co., 1920); "Poème symphonique" (Moscow: Section musicale des Éditions d'état, 1929); "Konzert-Fantasie für Orchester" (Leipzig: Eulenberg, 1930); and

¹⁴⁷ Tchaikovsky's Concert Fantasy for piano and orchestra, Op. 56 (1884) is discussed in Chapter Seven.

¹⁴⁸ Willi Schuh notes that Strauss conducted Kamarinskaya on two programs in Milan, December 8 and 11, 1887. Richard Strauss: A Chronicle of the Early Years 1864-1898, trans. Mary Whittall, (Cambridge, 1982), 133.

"*Fantaisie*" (New York: Kalmus, 1940).¹⁴⁹ Though it is better known in the revision by Rimsky-Korsakov, the original version is actually closer to the fantasy tradition in two respects: orchestral effects and harmonic freedom. For Mussorgsky, this freedom was a source of nationalist pride, liberated from Germanic conventions: "Its tone is hot and chaotic . . . [*Night on Bare Mountain*] is an original Russian production, not deriving from German profundity and routine but . . . springing from our native fields and nourished with Russian bread."¹⁵⁰

France also figures prominently in the fantasias of this period, largely in the work of Franck, Debussy and Fauré. Debussy's *Fantaisie* for piano and orchestra (1890) is an early work from which the composer later distanced himself. In a letter of 1909 to Varèse, Debussy voiced his displeasure: "The *Fantaisie* of which you speak is not only unpublished, but I have had the idea for a long time to modify it almost entirely."¹⁵¹ While it is generally assumed that Debussy's dissatisfaction was rooted in the work's weak orchestration and conventional form, Richard Mueller argues that "the cyclic theme of the *Fantaisie* is based on a Javanese melody and that Debussy withdrew the work more because he was not content with its assimilation of Javanese influences."¹⁵² Composed for the same forces, Fauré's *Fantaisie*, op. 111,

¹⁴⁹ Especially for Russian composers, a strong link between the fantasy and symphonic poem designations is their programmatic intention. This is addressed in Chapter Five.

¹⁵⁰ Mussorgsky's letter of 1867 is quoted by David Lloyd Jones in the liner notes to the RCA recording of the *Night on Bare Mountain* by Claudio Abbado and the London Symphony Orchestra, ARLI-3988.

¹⁵¹ Letter of 1909 to Varèse, quoted by Richard Mueller in "Javanese Influence on Debussy's *Fantaisie* and Beyond," *19th-Century Music* 10/2 (1986), 158.

¹⁵² Mueller, "Debussy's *Fantaisie*," 158.

differs from Debussy's example in that it is a mature work that was condoned by the composer and well-received by audiences. Composed in 1918 for Alfred Cortot, it is in three sections (Allegro moderato-Allegro vivo-Allegro moderato) which are performed without a break. The work is unified by a central idea that is taken from the second theme of the opening section.

As I show in Chapter Two, the organ works of César Franck are important examples of the continued interaction of improvisation and the fantasy.¹⁵³ In comparing the movements titled *Fantaisie* in the Six pièces of 1860-1862 and the Trois pièces of 1878, we will see that the later work is much more diffuse, and that it is much closer to the fantasy ideal in its harmonic juxtapositions and thematic interruptions. Likewise, the *Recitativo-Fantasia* that comprises the second movement of Franck's Violin Sonata (1886) is closely aligned with the fantasy tradition.¹⁵⁴ Thus, in the case of this composer, any attempt to identify a progression toward more established forms in the fantasy is directly contradicted by the opposite tendency toward the freedom with which the fantasy has long been associated. The title of this movement makes an explicit connection to that tradition—the hybridized *Recitativo-Fantasia* equates the kind, fantasy, with recitative, a longstanding generic component. The opening 31 bars are

¹⁵³ For studies of form in the organ works, see Gary Verkade, "César Franck: *Grande pièce symphonique*—Some Aspects of Form," The Diapason LXXXIV/1 (January 1993), 11-14; Johannes Gross-Hardt, "Die französische Orgelsymphonie des 19. und 20. Jahrhunderts," Ph.D. diss. (U. Frankfurt am Main, 1990).

¹⁵⁴ Anne Penesco observes that the Franck Violin Sonata relies on the French school of violin writing rather than on the Germanic model. Penesco, "La sonate de Franck et l'esthétique post-romantique du violon," Revue européenne d'études musicale 1 (1991), 165-81.

interrupted five times by fermatas, a feature that figures strongly in keyboard fantasies since those of C. P. E. Bach. The impression that the movement is being improvised is especially strong in the chromatic inflections, e.g. the B-flat to B-natural in mm. 11-12. As in the organ fantasies, this chromatic slippage is akin to feeling one's way around the keyboard. In the linking area (marked *Molto lento*) to the second statement of the opening chords, the violin improvises this chromatic slide in the reverse direction (d# to d-natural, mm. 17-18). An important feature from the fantasy cluster, the linking area provides coherence.

The harmonic surprise inherent in Franck's ending resembles the "side-slip" technique that Strauss first used in the symphonic fantasy Aus Italien, discussed below. As in the Strauss example (coincidentally composed in the same year, 1886), Franck sets up the expectation of a wild modulation from F# minor to E-flat major in the closing bars, then he suddenly slips back into the tonic. In addition to features of recitative and harmonic surprise, this movement also draws on the prelude function of earlier fantasies. Formally, this function creates two large sections: the first, a free recitative with no key signature that is interrupted by fermatas (mm. 1-52) and the second, with a fixed key signature (F# minor) and a continuous rhythmic and melodic pattern often associated with the prelude (mm. 53-110). The linking area returns as a brief coda with harmonic side-slip (mm. 111-117). Now marked *Molto lento e mesto*, it fits the emotional character so often seen in the fantasy. Franck has taken the notion of blurred boundaries to the extreme in this case. The entire movement is about beginnings: both the free recitative and the patterned prelude are normative opening sections. With the final

appearance of the linking area and its last-minute side-slip, the piece is more capped than closed.

As we have noted, virtuosity is strongly connected to the fantasy tradition. The virtuoso tradition that inspired Franck's Violin Sonata (dedicated to violinist Eugène Ysaÿe) spawned Pablo de Sarasate's Concert Fantasy on Carmen, op. 25 (1883).¹⁵⁵ The fact that the composer was a virtuoso performer is reflected in the immense technical skill required to perform the work. Just as the decline of the virtuoso performer-composer is partially accountable for the decline in the writing of piano fantasies, it is equally relevant to the violin repertoire, for which the 1880s mark a late stage of the performer-composer tradition. In addition to the well-known Carmen Fantasy, Sarasate wrote concert fantasies on Der Freischütz, Don Giovanni and Faust (all in 1874), as well as on La forza del destino (1876).

For composers of this period, Wagner's inescapable influence is implicit in his compositions and explicit in his writings on form. As we will see in the next segment, Wagner's idea of instrumental music is illuminated in his open letter on Liszt's symphonic poems. Having composed fantasies throughout their careers, Tchaikovsky and Busoni represent divergent responses to Wagner. As we will see in Chapter Six, Tchaikovsky acknowledged the influence of The Ring, the premiere of which he had attended in August 1876, one month before writing Francesca da Rimini. It was a somewhat begrudging acknowledgment, though, since Tchaikovsky made no

¹⁵⁵ See Robin Stowell, "The Nineteenth-Century Bravura Tradition," in The Cambridge Companion to the Violin, of which Stowell is also the editor (Cambridge, 1992).

attempt to disguise his antipathy toward The Ring. Busoni resented the influence much more strongly, stating that he envied younger composers who did not grow up while Wagner was at his height.¹⁵⁶

In addition to Wagner, this last section of the survey will focus on two major figures, Strauss and Brahms. In all three instances, we will see the continuity of the view that was traced in section two of this chapter, i.e. commentators still tend to push the fantasy into conventional patterns. First, in the case of Wagner's influential Siegfried Idyll, the composer's writings on form are crucial to an understanding of this work. In these writings, it becomes clear that he did not apply the conventional sonata form of the Tannhäuser Overture (1845), but the more developmental form of the Dutchman overture (1841). I will show that the Idyll is an opera fantasy for orchestra in independent form, ushering in the era of the orchestral fantasy.

Wagner was especially important to Strauss, from the time when Alexander Ritter introduced Strauss to the works of Wagner and Liszt in 1885.¹⁵⁷ In the following year, Strauss wrote his only *symphonic fantasy*, Aus Italien. In 1897, he returned to the fantasy—as a mode if not a kind—in *Don Quixote: Fantastische Variationen über ein Thema, ritterlichen Charakters für grosses Orchester, op. 35*. In this work, I will show that the ostensible variation form is intertwined with the formal features of the fantasy tradition. Finally, though the keyboard fantasy is less common in this period, it does not

¹⁵⁶ Antony Beaumont, Busoni the Composer, (Bloomington, 1985), Introduction.

¹⁵⁷ The composer and violinist Alexander Ritter (1833-98) met Strauss in 1885 in Meiningen, where Strauss was Hans von Bulow's assistant conductor.

disappear completely, as seen in Brahms's *Fantasien*, op. 116 (1892). I will focus on the central piece of this group (Intermezzo op. 116, no. 4), the formal ambiguity of which has attracted recent critical attention. Though Wagner and Strauss may seem unlikely company for Brahms in a discussion of form, I demonstrate the tangible connections between these works and the cluster of formal techniques established in the fantasy tradition.

Wagner: *Siegfried-Idyll* (composed 1870, published 1878)

The Siegfried-Idyll is widely viewed as a work in sonata form with two episodes in place of the development. This view necessitates the acceptance of a drastically altered recapitulation. For reasons that I will outline below, I suggest an alternative view based on the subgenre of fantasy on existing themes: it is an opera fantasy on three themes from Siegfried. As such, it is an interesting anomaly—I have not encountered another fantasy on a composer's own opera. Perhaps it is for this reason that most commentators ignore the obvious relationship to the fantasy. The acknowledgment that the work is an opera fantasy sheds new light on its form—a form that emerges from Wagner's idea of alternation and evolution (*Wechsel* and *Entwicklung*) as primary formal principles.¹⁵⁸ For Wagner, these principles are essential both to the understanding of old forms and to the creation of new ones:

¹⁵⁸ I am indebted to Thomas S. Grey for his emphasis on these features in Wagner's essay on Gluck's overture to *Iphigénie en Aulide* (1854) and in the open letter on Liszt's symphonic poems (1857). See Grey "Wagner, the Overture and the Aesthetics of Musical Form," *19th-Century Music* XII (1988), 9-10. For Grey's complete translation of the open letter, see his Appendix 2 in "Richard Wagner and the

Without such alternation and return a symphonic movement in the traditional sense is inconceivable . . . The conflict of a dramatic idea with this form necessitates either the sacrifice of evolutionary development (the idea) to contrasting alternation (the form) or the other way around.¹⁵⁹

As we have seen, these principles are also crucial to the fantasy cluster: some instances are dominated by development while others rely on sectional alternation. The Siegfried-Idyll is related to earlier fantasies with lengthy episodes, notably Schumann's Fantasy, op. 17, and Chopin's Polonaise-Fantasy, op. 61 (discussed in section two of this chapter).

A highly personalized work, the Siegfried-Idyll was composed in celebration of the birth of Wagner's son, Siegfried (June 6, 1869). The first performance was a private one for Cosima on December 25, 1870 in the country house in Tribschen. The very personal nature of the work is highly appropriate to a fantasy. The poeticized title can be interpreted on three levels: it denotes a poem of a pastoral nature, more widely that of a tranquil character, and still more broadly, a poem or ode. The notion of the idyll as a symphonic idea analogous to nature as a formal principle has been suggested with regard to Brahms's Second Symphony.¹⁶⁰ In fact, it may be more appropriate to the Siegfried-Idyll.

Aesthetics of Musical Form in the Mid-Nineteenth Century," Ph.D. diss. (Berkeley, 1988), 416-432.

¹⁵⁹ Richard Wagner, "On Franz Liszt's Symphonic Poems," open letter of 1857, translated in Grey, "Richard Wagner and the Aesthetics of Musical Form," 423-424.

¹⁶⁰ Reinhold Brinkmann notes the use of "nature as a formal principle" and the concept of the "idyll as symphonic idea" at the heart of a review of the Leipzig performance of the Brahms Second Symphony, January 10, 1878. Late Idyll: The Second Symphony of Johannes Brahms, trans. Peter Palmer, (Cambridge, Mass. And London, 1995), 199.

As has been widely reported, the main material consists of three themes from the last scene of *Siegfried* (completed June 14, 1869): Brünnhilde's "Ewig war ich, ewig bin ich" (main theme) and "Hort der Welt" (episode 1 in the literature); and Siegfried's "Sie ist mir ewig, ist mir immer, Erb' und Eigen, Ein und All'!" (episode 2). Unnoticed in some writings on the work is the lullaby-like addition of Brünnhilde's sleep motive (last scene, *Die Walküre*), which appears in combination with the second statement of the main theme.

Most commentators see the three main themes as part of a sonata scheme, albeit with two major differences: the development section is replaced by two episodes, and the recapitulation is substantially altered. In my view, the extent of such alteration creates a final section that is arguably a continuous development—Wagner's "evolution"—that simply begins with a tonic statement of the opening theme. Such a reading avoids the contortions that we encountered in many sonata readings of earlier fantasies.

In proposing two readings of the work, James Hepokoski implicitly acknowledges its great formal ambiguity. For Hepokoski, the *Siegfried-Idyll* is "one of the most influential models for late-century sonata deformations."¹⁶¹ He defines deformation as "a strikingly nonnormative individual structure, one that contravenes some of the most central defining traditions, or default gestures, of a genre while explicitly retaining others."¹⁶² In this case, both the lack of a conventional development

¹⁶¹ James Hepokoski, "Fiery-Pulsed Libertine or Domestic Hero? Strauss's *Don Juan* Reinvestigated," *Richard Strauss: New Perspectives on the Composer and his Work*, ed. Bryan Gilliam, (Durham and London, 1992), 146.

¹⁶² Hepokoski, "Strauss's *Don Juan* Reinvestigated," 143.

and recapitulation contradict expectations for a work in sonata form. Perhaps these overwhelming differences prompt Hepkoski to suggest an alternative to this particular “sonata deformation”:

Another way of hearing the Siegfried-Idyll would be as a large ABA' structure in which A and A' recall aspects of exposition and recapitulation, and in which A' incorporates (as an *Aufhebung* of A and B?) elements of the diptych provided in the B section. The latter description, however, also meshes with that of a sonata deformation conceived in the late-nineteenth century ternary manner.¹⁶³

This reading is eminently more satisfying, though I submit that it supports the further interpretation that the Siegfried-Idyll is more closely allied with the fantasy than with the sonata tradition. Certainly the continued development, juxtaposition and combination of the three themes throughout the third section is in keeping with both the fantasy tradition and with Wagner's idea of new form in instrumental music. For Wagner, the connection provided by an “inner thread” feeds the creation of new formal means (recall this concept in discussions of the fantasy by Schumann and Czerny). Wagner makes specific reference to the inner thread in his discussion of Liszt's symphonic poems, though he first acknowledges, “I would forgive anyone who has doubted up to now the possibility of developing new forms in instrumental music.”¹⁶⁴ As an example of the difficulty posed by new forms, Wagner discusses the *Adagio* from Berlioz's Romeo and Juliet, in

¹⁶³ Hepkoski, “Strauss's *Don Juan* Reinvestigated,” Note 44, 171. Presumably, Hepkoski's use of the term *Aufhebung* alludes to Schoenberg's terminology for the liquidation or distillation process that occurs in coda sections. Note that Jonathan Dunsby also invokes this term for the final piece of Brahms's *Fantasien*, op. 116, which he interprets as the coda to the set. Dunsby, “The multi-piece in Brahms: *Fantasien* Op. 116,” Brahms: Biographical, Documentary and Analytical Studies, ed. Robert Pascall (Cambridge, 1983), 187.

¹⁶⁴ Richard Wagner, “On Franz Liszt's Symphonic Poems,” translated in Grey, “Richard Wagner and the Aesthetics of Musical Form,” 427.

which he finds that “the musical thread had been lost (that is, the logical and perceptible alternation of distinct motives).”¹⁶⁵ For Wagner, Liszt’s symphonic poems succeed where the Berlioz example fails.

Thomas S. Grey has shown that Liszt’s brief symphonic poem Orpheus was clearly on Wagner’s mind when he wrote the open letter.¹⁶⁶ As Grey points out, Orpheus is neither a cyclic nor multimovement form, but a ternary form with variation elements. As such, it has some bearing on the Siegfried-Idyll. Less a kind of sonata form, the Idyll consists of the alternation and development of the three main themes in a large ternary form. However, the final section (mm. 286 ff.) is so different from the opening that it cannot be captured even by the ABA’ designation. Perhaps the whole is better described: A - B - development. The rearticulation of the main theme in the tonic (at m. 286) makes a nod to a conventional recapitulation, but the supposed return is interwoven throughout with the secondary theme and the episode. Thus the music from m. 286 to the end of the work is better characterized as continuous development. The avoidance of recapitulation makes perfect sense in light of Wagner’s complaint about the conventional recapitulation in Beethoven’s third Leonore overture:

¹⁶⁵ Ibid.

¹⁶⁶ In his account of Liszt’s visit of 1856, Wagner wrote, “I was especially taken with the restrained orchestral piece *Orpheus*, to which I have always accorded a special place of honor among Liszt’s compositions.” It is translated and cited by Grey in “Richard Wagner and the Aesthetics of Musical Form,” 371.

We see what a disadvantage the traditional form was to him here; for who . . . will not agree with me that its greatest weakness is the repetition of the first part following the central section, which nearly undermines the whole piece, especially since all the other parts (and the coda above all) are guided by a dramatic development.¹⁶⁷

For Wagner, the solution to the problem of the recapitulation was to eliminate it from a new form:

This contradiction could only have been avoided by omitting entirely the repetition [recapitulation], that is, dispensing with the traditional dance-derived symphonic form altogether, by which the first step toward a new form would have been made.¹⁶⁸

Wagner takes this step in the Siegfried-Idyll: its form emerges from his view of instrumental form, which is, in turn, steeped in the fantasy tradition. In sonata interpretations, the area denoted recapitulation (mm. 286 ff.) is actually a combination of the two main themes and the episode. A feature of the fantasy as defined by Czerny and as practiced in fantasies throughout the period preceding this work, this use of continuous development is in keeping with Wagner's idea of instrumental form in two ways: it is a solution to the problem of conventional form in the overture; and it produces a structure based on Wagner's description of his essential elements of composition—alternation and evolution. In this context, I propose the following reading:

¹⁶⁷ Wagner, "On Franz Liszt's Symphonic Poems," translated in Grey, "Richard Wagner and the Aesthetics of Musical Form," 424.

¹⁶⁸ Ibid.

Figure 1-5: Wagner, *Siegfried Idyll*

proposed analysis as fantasy on existing themes, compared with sonata and ternary analyses

Fantasy on Existing Themes:

Key: A = main theme, K = closing theme, B = 2nd theme, E = episode

*preparation for B is interrupted by A

A			B			Development								
A	K	A/K	B	B/A	E	B/A	E/A	A	B*-A	E	K	E	A/B	
1	91	115	148	219	259	286	307	308	333-335	366	373	388	396	

Conventional analysis as sonata form with episodes in place of development:

Exposition	Episode 1	Episode 2	Recapitulation
<u>1</u>	<u>148</u>	<u>259</u>	<u>286</u>

Hepokoski's ternary alternative:

<u>A</u>	<u>B</u>	<u>A*</u>

In my interpretation, the B section (episode 1 in the literature) and the episode (commonly dubbed episode 2) are revealed as distinct in function. After all, the first (marked B in my proposal) is more than double the length of the second, and it is used in combination with the first theme (marked A) three times throughout the work (mm. 219; 286 and 396). It is also involved in the significant thematic interruption (crucial to the fantasy tradition) that occurs about three-quarters of the way through the work (m. 335):

the music builds as if to a climactic statement of B, but it veers instead to a restrained version of A.¹⁶⁹

This analysis reveals that the Siegfried-Idyll hinges on two contrasting main themes, but that it does not focus on the alternation of these themes—a process which Wagner associated with conventional form. Instead, it evolves through continuous development—an approach that he explicitly connected to the idea of new form. As we have shown, this latter approach is intimately tied to the fantasy tradition. While the early Wagner overtures have been cited as precursors of Liszt's symphonic poems,¹⁷⁰ it is important to note that the Siegfried Idyll continues in this vein. My analysis maintains that connection.

Strauss: *Aus Italien*, symphonic fantasy, op. 16 (1886)
*Don Quixote: Fantastische Variationen über ein Thema,
 ritterlichen Charakters für grosses Orchester*, op. 35 (1897)

Strauss's infatuation with Wagner and Liszt began one year before the composition of his symphonic fantasy, Aus Italien, when Alexander Ritter introduced him to their music. In acknowledging this important influence, Strauss wrote that Liszt's

¹⁶⁹ The view of mm. 286ff. as development highlights a similarity to the *Dutchman* overture, in which the two sections of the development are extended by further development in the third section. In Grey's reference to the third section as "recap," note the need for quotation marks to acknowledge the substantial difference from a conventional recapitulation.

¹⁷⁰ Grey points to the *Dutchman* and *Tannhäuser* overtures as "significant forbears of the Lisztian symphonic poem." Grey also notes that "Liszt himself referred to Wagner's *Tannhäuser* Overture as a 'poème symphonique' in 1849, well before the publication of any of his own works under that new generic label." Grey, "Wagner, the Overture and the Aesthetics of Musical Form," 19th-Century Music XII (1988), 4.

symphonic poems were “the leading thread for my own symphonic work.”¹⁷¹ In his conducting career, Strauss worked to establish Wagner and Liszt in the standard repertory of the opera house and the concert hall. In addition to the music dramas, the Siegfried Idyll was well-known to Strauss, who frequently conducted the work.¹⁷²

The literature on Aus Italien reflects Strauss’s own view: this is a transitional work, one which he dubbed an experiment—“the connecting link between the old and new methods.”¹⁷³ Thus, for Michael Kennedy, the work marks “the end of the period of apprenticeship” and, for Willi Schuh, it is “the turning-point in Strauss’s creative life.”¹⁷⁴ As we have seen in the case of Debussy and his early Fantaisie, Strauss distanced himself somewhat from this work late in his life, calling it “the first timid experiment” toward his later works for which Liszt’s idea of new form was the primary model. Interestingly, in his description of this experiment, Strauss refers to the work as a suite: “The first timid experiment was made in the suite Aus Italien, by means of rearranging the movements and, as in the third movement (‘Sorrento’), the individual sections of the movements

¹⁷¹ “Aus meinen Jugend- und Lehrjahren,” in Richard Strauss, Ubetrachtungen und Erinnerungen, ed. Willi Schuh (Zurich, 1957), 210, quoted by R. Larry Todd in “Strauss Before Liszt and Wagner: Some Observations,” Richard Strauss: New Perspectives on the Composer and His Work, ed. Bryan Gilliam (Durham and London, 1992), 3.

¹⁷² Willi Schuh mentions that Strauss conducted the Siegfried Idyll in Weimar (1889) and Amsterdam (1897), among others. See Schuh, Richard Strauss: A Chronicle of the Early Years 1864-1898, trans. Mary Whittall (Cambridge, 1982).

¹⁷³ Quoted by Michael Kennedy in “Richard Strauss,” The New Grove, vol. 18, 225.

¹⁷⁴ Kennedy, “Richard Strauss,” 225; and Schuh, Richard Strauss: A Chronicle of the Early Years 1864-1898, 138.

themselves.”¹⁷⁵ Clearly, Strauss was experimenting with conventional form, from which he was not yet ready to break away in a radical manner. Thus the sonata readings that seem distorted in other fantasies make some sense here, as Strauss juggled conventional sections.

Aus Italien is the only work for which Strauss published an analysis.¹⁷⁶ In addition to the program for each of the four movements, he supplied thematic content. The first movement—an Andante entitled *Auf der Campagna*—is described by Strauss as a “prelude . . . based on three principal themes, first theme, subsidiary theme, coda theme.” The most traditional of the movements is the second, *In Roms Ruinen*, about which the composer wrote, “The formal structure of the movement is that of a great symphonic first movement.” For Del Mar, this sudden reversion to conventional form is a major drawback of the work: “After the amazing foretaste of Strauss’s mature style in the previous movement, it is with a jolt that one finds him back in his earlier manner contriving a well-behaved symphonic movement.”¹⁷⁷ Strauss describes *Am Strande von Sorrent*, the third movement, as a “mood-picture” that highlights the contrast between the “tender music of nature” and the “experiences of mankind.” Both Del Mar and Kennedy refer to this movement as a sonata form with an episode in place of the development. In my view, since the recapitulation is significantly altered when the episode twice

¹⁷⁵ Quoted by Schuh, Richard Strauss, 138.

¹⁷⁶ Allgemeine Musikzeitung (1889), cited in Schuh, 139.

¹⁷⁷ Norman Del Mar, Richard Strauss, I, (London, 1962), 42.

interrupts the main theme, the form of this movement is similar to that of the Siegfried Idyll. Perhaps this is why Del Mar concludes that “the effect . . . is of free fantasy.”¹⁷⁸

Strauss called the final movement, *Neapolitanisches Volksleben*, “this crazy orchestral fantasy, which attempts to depict the colorful bustle of Naples in a hilarious jumble of themes.” For Del Mar, “the movement is in conventional sonata form except for one feature;”¹⁷⁹ and that feature is the recall of the coda theme from the first movement. Certainly the use of an existing song as the main theme of the final movement is appropriate to one type of fantasy, although it has been shown that Strauss’s “well-known Neapolitan folksong” was actually a newly composed popular song. The use of several themes from earlier movements in the finale shows Strauss emulating the cyclic aspect of the fantasy as delineated by Riemann.

For the composer, Aus Italien was just the beginning of his idea of the symphonic poem, one that derived from personal, programmatic associations. In addition to such associations, Aus Italien typifies another feature that is identified with the fantasy—harmonic deception. Del Mar notes that a “feature of the mature Strauss which appears for the first time in the closing bars of [the third movement] is his device of writing a cadence as if it is about to modulate to an enormously distant key, only to slip suddenly into the tonic.”¹⁸⁰ In the context of the genre, it is tempting to see this technique as the reverse of C. P. E. Bach’s “rational deception”: instead of feigning a modulation through

¹⁷⁸ Del Mar, Richard Strauss I, 44.

¹⁷⁹ Del Mar, Richard Strauss I, 45.

¹⁸⁰ Del Mar, Richard Strauss I, 43. Kennedy refers to the idea of side slip as well.

a cadence and suddenly veering off in a new direction, Strauss pretends to veer off and returns just as suddenly to the tonic.

Orchestral color, another important value for the fantasy, was also a goal for Strauss.¹⁸¹ This is seen in his comment on an orchestral fantasy by Jean Louis Nicodé, Die Jagd nach dem Glück: “For myself, I greatly enjoyed your work, with its attractive, piquant invention and its immensely witty, spicy instrumentation.”¹⁸² Certainly these goals are achieved in Strauss’s orchestral fantasy as well.

While Aus Italien closes the early chapter of Strauss’s compositional life, Don Quixote is representative of his mature style. The work is often discussed as a tone poem, though Strauss did not use *Tondichtung* in the lengthy title: Don Quixote (Introduzione, tema con variazioni e finale): Fantastische Variationen über ein Thema, ritterlichen Charakters für grosses Orchester, op. 35 (1898). We have seen that title was an issue in many fantasies, evidenced in the series of title changes in such works as Liszt’s Dante Fantasia and Schumann’s Fantasy, op. 17. In the case of Don Quixote, Strauss’s title provides two types of information: form (Introduction, Theme and Variations, Finale) and content (a theme of knightly character). Though “Fantastic” is merely the mode here, the use of variations as the kind is highly appropriate to the fantasy tradition.¹⁸³ It is interesting that Strauss specified the medium, “for large

¹⁸¹ As noted in the Introduction, color was an important feature to C. P. E. Bach, and it resurfaces in Mendel’s reference to color in the orchestral fantasy.

¹⁸² Letter of December 14, 1888, quoted in Schuh, Richard Strauss, 137.

¹⁸³ Liszt’s Don Juan Fantasy follows a similar scheme: introduction, theme and two variations and finale. This work is discussed in Chapter Two.

orchestra.” This may indicate his awareness of the relative novelty of a fantasy for full orchestra in mainstream repertoire.

Form, program and genre interact in the use of the Introduction to depict Don Quixote’s gradual loss of his reason, the Theme and Variations to represent specific episodes in Cervante’s story, and the Finale as a resolution of musical events and a sign that the protagonist has regained his senses. Ostensibly creating a conventional three-part structure, these three areas actually proceed in an unconventional manner. For instance, rather than simply establishing an atmosphere, the Introduction presents the main thematic material that will be associated with Don Quixote and Dulcinea throughout the work. More than presented, this contrasting material is developed and treated contrapuntally through large segments of Introduction. As we have noted above, the combination of dissimilar themes is strikingly reminiscent of Glinka’s procedure in Kamarinskaya (a work that was in Strauss’s conducting repertoire). This procedure is explicit in Strauss’s description of his combination of two dissimilar themes in Don Quixote:

The old contrapuntal practice of fashioning a melody in such a way that it will combine with a second one has not greatly interested me. You can make fugues all day long like that, but what I really considered worthwhile was discovering how to compel two mutually antagonistic themes to come together.¹⁸⁴

As Graham H. Phipps points out, Strauss applies the procedure to dissimilar themes twice during the Introduction—first with themes representing Don Quixote and Dulcinea, and again in the contrapuntal combination of Quixote’s main theme with two of his

¹⁸⁴ Ernst Krause, Richard Strauss: the Man and His Work (Boston, 1969), 154.

subsidiary themes.¹⁸⁵ Thus, in accord with the fantasy tradition, the opening section initiates a process of continuous development.

Even in the central portion—the Theme and Variations—the framework is not as conventional as it may appear. These variations are not periodic, i.e. they occur at irregular, unpredictable intervals, ranging from the 11-measure Variation VII to the 135-measure Variation III. Another difference from a conventional approach is that the variations are not complete entities, instead they are linked by various means. These include a fermata between variations (e.g. theme - var. 1, var. 5 - 6, 7 - 8, 8 - 9, 10 - Finale); a cadence that dovetails as the end of one variation and the start of the next (e.g. var. 1 - 2; 6 - 7; 9 - 10); a sustained connecting tone (var. 2 - 3, 4 - 5); and a motive that is completed on the downbeat of the ensuing variation (var. 3 - 4). As we have shown, such blurring of boundaries is a generic marker throughout the history of the fantasy.

For some writers though, the theme and variation framework implies that the work is still quite conventional in form. In fact, for Del Mar, this presumed conventionality nearly disqualifies the work as a symphonic poem: “In a way, a set of Theme and Variations scarcely constitutes a symphonic poem in the normally accepted sense of the term, especially when adhered to so scrupulously from a formal point of view.”¹⁸⁶ Clearly for Del Mar, the idea of free form is synonymous with the symphonic poem. This represents a view opposite that traced in studies of earlier keyboard fantasies, in which it was presumed that form became increasingly conventional. In the

¹⁸⁵ Graham H. Phipps, “The Logic of Tonality in Strauss’s *Don Quixote*: A Schoenbergian Evaluation,” *19th-Century Music* IX/3 (1986), 196.

¹⁸⁶ Del Mar, *Richard Strauss*, I, 148.

case of Don Quixote, the distinction is not so clear cut, rather, the variation framework is used in a manner consistent with the cluster of traits that define form in the fantasy.

These are evidenced in the unpredictable lengths of the variations, the presence of continuous development, the importance of linking passages and the role of virtuosity represented by the complex solo cello writing (the solo cello represents Don Quixote).

For Denis Gerard Wilde, the Theme and Variations function as the center of a symmetrical form, one that is created by the reverse procedures of the Finale and the Introduction.¹⁸⁷ These procedures involve the increasing complexity of the Introduction (which represents the loss of Quixote's faculties), and the growing simplicity of the closing variation and Finale (representing the gradual regaining of his senses).

Regarding form in this work, Graham Phipps's view is at once the most conventional and the most radical—conventional in that it attempts to superimpose sonata form on the entire composition, and radical in that, to make this work, he identifies not one but two consecutive sonatas, followed by a final area that resembles an incomplete sonata. Thus he proposes a three-section scheme: Section I (Sonata 1): mm. 1-247; Section II (Sonata 2): mm. 247-470; and Section III: mm. 471-758 [identified as Development; Recapitulation and Coda].¹⁸⁸ Among the problems with this reading is one acknowledged by Phipps himself: Don Quixote's main theme and Dulcinea's theme are introduced during the area that he identifies as Transition, that being a harmonic transition between the first and second key areas of his proposed Sonata 1, mm. 18-56.

¹⁸⁷ Denis Gerard Wilde, The Development of Melody in the Tone Poems of Richard Strauss: Motif, Figure and Theme (Lewiston, 1990), 238.

¹⁸⁸ Phipps, "Tonality in *Don Quixote*," 204.

Phipps reasons that “it may seem rather unusual to present the main thematic materials of a work in a transitional passage; but because harmonic instability is the nature of both of these themes, they are appropriately placed here.”¹⁸⁹ Once again we encounter the analytical gymnastics that are required by an insistence on sonata form in a work that is essentially a fantasy. Phipps concludes that “although variation technique plays an integrative formal role, the work cannot be adequately explained as ‘theme and variations.’”¹⁹⁰ He is correct, but it is to the fantasy that we should look for explanations, not to a superimposed scheme of sonata-sonata-incomplete sonata.

Don Quixote fits the fantasy tradition in its use of specific formal techniques. These include two that we have already noted: the prominent role of connecting passages and the importance of development throughout the work (not limited to the sections delineated by Phipps). Thus, unlike Aus Italien, the work is not easily explained as a rearrangement of sonata elements. In Don Quixote, the combination of linking passages and continuous development underscores the blurring of boundaries long associated with the fantasy.

The harmonic “side-slips” noted in our discussion of Aus Italien (and related to C. P. E. Bach’s fantasy practice of “rational deception”) are central to this work as well. This phenomenon is especially prominent in Quixote’s third theme, a cadential figure in which the expectation of a modulation is suddenly thwarted as the music slips back into the tonic. According to Del Mar, these “side-slips” are especially important to this work:

¹⁸⁹ Phipps, “Tonality in *Don Quixote*,” 195.

¹⁹⁰ Phipps, “Tonality in *Don Quixote*,” 203.

“Before and after *Don Quixote* [Strauss] used the effect for its own sake as a bitter-sweet, delicately styled mannerism. Here he found its ideal purpose in bringing to life the peculiar distorted reasoning of Quixote’s mind.”¹⁹¹ Part of Wilde’s “growing simplicity” in the Finale stems from the first appearance of this cadential figure without the side-slip.

Certainly the rigorous depiction of the program is strongly connected with (though of course not limited to) the fantasy tradition. For some early critics, the specific musical depiction of extramusical events constitutes a major compositional weakness, as in this response of Rudolf Louis:

What prevented *Don Quixote* from becoming a masterpiece that is just as perfect, in its own way, as *Eulenspiegel*, was evidently the unfortunate circumstance that the striving for the greatest possible realism in the aural depiction of the poetic events caused the *instrumentation* of *Don Quixote* to become mired . . . in unsuccessful experiments.¹⁹²

For Louis, the composer’s ability to depict specific events “led him down a path . . . which finally turned out to be a dead end.”¹⁹³ While the critic was most likely offended by such effects as the wind machine and the famous passage imitating the bleating of sheep, he clearly felt drawn to the work in spite of himself, recognizing in it Strauss’s “feeling for the tragic humor of Cervantes’ immortal character.”¹⁹⁴

¹⁹¹ Del Mar, *Richard Strauss I*, 150.

¹⁹² Rudolf Louis (1870-1914) was a theorist and music critic in Munich. The citation is found in his *Die Deutsche Musik der Gegenwart*, rev. ed. (Munich, 1912), 172-80. It is translated by Susan Gillespie as “On the Tone Poems of Richard Strauss,” *Richard Strauss and his World*, ed. Bryan Gilliam, (Princeton, 1992), 306-310.

¹⁹³ *Ibid.*

¹⁹⁴ *Ibid.*

Another feature shared by this work and the fantasy tradition is the importance of recitative. In Variation V—the center of the ten variations—the cello recitative marked “quasi cadenza” is the emotional center of the work. This recitative is in the lamenting style noted in the earlier examples of the genre. The ensuing cadenza is clearly related to a final shared element: virtuosity. Soloistic writing for principal players is prominent in this work, particularly in the solo cello that represents Quixote. According to Del Mar, Strauss often performed the work with a soloist who remained apart from the cello section and did not play the *tutti* passages. Thus the work is a hybrid of the orchestral fantasy and the fantasy for solo instrument and orchestra, both of which figure prominently in the analyses in the closing chapters of this study.

In sum, Strauss’s two compositions titled fantasy represent divergent points in his development. The symphonic fantasy Aus Italien is an early work in which the fantasy values of orchestral color and harmonic surprise are combined with Strauss’s first attempts at new form. In his words, this experiment consisted of the rearrangement of formal sections. In Don Quixote: Fantastic Variations, the mature Strauss again draws on the fantasy tradition and its cluster of specific features: continuous development, blurred boundaries, harmonic side-slips, recitative and virtuosity.

Brahms: *Fantasien*, op. 116 (1892)

Most writers presume that Brahms’s use of the title Fantasien is meaningless, and they avoid any discussion of genre in this work. As we will see in the discussion of related titles (Chapter Two), Brahms was not so nonchalant regarding title. In the case of the Fantasien, op. 116, we should not ignore his choice, even though—just as in the

Klavierstücke, op. 76—the individual titles in the set are *capriccio* and *intermezzo*.

Perhaps prompted by the presumption that title is meaningless to the composer, most critics assume that Brahms always frames his works in a conventional form. It is against this expectation that the amorphous construction of the central piece of this set (the fourth of seven pieces) has garnered much attention of late. Compelling readings by Jonathan Dunsby and Edward T. Cone arrive at divergent conclusions: for the former, no. 4 makes sense only as the incomplete center of a “multi-piece,” for the latter, this central piece is a coherent whole on its own terms.¹⁹⁵ I submit that this unusual degree of formal ambiguity contributed to Brahms’s choice of title for op. 116. This ambiguity contradicts notions of overriding conventionality of form in the composer’s works as well as in the presumed path of the fantasy.

The unique position of the *Intermezzo*, op. 116, no.4, is neatly articulated by Cone, who observes that Brahms’s “formal ambiguities are [typically] projected upon a recognisable, sometimes even conventional, schematic pattern. For this reason it is unsettling to encounter, among the short piano pieces of the master’s last period, one whose formal articulation seems to resist every attempt at clarification.”¹⁹⁶ Though he does not address genre issues, Cone’s initial temptation to see the work as a through-composed *Song Without Words*—implying an “imagined but unstated poem”¹⁹⁷—

¹⁹⁵ Jonathan Dunsby, “The multi-piece in Brahms: *Fantasien* Op. 116,” Brahms: Biographical, Documentary and Analytical Studies, ed. Robert Pascall (Cambridge, 1983), 167-189; Edward T. Cone, “Attacking a Brahms Puzzle,” Musical Times (February, 1995), 72-77.

¹⁹⁶ Cone, “Attacking a Brahms Puzzle,” 72.

¹⁹⁷ Ibid.

resonates with the feature of hidden meaning in the genre. Midway through the work (m. 36), the expected contrasting section is replaced by continuous development, another feature of the fantasy. Faced with these phenomena, Cone applies the term “rhetorical form,” a significant term in the context of the fantasy genre, as we have noted in section two of this chapter. He emphasizes motivic unity in the piece, not simply to trace tunes, but to show that there are no strict boundaries. Blurred boundaries are clearly on the track of the fantasy genre, though Cone does not make this explicit.

William P. Mahrt ignores genre in his discussion of the form of this work. In fact, he never mentions that the *Intermezzo*, Op. 116, No. 4 comes from a group entitled Fantasien. For Mahrt, the piece is an example of Brahms’s “use of Classic conventions in his particular skewing of whole recapitulations.”¹⁹⁸ His description of the work as a “fusion of formal processes in a unique combination” is highly appropriate to the genre, though Mahrt does not make that connection.¹⁹⁹ Camilla Cai concludes that “no single, standard formal design can explain this piece. Instead, Brahms furnishes a journey of remembrances of form and formal designs.”²⁰⁰ Though, “ultimately, this piece falls into all and none of these forms,”²⁰¹ she offers six possibilities that include textural rondo; thematic rondo; ritornello; ternary; and two abbreviated sonata types: one that closes

¹⁹⁸ William P. Mahrt, “Brahms and Reminiscence: A Special Use of Classic Conventions,” Convention in Eighteenth- and Nineteenth-Century Music, ed. Wye J. Allanbrook, Janet M. Levy, and William P. Mahrt (Stuyvesant, NY, 1992), 98.

¹⁹⁹ Ibid.

²⁰⁰ Camilla Cai, “Brahms’ Short, Late Piano Pieces—Opus Numbers 116-119: A Source Study, An Analysis, and Performance Practice,” Ph.D. diss. (Boston University, 1985), 324.

²⁰¹ Cai, “Brahms’ Short, Late Piano Pieces,” 341.

with a highly altered recapitulation, and one that ends with a transition (the latter is relevant to Dunsby's notion of incompleteness). Certainly this mixture of form types is appropriate to the fantasy.

For Dunsby, the piece does not make sense on its own, but it makes perfect sense as the center of a "multi-piece." He distinguishes a multi-piece from a collection based on the open structure of some of the movements, in which case "we may justifiably look for their completion elsewhere, that is, later in the collection: this may indeed be one of the best signs we could hope to find of a multi-piece as opposed to a collection."²⁰² Thus, for Dunsby, the unresolved progression of the second development in no. 4 is seen as the elaboration of an idea that is contained in the first piece of the set. This idea is then taken up once more in the sixth piece, and it is resolved in the seventh and final piece. Dunsby speculates that a combination of sonata form and the multi-movement sonata extends across the seven pieces. His proposal can be outlined as follows:

Number in the set:	1	2	3	4	5	6	7
Function:	sonata	link	scherzo	<u>trio-like slow section</u>		coda	

Dunsby acknowledges the speculative nature of this reading, a nature that we have encountered in similar analytical gymnastics throughout this survey of nineteenth-century fantasies.

²⁰² Jonathan Dunsby, "The multi-piece in Brahms: *Fantasien* Op. 116," 176.

In my view, the central piece of the Fantasien, op. 116 does not depend on the surrounding movements for completion, rather, it is a fantasy that establishes its own means of coherence, albeit an unconventional path for the composer. This view is supported by Cone's new interpretation of the dynamic markings. In turn, the generic context for the work supports Dunsby's findings of thematic, harmonic and motivic unity: this unity is the "inner thread" that is a strong feature in instances of the fantasy throughout the century.²⁰³

While commentators seem perplexed by the lack of recapitulation, this feature is perhaps related to Wagner's notion of redundancy in conventional recapitulations. As we have noted above, his solution is often a process of evolution through the final section—the same process that directs the second half of op. 116, no. 4. Though it is rare to encounter Brahms and Wagner together in a sentence that also contains the word form, this fantasy clearly belongs in the same formal tradition as the Siegfried Idyll. Typical commentary is not prone to view Brahms as a composer of unconventional form. Yet once we accept op. 116, no. 4, as a fantasy, we can accept this quality as well.

In this sketch of fantasies and fantasy-related works by three major composers of the period, we have traced the continuity of formal features of the fantasy. The Siegfried Idyll is revealed as an opera fantasy, marked by the use of continuous development that defined the fantasy for Czerny and that permeated the fantasies discussed in section two

²⁰³ On the topic of motivic correspondence and tonal scheme in this work, see also Thomas Owen Mastroianni, "Elements of Unity in the *Fantasies*, Op. 116 by Brahms," Ph.D. diss. (University of Indiana, 1970) and Detlef Kraus, "Brahms Op. 116: Das Unikum der sieben Fantasien," Brahms Studien 8, 1990, 49-60.

of this chapter. Strauss's symphonic fantasy Aus Italien and his Don Quixote: Fantastic Variations demonstrate divergent allegiances: the first, to rearrangements of the sonata-form model, and the second, to an assertion of the fantasy form. The latter is seen in these specific features from the fantasy cluster: continuous development, blurred boundaries, harmonic side-slips, recitative and virtuosity. In this company, the pervasive use of development, and the resulting blurred boundaries and formal ambiguities in the central piece of Brahms's Fantasien, op. 116 make perfect sense.

Having examined specific features associated with the fantasy as a genre, we now turn to the many titles that overlap with the fantasy throughout the nineteenth century. Indicative of the blurred boundaries of the genre system, this overlap with related titles also contributes to the elusiveness of the fantasy. Chapter Two addresses titles that connote features of the fantasy.

CHAPTER TWO

“MISTY ROBES”: WHAT IS IN A NAME?

“So one writes sonatas or fantasies (what’s in a name!); let one not forget music and the rest will succeed through our good genius.”
Robert Schumann

“So welcome to my heart, these nameless ones in the misty robes of Rhapsodies!”
Elisabeth von Herzogenberg

Features identified with the fantasy are also central to a large constellation of titles ranging from capriccio, arabesque, rhapsody and toccata to fantasy-piece or fantasy-picture to the hybridized fantasy overture, symphonic fantasia and sonata-fantasy. This chapter sorts through the many titles that overlap with the fantasy, with particular attention to their formal implications: traces the connection between improvisation and the fantasy; and examines the tradition of composing fantasies on existing themes drawn from folksong, opera and the music of Bach.

Title is more than a surface consideration for the fantasy since the term itself conveys layered meanings: it denotes a specific musical work and it makes wider references to improvisation and, further, to the imagination. We will see that these meanings intertwine in nineteenth-century writings on the fantasy, as in Marx’s description of its ephemeral qualities:

[Through the composer’s imagination] the other side of music (and of the inner life) advances to the forefront, not so much as stimuli to certain feelings and ideas, but rather the other way around, dissolves the stronghold, [what] was at hand in consciousness or mood, and as in half-sleep or dream lets one around the other dwindle on the airy wave of sound.¹

¹“Es tritt hier die andre Seite der Musik (und des Seelenlebens) hervor, die nicht sowohl

While Marx introduces this aspect only after his objective discussion of the fantasy, Mendel opens his encyclopedia entry of 1890 with a subjective element: "The fantasy is more a product of an imagination that roams unshackled than of one that creates clearly defined events and images."²

As early as the sixteenth century, when "fantasy" often substituted for "recercar" and "preambel," semantic ambiguity is reflected in the variously titled works that display similar musical features. Given the continued diversity of titles related to the fantasy, it is surprising to find that the nineteenth-century fantasy retains certain features of its antecedents: the frequent use of an existing theme, reliance on variation techniques, adventurous instrumental color and texture, sudden changes of expression and bold harmonic gestures.³

An explicit tie with variation technique is evident in several early nineteenth-century pieces, e.g. Reicha, Eighteen Variations and a Fantasia on a Theme of Mozart.

aus Anregungen zu bestimmtem Gefühlen und Vorstellungen vorschreitet, sondern vielmehr umgekehrt das Feste, das in Bewusstsein oder Stimmung vorhanden war, auflöst und wie im Halbschlummer oder Traum Eins um das Andre vorüber- und dahinschwinden lässt auf den luftigen Tonwellen und gleich ihnen." Marx, Die Lehre von der musikalischen Komposition (Leipzig, 1838), 3rd ed. 1857, vol. 3, 339. Marx referred to Beethoven's Sonata quasi una Fantasia, Op.27, No. 1, and Mozart's Fantasia in C minor, K.475, in this context.

² "Wie schon der Name andeutet, ist es mehr ein Produkt der fessellos schweifenden, als der, bestimmte Vorgänge und Bilder schaffenden Phantasie." Hermann Mendel, "Phantasie," Musikalisches Conversations-Lexicon: Eine Encyclopädie der gesamten musikalischen Wissenschaften für Gebildete aller Stände (Leipzig, 1890), vol. 10, 72.

³ The first has a precedent in the 16th-and early 17th-century "parody" fantasia, which was based on an existing polyphonic work such as a motet or madrigal. Variation techniques began with the virginalists, and boldness of color, texture and harmony are seen in the fantasias of Lawes. Christopher D.S. Field, "Fantasia: To 1700," The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (London, 1980), vol. 6, 381.

op.51, for flute, violin and cello, 1804; Spohr, Fantasia and Variations on a Theme of Danzi, op.81, for clarinet with string quartet accompaniment, 1814; Alkan, Variations quasi fantasia sur une barcarolle napolitaine, op.16, no.6, for piano, 1834 and Alkan, Variations-fantaisie on Themes from Mozart: Don Giovanni, op.26, for piano four-hands, 1844.

Capriccio

Like fantasy, the title “capriccio” is both concrete and metaphysical. Derived from the same sense of imagination as the fantasy, the capriccio has often been distinguished by whimsy—manifested in sudden changes of mood and a playful quality. In an attempt to clarify this distinction, Czerny concludes his extended discourse on the fantasy with a brief section entitled “Of the Capriccio,” in which humor is the prominent feature:

A Capriccio, in the fullest sense of the term, is really nothing more than a Fantasia . . . only that we should perhaps allow ourselves a greater degree of humor therein. But according to more precise and restricted signification, it is a piece which in construction may approach the Rondo, or even the Scherzo; allowing ourselves, however, greater freedom in the development, and broader limits generally.⁴

It is not surprising that Czerny suggests a rondo form, since the refrains afford opportunities for ornamented returns. Joachim Raff brings this form to the forefront in his Capriccio in Rondoform, on themes from Schumann’s Genoveva (1863).

⁴ Czerny, School of Practical Composition II, 89.

Rondo figures prominently in Hugo Riemann's distinction between capriccio and fantasy. He links the fantasy with blurring and dissolution, against which the capriccio appears pointed and sharply structured. In particular, the capriccio "with stubbornness, comes back readily to the main idea, that is to say [it] takes the manner of the rondo."⁵ Riemann illustrates this point with Mendelssohn's Rondo capriccioso, in which he also notes the spiritedness of capriccio themes and the importance of imitative writing. Riemann traces this last feature to Walther's definition of capriccio.

Along with an improvisatory quality, the element of humor is a frequently encountered characteristic of the capriccio. Only Marx defines the term as "a particularly stubborn idea or way of playing,"⁶ implying a continuous pattern more often associated with the prelude or toccata.

In such important pedagogical works as Federigo Fiorillo's "Etude pour le violon formant 36 caprices," op.3, or Rodolphe Kreutzer's "Etudes ou caprices" (1st ed., 1807), the overlap of capriccio and etude points to virtuosity as an important feature.⁷ Capriccio (like fantasy) is also used for the potpourri on operatic themes (e.g. Joachim Raff's Capriccietto on Themes from Weber's Der Freischütz, op. 35, 1847; and Caprice

⁵ "... neigt die Phantasie zum Verschwimmenden, Zerfliessenden, so liebt dagegen das Capriccio das Pointierte, Scharfgegliederte, Überraschende und kommt gern mit Hartnäckigkeit auf den Hauptgedanken zurück, das heisst nimmt die Art des Rondo an." Hugo Riemann, Katechismus der Kompositionslehre (Musikalische Formenlehre), originally published as Grundriss der Kompositionslehre (Leipzig, 1889), 3rd ed. (Berlin, 1905), II, 134.

⁶ Capriccio (wenn besonders eigensinnige Gedanken oder Spielweisen geltend werden) ..., Marx, Die Lehre, 336.

⁷ Fiorillo (1755-after 1823) and Kreutzer (1766-1831) greatly extended virtuoso violin technique. In Kreutzer's "18 nouveaux caprices ou études" (1815), the order

on Themes from Wagner's Lohengrin, op. 61, 1853), as well as for works with a folk character (e.g., Tchaikovsky's Capriccio italien, 1887, and Rimsky Korsakov's Capriccio on Spanish Themes, 1888).

A further link with vocal style is seen in the appeal of the orchestral genre to two opera composers: Bellini, Capriccio ossia sinfonia per studio (1825) and Puccini, Capriccio sinfonico (1883), later used in La Bohème (1896).

A link between capriccio and fantasy in the mind of the composer can be seen in the piano versions of Liszt's Fantasie und Fuge über das Thema B-A-C-H for organ (1856). The Präludium und Fuge über das Motiv B-A-C-H (ca.1857) is simply marked "Moderato," while the Fantasie und Fuge über das Thema B-A-C-H (1870) is marked "Moderato (a capriccio)." In the first version, Liszt reserves the "a capriccio" marking for lighter, arpeggiated material. In the second, "a capriccio" is all-inclusive, despite the additional "pesante" designation assigned to each staff at the outset. It would seem that, for Liszt, capriccio is associated more with the semblance of improvisation than with material of lighter quality.

Sudden juxtapositions and a more serious tone are tied to the capriccio in a 1912 publication by Edwin Evans, one of the many writers of his time who sought to explain music to the uninitiated:

of the two names in the earlier works is reversed.

[Brahms's Capriccio op.76, No.8] seems to have been something of a mystery to most critics; probably because of its being unusual to find so serious a style of writing associated with such a fantastic disposition of material. [He went on to sum up Huneker's view:] This is a genuine, whirling fantastic capriccio: in the second section of which we encounter a melody of the later Brahms type, delighting in seizing remote keys, or rather contiguous keys that are widely disparate in relationship and forcing them to consort; the result being perversely novel, and sometimes startling.⁸

This understanding of the term resurfaces in Stravinsky's description of his Capriccio for piano and orchestra (1929): "I let completely different episodes follow one another in conscious contrast, through which the piece maintains its capricious character, in accordance with its name."⁹ This explicit linkage of "capriccio" and episodic form points to the fantasy tradition as an antecedent of modern mosaic forms.

Of the eight works in Brahms's op.76 (1879), half are called "intermezzo" and half "capriccio," yet he simply named the set "Klavierstücke." In 1892, the composer used the title "Fantasies" for a similar grouping of piano pieces: op. 116. In both sets, Brahms's capriccios have little of the levity described by Czerny: rather, they are intensely energetic works that alternate with introspective intermezzi. The sole exception is the Capriccio in B Minor, op.76, no.2, in which a continuous staccato pattern resembles Marx's "stubborn way of playing." Schumann applies the designation "Vivace, a capriccio" to a similar figuration in his Blumenstück, op. 19.

⁸ Edwin Evans, Handbook to the Pianoforte Works of Johannes Brahms: Complete Guide for Student, Concert-Goer and Pianist (1912; rpt. New York, 1970), 194.

⁹ "... ich ganz verschiedene Episoden in bewusstem Gegensatz aufeinander folgen lasse, wodurch das Stück den kapriziösen Charakter erhält, der seinem Namen entspricht," "Erinnerungen," Schriften und Gespräche, Band I, 1983. Cited by Susanne Schaal, "Capriccio," Die Musik in Geschichte und Gegenwart, 2nd ed., ed. Ludwig Finscher (Kassel, 1995), Sachteil 2, 451.

Fantasiestück

The Brahms fantasy cycles have a precedent in the “Phantasiestücke” and related works of Schumann, which resemble song cycles:

Phantasiestücke, op. 12, 1837 (first titled Phantasien):

Each of the eight pieces has a poetic name.

Kreisleriana: Phantasien, op. 16, 1838:

The eight pieces are named with only tempo indications. The second contains two interpolated Intermezzos.

Faschingsschwank aus Wien: Phantasiebilder, op. 26, 1836-1838

Phantasiestücke, op. 111, 1851 (first titled Cyclus für Pianoforte)

Riemann reports three possibilities for short works like the “Phantasiestücke:”

lyric pieces, miniatures, bagatelles, fantasy-pieces, character-pieces . . .
sometimes correspond to songs or choruses, are sometimes caprices or etudes in nature, sometimes serious, nearer to the ballade genre.¹⁰

Like the impromptu, “fantasy-piece” is associated with an improvisatory character. Liszt used the title for a single work: Phantasiestück on Themes from Rienzi, 1859. Later fantasy cycles include two early works of Rachmaninoff:

Morceaux de fantaisie, op. 3, 1892, piano solo:

Elegie, Prelude, Melodie, Polichinelle, Serenade

Fantaisie-tableaux¹¹ (Suite No. 1), op. 5, 1893, 2 pianos:

Barcarole, A Night for Love, Tears, Russian Easter

¹⁰ “Nach diesen Erörterungen wird man sich durch die grosse moderne Literatur der lyrischen Stücke, Miniaturen, Bagatellen, Phantasi[e]stücke, Characterstücke und so weiter hindurchfinden, welche bald wirklichen Liedern oder Chorliedern entsprechen, bald capricen- oder etüdenhaft geartet sind, bald ernsthaft sich dem Balladen-Genre nähern.” Riemann, Grundriss der Kompositionslehre, II, 147.

¹¹ In his reference to the improvised potpourri as a series of images in the visual sense, Czerny made an early link between picture and fantasy. Related to Schumann’s “Phantasiebilder,” the title “Fantaisie-tableaux” also echoes in Rachmaninoff’s Etudes tableaux.

The Fantasie-tableaux exhibit two features of the fantasy tradition: variation technique and an emphasis on sonority. For example, the ternary structure of “Barcarole” is determined more by the middle section’s change of color than by tonality:

Figure 2-1: Rachmaninoff, *Barcarolle* from *Fantasie-tableaux*

A: G minor theme with ornamental variants
episode
B: G major, new theme with ornamental variants
episode
A: G minor
Coda: B transformed in minor mode, sequential closing

Also in ternary form, “A Night for Love” invokes conventions of night music—chromatic arpeggios above repeated notes and trills. Sonority generates form in “Tears”: a four-note motive builds in intensity to a central peak and then returns to the quiet of the opening. Similarly, “Russian Easter” exploits the range of the two pianos by adding layer upon layer of sound.

Other examples of the “fantasy-piece” designation are found in the early works of Edward MacDowell (1860-1908), a composer who was admired by Liszt: for instance, Fantasiestücke, 1883. The tradition continued with Max Reger (1873-1916): Fantasie-Stücke, op. 26, 1898; Samuel Coleridge-Taylor, Fantasiestücke for string quartet, 1895; and Charles Griffes (1884-1920): Fantasy Pieces, op. 6, 1915.¹²

¹² In 1907, Griffes composed an orchestral work called Symphonische Phantasie—one of his few German titles, and the title of the original version of Schumann’s Fourth Symphony.

Arabesque

The desire for innovation encouraged the new proliferation of literary titles for fantasies. Arabesque was a central structural principle in Schlegel's romantic theory.¹³ He compared arabesque to the fantasy in music, so that arabesque functioned in a manner similar to its use in Greek choral commentary, as "a total interruption of the work, a suspension of its orderly progress."¹⁴ This meaning is reflected in Schumann's Arabesque, op. 18, in which static segments are interpolated before the second statement of the theme, and again as a coda.

Early romantic literary theory emphasized such capricious, fantastic qualities. Koch required that, to suit the name, compositions entitled arabesque must be an outlet for a "willfully joking imagination."¹⁵ In his Ästhetik der Tonkunst of 1847, Ferdinand Hand maintained this connection between arabesque and the musical character of the caprice and fantasy.

¹³ Lothar Schmidt, "Arabeske," Die Musik in Geschichte und Gegenwart, 2nd ed., ed. Ludwig Finscher (Kassel, 1994), Sachteil I, 684.

¹⁴ Kritische Friedrich Schlegel Ausgabe, vol. 11, 89; trans. John Daverio in Nineteenth-Century Music and the German Romantic Ideology (New York, 1993), 28. The paradox of apparent disorder—which I have found to be a common thread in the discussion of the fantasy in musical treatises that both precede and follow Schlegel's writings—is made explicit in Schlegel's notion that, from the arabesque, "one could learn a kind of disorganization wherein confusion is properly constructed and symmetrical." II, 238, trans. Daverio, 27.

¹⁵ "Tonstücke müssen - so Koch - um dem Titel 'Arabesken' zu entsprechen, 'Ausflüsse einer muthwillig scherzenden Phantasie' sein." (1807) Schmidt, "Arabeske," 684.

While most writers associated an arbitrary character with arabesque, Eduard Hanslick (1854) co-opted the term to represent an organic unfolding of pure form.¹⁶ The decorative element of arabesque in architecture and painting had its musical realization in the figuration of Schumann's example as well as in Debussy's Deux arabesques (1888). For Debussy, the ornamented line was central to works with this title. Such ornamentation was related to nineteenth-century variation-technique, so important to the fantasy.

Rhapsody

"Rhapsody," another new title, denoted a work of unrestrained emotion and expansiveness derived from its usage in ancient epic poetry. Though Riemann claimed a structural similarity between rhapsody and potpourri, he noted that, "strangely enough, as far as [is] known to me, no one till now has given the name rhapsody to an opera-potpourri."¹⁷

Like fantasies, rhapsodies are often based on folk tunes, as in Liszt's Hungarian Rhapsodies (first set, 1839-1847; second set, 1846-1885) and Rhapsodie espagnole (piano solo, 1863, arranged by Busoni for piano and orchestra, 1894); Dvorák's Slavonic Rhapsodies, op.45 for orchestra (1878) and Enescu's Romanian Rhapsodies, op.11 (1902). Magyar dallok (Hungarian folk songs), the title used by Liszt for the first eleven of his rhapsodies begun in 1839, evolved into Magyar rhapsodiák (Hungarian

¹⁶ Schmidt, "Arabeske," 685.

¹⁷ "Merkwürdigerweise hat, soviel mir bekannt, bisher noch niemand einem Opernpotpourri den Namen Rhapsodie gegeben." Riemann, II, 137.

Rhapsodies) for the last group. More than any improvisatory quality, for Riemann, it was this association with national style that linked Liszt's Rhapsodies with "genuine" fantasies:

The name [rhapsody] came into fashion through Liszt's Hungarian Rhapsodies, which are genuine and proper fantasies, not however (or really just for the least part) composed out of separate momentary notions [Augenblickseinfällen], but exploiting [the] Hungarian national manner [Volksweisen].¹⁸

In making a connection between one of Liszt's Hungarian Folksongs and his use of form in the Rhapsodies, Busoni revealed his own conception of the rhapsody:

The form of the sixth in the first book (in G minor) with its contrasting middle section and the two variations of the principle motive makes a bridge to the Rhapsody, a name which was used from the fifth book onwards.¹⁹

In addition to his summary of large-scale structure, Busoni reports that the sixth Hungarian Rhapsody originated as an amalgamation of three of the earlier folksongs: No. 4, No. 5 (thematic material) and No. 11 (coda). He proposes an intriguing theory in which the Rhapsody emerged as a condition of Liszt's performance of these combined fragments:

¹⁸ "Der Name kam in Gang durch Liszts 'Ungarische Rhapsodien,' welche echte und rechte Phantasien sind, aber nicht (oder doch nur zum kleinsten Teile) aus eigenen Augenblickseinfällen zusammengesetzte [19th century spelling of *zusammengesetzt*], sondern ungarische Volksweisen verwertende." Riemann, 137.

¹⁹ Busoni, preface to his edition of Liszt's piano music, original text in Von der Einheit der Musik und verstreute Aufzeichnungen von Ferruccio Busoni (Berlin, 1922), 51. Translated by Rosamond Ley in The Essence of Music (London, 1957), 143. [For the original "Mittelsatz," I have replaced Ley's "middle movement" with "middle section."]

We must suppose that Liszt liked to play these three fragments in succession publicly and that he did so with popular success, for they were soon published in Paris as an independent volume by different publishers with the title Trois Mélodies Hongroises . . . We must now suppose further that in the course of his repeated performances of this piece, half following a mood and half a definite design, and the natural artistic impulse towards variety, Liszt gradually enriched and adorned the composition, so that it became strikingly different from the original edition.²⁰

Note the equal roles of mood and design typical of descriptions of the fantasy. Busoni further distinguishes the Rhapsody by its expansion of the “first sketch” contained in the folksongs:

I say “sketch” expressly, for the version lacks all pianistic embellishment and all the material necessary for a composition.²¹

Dvorák attached a similar meaning to this title, easily seen in a comparison between his Slavonic Dances and Slavonic Rhapsody: the former are short, unconnected works, alternately energetic and introspective, while the latter is a more expansive work, with elaborate linking sections and an extended coda.

Rhapsody is separate from folksong in works of Brahms and Debussy. In broad outline, Debussy’s Première rhapsodie for clarinet and piano (1910)²² resembles Liszt’s practice: slow opening section (*Rêveusement lent*), dance-like middle section (*Modérément animé, scherzando*) and fast closing section (*Plus animé, scherzando*).

²⁰ Ley, Essence, 144.

²¹ Ibid.

²² Arranged by the composer for clarinet and orchestra, 1911. Debussy had also written a Rhapsody in the Style of Liszt for solo piano, now lost.

Yet distinctions between sections are blurred by an overlap of material: e.g., near the end of the middle section (m. 124ff), the opening lyrical melody is accompanied by a dance-like figure in the clarinet. Also, the opening motive returns before the final fast section. These features represent a departure from Liszt's self-contained sections.

Rhapsody was Brahms's equivocal choice for the titles of his op. 79 (1880). The composer's uncertainty regarding the title was clearly warranted, in light of Riemann's comparison of the Rhapsodies with variously titled works by other composers:

Brahms has made one anomalous use of the names [rhapsodies], by pieces called Rhapsodies (op. 79) [in] such a manner as Schubert [was] to write under the name impromptu, Mendelssohn under the name capriccio and Chopin under the name impromptu or ballade, Schumann under the name novelette.²³

Riemann justifies this grouping by noting that the Brahms works are "more epic than lyric." The first, in B minor, is ternary, with a middle section in major. Within this ternary form, though, the A section is composed of contrasting ideas in which the lyrical idea is interrupted and dominated by the first idea. Marked "Molto passionato," No. 2 in G minor is in sonata form.

Brahms expressed second thoughts about the title in a letter to the work's dedicatee, Elisabeth von Herzogenbeg: "I would like to publish the two piano pieces you know. Can you think of a better title than Two Rhapsodies for Pianoforte?"

Her response is heavily qualified:

²³ "Einen abweichenden Gebrauch hat Brahms von dem Namen gemacht, indem er Stücke solcher Art, wie sie Schubert unter dem Namen Impromptu, Mendelssohn unter dem Namen Capriccio und Chopin unter dem Namen Impromptu oder Ballade, Schumann unter dem Namen Novellette schrieben, Rhapsodien nannte (Op. 79). . . " Riemann, 137.

You know I always prefer the non-committal term, Klavierstücke, for the very reason that it is non-committal; but I suppose that will not do, and Rhapsodies is probably the best title, though both pieces are so compact that they almost seem the contrary of rhapsodical. But of course it is more or less characteristic of these names that in the process of being used they have lost all character, and can thus be employed however one chooses . . . so welcome to my heart, these nameless ones in the misty robes of Rhapsodies!²⁴

For Herzogenberg, “rhapsody” carries the specific meaning of an expansive work, yet she states that titles have become completely arbitrary.

Compound Titles

The simultaneous perception of specific meaning and universal arbitrariness is a paradox that resonates in compound titles. A combination of terms allows composers to evoke the features of two names, thereby providing more information to performers. It was not unusual to link the waltz with the fantasy, as in Glinka’s Valse-fantaisie for piano (1839, orchestrated 1845, reorchestrated 1856, published 1878) or Satie’s Fantaisie-valse for piano. 1885. Similarly, in a compound title like Valse caprice (e.g. Liszt’s Trois caprices-valses, 1850 and Reger’s Walzer-Capricen, 1892) the whirling energy associated with the caprice can enhance that of the waltz. On the other hand, the existence of compound names can be used to support the notion that titles were becoming somewhat arbitrary, as Frederick Niecks implies in his 1890 biography of Chopin: “Isn’t the title Fantaisie-Impromptu [op.66] actually a pleonasm?”²⁵

²⁴ Hans Gal, ed. The Musicians World: Letters (London, 1965). [trans. of Brahms, Briefwechsel mit Heinrich und Elisabeth von Herzogenberg, ed. M. Kalbeck (Berlin, 1907).]

²⁵ “Ist nicht der Titel Fantaisie-Impromptu eigentlich ein Pleonasmus?” Frederick Niecks, Chopin als Mensch und als Musiker II (Leipzig, 1890), 283.

The increasing overlap of titles is supported by Lobe's observation that, in etudes, fantasies, impromptus, etc., form is based on the variation principle.²⁶ Even d'Indy, in a rare criticism of his teacher, notes that Franck's early piano works of the 1840s

without exception, be they called eclogue, ballade, caprice, or fantasia, are all written on one and the same plan: an Allegro enclosed between two statements of the same theme, sometimes preceded by a brief introduction. They are, moreover, rendered rather monotonous by the entire lack of modulation.²⁷

Similarly, Mendelssohn's op. 16 piano works entitled Fantaisies ou Caprices are often cited as evidence of the superfluity of titles. While it may indeed point to an arbitrary choice, this dual title also affirms the ephemeral qualities associated with the fantasy from the outset—like the figurative connotation of a freely roaming imagination, the title cannot be pinned down.

Compound titles prove meaningful for Tchaikovsky's orchestral fantasies: "symphonic fantasia" makes sense for Francesca da Rimini (1876) since, unlike the fantasy overtures, this work is not connected to sonata form. Fantasy Overture, the double title used for both Romeo and Juliet (1869; rev. 1870 and 1880) and Hamlet (1888), is a flexible construction—neither term is relegated to a modifying role. Accordingly, Hamlet is a fantasy²⁸ with sonata form affinities, while Romeo and Juliet maintains closer ties to sonata form and can be viewed as an overture with fantasy qualities.

²⁶ Johann Christian Lobe, Lehrbuch der musikalischen Komposition, I, (1850, third edition, 1866), 392, original text given in Chapter Three.

²⁷ D'Indy, César Franck, trans. Rosa Newmarch (1910; rpt. New York, 1965), 119.

²⁸ Chapter Six examines in detail Tchaikovsky's use of compound titles.

Tchaikovsky used the title Concert Fantasy for a work for piano and orchestra in a unique form (1884).²⁹ Busoni chose not to publish his Concert-Fantasie, op. 29 for the same medium (1889). He revised the work four years later as the Symphonisches Tongedicht for orchestra, op. 32a, a decision that shows the relationship between fantasy and symphonic poem in the mind of the composer.

Another type of compound title is the “sonata quasi una fantasia” and its reverse formation—“fantasia quasi una sonata.” Precursors by Beethoven and Liszt have their late-nineteenth century counterpart in Scriabin’s Sonata No. 2 (Sonata-Fantasy) in G-sharp minor, op. 19 (1892-1897).³⁰ An early work, this sonata seems straightforward when compared to Scriabin’s Sonata No. 5, which registers frequent changes of expression and tempo that are associated more with the fantasy than the sonata: from “languido” to “allegro fantastico” and “con una ebbrezza fantastica.”

Yet the two-movement plan of the Sonata-Fantasy (Andante:Presto) is related to the opera fantasies of Liszt, which have a slow introduction and lively close.

Independent of the harmonic orientation of sonata form, this Andante uses its G# center as a pivot to B and E major, the key in which the movement ends.

²⁹ This work is analyzed in Chapter Seven.

³⁰ This combination first attracted Scriabin at the age of 14, when he wrote a Fantasy Sonata in G# minor (1886). It is not the same work as his Second Sonata. Carlos Chávez (1899-1978) wrote his Sonata fantasia for piano at age 18. The precursors by Beethoven and Liszt are discussed in Chapter One, 68-69, and 94-100, respectively.

Reflecting the influence of Liszt's thematic transformation, melodies are generated by a brief opening cell that is also the basis for the following Presto, a ternary structure, the middle section of which is a transformation of the Andante theme.³¹

Toccata

In its repeated figuration, Scriabin's Presto resembles a toccata, the title reserved by Marx for a fantasy type "marked by exceptional virtuosity."³² Riemann finds that the modern toccata alternates between chordal style and passagework, "even though, for instance, the piano toccatas of Czerny and Schumann are in equally fast notes from beginning to end."³³ Fittingly, in Busoni's Toccata for piano (1920), the fast outer portions exploit technical dexterity, and the large middle section is explicitly linked to the fantasy:

Prelude: Quasi presto, arditamente
Fantasia: Sostenuto, quasi adagio
Ciaccona: Allegro risoluto

Affinities with the fantasy are visible in Busoni's writings on the toccata as well:

The toccata certainly consists in improvisation and reflection, momentary ideas and elaboration, easily inclining towards fluency, feeling, or form; tarrying here, quickly breaking off there, playing transiently from one to the other and mostly without the pretension of representing anything permanent.³⁴

³¹ In contrast to this view, Fabian Bowers proclaims that "throughout all ten sonatas Scriabin maintained his loyalty to the sonata form." The New Scriabin: Enigma and Answers (New York, 1973).

³² "Tokkate (wenn sich in der Phantasie ein besondrer Spielreichthum zeigt)." Marx, Die Lehre, 336.

³³ "...wenn auch zum Beispiel die Klaviertokkaten von Czerny und Schumann von Anfang bis zu Ende in gleichem schnellen Noten...sind." Riemann, 124.

³⁴ Busoni, Einleitung zu Bachs Tokkaten, Zurich, August 1916, original text in Von der Einheit der Musik und verstreute Aufzeichnungen von Ferruccio Busoni (Berlin, 1922), 246. Trans. by Ley in The Essence of Music, 100.

Improvisation is intimately bound to the fantasy and related genres.

Improvisation and the Fantasy

The semantic overlap of improvisation and fantasy is especially evident in Czerny's composition manual. In fact, his chapter on the composed fantasy actually begins with a description of the improvised fantasies of Beethoven and Hummel:

True extemporizing or improvisation on the Pianoforte consists, as is known, in resigning ourselves to the fancy and inspiration of the moment, without preparation and even without thought, and thereby creating musical pieces, which (with the observance of the rules of harmony) produce by their unconstrained, surprising variety, and spirited connection, a peculiar charm.³⁵

The seeming contradiction that music created "without thought" can be marked by the "observance of the rules of harmony" is related to the paradox of "planned disorder" that I have traced throughout the history of the fantasy, though Czerny may simply mean that the rules are so internalized that the composer follows them without needing to think about it. In his portrayal of the fantasy as the "approximation" of such freedom, Czerny emphasizes the relationship between improvisation and the fantasy:

If it were possible immediately to commit to paper such improvisations as are made in propitious moments, we should possess the most complete works of this kind, particularly by such great masters as Beethoven and Hummel. But as this is, alas! impracticable, the composer must endeavour, in writing such Fantasias, to approximate as closely as possible to the freedom of extemporizing.³⁶

Like Koch's "appearance of improvisation," Czerny's "approximation" sets the illusion of improvisation as the goal for the composed fantasy.

³⁵Czerny, School of Practical Composition, I, 82.

³⁶Czerny, Composition I, 82.

Mendel shares Czerny's amazement at the phenomenon of Beethoven's improvised fantasies. But by the 1880s, he observes, the freely improvised fantasy was no longer used even in cadenzas, which had become a more significant part of concerto form. We can observe a decline in status from Czerny's elevated examples—the improvised fantasies of Beethoven and Hummel—to Mendel's ultimate disavowal of the free fantasy:

... like all improvisations, it belongs in the quiet sphere of private houses ... In the concert halls of our day, it only too easily becomes a juggling act. In the best cases, it is child's play with borrowed, charming sound effects.³⁷

For Mendel, the improvised fantasy had descended to empty virtuosity.

It was toward the middle of the century that the term "improvisation" gradually replaced "fantasy" in discussions of actual improvisation.³⁸ And from this point, as the practice of improvisation declined, its emulation remained a goal that is visible in the free treatment of form. The same freedom that d'Indy would later characterize in the fantasy as an "escape from the rules of composition" is at the heart of Czerny's monograph on improvisation:

... this form, independent of any rule, is the most suitable of all to bring out and to express within a stately aspect the picture of the inner life and of aesthetic sensibility, that the stricture of a regular composition would weaken.³⁹

³⁷"...wie alle Improvisationen, gehört sie in die stillen Räume des Hauses...in die Concertsäle unserer Tage, wird es nur zu leicht zur Gaukelei, im besten Falle Spielerei mit erborgten, nervenreizenden Klangeffekten." Mendel, Conversations-Lexicon, 72.

³⁸ Thomas Seedorf, "Improvisation," Die Musik in Geschichte und Gegenwart, 2nd ed., ed. Ludwig Finscher (Kassel, 1996), Sachteil 4, 569.

³⁹"...cette forme indépendante de toute règle, est la plus propre de toutes à mettre en dehors et à manifester sous un aspect imposant l'image de la vie intérieure et du sens esthétique, que la gêne d'une composition régulière doit affaiblir." Czerny, L'art d'improviser mis à la portée des pianistes (Paris, 1834), 34.

Besides independent form, another parallel between improvisation and fantasy is the unveiling of emotion—of “the inner life”—which I have shown to be an important aspect of the fantasy tradition.⁴⁰ Similar to Czerny's description is Marx's notion that “the life of the soul” is externalized in free fantasies. Perception of a direct expression of feeling sustains the appearance of improvisation.

Robert Wangermée extends this illusion of improvisation from the fantasy to related genres:

the numerous poetic works that characterize the time—fantasies, impromptus, preludes . . . carefully composed cadenzas—are only enactments of improvisations: through all of these, one wants to give the illusion of improvisation.⁴¹

Wangermée describes an important irony inherent in nineteenth-century style:

...but all these improvisations are written...so as to give the least planned impressions, the most disorderly fantasies: without admitting it openly it is understood that the most beautiful disorders are not born of the imagination by chance, that they are an effect of the most finely worked art, the most “composed.”⁴²

This balance of freedom and control is central to Liszt's style as described by Busoni:

⁴⁰ See Introduction, 12-13.

⁴¹ “...les nombreuses pièces poétiques qui caractérisent ce temps — les fantaisies, les impromptus, les préludes —...les cadences soigneusement composées ne sont que des simulacres d'improvisation: par tout cela, on veut donner l'illusion de l'improvisation.” Wangermée, “L'Improvisation pianistique au début du XIXème siècle,” *Miscellanea musicologica Floris van der Mueren* (Ghent, 1950) 253.

⁴² “... mais ces improvisations, toutes, sont écrites...afin de donner les impressions les moins prévues, les fantaisies les plus désordonnées: sans l'avouer ouvertement on a compris que le plus beau des désordres ne naissait pas aux hasards de l'imagination, que c'était un effet de l'art le plus travaillé, le plus composé.” Wangermée, *L'Improvisation*, 253.

The secret of Liszt's ornamentation is its symmetry. A classic's certainty of form is combined with the freedom of the improviser, the harmony of a revolutionary lies within the calm hand of a ruler.⁴³

In his review of Liszt's return to the stage, Hanslick reminisced on the performer's Vienna concert series of 1846, revealing much about performance practice and the relationship between the fantasy and improvisation:

That he was dependent on his moods only raised him so much higher in the opinion of the public, which had grown weary of the uniformly clean art of the earlier virtuosos with its chessboard-like precision. I remember how Liszt, being incessantly recalled after a bravura piece on Spanish national melodies, seated himself once more at the piano and, being in excellent humor for it, took up the principal theme anew, and worked it up in a short, free improvisation full of the most astounding difficulties.⁴⁴

By the time of Liszt's return concert, 1874, there is no mention of an improvisation. This supports Mendel's report that improvisation did not survive outside organ practice:

Beethoven's aristocratic circle was almost more excited by his free fantasies than by his colossal works. After his dazzling model, it became the custom of keyboard virtuosi to improvise on given themes. Mendelssohn still complied with this practice in his public appearances as pianist in the fourth decade of our century. Now the practice has died out, and rightly so.⁴⁵

⁴³ Busoni, "Vorbemerkungen zu den Etuden von F. Liszt," Berlin, 1909, original text in Von der Einheit der Musik. Verstreute Aufzeichnungen (Berlin, 1922), 109, translated by Ley in Essence, 155. [I have substituted "of the improviser" ("des Improvisators" for Ley's "of improvisation."]

⁴⁴ Dwight's Journal of Music, Vol.33, no.24, 7 March 1874, translation of Hanslick in Neue Freie Press, reviewing Liszt's return concert in Vienna on 11 January 1874. (The translator is not named.)

⁴⁵ "Wohl meist nach dem glänzenden Muster Beethovens, der bekanntlich durch seine freien Fantasien die Bewunderung der hocharistokratischen Kreise Wiens fast mehr erregte, als durch seine gigantischen Compositionen, wurde es Sitte bei den Claviervirtuoson, über gegebene Themen freie Phantasien zu improvisiren und noch Mendelssohn fügte sich dieser Sitte in der ersten Zeit eines öffentlichen Auftretens als Clavierspieler in den dreissiger Jahren unseres Jahrhunderts. Jetzt ist sie, und mit Recht erloschen." Mendel, 72.

For organists, improvisation continued in preludes, postludes and the introductions to hymns. The affinity toward improvisation is particularly characteristic of the French organ school, as reflected in the Traité d'improvisation à l'orgue by Duprés (1925).⁴⁶

An important contributor to this medium is César Franck, whose position of organist at Saint-Clothilde allowed him access to a wonderful instrument to which he

came every Sunday and feast-day . . . pouring his spirit in wonderful improvisations which were often far more lofty in thought than many skillfully elaborated compositions.⁴⁷

Franck's organ fantasies grew directly from these well-documented improvisations. The first is part of a group published as Six pièces (1860-1862): Fantaisie; Grande pièce symphonique; Prélude, fugue et variation; Pastorale; Prière; Final. The formal division of the Fantaisie into three sections is defined by changes of theme, key and character:

Figure 2-2: Franck, *Fantaisie* from Six pièces (1860)

Poco lento	C major	Theme 1: a / b (canonic) / a
Link: "animez beaucoup"	modulatory (based on diminished 7ths)	
Allegretto cantando	F minor	Theme 2: a / b (modulatory) / a (invertible counterpoint)
Link: Quasi lento	modulatory	reference to Theme 2
Adagio	C major.	Theme 1: reshaped in triple meter

⁴⁶ Seedorf, "Improvisation," 572.

⁴⁷ D'Indy, César Franck, 42.

A very different fantasy opens Franck's Trois pièces (1878): *Fantaisie: Cantabile: Pièce héroïque*. Much more diffuse than the first, this work takes unexpected harmonic turns and treats returning melodies freely. A quality of development is present from the outset in the interruptions and digressions from the three main themes, each of which becomes increasingly fragmented until a final, full-voiced statement of the first theme is made. Franck declines to finish with this culminating version, ending instead with quiet fragments of theme 3:

Figure 2-3: Franck, *Fantaisie* from Trois pièces (1878)

Theme 1	A major	in two phrases: a=melody; b=static area of contrasting harmonic color (to F#)
Theme 2	A minor	retains rhythm of Theme 1; new texture and melody; chromatic slippage akin to improvisation at the keyboard
Theme 1-3	C#M/m: EM/m	fragments of Theme 1 antecedent phrase alternate with new Theme 3
Functions as Coda:		
Theme 1a	Em/Dm: D/Gm	Poco animato: stretto version of 1a in new meter alternates with stretto in original meter
Theme 2		fragments alternate with Theme 1b
Theme 1a		Très largement
Theme 2	A minor	fragment
Theme 3	A minor	fragment

In his biography of Franck, d'Indy lavishes praise on the first Fantaisie, yet he avoids a discussion of the second, supposedly in the interest of space in the volume. Perhaps he was squeamish about supporting a freely formed work, though, apparently, his teacher had no such qualms:

But when by chance in our first stammering musical utterances we hit upon some new modulation logically brought about, or some attempt at novelty of form which had a certain interest, he would bend over us murmuring: "I like this, I like this!"⁴⁸

Fantasies on Existing Themes

Central Figures: Liszt and Busoni

The primary sources for nineteenth-century fantasies on existing material are national themes, operas and improvisatory reflections on the name and style of Bach. While many composers used works of one or another type early in their careers, Liszt and Busoni stand out for writing fantasies of all three types throughout their careers. Examples on national themes include Liszt's Fantaisie romantique sur deux mélodies suisses for piano (1836)⁴⁹; Fantasie über ungarische Volksmelodien for piano and orchestra (1853); and Rhapsodie espagnole (1863). His Hungarian Rhapsodies span the period 1846-1885, and he wrote twenty-six opera fantasies between the years 1829 and 1882. There are four versions of his original organ work on B-A-C-H: Fantasie und Fuge über das Thema B-A-C-H, for organ, 1856, 2nd version 1870; piano versions under two titles—Präludium und Fuge über das Motiv B-A-C-H ca. 1857; and Fantasie und Fuge über das Thema B-A-C-H, 1870.

⁴⁸ D'Indy, Franck, 237.

⁴⁹ These melodies are used again in Liszt's Années de pèlerinage, Suisse (1848-1854).

Continuing in Liszt's footsteps, Busoni turned to American Indian melodies for his Indianische Fantasie for piano and orchestra, op.44 (1913) and to opera for both his early Fantasie über Motive aus 'Der Barbier von Bagdad', komische Oper von Peter Cornelius, for piano, 1886⁵⁰ and Kammer-Fantasie über Bizets Carmen, 1920. His lifelong interest in Bach culminated in the Fantasia nach J.S. Bach, 1909: Improvisation über Bachs Chorallied 'Wie Wohl ist mir' for two pianos, 1916 and in the four versions of his monumental Fantasia contrapuntistica written between 1910 and 1922.

The Voice: Folksong and the Fantasy

We have already noted that the melodic style of instrumental fantasies is strongly associated with a vocal style. The voice is even more conspicuous in the subtypes of the fantasy on themes from folksong and opera.

Like the fantasy itself, folksong plays a large role in Russian music. In September 1844, Glinka described his proposed "fantaisies pittoresques" as works "employing perfect instruments and perfect performing technique" that would "communicate equally with connoisseurs and the ordinary public."⁵¹

⁵⁰ Liszt had arranged the overture to this opera for orchestra in 1877.

⁵¹ David Brown, "Glinka," The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (London, 1980), vol.7, 440. The source is a letter from Glinka to Nestor Kukolnik, April 1845, quoted by Stasov in "Twenty-Five Years of Russian Art: Our Music" (1883), trans. Florence Jonas in Selected Essays on Music (New York, 1968), 73.

This objective resulted in Glinka's two Spanish Overtures (1845 and 1851). Originally called Capriccio brillante on the jota aragonesa,⁵² the first is based on the "jota" (a Spanish dance) and its variations, which Glinka heard performed in Spain by a local guitarist. The Overture displays a combination of sonata form and variation technique: the "jota" provides the first theme as well as the harmonic progression for the variations that comprise the second theme. The second Spanish Overture, originally Recuerdos de Castille (1848), was expanded by Glinka and renamed Souvenir d'une nuit d'été (1851). The mirror structure of the latter version is based on the juxtaposition and variation of two Spanish folksongs. Glinka's work on these "fantasies pittoresques" culminated in his celebrated orchestral work Kamarinskaya (1848), in which techniques of juxtaposition and variation were applied to two Russian tunes.

Stasov, a prominent advocate of national music, cites the use of Russian folk melodies "in their true coloring, flavor and character" as a distinguishing compositional element.⁵³ Interestingly, the influential Balakirev (to whom not only ardent nationalists but also Tchaikovsky turned for advice and approval) felt that only certain genres were suitable for folksong. He discouraged students from using folk themes in the sonata-form movements of symphonies or sonatas, but folksong was highly appropriate, he believed, in overtures and symphonic poems, even though many are written in sonata form.⁵⁴

⁵² Despite its new name, the first overture remained connected with the jota in the mind of the composer. In 1850, he wrote: "I give the Overture Jota and Kamarinskaya to the concerts of the Philharmonic Society with pleasure," cited by David Brown, Glinka (London, 1974), 266.

⁵³ Vladimir Stasov, "Twenty-Five Years of Russian Art," 72.

⁵⁴ As noted by Edward Garden in "Balakirev's Influence on Musorgsky," in Musorgsky:

That Tchaikovsky avoids folksong in his orchestral fantasies is no doubt due to their Western literary sources. In the opening movement of the Second Symphony (Tchaikovsky's only symphony that relies heavily on folksong), the song "Down the Mother Volga" is restricted to the introduction while the two subjects of the main Allegro are original themes. Folksong does dominate the finale, not a sonata-form movement but a set of variations on the folksong "The Crane" with the addition of an original secondary theme.

Not limited to Russia, the association of folksong with the fantasy is seen in Bruch's justification of the title Scottish Fantasia: he could not use the name concerto since folk tunes are used. Yet the significance of folksong extends beyond a criterion for this work's title. Bruch identified the essential qualities of folksong—simplicity, beauty, introspection, greatness and tenderness—as elements of the ideal melodic prototype for "the latest school" of composers.⁵⁵ In the charged partisan atmosphere, Bruch wore his allegiance to folksong as a badge of honor to counter criticism that his music was too reactionary. The contrast between artifice and true feeling frames Bruch's view that modernism is sentimental, while folksong embodies pure sentiment, stripped of distorted exaggeration.⁵⁶ Folksong is Bruch's answer to modern sentimentality, which he attacks in partisan terms:

In memoriam, 1881-1981, ed. Malcolm Hamrick Brown (Ann Arbor, 1982), 13.

⁵⁵"Hier konnte die allerneueste Schule lernen, was Melodie ist, und aus diesem Jungbrunnen sollte Jeder schöpfen. Alles Erkünstelte, trete es auch zu Zeiten noch so anmassend und gewaltsam hervor, vergeht; aber der echte Naturton, wie er im Volkslied erklingt, bleibt ewig, und nur diejenigen melodischen Gedanken haben Dauer, die sich der Einfachheit, Schönheit, Innerlichkeit, Grossheit und Zartheit des wahren Volksgesangs anschliessen." Letter of February 11, 1893 to Simrock regarding a

In our time, how can one expect an appreciation of a noble "folk quality" [Volksthümlichkeit] from people who are so stupid and unmusical as to be enthusiastic about the atrocious products of Strauss, Reger and their gang?⁵⁷

In Bruch, the conservative German, we see as vigorous a champion of folk music as in the radical nationalist Balakirev—common ground that mitigates against d'Indy's broad dismissal of Russian composers on the basis of their excessive use of folk themes.

Bruch and Balakirev were not alone in their espousal of folksong as a source for overtures and fantasies. We have seen that Liszt looms large in this category. Because his Fantasie über ungarische Volksmelodien for piano and orchestra (1853) exists in four versions, it is a good case study. A reworking of the Hungarian Rhapsody No. 14 in F minor for piano solo (1853), this fantasy was arranged once again for piano four-hands in 1874, based on an earlier version for orchestra alone. The 1874 arrangement coincided with his return to the concert stage, for which two fantasies for piano and orchestra were programmed: Liszt's arrangement of Schubert's Wandererfantasie and his own Fantasie über ungarische Volksmelodien. Hanslick reviewed the latter as a Hungarian Rhapsody for piano and orchestra, but since Fantasie is the only title that Liszt employed in a work for these forces, it appears that the borrowed material allowed one title to replace the

collection of folksongs. Wilhelm Lauth, "Max Bruchs Anschauungen über Volksmusik," in Max Bruch-Studien, ed. Dietrich Kamper, 1970, 109. (MBAUV in subsequent notes.)

⁵⁶"Als Volkslied-Narr haben Sie mich kennen gelernt; ich suche und forsche u. studiere, wo u. wie ich nur kann und erkenne täglich mehr, von welcher unberechenbaren Wichtigkeit derartige Studien für die Einfachheit der musikalischen Empfindungsweise und die Abstreifung moderner Sentimentalität sind." Letter to Paul Heyse, December 12, 1862, Lauth, MBAUV, 108.

⁵⁷"Wie könnte man in unserer Zeit von Leuten die so dumm und unmusikalisch sind dass sie sich für die grauenhaften Producte der Herren R. Strauss, Reger u. Consorten begeistern, Verständniss für edele Volksthümlichkeit erwarten?" Letter to Carl Hopfe, March 23, 1906, Lauth, MBAUV, 109.

other. In the critic's description, the virtuosity linked with the early fantasy was still important to the public of 1874:

The Allegro strikes through many effects which belong to Liszt alone, such as the hammering of both hands on one key and the peculiar imitation of the cymbals.⁵⁸ In an inimitable manner Liszt has caught the chirping, beating, hammering and die-away whistle of this chief and favorite instrument of the Hungarian gypsies. In a stormy run of octaves Liszt flies to the end of his Rhapsody, the many-hundred-headed public clap, shout, rise from their seats, are never weary of calling the master out.⁵⁹

Freely constructed around three existing melodies, this Fantasy uses the term both as a title and in the expression "Molto adagio, quasi Fantasia," indicating an improvisatory section that occurs after the first folk song. Features common to all the fantasy sub-types are prominent here: slow introduction; statements and variants of the existing themes; expansive linking areas between themes; and animated closing section. (Figure 2-4 follows.)

⁵⁸ It seems that the translator misinterpreted "cimbalom" as "cymbals."

⁵⁹ Dwight's Journal of Music, Vol.33, no.24, 7 March 1874, translation of Hanslick in Neue Freie Press, reviewing Liszt's return concert in Vienna on 11 January 1874. (The translator is unnamed.)

Figure 2-4: Liszt, Fantasie über ungarische Volksmelodien, piano and orchestra (1853)

Andante mesto "a capriccio"	E minor	introductory: piano interpolates dotted rhythm in 4ths, imitating cimbalom
Adagio		
Cadenza: Allegro molto		
Allegro eroica	E major	Song I, variant 1
Molto adagio, quasi Fantasia		based on cimbalom figure
Allegretto alla Zingarese stringendo	A minor	Song II, variants 1 and 2 Link: cimbalom figure
Molto animato	Db major	Song I
Cadenza	C# minor	Song I: consequent, piano alone, clarinet interpolates cimbalom figure
Vivace assai	F: dm	Song III, variants 1 and 2
Prestissimo Coda	F major	Song III, variant 3
	E major	Song I, antecedent
	F major	Song I, full statement, bravura closing section

Form is created by the alternation of folk songs (and their variants) with linking material derived from the imitation of the cimbalom. The return to Song I at the close implies ternary form on the thematic level, but there is no real return to the tonic. Instead, a brief reference to the opening tonality leads to a closing section in F major, the key of Song III, a chromatic inflection above the opening tonic.

Though much of the same melodic material is used, this Fantasy is not a straightforward arrangement of the earlier solo Rhapsody. In contrast to the rhapsody, in which one tune follows another, Song I returns as a central pole before the cadenza, and again as a conclusion. This separates the work from the type that is disparaged in d'Indy's perfunctory description of rhapsody: a series of tunes are not only "stitched together" but "badly sewn of heavy thread."⁶⁰

Other examples of folksong-based fantasies in the period under study include:

Rimsky-Korsakov: Fantasia on Serbian Themes, 1867, rev. 1869 and 1892

Lalo: Fantaisie norvégienne, violin and orchestra, 1878

D'Indy: Fantaisie sur des thèmes populaires français, oboe and orchestra, 1888

Arensky: Fantasia on a Russian Folksong, piano and orchestra, 1899

Glazunov: Russian Fantasy, 1906; Finnish Fantasy, 1909

The Voice: Opera Fantasies

Liszt's opera fantasies are structurally similar to his folksong-based fantasies. As Busoni noted, each of them

opens with a detailed introduction, solemn or atmosphere-producing, followed by a lyrical middle episode, from which a bridge is thrown, generally by a modulating, hastening episode (touching upon the earlier and coming motives) to the Finale which constitutes a movement of more lively character.⁶¹

⁶⁰ "... ces 'airs cousus ensemble' qui justifieraient mieux par cela même le titre Rhapsodie, à moins que la qualité de ces airs, si mal 'cousus' de gros fils ..." D'Indy, Cours II, 299.

⁶¹ Busoni, "Mozart's Don Giovanni und Liszt's Don Juan Fantasie," Zurich, June 1917, original in Von der Einheit der Musik, 259; translated in Essence, 93. [I have substituted "touching upon" for "in which the earlier and coming motives appear" ("die die früheren und die kommenden Motive anklingen lässt").] Charles Suttoni describes a similar three-part plan as the basis for opera fantasies in general: "(1) a clearly defined introduction which may incorporate some of the opera themes or original material, (2) one or more themes from the opera which are developed or varied to some extent, (3) a spirited finale which may introduce a new theme and/or recall

In particular, Busoni admired Liszt's Réminiscences de Don Juan⁶² (1841) for its balance of popular appeal and aesthetic value:

Out of his correct instincts, Liszt has taken it upon himself to underline the demonic in paraphrasing three main moments of the opera. . . The choice of these three moments from the riches of the entire work is typical for the reliable grasp of what is important. In that respect Liszt was never mistaken: he knew to choose the "catch word" for the intended impression and to appeal to the public.⁶³

The three moments to which Busoni refers are actually four: both the cemetery and banquet appearances of the Commendatore in Act II; the Act I duet "Là ci darem la mano"; and the Act I aria "Finch'han dal vino." Since it connotes both narrative and hindsight, the term "reminiscence" seems especially appropriate here: the work begins with the music of the avenger and continues with the opera's earlier moments. This reverted large-scale structure is visible in Liszt's reordering of the original material within "Finch'han dal vino": it begins with the brief section in minor that occurs in the middle of the original aria, and expands this segment through chromatic sequences.

Thus the Commendatore's music pervades the fantasy, functioning something like a rondo refrain, recalled first as a bridge to the second aria, and again in the brief coda:

earlier thematic material." "Piano and Opera: A study of the Piano Fantasies written on Opera Themes in the Romantic Era," Ph.D. diss. (New York, 1973), 35.

⁶² Liszt uses the title "réminiscences" for several opera fantasies, e.g., Réminiscences de Lucia di Lammermoor, 1835; Réminiscences de Norma, 1841; Réminiscences de Simon Boccanegra, 1882.

⁶³ "Aus seinem treffenden Instinkte heraus hat Liszt, in der Paraphrasierung dreier Hauptmomente der Oper, das "Dämonische". . . zu unterstreichen unternommen. Die Wahl dieser drei Momente ist bezeichnend für das sichere Erfassen des Wichtigen aus der Fülle des Gesamtwerkes. Darin hat Liszt nie geirrt: er wusste das "Schlagwort" für den beabsichtigten zuzurufen." Busoni, "Mozart's Don Giovanni

Figure 2-5: Liszt, Réminiscences de Don Juan

mm. 1-57	Grave	Commendatore
1 - 24		Cemetery: "Di rider finirai pria dell'aurora. Ribaldo, audace, Lascia a' morti la pace."
25 -39		Elaboration of chromatic scale passages that appear in both the original Overture and banquet scene
40-47		Banquet: "Non si pasce di cibo mortale chi si pasce di cibo celeste."
48-55		Chromatic elaboration
58-296	Andantino	Theme and Two Variations on "Là ci darem la mano," elaborate cadenzas between Andante and Allegro segments
297-355	Dramatico	Bridge: based on Commendatore's stepwise ascent, "Tu m'invitasti a cena, il tuo dover or sai" (banquet) and abstraction of chromatic scale passages
355-568	Presto	"Finch'han dal vino": begins with middle section in which Don Giovanni reveals his intentions
569	Più animato	original middle section
584	Più presto	chromatic abstractions
616	Prestissimo	original middle section
634	Andante	Codetta, based on opening Commendatore rhythm

Elaborate links between sections of the transcribed duet are akin to Liszt's recitative style in the Sonetti del Petrarca, which date from the same period. While there are large segments of directly transcribed material, the pervasiveness of the Commendatore's music and the use of chromatic elaboration distinguish this fantasy from an arrangement.

und Liszt's Don Juan Fantasie," 258.

The Voice: Potpourri

A revealing description of the potpourri as a type of fantasy (in the sense of improvisation) is found in Czerny's Systematic Introduction to Improvisation.⁶⁴ Specific features include the combination and development of themes; juxtaposition of images explicitly related to a visual interpretation; sources in opera, ballet, folksong, or any well-known work; a slow/fast tempo order, and the use of variation. We have seen this cluster of traits in our discussion of fantasies on existing themes, and it will play a role in the works discussed in Chapters Six through Eight.

Whether speaking of the improvised or composed type of potpourri, Czerny distinguishes between inferior and ideal examples. The composed potpourri can be a high-quality work if it meets certain conditions:

The putting together of themes without any connecting passages would form a so-called Quodlibet, destitute of merit. But, in such Fantasias, the composer must sufficiently bring into operation his peculiar gift of invention, both as regards variations, connecting passages and embellishments, as well as the ingenious and suitable connection of the numerous subjects; so that this species, when successful, must by no means be deemed insignificant.⁶⁵

⁶⁴ Czerny, Systematische Anleitung zum Fantasieren, trans. and ed. Alice Mitchell (New York, 1983), 86-88. The original Kassel edition is undated, given as 1836 in Ernst Ferand's Die Improvisation in Beispielen (Köln, 1956), 22. Mitchell suggests that the French edition of 1840 (Paris: M. Schlesinger) was translated by Czerny himself.

⁶⁵ Czerny, Composition, 87.

On the other hand, Marx includes the potpourri as a fantasy-type that is “for the most part a stew from other bowls.”⁶⁶ This summary dismissal is echoed in d’Indy’s complaint that the potpourri “consists of a simple juxtaposition, without definite order, of the motives, the tunes of the score, something like a table of contents.”⁶⁷ Undoubtedly this negative view of the potpourri throughout the latter nineteenth century lets Tchaikovsky publish his Potpourri on Themes from the Opera Voyevoda (1868) under the pseudonym Cramer.

A similar understanding of potpourri prompted Busoni to regard Liszt’s opera fantasies in a separate light:

Liszt’s sophisticated opera fantasy is distinguishable from the plebeian pot-pourri by its well-considered choice of themes, by its systematic arrangement of form and contrasts, and by the effort to expand and fill out the motives which are chosen.⁶⁸

Like Czerny, Busoni points to criteria that demonstrate the composer’s creative contribution to the artwork. For Busoni, though, this same measure applies to transcriptions:

The way in which Liszt ennobles the trivial, enlarges the small, pushes forward what is important, and develops what is great, is all shown incontestably in the Fantasies and transcriptions. In this complete edition these take their place as one half, and not the less important one, of Liszt’s genius for the pianoforte.⁶⁹

⁶⁶ “. . . des Potpourri (meist ein Ragout aus Andrer Schüsseln),” Marx, Die Lehre, 336.

⁶⁷ “. . . elle consiste en une simple juxtaposition, sans ordre défini, des motifs, des airs de la partition, quelque chose comme une table des matières.” D’Indy, Cours de composition, 283.

⁶⁸ Busoni, “Mozart’s Don Giovanni und Liszt’s Don Juan Fantasie,” Zurich, June 1917, original in Von der Einheit der Musik, 259; translated in Essence, 92. [I have substituted “sophisticated” (weltmännische) for Ley’s “well-bred.”]

⁶⁹ Busoni, “Vorbemerkungen zu den Etuden von F. Liszt,” Berlin, 1909, original in Von der Einheit der Musik, 109; translated in Essence, 155.

At issue is more a notion of creation and production than any generic bias. This aesthetic question is important for fantasies on existing themes, since they are often regarded as arrangements and dismissed on that basis. A precedent for such judgment is seen in Fétis's complaint that

To hear one modern fantasy is to hear them all, since they are all composed on the same model, with the exception of the principal theme, which is not even [of the composer's own] invention; for it is almost always the melody of a song or an operatic aria which is in fact [left] pure. The fantasy always ends with variations on this theme, no different from l'air varié.⁷⁰

Fétis is equally annoyed by the reliance on an existing theme and by the use of variation form. Busoni, who (like Liszt) devoted a large portion of his work to transcriptions and arrangements, suggested that preference for variation form⁷¹ was bothersome for a different reason:

If the variation form is built up on a borrowed theme, it produces a whole series of transcriptions and the more regardless of the theme they are, the more ingenious is the type of variation. Thus, *arrangements* are not permitted because they change the original whereas the *variation* is permitted although it *does* change the original.⁷²

⁷⁰ After describing the skillful examples composed by Bach, Handel and Mozart, Fétis laments the sorry state of the fantasy in his own day: "Entendre une fantaisie moderne, c'est les entendre toutes, car elles sont toutes faites sur le même modèle, sauf le thème principale, qui n'est pas même d'invention; car c'est presque toujours le chant d'une romance ou d'un air d'opéra qui en fait les frais. La fantaisie se terminant toujours par des variations sur ce thème, l'air varié n'en diffère point." Fétis, La musique mise a la portée de tout le monde, 2nd edition (Paris, 1836), 171.

⁷¹ Like the fantasy, variation form has suffered from scholarly denigration, as noted recently by Elaine Sisman in Haydn and the Classical Variation, Studies in the History of Music, vol. 5 (Cambridge, Mass., 1993).

⁷² Busoni, "Wert der Bearbeitung," Berlin, November 1910, original in Von der Einheit der Musik, 151; translated in Essence, 88.

Conflicting opinions on the value of arrangement contribute to the divergence between high and low views of the fantasy. Two very different writers attest to a poor view of the fantasy at the end of the nineteenth century. According to Mendel, the status of the fantasy, which had straddled high- and low-brow standing throughout the century, was now decidedly weighted toward the latter. (Both types had long coexisted, as we have seen in the annoyance shared by Schumann and Schilling when mediocre works misused the fine name of the fantasy and, later, in d'Indy's dismissal of his third Overture type—the pot-pourri.) Mendel praises fantasy as an artistic process but decries the commercial adaptation of the genre and its consequent loss of substance.

D'Indy comes to a similar conclusion:

The word fantasy has been applied to so many disparate compositions that we shouldn't be surprised to meet it, by exception, under the pen of serious musicians: this exception would not last very long, for soon after Beethoven's experiments, it wouldn't take long for the poor fantasy to receive the most unfortunate applications, while Beethoven himself, with his Bataille de Vittoria, would go back to the explicitly descriptive characterization of the true Symphonic Poem.⁷³

The use of primarily Italian vocal sources is another factor in the uneven reception of the fantasy, as seen in Busoni's analysis of the German response to Liszt:

⁷³"Le mot Fantaisie a été appliqué à tant de compositions disparates qu'il ne faut pas s'étonner de le rencontrer, par exception, sous la plume de musiciens sérieux: cette exception ne devait point durer longtemps, car aussitôt après les tentatives de Beethoven, la pauvre <Fantaisie> n'allait pas tarder à recevoir les plus fâcheuses applications, tandis que Beethoven lui-même, avec sa Bataille de Vittoria, revenait au caractère explicitement descriptif du vrai Poème Symphonique." Cours de composition, 310.

The influence of Italian melody on Liszt's independent compositional creation remained unextinguished and to my mind the Fantasies are important in this respect also. They open the way to the understanding of Liszt's melody formation and to its characteristic pathos, the two points which have made the approach to Liszt more difficult for the German people and even prevented it.⁷⁴

In his adopted home, Busoni was something of an anomaly since at this time Germany was not a place where the fantasy was strong, but a place in which exceptions stood out in broad relief. For example, Reger, aside from an early work for piano, restricted his composition of fantasies to organ works, writing eight in the period 1898-1916. These works are largely in the category of reflections on the music of Bach:

Choral Fantasia on 'Ein' feste Burg ist unser Gott,' 1898

Fantasia and Fugue, 1898

Chorale Fantasia 'Freu' dich sehr, o meine Seele,' 1898

Chorale Fantasias 'Wie schön leuchtet uns der Morgenstern,' 'Straf mich nicht in deinem Zorn,' 1899

Fantasia and Fugue on B-A-C-H, 1900

Chorale Fantasias 'Alle Menschen müssen sterben,' 'Wachet auf, ruft uns die Stimme,' 'Hallelujah! Gott zu loben bleibe meine Seelenfreud,' 1900

Symphonic Fantasia and Fugue, 1901

Fantasia and Fugue, 1916

In contrast, as we have noted in the Introduction, Busoni composed fantasies in all subtypes on existing themes, therefore Chapter Eight will examine representative examples of each type.

⁷⁴ Busoni, "Die Ausgabe der Liszt'schen Klavierwerke: Fantasien über italienische und französische Opern," Berlin 1900, original in Von der Einheit der Musik, 62; translated in Essence, 150. [Ley misses Busoni's comparison between independent works and fantasies on opera themes. I have substituted "independent compositional creation remained indelible" ("selbständiges kompositorisches Schaffen unauslöschlich geblieben") for Ley's "own creative power was never extinguished." I have also replaced Ley's "of the pathos peculiar to it" with "to its characteristic pathos."]

In sum, we have seen that the genre problem in the fantasy is compounded by the proliferation of related titles. In order to understand the fantasy genre, one must attempt to decipher such titles. To that end, we have explored the meanings of five related titles: capriccio, fantasy-piece, arabesque, rhapsody and toccata; and we have discussed five compound titles: waltz-fantasy, symphonic fantasy, fantasy overture, concert fantasy and sonata-fantasy. Clearly, these titles hold specific meanings for critics and composers. We have seen that these meanings are often demonstrated in the overlap of formal features between the fantasy and the related genres. We have also documented the semantic overlap of improvisation and fantasy, which includes independent form and a strong connection to deep, personal meaning.

In examining the fantasies composed on existing themes, we have focused attention on the three vocal types that are the most common sources: folksong, opera and the music of Bach. We have seen that fantasies on these themes are generally not in sonata form. Instead, their formal possibilities are conditioned by several features from the cluster that emerged in Chapter One. These include sectional construction with emphasis on linking areas; and the use of variation, juxtaposition and combination techniques.

By examining critical opinion that equates all fantasies with the much-maligned potpourri, we have heightened the contrast of the fantasy and another neighboring genre: the exalted sonata. The view of the fantasy as a negation of sonata form looms large in the following nineteenth-century historical overview of the fantasy.

CHAPTER THREE

A 19th-CENTURY HISTORICAL OVERVIEW OF THE FANTASY

How did nineteenth-century commentators view the fantasy? Those writing encyclopedias tend to emphasize subjective qualities, while writers of composition manuals attempt to pinpoint objective musical features. Represented here by Gustave Schilling and Hermann Mendel,¹ the first group focuses on four issues: freedom, improvisation, imagination and the mystery that enshrouds the plan of the work. In the second group, comprising Carl Czerny, A. B. Marx, Johann Christian Lobe, Hugo Riemann and Vincent d'Indy,² a different set of concerns emerges due to the theoretical nature of their writings. The focus on form is seen in the view of the fantasy as a negation of sonata form, one that is related to the semblance of improvisation and, sometimes, to an association with an extramusical idea. The cluster of objective features drawn from this group includes: the prevalence of development, importance of linking passages in sectional works, use of recitative style, variation techniques and cyclic

¹Gustave Schilling and Hermann Mendel wrote the two best-known musical lexicons of the nineteenth century. Schilling completed his work by 1838 and Mendel began in 1870. Both relied on accomplished writers (Schilling's staff included A. B. Marx and Ludwig Rellstab). Gustave Schilling, Encyclopädie der gesamten musikalischen Wissenschaften (Stuttgart, 1835), II, 652-655. Hermann Mendel, Musikalisches Conversations-Lexicon: Eine Encyclopädie der gesamten musikalischen Wissenschaften für Gebildete aller Stände (Leipzig, 1890), vol. 10, 72.

²Carl Czerny, School of Practical Composition I, trans. John Bishop (London, 1848) 82-89; A. B. Marx, Die Lehre von der musikalischen Komposition (Leipzig 1838, 3rd ed. 1857), vol. 3, 335-40; Johann Christian Lobe, Lehrbuch der musikalischen Komposition, I, 1850 (3rd ed., 1866), 392; Hugo Riemann, Katechismus der Kompositionslehre (Musikalische Formenlehre) originally published as Grundriss der Kompositionslehre, Leipzig, 1889, 3rd edition Berlin: M. Hesse, 1905, vol.2, 123-146; Vincent d'Indy, "Le poème symphonique et la fantaisie," Cours de composition musicale II (Paris, 1912), 297-332.

organization. The resulting phenomenon of generic mixture is approached most directly by Marx. All of these sources provide rich documentation for my model for the fantasy.

While the second group of writers has greater historical significance, accounts of the subjective aspects of the fantasy are important, since the contrast of ephemeral and structural goals pervades writing on the fantasy. From Schilling we will glean a poetic description of the fantasy as a freely composed work in which one idea “shines through the sensual imagination.”³ Later in the century, Mendel highlights a sense of mystery coupled with the acknowledgment that the fantasy is not altogether formless. He places great importance on the role of color in the earlier solo fantasy, and sees the orchestral fantasy as a natural outgrowth of this phenomenon, one in which texture may constitute form.

In the treatises, the focus on the imagination of the composer shares the spotlight with more technical descriptions. Czerny emphasizes the resemblance to improvisation while providing a rather specific plan for the “fantasia on a single theme” and for that “on several themes” that approaches the conflation of multimovement forms into one movement. For Marx, the freedom inherent in the fantasy is the ultimate goal of compositional study. Though he notes the absence of a single, fixed form, he describes the fantasy as a defensible genre that includes such titles as *toccata*, *capriccio* and *pot-pourri*. Marx accentuates the crucial balance between freedom and control, as well as an affinity with recitative. Lobe ignores large-scale works, but he makes an important

³“Das Wort Fantasie kommt her von dem griech[isch] - sichtbar machen, und bedeutete daher bei den alten Philosophen meistens nur die sinnliche Vorstellung oder Wahrnehmung, wodurch uns ein Ding erscheint.” Schilling, 653.

connection with variation techniques. To Riemann, the fantasy embodies a type of cyclic form conditioned by its improvisatory style. D'Indy draws an analogy between symphonic poem and fantasy, in that both terms represent structures that evade compositional rules, justified only by extramusical associations.⁴ Perhaps constrained by his purpose—to prepare composition students—d'Indy leans strongly toward the objective control afforded by sonata structures. Thus we will trace these views of form in the fantasy: the idealized negation of the sonata (Czerny, Marx), exclusive identification with variation (Lobe), cyclic form (Riemann), and finally a formal evasion that is inherently inferior to the sonata (d'Indy).

Encyclopedias

“One Thing Shines Through”: Schilling

Freedom is the core of Schilling's entry on the fantasy (1835). Produced by “the powers of invention of the player,” fantasies permit a “most diverse range of poetic license.” In this “unbound freedom” of “the true tone poem,” one can recognize “pure improvisatory musical speech.”⁵ The references to improvisation and to speech represent a nineteenth-century link with C.P.E. Bach and eighteenth-century conceptions of the fantasy. What is quite striking is Schilling's use of the expression “Tondichtung” in

⁴ The claim that the symphonic poem is justified only by extramusical associations situates d'Indy at the center of the program music controversy, addressed in Chapter Five.

⁵ “... sondern in wahrhaft ungebundener Freiheit die mannigfachsten poetischen Lizenzen sich gestattet... Diese Freiheit in der wahren Tondichtung, diese rein improvisirte (extemporirte) musikalische Rede kann.” Schilling, Encyclopädie, 653.

regard to the fantasy. Surely, expressions like tone poem and tone poet reflect the early Romantic overlap of the arts, yet, in this context their usage prefigures the overlap of the fantasy and symphonic poem.

Schilling regards the fantasy as a special kind of composition, and he highlights its difference from fixed genres. In an explicit distinction between fantasies and other genres, he asserts that

the best composers [make] the worst fantasists (in our sense here), and vice versa, [one] can see: the first group lacks the time that [it] needs and keeps to objective and subjective judgment. The latter group is not in need of time; and when given it, becomes entangled in the use of the controlling means of depiction, which never allow a correct or even beautiful form in the poetry.⁶

“Our sense here” probably refers to the interpretation of fantasy as improvisation. The elemental struggle between discontinuity and cohesion is the essence of Schilling’s statement: good composers often lack the flexibility to improvise, and by extension, to write good fantasies. The easy flexibility of good *Fantasten* is strangled by the adherence to compositional order so that the identity of the poetic, the fantastic, is suppressed.

Schilling also distinguishes between fantasies that demonstrate obvious freedom and those that represent a more subtle union of elements in which “meaning, mind and heart provide an aesthetic harmony, call forth beauty, through which it binds the ideas . . .

⁶“Hierin liegt denn auch der Grund, dass die besten Componisten weniger gute Fantasten (in unserm Sinne hier), und umgekehrt, sehn können: die Zeit nämlich, die jenen bedürftig ist und bleibt zu objectiver und subjectiver Beurtheilung, fehlt, ihrer unbedürftig, diesen, kann aber auch, wenn sie ihnen gegeben wird, Ursache einer Verwirrung in dem Gebrauche der beherrschten Darstellungsmittel werden, die nie eine regelrechte oder eigentlich schöne Form der Dichtung zulässt.” Schilling, 653.

and through this feeling leads one's thoughts back to one, sole idea."⁷ This description appears to stem from Schilling's literal interpretation of one ancient Greek definition of fantasy—"to make visible."⁸ What is made visible is the one thing that "shines through the sensual imagination or perception"—words referring to the surface disorder often associated with the fantasy. That "one thing" or "one, sole idea" affords a sense of objective judgment without stifling the essence of the fantastic—its freedom.

"An Abundance of Brilliant Pictures": Mendel

Like Schilling, Hermann Mendel emphasizes subjective aspects of the fantasy in his Musikalisches Conversations-Lexikon: Eine Encyclopädie der gesamten musikalischen Wissenschaften (1890).⁹ First defined in relation to form, Mendel's Phantasie "is a compositional type that is not formless, yet it does not have a fixed distinct form."¹⁰ Mendel combines two layered meanings of fantasy by concluding that, like the imagination, form is present in a series of images:

⁷"... Sinne, Verstand und Herz zu einer ästhetischen Harmonie hergeben, das Schöne hervorruft, indem sie die Vorstellungen so verbindet, wie es der Harmonie aller geistigen Kräfte gemäss ist ... das Schöne zu empfinden, und die Vorstellungen in dieser Empfindung auf eine einzige Idee zurückzuführen." Schilling, 653.

⁸ See Note 3.

⁹Mendel, "Phantasie," Musikalisches Conversations-Lexikon: Eine Encyclopädie der gesamten musikalischen Wissenschaften für Gebildete aller Stände (Leipzig, 1890), vol. 10, 72.

¹⁰Mendel, "Phantasia, Phantasie, Fantasia, Fantaisie, eine Art Tonstück, das ohne formlos zu sein, doch keine bestimmt ausgeprägte Form hat." Musikalisches Conversations-Lexikon, 72. This condition supports my argument for the usefulness of a theory of family resemblance regarding the fantasy.

As the name signifies, the fantasy is more a product of an imagination that roams unshackled than of one that creates clearly defined events and images . . . The imagination generates picture around picture, but it wanders from one to the other without producing a specific perceivable cohesiveness. It makes good use of events and images which it continues, but not with logically consistent development, not in such a way that one period necessarily determines the others.¹¹

Interestingly, rather than finding incoherence in works that are ruled by the imagination, Mendel finds that their cohesiveness (*Zusammenhang*) is not “specific” or “perceivable.” In other words, the form is veiled. (His examples include Beethoven’s use of *Sonata quasi una fantasia* in the Op. 27 piano works.) The notion of veiled form represents a consensus with Schilling and earlier writers who emphasized mystery and hidden order as a generic component.

Mendel describes the Schubert fantasies as an abundance of brilliant pictures that pass by in a colorful interplay. For the writer, it is through this emphasis on color that the form acquires artistic significance—and the orchestral fantasy becomes perfectly justifiable.¹² His model of the orchestral fantasy type is Beethoven’s *Choral Fantasy*:

¹¹“Wie schon der Name andeutet, ist es mehr ein Produkt der fessellos schweifenden, als der, bestimmte Vorgänge und Bilder schaffenden Phantasie. Diese gelangt dabei zu Figuren und Gruppen und zu erkennbaren Vorgängen, denn nur so wird sie sich selber bewusst und überhaupt produktiv, aber diese stehen nicht in so engem organischem Zusammenhänge, dass eins das andere nothwendig bedingt. Die Phantasie erzeugt Bild um Bild, aber sie schweift von einem zum andern, ohne einen sicher erkennbaren Zusammenhang herzustellen. Sie nimmt wohl auch bestimmte Vorgänge und Bilder, die sie weiter verfolgt, aber nicht mit der Logik consequenter Entwicklung, nicht so, dass der eine Satz nothwendig den anderen bedingt.” Mendel, *Musikalisches Conversations-Lexikon*, 72.

¹²“Beethoven nennt seine Sonaten (op.27) *quasi Fantasia*, weil die einzelnen Sätze, obgleich festgefügt, nicht in solch engem Zusammenhänge stehen, wie bei seinen andern Sonaten. Dasselbe gilt von den Schubertschen Phantasien, die eine Fülle von blendenden Bildern enthalten, welche im buntesten Wechselspiel einer lebhaften, mächtig angeregten Phantasie an uns vorüberziehen. In diesem Sinne gewinnt diese Form durchaus

"Here the piano and orchestra execute a luxurious interplay of fantastic pictures, until at last the chorus unites everyone in a common aim."¹³

Four central points can be gleaned from Mendel's entry: the recognition that independent form does not imply formlessness; the persistent role of mystery; the legitimacy of the orchestral fantasy predicated on the importance of color in the earlier solo fantasy; and the imaginative use of texture to organize the fantasy.

Early Treatises

"Seemingly Irregular . . . but According to Plan".¹⁴ Czerny

For Czerny, the fantasy is defined by its negation of sonata form: "When we leave the strict form of the Sonata, and, in regard to construction, allow ourselves greater

künstlerische Bedeutung und ist selbst die Orchesterphantasie vollständig gerechtfertigt." Mendel, Musikalisches Conversations-Lexikon, 72. One can compare a composer's similar emphasis on orchestral color in the fantasy in a letter written by Busoni in 1890, the year of Mendel's article: "As for my own concerto or Konzertstück or symphonic piano concerto, I consider it to have come off well, as it is characterized less by 'counterpoint, rhythmic energy and harmonic agitation' than by power of imagination, original structure and effective orchestration." Translation from Antony Beaumont, Selected Letters, (New York, 1987), 43. The work is actually Busoni's Concert-Fantasie for orchestra with piano obbligato, op. 29, composed in 1889. Not published, it was later re-worked for orchestra as the Symphonische Tongedicht, op. 32a. This overlap of fantasy and symphonic poem in the mind of the composer resembles that described by d'Indy.

¹³"Ein Muster der Form ist Beethoven's Phantasie für Clavier, Chor und Orchester, in der Clavier und Orchester ein schwelgerisches Spiel mit phantastischen Bildern ausführen, bis der Chor endlich alle in einem gemeinsamen punkte vereinigt." Mendel, Musikalisches Conversations-Lexikon, 72.

¹⁴ Carl Czerny, A Systematic Introduction to Improvisation on the Pianoforte, Op. 200, trans. and ed. by Alice Mitchell (New York, 1983), 2.

freedom, such a composition belongs to the class of the Fantasia.¹⁵ Evidently Czerny thought of the Fantasia as a defensible genre, since he allotted it a separate chapter in his School of Practical Composition. But one still encounters the difficulty of establishing a genre based on a comparative like “greater freedom.”

As Schilling noted in the free fantasy, Czerny specifies that “. . . the composer must endeavor . . . to approximate as closely as possible to the freedom of extemporizing.” The notion of simulating extemporization confirms a direct line of thought from Koch’s “appearance of a free inspiration”¹⁶ of a half-century earlier. Illusory qualities like “appearance” and “approximate” continue to create permeable borders for the genre, and to support the usefulness of a theory of family resemblance.

New in the Czerny treatise, however, are specific techniques for achieving this semblance of improvisation. For example, in the “Fantasia on a Single Theme”:

A happy theme may be employed, first for an Introduction; secondly, for an Allegro; thirdly, for an Adagio; fourthly, for Variations; fifthly, for a Rondo; and, sixthly, even for a Fugue or other piece of a similar strict kind. In this case, the Fantasia somewhat resembles the Sonata, but with the difference that the various degrees of movement and the several pieces must be connected together and form a whole, and also, that each piece must have a more free development.¹⁷

¹⁵Carl Czerny, School of Practical Composition I, trans. John Bishop (London, 1848), 82. Nearly a century later, Albert Bertelin (winner of the Grand Prix de Rome de Composition Musicale) conveys the same view: the fantasy “is distinguished from the Sonata by the fact that it avoids schematic forms.” Traité de Composition Musicale, (Paris, 1931), III, 314.

¹⁶ “So must the written-down Fantasy have the appearance of a free inspiration, to differentiate the fantasy from compositions with fixed forms.” Heinrich Christoph Koch, “Fantasie,” Musikalisches Lexicon, Reprografischer Nachdruck der Ausgabe Frankfurt 1802 (New York, 1964), 296-7. Translated by Jesse Parker in “The Clavier Fantasy from Mozart to Liszt,” Ph.D. diss. (Stanford University, 1974), 6.

¹⁷Czerny, Practical Composition I, 82. This description invites comparison to Alastair Fowler’s literary process of aggregation, “whereby several complete short works are

For Czerny, the resemblance to the sonata is minimized by the prevalence of developmental techniques and by the linking passages that connect each section into one large work. Czerny's example of this type written "up to the present time" is Beethoven's Choral Fantasy (1808), a cyclic work that prefigures the construction of Schubert's Wanderer Fantasy (1822), which superimposes sonata form on the four-movement sonata cycle.¹⁸

Czerny describes "the Fantasia on Several Themes" as similar to that on one theme:

The construction of the whole is much the same as in the Fantasia on a single theme; yet, not only can a new melody or figure be introduced at each change in the degree of movement, but also, the middle subjects may differ from the principal theme.

Even in these works on several original themes, the emphasis on one recurrent theme is vital to a successful fantasia:

Here, the composer has a fine and extensive opportunity of displaying both his talent for invention, and his fancy . . . A leading figure, which has been already employed in the Introduction or in the first movement, may and ought to be used in all the other movements, in order to impart the necessary connection to the whole, and to stamp it with the character of unity.¹⁹

grouped in an ordered collection—as the songs in a song cycle or the ballads in a ballad opera. The composite work may be united by framing and linking passages, sometimes of a very substantial character." Fowler, Kinds of Literature: An Introduction to the Theory of Genres and Modes (Cambridge, 1982), 171.

¹⁸ See discussion of Beethoven's Choral Fantasy and Schubert's Wanderer Fantasy in Chapter One, 66-68; and 76-77, respectively. As I suggest in the Introduction, the similarity between the construction delineated by Czerny and that of some symphonic poems can be viewed as a precedent for mid-nineteenth-century formal and generic developments. For instance, the flexible approach to form in the symphonic poems of Liszt is equally indebted to the fantasy tradition and to sonata form. See Introduction, 53-54.

¹⁹Czerny, Composition I, 83.

His conclusions are illustrated with Hummel's Fantasia in E-flat Major, Op. 18:

This Fantasia consists . . . of five different movements, which are however connected with one another, both in a technical and in an aesthetic point of view.²⁰

Czerny reserves all references to virtuosity for his third grouping of fantasies: “of the fantasia on known themes.” Their immense popularity (he writes that they have “for the moment supplanted many other Pianoforte works”) is credited to the public's desire for familiar melodies, especially operatic tunes. No distinction is made between the construction of fantasies on known themes and those on original themes. But, for Czerny, the purpose of the former is unique: “Grand Fantasias of this class are specially intended to present Virtuosi with the opportunity of displaying their talent in performance, and in the bravura style. Hence they must be brilliant, and consequently difficult.”²¹ Composers cited by Czerny include Kalkbrenner, Liszt, Moscheles and Thalberg.²²

The final fantasy-type is that of “the Fantasia forming a Pot-pourri,” which consists of “the beautiful melodies of favorite Operas, tastefully and connectedly strung

²⁰Czerny, Composition I, 85-86.

²¹Czerny, Composition I, 87.

²² Czerny, Ibid. While Czerny makes no reference to specific works, both the written-down and the improvised fantasy played a large role in nineteenth-century concert life. We have seen that Hummel's Weimar program of December 10, 1829 included his own Oberon's Horn (Phantasie) and Free Fantasia (See Introduction, 10). A decade later, Liszt's audacious solo recital in Rome included his Fantasy on Reminiscences of / Puritani and Improvisations on a given theme. Thalberg opened his New York program of March 2, 1857 with his Huguenots Fantasia, and he closed with his own written Fantasies on Home Sweet Home and God Save the Queen. These programs are cited by George Kehler in The Piano in Concert: A History of the Piano Recital, 1982, xxxi.

together."²³ As we have seen, Czerny locates the creative worth of a potpourri-fantasy in the use of variation and in linking passages—"the ingenious and suitable connection of the numerous subjects."²⁴

In sum, Czerny supplies a plan for the fantasy that is quite specific in comparison to earlier writers. While it is essentially a negation of the sonata, it is at the same time an early elucidation of the interaction between the two genres, particularly the conflation of multimovement structures into one movement. In the process of delineating this structure, Czerny supplies the specific features that underlie the hidden organization present in Schilling's emphasis on freedom and Mendel's notion of mystery. For Czerny, the genre relies on the balance of discontinuity (his semblance of improvisation) and coherence (his thematic connections and linking passages). He clarifies differences in function, namely that operatic tunes are always the basis for the pot-pourri, while operatic sources comprise one possibility for the fantasies on one or several known themes. Formally though, he establishes only one true type, with emphasis on transitions between contrasting sections. Each successive mode is composed in a similar manner: "... the construction of this [third] kind of Fantasia is much the same as that just before mentioned."²⁵

²³ Czerny, 88. Uniting several of Czerny's favorite composers is the Hexameron fantasia (1837) consisting of variations on the air *Suoni la Tromba* from Bellini's I Puritani as rendered by Chopin, Thalberg, Liszt, Czerny, Döhler and Pixis. The work was a popular virtuoso vehicle.

²⁴ Ibid. See discussion of the potpourri in Chapter Two, 164-167.

²⁵ Czerny, 86.

“The Other Side of Music”: Marx

Like Czerny, Marx focuses on form in the fantasy. He differs from earlier writers in that he addresses ideas of mixed genre, and his discussion is not limited to one perspective: rather, like the genre itself, Marx straddles the objective and subjective worlds. Intangible aspects come to the forefront in his suggestion that the fantasy externalizes the inner life of the composer, a subjective analysis that is balanced by an effort to classify the genre. In Die Lehre von der musikalischen Komposition (1838),²⁶ Marx discusses the fantasy in the last section of a chapter entitled “Mixed and Composite Forms” (“Mischformen und verbundene Formen”). It is instructive to consider the company that the fantasy keeps in this section:

1. Introduction
2. Sonata-rondo
3. Motivic and cyclic sonata form [die figurale und fügenartige Sonatenform]
4. Combination of various movements into one larger whole
5. The sonata in two movements
6. The sonata with more movements
7. The unusual arrangement of the sonata
8. The fantasy

Six of the eight “mixed and composite forms” are sonata forms. By including the fantasy in this context, Marx places it on equal footing with the sonata. More important, his grouping points to the notion of generic mixture in the fantasy—a notion that is supported by his subsequent discussion.

²⁶ A. B. Marx, Die Lehre von der musikalischen Komposition (Leipzig, 1838), 3rd. ed., 1857, vol. 3, 335-40. The corresponding pagination of the original text has been indicated throughout the following translation. The original language citation is provided in the Appendix.

Marx observes that, in response to a basic form as the kernel from which formal demands arise, a number of arrangements break away from this basic form and look for freedom from control. This quest takes the work to the boundary of a different form and beyond. In the examples from the earlier sections of this chapter on mixed forms, he summarizes, this tendency toward freedom resulted in a gradual loosening of the basic form of the sonata. (p. 335)

Like rondo and sonata, other forms that were firmly set till now can be juxtaposed—they can be taken up and freely abandoned according to a higher plan for the whole, or just for roaming without a goal, as the composer's mood dictates. (Here Marx offers a rather flexible concept of the freedom inherent in generic mixture: it can exist both within and apart from the context of formal order.) An example of free form is offered in the large number of “Liedsätzen” that proceed in an unfixed progression. A common idea or mood permits sequences to be tacked onto each other, sometimes held together only by a modulation. An idea that is strongly characterized, though freely refined and variable, takes the place of an underlying fixed form. It can rightfully “roam” without destination and purpose. (We have encountered this notion of a unifying idea beneath surface disorder in Schilling's “one thing,” Schumann's “inner thread” and Czerny's “leading figure.”) This freedom is not only a right but the compositional goal; through the study of form, one becomes free. Distinct from the putative freedom of the uneducated, the true freedom of the masters knows all directions and paths, as one can go “cross-country without the danger of losing one's way.” (p. 336)

For Marx, structures that take this last step toward freedom are given the name “Phantasie.” (Thus it is no accident that the fantasy is last in his list of mixed forms, but

a considered hierarchy in which the fantasy is the ultimate category.) In an expansive view of the genre, he specifies that, regardless of actual title, the particular content of each composition should distinguish it as a type of fantasy. Included in Marx's classifications are:

- a. toccata: marked by exceptional virtuosity
- b. capriccio: with a particularly stubborn idea or way of playing
- c. potpourri: "for the most part a stew from other bowls"²⁷

Implicit in Marx's grouping is the conviction that the fantasy is a genre which allows for a diverse range of realizations.

It goes with the territory, he continues, that the fantasy can have no fixed form. There is absolutely no law that the principal theme must remain in force or that it must return at the end of the work, even though the latter most often proves true. Marx expresses the polarity of freedom and control in psychological terms: at times, one can let go, he writes, but one must also become composed. Thus we encounter formal boundaries that cannot be defined with certainty—one cannot say "whether it is on this or that side of the house." (Marx illustrates this analogy with Beethoven's designation, *Sonata quasi una Fantasia*.)

²⁷I have presented in tabular form what Marx stated in prose: "Die Gestaltungen, in welchen sich dieser letzte Schritt zur Freiheit thut, fassen wir mit dem Namen Phantasie zusammen, ohne weitere Rücksicht auf die bisweilen nebenbei aufgeführten Namen der Tokkate (wenn sich in der Phantasie ein besondrer Spielreichthum zeigt), des Capriccio (wenn besonders eigensinnige Gedanken oder Spielweisen geltend werden), des Potpourri (meist ein Ragout aus Andrer Schüsseln) und andrer, die den besondern Inhalt der Komposition unterscheiden sollen." Marx, *Die Lehre*, 336.

The association of the fantasy with deep feeling (especially lament) and recitative resurfaces in Marx's discussion of Bach's Chromatic Fantasy. The principal theme is described as a deeply meaningful recitative in the style of a narrative lament, and the fugue subject as a heartfelt, sorrowful hymn. Since the recitative is not an instrumental form, Bach must have had a particular idea in mind, according to Marx. Included in the same context are references to two four-hand fantasies attributed to Beethoven, Um Mitternacht and Am Nordgestade.²⁸ The fugato that opens the first work leads to an Arioso or Monolog, then to an Allegro in which song form and double fugue are mixed. Again, Marx is highlighting generic mixture.

In other fantasies, such as "numerous examples" by J.S. Bach, Beethoven's Op.27, No.1; Mozart's K.475; Marx finds that the existence of a fixed idea is not provable. Here each composer's imagination roams freely, and tunes are tacked onto one another. The other side of music—the inner life—comes to the forefront. (p. 339)

It is helpful to compare Marx's view of K. 475 with that of some recent writers who regard the work as evidence that the free fantasy style was replaced by a tendency toward established forms.²⁹ In my view, Marx's assessment of the fantasy tradition in this example is more appropriate. And we will see Riemann point to the same work to support his idea of "Nicht-Form." The claim that K.475 adheres to established forms is a

²⁸ Although Kinsky's thematic catalogue does not include these titles, it is not implausible for Beethoven to have used such a combination of forms. A similar combination of fugue and arioso shapes the finale of Opus 110.

²⁹ Views of Mozart's Fantasy, K.475 are discussed in Chapter One, 62-64.

recent phenomenon. Earlier writers were more comfortable with a view that is accommodated by my proposed family resemblance model.

Marx concludes with a separate category of works entitled fantasy that bear a fixed statement of the content. He disparages those that attempt to depict what cannot be successfully represented, as in the battle and nature paintings of earlier composers; the “countless Souvenirs de Paris of our virtuosi”; and “scented titles or intimate mottos from Faust or other poetry in our time.”³⁰ For Marx, this lower class of fantasy is separate from a more subtle type in which the composer only hints at the content, or where that content is an aspect of nature that is deemed representable. He illustrates the point with a Goethe motto:

Wer den Dichter will verstehn, Muss in Dichters Lande gehn.

(“Whoever wants to understand the poet must enter the poet’s world.”) But, Marx notes, art that requires such effort is “not everyone’s cup of tea”. The usual procedure is to be more obvious, to supply what can be grasped easily—“the old under the pretense of novelty.” (p. 340)

In sum, two important appraisals are made by Marx: the fantasy relies on generic mixture, and it is a defensible genre that includes such alternate titles as *toccata*, *capriccio* and *pot-pourri*. Continuity with earlier commentators is demonstrated in these features: the importance of recitative (especially that with a lamenting quality) and the

³⁰This aesthetically inferior category represents the stream of marginal fantasies that coexisted with the mainstream repertoire throughout the nineteenth century. The reference must be to such titles as *Parfum des Roses*, *Brisé parfumé* and *Goldfischlein in Silberwellen*, some of the works cited by Hans Christoph Worbs in “Salonmusik,” Studien zur Trivialmusik des 19. Jahrhunderts, ed. Carl Dahlhaus (Regensburg, 1967), 126.

reliance on an underlying idea to provide coherence, rather than on a fixed form. The freedom with which this idea may “roam” creates works that are related more by family resemblance than by a prescriptive category of free or conventional form.

Treatises of the late 19th and early 20th Centuries

“The Art of Variation”: Lobe

Johann Christian Lobe's Lehrbuch der musikalischen Komposition does not address the full-length fantasy, but it mentions the genre in the context of short keyboard works:

The form of etudes, fantasies, impromptus, etc. is very easy to perceive since they are actually modeled on one simple principle, namely: on the art of variation...A simple melodic model is varied in a piquant manner, played about with an interesting figure, and so it then proceeds, for the most part brought through the whole work just by modulatory sequences.³¹

This assertion is illustrated with examples of several works that are structured on a simple melody and its transformation through variation:

Thème original et étude, Op. 45, Thalberg
La cadence, impromptu en forme d'étude, Op. 36, Thalberg
Grand galop chromatique pour le pianoforte, Op. 12, Liszt

Lobe's observation of variation technique is important to the fantasy.

³¹“Sind die Formen der Etuden, Fantasien, Impromptu's und so weiter sehr einfach und leicht zu erkennen, so beruht auch die Erfindung der Modelle eigentlich auf einem einfachen Grundsatz, nämlich: auf der Kunst der Variirung . . . Ein einfaches Melodiemodell wird erfunden; diese wird auf irgend eine pikante Weise variirt, mit irgend einer interessanten Figur umspielt, und so läuft es dann, meist nur in modulatorische Sequenzen gebracht durch das ganze Stück.” Johann Christian Lobe, Lehrbuch der musikalischen Komposition, I, 1850 (third edition, 1866), 392.

“Nicht-Form”: Riemann

Hugo Riemann discusses the fantasy within a section of his Grundriss der Kompositionslehre entitled “Lyrische Stücke, Capricen und Toccaten.” As the subtitle indicates, much of Riemann’s account of the fantasy is embedded in his discussion of overlapping titles.³² Thus, like Marx, Riemann recognizes the role of generic mixture. In defining the fantasy, he reiterates the close parallel to improvisation that we have encountered in each of the earlier writers. For Riemann, the fantasy is an episodic form that is created by flights from one thematic fragment to another:

It is perhaps best to define the contemporary fantasy as an undeveloped cyclic form, that is to say it loosely links together a host [of] pieces of diverse character, of which no complete theme is used, but, as if improvising, they only hint [at the theme], in order to quickly abandon it again.³³

He illustrates this process with Mozart’s Fantasy in C minor, K. 475, which he considers “a characteristic representative of this form or rather anti-form [Nicht-Form].”³⁴ Like Marx, he views K. 475 as a work in free form. To support this view, he traces the many changes of key, theme and tempo in both the Mozart example and in Beethoven’s Fantasy, op. 77. The latter, though less well-known, is actually a better example of

³²These overlapping titles have been addressed in Chapter Two. Citations in the current chapter are limited to those that strictly address the title, “fantasy.” Katechismus der Kompositionslehre (Musikalische Formenlehre), originally published as Grundriss der Kompositionslehre, Leipzig, 1889, 3rd edition (Berlin, 1905), vol.2, 123.

³³ “Die heutige Phantasie ist wohl zu definieren als eine unentwickelte zyklische Form, das heisst sie verkettet eine Unzahl Stücke verschiedenen Characters lose miteinander, deren keines vollständig sein Thema verarbeitet, sondern es gleichsam improvisierend nur andeutet, um es schnell wieder zu verlassen.” Riemann, Grundriss der Kompositionslehre, 124.

³⁴“... ein charakteristischer Repräsentant dieser Form oder vielmehr Nicht-Form.”

Riemann's "anti-form"—one in which interruption is a primary feature.³⁵ Riemann's pairing of these works is especially interesting for the modern reader, since K.475 remains firmly ensconced in the canon while op. 77 is rarely heard. Perhaps this difference rests on Mozart's use of thematic return. The greater prestige of K.475 may also stem from its frequent performance as a prelude to the Sonata, K. 457.³⁶

Riemann's reference to "cyclic form" is reminiscent of Czerny's "Fantasia on a Single Theme," in which one theme is presented in successive tempi akin to a sonata cycle. However, Czerny describes the transformation of a complete theme while Riemann emphasizes the fragmentary nature of its appearances. He specifies that contrasting sections "only hint" at the theme, thus reflecting associations of mystery and enigma made by Schilling and Mendel. Quickly abandoned themes correspond to thematic interruptions in my model for the fantasy.

As one of the most prominent German musical pedagogues of the period, Riemann is surprisingly tolerant of "Nicht-Form" as an approach to composition. His recognition of this approach stems from the circuitous quality of improvisation. At first glance, this concept of "Nicht-Form" seems to privilege the individual instance, yet Riemann recognizes the shared history of specific interruption techniques, cyclic form and generic mixture. Thus he mediates the instance and the historical tradition.

Riemann, Grundriss der Kompositionslehre, 124.

³⁵ See discussion of Beethoven's Fantasy, op. 77, in Chapter One, 69-72.

³⁶ See discussion of the fantasy and sonata combination in Chapter One, 63-64.

“Evasion of the Rules”: d’Indy

Vincent d’Indy reflects another turn-of-the-century view: ethereal qualities should be subjugated to structural considerations. While his view of the fantasy as a negation of form is not new, it is colored by a new preference for the control implicit in sonata structures. In his influential Cours de composition musicale (1912), d’Indy explicitly links neighboring genres by addressing both in a chapter entitled “Le poème symphonique et la fantaisie.” After pointing out that works with various titles such as “Légende, Ballade, Conte, etc.” are often conceived after the same principles as the symphonic poem, d’Indy goes on to identify the unifying factor, that is, difference from those types that seem to follow the rules:

However, besides these so-called *representative* titles, one comes across others by which writers have wanted to qualify works of which Symphonic Poem is always, consciously or not, the prototype, inasmuch as they *escape the normal laws of composition*. This genuine *evasion of the rules* combines very strongly with the word that it signifies: *Fantasy*. We will make a special place in this chapter for this actual *variety of the Symphonic Poem* that was the *Fantasy*.³⁷ [emphases are original]

For d’Indy, a further connection between the two genres is a programmatic one:

... these quite disparate works [fantasies], in which thematic and tonal order can be justified by nothing other than an extramusical idea, expressed or not [emphasis mine], constitute, for this very reason, a type of symphonic poem, inasmuch as one can call such an indeterminate composition a type.³⁸

³⁷“Toutefois, à côté de ces titres <représentatifs> ou prétendu tels, on en rencontre d’autres par lesquels les auteurs ont voulu qualifier des oeuvres dont le Poème Symphonique est toujours, consciemment ou non, le prototype, en tant qu’il <échappe aux lois normales de la composition>. Cette véritable <évasion des règles> s’accommode fort bien du mot qui la signifie: Fantaisie. . . nous ferons dans ce chapitre une place particulière à cette véritable <variété de Poème Symphonique> que fut la Fantaisie.” Vincent d’Indy, Cours de composition musicale (Paris, 1912), II, 299.

³⁸“... ces oeuvres assez disparates, dont l’ordre thématique et tonal ne peut se justifier par rien, sinon par une idée extramusicale exprimée ou non, se réclament, pour ce motif

His struggle to classify composite structures thus leads to the imposition of a programmatic reading even in cases where the composer made no such claim. One is reminded of Rosmarin's complaint that problematic genres cause critics to become obsessed with deciding generic identity.

D'Indy espouses an evolutionary view of the fantasy: a progression from works that are free of recognizable form to those that are derived from established forms. As I have shown, the path is more complex, even though the evolutionary view has been perpetuated in recent writing. The test cases provided in the closing chapters will show that it is not always appropriate to view late-nineteenth-century fantasies as works in conventional form in which any "fantastic" quality rests solely in the choice of title.

Having asserted that title is the only link among late classic fantasies, d'Indy reasserts the notion of a larger connection implicit in a shared, though unspoken, extramusical basis:

The best [examples] follow the paths used in classic music: expositions, developments, variation, subdivision in several movements, etc. However, the frequent license that we meet there has no plausible justification other than a descriptive or literary intention, about which the composers did not feel obliged to supply explanations.³⁹

With hindsight, the link provided by phantom programs is quite unnecessary, since he also provides a more substantive connection, albeit the negative construct that we have

même, du type Poème Symphonique, dans la mesure où l'on peut appeler <type> une composition aussi indéterminée." d'Indy, 300.

³⁹"Les meilleures suivent les errements en usage dans la musique classique: expositions, développements, variation, subdivision en plusieurs mouvements, etc. Toutefois, les fréquentes licences qui s'y rencontrent n'ont d'autre justification plausible qu'une intention descriptive ou littéraire, sur laquelle les auteurs n'ont pas cru devoir fournir d'explications." d'Indy, 302.

encountered in earlier writers: "one would search in vain for the vestiges of a stable form: yet, it is obvious that, of all known genres, the only one that is invested with this same negative feature is the symphonic poem."⁴⁰

For d'Indy, the first works that set the stage for the romantic and the modern symphonic poem were Beethoven's orchestral fantasies. Last of the three Beethoven fantasies that served as a barometer of the genre's progress, the Bataille de Victoria was seen by d'Indy as the culmination of a change in media from solo piano (Fantasy in G, op. 77) to piano with orchestra (Fantasy for Piano, Orchestra and Chorus, op. 80) to orchestra alone (Bataille de Victoria, op. 91).⁴¹

[With the Fantasy in G] the genre for piano solo disappeared: in the work that followed...we see the appearance of the orchestra, which would become essential to the romantic Symphonic Poem, but the piano is still present, until it would in turn disappear in op. 91.⁴²

D'Indy perceives a clear break in nineteenth-century fantasies, with no relation to earlier types. Some examples consist of the treatment of various popular themes, he continues, in which case the term Rhapsody is more appropriate. Others fall into the

⁴⁰ "On y chercherait vainement les vestiges d'une forme stable: or, il est évident que seul parmi tous les genres connus, le Poème Symphonique est revêtu de ce même caractère négatif." d'Indy, 302.

⁴¹ Amusingly, d'Indy notes that it would be tedious to cite other "batailles," such as Dussek's Combat naval pour piano ou la défaite totale de la grande flotte hollandaise par l'amiral Duncan, en 1797. He concludes that Batailles and Fantaisies would have the same fate: some ten years later, one would hardly speak of them. Assuming that he is referring to the 1820s (ten years after Beethoven's Op. 91), the overlap of fantasy and symphonic poem was so complete for d'Indy that the advent of the latter precluded the continued life of the former, except in the "avalanche" of Fantasies on Operatic Airs.

⁴² "Avec cette Fantaisie disparaît le genre pour piano seul: dans l'oeuvre suivant...nous voyons apparaître l'orchestre, qui deviendra essentiel au Poème Symphonique romantique; mais le piano y figurera encore, tandis qu'il disparaîtra à son tour dans l'op.

much lower category of “unspeakable medleys of operatic airs.”⁴³ The will to innovate manifests itself even more, and the “program” becomes the “supreme master” of the composition: “What took shape then was the last state of this musical genre, which one can hardly call a form, although it occupies such a large place in the instrumental music of our time.”⁴⁴

The bias toward control is taken to an extreme in d’Indy’s notion that formal coherence can compensate for mediocre musicianship, as in his assessment of Saint-Saëns’s symphonic poem Phaëton, op. 39 (1875). This view is grounded in d’Indy’s fear that the difference inherent in the fantasy would threaten the existence of the sonata:

Without doubt, this order [in the musical elements] is always reconciled with the proposed poetic program, but these necessary concessions never lead to the genuine tonal and thematic anarchy of which Berlioz and Liszt have supplied too many examples.⁴⁵

In sum, d’Indy affirms two notions that are also central to the earlier writings: the difficulty of defining a genre in relation to varying degrees of freedom and control and the view of the fantasy as a contradiction of the rules of the sonata. New is the

91 (1813).” d’Indy, 312.

⁴³“... ces innommables agrégats d'airs d'opéras.” d’Indy, 302.

⁴⁴“Alors prendra naissance le dernier état de ce genre musical, que nous ne pouvons plus guère appeler une <forme>, bien qu'il occupe de nos jours une si large place dans la musique instrumentale.” d’Indy, 303.

⁴⁵“Sans doute, cet ordre se concilie toujours chez eux avec le programme poétique proposé, mais jamais ces concessions nécessaires n'entraînent la véritable anarchie tonale et thématique dont Berlioz et Liszt ont donné trop d'exemples.” d’Indy, 324. The notion that the presumed anarchy of program music threatens the existence of sonata form is addressed in Chapter Five.

connection to an orchestral genre—the symphonic poem—and the resulting overly exclusive identification with program music.

A consensus emerges from the encyclopedias that I have examined here: the fantasy is viewed as a genre marked by freedom, mystery and imagination. While the treatises do not contradict this view, we have seen that they account for intangible aspects by locating them in the negation of sonata form. In so doing, Czerny specifies compositional and formal features that create the semblance of improvisation. These compositional features include the prevalence of developmental techniques; the importance of linking passages; and the interaction between the form of the fantasy and that of the sonata which sometimes results in the conflation of multimovement structures into one movement.

Marx builds on the notion of generic mixture in his discussion of “composite forms.” Such alternate titles as toccata, capriccio and pot-pourri are included in his idea of the genre, along with the defining presence of recitative. His notion of form is conditioned by the use of a central idea, similar to Schilling’s “one thing,” Schumann’s “inner thread” and Czerny’s “leading figure,” all of which belie the surface disorder. His specific discussion of Mozart’s K. 475 differs from recent views of this work as evidence of a tendency toward conventional form in the fantasy. Instead, it urges the family resemblance model that I have proposed. In Lobe’s brief discussion, the formal technique of variation, essential to the genre, is made prominent.

Riemann adds to Marx’s notion of a freely roaming idea by identifying a specific type of thematic interruption that occurs when an idea is freely abandoned. As I have

shown, rather than using Riemann's "Nicht-Form" to privilege the individual instance, one should acknowledge his delineation of features that produce a shared history for the genre: thematic interruption, cyclic form and generic mixture. Thus he mediates the instance and the historical tradition. Concluding with d'Indy, we have come full circle. He pursues the idea of the fantasy as a negation of form, but traces the history of the genre according to an evolutionary view: a progression from works that are free of recognizable form to those that are derived from established forms.

In the Introduction, I have suggested that the tendency to view the fantasy as a negation stems from the fact that the fantasy is often addressed only in relation to fixed forms. As we have seen, it is the sonata that provides definition-by-contrast for the fantasy. In the first three chapters of this study, I have attempted to offset this approach by restoring focus on the fantasy itself. I have done so by examining twenty-nine instances of the genre (Chapter One); ten related titles (Chapter Two); thematic sources for fantasies on existing themes (Chapter Two); and specific features that constitute the fantasy in the major writings of the nineteenth century (Chapter Three). In so doing, I have accomplished a goal that was set out in the Introduction—as in the visual figure-ground relationship, in order to clearly perceive one part of the field, attention must be directed toward that part. Otherwise, both parts are out of focus.⁴⁶ In the following chapter, attention is redirected toward the neighboring genre that has served as a foil to the fantasy: the sonata.

⁴⁶ See Introduction, 4-5.

CHAPTER FOUR

THE SHADOW OF SONATA FORM

Having examined the fantasy in relief, we now redirect attention to the exalted sonata, and to the views of the fantasy that developed in its shadow. In our survey of late-nineteenth-century fantasies and their antecedents, we have found that critics often resort to analytical gymnastics in support of the view that the fantasy appropriates sonata form.¹ This view contradicts the historical relationship that we have traced in Chapter Three in which the fantasy is viewed as a negation of the sonata. This contradiction reflects a primary condition of our study: commentators have concluded either that the fantasy has no predictable features—thus it is defined by negation; or that it conforms to a traditional formal outline (most often the sonata)—and it is thus defined by appropriation.

In this chapter, a central paradox will emerge: despite the great prestige of the sonata, the fantasy was often viewed as the ultimate challenge. This challenge stems from the central theoretical question that was raised in the Introduction: in the absence of fixed expectations, how will composers organize works called fantasies? As we have seen, for a genre defined by discontinuity, two compositional issues become paramount: how are these discontinuities created, and how does the music remain coherent in spite of the discontinuities? We have located the response to this challenge in a historical tradition that is based on shared formal features.

¹See Chapter One for discussion of this problem in criticism of fantasies by: Mozart (64); Beethoven (66 ff.); Schubert (74); Schumann (79 ff.); Chopin (88 ff.); Wagner (112 ff.); Richard Strauss (123 ff.) and Brahms (127).

A common thread among the treatises discussed in Chapter Three was the tendency to define the fantasy in terms of what it is not, namely, a work in sonata form. This tendency produced definitions based on difference—the sonata was the norm against which the fantasy became the Other. Recall that, for Czerny, “when we leave the strict form of the Sonata. . . . such a composition belongs to the class of the Fantasia.”² Another version of this dialectical approach was seen in Schilling’s assertion that “the best composers make the worst fantasists, and vice versa.”³ Marx, too, defined specific formal processes of the fantasy in terms of the sonata, although he clarified a difference between theory and practice: “There is absolutely no law that the principal theme must remain in force nor that it must return at the end of the work, even though the latter most often proves true.”⁴

This antithetical stance persists in d’Indy’s analysis of the exposition of his symphonic poem Saugefleurie: “. . . in contradiction to the rules of the Sonata, both themes are in the same key.”⁵ A generation later, Bertelin echoes his predecessors when he defines the fantasy as a work that “does not conform to any set plan. It is distinguished from the Sonata by the fact that it avoids schematic forms.”⁶

²Czerny, School of Practical Composition I (London, 1848), 82. The full citation is in Chapter Three, 176-177.

³Schilling, Encyclopädie II, 653. See Chapter Three, 173.

⁴Marx, Die Lehre von der musikalischen Komposition (Leipzig 1837-38, 3rd ed. 1857), III, 336. See Chapter Three, 183.

⁵D’Indy, Cours de composition I, 327.

⁶“[La Fantaisie] ne se conforme à aucun plan déterminé et se distingue de la Sonate par le fait qu’elle évite les constructions schématiques.” Albert Bertelin (winner of the Grand

At the same time that the fantasy was defined in terms of its avoidance of sonata construction, theorists commonly used the term “free fantasia” interchangeably with “development” in writings on sonata form. A typical example is the following discussion of “the second part of the first movement,” contained in an 1895 form manual:

It is no doubt because of the impossibility of formulating any regular rules for the construction of this part of the movement that it is frequently described in English textbooks as the “Free Fantasia”—that is, the portion of the movement in which the composer is free to follow his own fancy.⁷

As I have shown, it is just this overlap of “fantasy” and “development” that presents a problem in many sonata-form interpretations of fantasies.

The Prestige of Sonata Form

The persistent measurement of the fantasy with the yardstick of the sonata emphasizes the central position held by the latter: it was the ultimate proving ground for any serious composer. William Newman’s exhaustive study of the genre confirms the continued dominance of the sonata over musical thought in the later nineteenth century:

Beethoven’s unsurpassed example and an increasing tendency to value originality for its own sake in the arts help to explain a new, elevated attitude toward the sonata as one of the loftiest and most challenging of musical forms, especially after its supposed slump around 1840 and equally in the minds of composer, performer and perceiver.⁸

Prix de Rome de Composition Musicale), Traité de Composition Musicale (Paris, 1931), III, 314.

⁷Ebenezer Prout, Applied Forms (London, 1895), 158. Similarly, the chapter entitled “the second part” of sonata form is sub-titled “The Free Fantasia” in Jadassohn’s The Art of Musical Composition, vol. 4: Manual of Musical Form, trans. E.M. Barber (Leipzig, 1892), 128.

⁸William Newman, The Sonata Since Beethoven, 2nd ed. (Chapel Hill, 1972), 14.

Paradoxically, it was just when the sonata was held in the highest esteem that it was most likely to be characterized by features typically associated with the fantasy. In Newman's description of late-Romantic sonatas (1875-1915), we find striking similarities to earlier statements about the fantasy.⁹ These commonalities include the frequent gliding in and out of the most remote keys; the interlocking of movements; and the use of interrelated themes. In addition, reiterated motives and sequences, once the purview of the development section, are just as likely to be found in bridges and transitions, with the effect of loosening the significance of the development section itself.

Newman also identifies a larger issue—the “problem of excessive oneness”—in which the motive tends to dominate. This leads him to assert that Rachmaninoff's

Sonata Op. 36 (1913)

leaves the impression of a remarkable fantasy that never really quits its one overworked idea. In his last sonatas, Fauré also reduced the dualism of ‘sonata forms’ to different aspects of oneness.¹⁰

That Newman views oneness as a “problem” underscores critical allegiance to the supremacy of sonata form.

The prestige of sonata form gives rise to critical responses that validate works based on the extent to which they display sonata affinities. This has had both negative and positive repercussions on the reception of the fantasy. D'Indy uses the sonata standard to elevate the symphonic poems of Saint-Saëns over those of Berlioz and Liszt:

⁹Newman, The Sonata Since Beethoven, 133-141.

¹⁰Newman, The Sonata Since Beethoven, 157.

[In Saint-Saëns' *Phaëton*, Op. 39, 1874] one can see that we are in the presence of a true "construction," more solid and reasoned than those of Berlioz and Liszt: the strong framework of sonata form maintains the cohesion of thematic elements and makes up for their often rather ordinary musical quality.¹¹

In this case, not only does the preference for the sonata provide grounds for disapproval of Berlioz and Liszt, but it also enables a work of admittedly "ordinary musical quality" to be seen in a positive light.

By the time d'Indy gave this advice to his composition students, however, the presumed superiority of a work in sonata form had already been called into question. This is evident in George Bernard Shaw's review of a chamber music premiere given on March 21, 1890:

Musicians fail to see the real difficulties of sonata form through allowing their teachers to engross their attention with a horrible conceit of its technical difficulties, which any fool can master . . . It is not the form [that stops us writing one] but the inordinate quantity of first-class stuffing that is required to make these forms interesting or even endurable to any but the performers or the author. You really must have something very important to say to a man, if you expect him to allow you to buttonhole him and claim his undivided attention for even twenty minutes at a stretch.¹²

For Shaw, music devoid of "first-class stuffing" cannot be redeemed by mere adherence to sonata form. He registers a similar complaint a year later in his review of an 1891 Chopin biography that criticized the composer for his inability to handle large forms:

¹¹ "On peut voir par cette rapide analyse que nous sommes en présence d'une véritable <<construction>>, autrement solide et raisonnée que celles de Berlioz et de Liszt: la forte armature du type Sonate maintient la cohésion des éléments thématiques et supplée à leur qualité musicale souvent assez ordinaire." D'Indy, *Cours de composition* II, 321.

¹² Featured on the program was the premiere of a quintet by Giovanni Sgambati, prompting Shaw's warning on sonata form. George Bernard Shaw, *London Music in 1888-89* (London, 1937), 37-38.

... this [presumption] implies that form means sonata form and nothing else, an unwarranted piece of pedantry, which one remembers as common enough in the most incompetent and old-fashioned criticism of Chopin's ballades, Liszt's symphonic poems, and Wagner's work generally, but which is now totally out of countenance.¹³

In view of d'Indy's influential writing, disdain for the bias toward sonata form was not as unanimous as Shaw might have wished.

As we have seen in Chapter One, the bias toward sonata form is still with us today. It colors David Brown's critique of Tchaikovsky's orchestral fantasies:

Because The Tempest was patterned as a procession of neatly ordered but essentially self-contained chunks of representative material, rather than compounded, as Romeo and Juliet had been, by isolating the basic forces of conflict within Shakespeare's play and embodying them in a sonata structure, thus permitting the tensions, clashes and resolutions of the sonata principle to articulate the drama, this new work could not hope to match the achievement of the earlier one. And if the very nature of the piece was of a lower musical order than Romeo and Juliet, so, regrettably, was some of the musical invention.¹⁴

Brown thus wields the sonata prism to shed a negative light on The Tempest. But perhaps it is a wish to confer approval on another Tchaikovsky fantasy, Hamlet, that prompts the same critic to view that work in sonata form, even though he imagines that:

... not requiring dramatic clashes, Tchaikovsky dispensed with the development section, articulating instead a series of psychological states, though presumably the march section which concludes both the exposition and the recapitulation conveniently signals Fortinbras' two arrivals.¹⁵

¹³Shaw, Music in London 1890-1894 II, 209.

¹⁴David Brown, Tchaikovsky: The Early Years 1840-1874 (New York, 1978), 295.

¹⁵David Brown, "Tchaikovsky," New Grove, vol. 18, 623. A similar passage regarding Hamlet appears in the last volume of Brown's biography: "[Hamlet] is a sonata structure, but without central development in which dramatic conflicts could be played out. Instead it is content to embody a handful of the dramatis personae, a tiny selection of the drama's events, and its tragic denouement." Brown, Tchaikovsky IV, 157.

Here, the articulation of psychological states appears to be a substitute for formal function, namely, the development. The choice of the word “instead” may not have been a considered one: but it conveys the notion that the presence of a development section would preclude the articulation of psychological states. Of course, one could employ developmental techniques and still articulate psychological states. More important, if a composer indeed “dispensed with the development section,” should we still hear the work in sonata form? In my view, we should acknowledge the features that contribute to a reading as a *fantasy overture*, the title which Tchaikovsky used for the work.¹⁶

Brown seems to have fallen into a trap articulated by Carl Dahlhaus in Analysis and Value Judgement: “Musical form based on mere juxtaposition of sections arouses distrust leading to exaggerated criticism—form analysts tend to interpret the inappropriateness of their method as a deficiency of the object.”¹⁷ Certainly the fantasy genre is a fitting place to apply Dahlhaus’s words. So, too, is the music of Tchaikovsky, whose music remains “shamefully underrated by the academic musical establishment,” as Malcolm Hamrick Brown has reminded us.¹⁸

While much less blatantly than Brown, Newman, too, allows his preference for the sonata to shade his writing. For example, he notes that despite its tonal cycle of five movements, Schumann’s Faschingsschwank aus Wien: Fantasiebilder, Op. 26, cannot be

¹⁶See Chapter Six for my analysis of Hamlet.

¹⁷Carl Dahlhaus, Analysis and Value Judgement, trans. Siegmund Levarie (New York, 1983).

¹⁸Malcolm Hamrick Brown, review of Alexander Poznansky’s Tchaikovsky: The Quest for the Inner Man, in JAMS 47 (1994), 359.

compared with the emotional and structural content of the composer's sonatas. Fair enough. Then he adds, "In all these respects, the great Fantasie in C, Op. 17, deserves much more to be linked with the sonatas."¹⁹ Clearly, an association with sonatas confers superior status.

With regard to the music of Schumann in particular, such value judgment is not surprising, since Schumann criticism is still very much in the shadow of Beethoven's sonata forms. This emphasis puts a work like the Schumann Fantasie in a double bind: not only is it a fantasy measured with the sonata yardstick, it is also a perceived sonata form measured against Beethovenian sonata forms.²⁰ A challenge to the latter view was recently articulated by Joel Lester:

[Schumann's large-form compositions] need not be set against Beethoven's and then criticized for failing to do what Beethoven did, as Dahlhaus explicitly does in his critique of the "Spring" Symphony, and as is implicit in Rosen's critique of the Fantasie [Op. 17] and the Sonata, Op. 11.²¹

In my view, the problem is not just the tendency to compare Schumann with Beethoven, but the equally strong inclination to compare the neighboring genres of fantasy and sonata.

¹⁹Newman, The Sonata since Beethoven, 275. We have seen in Chapter One that this Fantasie was originally entitled Grosse Sonate. This is a reversal of the title change in Schumann's Fourth Symphony—originally Symphonische Phantasie.

²⁰See Figure 1-2 for four analyses of the Schumann Fantasie which show increasing distance from sonata form.

²¹Joel Lester, "Robert Schumann and Sonata Forms," 19th-Century Music, 18 (1995), 189-210.

The Fantasy as the Ultimate Challenge

Reverence for the sonata exists alongside the recognition of the fantasy as the greatest challenge. This acknowledgment is foreshadowed in discussions of the early Romantic literary fantasy: Friedrich Schlegel concludes that "One is forced to admit that the representation of disorder in all its abundance demands creative energy and artistic prudence to an equal if not higher degree."²² This recognition is especially visible in writings on the fantasy by Marx, Czerny and Schumann. It was revived at the end of the nineteenth century by Busoni as a response to formalist critics.

Since he is known as the codifier of Beethovenian form, it would be natural to assume that Marx would frown on the fantasy. In a manner more oblique yet no less telling than Schlegel's, Marx, too, comes down on the side of the fantasy as the greater challenge. Arguably, in Die Lehre von der musikalischen Komposition, Marx reserves the highest niche for the fantasy. As we have seen in Chapter Three, his discussion of the fantasy came after he had first addressed all the fixed forms. That it is treated last in the group of mixed forms is no measure of worth on its own. More to the point, he identifies examples of the genre as "those structures that take this last step toward freedom."²³ Transcendence of formal limits gives the fantasy the potential for the greatest achievements in composition. Further, this freedom is not only a right, but the

²² "Über das Stadium der griechischen Poesie" (1795-1796), Studien des Klassischen Altertums, ed. Ernst Behler (Paderborn, 1979), 219; translated by John Daverio in Nineteenth-Century Music and the German Romantic Ideology (New York, 1993), 13.

²³ Marx, Die Lehre III, 336. See Chapter Three, 182.

compositional goal—through the study of form, the composer becomes free. Thus the freedom associated with the fantasy is seen not merely as a generic feature, but as the ultimate objective of compositional study.

As a consequence of the notion that the fantasy transcends form—thereby representing a higher order of creativity than that found in established forms—anti-form becomes a positive value. We have seen that this is true for Riemann, whose reference to the fantasy as a “Nicht-form” does not preclude his finding in it “some of the most genuine, best music.”²⁴

In the section of his treatise entitled “Of the Fantasia on a Single Theme,” Czerny, too, recognized the great challenge of the fantasy: “The composition of such a Fantasia is subject to many difficulties, and ranks among the most important works of art when it is, in every respect, well achieved.”²⁵ Of the categories delineated in his chapter on the fantasia, Czerny reserves this elevated status for the first two models—those “on a single theme” and “on several themes.” The last two, “on known themes” and “forming a Pot-Pourri,” share origins in the public’s desire for familiar or operatic tunes, and these are not regarded by Czerny as important works in their own right.

Schumann, too, makes a sharp distinction between fantasies on original themes and those on known themes:

²⁴Hugo Riemann, Katechismus der Kompositionslehre (Musikalische Formenlehre), originally published as Grundriss der Kompositionslehre, Leipzig, 1889, 3rd edition (Berlin, 1905) II, 146.

²⁵Carl Czerny, School of Practical Composition (London, 1848), II, 82.

The secondary kind of composition—that of improvising on the themes of others—is gaining ground, taking on a wretched fashion and hiding itself under that fine name, with the meaning of which it has little in common.²⁶

The expression “fine name” (schöne Name) shows Schumann's high regard for fantasias on original themes.

Written in 1836, Schumann's comment is strikingly similar to that of Schilling's 1835 encyclopedia entry on the fantasy. Schilling laments the random quality of effusive works in which “all sorts of things interrupt familiar themes, served up every now and then in public concert halls under the fine name of free fantasies.”²⁷

Aside from this interesting turn of phrase in the words of both lexicographer and composer, the fact that they felt it necessary to defend the “fine name” of the mainstream fantasy against worthless usurpers reveals a conflict with another neighboring genre: the potpourri. Schilling's critique of Moscheles's “so-called dramatic fantasies” illustrates the prevailing view of the potpourri. He concludes that despite the title's connection to larger works, these dramatic fantasies

actually belong more in the class of Potpourris, those for the most part paltry and completely tasteless compilations . . . of an even lower aesthetic character . . . than the meaningless Quodlibet of a calligrapher and draftsman.²⁸

²⁶“Die secondaire Art der Composition, über Themas Dritter zu phantasiren, nimmt auf eine traurige Weise überhand und steckt sich, wie bekannt, unter den schönen Namen, mit dessen Bedeutung sie so wenig gemein hat.” Schumann, *Schriften* I, 284. This statement comes in the context of a critique of Thalberg's *Fantasia on a Theme from The Huguenots*.

²⁷Schilling *Encyclopädie* II, 654. We know that Schumann read Schilling, since he took offense at Schilling's reference to his own work as “premature striving for the extraordinary.” Schumann responded with a satire on the writer in 1840. Entitled “The Municipal and Communal Musical Society of the City of Kyritz,” it is translated by Henry Pleasants in *The Musical World of Robert Schumann* (London, 1965), 169.

²⁸“Was aber von solchen gebundenen Fantasie Werken bis jetzt noch zum Vorschein gekommen ist, gehört eigentlich mehr in die Classe der Potpourri's, dieser meistens

Throughout the nineteenth century, the fantasy bore the excess baggage of its associations with the neighboring genre of the potpourri, as well as the many unsuccessful fantasias on original themes. In the contradictions embedded in Shaw's review of the Bruch Scottish Fantasy (1880),²⁹ we will see the effects of this baggage. Shaw first equates fantasias with pretentious artifice, then he reiterates the position that sonata form has no intrinsic merit. He then proceeds to qualify the fantasia as the genre of choice for composers who lack the inspiration to write a movement in sonata form:

Otherwise we shall have every composer who finds himself inspired with barely matter enough for a fantasia, spinning it out into a concerto in order that it may lie upon the same shelf with the work of Beethoven and Mendelssohn, and so come under Joachim's notice.³⁰

We will see that the proviso "barely matter enough for a fantasia" supports Joachim's concern about Bruch's choice of title for the Scottish Fantasy. Presuming that the term "fantasy" would negatively bias performers and public, the violinist urged Bruch to have the individual movements listed on the program. This precaution, Joachim felt, could circumvent the expectation that a fantasy would be an inconsequential piece "which only lasts ten minutes."³¹

As we have seen, however, the profusion of potpourris colors neither Schilling's nor Schumann's judgment of the fantasy. Critic and composer alike elevate the

armseligen und völlig geschmacklosen Zusammenstoppelungen, denen eben so wenig ein tieferer ästhetischer Character beizulegen sehn möchte, als dem bedeutungslosen Quodlibet der Kalligraphen und Zeichner." Schilling, Encyclopädie II, 654.

²⁹This review is discussed in Chapter Seven.

³⁰Shaw, London, vol.2, 579-580.

³¹Christopher Fifield, Max Bruch: His Life and Works (London, 1988), 168.

mainstream fantasy and discount lesser-quality works with which it often shares a title.

As early as 1828, Schumann left no doubt that the fantasy represents the ultimate challenge:

Free fantasy unites the highest aspect of music, that which we miss in the composition of clear phrasing—strict time alternating with lyrically free time. In poetry one can see this in Jean Paul’s polymeters and in the ancient choruses; looseness is always more genial and spiritual than controlled [motion].³²

For other writers though, the existence of a mediocre offshoot in the potpourri clouded the recognition of the higher-quality fantasy. In 1830, for example, Fétis compared sonatas to “lighter” fantasias, so that the latter could not fail to come up short:

In the last several years the sonata has fallen into disrepute. A certain triviality of taste, which has invaded music, has substituted, for the serious forms of this type of piece, more superficial works that are called fantasias, “airs variés,” capriccios, etc.³³

Coupled with his fear of its invasion by the fantasy, Fétis’s preference for the sonata leads him to compare it to only the lighter type of fantasy. This is an early expression of the opinion that composition outside the sonata is somehow tainted. It will resurface in the later-nineteenth-century arguments about the validity of program music. Behind both oppositions—sonata and fantasy; absolute and program music—lies one question: what formal requirements must be fulfilled in order to confer privileged status on a work? The nineteenth century, never monolithic, hosts a range of responses to this question.

³²“... in der freyen Fantasie vereint sich das Höchste in der Musik, was wir noch in Compositionen d. reinen Satzes vermissen – das Gesetz des Taktes mit dem abwechselnd lyrisch-freyen Taktmasse. Die Poesie that es in J. Pauls Polymetern u. in den alten Chören; Ungebundenheit ist jedes mal genialer u. geistiger als das Gebundene ...” Schumann, 13 August 1828, “Sententiöser Commentar,” *Tagebücher*, ed. George Eismann (Leipzig, 1971) I, 113.

³³François-Joseph Fétis, *La Musique mise à la portée de tout le monde*, 2nd edn. (Paris, 1836), 171.

Marx, for example, objectively chronicles a gradual loosening of sonata form without resorting to loaded terms.³⁴ And, unlike Fétis, Schumann welcomes the notion that the sonata might die out. In 1838, he acknowledged that some fine examples of the genre still exist, but that, for the rest

the form has run its course, and this is certainly in the order of things, and we should not have to repeat the same [form] year after year and at the same time deliberate over the new. So one writes sonatas or fantasies (what's in a name!); let one not forget music and the rest will succeed through our good genius.³⁵

This citation is not a contradiction of Schumann's 1835 review of the Berlioz Symphonie fantastique in which he notes a distinction between the criteria for a fantasy and for a sonata.³⁶ Rather, Schumann is acknowledging that with the new form comes a new name—fantasy—which he defends against the bias that it might otherwise incur.

The necessity of such defense demonstrates the difficulty of reconciling the coexistence of discontinuity and coherence that defines the fantasy. Simultaneously desired and feared, the fantasy was regarded as a species with which only the most gifted composers could hope to succeed. Continuing his review of the Symphonie fantastique, Schumann makes this clear: "Only the genius may fly free."³⁷

³⁴"So hat sich auch in der letzten Reihe von Fällen ein immer grösseres Loslösen von der Grundform der Sonata ergeben . . ." Marx, Die Lehre, 335.

³⁵"...hat die Form ihren Lebenskreis durchlaufen, und dies ist ja in der Ordnung der Dinge, und wir sollen nicht Jahrhunderte lang dasselbe wiederholen und auch auf Neues bedacht sein. Also schreibe man Sonaten oder Phantasieen (was liegt am Namen!), nur vergesse man dabei die Musik nicht, und das andere erfleht von eurem guten Genius." Schumann, Schriften II, 155-156.

³⁶See Chapter One, 84.

³⁷See Chapter One, 85.

D'Indy echoes Schumann's admonition almost a century later when he warns composition pupils that, unless they possess the genius of Berlioz, they should not emulate the composer's lack of discipline.³⁸ After acknowledging that the Symphonie fantastique met the great challenge of the fantasy, d'Indy cites an unsuccessful example—the Fantaisie sur des Chants populaires Basques of Charles Bordes—“with the idea of showing why we do not recommend this musical genre to young composers.”³⁹

Modernism and the Challenge of the Fantasy

Considered the greatest compositional challenge, yet associated with music of no consequence, the fantasy engendered a century-long love/hate relationship with its composers, performers and critics that resurfaced in Busoni's writings at the turn of the century. In his famous Sketch for a New Aesthetic of Music, Busoni turns the presumption of inferiority in free works on its head by equating rule-following with works of lesser quality:

³⁸“Nous verrons . . . Berlioz accepter sans contrôle . . . les suggestions souvent désordonnées de ses facultés inventives; . . . tout en admirant les magnifiques élans que l'on y rencontre, nous ne pouvons les considérer comme des modèles à imiter; car il y a toujours quelque présomption à s'imaginer que l'on possède les qualités de génie suffisantes pour combler les déficiences du savoir.” D'Indy, Cours de composition I, 316.

³⁹“De nos jours même, on pourrait encore citer la Fantaisie sur des Chants populaires Basques de Charles Bordes, et un autre essai dont nous donnons ci-dessous le plan résumé, mais plutôt avec l'idée de montrer pourquoi nous ne recommandons pas ce genre de musique aux jeunes compositeurs.” D'Indy, Cours de composition II, 314.

Isn't it curious, that one demands of a composer originality in all things, and that one forbids him [from originality] of form? No wonder, that when he becomes really original, one accuses him of 'formlessness' . . . In general, the tone poet[s] came nearest [to] the true nature of music in preparatory and connecting passages (preludes and transitions), where they believed [they were] permitted to disregard symmetrical proportions and appeared to involuntarily breathe freely . . . But, as soon as they pass the threshold of the principal subject, their posture becomes stiff and conventional, like that of a man stepping into an office.⁴⁰

It is no coincidence that Busoni's example of a transition in which the music "breathes freely" is taken from the last movement of Schumann's Fourth Symphony, a work that was first entitled Symphonische Phantasie. As we have seen in Chapter One, in this original version of 1841 the transition breathed even more freely: it had less repetition; there was no weighty fermata before the final movement; and the new theme was unhindered by alternations with the melodic motive of the first movement. Had Busoni been familiar with the original version, he might have used it to further support his argument: like the "man stepping into an office," this poorly received fantasia version

⁴⁰—Ists nicht eigentümlich, dass man vom Komponisten in allem Originalität fordert und dass man sie ihm der Form verbietet? Was Wunder, dass man ihn—wenn er wirklich originell wird—der Formlosigkeit anklagt . . . Überhaupt kämen die Tondichter in den vorbereitenden und vermittelnden Sätzen (Vorspielen und Übergängen) der wahren Natur der Musik am nächsten, wo sie glaubten, die symmetrischen Verhältnisse ausser acht lassen zu dürfen und selbst unbewusst frei aufzuatmen schienen. . . . Aber sobald sie die Schwelle des Hauptsatzes beschreiten, wird ihre Haltung steif und konventionell wie die eines Mannes, der in ein Amtszimmer tritt." Ferruccio Busoni, Entwurf einer neuen Aesthetik der Tonkunst (1907, rpt. Wiesbaden, 1954), 14-5. Trans. Theodore Baker in Three Classics in the Aesthetics of Music (New York, 1962), 79. I have modified Baker's well-known version of the passage: "Is it not singular, to demand of a composer originality in all things, and to forbid it as regards form? No wonder that, once he becomes original, he is accused of 'formlessness' . . . All composers have drawn nearest the true nature of music in preparatory and intermediary passages (preludes and transitions), where they felt at liberty to disregard symmetrical proportions, and unconsciously drew free breath. . . . But, the moment they cross the threshold of the Principal Subject, their attitude becomes stiff and conventional, like that of a man entering some bureau of high officialdom."

was encumbered by clumsy revisions in order to succeed ten years later as a more conventional symphony.

Busoni's ostensibly modernist proclamation actually recalls much earlier ideas. Isn't it another version of Schumann's suggestion that the fantasy embodies the "highest aspect of music"; and of Marx's "compositional goal" inherent in the freedom of the fantasy; and Czerny's recognition of the fantasy as the "the most difficult to achieve"? The identification of free form with the "true nature of music" thus has deep historical roots.⁴¹

In sum, the ultimate challenge inherent in the fantasy is closely tied to notions of independent form. We see that it is something of a contradiction then, that even though many treatises define the fantasy as, in effect, a "non-sonata," examples of the genre are often assessed against that model. One reason for this phenomenon is that the elevation of the sonata was matched by the fear that it could be toppled from its throne. As we will see in Chapter Five, this fear is visible in the incendiary language that was used by some writers. Recall that Fétis wrote in 1836 that the fantasy had "invaded" the sonata. Nearly a century later, d'Indy finds the fantasy responsible for the "dismemberment" of sonata form.⁴²

⁴¹ As we have seen in Chapter One, Schleuning—echoing Adorno—suggests that similarities between the fantasy and the modern style caused the fantasy to disappear in the twentieth century. We have also noted, however, that the fantasy continues to be a viable genre.

⁴² Fétis, see Note 30, this chapter; d'Indy, see Chapter Five.

While his bellicose language resembles that of Fétis, d'Indy's response is the product of a later-nineteenth-century development: the advent of program music. It is this development, according to the writer, that produces excessive formal license in the fantasy. This association between the fantasy and program music is the subject of the next chapter.

* * *

CHAPTER FIVE

PROGRAM MUSIC AND THE FANTASY

Form is a central issue for both program music and the fantasy. For Liszt and Wagner, program music was the answer to the questions posed by new forms and by the seeming inadequacy of old ones. As we have noted, in his well-known letter on Liszt's symphonic poems, Wagner lamented the effect of the obligatory recapitulation of the exposition in the overture because such repetition undermined the work's dramatic import.¹ In this chapter, we will see this idea echoed in George Bernard Shaw's claim that program music and sonata form are antithetical.² We will also find that d'Indy takes the same notion to an extreme: the form of a symphonic poem (d'Indy's equivalent of the orchestral fantasy) can be explained only by extramusical considerations.³

This argument is at the center of the late-nineteenth-century controversy over program music in which its detractors perceive an assault on sonata form. Some opponents of program music, particularly d'Indy, subscribe to its complete identification with the fantasy. Thus, if musical art is seen to have reached its apex with the sonata structures of Beethoven, the fantasy is considered a pernicious influence that helped speed a downward spiral toward decay. This notion contributes to a view that we have traced throughout this study: the fantasy constitutes a negation of form. We have already

¹See Chapter One, 113.

²See Chapter Five.

³d'Indy, Cours de composition musicale II, 300.

demonstrated the error of this view in many examples of the genre. The analyses in Chapters Six through Eight will offer a viable alternative.

“Decide Upon the Forms by the Content”: Liszt

Liszt is closely associated with the notion that programmatic content can generate form. Yet, as early as 1835, the composer distinguished meaning from specific content, and he implied that external attempts at understanding music were necessary only for the uneducated majority:

... music, in perhaps greater measure, has its hidden meaning, undivined by the majority. It is true: for where a work of art is concerned the majority does not rise beyond a comparative criticism of externals, and a facile appreciation of a certain superficial skill.⁴

For Liszt, then, the goal was not to reproduce reality but to reflect on its impact on the artist:

I have latterly travelled through many new countries . . . I have felt that the varied aspects of nature . . . did not pass before my eyes like meaningless pictures, but that they evoked profound emotions within my soul . . . and I have tried to give musical utterance to some of my strongest sensations, some of my liveliest impressions.⁵

The fact that these impressions were conveyed without following traditional forms was declared incidental to the goal, which was to unveil the original inspiration for the work:

⁴Liszt, Pianofortewerke, Serie II, Band IV, preface to Tagebuch eines Wanderers, trans. Fanny Copeland, rev. Mevanwy Roberts, Breitkopf und Härtel (Leipzig, 1927).

⁵Ibid.

The first [part] will contain a series of pieces which, although not restricted to any conventional form, or fitted to any special design, will nevertheless by their appropriate rhythms, movement, and melody, reveal the reveries, passions or reflections to which they owe their inspiration.⁶

Twenty years later, in a letter to Louis Köhler, Liszt's justification for his formal choices springs from the "inner life" that we have encountered in discussions of improvisation and the fantasy. For Liszt, these "inner experiences" produce "ideas," which in turn create the content:

... the necessary developments of my inner experiences, which have brought me to the conviction that invention and feeling are not so entirely evil in art. Certainly you very rightly observe that the forms . . . "First Subject, Middle Subject. After Subject, etc., may very much grow into a habit, because they must be so thoroughly natural, primitive, and very easily intelligible." . . . I only beg for permission to be allowed to decide upon the forms by the contents . . . After all, in the end it comes principally to this—what the ideas are, and how they are carried out and worked up—and that leads us always back to feeling and invention, if we would not scramble and struggle in the rut of a mere trade.⁷

Behind this apparent request for permission to write in a completely new fashion may lie an attempt to shape the reception of his music as "modern."

Set against the backdrop of our study, it becomes clear that Liszt's ideas do not emerge from a vacuum. In his 1835 encyclopedia entry on the fantasy, Schilling identifies two categories of music based on whether or not they are dictated by content. He applies Jean Paul's literary separation of "stylistic" and "poetic" types to music. Anticipating Liszt by two decades, Schilling asserts that true composition lies outside

⁶ Ibid.

⁷ Liszt's letter to Köhler, dated July 9, 1856, is cited by William Newman in The Sonata Since Beethoven, 370.

regular order. in the free expression of poetic content that is itself the equivalent of genius.⁸

The stylistic ones are composers with no particular sense of poetry, who write only with symmetrically divided ink. Their works give evidence of great regularity, well-orderedness, harmonic learning, but leave [one] cold; in them reasoning prevails, as it were, . . . the poetic ones, however, really poetize in tones, in which genius reigns, fantasy.⁹

Like Liszt, Richard Strauss effects an iconoclastic tone, yet he virtually reiterates the “stylistic” and “poetic” categories of Jean Paul in a new context—that of sonata form:

I have found myself in a gradually ever-increasing contradiction between the musical-poetic content that I want to convey and the ternary sonata form that has come down to us from the classical composers. Of course, purely formalistic Hanslickian music-making will no longer be possible, and we cannot have any more random patterns, that mean nothing either to the composer or the listener.¹⁰

We have seen that formal choices for the fantasy are derived from generic conventions that predate the ascendancy of program music in the nineteenth century. Independent form is related to improvisation and to the semblance of improvisation that was deemed essential to the written subtype. As I have suggested in the

⁸Recall Schumann’s words: “Only the genius may fly free.” See Chapter One, 85.

⁹“Jean Paul scheidet in der Literatur zwei Partheien von einander, die Stylistiker und Poetiker; auch in der Musik, in Bezug auf die Componisten und ihre Werke nämlich, lässt sich recht wohl eine solche Scheidung anstellen. Die Stylistiker sind Componisten ohne sonderlich poetischen Sinn, die nur mit symmetrisch ausgetheilte Tinte dichten, in ihren Werken Beweise von grosse Regelmässigkeit, Wohlgeordnetheit, harmonischer Gelährtheit u. geben, aber kalt lassen, bei denen also der Verstand gleichsam vorherrscht, . . . die Poetiker hingegen diejenigen, die wirklich in Tönen dichten, in welchen der Genius waltet, die Fantasie.” Schilling, *Encyclopädie* II, 655.

¹⁰From a letter of 1888 to von Bülow, cited by Newman in *The Sonata Since Beethoven*, 35.

Introduction, the fact that many composers take the next step to actual programs may derive from a second generic feature: the connection between the genre and strong, personal feeling. We have seen C. P. E. Bach and Schumann make both overt and concealed statements of specific, personalized meaning in works titled *fantasy*.¹¹ From there, other extramusical sources of inspiration are a natural next step.

“Sidestepping the Laws of Musical Form”: Klauwell

As seen in Chapter Four, the compositional challenge inherent in the *fantasy* as articulated in the nineteenth-century anticipates views of music in general at the turn of the twentieth century. Indeed, in the controversy regarding form in program music, issues that were the focus of earlier commentary on the *fantasy* are re-hashed. Regarded by its detractors as a meager substitute for musical coherence, program music was often deemed aesthetically invalid. For example, in his *Geschichte der Programmusik* (1910), Otto Klauwell reduces program music to that which is “sidestepping the laws of musical form and adapting the norms of its development to extramusical factors at every step of the way.”¹²

This critical association of program music with formlessness led such composers as Max Reger and Richard Strauss to distance themselves from the idea of a program even when it was clearly visible in their music. For instance, in Reger’s 1904 letter to Gustav Beckmann (the dedicatee of his *Symphonic Fantasy and Fugue, Op. 57* for

¹¹ See Introduction, 12-13.

¹² Translation in Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Los Angeles, 1989) 361.

organ), the composer expresses annoyance with the question of extramusical associations: "Opus 57 was stimulated by Dante's 'Inferno'! This should tell you all you need to know . . . I can say no more about it, since I am opposed to furnishing 'programs' to my pieces."¹³

It is especially ironic that even Glinka, the progenitor of the Russian tradition, turned his back on program music. Early in his career, he had no qualms about the concept: "My unbridled imagination has need of a text or concrete facts. 'Concrete facts' are the basis of musical creativity—they constitute, of course, the basic element of 'program music.'"¹⁴ This notion certainly fits Stasov's description of a "feature which strongly characterizes the Russian school of music—that is, its strong predilection for 'program music.'"¹⁵ Yet, as Stasov reports, late in life Glinka denied that there were programs in many of his clearly programmatic works. Such a denial underlines the fear that to acknowledge a program is to risk the accusation of formlessness.

"Exceedingly Complex but Disconnected Sounds": Tolstoy

The reality of the fear that a programmatic work would be subject to the charge of incoherence is well-illustrated in Balakirev's King Lear fantasy (1858-61), a work that can be viewed not only through the eyes of the partisan critic Stasov (to whom it was

¹³Fritz Stein, Max Reger, (Potsdam, 1939), 608.

¹⁴Writing in 1883, Stasov cites this letter to Kukolnik in "Twenty-Five Years of Russian Art: Our Music," 74.

¹⁵Vladimir Stasov, "Twenty-Five Years of Russian Art: Our Music," trans. Florence Jonas in Selected Essays on Music (New York, 1968), 73.

dedicated) but also in a detailed literary reference contained in Tolstoy's Anna Karenina (1875-77). Stasov refers to the overture and incidental music as "so rich in content that they might be said to amount to a full opera."¹⁶ Yet Stasov's richness is Tolstoy's poverty—evident in the reaction of the latter's protagonist to a concert in which

... two very interesting works were performed. One was a fantasia, King Lear in the Steppe, the other was a quartet dedicated to the memory of Bach. Both were new and in the modern style, and Levin was eager to form an opinion of them ... But the more he listened to the King Lear fantasia, the further he felt from forming any definite opinion on it. There seemed to be a continual beginning, a preparation for the musical expression of some feeling, but it fell to pieces again immediately, breaking into new expressions of emotions, or simply into nothing but the whims of the composer, exceedingly complex but disconnected sounds ... And these fragmentary musical expressions ... followed one another without any connection, like the emotions of a madman.¹⁷

To Levin, the work seems so free-wheeling and disorganized as to be unintelligible:

During the whole of the performance Levin felt like a deaf man watching people dancing, and was in a state of complete bewilderment when the fantasia was over, and felt a great weariness from the fruitless strain on his attention.¹⁸

Then Levin engages in an amusing conversation with another concertgoer, who attempts to justify the vagaries of the music:

¹⁶Stasov, "Twenty-Five Years of Russian Art: Our Music," 95. Stasov uses "overture" in the title; later he refers to it as a tone poem; and Tolstoy's fictional program lists a "fantasia." This is a good example of the overlap of titles discussed in Chapter Two.

¹⁷Tolstoy may or may not have had Balakirev's piece in mind, though a footnote in this edition attests that the composer was Balakirev. Leo Tolstoy, Anna Karenina, Part VII, Chapter 5, trans. Constance Garnett Kent, ed. Leonard Kent and Nina Berberova (New York, 1965), 714.

¹⁸Ibid.

“Marvelous!” Pestsov was saying . . . “Particularly graphic and sculptural, so to say, and richly colored is that passage where you feel Cordelia’s approach . . . Isn’t it?”

“You mean . . . What had Cordelia to do with it?” Levin asked timidly, forgetting that the fantasia was supposed to represent King Lear.

“Cordelia comes in . . . see here!” said Pestsov, tapping his finger on the satiny surface of the program he held in his hand and passing it to Levin.

Only then did Levin recollect the title of the fantasia, and made haste to read in the Russian translation the lines from Shakespeare that were printed on the back of the program.

“You can’t follow it without that,” said Pestsov.¹⁹

Even in contemporary fiction, then, we find the notion that program music is a hoax—an excuse for incoherent structure. Pestsov appears ridiculous in his eagerness to hop on the bandwagon of this “modern style,” while the bewildered Levin (acknowledged in Tolstoy criticism to be the author’s spokesman) represents the response of a conservative audience.

It is a very conservative response, at that, since the structure of Balakirev’s King Lear is actually quite clear. The primary thematic material is contained in the three ideas presented in the opening section, which then undergo re-orchestration and sequence. A rather elaborate chain structure with ample repetition and return, this work is far from a series of “exceedingly complex but disconnected sounds.” Coherence is provided by the linking sections, which utilize segments of the opening theme. These segments also function as sources from which later themes are derived.

Despite such evidence to the contrary, Tolstoy’s interpretation would please a later reader like Klauwell, for whom program music is equivalent to formlessness. Such

¹⁹ Ibid.

an interpretation also coincides with Glinka's disavowal of program music. Can one fault the composer for issuing his denial when the climate was so negative?

Critical disdain for program music is linked to formal expectations once again in d'Indy's "The Symphonic Poem and the Fantasy." He classifies these types "with all the forms that are derived as a result of the imposition of a foreign element on the music."²⁰ Claiming that such works are directed more by this outside element than by the rules of traditional construction, he continues, "... the music, submitting more or less strictly to an external 'literary program', will tend more and more to elude the principles of symphonic construction."²¹

D'Indy further maintains that this connection to external stimulus often results in a lesser-quality work: "A representative or even descriptive intention comes to modify this [symphonic] construction, often to the detriment of the music, always to the benefit of the author's poetic fantasy."²² Here in the pedagogue's cautionary words to his pupils, just as in the words of Klauwell and Tolstoy, we can pinpoint two debatable presumptions: one, that program music exists outside conventional form, and two, that the new form is likely to be inferior. Of course, programmatic content does not preclude

²⁰"Enfin, le Poème symphonique et la Fantaisie, avec toutes les formes qui en dérivent par suite de l'intrusion d'un élément étranger à la musique." d'Indy, Cours de composition I, 8.

²¹"... la Musique, se soumettant plus ou moins étroitement à un 'programme littéraire' qui lui est extérieur, va tendre à se soustraire de plus en plus aux principes de la construction symphonique." d'Indy, Cours de composition, I, 8.

²²"Une intention représentative ou même descriptive vient modifier cette construction, souvent au détriment de la Musique, toujours au bénéfice de la Fantaisie poétique de l'auteur." d'Indy, Cours, I, 8.

conventional form, and all forms outside those of conventional symphonic movements are not intrinsically inferior. However, as we have seen in Chapter Four, sonata form casts a long shadow.

Shaw, too, suggests that program music and sonata form are antithetical. In 1892, he describes a programmatic overture as

a predestined failure, since it is impossible to tell a story in sonata form, because the end of a story is not a recapitulation of the beginning, and the end of a movement in sonata form is . . . [The composer's form] is another example held up of the danger of mixing genres in musical composition.²³

Unlike d'Indy, however, Shaw does not imply that an alternative form is necessarily inferior to sonata form. Neither does Wagner in his complaint about the effect of the conventional recapitulation on the dramatic structure of Beethoven's third Leonore overture.²⁴ As we have seen, Wagner's solution to the problem of the recapitulation was to eliminate it from a new form—a step which he took in the Siegfried-Idyll.

In some contemporary criticism, the notion of a clear-cut formal distinction between absolute and program music is still invoked along with the corollary that the latter is likely to be inferior, as seen in the New Grove entry on sonata form:

Two broad strains may be identified in 19th-century music: a 'Romantic' one, focussing on vocal music, programme music and the characteristic piece for piano; and a conservative or 'classicizing' one, focusing on the traditional genres of absolute music. Only the latter tradition gave sonata form much prominence. The relatively uncommon sonata-form movements in the former (and some in the latter) often treat the form in an academic manner, as a mould, not a process.²⁵

²³The work in question is The Dowie Dens o' Yarrow, by Hamish MacCunn. George Bernard Shaw, Music in London 1890-94, weekly criticisms contributed to The World, orig. issued as an anthology in 1932; 3 vols. (London, 1949), 82.

²⁴See Chapter One, 113.

²⁵James Webster, "Sonata Form," The New Grove Dictionary of Music and Musicians,

While it is true that sonata form had become simply a mold for many composers, Webster suggests that this purely academic approach to the form occurs often in programmatic examples of sonata form, while only in some examples of absolute music.

“Dilution of Symphonic Principles”: d’Indy

This negative view of program music underscores both the desire to preserve an idealized sonata form and the fear of its contamination by an unhealthy extra-musical influence. In his discussion of French symphonic poems, we have seen d’Indy praise Saint-Saëns for the ability to reconcile form and program while avoiding the chaos with which d’Indy associates the music of Berlioz and Liszt. D’Indy continues by attributing such chaos to program music: “Franck and his disciples always do their best to avoid the over-dependence on another art that can cause a crumbling away or dilution of symphonic principles.”²⁶ Clearly, extra-musical associations were considered a threat to the very survival of sonata form.

The path of the fantasy was closely entwined with such fears in d’Indy’s chapter entitled “The Sonata after Beethoven,” sub-headed “Stagnation and Fanciful Disintegration of Sonata Form.”²⁷ In the extra-musical elements of the fantasy, the writer

ed. Stanley Sadie (London, 1980), vol. 17, 504.

²⁶“Franck et ses disciples se sont toujours efforcés d’éviter que cet ‘appui sur un autre art’ ait pour effet une sort d’effritement ou de ‘dilution’ des principes symphoniques.” d’Indy, “Le poème symphonique et la fantaisie,” in Cours de composition, II, 324.

²⁷“Stagnation et désagrégation fantaisiste de la forme Sonate,” in “La Sonate depuis Beethoven,” d’Indy, Cours de Composition, I, 389.

saw a villain that only the hero—sonata form—could control: composers began to follow the fashion of picturesque titles, “and these titles having soon reacted on the music, one saw a crowd of intentionally fanciful works appear, but fortunately [they were] safeguarded by the strong framework of sonata form.”²⁸

D’Indy continues with a more specific complaint about even the ‘best Romantics’: “But all notion of the development is nearly lost, and no one any longer knows the importance of tonal order in this section, integrating the entire well-balanced instrumental work.”²⁹ Perhaps d’Indy was unsettled by the tendency of development processes to spill over its accepted boundaries in the more fantastic works.

Two issues are linked here: the fear that the programmatic fantasy is an encroachment on sonata form: and the loss of an essential component of sonata identity through the erosion of the development section with its consequent effect on tonal balance. Thus d’Indy attributes the dilution of sonata form not just to extramusical attachments, but to internal changes as well.

More recently, Benno Szabolsci makes a similar claim:

At first glance it would appear that the disintegration of the romantic symphonic form had been induced by “external,” that is, literary, programmatic fashions . . . [and] no doubt this was largely so, as shown by the symphonic works of Mahler and Strauss around 1890; but the loosening and dilution of form was evoked . . . primarily by an internal crisis of musical language.³⁰

²⁸“ . . . et ces titres ayant réagi bientôt sur la musique, on vit apparaître une foule d’œuvres intentionnellement fantaisistes, mais heureusement sauvegardées par la forte armature de la forme Sonate.” d’Indy, Cours de composition, I, 389.

²⁹“Mais toute notion du développement est à peu près perdue, et nul ne sait plus l’importance de l’ordre tonal dans cette partie intégrante de toute pièce instrumentale bien équilibrée.” d’Indy, Cours de composition, II, 390.

³⁰Benno Szabolsci, “The Decline of Romanticism: End of the Century, Turn of the

D'Indy and Szabolsci represent the view that music has undergone a process of disintegration and decay, a predisposition with which the fantasy is most often evaluated. This connection is made especially vivid when d'Indy's metaphor expands from "dilution" to "exploding into pieces" as he continues the story of the "Stagnation and fanciful disintegration of sonata form":

These isolated works, which for the most part stem from this dismemberment of sonata form, "exploded into pieces," in which it was not conserved by cyclic cohesion, will not be found in this part of the Cours de composition. Their form can teach us nothing: it is rather the cause of their distortions that bear interest for the musician. And since these reasons are almost always the result of a poetic or literary idea, therefore "extra-musical," these works called "free," and often unclassifiable, will figure most advantageously under the subtitle "the Symphonic Poem and the Fantasy," in the second part of the present book.³¹

D'Indy was not the first to articulate the loosening of sonata form in such strong terms. In 1877, Ottokar Hostinsky defended program music against the accusation that it might "blow up" symphonic form:

Century," Studia musicologica 12 (1970), 271.

³¹ "Ces pièces isolées, issues pour la plupart de cette sorte de démembrement de la forme Sonata, 'éclatée en morceaux,' là où elle ne fut pas conservée par la cohésion cyclique, ne sauraient trouver place dans cette partie du Cours de composition. Leur forme ne nous apprend rien: ce sont plutôt leurs déformations dont les causes doivent intéresser le musicien. Et comme ces causes proviennent presque toujours d'une idée poétique ou littéraire, donc 'extra-musicale,' ces pièces dites 'libres,' et souvent inclassables, figureront plus avantageusement à titre d'annexes du Poèmes Symphonique et de la Fantaisie, dans la Seconde Partie du présent Livre." d'Indy, Cours de composition, I, 390. While there is certainly truth in the notion that free works are difficult to classify, d'Indy's conservatory students were probably skeptical of such loaded terms as dismemberment and exploded, as well as the peremptory conclusion that free works are worthless for the study of form.

The chief importance of program music lies not so much in this uniting of music and poetry in the moment of aesthetic pleasure as in the fact that poetry stimulates the composer's imagination to create a great variety of new musical forms . . . Liszt himself certainly had no desire to 'destroy' or to 'blow up' the form of the symphony, only to reshape it and to develop it in the direction of a higher unity in the purely technical, musical sense.³²

Despite such views to the contrary, d'Indy insists on the metaphor of explosion thirty-five years later. We have seen that this metaphor persists into the end of the twentieth century in the view that program music implies free form, and in two corollaries of that view: one, that free works are necessarily inferior regarding form; and two, that through such works we can trace the general disintegration of form by the end of the nineteenth century.

In sum, those who view the sonata structures of Beethoven as the ultimate achievements of music are inclined to see in the fantasy a threat to the existence of that structure. Opponents of program music base their objections on the same threat. Therefore some writers subscribe to the complete identification of the fantasy with program music, and to the view that both the genre of the fantasy and the concept of program music are responsible for a negation of form.

As I have shown in the preceding chapters, the fantasy cannot be properly accommodated by either the extreme of negation or of appropriation of sonata form. Thus, just as we have argued for the consideration of the genre within a family

³²Das Musikalisch-Schöne und das Gesamtkunstwerk vom Standpunkte der formalen Aesthetik (1877), trans. Martin Cooper in Music in European Thought 1851-1912, ed. Bojan Bujic (Cambridge, 1988), 132-151. Hostinsky (1847-1910) was professor of aesthetics at Prague University and a champion of Smetana.

resemblance model—rejecting either extreme—such an approach is necessary for programmatic works. Through the analyses in the following chapter, it will become evident that these issues are especially relevant to the programmatic orchestral fantasies of Tchaikovsky. In these works, particularly in Francesca da Rimini, we will demonstrate a flexible approach to program, genre and structure.

PART TWO. A MODEL FOR THE FANTASY: TEST CASES. 1870-1920

CHAPTER SIX

TCHAIKOVSKY AND THE ORCHESTRAL FANTASY

Generic Context

We have seen that the fantasy is relegated to the margins of the genre system on the basis of two extremes: the view that it is structured according to established genres or that it is so diffuse that it simply cannot be considered a genre. In response to this situation, we have proposed an approach that is twofold: each fantasy must be considered both as a representative of a diverse historical tradition and as an individual instance. This model accommodates the influence of established forms as well as the techniques that are particular to the fantasy. Our survey of eighteenth- and nineteenth-century instances has shown that the fantasy does constitute a definable genre within a flexible formal model of family resemblance. The historical evidence provided in Chapter Three attests to specific compositional techniques. These include the prevalence of developmental techniques, interruption, cyclic structures, variation techniques, the importance of linking passages and the interaction between the fantasy and multimovement structures.

Having set the stage with a proposed model and with documentation supporting that model, I will now demonstrate its applicability in Tchaikovsky's orchestral fantasies.

Tchaikovsky and Form

Recent Tchaikovsky scholarship is calling into question the dichotomy between his solid place in the performance repertoire and the lukewarm response in the critical

literature.¹ The combination of this dichotomy and the elusiveness of the genre makes Tchaikovsky's orchestral fantasies especially problematic. At the root of the problem are three issues: genre, form and reception. Specifically, traditional commentary approaches the genre of the orchestral fantasy in relation to that of the symphony, and the form of the fantasy in relation to the form of the sonata. In the preceding chapters, we have begun to address the questions surrounding form and genre by considering the fantasy in historical context, released from the expectations for sonata form and for the symphony. It is just these expectations that engender devaluation of Tchaikovsky with respect to the tradition of Beethoven and Brahms.² The presumption that Tchaikovsky was lacking in general competency can be traced to criticism of his formal procedures. Yet his procedures are consistent with nineteenth-century techniques of development, variation and interruption.³ And these techniques are central to the fantasy as a genre.

¹The need for a new critical attitude is articulated in Malcolm Hamrick Brown's review of Alexander Poznansky's Tchaikovsky: The Quest for the Inner Man in the Journal of the American Musicological Society 47 (1994), 364: "one can imagine the possibility that Poznansky's radical reinterpretation of Tchaikovsky's life story might set the stage both for a belated revaluation of the music itself and for more critical studies of his life and times—potentialities devoutly desired by the present reviewer." And, in a comparative review of the same book alongside the final volume of David Brown's Tchaikovsky, Simon Karlinsky called the Poznansky "an instance of the new type of Tchaikovsky studies: informed, imaginative and treating both the man and his music with sympathy and respect," in Times Literary Supplement, January 17, 1992, 21.

² The scathing review of the Berlin premiere of Francesca da Rimini in 1878 may have been related to the pairing of the work with Brahms's Second Symphony.

³ As in previous chapters, my use of this term here denotes real-time interruption, distinct from the interrupted structural descent that is central to Schenker's idea of sonata form.

Tchaikovsky's correspondence presents a mixed picture of his approach to form. at times one of uncertainty, at others one confidently following or avoiding established forms. In 1888 he wrote:

As regards your humble servant, all his life he has suffered from consciousness of his inability in general matters of form. I have struggled much with this inborn deficiency and I can say with a certain pride, that I have achieved significant results, but to the day I die, I shall have written nothing that is perfect as concerns form.⁴

This often quoted letter portrays only one side of the story. A decade earlier, Tchaikovsky seemed content with formal freedom:

You ask, do I keep to established forms? Yes and no. Some kinds of composition imply adherence to a particular form, for instance, 'the symphony.' . . . In vocal music, where everything depends on the text, and in fantasias (The Tempest, Francesca, for instance) the form is completely independent.⁵

The composer's mixed feelings about formal license, along with the central polarity of form and freedom that is the historical underpinning of the fantasy concept, prompt study of those works that Tchaikovsky designated "fantasies." Included in this category are three well-known compositions: the Fantasy Overture Romeo and Juliet

⁴Chaikovskii, Polnoye sobraniye sochineniy: literaturniye poizvedeniya i perepiska (Complete edition: literary works and correspondence), vol. 14 (Moscow, 1974), 542; from a letter to K.K. Romanov dated October 3, 1888. It is cited by Henry Zajackowski in Tchaikovsky's Musical Style, (Ann Arbor: UMI Research Press, 1987), 1.

⁵Galina von Meck, trans., Edward Garden and Nigel Gotteri, eds., "To my Best Friend": Correspondence between Tchaikovsky and Nadezhda von Meck 1876-1878, (Oxford, 1993), 296 letter of June 24, 1878. The rest of the citation reads: "Here I keep to the form established by tradition in broad outline, but only in broad outline, for example in the sequence of movements in the work. You can deviate in details as much as you like if the development of a particular idea demands it. So, for example, the first movement of "our symphony" [No. 4] contains very marked deviations. The second subject, which should be in the relative major is in fact in a remote key and in the minor. At the recapitulation in the first movement the second subject does not appear at all, etc. Its finale also contains a whole series of departures from traditional form."

(1st version, 1869; 2nd version, 1870; 3rd version, 1880); the Symphonic Fantasia after Dante Francesca da Rimini (1876) and the Fantasy Overture Hamlet (1888). Less often heard works are the symphonic poem Fatum (1868), the symphonic fantasia The Tempest (1873), the Concert Fantasy for piano and orchestra (1884), and the symphonic ballad The Voevoda (1891).⁶ This chapter examines all three compositions from the first group, introduced by the earliest of the latter group, Fatum. Officially designated a symphonic poem, Fatum was dubbed “fantasy” by the composer.⁷ We will see that the composer associated the informal title with free form in this work.

The Meaning of Compound Titles in the Orchestral Fantasies

Compound titles prove meaningful for Tchaikovsky’s orchestral fantasies.

Fowler’s distinction between kind and mode may be useful here.⁸ (Recall that, in a compound title, the kind is always a noun and the mode is an adjective, e.g. “comic novel.”) This nomenclature works particularly well for Francesca da Rimini: “fantasia” is the kind and “symphonic” is the mode. Fittingly, the work displays

⁶Fatum, which appears in work-lists as a symphonic poem, is included in this discussion of fantasies for two reasons: the symphonic poem is historically linked to the fantasy, most explicitly in d’Indy’s Cours de composition II, 297-332. And Tchaikovsky used the term fantasy in reference to the work: “My fantasy Fatum was performed for the first time.” P. Chaikovskii, Pis'ma k rodnym (1840-1879) (Letters to Relatives), ed. Vladimir Zhdanov, Moscow, 1940, 123. In The Voevoda, the term “ballad” has more to do with its literary origin in Pushkin’s ballad than with any musical distinction from symphonic poem and the fantasy tradition.

⁷ In previous chapters, we have noted the tendency of composers to write fantasies early in their careers, e.g. Debussy, Rachmaninoff and Strauss. Tchaikovsky represents a different situation, however, having continued to compose in the genre throughout his career.

⁸ Alastair Fowler’s use of kind and mode is discussed in the Introduction, 7.

central features of the fantasy genre while making references to symphonic form.

Another of Tchaikovsky's compound titles, the *fantasy overture* is more ambiguous.

Each of its components is a noun and neither is relegated to a modifying role. This combination allows for flexible usage that can emphasize one or the other title.

Tchaikovsky exploited each of the two possibilities for this construction in Romeo and Juliet (1869; rev. 1870 and 1880) and Hamlet (1888). Hamlet is a fantasy with sonata form affinities, while Romeo and Juliet maintains closer ties to sonata form and can be viewed as an overture in which features of the fantasy play a large role.

Both of the *fantasy overtures* rely on constitutive types of interruption that I have examined within the fantasy tradition. However, only Francesca incorporates a central area of contextual interruption. Perhaps this broad-scale occurrence contributes to the unequivocal role of fantasy in the title, *symphonic fantasia*. Freed from the constraints of a fixed approach to the genre, the analysis will show that Francesca hinges on a flexible generic mixture conditioned by techniques that are central to the fantasy. These are the discontinuity inherent in specific types of interruption, and the coherence provided by the use of variation techniques and returning themes. I will show that these structural processes are intimately tied to the program of the work.

In Hamlet, Tchaikovsky's formal license creates an independent form, the precedent for which was set in Fatum. Hamlet does contain elements of contrast, repetition and return, but these alone do not produce sonata form. Since developmental procedures occur throughout the work instead of in a pre-defined segment, David Brown's view of Hamlet as a sonata-form without development section seems a negative image of the form. His interpretation works on the thematic level: there is a clear

introduction with its own theme, an exposition of three themes, and a recapitulation of the three themes.⁹ Harmonically, however, the path is more diffuse. It creates an overlap of parameters that subvert the sonata affinity. Rather than being totally absent, development functions freely in unexpected places throughout the work. If we recall that the development section itself was once called the “free fantasia,” then a process of continual development is perfectly appropriate in a free-standing fantasy.

While Hamlet and Francesca embody free fantasy treatment, or in the words of the composer, independent form, Romeo and Juliet is clearly in sonata form. Since improvisation was no longer considered an important practice by the mid-nineteenth century, composed works often conveyed the illusion of freedom instead. Romeo and Juliet suggests that the imprimatur of sonata form gave Tchaikovsky an illusion not of freedom but of order—a frame within which he could improvise aspects of development and recapitulation using interruption techniques.

The balance of this chapter pursues individual analyses of Tchaikovsky’s orchestral fantasies. Fatum is briefly examined first, after which the primary focus is turned toward a mature work unequivocally designated *fantasia*, Francesca da Rimini. The chapter closes with a look at the two Fantasy Overtures: Romeo and Juliet and Hamlet. The four works demonstrate Tchaikovsky’s interpretation of the fantasy tradition with regard to constitutive and contextual interruption; variation; pervasive development and harmonic surprise. Unified by these underlying techniques, the

⁹ David Brown, Tchaikovsky, vol. 4 (London, 1991), 159-160.

individual approach to form in these works demonstrates the usefulness of a flexible model for the genre.

Fatum

Fatum, Op. 77 (1868) has an interesting reception history. Brown takes the composer's withdrawal of the work—coupled with Balakirev's harsh criticism of it—as grounds to write it off completely: “After the disaster of Fatum Balakirev can have had no difficulty in persuading Tchaikovsky not to try his hand at ‘free form’ again—at least, not for the time being.”¹⁰ This comment may stem from a misinterpretation of Balakirev's remarks, which are less an admonition against using free form than a suggestion that the composer learn how to perfect it:

I don't like the piece itself . . . The seams and unmatched stitching are everywhere conspicuous. Finally, the form is unsuccessful . . . Laroche ascribes this to insufficient study of the classics. In my opinion this has happened for a completely different reason: you are little acquainted with new music. The classics won't teach you free form. You won't find anything new in them, anything you don't know already.¹¹

The complaint about audible “seams” may have planted Tchaikovsky's first seed of self-doubt regarding form. In fact, Balakirev's suggestion of a structure for Romeo and Juliet had less to do with the “disaster” of Fatum than with the coincidence that he had just composed another Shakespearean setting when Tchaikovsky was having trouble beginning Romeo and Juliet. In response to this case of “composer's block,” Balakirev

¹⁰Brown, Tchaikovsky, vol. 1, 186.

¹¹Balakirev's letter is quoted in Brown, Tchaikovsky, vol. 1, 170.

proffered the outline that he had used in composing King Lear.¹² According to Tchaikovsky, the first performance was not a disaster: "My fantasy Fatum . . . seems to be the best thing I have written so far; at least that is what people are saying."¹³ Yet the harsh criticism from both Cui and Balakirev caused Tchaikovsky to destroy the score, which was later reconstructed from orchestral parts.¹⁴

While Cui noted the "bold and new" harmony in Fatum, he tempered his praise with the qualification: "but where it is new it is not beautiful."¹⁵ Certainly, to equate the "new" with the "not beautiful" is not a new charge. On first hearing, the more startling harmonies must have jumped out of the score. Yet harmonic surprise is a strong feature of the genre. Two other features of the genre are demonstrated in Fatum: constitutive interruption and pervasive development. The following discussion sketches the role of all three features.

Fatum can be seen as a precursor of Hamlet. Form in both entails large-scale repetition of three main sections, as well as symmetrical framing material. In Fatum, the result is arch-like:

¹²That Balakirev provided this outline emphasizes the formal challenge inherent in the fantasy.

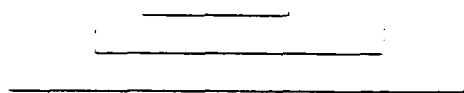
¹³Poznansky, Tchaikovsky, 16.

¹⁴As noted in Chapter One, Debussy and Strauss also distanced themselves from early orchestral fantasies. In these two cases, the composers' second thoughts were partially related to the conventional form of the works. For Tchaikovsky, this is not the case in regard to Fatum.

¹⁵Modest Tchaikovsky, Zhizn P.I. Chaykovskovo [Tchaikovsky's Life], Moscow, 1900-1902, vol. 1, 319; see Brown, vol. 1, 169.

Figure 6-1: arch structure of Fatum

A1 A2 B C A1 B C A2 A1



Another connection with Hamlet is that developmental techniques occur throughout, rather than being contained in a defined section. In Fatum, this feature can be traced as follows:

Figure 6-2: Fatum, showing pervasive role of development

m. 1	A1	Moderato assai	g minor	introductory
16	A2		cm/gm	introductory
43	B	Più mosso largamente	Ab	expansive; lyrical
118	C	Molto allegro	cm	developmental; concise
220	A1	Moderato assai	gm	introductory
235	B	Più mosso	Eb	expansive
288	C	Allegro molto	cm	developmental
372	A2	Moderato assai	cm/gm	introductory
394	A1	Moderato assai	CM	introductory

As in all Tchaikovsky's later fantasias, rhythmic interruption is prominent in the opening section (see Ex. 6-1). Another rhythmic discontinuity is seen in the fermatas of A2.

When the melodic material of A2 is expanded to form B, the quarter-note interruptions

(mm. 9 and 11) now function as accompaniment for the new melody. Developmental techniques of fragmentation and combination pervade section C, which contains two ideas of opposite qualities: a wide-ranging unison melody in lower strings, and short bursts of chromatic chords in brasses and winds.

Abstraction of a rhythmic segment provides a unifying link throughout the work, a technique that will also play a role in Hamlet. Recalling the initial ♩ interruptions of

mm. 9-13, the final $\text{♩} \text{♩}$ pattern of the motive is first doubled by clarinet at the end of each measure (m. 120ff), and then by full winds and brass (m. 137 and m. 139) (see Ex. 6-2).

Aside from these rhythmic articulations, the most striking feature of the work is its treatment of harmonic combinations, particularly the one that first occurs in mm. 7-9 during A1 (included in Ex. 6-1). Like the "side-slips" first noted in Strauss's symphonic fantasy Aus Italien, this progression appears creates the expectation that it will pull away, then it slides back into the tonic. Here the progression creates a whole-tone segment. The simultaneity of pitches C (brass)/ D(winds)/ E(cl. and tpt) consists of whole steps that surround the dominant pedal (D). The impact of this combination is strengthened by contrary motion between lower brass and clarinet/trumpet. In this context, the Bb augmented sonority (downbeat of m. 9) resembles an isolated tone combination even though it functions as a g-minor triad with an appoggiatura in the upper voice. In the transition between the second statements of Sections B and C (mm. 268-287) this harmonic process is heightened when the transposed material expands from four to six

measures (mm. 272-278). Adding to the power of this transition, the motive intensifies from alternate measure repetitions to consecutive reiterations in each of the last three measures (mm. 276-278) (see Ex. 6-3). Thus, while it centers largely on the tones of the returning tonality, c minor, the transition is invested with variety and harmonic pungency. No wonder Tchaikovsky's critics were unsettled! One can only speculate as to the direction his music may have taken had he felt confident to continue such harmonic explorations in later works.

In sum, Tchaikovsky's experiment with free form in Fatum demonstrates three strong features of the genre: constitutive interruption, continuous development and harmonic surprise. Poor critical reception may have caused the composer to avoid *fantasy* as a kind for the next few years. Seven years later, Tchaikovsky returned to the genre with his Francesca da Rimini—unequivocally marked *symphonic fantasy*. The following analysis centers on the interaction of genre, program and structure in Francesca.

* * *

Ex. 6-1: *Fatum*, mm. 1-15, rhythmic interruption and harmonic surprise
(continued next page)

Moderato assai

The musical score is divided into two systems. The first system includes the following instruments:

- Flauto piccolo
- 2 Flauti
- 2 Oboi
- Corno Inglese
- 2 Clarinetti (B)
- 2 Fagotti
- 4 Corni (F) (I II, III IV)
- 3 Trombe (F) (I II, III)
- 1 Trombone e Tuba
- Timpani
- Triangolo
- Piatti
- Cassa
- Tam-tam
- Arpa

The second system includes the following instruments:

- Violini I
- Violini II
- Viole
- Violoncelli
- Contrabbassi

The tempo is marked *Moderato assai*. The score shows a rhythmic interruption and harmonic surprise in measures 1-15.

Ex. 6-1, continued

Handwritten annotation: $[C, D, E]$

The musical score is divided into three systems. The first system consists of five staves, the second of five staves, and the third of four staves. The notation includes various musical symbols such as notes, rests, and dynamic markings. Handwritten annotations include the chord $[C, D, E]$ at the top left, a circled 'a2' in the second system, and a circled 'a2' in the third system. The page number '10' is centered at the bottom.

Ex. 6-2: Fatum, mm. 132-139, rhythmic interruption emphasized by orchestration
(continued next page)

This musical score, labeled 'Ex. 6-2, continued', is a page from a manuscript. It features a large woodwind section at the top, followed by brass instruments, and a string section at the bottom. The woodwind section includes Piccolo (Pico.), Flute (Fl.), Oboe (Ob.), Cor Anglais (C. I.), Clarinet (Cl.), and Bassoon (Fg.). The brass section includes Cornet (Cr.), Trumpet (Trb.), Trombone (Trba. e Tb.), and Tuba (Tp.). The string section is labeled 'Archi' and includes Violins, Violas, Cellos, and Double Basses. The score is written in 4/4 time and consists of four measures. The woodwinds and brass play a rhythmic pattern of eighth and sixteenth notes, while the strings play a continuous sixteenth-note accompaniment. Dynamics such as *f* (forte) and *p* (piano) are indicated throughout the score.

Ex. 6-2, continued

268

149

Fl. 15 $\text{a}2$

Ob.

Cl.

Cl.

Fg.

Cr.

Trbn

Tb

Archi

270

Ex. 6-3: *Fatum*, mm. 268-280, harmonic surprise heightened by longer phrase containing whole-tone progression of mm. 7-8, shown in Ex. 6-1 (cont. next 2 pages)

272 244

Fl.

Ob.

Cl.

Cl.

Fg.

Cr.

Trbn

Tb

Archi

[B^b, C, D]

Ex. 6-3, continued

Musical score for Ex. 6-3, continued. The score is written for a large ensemble, including woodwinds, brass, and strings. The staves are labeled as follows:

- Fl (Flute)
- Ob (Oboe)
- C.I. (Clarinet in C)
- Cl. (Clarinet in Bb)
- Fg (Fagott)
- Cr (Corni)
- Trbn (Trombe)
- Tb (Tromba)
- A. (Alto Saxofoni)
- Archi (Archivi)

The score is divided into four systems. The first system contains the Fl, Ob, C.I., Cl., and Fg staves. The second system contains the Cr, Trbn, and Tb staves. The third system contains the A. staff. The fourth system contains the Archi staves, which are divided into four parts. The Archi staves show a variety of musical notation, including eighth notes, sixteenth notes, and rests. The bottom two staves of the Archi section include the markings "pizz." (pizzicato) and "arco" (arco). The score ends with the number "260" at the bottom right.

Ex. 6-3, continued

Francesca da Rimini

My reading of the *symphonic fantasy*, Francesca da Rimini, is based on its mixture of symphonic conventions (primarily the use of two highly contrasted themes), ternary form, variation content and central episode. This mixture of forms and the interruptions that accompany it are strongly characteristic of the genre and are also intimately linked to the program. In the course of my discussion, I demonstrate that it is erroneous to follow the conventional approach grounded in the triple bias of genre, form and reception. As we have seen in previous chapters, this approach presumes a progression from works that are free of recognizable form to those that are derived from established forms. As I have shown, the path is more complex, even though the evolutionary view has been perpetuated in recent writing. In this context we reveal that Francesca da Rimini demonstrates specific processes within the context of the ephemeral goals with which the genre has long been identified.

Aspects of Generic Mixture

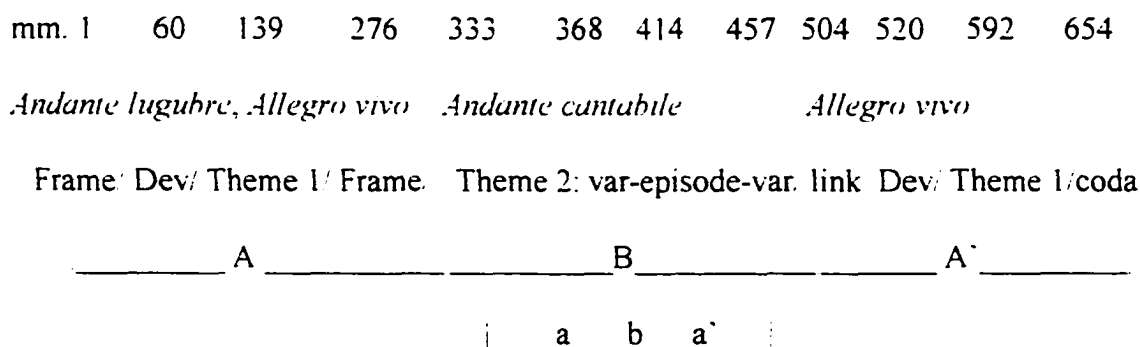
Since the work relies on generic mixture, it is helpful to look at what Tchaikovsky mixes and why he places these references side by side. Most striking are the highly contrasted theme groups and developmental areas associated with symphonic construction; the sectional form and variation techniques often found in the fantasy; and a central episode that functions as an interruption—a moment of stasis that acts as a discontinuity. I will show that these generic references are directly connected to the program of the work.

Francesca da Rimini is constituted by juxtaposition. The whirling outer sections depict hell's tempests while the middle section relates Francesca's tale of misery: having

been deceived into marrying a man she finds repulsive, she falls in love with her brother-in-law, Paolo. Through their reading of the romance of Lancelot and Guinevere, the lovers' secret thoughts are revealed to each other. As punishment for their passion, they are consigned to hell.

Superimposed on the ternary form of the middle section is a theme and three variations. The overall symmetry of the work is mirrored within this middle section, where a contrasting central episode appears between the second and third variations. This episode is central to the formal scheme and pivotal to the program. Figure 6-3 shows the formal components:

Figure 6-3: symphonic references keyed to ternary structure



For a structural and dramatic precedent, one might look to Liszt's orchestral essay on the same topic, the *Inferno* movement of his Dante Symphony (1855-56). Here, too, stormy outer sections enclose a central area that is explicitly linked to Francesca's words: "There is no greater pain . . . than, in our misery, to be reminded

of a happy time."¹⁶

Figure 6-4: Liszt, Dante Symphony, first movement *Inferno*

Measure 1	64	279	395	637
<i>Lento</i>	<i>Allegro frenetico</i>	<i>Quasi andante</i>	<i>Allegro</i>	<i>Adagio</i>
Frame:	Theme 1 closing; Frame	Theme 2	Theme 1 closing; Frame	

The two works share a sequence of highly differentiated themes, but they differ regarding proportion: the middle section of Francesca is one-third longer than that of the Dante Symphony. (The length of this section has prompted much criticism. I will show that proportion is linked to the program on several levels.) Sonic comparisons are overt, as demonstrated in the full version of Theme 1 in each work. Both are dramatic statements which rely extensively on semitones and sixths (see Ex. 6-4a and b).

Strong connections can be observed in the middle sections as well (see Ex. 6-5a and b). These include similar meter changes, harmonic stasis, and the special sonority of harp and English horn. Both composers highlight Francesca's plight by giving maximal contrast to her music.

Wagner, the dedicatee of the Dante Symphony, looms large for Tchaikovsky as well. In August 1876, one month before he wrote Francesca, Tchaikovsky attended

¹⁶ I am using Louis Biancolli's translation of the Divine Comedy (New York, 1966), 21.

the premiere of The Ring cycle at Bayreuth. Though sharply critical of the cycle, he acknowledged its presence in his own new composition:

The observation that I wrote under the influence of The Ring is very true. I myself felt this while I was working on it. Unless I am mistaken this is particularly noticeable in the introduction. Isn't it strange that I should have fallen under the influence of a work of art for which I feel, on the whole, a marked antipathy.¹⁷

The actual sphere of influence far exceeds the introduction. Of the Ring dramas, Die Walküre invites the strongest comparison to Francesca. Analogues are threefold: sonic—depiction of the storm in the opening sections of each work; thematic—the “love” and “ring” motives that echo in the middle section of Francesca; and dramatic—the topic of a forbidden love that violates the forced marriages of Sieglinde/Francesca and Hunding/Rimini. The dramatic appeal of Die Walküre must have been palpable to Tchaikovsky. Just two weeks after hearing the work, he would write of the necessity of his own false marriage and of the presumption that he would have to violate such a sham.

The programmatic correspondence of forbidden love is reflected in three motivic relationships. The cello recitative with which the B section of Francesca begins is reminiscent of Sieglinde's motive and of the cello recitative that underscores Siegmund gazing at her (beginning of Act I) (see Ex. 6-6a). In Die Walküre, these cello phrases reinforce the drama as the protagonists look at each other, and as they move together and apart. The recitative in Francesca, too, highlights an expressive exchange of glances: “Many times that reading drew our eyes together/ And drained the color from our faces.” In a clarinet variant of the recitative, the rests between rising sequences mirror

¹⁷ Letter to Taneyev of April 8, 1878, cited by David Brown in Tchaikovsky: The Crisis Years (New York, 1983), 108.

Francesca's reluctance to tell her story to the narrator (see Ex. 6-6b). Sieglinde's motive traces similar rhythmic interruptions later in Act I, as she starts, hesitates, then finally brings the drugged drink to Hunding.

Francesca's main melody bears intervallic and rhythmic resemblances to the "love" motive as it is transformed in Die Walküre (see Ex. 6-7). The middle section concludes with an allusion to the "ring" motive (see Ex. 6-8). Even though Tchaikovsky seemed puzzled by his surrender to the influence of Wagner, the interrelationships are fitting, especially since Francesca is a fantasy. In this genre, Tchaikovsky was free from the expectations of conventional symphonic form, a model that preoccupied him with a sense of inferiority.¹⁸ Unconstrained by absolute models, Tchaikovsky allowed the program to shape the course of the work, just as Wagner advocated in his famous letter on Liszt's symphonic poems (1857).¹⁹ Thus despite Tchaikovsky's resistance, the influence extends beyond specific motivic correspondences to the wider issue of the freedom inherent in the fantasy.

¹⁸ Tchaikovsky's self-doubt regarding form is clear in his often-cited letter to K.K. Romanov of October 3, 1888, quoted in this chapter, 230.

¹⁹ See Chapter One, 111-113.

Ex. 6-4a: Francesca da Rimini, mm. 138-146, Theme 1, full version
(continued next page)

30

140

Fl.

Fl. p.

Ob.

C. ingl.

Clar.

Fag.

Cor. (F)

Pist. (A)

Tr. (E)

Tubi. C. Tuba

Timp.

Plat.

Gr. C.

Vl.

Vla.

Vc.

Cb.

EE4408

Ex. 6-4a, continued

[illegible]

E.E 4409

Ex. 6-4b: Liszt, *Dante Symphony*, mm. 87-98, Theme 1, full version

87 Più mosso

The musical score is arranged in three systems. The first system includes Picc., Fl. (1. and 2.), Ob. (1. and 2.), C.ingl., Cl. (Sib) (1. and 2.), Cl. b. (La), Fg. (1. and 2.), Cor (Fa) (1. and 2.), Tr. (Sib) (1. and 2.), Trb. (1. and 2.), Tuba (3.), Timp. (1. and 2.), and a second system for VI. (1. and 2.), Vle, Vc., and Cb. The tempo is marked 'Più mosso' at the beginning of the first system. The score features various musical notations including notes, rests, and dynamic markings.

93 254

Picc.

Fl. 1. 2.

Ob. 1. 2.

C. Ingt.

Cl. (Sib) 1. 2.

Cl. b. (La)

Fg. 1. 2.

Cor. (Fa) 1. 2. 3. 4.

Tr. (Sib) 1. 2.

Trb. 1. 2.

Tuba 3.

Timp. I. II.

Vi. I. II.

Vie

Vc.

Ob.

Z. 6243

Ex. 6-4b, continued

Fl.

Vl.

Vla.

Vc.

Cb.

dim.

dim.

Ex. 6-5a: Francesca, mm. 413-420, middle section, showing contextual interruption and maximal contrast to Theme 1 (continued next page)

E.E 4409

The musical score is divided into two systems. The first system includes parts for Flute (Fl.), Cor Anglais (C. ingl.), Clarinet (Clar.), Bassoon (Fag.), Arpeggiator (Arp.), Violin II (VI. II), Viola (Vla.), Violoncello (Vc.), and Contrabass (Cb.). The second system adds Oboe (Ob.) and includes a section for Violin I (VI.) marked *arco pp*. The score is in 4/4 time with a key signature of one sharp (F#). Dynamics include *pp* (pianissimo), *p* (piano), and *p dolce cantabile*. The Arpeggiator part features a prominent ascending and descending melodic line. The Violin I part enters in the second system with a rapid sixteenth-note pattern.

Fl. I. III. II. *pp*

C. ingl.

Clar. *pp*

Fag. II. *pp*

Arp. *p*

VI. II

Vla.

Vc.

Cb.

Fl.

Ob.

C. ingl.

Clar.

Fag. II.

Arp.

VI. *arco pp*

Vla.

Vc.

Cb.

Ex. 6-5a, continued

Ex. 6-5b: Dante Symphony, mm. 309-321, episode underscoring
T Francesca's words (continued next page)

Francesca's words (continued next page)

Fl. 1. 2. *dim.* *Nes - -*

C. ingl. *espress. molto*

Arpa *poco agitato egualmente pizz.*

Vc. *[P]*

312 *sun mag - - gior do - lo - - - - re*

C. ingl.

Arpa

314 *che ri - - - cor - - - dar - - - si del*

C. ingl.

Arpa

316 *tem - - - po le - - li - - -*

C. ingl.

Arpa *rinf.*

Vle *pizz.*

Vc.

Cb.

Ex. 6-5b. continued

Ob. I. *f* *molto*
 nel - - la mi - -

C. ingl. *p* *f*

Arpa

Vle *p*

Vc. *p*

Cb. *p*

Fl. 1. *p*
 2. *p*

Ob. 1. *a2*
 2. *fp* *sc* *b* *sc* *fp*

C. ingl. *fp*

Cl. b (La) *[p]*

Arpa *cresc.*

Vl. I. *arco* *p*

Vle *arco*

Vc. *arco*

Cb.

Z. 6243

Ex. 6-6a: Wagner, *Die Walküre*. opening scene. cello recitative underscores
Siegmund's gazing at Sieglinde

(Siegmund, after taking a deep draught, then hands it back, gazing with ever-increasing interest into her face.)

Siegl.
wollst
wisk!

Ein Vc. allein.

26

1 (allein)

2 (2. Pult)

2 (3. Pult)

2 (4. Pult)

2 (5. Pult)

Die 2 ersten CB.

Siegm. *langsam.*

Küh-len-de La-bung gab mir der Quell, des
Cooling re-lief the wa-ter has wrought, my

1 (allein)

Vc. 2 (sehr weich)

2 (sehr weich)

2 pp

33

820

Fl.

Ob.

C. ingl.

Clar.

Fag.

Vc. e Cb.

sf *p* *sf* *p* *sf* *p* *sf* *p*

I Solo

(1) (2)

380

Clar. 

cresc. *dim. et ritenuto ad libitum*

333 Andante cantabile non troppo

Clar. *p cantabile*
con sordini
pizz. *più f* *dim.* *p*

Vl. *p*
con sordini
pizz. *p*
con sordini
pizz.

Vla. *p*
con sordini
pizz.

Vc. *p*
con sordini
pizz.

Cb. *p*

Ex. 6-6b: Francesca, mm. 313-349, showing: (1) cello recitative introducing Theme 2 (mm. 313-320); (2) clarinet recitative—Francesca's reluctance to reveal her story (mm. 325-332); (3) Theme 2: melodic components "x" and "y" (mm. 333-349) (continued next page)

Ex. 6-6b, continued

The musical score is divided into two systems. The first system includes staves for Clarinet (Clar.), Bassoon (Fag.), Cor Anglais (Cor. (F)), Timpani (Timp.), Violin I (Vl.), Violin II (Vl.), Viola (Vla.), Violoncello (Vc.), and Contrabass (Cb.). The second system includes staves for Bassoon (Fag.), Cor Anglais (Cor. (F)), Timpani (Timp.), Violin I (Vl.), Violin II (Vl.), Viola (Vla.), Violoncello (Vc.), and Contrabass (Cb.).

Key markings and instructions include:

- Clarinet:** *pp*, *p*, *mf*, *f*.
- Bassoon:** *mf*, *f*.
- Cor Anglais:** *mf*, *f*.
- Timpani:** *ppp*, *poco più f*.
- Violin I:** *p*, *poco cresc.*, *arco*, *mf*, *f*.
- Violin II:** *p*, *poco cresc.*, *arco*, *mf*, *f*.
- Viola:** *p*, *poco cresc.*, *arco*, *mf*, *f*.
- Violoncello:** *p*, *poco cresc.*, *arco*, *mf*, *f*.
- Contrabass:** *p*, *mf*, *f*.

Other markings include *trcm.*, *dim.*, and *più f*.

Ex. 6-6b, continued

The image shows a page of a musical score for Wagner's *Die Walküre*, Act I, featuring Sieglinde's song "Du bist der Lenz." The score is written for a large orchestra and voice. The instruments listed on the left include: Fl. (Flute), Hob. (Horn), Cl. (Clarinet), Engl. Hr. (English Horn), Hr. 1 (Horn), Hr. 2 (Horn), Hr. 3 (Horn), Hr. 4 (Horn), Fag. (Bassoon), Bs. Cl. (Bass Clarinet), Harf. (Harp), Viol. (Violin), Br. (Trumpet), Vo. (Voice), and C.B. (Cello/Bass). The vocal line is marked with a circled "34" and the lyrics "Du bist der Lenz." are written below it. The score includes various musical notations such as notes, rests, and dynamic markings like "dim." (diminuendo). The page is numbered 262 in the top right corner.

Ex. 6-7: Wagner, *Die Walküre*, Act I, Sieglinde, "Du bist der Lenz," transformation of the "love" motive containing intervallic and rhythmic similarities to Francesca's melody (Theme 2) (continued next page)

Flg. 2

Trbi. e Tuba

Vc.

Cb.

ff *mf* *dim.* *dim.* *p* *pp*

dim. *III.* *dim.* *pp*

Ex. 6-8: Francesca, mm. 511-519, middle section concludes with allusion to "ring" motive

Program. Genre and Structure

Consistent with a genre that balances discontinuity and cohesion, Francesca is built on alternating sections of flux and stasis that are closely linked with the program. The outer areas represent the physical reality that encloses memory. By starting the main section with a developmental area, Tchaikovsky engages the feature most closely associated with the fantasy: interruption. In this constructive type, fragments are tossed about—evoking a shattered life—before they become the full first theme (see Ex. 6-9). This process appears to have offended an early Berlin critic, who may have been expecting a more straightforward, sonata-like presentation of the main theme: “The first and last allegros, which depict the whirlwinds of hell, have neither subjects nor ideas, but only a mass of sounds, and these ear-splitting effects seem to us, from an artistic point of view, too much even for hell itself.”²⁰ Tchaikovsky is not often charged with a lack of “subjects,” but, as we have seen, the fantasy is defined by the semblance of chaos. Perhaps the genre is the true subject of this criticism.

The cohesion of a full-fledged theme and three variations produces the stasis of the middle section. The length of this area has been the subject of criticism. The 1878 Berlin review continues: “The middle section, which describes the unhappy fate of Francesca, Paolo, and myself, shows—in spite of its endless length—at least some trace of catching melody.”²¹ A similar complaint echoes in David Brown’s recent description of “the seemingly interminable alternation of two themes ... a foretaste of the

²⁰ Richard Würst, *Berliner Fremdenblatt*, September 17, 1878. Translation from Modest Tchaikovsky, The Life and Letters of Tchaikovsky, trans. and ed. Rosa Newmarch, rpt of 1906 London edition (Vienna, 1973), 319-320.

obsessiveness that was to mark some of Tchaikovsky's later music."²² Such criticism is based on the presumption that the music constitutes repetition rather than variation, and on the failure of critics to consider the subtle connections between the music and Dante's words.

When we ignore the nuances of the variations and label this music "repetition," we lose the difference between the experience of reality and that of memory. These variations mirror Francesca's experience—just as memories of events are different from actual occurrences. The variations are generated by the relationship between the two segments of Francesca's theme (marked x and y in Ex. 6-6b), particularly rhythmic articulation and melodic contour. The link is strongest in the last 4 bars of x (mm. 336-339) and the first four bars of y (mm. 340-343). At these points, a rhythmic pattern is shared while melodic shapes diverge: the first two units of x descend, while the corresponding units of y begin as an ascent and finish with a descent. First introduced as an independent module, each segment is closely identified with instrumentation: x with winds, y with strings.

Conforming to variation tradition, the first variation modifies only surface features: accompaniment style, orchestration and rhythmic diminution. With the second variation, however, a new combination is distilled from the two modules (see Ex. 6-10). Created by the elision of the first and second parts of the melody, it begins as expected (with x, m. 399) but veers in its third bar to a variant of y which is then sequenced (m.

²¹ Ibid.

²² David Brown, "Tchaikovsky," The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (London, 1980), vol. 18, 615.

402). This type of thematic interruption is a strong component of the fantasy tradition. That Tchaikovsky thought of the resulting melody as a new entity is supported by a change in instrumentation from winds to celli. The shared rhythm of x and y still defines this new combination, but the contours are completely changed. Originally two-measure groups with two repeated contours, the contours of the x – y combination fall and rise in one-measure groupings. Figure 6-5 summarizes the x:y combinations as they generate the middle section, showing that, rather than slavishly repeat material, each variation is a unique combination:

Figure 6-5: x:y combinations in the variations

Theme:	m.333	x	
	340	y	
	353	bridge	
Variation 1:	368	x	
	375	y	
	388	bridge	
Variation 2:	399	x – y	
[episode:	414		a
	434		b
	442		a]
Variation 3:	457	x	
	463	x – y	
	480	y	
	494	bridge	

Fl.

C. ingl.

Clar.

Fag.

Cor. (F)

Tuba

Vla.

Vc.

Cb.

I. II.

2

p ma marcato

p

[illegible]

E. E. 44-08

Ex. 6-9: Francesca, mm. 68-89, developmental area preceding Theme 1

80 269

Fl. *p*

C. Ingl.

Clar. *pp*

Fag. *p ma marcato*

Vi. *pp*

Vla.

Vc. e Cb. *p arco*

Fl. *mf*

Ob.

Clar. *a 2*

Fag. *a 2*

Cor. (F) *mf*

Plat. *mf mit dem Paukenschläger*

Vi. *mf*

Vla. *mf*

Vc. e Cb. *mf*

E.E.4409

Ex. 6-9, continued

Fl. *p sempre*

Vl. *pizz.* *pp* *pizz.* *pp* *pizz.* *pp*

Vla. *pp*

Vc. *p dolce* *pizz.*

Cb. *pp*

Fl. *cresc.*

Vl. *p*

Vla. *p*

Vc. *p*

Cb. *p*

Ex. 6-10: Francesca, mm. 399-406, Theme 2, showing culminating x+y combination (continued next page)

The image displays two systems of musical notation, each consisting of five staves. The first system includes the instruction *simile* above the first two staves. The second system includes the instruction *p cresc.* above the first staff, and *cresc. p*, *cresc. p*, *cresc. p*, and *p. cresc.* on the subsequent staves. The notation includes various musical symbols such as notes, rests, and dynamic markings.

Ex. 6-10, continued

In examining this middle section, one must bear in mind Francesca's great reluctance to tell her story:

There is no greater pain—Your master knows this—than, in our misery,
To be reminded of a happy time.
But since you want so eagerly to know
The first root of our love for one another,
I shall be like the one who speaks and weeps.²³

Very protective of her memory, she reveals it only at Dante's insistence. Upsetting not just to Francesca, but to the narrator as well, the tale so overwhelms Dante that he writes: "overcome by pity, I lost consciousness, as if I had died, And I fell down as a dead body falls." In judging the composer overcome instead, we miss the point: the protracted revelation of her secret is enhanced by the grand sweep that drives toward the climactic ending of the whole middle section.²⁴

This drive to the climax is interrupted by the central episode: the locus of Francesca's buried memory.²⁵ A contextual interruption of the ongoing variations, it is even more static than the surrounding theme and variations. Paradoxically, this moment of stasis acts as a discontinuity. With this central episode, the notion of maximal

²³ Louis Biancolli, trans., *The Divine Comedy*, 21.

²⁴ David Brown imposes overidentification onto the composer: "Himself possessed with feelings of sexual guilt, Tchaikovsky's identification with Francesca's shade has become so absolute, so complete that finally, as it were, her music becomes possessed with something of the agony that beset his own self. His own emotion overflows, and the whole canvas is indelibly stained." Brown, *Tchaikovsky*, vol. 2, 116.

²⁵ Precedents for the appearance of a new episode after the two contrasting themes are such fantasy types as Liszt's symphonic poem, *Tasso* (in this case, the episode is a minuet), and in conventional readings of Wagner's *Siegfried Idyll*. Tchaikovsky's usage differs from these examples in that the episode is followed not by a return to the opening theme but by the completion of the interrupted second theme. Thus the use of episode as substitute for a development section is not as likely as in the earlier works.

thematic contrast is taken to an extreme: it applies not only to the themes of the A and B sections but to this internal contrast within B as well. Contrast is tonal as well thematic: the variations are in A minor and the episode is in Eb major. Another distinguishing feature is the more balletic sonority of this area, which stems from orchestration as well as from internal proportion.

We will see in Chapter Seven that the importance of proportion to the generic mix of ballet and fantasy is strongly demonstrated in Tchaikovsky's Concert Fantasy in G Major, Op. 56 (1884, piano and orchestra). Its large-scale form springs from sections that are analogous to dances and narratives, the basic components of ballet music. Of the two, dances are simpler constructions characterized by a clear pulse and periodicity of phrase, avoidance of complex chords and modulations, and a significant articulation every 32–48 bars. In contrast, narratives demonstrate greater structural, textural and harmonic complexity.²⁶ The ternary plan of the first movement is produced by the contrast of these two types.

The analogy to ballet is a bit more complicated for Francesca, since the outer sections combine developmental and thematic areas. Thus they begin as free narratives and become more regularized. The middle section, however, is directly related to the tableaux of a dance suite. The first two variations are articulated at 32-bar intervals. Part of the discontinuity associated with the central episode may be that the proportion is cut in half: the episode interrupts the second variation at the 16-bar point. The length of the episode itself is unusual—it comprises 43 bars. The climactic articulation at the end of

²⁶ Roland John Wiley, Tchaikovsky's Ballets (Oxford, 1985), 69.

the final variation corresponds to the longer of the typical lengths within a dance suite—48 bars.

Energy points toward the final statement as the variations progress from surface to fundamental changes. In the final combination of x and y, the elided version appears between statements of the two parts of the melody. Full dynamic and tutti scoring create a conclusive character appropriate to an evolution from simple to full statements of the theme. The achievement of a goal is accomplished by the second theme.²⁷ Genre may play a role here, too, since a bravura finale is associated with the fantasy.

Metric change is another factor in this drive to the conclusion, particularly the staggered shift during the second variation. First, flutes change to 12:8 (m. 404) while strings continue in 4:4. The 12:8 carries into the episode for all parts, in a sweeping motion that can be seen to mirror the motion with which Francesca is brought to the narrator: “the wind had swept them toward us.” In the Dante Symphony, another meter shift underscores this otherworldly motion (in this case it is a change to 7:4 with eighth-note triplet pulsations). The pulsations that continue through the episode into the final variation of Francesca may also be related to Siegmund’s *Spring Song*, which is introduced by static dominant sevenths in harp that bear a sonic affinity with those of the episode. Certainly Siegmund’s passionate revelation of the lovers’ identity—and Sieglinde’s ecstatic response (*Du bist der Lenz*, included in Ex. 6-7)—resembles the rapture recalled by Francesca in these lines:

²⁷ James Hepokoski points to the Dutchman Overture as a model for symphonic adaptations with a grand statement of the second theme that functions as the climax of the entire work. “Masculine-Feminine,” Musical Times (August, 1994), 498.

Love, that never lets the loved one not love too.
 Inflamed me with such pleasure in this man
 That, as you see, it has not left me yet.

The culmination of Theme 2 leads to a new version of Theme 1 which is half as long as its first appearance, and the frame is not restated at all. Once again, structure and program are linked: this final A must be different from the first. (Likewise, in the Dante Symphony, Liszt does not repeat the A section in the same way as in the opening, rather, it is a grotesque parody.) The difference in the final A stems from its function as both an interruption of Francesca's reverie, and a sign of Dante's revival after he had fainted and awakened to new surroundings: "When I regained my senses... new forms of torment I saw about me."

In sum, we have seen that the program of Francesca is linked to four important structural processes. These include constitutive interruption in the A section; contextual interruption in the central episode; the sweeping drive toward the final variation; and the reinterpreted return. Through these processes, the work shows its affinity with the historical ideals of the genre, and its involvement with the influence of the symphonic tradition.

Conclusions

Three conclusions arise from this study of an instance situated in the tradition of the genre. One, by focusing on the relationship between program and structure, we reveal the climactic middle section not as "the seemingly interminable alternation of two themes," but as a process of transformation in which form and topic are closely integrated. Two, an examination of the role played by genre is especially important to

the study of any fantasy. It is particularly fruitful for this work, since Tchaikovsky was clear in his emphasis on the role of free form in a fantasy: “in fantasias (The Tempest, Francesca, for instance) the form is completely independent.”²⁸

While a truly independent form is not possible,²⁹ it was both Tchaikovsky’s goal for this work and a goal for the genre as set forth in the treatises, particularly in Marx’s idea that the fantasy transcends fixed forms. The relationship between the genre and the designation, *symphonic fantasia*, is illuminated by Fowler’s formulation: “When a modal form is linked with the name of a kind, it refers to a combined genre, in which the overall form is determined by the kind alone.”³⁰ In the case of Francesca, we have seen that the separation between kind and mode is less clearly delineated than in Fowler’s model, since aspects of the form are traceable to the mode. The work refers to symphonic conventions, particularly highly contrasted themes and developmental areas, but its sectional construction, variation content and interruptive processes are

²⁸ See the full citation, this chapter, 230. One is reminded of a similar distinction drawn by Schumann in his 1835 review of the Berlioz Symphonie fantastique: “we apply certain criteria to a *fantasy*, others to a *sonata*.” See Chapter One, 84.

²⁹ The notion of independent form opens an ontological can of worms, which Siegmund Levarie transforms into a version of the dichotomy explored in the opening segment of this study: “What then is the relationship between fluidity and shape, becoming and being, change and type? Absolute and universal change means absolute and universal absence of order, in short, chaos. Under such conditions, there would be no phenomenalization at all. The world would be unknowable and besides there would be no subject present to state the fact. Chaos is nonbeing. At the other extreme stands a manifestation of absolute being. Such a world of types and forever fixed patterns would know neither birth nor death. The world in which we actually live differs from either extreme. It appears to us first as a world of forms. It is also a world of change, but the change takes place between remembered forms.” Musical Morphology: A Discourse and a Dictionary (Kent, Ohio, 1983), 2.

³⁰ Fowler, Kinds of Literature, 107.

suited to the fantasy. Thus it accommodates generic mixture within the family resemblance model proposed at the outset of this study.

Finally, allowing equal emphasis on generic conventions and on individual instances, a fluid model for the fantasy is particularly appropriate for Francesca. The work exemplifies a genre that hinges on the balance between discontinuity and cohesion, through sectional forms that are conditioned by interruption and cohered by systems of returning themes.

Romeo and Juliet

While Francesca da Rimini is unequivocally designated a fantasy, Romeo and Juliet bears the compound title, *Fantasy-Overture*. Because it was composed directly after Fatum (1868), it has been suggested that the sonata structure of Romeo and Juliet (1869, rev. 1870 and 1880) was simply a safety net after the “disastrous failure of free form.”³¹ On the contrary, Tchaikovsky was rather free in his treatment of form in Romeo and Juliet. This freedom stems from formal aspects of the fantasy—the first component of the hybrid title. Namely, processes of interruption function as developmental techniques within the boundaries of the formal outline. It is through these generic techniques that Tchaikovsky improvises a dialogue with sonata form.

The “apparent disorder”³² created by this dialogue caused an early critic to complain that the sonata form of Romeo and Juliet actually masked a rhapsody! There is

³¹Brown, Tchaikovsky, vol. 1, 186.

³² As we have noted in previous chapters, “apparent disorder” is a prevalent concept in descriptions of the fantasy throughout the nineteenth century.

some truth to his words, but not in their original pejorative sense:

One cannot nevertheless acknowledge Mr. Tchaikovsky's Romeo and Juliet as a classic or model work. There is a shortage of cement to bind together the many individual features, each more charming than the one before...[they] are mutually alien to one another and seem as if they came from three different works: the overture form which is apparently kept to here serves as a screen behind which hides an incoherent rhapsody.³³

With the reference to a "shortage of cement to bind together the many individual features" of a virtually "incoherent rhapsody," another critic planted the notion that Tchaikovsky was unable to handle form. Yet, a sonata-form interpretation of Romeo and Juliet is obvious to the ear and eye: and correspondence between Balakirev and Tchaikovsky confirms the intended construction of the work.³⁴ The notion of thinly veiled incoherence prompts comparison to Tolstoy's bewilderment at the "disconnected sounds" and "fragmentary musical expressions" in King Lear.³⁵ and it reminds us that suspicions of program music as a weak substitute for formal coherence exerted considerable influence on reception.

³³G.A. Laroche: "Russian Musical Composition in our Day: a general characterization of Tchaikovsky's work", The Voice, 28 November 1873, no. 329, 1-2. It is cited by Stuart Campbell, ed. and trans., in Russians on Russian Music, 1830-1880: An Anthology (Cambridge, 1994) 268.

³⁴When Tchaikovsky complained of a compositional block, Balakirev described his own method for composing the overture King Lear on a sonata-form plan: "I'll tell you that at first, [even] with this plan, no ideas formed themselves, but then afterwards ideas did begin to come and fit themselves into the frame I had created. I think that all this will happen to you also if you first inflamm yourself with a plan." (Brown, vol. 1, 181.) Tchaikovsky's response confirms his acceptance of Balakirev's suggestion: "When it's crept out of my womb you'll see that, whatever else it may be, a large portion of what you advised me to do has been carried out as you instructed . . . the scheme is yours: the introduction depicting the friar, the struggle (*allegro*), and love (second subject). Secondly, the modulations are yours." (Brown, vol. 1, 182.)

³⁵See Chapter Five, 219.

Taking into account the interaction between the two forms—fantasy and overture, this reading will demonstrate that two techniques from the fantasy cluster are prominent in this work: constitutive interruption and pervasive development. These techniques create a blurring of boundaries between sections of the sonata form. The result is a hybrid of fantasy and sonata.

From the outset, the important role of interruption is established. One might expect the opening four-bar chorale melody to be answered by a four-bar consequent. Instead, the rhythmic flow of the consequent is interrupted at its midpoint by a half rest, and it resumes at a softer dynamic level (m. 7). Harmonically, neither the first nor second appearance of this 10-bar tune completes a progression: they both stop on half cadences. Instead of an answering complete cadence, new material is injected (m. 11). It is based on a series of dissonances that partially resolve at the end of each four-bar gesture (mm. 11-15; m.m. 15-19). Dissonances are isolated from the previous gestures, and distilled into suspensions (mm. 24-25, fl., cl.) that ultimately resolve to f minor (m. 28). Another distillation occurs in the accompanying descending thirds in strings (m. 21ff). This figure is reduced to its essence—single tones in a descent through thirds—that becomes first a link (mm. 38-40) and then the accompaniment to the return of the chorale tune (m. 41).

The new accompaniment changes the color of the tune, and emphasizes the interruption of its second phrase by building the dynamic through an ascending scale until it is cut off by a softer descent (m.47). By increasing the duration of the final note of the first four bars to a whole note—and by increasing the volume for the long tone—Tchaikovsky heightens the sense of connection to the second phrase, thus strengthening

the perception of interrupted flow two bars later. The sense of surprise inherent in such foiled expectations is a strong feature of the fantasy.

At m. 79, the vertical dissonances are distilled from the material first heard in m. 11 ff, and invested with a new intensity derived from interruption: quicker resolutions, dynamic accents and sudden cut off (see Ex. 6-11). The two-bar idea of m. 5 is abstracted from the chorale, altered chromatically (m. 90), and itself interrupted with a quick, eighth-note cut-off (m. 96). Static repetition of b minor sonorities makes the transition to the exposition; thus the musical material returns to its original version (m. 11) at a point where structural articulation is needed for the clarification of sonata form.

Interruption is a constitutive factor in the first theme of the exposition. Its four terse units are separated by eighth rests. Thus the interruptions are heightened by rhythmic accentuation. The two-beat opening gesture (m. 112) is followed by longer middle units, creating an expectation of continued growth that is thwarted by the shorter final unit (see Ex. 6-12).

Like the introductory chorale, the first phrase of the theme ends abruptly with an incomplete cadence. It is followed by developmental material, and this material is itself interrupted by the return of the theme. Again, shrinking durations of downbeats emphasize the sense of interruption: from $\downarrow$ (m. 119) to $\downarrow$ (m. 120). This shorter value becomes a rhythmic pivot dovetailing into the return of the first theme. In a poetic reference that stands for the whole, the return is distilled from the main theme's first unit, stated twice. Another interruption ensues in the form of transitional material that shrinks the rhythm of the ascending-third unit (see Ex. 6-13).

Ex. 6-11: *Romeo and Juliet*, interruption techniques applied to a segment of the introduction (mm. 8-18) in its transformation as transition to the exposition (mm. 78-86) (cont. next page)

90

The musical score is arranged in two systems. The first system includes staves for Piccolo (Picc.), Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Bsn.), and Trumpet (Tp.). The second system includes staves for Trombone (Trbn.), Tuba (Tb.), and Archi (Archi). A handwritten annotation "FIRST APPEARANCE: INTRODUCTION" is written across the bottom of the second system, with a bracket indicating the first appearance of the introduction material. A box containing the number "10" is placed above the first staff of the second system. The score shows various musical notations, including notes, rests, and dynamic markings, illustrating the interruption techniques applied to the segment of the introduction.

poco a poco stringendo accelerando

C

Ex. 6-12: Romeo and Juliet, mm. 112-115, Theme 1, constitutive interruption
Allegro giusto

The musical score is arranged in two systems. The first system includes parts for Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), Horn (Cr.), Trumpet (Trb.), Trombone (Tromb.), and Archi. The second system includes parts for Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), Horn (Cr.), Trumpet (Trb.), Trombone (Tromb.), and Archi. The tempo is marked *Allegro giusto*. The score shows measures 112-115, with a constitutive interruption in measure 114. The notation includes various musical symbols such as notes, rests, and dynamic markings like *f* (forte).

Ex. 6-13: *Romeo and Juliet*, mm. 116-123, Theme 1 as transition, rhythmic interruption of ascending-third unit (last two beats m. 120 and first beat m. 121) (cont. next page) ¹⁰³

The musical score for *Romeo and Juliet*, measures 116-123, is presented in a standard orchestral format. The score is in 2/4 time and features a key signature of one sharp (F#). It includes staves for Flute (Fl.), Oboe (Ob.), Clarinet in B-flat (Cl.), Clarinet in E-flat (Cl.), Bassoon (Fg.), Contrabass (Cr.), Trumpet (Tp.), and Archl (Archl). The music is characterized by a rhythmic interruption of an ascending-third unit, specifically in measures 120 and 121. The score is marked with a double bar line and a repeat sign at the beginning of measure 120. The tempo is marked 'Allegro' and the dynamics include 'f' (forte) and 'mf' (mezzo-forte).

Ex. 6-13, continued

104

Score for Ex. 6-13, continued, page 104. The score is for a full orchestra and includes parts for Piccolo, Flute, Oboe, Clarinet in E-flat, Clarinet in B-flat, Bassoon, Cor Anglais, Trumpet, Trombone, Tuba, and Archa. The music is in 4/4 time and features a key signature of one sharp (F#). The score is divided into two systems. The first system starts with a 'D' time signature and a 'f' dynamic marking. The second system starts with a 'D' time signature and a 'f' dynamic marking. The score includes various musical notations such as notes, rests, and dynamic markings.

Development procedure becomes more overt with the canonic treatment of the first theme (m. 126ff.), which occurs simultaneously with the scale passages that first followed the theme (m. 115). The buildup of scale passages under sharply articulated tonic chords, combined with the dominant pedal and dominant sonority at m. 150 lend an interior recapitulation effect to the last statement of the first theme (m. 151). Fleshed-out orchestration (addition of low brass) and increased dynamic level support this interpretation. Thus the boundaries between the sections of sonata form are blurred: the exposition demonstrates processes of development and recapitulation. These blurred boundaries represent the influence of the fantasy in the work. The eight-bar cantilena (mm. 184-192) of the second theme is interrupted by strings (m. 193) before its full, 30-bar version (mm. 213-243). Orchestration provides a subtle sense of discontinuity since the English horn solo, doubled by violas, does not resolve—only violas complete the descent from dominant to tonic (m. 192). Three components form the expanded version of the theme: the original melody, which now concludes over a dominant pedal (mm. 213-220); sequential extension (mm. 221-234); and a final, fully resolved version of the original 8 bars (mm. 235-243).

Conditioned by the well-known program, developmental tendencies seen in the opening sections receive a new slant in the development proper (mm. 273-353). The combination technique noted in a developmental area of the first theme group (m. 127ff) is elaborated with the addition of the chorale tune (m. 280). Again a buildup of dynamics heightens its interruption by a *pianissimo* passage (m. 285ff). A chromatic distortion of the second theme is abruptly cut off (m. 345) by the same bridge that led to the final statement of the opening theme in the exposition (m. 151). Its sudden appearance to

usher in the recapitulation proper emphasizes the recapitulatory aspect of the first use of this material.

In a manner that belies Shaw's remarks on the inherent contradiction of narrative content and sonata form, specifically in that recapitulated material is an unsatisfying conclusion, this recapitulation is altered to depict the lovers' grim fate.³⁶ Instead of the first version of Theme I, it begins with the stronger statement that gives the section a finality appropriate to the narrative (m. 353ff).

Another difference between this recapitulation and the exposition is that the running scales originally confined to theme I now invade the transition to theme II (m. 365), which is actually a new version of the material that had followed theme II in its first appearance. By placing this chordal area before the return of the theme, Tchaikovsky stresses that an irreparable conflict has interrupted the lovers' plans. This conflict is also reflected in the insidious sixteenth-note "trills" that replace the original stable fifths as accompaniment for the chordal area (m. 367ff. and m. 193ff).

Instead of the expected resolution in m. 419, the coda pursues further developmental treatment. A partial statement of theme II (m. 436) is abruptly cut off with a deceptive motion (m. 439) that is itself stopped by the head motive of the first theme (m. 441), forming an interruption within an interruption. The deceptive motion and head motive alternate until the full first theme reappears (m. 446). In a manner associated with fantasy finale style, the chorale melody is juxtaposed (m. 450), but here

³⁶As Shaw says, "It is impossible to tell a story in sonata form, because the end of a story is not a recapitulation of the beginning, and the end of a movement in sonata form is." See Chapter Five, 222. In Chapter One, we have seen a precedent for this premise in Wagner's idea of instrumental form.

the much-derided “parade of tunes” associated with the fantasy is elevated by its integral role in the process of interruption.

Thus we see that form in Romeo and Juliet is equally indebted to the fantasy tradition and to the sonata framework. In particular, two features of the fantasy cluster are prominent: constitutive interruption and pervasive development. These features create a blurring of boundaries between sections of the sonata form, particularly as seen in the processes of development and recapitulation contained in the exposition. These overlapping functions are typical of the genre.

Hamlet

True to its compound title of *fantasy overture*, Hamlet is a fantasy with sonata-form affinities, unlike Romeo and Juliet, for which a sonata form with fantasy qualities is more appropriate. Interpretations of Hamlet as a sonata form without development describe the work in terms of what is missing—a negative image of the genre that we have encountered in many other instances throughout this study.³⁷ Certainly Hamlet contains elements of contrast, repetition and return, but these alone do not produce sonata form. Rather than having “dispensed with the development”—as David Brown would have us believe—development is free to function in unexpected places.³⁸

³⁷In the survey of secondary literature on the genre (Chapter One), we have seen that essential components are often explained away to support the notion that the fantasy is always tied to sonata form.

³⁸Brown, Tchaikovsky, vol. 4 (London, 1991), 159-160.

As noted in Chapter One, an intermediate model has been offered by Timothy L. Jackson.³⁹ His sequence of Introduction-Exposition-Recapitulation-Development-Coda is a better interpretation than Brown's, but the insistence on a self-contained development section within a rearranged sonata form still seems forced. Jackson appropriately identifies the area of m. 331 as developmental. However, developmental areas can be traced throughout the work, demonstrating the generic role of fantasy. A crucial interpretive difference between the following analysis and that of Jackson is the area beginning at m. 105—music that is restated in Jackson's development section. It is difficult to justify labeling the same music a "development section" in one appearance and the "first group of the exposition" in another.

As seen in many of the instances surveyed in Chapter One, such analytical gymnastics are often required to support an insistence on sonata form in the fantasy. The following reading of Hamlet demonstrates its allegiances to the fantasy tradition, avoiding the problem of over-identification between the fantasy and the sonata. Although Hamlet bears a relationship to sonata form, it is actually in the form of a fantasy, conditioned by interruption and rhythmic transformation. These techniques are used as developmental processes and as constructive factors in themes. It is these features, not sonata form, that generate the work.

The following outline suggests a chain structure of the juxtaposition type:

³⁹ Timothy L. Jackson, "Aspects of Sexuality and Structure in the Later Symphonies of Tchaikovsky," Music Analysis 14/1, March 1995, 3-25.

Figure 6-6: Hamlet, Fantasy Overture (1888)
chain form showing sections interrupted by bracketed developmental areas

<u>Key</u>	<u>Section</u>	<u>mm.</u>	<u>Tempo</u>
Em	Intro.	1	<i>Lento lugubre</i>
	[developmental	42-53]	
Fm	A	84	<i>Allegro vivace</i>
	[developmental	101	<i>Poco meno allegro</i>
		117]	<i>Più allegro</i>
Bm	B1	144	<i>Andante</i>
D [developmental	B2	163	<i>Moderato con moto</i>
F	B3	183]	<i>Animando poco a poco</i>
C as V	Closing	196	
Fm	A	216	skips opening development (mm. 101-16); mm. 233-58 analogous to mm. 117-43
B-flat m	B1	259	mm.260-99 like 144-62
D-flat	B2	306	<i>Moderato con moto, come sopra</i> ; mm. 306-31 like mm. 163-192
E	B3	323	<i>Poco animato</i>
open [developmental		331	<i>Allegro ma non troppo</i> ; = m.105
C as V	Closing	359]	<i>Allegro vivace</i> ; mm. 359-86 extended version of mm. 196-207
	[developmental]	371-383	
Fm	A	387	<i>Poco piu animato</i> ; mm. 387-402 =a new treatment of mm. 208-215
Fm	Intro	403	<i>Grave</i> (m.424)

As Figure 6-6 shows, developmental processes are injected throughout the work, often at midpoints of major sections. Thus Hamlet demonstrates the pervasive role of development in the fantasy, a factor with which Czerny distinguished between the fantasy and the sonata.⁴⁰

Literary critic Roger Caillois describes the fantastic as a rupture of recognized order, an eruption of the inadmissible in the midst of stable, everyday life.⁴¹ In Hamlet, the programmatic elements of the fantastic (Hamlet's obsession with revenge, the ghostly apparition) burst into what would otherwise be a straightforward, banal repetition of the first three sections. The interruptions are short-lived enough to preserve the over-all sense of an organizing pattern; yet they should not be explained away. The pervading quality of development is essential to the work, subsuming sonata-form identity.

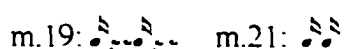
Resemblances to sonata form include the clear introduction with its own theme (mm. 1-83), exposition of three themes (m. 84ff), and restatement of the three themes (m. 216ff). Yet analysis of Hamlet as a sonata form-without-development section does not tell the whole story. Despite thematic analogies, the harmonic path does not conform to sonata expectations. Even in the context of the nineteenth-century shift of importance from tonal to thematic relations, sonata form still implies a real move away from the tonic. However, in this work, the opening area confirms the F minor tonic by concluding in the tonic major. It closes on—not in—the dominant, used as preparation for the return of the first theme group.

⁴⁰ Cited in Chapter Three, 177.

⁴¹ "Tout le fantastique est rupture de l'ordre reconnu, irruption de l'inadmissible au sein de l'inaltérable légalité quotidienne." Caillois, Au coeur du fantastique, cited by Tzvetan

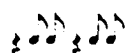
This closed tonal system subverts the sonata affinity, which is further undermined by the freedom with which developmental character threads through the piece—disengaging and re-attaching at will in juxtapositions that constitute interruptions in the statement or repetition of ideas.

One signal associated with points of interruption is the use of contrary motion in combination with the abrupt, concise rhythmic figures that pervade the work. In the first important example (m. 19), contrary motion in semitones (the short, *fortissimo* strokes) is cut off by two beats of silence. A new motif (the one-measure ascent of m.20) is stopped by a measure of contrary motion that functions as static prolongation of the raised fourth degree (A $\sharp$) of e minor. Its short burst is interrupted by a compression (diminution) of the rhythmic cell of m.19:



Contrary motion and rhythmic interruption combine to articulate the area between two appearances of the introductory sequence (mm. 10-17; and mm. 26-33, see Ex. 6-14).

A further rhythmic transformation of the interruption cell occurs in m.42:



This figure is part of a new developmental area where the 12-measure chromatic ascent of the bass is countered in treble by shorter, descending patterns that are fragments of the introductory theme. The fragments appear first in two four-measure groups (mm. 42-45, mm. 46-50); then truncated to two-measure groups (at m. 50), till finally only the

Todorov in Introduction à la littérature fantastique, (Paris, 1970), 31.

rhythmic eruptions remain (m. 52). The transformed eighth-notes of m. 52 are distilled to the earlier versions of the cell:

mm. 52-53: 

Two elements produce a closed system: this rhythmic return to the first version of the abrupt motive, and the tonal stasis created by the stationary G in horns. (Usually, Tchaikovsky initiates a tonal transition with the technique of shifting harmonies around a static tone. Here the technique helps confirm the E minor tonality.) Accented triplets in contrary motion (mm. 75-76) interrupt this static area. The triplet pattern is itself cut off—first by silence (m. 77), then by a new form of the two-stroke rhythm, now: .

The section ends with this new figure that will provide the basis for the first theme (m. 84ff). Thus a tiny rhythmic cell that appeared as an interruption in the introduction becomes essential material in the first theme area.

The next developmental area (mm. 101-116) relies on contrary motion compacted into a new permutation of the rhythmic cell that is articulated staccato: .

Within new material (the rising eighths of m. 105) a rhythmic polyphony is created: accents within the melody line shift the two eighths to the offbeat of beat 1 and the downbeat of beat 2, highlighted in the texture by upper winds. Another rhythmic shift occurs in the trumpet part, in which the two eighths are moved to the second beat (see Ex. 6-15). Thus, in this area, development consists of new melodic material combined

with rhythmic transformations of the original cell that interrupted the introduction and formed the kernel for the first thematic area.

In a work that features large-scale thematic repetition, it can be illuminating to note what is not repeated. Tchaikovsky's treatment of the developmental area in the middle of section I (mm. 101-116) underscores its unique identity. This material does not appear at the corresponding point in the repetition of A (m. 233); mm. 117-31 are repeated instead. When the material of m. 105 finally does return at m. 331, it provides a new interruption. As we have noted, concise rhythmic figures in contrary motion are a signal of interruption in this work. The new combination of this material with the theme of the introduction intensifies the developmental mode (see Ex. 6-16a and b).

A subtlety of this development process is that an open-ended area (mm. 331ff) replaces the original third phrase of B3 (mm. 191-195). This is a significant change because the omitted phrase originally served as a tonal and melodic cap for the section. In the original version, each new harmony (F major at m. 183; G minor at m. 187) was established for two bars; then it was left open-ended. For the third phrase, the interval of the melodic peak was expanded from a 2nd to a 3rd—an arrival that paralleled the harmonic stability of E-flat major, sustained throughout four bars (mm. 191-195). At the point where a repeat is expected (m. 331), an interruption ensues instead: the original tonal cap and melodic resolution are replaced by tonal flux and the sequential treatment of the introductory theme.

Thus if one views the area beginning at m. 331 as a self-contained development section that occurs in the 'wrong' position—i.e. after an exposition and recapitulation (with the latter also being in the 'wrong' position)—one misses two essential

components of the fantasy. These are the pervasive role of development (as outlined above in Figure 6-6) and the subtle connections between developmental areas, as well as between developmental and stable areas.

From this analysis, then, it is clear that Hamlet is a fantasy-overture that is more strongly related to the fantasy tradition than to sonata form. The evidence for a formal relationship to the fantasy is supported by equally strong evidence against a sonata interpretation. As we have noted, the resemblance of the first two sections to a conventional exposition and recapitulation is undermined by the lack of a move away from the tonic. The form-determining elements are the interwoven developmental processes of interruption and rhythmic transformation. The alternation of these developmental techniques with thematic repetition has a precedent in Wagner's idea of instrumental form, i.e. his formal principles of alternation and evolution. Wagner suggested that the two were mutually exclusive in a work that was driven by a dramatic idea.⁴² In Hamlet, Tchaikovsky creates coherence precisely by interweaving alternation (the repeated main themes) and evolution (the developmental areas).

⁴² See citation and discussion, Chapter One, 70.

10

Ob.

C. Ingl.

Cl.

Fag.

Cor (F)

C. à p. (B)

Tr. (B)

Tbnl. Tuba

Timp.

Vl.

Vla.

Vo.

Cb.

main theme

E. E. 6003

Ex. 6-14: Hamlet, mm. 7-19, introductory sequence, closes with rhythmic interruption in contrary motion (continued next page)

English Horn (Engl.)

Clarinet (Cl.)

Bassoon (Fag.)

Cor (F)

Trombone (Tbni) / Tuba

Violin (Vl.)

Viola (Vla.)

Cello (Vc.)

Double Bass (Cb.)

interruption

E. E. 6003

Ex. 6-14, continued

Fl.

Ob.

Cl.

Cl.

Fg.

Cor. (F)

C. à p. (B)

Tr. (B)

Tbn.

E. Tuba

Vl.

Via.

Vc.

Cb.

100

fff

fff

fff

2

p

ff

ff

sf

sf

E. E. 6003

Ex. 6-15: *Hamlet*, mm. 98-112, developmental area mm. 101ff: interruption cell shifts from offbeat (trumpet, mm. 102 and 104) to second beat (mm. 105-108) (continued next 3 pages)

Poco meno allegro. (♩ = 132) a 2.

Fl

Ob.

Cl.

Cl.

Fg.

Cor. (F)

C. & p. (B)

Tr. (B)

Trbn.

e Tuba

Piatl

Poco meno allegro. (♩ = 132)

VI

Vla

Vo

Cb.

p *mf* *f* *ff*

cresc. *cresc.*

colla bacchetta

Pizz.

E.E. 6003

Ex. 6-15, continued

[illegible]

Ex. 6-15, continued

110

E

Fl.

Ob.

C. Ingl.

Cl.

Fg.

Cot.
(F)

C. a p.
(B)

Tr.
(B)

Tbni
Tuba

Piatti

colla bacchetta Pcci

E

Vl.

Vla.

Vo.

Cb.

cresc

p *mf* *f* *mf* *f* *ff*

p *mf* *f* *mf* *f* *ff*

E. E. 6003

Ex. 6-15, continued

52 a.8

190

Fl.

Ob.

2. Engl.

Cl.

Fg.

Cor. (F)

C.a.p. (B)

Tr. (B)

Tbn.

Tuba

Timp.

Vl.

Vla.

Vo.

Cb.

E.E. 6002

Ex. 6-16a: *Hamlet*, mm. 187-193, first 4 bars (mm. 187-190): exact sequence of previous phrase; next 2 bars (mm. 191-192) melodic peak expands from a 2nd to a 3rd: part of tonal cap

melodic peak: M3

Allegro vivace. (♩ = 144)

Fl.

Ob.

C. Ing.

Cl.

Fg.

Cor. (F)

C. & p. (B)

Tr. (B)

Tbal. Tuba

Timp.

Allegro vivace. (♩ = 144)

VI.

Vla.

Vo.

Ob.

Ex. 6-16a, continued

The musical score for Hamlet, mm. 326-331, is presented in two systems. The first system consists of five staves: a grand staff (treble and bass clef), a piano (p), a violin (vi), a viola (va), and a cello/bass (cb). The second system also consists of five staves: a grand staff, a piano (p), a violin (vi), a viola (va), and a cello/bass (cb). The music features complex rhythmic patterns, including triplets and sixteenth notes, and dynamic markings such as *ff*, *f*, and *sf*. The key signature is one sharp (F#).

Ex. 6-16b: *Hamlet*, mm. 326-331, interruption replaces tonal cap and melodic resolution (of corresponding mm. 191-192) with tonal flux and sequential treatment of introductory theme

Allegro ma non troppo (♩ = 132)

Fl.

Ob.

C.i.

Cl.

Fg.

Timp.

Muta in G (Sol), C (Do), F (Fa)

331 INTERRUPTION

REPLACES TONAL CAP

Allegro ma non troppo (♩ = 132)

Vl.

Vla.

Vc.

Cb.

E.E. 6003

The musical score is for a symphonic movement, 'Allegro ma non troppo' (♩ = 132). It features woodwinds (Flute, Oboe, Clarinet in C, Bassoon), Timpani, and strings (Violins, Viola, Violoncello, Contrabass). The woodwinds play a complex, rapid melodic line with many triplets and slurs. The strings provide a rhythmic and harmonic foundation. A specific section is marked '331 INTERRUPTION' and 'REPLACES TONAL CAP', indicating a structural change. The score is identified as E.E. 6003.

Ex. 6-16b, continued

One programmatic reason for this interweaving of repeated themes and developmental areas is that the overt association with madness—both real (Ophelia) and feigned (Hamlet)—is analogous to the unpredictable incursions of development throughout the work. A second, more subtle possibility is that the unpredictable areas of development mirror the unforeseen events that shape the climax of the play: both the poisoned drink that kills the Queen and the poisoned sword that kills Laertes were actually intended for Hamlet. Programmatic considerations certainly influence Tchaikovsky's formal procedures in the orchestral fantasies. Recall his statement that the form of fantasias is independent, unlike that of the symphonies.⁴³

Summary

This chapter shows that Tchaikovsky's unequivocal statement regarding the independent form of his orchestral fantasias masks a more complex situation. We have seen that Fatum, Francesca da Rimini, Romeo and Juliet and Hamlet demonstrate varying degrees of independence from sonata form. Designated *fantasy* by the composer, the first two are the most independent: Fatum pursues an arch form and Francesca is created from a mixture of ternary form, theme and variation and central episode. The two hybrids—*fantasy overtures*—show opposite allegiances. In Romeo and Juliet, the overture is the stronger presence. Here, fantasy is more a mode than a kind, sometimes masking but never overpowering sonata form. In Hamlet, the flexibility of the compound title allows fantasy to become the kind, as the developmental processes associated with

⁴³ This chapter, 230. Tchaikovsky referred only to The Tempest and Francesca in this context; but the letter was written in 1878; and Hamlet was composed ten years later.

the fantasy come to the fore and the structural components of the overture are suppressed.

Thus these four test cases demonstrate the usefulness of a flexible model for the genre. The analyses support a challenge to the critical presumption that late-nineteenth century works titled *fantasy* are fantasies in name only, i.e. they can be expected to follow a conventional formal plan. This challenge is reflected in the individual approach to form in each of Tchaikovsky's orchestral fantasies examined here. These individual approaches are united by their use of strong features from the fantasy cluster, namely, interruption, pervasive development, variation and harmonic surprise.

CHAPTER SEVEN

FANTASIES FOR SOLO AND ORCHESTRA

This chapter examines two fantasies for soloist and orchestra: Tchaikovsky's Concert Fantasy for piano and orchestra, op. 56 (1884) and Bruch's Scottish Fantasy for violin and orchestra, op. 46 (1880). The Concert Fantasy is aligned with the procedure found in Francesca da Rimini, i.e. its reliance on generic mixture produces a form that is separate from sonata form. In this case, Tchaikovsky mixes fantasy and ballet. While some connection with ballet technique was noted in Francesca, this aspect comes to the fore in the Concert Fantasy. I will show that the episodic form of this work is comparable to the tableau structure of Tchaikovsky's ballets. Episodic structure imparts a strong sense of discontinuity, a major feature of the fantasy. Other features from the fantasy cluster that are demonstrated here include: the use and mixture of variation and rondo forms, the prevalence of development, the semblance of improvisation, sudden harmonic juxtapositions, and virtuosic solo writing.

The same five features emerge in Bruch's Scottish Fantasy. This work is an important example of the tradition of composing fantasies on existing themes, a subcategory in which connecting areas are crucial. The analysis will show that the individual form of each movement is shaped by the interaction between the folk sources and Bruch's original material.

As noted in the Introduction, the Scottish Fantasy is a good test case for a composer's usage of the title, *fantasy*, and its relationship to his compositional method. We will see that Bruch's letters are very clear on the issue, and that they also attest to the opinion of an important late-nineteenth century performer—the

violinist Joachim—who often disagreed with Bruch’s use of the title. Several of George Bernard Shaw’s reviews will complete the circle of evidence from composer to performer to critic.

Tchaikovsky: *Concert Fantasy* in G Major for piano and orchestra, op. 56 (1884)

Quasi Rondo: Andante mosso

Contrasts: Andante cantabile; Molto vivace

The Concert Fantasy demonstrates an unconventional approach to form on two levels: the independent construction of the first movement and the option of omitting the second movement, thereby creating a one-movement work. The opening section of the first movement consists of three fleeting themes that suit the kaleidoscope metaphors long associated with the fantasy, such as Mendel’s “picture around picture,”¹ and Czerny’s “continual alteration of new images, as in the visual domain.”² I will expand these visual analogies by comparing the episodic themes of the Concert Fantasy with the tableaux of Tchaikovsky’s ballets. This is a valid pursuit for a work that was composed between Swan Lake (1876) and Sleeping Beauty (1889).

Tchaikovsky provided an alternate bravura ending for the first movement, to be used in the event that the second movement was not played. The freedom to perform a one-movement fantasy may relate to the improvisatory origins of the genre.

¹ Mendel describes Schubert’s fantasies as “an abundance of brilliant pictures that pass by in a colorful interplay.” Mendel, Musikalisches Conversations-Lexikon, 72. (See Chapter Three, 175.)

² Czerny, Systematische Anleitung zum Fantasieren, trans. and ed. Alice Mitchell (New

In this case, the performer improvises not the details but the large-scale structure. Such flexibility may also be compared to that of a ballet production in which a particular dance is interpolated or cut to suit the strong points of the dancers who are engaged for the run. The one-movement option produces a movement that is simultaneously first and last, for which “Quasi Rondo” is a telling designation.³ Rondo evokes the character of a finale in general, and in particular, it embraces the lively finales of fantasies on original and existing themes.

We have observed the formal overlap of rondo and fantasia in such works as C.P.E. Bach’s keyboard rondos, which make use of his idea of the fantasy, and in Haydn’s C major Fantasia (Capriccio) (Hob.XVII:4), composed in rondo form.⁴ We have also noted Marston’s recent analysis of a “rondo-like” middle section in the Schumann Fantasie, op. 17 and Cai’s “textural and thematic rondo” in the Brahms

York, 1983), 86. See Chapter Two, 164.)

³ David Brown discounts its importance: “The title of this first movement (‘Quasi Rondo’) is unhelpful, since apart from the playfulness of the first two themes, which Tchaikovsky may have felt gave them some affinity with the sparkling ideas of classical rondo finales, there is no connection with rondo practice.” Tchaikovsky, vol. 3 (Norton, 1986), 279.

⁴ See Chapter One, 39.

Fantasie, op. 116, no. 4.⁵ This connection between genre and rondo form is explicit in Czerny's inclusion of the rondo as a likely form for the capriccio.⁶

In Tchaikovsky's "Quasi Rondo," the light, dance-like quality is "something like" that of a rondo, even though classical rondo form is avoided. In addition to its character, rondo practice permits a series of themes without the obligation to forge links between them. This procedure is reflected in the rapid-fire succession of the three opening themes.

Large-scale form springs from sections that are analogous to dances and narratives, the basic components of ballet music. Of the two, dances are simpler constructions characterized by a clear pulse and periodicity of phrase, avoidance of complex chords and modulations, and a significant articulation every 32-48 bars. In contrast, narratives demonstrate greater structural, textural and harmonic complexity.⁷ The ternary plan of the first movement is produced by the contrast of these two types, while the optional coda resembles the apotheosis at the close of a ballet. The character of each section is further differentiated by texture. Piano and orchestra are used in the outer sections while the large middle section is a piano solo:

⁵ See Chapter One, 82 and 174.

⁶ Czerny, School of Practical Composition II, 89. See Chapter Two, 133.

⁷ Roland John Wiley, Tchaikovsky's Ballets (Oxford, 1985), 69.

Figure 7-1: Tchaikovsky, Concert Fantasy, 1st movement, sections analogous to dance types

mm. 1-64	A = <u>dance suite</u> : “Andante mosso” clear pulse in regular two- and four-bar groupings; continuous flow; three concise themes in closely related keys (G, b, D)
65-218	B = <u>narrative</u> (piano solo): “Lo stesso tempo, ma molto capriccioso e rubato” metric freedom; frequent fermati and tempo changes; chromatic; modulatory
219-280	A = <u>dance suite reprise</u> three themes restated (G, e, G)
280-306	optional coda = <u>apotheosis</u>

Dance provides a more useful framework than does aborted sonata form, since the sonata affinity is restricted to the key areas of the first section (G, B minor and D) and their return in the tonic and relative minor. Though one could claim that the central cadenza is a development section, the main problem with a sonata reading is that of proportion:

Figure 7-2: Concert Fantasy, proportion and form

A = 63 bars

B = 153 bars

A = 61 bars as the first of two movements, 87 as one movement with bravura ending

Hardly disclosing the proportions of sonata form,⁸ it is highly appropriate to the ballet: the ruminative middle section is framed by a series of concise tableaux.

Interior proportion, as well, lends itself more closely to tableaux than to sonata form. The 24 measures of the first and third themes are perceived as 48—the typical duration between major articulations in Tchaikovsky's ballets. This effect is produced by agogic accents that weaken the written 4/4 meter and create an audible 2 4 (see Ex. 7-1a, b and c). The three themes are built in a manner resembling the variation suite (*pas de deux, de trois*, etc.). As noted by Laroche regarding Swan Lake, it was Tchaikovsky's practice to add new textures with each new variation:

Frequently after a light dance motive, transparently harmonized and which serves as material for the first 'figure' of some dance, the symphonist in the composer awakens, and on the second figure illuminates us with the succession of thick and rich chords, which for a long time remind you of that strength, not of the ballet manner, that he holds in check.⁹

We have noted the importance of variation to the fantasy genre, and particularly to Tchaikovsky's Francesca da Rimini. In the Concert Fantasy, variants within themes are created by new orchestration and texture, like Laroche's successive figures:¹⁰

⁸ In his zeal for sonata form, Brown neglects proportions and keys: "This sonata view is well supported by the outer sections, for the first is a three-stage exposition much like that of the first movement of the Third Symphony, with the three themes segregated tonally by being placed in the tonic, relative minor of the dominant, and dominant respectively (G, b and D), while the recapitulation simply shifts the last two themes into the relative minor and tonic (e and G)." Tchaikovsky, vol. 3, 279. This comparison is problematic for two reasons: the exposition of the Third Symphony is twice as long as the opening section of the Concert Fantasy, and the key areas of the Symphony are D/b/A in the exposition and D/e/D in the recapitulation, as opposed to the more conventional plan in the Fantasy.

⁹ Novoe vremya (5 Jan. 1890), p.2, trans. in Wiley, Tchaikovsky's Ballets, 54. Though Laroche is not specific, the Waltz in Act I is a clear example of this practice.

¹⁰ Mendel suggests that changes in texture are constitutive of form in the Beethoven

Figure 7-3: Concert Fantasy, form of opening section articulated by textural changes

<u>Theme</u>	<u>Texture</u>	<u>Duration</u>
mm. 1-24:		
Theme 1		
G Major	flutes	4 bars
	new background: pizzicato strings	2
1 ^{var 1}	pizzicato strings – flute	4
	brass punctuated by piano chords	2
	piano in 32 nd -notes	2
1 ^{var 2}	piano 32 ^{nds} – winds	4
1 ^{var 3}	bells— <i>ff</i> theme	4
	pizzicato closing, theme fragment	2
mm. 25-38:		
Theme 2		
B minor	flute, string pizzicato	4
	orchestra- fragments	4
2 ^{var 1}	piano theme	4
	piano and orchestra- fragments	2
mm. 39-63:		
Theme 3		
D Major	piano	4
3 ^{var 1}	orchestra	4
	cadenza-like figures in piano, punctuated by orchestra, largely two-bar groupings	16

Choral Fantasy, his ideal for the orchestral fantasy: “Here the piano and orchestra execute a luxurious interplay of fantastic pictures, until at last the chorus unites everyone in a common aim.” Mendel, 72. (See Chapter Three, 176.)

Ex. 7-1a: Tchaikovsky, *Concert Fantasy*, 1st movement, mm. 1-11, Theme 1. agogic accents produce a 2/4 effect which creates in the full theme the perception of 48 bars—the typical duration between major articulations in Tchaikovsky's ballets (continued next page)

I. QUASI RONDO

Andante mosso (♩ = 76)

3 Flauti I, II, III

2 Oboi

2 Clarinetti (A)

2 Fagotti

4 Corni (F)

2 Trombe (D)

3 Tromboni I, II, III

Timpani

Campanelli

Piano (Solo)

Andante mosso (♩ = 76)

Violini I, II

Viola

Violoncelli

Contrabassi

Ex. 7-1b, continued

30

Fl. 1

Ob.

Cl. 1

Bs.

V. I

V. II

V-le

Vc.

Piano

Archi

theme 2

p leggerissimo

Ex. 7-1c: Concert Fantasy. 1st movement. Theme 3

Handwritten annotations in the piano part:

- end theme 2
- Theme 3
- marcato

Printed markings in the score:

- cresc.* (Crescendo) in the woodwind and string parts.
- mp cresc* (mezzo-piano crescendo) in the piano part.

Measures shown: 39 and 40.

In all three themes, clear groupings of two and four measures retain the metric clarity of dance. Discontinuity is created by the abrupt endings of themes. Following a simple cadence that resembles a bow at the end of a ballet scene, the next theme enters without a link, as though the next dancer has arrived onstage (see Ex. 7-1b, mm. 24-25; and Ex. 7-1c, mm. 38-40).

Similarly, the entire A section ends with a complete cadence and fermata, establishing a clear separation between A and B. In the closing sixteen-bar section of Theme 3, this separation is foreshadowed by the alternation of the piano and orchestra in bravura passages, maintaining two discrete realms. The result of this discontinuity is a parting of the ways that sets the aural stage for the huge middle section: a cadenza for solo piano. Thus the work de-emphasizes the elaborate linking sections of the fantasy tradition as it heightens the element of discontinuity through the abrupt endings and beginnings of the three main themes. In this context, the central section can be viewed as a large interruption, in the manner of the *Im Legendenton* of Schumann's Fantasie, op. 17.

In addition to the role of contextual interruption, the central section reflects the fantasy tradition in four ways: solo piano texture (the medium for most early- and mid-nineteenth-century fantasies); virtuosity; variation techniques; and improvisatory style. The performance indication “Lo stesso tempo, ma molto capriccioso e rubato” is evidence that Tchaikovsky considered this section in an improvisatory light. Like a fantasy within a fantasy, it begins with a “preluding” gesture based on the leading tone and its resolution to the dominant in the final measures of the opening section.

This preluding gesture is repeated in ascending chromatic intervals until it evolves into a new theme (see Ex. 7-2).¹¹

In a process that is similar to Liszt's practice in the opera fantasies,¹² the middle section is shaped by this new theme and four variations, connected by virtuosic, cadenza-like passages. Thus, in the section that constitutes a large-scale interruption, the role of linking passages comes into prominence (Figure 7-4 follows Ex. 7-2).

¹¹ The concept of "preluding" is derived from one of the early meanings of fantasy documented by Brossard—and later by Fétis—in which the performer improvised a short "prelude" or "fantasy" in order to test the conditions of the keyboard. (Introduction, 8.) The sense that the composer was feeling his way around the keyboard was also noted in the chromatic slippage of the second theme in Franck's *Fantaisie* for organ (1878). (See Chapter Two, 153.) As we have noted, this improvisatory slippage continues in Richard Strauss's symphonic fantasy, *Aus Italien*, which demonstrates his famous harmonic "side-slips." (See Chapter One, 118-119.)

¹² See Chapter Two, 161.

Ex. 7-2: Concert Fantasy, 1st movement, showing basis of preluding gesture with which section B begins (continued next page)

24

60

1

Fl

Ob.

Cl

Fg

Cr

Trb

Trbn

Tp

Camp

Piano

Archi

Ex. 7-2. continued: preluding gesture at the beginning of section B

I 25

Lo stesso tempo, ma molto capriccioso e rubato

Solo *f* molto espressivo

64

28

70

28

22

molto rit.

Figure 7-4: Concert Fantasy, 1st movement, form of middle section akin to dance narrative

B section—"Lo stesso tempo, ma molto capriccioso e rubato":

64	G	improvisatory, <i>molto espressivo</i> "
76	G	Theme, <i>marcatissimo e molto pesante</i>
87		unmeasured cadenza-like passage
88	G to E-flat	Variation 1
101	<i>poco stringendo</i>	cadenza-like link (scales, arpeggios, trills)
117	A-flat: D-flat	Variation 2
148		cadenza-like sequential link
161	D	Variation 3
183		cadenza-like link, <i>molto accelerando</i>
208	D	Variation 4, <i>Andante molto sostenuto</i> , simplest

Section B simply stops with a fermata, as abruptly as it began. The reprise of the A section begins with an *attacca subito*, maintaining the discontinuity associated with its original tableau structure.

In the second movement, Contrasts (originally intended for the Third Suite and imported into the Concert Fantasy), episodic construction is further emphasized by the interplay of two highly contrasted themes: a lament-style opening theme followed by a dance-like theme. They are treated with the following techniques: variation (primarily in the first theme); interruption (particularly in the fragmentary entrance of the second theme); and culminating combination (the pairing of the disparate themes).

The second theme is first intimated in fragments that interrupt and are superimposed with the lamenting theme. Brought on first in these interruptions, the second theme's gradual emergence is particularly striking (see Ex. 7-3). This slow unveiling of the theme reflects the quality of mystery long associated with the genre. After this horizontal alternation of fragments, the dissimilar themes are combined vertically. We have noted a precedent for this manner of development in the celebrated Kamarinskaya (1848)—the third in Glinka's series of "fantaisies pittoresques"—which is based on the juxtaposition and variation of a Russian wedding song and dance song.¹³

In sum, we see that Tchaikovsky's Concert Fantasy is built on techniques that are central to the genre. As in the works examined in Chapter Six, interruption is highlighted in both movements of the Concert Fantasy. In addition, five other features from the fantasy cluster are demonstrated in this work: the use and mixture of variation and rondo forms, the prevalence of development, the semblance of improvisation, sudden harmonic juxtapositions, and virtuosic solo writing.

¹³ See Chapter One, 101-102.

Ex. 7-3. continued

59 ⁴² II 63

Fl.
Ob.
Cl.
Fg.
Cr.
Trb.
Trbn.
Tp.
T-ba.
Piano
Archi

end 1st theme

accompaniment for 2nd theme interrupts 1st

Ex. 7-3. continued

4

II

1st theme
riten. molto
a2

2nd theme (dance)
a2

Fl.

Ob.

Cl.

Fg.

Cr.

Tb.

Trbn.

Tp.

T-bc.

Piano

Archi

1st theme continues
riten. molto

Ex. 7-3. continued

1st theme *a tempo* *II* *accompaniment pattern for 2nd theme* 85

Fl. *f* *staccato* *dim.* *mf* *mp*

Ob. *f* *staccato* *dim.* *mf* *mp*

Cl. *f* *staccato* *dim.* *mf* *mp*

Fg. *f* *staccato* *dim.* *mf* *mp*

Cr. *f* *dim.* *mf* *mp*

Tbn. *f* *dim.* *mf* *mp*

Tp. *f* *dim.* *mf* *mp*

Tuba *f* *dim.* *mf* *mp*

Piano *f* *dim.* *mf* *mp*

Archi *f* *dim.* *mf* *mp*

Bruch: *Scottish Fantasy* for violin and orchestra, op.46 (1880)

Bruch's Scottish Fantasy provokes discussion of two main issues: one, the relationship between the form of the fantasy and that of the sonata, and two, notions of creativity and value in fantasies on existing theme. In its time, the Scottish Fantasy was more popular with performers and audiences than with critics. Its cold reception is bemoaned in Bruch's letter of December 9, 1880 to his publisher, Simrock:

The Scottish Fantasy, which even gives pleasure to people like Brahms and Joachim, is torn apart everywhere by the mob of critics. One can bear all this for many years, but there comes a time when disgust and bitterness overpower a creator, and one says to oneself, "how much longer do I cast pearls before swine?"¹⁴

Though disparaged by "the mob of critics," the Scottish Fantasy successfully integrates pre-existing sources and original music. Form is constituted by the interaction of both types of material at four levels: one, the use of folk tunes in the creation of original themes (in particular, the folk tune of the first movement and the original material of the introduction); two, the use of original material in a linking function within variations on the folk source (movement III); three, the alternation of original and existing material at the level of phrase (movement II); and four, similar alternation at the level of large formal areas (all but movement III). These interactions produce the expanded five-part ternary scheme of the first movement; the binary plan of the second; the variation structure of the third; and the rondo/variation design of the final movement.

¹⁴Christopher Fifield, Max Bruch: His Life and Works (London, 1988), 198.

Title and Reception

A concern with reception is implicit in Bruch's defense of the title:

The title: Fantasy is very general, and, as a rule, is a short piece, rather than one of several complete movements (all of which are nonetheless completely developed). But one can recognize that this work can not be named a concerto (as Joachim thinks) because the form of the whole is free, and because folk melodies are used.¹⁵

Clearly, free form is the defining element of the genre for this composer, along with the use of existing melodies and the full development of these melodies. The need to justify his choice is evidence of presumed bias against the fantasy in general and against the sub-type on known themes in particular. Bruch's ambivalence toward the title is visible in his later references to the work as the Schottisches Concert or the Third Violin Concerto. The program for a concert conducted by Bruch on February 28, 1888 reads, Third Violin Concerto (with free use of Scottish folk-melodies, Op.46). Sarasate was the soloist and dedicatee, and, like Joachim, he preferred the title "concerto." One month after this performance, Bruch wrote to the publisher Eulenburg that the title Third Violin Concerto "is actually more accurate than the official Fantasie."¹⁶ Apparently, for the composer, the association of the fantasy with brevity outweighed the criteria of formal freedom and folk sources.

¹⁵"Der Titel: Fantasie ist sehr allgemein, und lässt in der Regel auf ein kürzeres Stück, als auf eines von mehreren Sätzen schliessen (die noch dazu alle völlig entwickelt und ausgetragen sind). Concert kann man aber das Werk auch nicht füglich nennen, (das meint auch Joachim) weil eben die Form des Ganzen durchaus frei ist, und weil Volks-Melodien benutzt sind." From a letter to Simrock, July 30, 1880; Wilhelm Lauth, Max Bruchs Instrumentalmusik (Köln, 1967), 93.

¹⁶"Dieser Titel wäre eigentlich zutreffender, als der officielle 'Fantasie'." March 25, 1888; Lauth, MBI, 93.

Joachim, who exerted a strong influence on Bruch, wanted the individual movements listed on the program so that the audience would not expect a short, light work,¹⁷ or perhaps the “claptrap” with which Shaw links the fantasia:

[Joachim] knows, they tell us, all the fantasias and the claptrap to which Sarasate and Ysaÿe condescend, and can execute them superbly; but he refuses to play any music in public that is not of the very highest class. Then, I ask, why does he play Max Bruch?¹⁸

Shaw goes on to imply that sonata form is the main element that separates the composer's concerti from the vacuous fantasias programmed by Sarasate:

Now, if you overlook the difference in form between Bruch's concertos and the fantasias which Sarasate plays so admirably, and compare the quality of the music only, you will end by exclaiming that a violinist who plays Bruch may play anything—variations on the Carnival of Venice, Home Sweet Home on one string, or what you please. Let us make up our minds that the writing of a piece in three movements in sonata form does not add a cubit to its stature.¹⁹

While equating mediocre concerti and the general “claptrap” of fantasias, Shaw gives the Scottish Fantasia a left-handed compliment:

In music there is still a general impression that the form makes the composer, and not the composer the form. Bruch's Scottish Fantasia is much better than his concertos; but it is on the strength of the concertos that he is regarded as a sort of contemporary old master, and played by the severe Joachim.²⁰

Shaw asks why a performer of the highest rank would play anything by Bruch but concedes that the Scottish Fantasy is “much better than his concertos.” Evidently, the “general impression that the form makes the composer” was responsible for the greater

¹⁷See Chapter Four, 206.

¹⁸Shaw, Music in London, vol. 2, 579.

¹⁹Ibid.

²⁰Shaw, 580.

acclaim awarded the concerti. Though overtly biased against both the genre and the composer, perhaps the reason Shaw praises the Scottish Fantasy is that it claims neither the territory of sonata form nor the title “concerto.”

While an 1882 review in the Leipzig Allgemeine musikalische Zeitung supports Shaw’s recognition of the Scottish Fantasy, it contradicts his claim that the work was eclipsed by the concerti:

[Sarasate] played Bruch’s newest work for violin, a Fantasy, accompanied by orchestra and harp, freely using Scottish folk melodies: this is a really beautiful composition, rich in content and in the first movement truly moving, which outshines his two violin concerti.²¹

After praising the content of the Bruch Fantasy, the reviewer notes the lack of musical content in Sarasate’s own Fantaisie über Carmen and Maurische Tänze, acknowledging the works as showcases for the performer’s huge technique. Thus a distinction is drawn between Bruch’s Scottish Fantasy and the compositions that pander to the public taste for empty virtuosity.

Bruch and Folksong

Based on folk material, the Scottish Fantasy is best studied in the context of Bruch’s extensive writings on folk music. Melody is paramount, and his ideal melodic prototype incorporates the particular qualities with which he associates folksong:

²¹“Er spielte das neueste Werk für Violine von Bruch, eine Fantasie, mit Begleitung des Orchesters und der Harfe, unter freier Benützung schottischer Volksmelodien; es ist dies eine wirklich schöne, gehaltvolle und im ersten Satz wahrhaft ergreifende Composition, welche seine beiden Violinconcerte bedeutend überragt.” Review of Sarasate’s November 15, 1882 concert, Allgemeine musikalische Zeitung, Leipzig, December 20, 1882, 821.

simplicity, beauty, introspection, greatness and tenderness.²² In his sarcastic suggestion that the latest school of composers should take a lesson from folksong, Bruch acknowledges its fundamental influence throughout his own work: "the influence of folksong on my melody is unmistakable (with luck!!)"²³ "With luck" is a meaningful afterthought since, for Bruch, folk song is the melodic antidote to modern music:

As a rule, one good folk melody is worth more than 200 art melodies . . . As far as introspection, power, originality and beauty, nothing can compare to folk music . . . Here is salvation for this melody-less age.²⁴

As with any pre-existing source, there are two potential approaches to folk material: the melodies can be imported intact and then arranged, or they can supply the inspiration for a largely original work. Each choice leads to different assessments of aesthetic value based on the perceived contribution of the composer to the artwork. Accordingly, Bruch distinguishes between the use of folksong as raw material to be processed and the mere arrangement of existing material. He warns against the misuse of "pure and chaste folksong" as though it were a playground in which the arbitrary will of the arranger could romp,²⁵ and he places greater value on the processing of folk sources in an otherwise new composition than on arrangements.

²²See Chapter Two, 157.

²³" . . . der Einfluss des Volksliedes auf meine Melodik ist auch unverkennbar (zum Glück!!)" From a letter to Simrock dated December 14, 1875, Lauth, MBAUV, 110.

²⁴"In der Regel ist eine gute Volksmelodie mehr werth, als 200 Kunstmelodien . . . Denn an Innigkeit, Kraft, Originalität, Schönheit ist nichts dem Volkslied zu vergleichen . . . hier ist Rettung in dieser melodielosen Zeit!" From a letter to Simrock dated November 22, 1884, Lauth, MBAUV, 110.

²⁵" . . . der Bearbeiter darf nie das reine und keusche Volkslied zum Tummelplatz seiner subjectiven Willkür machen - wie das lieder so Viele thun!" From a letter to Max Friedlander, December 1, 1916, Lauth, MBAUV, 110.

Bruch's lengthy title—Fantasia for the Violin and Orchestra with Harp, freely using Scottish Melodies—distances this work from an arrangement. Perhaps he sought to keep at arm's length the flurry of inconsequential folksong-based fantasies that were reviled by critics. An implicit hierarchy in the title emphasizes genre and orchestration, with the Scottish melodies mentioned last to clarify their role: folksong is source material that is the stimulus for the composition, not the substance of an arrangement.

Analysis: Formal Freedom and Folk Sources

Since Bruch emphasizes the crucial role of melody, this analysis centers on melodic considerations as they shape the free form of the work. In addition to unconventional form, we will see that the work strongly demonstrates four features from the fantasy cluster: recitative, variation, linking areas that sometimes blur the boundaries between movements, and the semblance of improvisation tied to embellished repetition in the source melodies. Much more than an arrangement, the Scottish Fantasy is derived from the interaction of original material and folk sources.²⁶ The introduction and first movement display this relationship on two levels: the original material reflects the contour, range and metric structure of the Scottish songs, and the opening recitative of the introduction is strongly related to the melody of the first folk tune, which appears in the first movement.

²⁶ Three of the folk melodies are found in The Songs of Scotland, ed. George Farquhar Graham (Edinburgh, 1899). "The Dusty Miller" is in Burns: Poems and Songs, ed. James Kinsley (London, 1969).

A common feature of these Scottish melodies is a highly contrasted bipartite structure: one part is often restricted to a narrow range while the other spans an octave or greater. Large leaps are sometimes direct and sometimes filled in. Framed in four-bar groupings that scan aa`ba` or aabb`, the folk sources exhibit built-in variation.

Bruch`s introductory recitative accentuates the Scottish character. It reflects the inherent contrast of the folk tunes in that an expansive opening gesture (see Ex. 7-4a) leads to one of narrow motion (see Ex. 7-4b). The link between original material and the first folk song is forged by the ending of the introductory idea (see Ex. 7-4a, mm. 12-20), which is based on the ensuing folk tune (see Ex. 7-5). Rooted in the Scottish folksong character, Bruch`s cambiata figure is the source of connecting and framing material within the first movement. These two components—original framing and linking material (A), and a setting of the folk tune, “Auld Rob Morris” (B)—combine to produce an extended five-part ternary structure, ABABA:

Figure 7-5: Bruch, Scottish Fantasy, 1st movement: *Adagio cantabile*

A = original material (Ax = chorale style antecedent, Ay = consequent melody related to B. In the two later statements, the order antecedent/consequent is reversed.)
B = folk tune

Measure:	1	8	21	29	36	48	52	60	66
Segment:	Ax	Ay	B	B	Ay'	Ax'	B extended	Ay	Ax
Key:	E-b			Bb			Eb		
Texture:	tutti			solo	tutti/solo				

Ex. 7-4a. continued

The musical score consists of several systems of staves. The first system includes a piano (p) and forte (f) dynamic marking. A handwritten annotation "rit." is placed below the first staff. The second system continues the musical notation. The third system features a handwritten annotation "opening gesture" with a bracket and "rit." below it, followed by a measure marked "15". The fourth system includes a handwritten annotation "octave leap of 'And Rob Morris'" with a bracket and "20" below it. The score concludes with a final system of staves.

Handwritten annotations and markings include:

- rit.* (ritardando)
- opening gesture* (with bracket and *rit.* below)
- 15* (measure number)
- octave leap of "And Rob Morris"* (with bracket and *20* below)
- 20* (measure number)
- ppp* (pianississimo)
- f* (forte)
- p* (piano)
- pp* (pianissimo)
- ppp* (pianississimo)
- morendo* (fading out)
- crisp.* (crisp)

The musical score is arranged in two systems of staves. The first system includes a piano (p), mezzo-piano (mp), and forte (f) section. The second system includes a piano (p), mezzo-piano (mp), and forte (f) section. The score features various musical notations including notes, rests, and dynamic markings. A circled section in the second system is marked with a tempo change from *rit.* to *a tempo* and a measure number of (26). The score concludes with a *morendo* marking and a *pp* dynamic.

colla parte a tempo

rit. - - a tempo (26)

f: sempre *f* ed *espressivo*

pp

pp *divisi*

pp *divisi*

pp *morendo*

Ex. 7-4b: Scottish Fantasy, Introduction, narrow melodic motion follows expansive opening gesture

Ex. 7-5: folk source: "Auld Rob Morris"

⁵⁰ *Auld Rob Morris*

Mither

There's Auld Rob Morris that wins in yon

Glen, he's the King of good Fellows, & wale of auld

Men, has Fourscore of black Sheep, and Fourscore

too, and Auld Rob Morris is the Man ye maun

Loo .

Original material predominates: the folk song "Auld Rob Morris" comprises only 22 measures of the 85-measure movement. It is set apart by texture—that of the solo violin. This tune provides the transition between the second and third movements, and it returns one last time before the final cadence of the work.²⁷

In the second movement, binary form stems from the large-scale alternation between original music and an arrangement of the dance tune "The Dusty Miller" (see Ex. 7-6).

Figure 7-6: Bruch, *Scottish Fantasy*, 2nd movement: *Allegro*

Ax = folk tune, antecedent phrase; Ay = folk original, consequent phrase;
B = original; T = transition; Mv I = first movement.

1	19	38	71	109	113	129	159	197	202	207
intro.	Ax y	T	B	Ay	T	Ax	B	Mv I: tune	recitative	
E♭ g	G	G-D	D/C/B♭	B♭	B♭-g	G	G	G	Cm	

Constituting the themes and large-scale form, the alternation of existing and original material also functions at the level of phrase. The folk tune antecedent remains intact (Ax), while the consequent is reshaped by Bruch's response (Ay) (see Ex. 7-7). Bruch highlights the intrinsic contrast of the consequent with a harmonic on the octave leap: triplet decoration; new performance character ("un poco rit." and "grazioso"); and—in

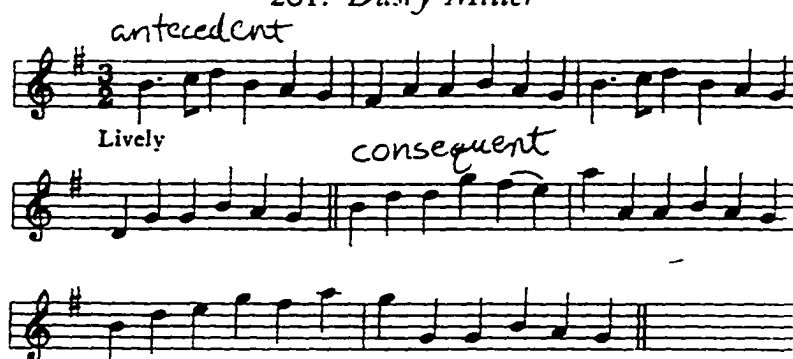
²⁷ Recall that the use of a recurrent motive to connect individual movements is one of Czerny's criteria for a successful fantasia on several original themes. Chapter Three, 178.

Ex. 7-6: folk source: "The Dusty Miller"

POEMS 1788

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201. *Dusty Miller*



HEY the dusty Miller,
And his dusty coat;
He will win a shilling
Or he spend a groat:
Dusty was the coat,
Dusty was the colour;
Dusty was the kiss
That I got frae the Miller.—

5

Hey the dusty Miller,
And his dusty sack;
Leeze me on the calling
Fills the dusty peck:
Fills the dusty peck,
Brings the dusty siller;
I wad gie my coatie
For the dusty Miller.

10

15

A (Tanz.)

Un poco rit.

Un poco rit.

60

Solo. antecedent consequent

Un poco rit.

sp *p* *p* *grazioso*

pizz. *arco* *p* *arco* *p* *arco* *p*

ffz *ffz* *p* *pizz.*

Ex. 7-7: Scottish Fantasy, 2nd movement, alternation of existing and original material functions at the level of phrase: intact folk-tune antecedent (Ax), consequent reshaped by Bruch's response (Ay) (continued next page)

a tempo

a tempo

consequent

a tempo

cresc.

pp

>p

pp

pp

pizz.

sf.

Ex. 7-7, continued

contrast to the accented staccato articulation added to the antecedent—unaccented legato phrasing. This change imparts a sense of improvisation.

The static aspect of thematic continuity is countered by free treatment of repeated material: the B section abstracts the rhythm of A as the new theme's accompaniment; the return of A is foreshadowed by its consequent and prolonged by transitional material; and the return of B is introduced by a cadenza-like passage that develops the consequent (mm. 141-159), displaying an affinity to embellished repetition in the folk sources. The movement ends not as expected, with the last statement of B, but with a recollection of the first-movement folk tune. Continuing its linking function, the recitative contour shared by the introduction and the first movement becomes the connection to the third movement.

Essentially a theme and three variations, the third movement is the most closely allied with existing material—the tune "I'm Down for Lack of Johnnie" comprises the first half of the movement. The latter half consists largely of new material and a reference to the recitative contour of the introduction:

Figure 7-7: 3rd movement, *Andante sostenuto*
theme and variation structure based on folk source and linking passages

A = folk tune; L = linking passage

1	9	21	29	41	44	47	62	70	75	83	86
A ^x	A ^y	A ¹ x	A ¹ y	L ¹	A ² y	L ²	L ¹	A ³ x	cadenza	rec.	L ¹
A-flat major				B major				A-flat major			

As we have noted with regard to the previous movements, the improvisatory style of the variations is a natural outgrowth of embellished repetition in the folk models. Linking passages resemble the folk tune consequent, which is differentiated by a larger melodic compass. Bruch emphasizes this difference in the second variation, where x and y appear in reverse order, separated by linking material. A more rhapsodic style characterizes the cadenza-like passage. Though brief and accompanied, this section invokes a cadenza since it is placed near the end of the movement, after the build-up of tension in rising sequential tutti, and closes with trills. This represents mixture with the concerto.

While the second and third movements follow without interruption, the fourth is separated by a break. This final movement combines the ternary and variation principles of the preceding movements in an expanded sectional format: ABABABA. In some performance versions, such as Heifetz's 1962 recording, cuts produce a more manageable scheme: ABABA. Since the excised material comprises a literal transposition, this version highlights the variation element. In Perlman's 1977 recording the score is intact,²⁸ and the sudden juxtaposition of keys enhances the connection to the fantasy genre.

²⁸ Heifetz: New Symphony Orchestra of London, Malcolm Sargent, cond. RCA Victor LM/LSC-2603, LC catalog card #R62-1128, 1129 R62-1130, 1131; Perlman: New Philharmonia Orchestra, Jesús López-Cobos, cond. Angel S-37210, LC catalog card #77-750185.

The source for this movement is the battle song “Scots, wha hae wi’ Wallace Bled,” hence the indication “Allegro guerriero.”²⁹ As in previous movements, Bruch reshapes the consequent: the four-bar source (translated from 2/4 to 4/4) is transformed into a five-bar phrase through repetition of the first bar (see Ex. 7-8a and b).

In Bruch’s own melody (marked B in Figure 7-8), the two-part structure springs from the melodic character of the sources: while the antecedent traces diatonic stepwise motion, the rhapsodic answer (“molto espressivo” and “un poco allargando”) is marked by large leaps and durations reminiscent of the recitative contour that played a large role in the opening movement (see Ex. 7-9).³⁰ There is an important difference between Bruch’s treatment of original and existing material: this original theme is varied only once, while the folk theme is continually varied. (Figure 7-8 follows Ex. 7-8 and Ex. 7-9.)

²⁹ The song is based on the legend of King Robert Bruce, who, in 1314, led the Scots in the battle of Bannockburn.

³⁰ Bernhard Hartmann notes the independent treatment of the two phrases only in this movement, though the intrinsic melodic contrast of the folk tunes permeates Bruch’s writing throughout the work. “Die Schottische Fantasie: eine Studie zur Konzertform bei Max Bruch,” Beiträge zur Geschichte des Konzerts: Festschrift Siegfried Kross zum 60. Geburtstag, ed. Reinmar Emans and Matthias Wendt (Bonn, 1990), 300.

Ex. 7-8a: folk source: "Scots, wha hae wi' Wallace Bled"

SCOTS, WHA HAE WI' WALLACE BLED.

AIR, "MEY, TUTTIE TATTIE."

ARRANGED BY J. T. BURJES

♩ = 116
MAESTRO,
ED
ENERGIC.

4-bar source 4

Scots, wha hae wi' Wal-lace bled! Scots, whan Bruce has af-ten led!

Wei- come to your gu- ry led, Or to vic- to - ric! Now's the day, an'

now's the hour: See the front of bat- tle lour: See approach proud Edward's power;

Chains and sla- ver - ie!

The image displays a page of musical notation for a piano piece. The score is organized into two systems of staves. The first system consists of four staves, and the second system consists of five staves. The notation includes various musical symbols such as notes, rests, and dynamic markings. A handwritten annotation in the second system reads "Solo. 5-bar reshaping" with a bracket indicating a specific section of the music. The page number "349" is in the top right corner, and a small number "21" is in the top left corner.

Ex. 7-8b: Scottish Fantasy, 4th movement, folk-tune consequent reshaped
(continued next page)

[illegible]

Ex. 7-8b, continued

C Un poco tranquillo.

37 Un poco tranquillo. *Tutti.* 40 *stepwise antecedent* Solo 45 *express.*

pizz. *arco* *divisi* *arco* *pp*

Ex. 7-9: Scottish Fantasy, 4th movement, two-part structure of Bruch's own melody springs from melodic character of the sources: stepwise antecedent leads to expressive leaps in consequent (continued next page)

Un poco allargando

Un poco allargando

so expressive leaps in consequent

molto espress.

p *pizz.* *morendo*

p *pizz.* *morendo*

Ex. 7-9, continued

Figure 7-8: 4th movement, *Allegro guerriero*
 formed by alternation between folk sources and original material

A = folk tune with variants; B = original material

I	19	32	37	40	57	65	74	80	82	86	94	99
Axy	Ax ^{1,1,2}	Ay ^{1,2}	L ¹	B	L ²	Ay ^{1,3}	L ³	L ¹	Ax	B	Ay	B ¹
Eb					C					Ab		E
107	118	122	130	140	148	161	173	189	191			
Ay	L ²	Ax ^{1,3,4}	Ay ^{1,3,2}	L ¹	Ay	B	L ³	Mv. I	Ax			
C f Bb		Eb										

While the harmonic paths of the first and third movements centered on triadic relationships, and that of the second was restricted to the chromatic mediant, this final movement is structured on a cycle of descending thirds (Eb - C - Ab - [F]E - C) that overlaps a series of secondary dominants to prepare the return of the tonic. These progressions underpin a mixture of formal principles—the harmonic openness of binary form (e.g., the tonality of section B continues into the second appearance of A at m.65), and the closed sections of ternary form (e.g., the first A). The use of variations within sections adds another element to the mix. It is just this kind of formal freedom that defined the work as a fantasy for the composer.

In sum, we see that Tchaikovsky's Concert Fantasy and Bruch's Scottish Fantasy are strong examples of the fantasy. They share five features from the fantasy cluster: the

use and mixture of variation and rondo forms, the prevalence of development, the semblance of improvisation, sudden harmonic juxtapositions, and virtuosic solo writing. The two works differ in that the Scottish Fantasy is in the subcategory of fantasies on existing themes, which results in greater emphasis on the role of connecting areas. The generic connection to recitative is also illustrated in this work. The Concert Fantasy highlights episodic form akin to the tableaux of Tchaikovsky's ballet music. Therefore, discontinuity—both within and between sections—is a crucial feature.

Since each work emphasizes different features of the fantasy cluster in addition to the five shared features, these two instances demonstrate the individuality of the genre within the family resemblance model. Despite their differences, the prominence of a group of features from the cluster allows both works to be considered within the form and genre of the fantasy. And these shared features support the notion that the composers drew on a specific historical understanding of the genre.

CHAPTER EIGHT

BUSONI: THREE FANTASIES ON EXISTING THEMES

Busoni was preoccupied with form. Given the problem of form in the fantasy, his lifelong attraction to the genre is especially intriguing. He focused on the subcategory of piano fantasies on existing themes,¹ having composed only one fantasy on original themes: the Concert-Fantasie, Op.29 for orchestra (1889).² In this chapter, we will examine three fantasies, each of which represents a different source: Native-American themes for the Indianische Fantasie; Bach's keyboard music for the Fantasia nach Bach; and Bizet's opera for the Kammer-Fantasie über Carmen. In the context of these works, we will also sketch his exchange with Hugo Leichtentritt, which turns on issues relevant to this study. Namely, Busoni insists that individual approaches to form do not preclude the existence of form itself.

All three works analyzed in this chapter display strong connections with the fantasy tradition. Features represented in the Indian Fantasy include: elaborate, often virtuosic linking areas; variation techniques; the semblance of improvisation, often derived from the built-in improvisatory variants in the source melodies; the form-giving system of recurring motives; and the process of continuous development. The Fantasia nach Bach demonstrates the primary role of interruption; the formal mixture of rondo and variation (with emphasis on the latter); and the use of continuous

¹ See discussion of this subcategory in the section headed "Fantasies on Existing Themes," Chapter Two, 154ff.

² As noted in Chapter Two (146), Busoni revised the Concert-Fantasie four years later as the Symphonisches Tongedicht for orchestra, op.32a. This decision demonstrates the relationship between fantasy and symphonic poem in the mind of the composer.

development. More directly tied to the source material, the Carmen Fantasy highlights linking areas. A crucial feature of this work is its harmonic and melodic recomposition of the source. Representing indigenous song, chorale tunes and operatic arias, respectively, all three works also illustrate the importance of vocal sources.

Indianische Fantasie, piano and orchestra, op. 44, 1913

The Indian Fantasy is a full-length work in one movement. Although they are not so marked in the score, its three sections were delineated by Busoni in a letter of 1914: Fantasy, Canzone and Finale.³ The sections are linked by cadenza passages, a technique that was noted in the fantasies composed by Franck and Liszt.⁴ In this case, the cadenzas are quite elaborate.

Busoni first learned of the source melodies through the work of his former harmony student, Natalie Curtis Burlin, to whom the work is dedicated. In 1907, Curtis published The Indians' Book, which she gave to Busoni after a 1910 concert of his music in New York.⁵ We can trace Busoni's work on these themes through four stages:

³ Letter to Hugo Leichtentritt, February 25, 1914, trans. Antony Beaumont, Selected Letters (New York, 1987), 176. In his book, Busoni, the Composer (Bloomington, 1985), 197, Beaumont suggests a formal scheme that contradicts his translation of this letter, published two years later.

⁴ See Chapter Two.

⁵ Natalie Curtis, The Indians' Book: Songs and Legends of the American Indians (Toronto, 1907; reprint New York, 1968).

I thought I would first write *one or two scenes* based on *actual* ceremonies and actions (very simple) in one act and link them with one of the 'eternal' stories . . . without any *raffinement*.⁶

The composer's visual imagery recalls writings on the fantasy by Czerny and Mendel as well as the related title, *Fantasie-tableau*. Next was Busoni's "(very uncertain and visionary) [plan] . . . for an Indian Rhapsody with piano and orchestra."⁷

Rhapsody implies a connection with epic and folk traditions. We have seen Riemann identify rhapsodies as epic rather than lyric. Liszt's Hungarian Rhapsodies—the repertoire with which the name originated—display both the essence of traditional music and the sweep of the rhapsody. Like the Liszt works, the Indian Fantasy demonstrates both aspects of rhapsody, yet Busoni began sketching it under the title Concerto secondo. He finally arrived at the title Fantasy:

I would like to draw your attention to my Fantasy on themes of the Redskins, the score of which is published by Breitkopf (Indianische Fantasie).⁸

Apparently, the composer remained satisfied with his choice, as seen in a later reference to the work in 1920 as the Indian Fantasy.

Reception

Views of the Sources

Cultural difference colors both recent and contemporaneous reception.

Beaumont concludes that the Indian Fantasy deserves its current obscurity:

⁶ Busoni, Letter to his wife, Gerda, March 9, 1911, trans. Beaumont in Busoni, 192.

⁷ Busoni, letter to Gerda, March 15, 1911, Beaumont, Busoni, 192.

⁸ Busoni, letter to Emile Blanchet (Swiss pianist who studied with Busoni), March 17, 1915, trans. by Beaumont in Letters, 192.

The Red Indian Fantasy belongs beside such other rare birds of the European concerto repertoire as the Egyptian Concerto and African Fantasy of Saint-Saëns, the Moorish Rhapsody of Humperdinck or the Scottish Fantasy of Bruch.⁹

Apparently, this grouping results simply from titles that specify exotic themes.

Busoni's Piano Concerto (1904) makes extensive use of Italian folk songs and dance music in its second and fourth movements, yet this fact does not prompt its miscellaneous grouping with works on various national themes. As will become evident, the Scottish¹⁰ and Indian Fantasies are wholly different worlds, regarding both large-scale structure and relationship to the sources.

Uneasiness with cultural difference prompts the view that

the melodies Busoni chose are like rare wild beasts in captivity. He faced the problem of providing a congenial environment for his charges, without which they would perish.¹¹

Beaumont rightly acknowledges that the chosen chromatic melodies are atypical of Curtis's largely pentatonic collection, but he ignores the striking resemblance between the selected "wild beasts" and Busoni's own works. My analysis will connect the semitonal motives of the source melodies to the original music of the Indian Fantasy and to two earlier Busoni works: the Piano Concerto, Op. 39 (1904) and Berceuse élégiaque, Op. 42 (1909). Thus, before he had access to the Indian melodies, Busoni's music demonstrated a kinship with their musical language.

⁹ Beaumont, Busoni, 198.

¹⁰ The Scottish Fantasy is analyzed in Chapter Seven.

¹¹ Beaumont, Busoni, 195.

Riethmüller reports that the composer's feelings of superiority and fascination grew into a sincere appreciation of Indian culture as a viable alternative to mainstream North American culture. In the early 1900s, it was unusual to contradict the stereotype of the childish, inferior Indian. Despite Busoni's progressive outlook, Riethmüller sees the composer treating the melodies as children, and supports this view by citing Beaumont's "wild beasts" analogy.¹² In keeping with this assessment, he construes Busoni's acknowledgment of certain European techniques as evidence that the work is an agglomeration of European musics. Yet Busoni simply accounts for features inherent in the selected sources by using their European names:¹³

The most frequently used scale is the pentatonic one . . . but the Hungarian gypsy scale also appears. Scotch snap.¹⁴

The sources are akin to European, if non-Germanic, techniques, which makes them accessible to Busoni.¹⁵

Another factor in the reception of this work is the notion that wholly original compositions are superior to those based on existing themes. Of course, Busoni made no such judgment. In fact, he believed that notation itself constitutes transcription:

¹² Albrecht Riethmüller, "Motive der amerikanischen Indianer bei Ferruccio Busoni," in *Atti del XIV congresso della Società Internazionale di Musicologia*, Bologna, 1987: Trasmissione e recezione delle forme di cultura musicale (Turin, 1990) III, 94.

¹³ The majority of Busoni's sources are Hopi, and the rhythm analogous to the Scotch snap is found in many of the Hopi songs.

¹⁴ Beaumont, Letters, 177.

¹⁵ Just five months before he conceived the Indian Fantasy, Busoni raised his famous objection to the presumption that German music was inherently more profound than that of any other nationality. Riethmüller, "Busoni und die Hegemonie der deutschen Musik," in Nationaler Stil und europäische Dimension in der Musik der Jahrhundertwende (Darmstadt, 1991), 68.

“Notation” (“writing down”) brings up the subject of Transcription, nowadays a term much misunderstood, almost discreditable . . . My final conclusion concerning it is this: Every notation is already the transcription of an abstract idea. The instant the pen seizes it, the idea loses its original form. The very intention to write down the idea already stipulates a choice of measure and key. Form and orchestration, which the composer must decide upon, still more closely define the way and the limits.¹⁶

In this context, it is understandable that Busoni’s desire to treat the Indian themes simply—“without refinement”—was tempered by his acknowledgment that “to eavesdrop and reproduce is already the highest refinement.”¹⁷

Busoni’s musical refinement is largely rhythmic: sources notated in changing meter are altered to maintain a consistent meter. The sole exception is the first orchestral statement of the final tune. Its consistent 4/8 is changed to alternating triple and quadruple meters. Unfortunately, the flowing quality of the original triplets is lost in the translation. Perhaps Busoni realized this, for the solo statement restores the original triplets, as does the second orchestral statement.

Clearly, the preservation of Indian melodies was not Busoni’s goal—Curtis had already done so. The decision to relegate the motives to the role of stimulus was made early in the process:

¹⁶ Busoni, *Entwurf einer neuen Ästhetik der Tonkunst*, 1907, rpt. Weisbaden, 1954, trans. Theodore Baker, *Sketch of a New Esthetic of Music* (New York, 1911), 17. I have replaced Baker’s “The form, and the musical agency” (“Form- und Klangmittel”) with “Form and orchestration,” and “Every notation is, in itself . . .” with “Every notation is already . . .” (“Jede Notation ist schon Transcription eines abstrakten Einfalls.”)

¹⁷ “Es ist schon das höchste der Raffinements . . . zu belauschen und zu reproduciren.” Letter to Gerda, March 1911, cited by Riethmüller, “Motive der amerikanischen Indianer,” 91.

The Indian melodies are not very fruitful or productive. I will have to graft in quite a lot of my own.¹⁸

In view of Busoni's ideas on notation and transcription, this "grafting" process is consistent with his compositional style, not a regularization directed at the unruly Indian melodies as Reithmüller has suggested.

Review of London Premiere: Genre and Title

Contemporaneous criticism was hard on the Indian Fantasy. Like Bruch's Scottish Fantasy, though, this work was very popular with audiences. This is evident in the review of Busoni's London début of June 22, 1920. In a letter written the next day, Busoni describes the concert as "uncommonly successful,"¹⁹ while the anonymous reviewer (whose style and tone recall Shaw's) questions the discretion of the public.²⁰

The programme summed it up very neatly: it printed on the outside in nice, clear type, "Busoni, June 22nd, 1920." The little more there is to be said may be put shortly. [Die Bratwahl Suite, op.45] is piano music. Not in the vulgar sense that it is "pianistically" (terrible word!) written for the orchestra—the orchestral treatment is quite genuine—but that the orchestral effects are valued for themselves, representing the ornament with which Busoni the pianist delights in veiling the plain sense of his author. This came out even more clearly in the Fantasy, in which the Cherokee (or whatever they are) tunes were there as the one little bit of news by wireless on which a newspaper paragraph is built. There are the literary tricks of antithesis and aposiopesis, of understatement (for fear the writer should seem conceited), of

¹⁸ Letter to Gerda June 22, 1913. Trans. Beaumont, Busoni, 192.

¹⁹ Letter to Volkmar Andreae (Swiss composer and conductor), June 23, 1920, trans. Beaumont, Letters, 311.

²⁰ I have cited this review in full, since a brief citation was misread by Beaumont as unqualified praise of the work: "the critic of The Times, extolling the work's merits, marvelled at 'the literary tricks of antithesis and aposiopesis, of understatement . . . of paradox.'" Beaumont, Busoni, 196.

paradox (for fear the reader should go to sleep), and of the story with a second point (in case you should have missed the first).

The audience applauded the Fantasy the more rapturously of the two, possibly in memory of last Saturday, and from gratitude for favours to come. They had them. The Fantasy was played again.²¹

Genre and title play a role in the reviewer's complaint that, especially in the Fantasy, "the orchestral effects are valued for themselves." This assessment resembles Mendel's conclusion that the improvised fantasy had become "child's play with borrowed, charming sound effects."²² The lineage of the tunes of a distant culture holds no interest for the reviewer, who dismisses the sources as "Cherokee (or whatever they are)."²³

Critics in Munich also panned the Indian Fantasy, finding it

liberally exotic . . . but quite tedious, an accumulation of curiosities without any apparent meaning or purpose, lacking in shape and order.²⁴

The charge of formlessness is not new to either the genre or the composer.

Busoni and Form: Leichtentritt's *Formenlehre*

For Busoni form was an overriding priority that was realized in a fresh approach to each work. This emphasis is evident in his 1916 exchange with Hugo Leichtentritt regarding the latter's proposed new edition of his Formenlehre (Leipzig,

²¹ "Signor Busoni as Composer: Orchestral Concert at Queens Hall," London Times, June 24, 1920. The tone of the review suggests that Shaw is the writer, and Busoni's letter of June 23 reveals that "Bernard Shaw was in the audience of Queen's Hall."

²² See Chapter Two, 149.

²³ Cherokee is not pertinent to this work. The tunes are Hopi (3), Acoma (2), Pima, Passamquoddy, Kwakiutl, Cheyenne and Laguna (1 each).

²⁴ Münchener Neueste Nachrichten, March 18, 1914, trans. Beaumont, Busoni, 195.

1911, revised edition 1920). Through this correspondence, we can trace Busoni's struggle with the notion of preordained form. After praising segments of the book, he made an important correction: independent form is not synonymous with failed form.

You end with the Nocturne symphonique [1914] which, together with the 2nd sonatina [1912], creates a genre which does not 'lack a comprehensive system' - as you write - but is founded on a system which arises *out of the structure and content of the piece itself* and which, in a third or any subsequent essay of this kind, *will always have to create its own system anew* . . . If you find all this worth mentioning, then I would ask you to incorporate it - or at least allude to it - in your little book.²⁵

Later, Busoni questioned the usefulness of a textbook on the principles of form:

Have you introduced any new material into your 'Formenlehre', or is the book appearing unaltered? I would have liked to discuss this with you. I am becoming increasingly convinced that musical forms feel the *need* to be moulded adjustably, according to content and motif: just as a building, according to its given purpose and terrain . . . A *text book* on form implies for me only a *history* of form, an enumeration of available examples and prototypes. - A warning should be printed at the bottom of every page: just as this master here found a form for his idea, so should you seek the only one for your idea. - What do you think of this point of view?²⁶

His objections grew over the next few months:

I still have my reservations about the Formenlehre . . . If only you could give your book a title such as: 'A handbook of musical forms up to the beginning of the XXth century' - then I would understand such a work. I consider it erroneous as a composition text-book. The older I grow, the better I learn that good cannot come of repeating that which is already extant and concluded! That it is, in fact, impossible to repeat anything. How do you want to set about it? It is certainly your intention to open your violin sonata with a movement which doesn't remind one of anything familiar. And so things must go on, with the same independence.²⁷

²⁵ Letter to Hugo Leichtentritt (1874-1951, musicologist, critic and composer), June 27, 1916. Beaumont, *Letters*, 241.

²⁶ Letter to H.L., September 21, 1918, Beaumont, *Letters*, 274.

²⁷ Letter to H.L., January 5, 1919, Beaumont, *Letters*, 280. Recall Schumann's words on the decline of sonata form nearly a century earlier (1838): "we should not have to repeat the same [form] year after year and at the same time deliberate over the new. So

Gradually, though, Busoni found the project more intriguing, especially if

Leichtentritt would include works that display unusual structure:

The Formenlehre is beginning to arouse my interest . . . In the adagio of the Bach [keyboard] concerto I again spotted a form which is unique to him, is to be found in several instances in the Book II Preludes of the WTC and which has never since been employed nor – I believe – taught. It generally consists of the quadruple (this time sextuple) reiteration of an 8 - 12 bar formula which appears harmonically and melodically modified at each appearance, but which runs through without a middle-section or development. – If you have not yet incorporated it into your Formenlehre, then permit me to draw your attention to it. Examples in the WTC II are the Preludes in F-F#-Ab (and A)–which I expounded–I believe–accordingly.²⁸

In his analysis of these works, Busoni describes two common features of the fantasy:

use of variation techniques, and absence of a self-contained development section.

These similarities between the fantasy tradition and Busoni's formal preference may have contributed to the composer's attraction to the genre.

Variation techniques are directly related to the source material of the Indian Fantasy, with its many instances of built-in, improvisatory variants (see source 515 in Ex. 8-1).²⁹ Busoni treats source 515 in two parts. The first, which is the more straightforward of the two, is used during the opening solo. The second, which becomes a link to the Finale, comprises the improvisatory variant. Improvisation was central to Busoni's musical life. He even revived it as a social practice in the salon evenings held in his home.³⁰ In the Indian Fantasy, Busoni's affinity to improvisation is most evident in the opening section, subtitled Fantasy.

one writes sonatas or fantasies (what's in a name!) . . . ” See Chapter Four, 208.

²⁸ Letter to H.L., February 27, 1919, Beaumont Letters, 283.

²⁹ Throughout this analysis, I refer to the sources according to the number of the page on which they appear in Curtis's collection, which remains the authoritative source

Like the Nocturne symphonique that started the exchange between Busoni and Leichtentritt, the Indian Fantasy does not follow a prescribed form. Rather, it is shaped according to the sources. I will show that the coherence of the work stems from an overarching system of recurring motives and, on a deeper level, from the commonalities in the musical language of the sources and of the original music.

Analysis: Sources and the Formal Scheme

While formal areas are not indicated in the score, they have been clarified by the composer, who wrote that the Indian Fantasy

consists of three sections without a break: a Fantasy (orchestral introduction, prolonged piano solo without orchestra, reprise of the orchestral introduction and short set of variations); a Canzone formed out of two songs; and a Finale based on three genuine motifs and one original one . . . finishes without the customary coda (which heralds the close), like a vanishing phantom.³¹

With Busoni's outline as the starting point, we can flesh out the formal scheme of the work as follows:

for these melodies. Natalie Curtis, The Indians' Book: Songs and Legends of the American Indians (Toronto, 1907; rpt New York, 1968).

³⁰ Thomas Seedorf, "Improvisation," Die Musik in Geschichte und Gegenwart, 2nd ed., ed. Ludwig Finscher (Kassel, 1996), Sachteil 4, 572.

³¹ Letter to Leichtentritt, February 25, 1914, Beaumont, Letters, 176.

Figure 8-1: Indian Fantasy, formal outline correlating Busoni's sectional plan and Curtis's sources

<u>mm.</u>	<u>Function</u>	<u>Indication</u>	<u>Source</u>	<u>Texture</u>	<u>Key</u>
1	Introduction	Andante con moto		orch.	c
27	Fantasy	Fantasia (Allegro)	521/ 515/ 464	solo	
85		Adagio fantastico	517	"	D
105		Allegretto affettuoso	521a	"	
166	Introduction	quasi continuando	521b	orch.	
215	Variations	Più mosso	454a	"	
232		con fuoco	454a	tutti	
252		Misurato	453b	"	
292	link	Cadenza: Fuggitivo	319 521	solo	
317	Canzona 1	Andante quasi lento	319	tutti	G
371	link	senza agitazione	25/ 521a/ 307	orch	
384	link	poco a poco più Allegro	intro/ 521a	solo	
400	canzona 2	Andantino maestoso	25	tutti	D/Eb
425	link	un poco più appassionato	517b/ 25	solo/ tutti	
453	link	Cadenza: tranquillo, legato	original	solo	
460	canzona 1	Lento, calmissimo	319	tutti	AbMm
484	link	liberamente	orig./ 319	solo/tutti	
495	link	più vivamente	orig.	orch	G
522	link		515	orch/solo	G
560	Finale-motif 1	Deciso	453b/ 454b	"	C
673	motif 2		307	"	BbMm
709	link	(from opening of Finale)	original	"	
728	motif 3	Allegro	187	orch	B
742			25	solo	D
753			187	tutti	G
787	link		307	"	EmM
819	closing		orig.	"	C

The balance of this analysis centers on three elements of formal coherence in the Indian Fantasy: sectional organization; recurring motives; and chromatic connections between the sources and original music. The use of semitonal motives is most evident in linking passages, which often include contrapuntal combinations of source fragments. Busoni demonstrates great originality in these transitional areas,³² not unlike that which he admired in the music of Beethoven and Schumann.³³

Superimposed over the three parts identified by Busoni (Fantasy, Canzone and Finale) are contrasting stylistic areas—one free and the other strict. The first encompasses the Fantasy and Canzone sections, both of which contain extended solo cadenzas, areas of free tonality, and chromatic sources. The second applies to the comparatively straightforward Finale, with its clearly defined key areas and largely pentatonic sources. Dominated by the orchestra, the Finale resembles a closing section. Perhaps this explains why Busoni ended “without the customary coda.”³⁴

An underlying system of recurrent motives can be traced throughout the Fantasy and Canzone, and into the opening of the Finale:

³² In this work, linking function is accompanied by harmonic transition.

³³ See Chapter Four, 210. Rather than a constrictive, forbidding model, Beethoven’s music represented freedom and originality to Busoni.

³⁴ See Note 28.

Figure 8-2: recurring motives

mm.	27	105	252	292	384	458	520	558
function	Fantasy		var.	link	link	Canzona	link	Finale
source	515	521	453b	319	521	319	515	453b

The reappearance of these motives is the connecting thread in the first two of Busoni's sections. Source 453 acts as a pivot between the Fantasy/Canzone and the Finale. After melodies 453 and 454 introduce the Finale, a series of three motives forms a closing arch:

Figure 8-3: closing arch formed by source melodies

mm.	673	728	742	753	787
source	307	187	25	187	307

The frame of the closing section, source 307 first appeared in inversion as part of the contrapuntal fabric linking the two canzone (see Ex. 8-2). An evocative choice with which to end the work, source 307 is a Kwakiutl cradle song composed of three primary pitches, transcribed by Curtis as G#-E#-A (see Ex. 8-3). These pitches are notated by Busoni as a pattern of interlocking minor and major thirds: Bbm/M (m.673); BmM (m.689); and EmM (m.787) (see Ex. 8-4). Perhaps Busoni was

Ex. 8-1: Busoni, Indian Fantasy, source 515, showing 1) base melody; and
2) improvisatory variant

Koroeta Katzina Song

515a: base melody

ti-mah a- ya a-ma-na-wi-go-o- o-o- on
O-ver your field of grow-ing corn all - day all day shall come

Go-oi ho-go-go-te-ma-na
Come the rush-ing rain, rush-ing rain,

Ta-wa- na-wi ta-a
Rush-ing rain, rush-ing rain...

li a ha a ha ha-a

515b: improvisatory variant

he i hi hi-i

ho o o o ho ai-ai-ai-ai

e e e e e he lo-o-o-oi

[515]

Ex. 8-2: Indian Fantasy, first appearance of source 307, inverted as part of the contrapuntal link between the two canzone

The musical score is arranged in three systems. The first system contains staves for Oboe (Ob.), Clarinet (Cl.), and Bassoon (Fg.). The second system contains the Piano (P.) part. The third system contains the Piano (P.) part again, with a handwritten annotation '307, inverted' pointing to a specific measure. The score includes various performance instructions and dynamic markings.

Handwritten Annotations:

- source 25* (above the Oboe staff, measure 23)
- Solo.* (above the Oboe staff, measure 23)
- dolce* (above the Clarinet staff, measure 23)
- espr.* (above the Bassoon staff, measure 23)
- source 521* (above the Bassoon staff, measure 23)
- senza agitazione, sotto voce* (above the Piano staff, measure 23)
- con ambedue Pedali* (below the Piano staff, measure 23)
- 307, inverted* (below the Piano staff, measure 23)

Printed Annotations:

- 23** (measure number, boxed, above the Oboe staff)
- 23** (measure number, boxed, below the Piano staff)

Ex. 8-3: source 307

Cradle-Song

Slow and crooning
m. m. 1-69

Swing of cradle.

Ha - o ha - o ha - o o

Sleep o sleep o sleep o o

Ha - o ha - o ha - o o

Sleep o sleep o sleep o o

Ha - o ha - o ha - o o

Sleep o sleep o sleep o o

Ha - o ha - o ha - o o

Sleep o sleep o sleep o o

[307]

ix. 8-5: Busoni, *Berceuse élégiaque* for orchestra (1909), melodic language akin to source 307

Andantino calmo

12

n.

stgs.

The musical score consists of two staves. The top staff is in treble clef and the bottom staff is in bass clef. The time signature is 3/4. The key signature has two flats (B-flat major). The tempo is 'Andantino calmo'. The score starts with a treble clef and a key signature of two flats. The melody is written in the treble staff, and the accompaniment is in the bass staff. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'n.' and 'stgs.'.

attracted to this cradle song since it exploits the same intervallic relationships as his own cradle song—the Berceuse élégiaque (1909)—written in memory of his mother. Its chromatically inflected thirds are strikingly similar to the Indian source (see Ex. 8-5). The particular chromaticism of source 307 was latent in his own musical language.

The extended treatment of source 521a (*Allegretto affettuoso*, m.105) shares features with another motive of the Berceuse (mm.40-44). These features are semitonal construction; dotted rhythm; and accompaniment pattern (see Ex. 8-6a, b and c). Both the source and the Berceuse segment are accompanied by semitonal chords in two-note slurs on offbeats. This dotted-rhythm semitone permeates the orchestral introduction of the Indian Fantasy, and it connects the introduction to the opening measures of the Fantasia section.

The link to Canzona 1 is accomplished by joining the next tune, source 319, with a semitonal accompaniment derived from that of 521. This figure is described by Beaumont as “an unwarrantably dissonant harmonization.”³⁵ In my view, since the accompaniment is itself derived from source 521 (see Ex. 8-6a), its combination with 319 demonstrates a highly integrated use of source material (see Ex. 8-7). And it highlights the role of continuous development in the fantasy.

Source 517b—another chromatic melody—appears in the wonderful transition between Canzona 2 and the ensuing Cadenza. Like the transition at m. 371, it is forged by the contrapuntal combination of source fragments. Where the first

³⁵ Beaumont, Busoni, 197.

Ex. 8-6a: source 521

He-Ha Katima Tare

521a

Handwritten musical score for 521a. It consists of five staves of music in treble clef. The first staff has a key signature of one sharp (F#) and a 3/4 time signature. The melody is written with eighth and quarter notes. Below the first staff, the lyrics "O ho u e lo u lu a a a a" are written. The second staff continues the melody with a bracket over the first two measures. Below it, the lyrics "a ka ka ka a" are written. The third staff continues the melody. Below it, the lyrics "a ka ka a a a" are written. The fourth staff continues the melody. Below it, the lyrics "a ka ka a" are written. The fifth staff continues the melody. Below it, the lyrics "a ka ka a" are written.

O ho u e lo u lu a a a a

a ka ka ka a

a ka ka a a a

a ka ka a

a ka ka a

→ 521b

Handwritten musical score for 521b. It consists of two staves of music in treble clef. The first staff has a key signature of one sharp (F#) and a 3/4 time signature. The melody is written with eighth and quarter notes. Below the first staff, the lyrics "a a a a a a a a" are written. The second staff continues the melody with a bracket over the first two measures. Below it, the lyrics "a a a a a a a a" are written.

a a a a a a a a

a a a a a a a a

{521}

Ex. 8-6b: *Berceuse élégiaque*, showing features akin to Busoni's version of source 521 in the *Indian Fantasy*: semitone melody in dotted rhythm; accompaniment pattern on offbeats

Calmissimo
con sord.
40

vln

(molto intimamente)

harp

vla

dolciss

vc, db

Ex. 8-6c: *Indian Fantasy*, Busoni's harmonization of source 521

Allegretto affettuoso, un poco agitato.

The image displays a musical score for a piece titled "Indian Fantasy" by Busoni. The tempo and mood are indicated as "Allegretto affettuoso, un poco agitato." The score is written for piano and features two systems of staves. The first system consists of a grand staff (treble and bass clefs) and a single bass staff. The second system also consists of a grand staff and a single bass staff. The music is in a key with two sharps (F# and C#) and a 3/4 time signature. The notation includes various musical symbols such as notes, rests, accidentals, and dynamic markings. A fermata is placed over the final measure of the first system. The number "7" is written below the first system, indicating the starting measure of the excerpt.

Un poco meno allegro.
 ← 319

based on 521

Come un riflesso lontano

dolce, scorrevole

8-7 Indian Fantasy, cadenza, showing source 319 in a harmonization that is derived from source 521

combination produced vertical thirds, this new combination creates vertical semitones, intensifying the chromaticism of the sources (see Ex. 8-8 and 8-9). Source 517b is also strikingly similar to the semitonal motive of the first movement of Busoni's Piano Concerto (see Ex. 8-10).

Though it might be heard as a throwaway gesture of virtuosity, the final solo flourish is actually a microcosm of the intertwined sources and Busoni's music. The octaves of the G-flat pentatonic scale alternate with single tones of the F pentatonic (see Ex. 8-11). This semitonal combination of pentatonic scales unites the chromaticism of Busoni's music and the chromatic sources with the largely pentatonic sources in the rest of the collection.

In light of the strong relationships between the sources and Busoni's original material—especially evident in linking passages—we must be wary of criticism that is based on the “otherness” of the sources. If we are willing to consider them “wild beasts,” we must be equally willing to apply the term to the rest of Busoni's output.

In sum, this analysis of the Indian Fantasy reveals a compendium of fantasy features. These include: important linking areas, often elaborate and virtuosic; variation techniques; the semblance of improvisation, often derived from the built-in improvisatory variants in the source melodies; a system of recurring motives that unifies the work; and a process of continuous development of the source motives and of Busoni's original material.

Ex. 8-8: source 517, showing two-part division

He-Hea Katzina Tawe
He-Hea Katzina Song
 Sung by Masahongva

Moderately fast
M.M. 176
A cross over a note indicates where the gesture of the dancer becomes like the peculiar rhythm of the song.
Gourd rattle

517a → a..... a ha..... a ha..... a ha ha

1..... e he... yi hi..... yi hi hi..... hi

a..... a ha a ha... a ha ha

2..... e he... yi hi..... yi hi hi..... hi

517b → Hu-mi-si u-ye ma-na-tu
Corn-blos-som maid-ens here in the fields,

Mo-ghi-si u-ye si-go-co-va-a,
Patches of beans in flow-er, fields all a-bloom

[517]

Ex. 8-9: Indian Fantasy, contrapuntal combination of sources 517b and 25, showing semitonal vertical relationships

un poco più appassion.

con Ped.

The musical score consists of two systems. The first system shows the initial entry of the melody and bass line. The second system shows the continuation of the melody and bass line. The score is annotated with 'un poco più appassion.' and 'con Ped.'.

Ex. 8-10: Busoni, Piano Concerto, opening semitone motive akin to source 517b

The image displays a musical score for piano and orchestra. The piano part is written on a grand staff (treble and bass clefs) in 3/4 time. The orchestra part is written on a grand staff (treble and bass clefs) in 3/4 time. The piano part begins with a semitone motive (F#4-G#4) marked with a piano (p) dynamic. This motive is repeated in the orchestra part, which also begins with a semitone motive (F#4-G#4). The piano part continues with a semitone motive (F#4-G#4) and a semitone motive (F#4-G#4). The orchestra part continues with a semitone motive (F#4-G#4) and a semitone motive (F#4-G#4). The piano part ends with a semitone motive (F#4-G#4) and a semitone motive (F#4-G#4). The orchestra part ends with a semitone motive (F#4-G#4) and a semitone motive (F#4-G#4).

Ex. 8-11: Indian Fantasy, ending, combination of pentatonic scales a semitone apart

62

G♭ pentatonic

F pentatonic

disapparendo

Fantasia nach Johann Sebastian Bach, piano solo. 1909

I dedicated a major concert work for piano, 'Fantasia nach J. S. Bach' (one of my best) to the memory of my father, who died on 12 May. Had you heard about it?³⁶

As evidenced in this letter to his protégé, Egon Petri, Busoni was pleased with the Fantasia nach Johann Sebastian Bach. The description, "a major concert work," does not refer to length, since this is a ten-minute work. Rather, Busoni felt that the Fantasia made an important contribution to the repertoire.

"My own Transcriptions"

Written less than a month after his father's death, the Fantasia nach Bach was included in Busoni's American recitals in December of the same year. He offered the program to Petri:

For America - (I am going there at Christmas time!) - I have assembled a *Bach recital using my own transcriptions*. I recommend it to you:

1. Chromatic Fantasy
Preludio, Fuga e fuga figurata (D major)
2. Toccata - Adagio - Fugue (C major)
3. Three chorale preludes³⁷
Fantasia on motifs by J.S.B.
4. Chaconne

It is well contrasted and appealing.³⁸

³⁶Letter to Egon Petri (German pianist, 1881-1962), June 26, 1909, trans. Beaumont, Letters, 95.

³⁷ According to the London Times review of October 18, 1909, the preludes programmed with the Fantasia nach Bach were "Wachet auf, ruft uns die Stimme," BWV 645; "In dir ist Freude," BWV 615 and "Nun freut euch, lieben Christen, gemein," BWV 388.

³⁸ Letter to Egon Petri, July 19, 1909, trans. Beaumont, Letters, 97.

By including the Fantasia under the rubric of “my own transcriptions,” Busoni widens the sphere of the term. Two years later, he would write that transcription encompasses all notation of abstract ideas,³⁹ expanding the concept further. In the Fantasia, the term operates on three levels: literal transcription, particularly of Partitas I and II from “Christ, der du bist der helle Tag,” BWV 766, and, to a lesser extent, Partita VII; recomposition of the Fughetta on “Gottes Sohn ist kommen,” BWV 703; and introductory material, recalled at the end, that is Busoni’s own even as it resonates with the spirit of the chorales.

Busoni premiered the Fantasia on a program that included his transcriptions of works by Bach, Beethoven, Paganini and Mozart. The critic of the London Times grouped the pieces into two categories: free arrangements and literal transcriptions. Yet even in the latter, the writer acknowledged that the piano “interprets and translates” the original:

Of all the pieces which [Busoni] played half consisted of literal transcriptions for the modern piano of works which were originally written either for organ or for an 18th century clavier. They were literal in the sense that the length and character of the original pieces were retained. The actual text was not identical throughout, because in transferring the music to the pianoforte the technique of the modern instrument was made use of to bring out the character of each piece: the piano, that is to say, was used to interpret and translate, and not merely to reproduce. This method was applied to Bach’s Chromatic Fantasie, to three of the Choral Preludes (“Wachet auf,” “In dir ist Freud,” and “Nun freut Euch”), and to the big Toccata and Fugue in D minor for organ.

The other pieces which he played were free arrangements of other works—fantasies built up on the foundations of other works. The pianist played, for instance, the Prelude and Fugue in D major [WTC I] and inserted as a kind of cadenza to the fugue a free fantasia ingeniously constructed out of material from the fugue itself, combined with material from the prelude.

³⁹ See this chapter, 359-360.

Another free fantasia—only this was very much more elaborate—was built up on the choral prelude “Christ, der du bist der helle Tag,” [Fantasia nach J.S. Bach] and free versions were given of Liszt’s Mephisto Waltzer, Beethoven’s Ecossaises, one of Paganini’s violin capriccios (with an elaborate introduction played entirely with the left hand), and, finally, of one of Mozart’s pianoforte gigue, on to which was fastened, with the addition of variations, the bolero danced by the wedding guests before the Count in *Figaro*.⁴⁰

The description of the fantasy on Mozart demonstrates the continuity of variation techniques grounded in the fantasy tradition.⁴¹

In describing the Fantasia nach Bach as “very much more elaborate,” the critic responds to the presence of Busoni’s compositional voice. Certainly, if in the more literal transcriptions, “the piano was used to interpret and translate, and not merely to reproduce,” then that is an even more accurate description of this work. I will show that Busoni interprets the sources by using their shared properties as compositional resources. At times, these resources provide coherence, at other times, they produce discontinuity. The highly integrated climax of the work hinges most strongly on the shared properties that I will outline in the analysis.

Not all critics were pleased with Busoni’s departure from the original, as reported in this letter to his wife:

Thanks for the newspapers. In the “Allgemeine Musikalische Zeitung,” a Dr. Friedhof has tried to *bury* my Fantasie. . . He remarked that there was a modern current running through the work, which was not like Bach. “But how intelligent you are,” says Mark Twain, in a similar case. Or like Brahms, “Every donkey notices that. . .”⁴²

⁴⁰ He must mean fandango, not bolero. The Times, London, October 18, 1909.

⁴¹ This is one of the many Busoni arrangements not included in the complete edition.

⁴² Busoni, Letter of September 4, 1911, trans. Rosamond Ley in Ferruccio Busoni: Letters to his Wife (London, 1938), 198.

The critic prefers that the music of Bach remain inviolable. In the context of Busoni's well-known arguments against the presumption of superiority in German music, it comes as no surprise that German critics might take offense at the liberties taken with Bach. On the other hand, the performance of transcriptions was considered a lesser endeavor outside Germany too, as Busoni writes to his wife from Milan in 1895:

The Directors are very conscientious (so they say), and permit no transcriptions in their programme. I was obliged, therefore, to withdraw the Tannhäuser Overture. But when I said that the Bach organ fugue was also a transcription they said it would be better not to mention that in the programme.⁴³

Regardless of critical opinion, Busoni explored the art of transcription throughout his lifetime.

Analysis: Discontinuity and Coherence

The three Bach sources for this *Fantasia* are: *Partite diverse sopra il Corale Christ, der du bist der helle Tag*, BWV 766; *Fughetta on Gottes Sohn ist kommen*, BWV 703; and *Chorale Prelude, Lob sei dem allmächtigen Gott*, BWV 602.⁴⁴

For Busoni, part of the appeal of these sources may be that they represent three levels of Bach's own reworking: seven free variations in the Partitas, contrapuntal treatment in the Fughetta, and a polyphonic setting of the eight-bar chorale in the Prelude. Busoni focuses on the Partitas for half the work, emphasizing

⁴³ Busoni, Letter of December 5, 1895, trans. Ley, *Letters*, 12.

⁴⁴ *Neue Bach-Ausgabe* (Kassel and Basel, 1954): BWV 602, Series IV, vol. i; BWV 703, Series IV, vol. iii; and BWV 766, Series IV, vol. i.

a generic property of the source that plays into the fantasy tradition: partitas are variations on a traditional tune, and thus a fantasy on a partita is an elaboration of an elaboration. The three chorales that are the basis of the Bach sources illustrate the importance of vocal music to fantasies on existing themes. Figure 8-4 shows the disposition of these sources:

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Figure 8-4: Fantasia nach Bach, disposition of the sources and the resulting formal scheme

I^a = Introduction, part I; I^b = Introduction, part 2; $A^1, 2$ = variations

<u>m.</u>	<u>Function</u>	<u>Indication</u>	<u>Source</u>	<u>Key</u>
1	I^a	Molto tranquillo e gravemente	free / 766 phrases 1 and 2	Fm-Ab
15	I^b	espressivo dolente	free	
30	A	Con Sonorità	Partita I, 766	Fm
40	A^1	parlando	Partita II, 766	Fm
69	B	Allegretto	Fughetta, 703	F
112	A^2	Andante, quasi Adagio	Partita VII, 766. mm. 1 - 14	Fm
130	C	largamente, tenuissimo	Prelude, 602, phrases 1 - 3	Ab
136		dolce	Prelude, 602, phrases 1 - 3	F
142	A	Adagio	Partita I, 766, phrase 3	Fm
145	I^b	Tempo e carattere dell' introduzione	free / 766	
152	A	dolce	766 phrases 1, 2 and 3	Fm
161	I^a	Riconciliato, tranquillissimo	602: final phrase	F
165		mancando		Fm

The schematic outline is akin to the rondo, a form often associated with the fantasy.⁴⁵

The analysis reveals a hybrid rondo-variation form that contains two types of variation: explicit, in the series of Partitas, BWV 766, and implicit, in Busoni's recomposition of the Fughetta, BWV 703. The original keys of the sources are preserved in the harmonic structure of the Fantasy, which alternates between F minor and F major. The one exception is the first appearance of the Prelude BWV 602 at the climax (m.130): it arrives in A-flat major, a key foreshadowed in the first part of the introduction.

I will examine three melodic properties of the sources that function as compositional resources: shared pitch content, whole-tone implications, and repeated-note motive. These properties serve to unify the work as well as to produce discontinuities. The move to A-flat at the climax is facilitated by a striking similarity in the pitch content of the opening phrases: the first four pitches of BWV 602 comprise a chromatically inflected version of the last four pitches of the initial phrase of BWV 766 (the raised third and fourth above the tonic F) (see Ex. 8-12a and b). This overlap in the sources allows for the highly dramatic pivot from BWV 766 to BWV 602 at the climax of the work (m.130) (see Ex. 8-13).

The interruption of Partita VII, BWV 766, after the third phrase with the insertion of BWV 602 makes this moment even more striking. In fact, it sets off a chain of interruptions: BWV 602 is interrupted after the third phrase to start over in the original key (m. 136); and this second statement is stopped after phrase 3 to bring

⁴⁵ See Chapter Two, 133-134.

Ex. 8-12a: Partite diverse sopra il Corale (*Christ, der du bist der helle Tag*, BWV 766, Partita I; showing (1) last four pitches of initial phrase that overlap the first four pitches of BWV 602; and (2) repeated-note pattern in second and fourth phrases exploited later in the Partita and in the Fantasia nach Bach

Partite diverse
sopra il Corale
Christ, der du bist der helle Tag

BWV 766

Partita I

The image displays two systems of musical notation for Partita I, BWV 766. The first system, labeled (1), shows the initial phrase of the piece. The second system, labeled (2), shows a repeated-note pattern in the second and fourth phrases. The notation includes treble and bass staves with various musical symbols such as notes, rests, and accidentals. The key signature is one flat (B-flat major or D minor).



Ex. 8-12b: *Chorale Prelude, Lob sei dem allmächtigen Gott*, BWV 602, showing that the first four pitches of BWV 602 comprise a chromatically inflected version (raised fourth) of the last four pitches of the initial phrase of BWV 766



Ex. 8-13: Busoni, Fantasia nach Bach, showing transformation of BWV 766 into BWV 602 at the climax of the work

The image displays a musical score for a piano piece, specifically a section from Busoni's *Fantasia nach Bach*. The score is written for piano (p) and features a complex, chromatic melody in the right hand and a more rhythmic, chordal accompaniment in the left hand. The key signature is three flats (B-flat, E-flat, A-flat), and the time signature is 3/4. The score is divided into three systems. The first system shows the initial transformation of BWV 766. The second system is marked *allargando* and shows the transformation of BWV 602. The third system is marked *766* and *602 in A^b largamente, tenuissimo*, indicating a further transformation. The score includes various musical notations such as notes, rests, and dynamic markings like *ff* (fortissimo).

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back phrase 3 of Partita I (m. 142). An important element in the genre, interruption is central to this work.

Another free development of a melodic property occurs in the introduction, where Busoni exploits the whole tones that are created by the raised fourth of BWV 602 (see Ex. 8-14). Embedded in the continuous pattern of sixteenth notes are both of the possible whole-tone scales:

m.1: $a_b - b_b - c - d - e_{\sharp} - [g_b \text{ in m.6}]$ m.2: $[\text{end m.1 } d_b] - e_b - f - g - a_{\sharp} - b_{\sharp}$

Perhaps this whole-tone property contributed to the “modern current” that offended the German critic.

Beginning in m. 7 of the introduction, a repeated-note motive is fashioned out of the repeated notes of the second and fourth phrases of source 766 (see Ex. 12a). Highly chromatic lines accompany Busoni’s version (see Ex. 8-15). In the source, Bach also emphasizes this motive by an extensive development of the chorale’s second and fourth phrases. This is most pronounced in partitas II and VII—precisely the two selected by Busoni—and it occurs briefly in partita V as well.

Near the midpoint of the work, Busoni’s recomposition of the Fughetta on *Gottes Sohn ist kommen* begins as an emotional respite and builds in intensity (see Ex. 8-16). This departure from the single affection of the source is achieved through rhythmic and melodic alterations. In effect, Busoni has written variations on the three-voice fughetta, using a process that consists of modifications on units of

Fantasia.

whole-tone scale 1: $a^b b^b c d e f [g^b]$

Ferruccio Busoni.

*Molto tranquillo e gravemente.
 serioso, sostenuto e sempre sottovoce.*

Ex. 8-14: Fantasia nach Bach, opening, exploits whole-tone implications of the raised fourth in BWV 602

The musical score is divided into six systems, each with a piano (p) and violin (v) part. The piano part is in G major, 3/4 time, and the violin part is in G major, 3/4 time. The score includes various musical notations such as notes, rests, and dynamic markings.

- System 1: Piano part starts with a *molte* marking. Violin part starts with a *molte* marking.
- System 2: Piano part continues with a *molte* marking. Violin part continues with a *molte* marking.
- System 3: Piano part continues with a *molte* marking. Violin part continues with a *molte* marking.
- System 4: Piano part continues with a *molte* marking. Violin part continues with a *molte* marking.
- System 5: Piano part continues with a *molte* marking. Violin part continues with a *molte* marking.
- System 6: Piano part continues with a *molte* marking. Violin part continues with a *molte* marking.

At the bottom of the score, there is a small text: "V. A. 3053."

Ex. 8-15: *Fantasia nach Bach*, Busoni's development of the repeated-noted motive from BWV 766

Ex. 8-16: Fantasia nach Bach, source of recomposition: Fughetta on Gottes Sohn ist kommen, BWV 703

Gottes Sohn ist kommen
Fughetta
manualiter
BWV 703

approximately twelve bars. This resembles the procedure that Busoni would later point out to Leichtentritt as worthy of study in the music of Bach.⁴⁶

Figure 8-5: Busoni's variations on the *Fughetta*, BWV 703

<u>mm. in <i>Fughetta</i></u>	<u>mm. in <i>Fantasia</i></u>	<u>Original</u>	<u>Modification</u>
1-12	71-83	16 th notes	8 th notes
4-18	84-95 omits mm. 7-8	16 th notes subject in alto. then bass	16 th notes subject in bass
18-22	96-109 with repetition and sequence of m. 20 to achieve peak at m. 106	subject in soprano	subj. in soprano. extended, exploits sonority of m. 20 (4/2 chord)

In addition to examining the relationship between the fantasy and its sources, it is useful to look at the connections between these existing themes. For the most part, Busoni moves from one section to the next via juxtaposition. But like the varying levels of transcription in the work, there are varying levels of juxtaposition. These range from no link at all to the use of held tones between sections. In the latter, the sonority of the modern piano functions as connector.

⁴⁶ This chapter, 364.

In an example of sudden juxtaposition, the introduction ends with the repeated-note motive and the Chorale Partita simply begins after three beats of silence. But the repeated-note motive is interpolated at the end of each phrase of the chorale, uniting the chorale with the material of the introduction.⁴⁷ Marked *tenuto* and sustained with the damper pedal, the repeated notes echo the final chord of each phrase. Related to the registral shifts of Bach's own variant on the repeated-note motive (Partita VII, mm. 15-21), they vibrate in the manner of reflections of the cadence. Again, the sound of the modern piano fills a linking function (see Ex. 8-17). In contrast, Partita II appears directly after the last repeated-note motive—there is no internal connection. The next link, from Partita II to the Fughetta, consists of a single held tone. The last note of the original subject is also sustained, creating a tiny introduction to the Fughetta.

In another juxtaposition, the third phrase of BWV 766 (m. 142) heralds the return of the introductory passage (m. 145). Since the introduction treated phrases 1 and 2, it is as if the chorale continues where it left off—despite the intervening music. Thus interruption functions on a large scale.⁴⁸

Because so many of the connections are made by sudden juxtaposition, the climactic transition from BWV 766 to BWV 602 is doubly effective (see Ex. 8-13). The link formed by the shared pitches noted above allows BWV 766 to be

⁴⁷ This may be one of the areas that prompted the Times critic's reference that "in transferring the music to the pianoforte the technique of the modern instrument was made use of to bring out the character of each piece." Cited in this chapter, 385.

⁴⁸ The fragmentary appearances of the chorale fit Riemann's description of the fantasy, in which themes are quickly abandoned. See Chapter 3, 187-188.

21

dolciss.

sospiro

Con Sonorità

tenuto

27

33

37

più sosten.

V. A. 3051

Ex. 8-17: Fantasia nach Bach, sound of the modern piano fills a linking function: marked *tenuto* and sustained with the damper pedal, the repeated note-motive echoes the final chord of each phrase

transformed into BWV 602, in a process that is more metamorphosis than transition. The central role of a linking area is aptly illustrated in this emotional climax.

In sum, this analysis of the Fantasia nach Bach affirms the presence of three form-defining features of the fantasy: the primary role of interruption; the use of continuous development; and the formal mixture of rondo and variation, with emphasis on the latter. Busoni extends beyond the chain quality of rondo-variation form by integrating the sources in a directed motion toward both the preliminary peak (m. 106) and the climax of the work (m. 130). This integration derives from the shared melodic properties of the sources. So critical to the genre, the interplay of discontinuity and coherence is demonstrated in the treatment of these melodic properties. The unfinished climactic statements of BWV 602—it stops with the third phrase of the source (m. 130 and m. 136)—highlights the importance of interruption. This feature underscores the commemorative subtext of the work, since the last phrase of BWV 602 is withheld until the final measures, marked *Riconciliato*, . *tranquillissimo*.

Kammer-Fantasie über Carmen, for piano, 1920

The Chamber Fantasy on Carmen engages generic questions raised at the outset of this study, particularly those concerning alternate titles. Busoni's letters include references to "a brief Carmen Fantasy," "the little Carmen fantasy (Sonatina super Carmen)," "an arrangement of Carmen" and the "Fantasia da Camera on Carmen."⁴⁹ Published under this last title, the work also became known as the Sonatina, no. 6. We have noted that composers often vacillated between sonata and fantasy titles. In this instance, Busoni covered both bases by using a double name: fantasy and sonatina.⁵⁰

Sonatina is an apt title. It implies a straightforward sequence of themes with either simple development techniques or no development. Half the name, it fits half the relationship between development and the fantasy: we have seen that the genre is largely dissociated from fixed, sectional development yet closely tied to developmental processes. This holds true for the Carmen Fantasy. On first glance this work appears to be a composite of tunes from the opera. However, I will show that the improvisatory mode of the Carmen Fantasy produces a development of the original, sheds new light on the source and takes the work to the realm of recomposition, not arrangement. The developmental qualities inherent in recomposition are strongly associated with the fantasy.

⁴⁹ March 10 and 22, June 16 and 25, 1920, translated in Beaumont, Letters, 305, 306, 309, 310, respectively.

⁵⁰ Busoni used 'sonatina' once before for a work based on an existing theme: the Sonatina brevis [Sonatina no. 5] 1918, in *Signo Joannis Sebastiani Magni*, is based on Bach's Little Fantasy and Fugue, BWV 905.

Reception: "The Despised Lisztian Tradition"

Three important issues affected the reception of the Carmen Fantasy:

disapproval of fantasies on existing themes, particularly those on operatic themes; the hegemony of German music; and the shadow of sonata form. Their relevance is articulated in this 1936 assessment:

A cause for displeasure was [Busoni's] advocacy of Bizet. When it moved him to the composition of a 'Sonatina super Carmen' he perpetrated three branding sins simultaneously. He had resumed the despised Lisztian tradition of the Piano Fantasia on operatic fragments, he had chosen a composer whose name, in connection with chamber music, jarred on Teutonically critical ears, and by his reference to sonata form he intensified the general sinfulness of the proceedings.⁵¹

Having devoted much of his writing and concertizing careers to the piano works of Liszt, surely Busoni would make no apology for the composition of an opera fantasy in the tradition of the composer.⁵² In fact, three years before he wrote the Carmen Fantasy, Busoni had specified the manner in which one could apply Liszt's formal procedure Réminiscences de Don Juan to a work based on Carmen:

⁵¹ Bernard van Dieren, "Two Studies for Doktor Faust," The Listener, April 15, 1936, 749, cited by Beaumont in Busoni, 276. In 1867, Bizet wrote of non-German tendencies as a secret vice: "I am German by conviction, heart and soul, but I sometimes get lost in artistic houses of ill-fame. And I confess to you under my breath, I find infinite pleasure there. I love Italian music as one loves a courtesan." Cited by Winton Dean in Georges Bizet (London, 1965), 240.

⁵² Busoni wrote only two opera fantasies. The other is the Fantasie über Motive aus 'Der Barbier von Bagdad', komische Oper von Peter Cornelius, 1886, composed when Busoni was 20 years old.

As a more concrete example: if a paraphrase of *Carmen* [were to be effective], the transcriber, following Liszt's example, would begin with the [propitious] scene in the market place in Act IV⁵³, and in the introduction as contrast to this, would join the [emotive] "Carmen" theme built on the gypsy scale. The middle section would be composed of the Habanera ([with ensuing] variations), the Finale, the [arena] music.⁵⁴

This outline proves to be the basic structure for the Carmen Fantasy. Busoni added to it a section based on José's "Flower Song" and a coda based on the first appearance of the "Carmen" theme (the last section of the original Prelude).⁵⁵

Busoni's breezy references to the work are deceptive, as in this description of its genesis:

As a gesture of thanks to my host I am trying to construct a brief Carmen Fantasy, an interesting pastime.⁵⁶

Though he dashed it off in a few days, the work had existed in outline form for three years:

One is also influenced by one's milieu: my visit to Paris caused me to carry out an old plan for a Fantasia da Camera on Carmen.⁵⁷

⁵³ Act IV in the Ernest Giraud version, Act III, Scene 2 in the Fritz Oeser version.

⁵⁴ "In ein konkreteres Bild gebracht: wenn die Paraphrase etwa der "Carmen" gälte, so würde der Herausgeber, nach Liszts Muster, mit der versprechenden Marktszene aus dem vierten Akte beginnen und dieser, als Gegensatz, in der Einleitung das pathetische, auf die Zigeunerskala gebaute Carmen=Thema anfügen. Den Mittelsatz bildete die 'Habanera' (mit anschliessenden Variations), das Finale die 'Zirkusmusik.'" Busoni, "Mozart's Don Giovanni und Liszt's Don Juan Fantasie," Zurich, June 1917, original in Von der Einheit der Musik, 260; translated in Essence, 93. I have substituted the bracketed text for Ley's "if it were a question of the paraphrase..."; "suggestive"; "pathetic"; "followed by variations" and "bull-ring."

⁵⁵ In an apparent nod to Liszt, Busoni closed the coda work with staccato octaves reminiscent of the *sotto voce* opening of Liszt's B minor Sonata.

⁵⁶ Busoni, Letter to Philipp Jarnach (1892-1982, assistant and pupil of Busoni), March 10, 1920, trans. in Beaumont, Letters, 305.

⁵⁷ Busoni, Letter to Hugo Leichtentritt, May 25, 1920, trans. in Beaumont, Letters,

There is more to this pastime than meets the eye.

Analysis: Sources and Recomposition

The two elements on which I will focus are the crucial choice of main material and the manner of melodic and harmonic recomposition. Busoni describes his use of the sources in a straightforward sectional outline:

The little Carmen fantasy (Sonatina super Carmen) is finished. – It is 12 pages long, with five themes and four short sections.⁵⁸

Figure 8-6 delineates the realization of this plan:

310.

⁵⁸ Busoni, Letter to Philipp Jarnach, March 22, 1920, trans. in Beaumont, Letters, 306.

Figure 8-6: Carmen Fantasy, sectional construction and disposition of the sources

<u>mm.</u>	<u>Section</u>	<u>Indication</u>	<u>Source</u>	<u>Key</u>
1-81	1	Allegro deciso	Act III. Scene 2 marketplace	A
82-102	2	Andantino	Act II, Flower Song	Db
102-109	link	un poco stretto	combination of Flower Song -- and closing section of Prelude ("Carmen" theme)	--
110-135	3	Allegretto tranquillo	Act I. Habanera, part 2	Db
136-168	var.	Tempo della Habanera	Habanera, part 1 variation	Dm
169-186	link	Tempestoso	Prelude, fragment	---
187-240	4	Allegro ritenuto	Prelude	A
241-256	link	mormorando	free	---
257	coda	Andante visionario	combination of Flower Song and closing section of Prelude ("Carmen" theme)	Am

On this framework, Busoni hangs interpretive layers that reveal his view of the opera's essence. One aspect of his paraphrase is harmonic structure: the original key of the "Flower Song" is retained (Db), but the "Habanera" begins a half-step lower than the original. José and Carmen are now linked by the same tonic. By choosing only these two arias, the composer maintains attention on the two main characters.⁵⁹

⁵⁹ Thus, in the Prelude music, he omits Escamillo's popular "Toreador" song. This decision may reflect Bizet's opinion of the song: "So they want trash? All right; I'll give them trash." Mina Curtiss, Bizet and His World (New York, 1948), 390. Cited

Following one tradition of the “reminiscence,” this work follows a retrospective route through the opera: Act III, II, I and, lastly, the Prelude.⁶⁰ This is an effective interpretation of a work that is often described as a propulsive ride toward an inevitable conclusion. Heard last, the ominous music at the end of the prelude represents both its reappearance in Act III and its initial portentous role.

The opening of the Fantasy is a straightforward, pianistic version of the marketplace music, altered only by registral shifts and canonic treatment. More interesting is the melodic recomposition of the “Flower Song” and the harmonic recomposition of the “Habanera.” These processes are the focus of the remaining analysis.

A precedent for Busoni’s improvisatory treatment of the “Flower Song” was seen in the recomposition of the Fughetta (BWV 703) that appears in the Fantasia nach Bach. In both this work and the Carmen Fantasy, the original is reshaped through the reordering of original material and the addition of sequential statements. While the original Fughetta is expanded from 22 to 36 bars, the 46-bar “Flower Song” is distilled to 26. Busoni uses only 14 original bars—all from the first half of the song—and completes the reinterpretation through repetition and sequence. In Busoni’s version, the original mm. 1-8 (“*La fleur que tu m’avais jeté. . .*”) are followed immediately by mm. 17-20 (“*Je me prenais à te maudire, à te détester*”) (see Ex. 8-18). By reordering the first half of the aria, Busoni postpones the text in

by Susan McClary in Carmen (Cambridge, 1992), 46.

⁶⁰We have traced a similar retrospective route in Liszt’s Réminiscences de Don Juan. See Chapter Two, 162-163.

Ex. 8-18: Bizet. *Carmen*, opening section of "Flower Song." showing Busoni's reordering—the basis for his melodic recomposition

Andantino

Busoni: first phrase

La fleur que tu m'a- vais je - té - e Dans

ma pri-son, m'é-tait res - té - e, Flé - - trie et sè - che, cette

fleur Gar-dait tou - jours sa douce o - deur, **Busoni skips to m.17** Et pen -

dant des heu - res en - tiè - res, Sur mes yeux, fer-mant mes pau -

piè - res, **Busoni: third phrase with new consequent** De cette o - deur je m'eni - vrais **Busoni: fifth phrase** Et dans la

nuit je te voyais' **Busoni: second phrase with added sequence** Je me pre - nais à te mau -

di - re, A te dé - tes-ter, à me di - re

which José sings of the sensual connection between the flower and Carmen, and moves directly to the flip side of his obsession with her: “cursing” and “hating.” In a microcosm of the large-scale reverse structure, hatred precedes adoration.

While Busoni’s original plan called for the addition of the “Carmen” theme (alternatively known as the “fate” motive) to the marketplace music at the opening, the theme first appears in the link between the “Flower Song” and the “Habanera.” José’s phrase, “*et dans la nuit je te voyais*,” is extended sequentially and combined with the “Carmen” theme to create this link (mm. 102-109 in Figure 8-6). We have seen this use of thematic combination to create linking areas in both the Fantasia nach Bach and the Indian Fantasy.

Reverse procedures continue to play a role in the setting of the “Habanera.” While the original begins in D minor and alternates with a contrasting section in the parallel major, the Fantasy first uses the major section—(m. 110ff., now in D-flat) and ends with a d-minor variation on the original opening section (m. 135ff. in Figure 8-6) (see Ex. 19 and Ex. 20). As noted above, by starting with the major section, Busoni keeps the music of José and Carmen in the same key.

Within the major section, recomposition takes a harmonic turn: the chromaticism of the melody infiltrates the chord structure. This is most visible in the fourth and fifth bars of the melody where Bizet’s diatonic supertonic chord is transformed into a diminished triad. This dissonance is enhanced by Busoni’s addition of the fifth above the tonic pedal, which produces vertical minor seconds with the flatted fifth of the Π^0 (mm. 115 and 117 in Ex. 20). In this reverted

Ex. 8-19: Bizet, "Habanera" from Carmen
(continued next page)

The musical score is for Bizet's "Habanera" from the opera Carmen. It consists of three systems of music. The first system shows the vocal melody and piano accompaniment. The second system introduces a duet between Soprano (Sopr.) and Tenor (Ten.) voices, with piano accompaniment. The third system continues the vocal parts and piano accompaniment. The score includes French and English lyrics, musical notation with notes, rests, and ornaments, and performance instructions such as *espress*, *pp legg.*, and *diabolically superlative*.

espress

plait. hold. *pp legg.* *espress*

Sopr. L'a - mour! That's love for

Ten. L'a - mour est un oi-seau re - bel - le Que nul ne peut ap - pri - voi - sly, it - can be

L'a - mour est un oi-seau re - bel - le Que nul ne peut ap - pri - voi - sly, it can be

mour! you, That's love

ser, bold. Et c'est bien en vain qu'on l'ap - pel - le S'il lui con - fas - ci - nate, love can tease, - Its whims and

ser, bold. Et c'est bien en vain qu'on l'ap - pel - le S'il lui con - fas - ci - nate, love can tease, - Its whims and

diabolically superlative

18177

Ex. 8-19, continued

46

p

la mour! L'amour est en - fant de Bo - hème. Il na ja
 for you! A heart in love is quick ly burned. It knows no

vient de re - lu ser!
 moods are thou - sand fold.

vient de re - lu ser!
 moods are thou - sand fold.

mais, jamais connu de loi. Si tu ne m'ai - mes pas, je t'ai - me; Si
 law ex - cept its own de - sire. If I should love you and you spurn - me, I'm

je t'aime, prends garde a toi! Si tu ne m'ai - mes pas, si
 warning you, you play with fire! If I'm in love with you, don't

Prends garde a toi!
 You play with fire!

Prends garde a toi!
 You play with fire!

pp

12117

Ex. 8-20: Busoni, *Carmen Fantasy*, "Habanera": (1) reversal of key scheme: opens with the major section—(m. 110ff., now in D-flat)

Allegretto tranquillo
(quasi lo stesso tempo)

dolce, vagamente

con i due Pedali

con grazia

più con grazia

sempre dolcissimo

con 2 Pedali

sostenuto

(2) diminished triad

(3) added fifth

(4) diatonic segment

chromatic segment

(2) Bizet's diatonic supertonic chord now a diminished triad; (3) addition of the fifth above the tonic pedal produces vertical minor seconds with the flatted fifth of the Π^0 (mm. 115 and 117); (4) combination technique like that at the end of the Flower Song: intertwines the diatonic and chromatic segments of the major section (mm. 119-126)

interpretation. Carmen's declaration of control over her lovers is undermined by the knowledge that she will not survive this one.

Using a combination technique similar to that at the end of the Flower Song, Busoni intertwines the diatonic and chromatic segments of the major section (see mm. 119-126 in Ex. 20). The succeeding variation begins innocently yet its harmonies become increasingly dissonant. The chromatic bass line is insinuated into the transition where it is joined with fragments of the ensuing Prelude music.

Based on the *Andante moderato* section at the end of Bizet's Prelude, the *Andante visionario* forms a bleak coda to the Fantasy. Where Bizet relieved the tension of the theme with a diatonic consequent, Busoni interrupts the resolution with a second statement of the theme. He adheres to the chromatic slippage of the Carmen theme, emphasized by the combination of this theme with the chromatic descent of the "Habanera." Thus developmental techniques continue to produce recomposition.

In sum, this analysis of the Carmen Fantasy demonstrates important features of the fantasy tradition. Like the sonatina with which it is subtitled, the work avoids a discrete development section. As in the fantasy, developmental techniques are crucial, particularly in the thematic combinations in the linking areas. This results in a recomposition that resembles improvisation.

Thus we see that the three examples examined in this chapter—representing Busoni's fantasies composed on existing themes—provide compelling test cases for my model for the fantasy. From the cluster of traits that I have established throughout this study, the Busoni examples share the following features: variation; elaborate

linking areas: vocal source material: and the semblance of improvisation produced by interruption and developmental processes. Additional features from the model are found in the individual examples. These include: the form-giving system of recurring motives in the Indian Fantasy, the mixture of rondo and variation form in the Fantasia nach Bach and the reverse procedure of the reminiscence in the Carmen Fantasy. Clearly, these works are important indicators of the state of the genre in the decades before 1920.

CONCLUSIONS

The fantasy is indeed a genre and a form. We have identified a specific cluster of features in examples of the genre and in discussions of the fantasy in nineteenth-century treatises. Thus we have refuted the view that either the fantasy has no predictable features or that it conforms to a traditional formal outline. Instead, we have demonstrated the usefulness of a model of family resemblance.

From the study of fifty instances, four processes have been identified. These are: reference to established forms, often ternary, rondo or variation; the pervasive role of developmental processes; the imitation of improvisation through discontinuities created by contextual and constitutive interruption; and an emphasis on linking areas in general, and particularly in fantasies on existing themes. From the examination of treatises of Schilling, Mendel Czerny, Marx, Lobe, Riemann and d'Indy, four more features emerge: recitative style, variation techniques, cyclic organization and generic mixture.

Our discussion of related titles (capriccio, fantasy-piece, arabesque, rhapsody and toccata) and of compound titles (waltz fantasy, symphonic fantasy, fantasy overture, concert fantasy and sonata fantasy) shows that these titles hold specific meanings for critics and composers. These meanings are often demonstrated in the overlap of formal features between the fantasy and the related genres. Our sketch of fantasies and fantasy-related works by Wagner, Richard Strauss and Brahms affirms the continuity of formal features of the fantasy into the late nineteenth century.

We have discerned a pattern in the secondary literature. Scholars continue to restrict the fantasy genre to established forms, even though such models often prove

inappropriate. A striking result of this response has been the evolutionary view that, starting in the early nineteenth century, fantasies took on an increasing likeness to established forms. I have shown that close readings do not support this generalization.

The pressure to force the fantasy into a fixed form often results in the marginalization of works that do not fit that mold. For example, Beethoven's rarely-heard Fantasy, op. 77 demonstrates specific processes from the fantasy genre, and it certainly merits a place in the canon alongside those fantasies that display obvious connections to fixed genres. Beethoven's idea of the fantasy cannot be narrowly restricted to a progression toward greater formal control.

By examining critical opinion that equates all fantasies with the much-maligned potpourri, we have heightened the contrast of the fantasy and another neighboring genre: the exalted sonata. The view of the fantasy as a negation of sonata form looms large in the nineteenth-century historical overview of the fantasy.

The tendency to view the fantasy as a negation stems from the fact that the fantasy is often addressed only in relation to fixed forms. A central paradox is that despite the great prestige of the sonata, the fantasy was often viewed as the ultimate challenge—a challenge closely tied to notions of independent form. It is something of a contradiction then, that even though many treatises define the fantasy as, in effect, a “non-sonata,” examples of the genre are often assessed against that model. One reason for this phenomenon is that the elevation of the sonata was matched by the fear that it could be toppled from its throne. This fear is visible in the incendiary language that was

used by some writers in response to the advent of program music, a development that was presumed responsible for excessive formal license in the fantasy.

The test cases in the final chapters demonstrate the usefulness of a flexible model for the genre. The analyses support a challenge to the critical presumption that late-nineteenth century works titled *fantasy* are fantasies in name only; i.e. they can be expected to follow a conventional formal plan. This challenge is reflected in the individual approach to form in each of the works examined in this study.

In particular, Tchaikovsky's Fatum, Francesca da Rimini, Romeo and Juliet and Hamlet demonstrate varying degrees of independence from sonata form. Designated *fantasy* by the composer, the first two are the most independent: Fatum pursues an arch form and Francesca is created from a mixture of ternary form, theme and variation and central episode. The two hybrids—*fantasy overtures*—show opposite allegiances. In Romeo and Juliet, the overture is the stronger presence. Here, fantasy is more a mode than a kind, sometimes masking but never overpowering sonata form. In Hamlet, the flexibility of the compound title allows fantasy to become the kind, as the developmental processes associated with the fantasy come to the fore and the structural components of the overture are suppressed.

Tchaikovsky's Concert Fantasy and Bruch's Scottish Fantasy share five features from the fantasy cluster: the use and mixture of variation and rondo forms, the prevalence of development, the semblance of improvisation, sudden harmonic juxtapositions, and virtuosic solo writing. The two works differ in that the Scottish Fantasy represents the subcategory of fantasies on existing themes, in which the role of linking areas receives greater emphasis. The generic connection to recitative is also

illustrated in this work. The Concert Fantasy highlights episodic form akin to the tableaux of Tchaikovsky's ballet music. Therefore, discontinuity—both within and between sections—is a crucial feature.

All three examples by Busoni exhibit the following features: variation; elaborate linking areas; vocal source material; and the semblance of improvisation produced by interruption and developmental processes. Additional features from the model are found in the individual examples. These include: the form-giving system of recurring motives in the Indian Fantasy, the mixture of rondo and variation form in the Fantasia nach Bach and the reverse procedure of the reminiscence in the Carmen Fantasy.

By offering an alternative to the either/or fallacy (i.e., that the fantasy has either fixed form or no form at all) we free the fantasy from the expectations of sonata form. Thus we eliminate the analytical gymnastics that are compelled by many analyses in the literature of the fantasy. Since each fantasy reflects different combinations of features from the shared cluster, the instances demonstrate the need for the flexible model of family resemblance. Despite their differences, each work highlights a group of features from the cluster. Thus the instances can be considered within the form and genre of the fantasy. And the very existence of shared features supports the notion of a rich historical understanding of the genre on the part of its composers.

APPENDIX

ORIGINAL LANGUAGE CITATION

A. B. Marx, Die Lehre von der musikalischen Komposition, Leipzig: Breitkopf und Härtel, 1837-38, 3rd. ed. 1857, vol. 3, 335-40.

ACHTER ABSCHNITT: Die Phantasie

(p. 335) Überall haben wir, von einer Grundform als Kern eines ganzen Formengebiets ausgehend, eine Reihe von Gestaltungen gefunden, die sich von jener Grundform aus mannigfachen Gründen mehr und mehr loszulösen, zu emanzipiren suchten, selbst bis zur Gränze einer andern Form und über sie hinaus. So hat sich auch in der letzten Reihe von Fällen ein immer grösseres Loslösen von der Grundform der Sonate ergeben, so dass in den letzten vom Begriff der Sonate im Grunde doch nur das Allgemeine bleib: sie sei ein Inbegriff verschiedner selbständig geformter und abgeschlossener, durch eine das Ganze durchdringende oder schaffende Idee und Stimmung einheitlich zusammengehöriger Sätze. Und auch das nicht: mehrmals fanden wir das Adagio nicht selbständig abgeschlossen: sogar die Bildung einzelner Sätze, z. B. des ersten in der zuletzt erwähnten Komposition, wich von den regelmässigen Formen mehrfach ab.

So sind wir denn in der That bereits zu dem Punkte gelangt, wo wir jede der bisher festgestellten Formen, – Satz und Gang, Lied und Fuge, Rondo und Sonata, und wie wir sie sonst noch nennen und gegen einander stellen mögen, – frei ergreifen und frei wieder verlassen, wie uns die höhere Idee eines grössern Ganzen oder auch die ziel- und fessellos schweifende Laune gerade eingiebt. Wissen wir doch (Th.II, S.93) längst, dass sich willkürlich reiche Zahl von Liedsätzen, – etwa wie eine Folge (p.336) lyrischer Gedichte, oder wie eine unbestimmt weit gehende Folge von Gestalten im

Basrelief. – an einander reihen lässt, nur durch eine allgemeine Idee oder Stimmung, vielleicht gar nur durch einende Modulation zusammengehalten. Einer solchen Folge fehlt die gedrungne Kraft einer ihren Inhalt mit und durch einander verarbeitenden und innerlichst einenden Form. Aber nicht überall ist diese Kraft, folglich die sie hervorbringende Form Bedürfniss. An die Stelle jener fest ausgeprägten Formen kann eine tiefere, kräftig einende Idee andre frei gewählte und frei wechselnde setzen. Und zuletzt hat im heitern Kunstleben auch das leichte Scweiften und Umherirren sein gutes Recht, ohne Ziel und Zweck als sich selber.

Hiermit erst, – indem wir erkennen, dass es möglich und statthaft sei, jede voraus bestimmte Form aufzugeben, daranzugeben an die Freiheit unsers Geistes, der kein andres Gesetz erkennt, als sich selber, – hiermit erst ist die ganze Formenlehre an ihr Ziel geführt, sind wir in und mit ihr und durch sie frei geworden. Es ist aber das nicht die vermeintliche Freiheit des Ungebildeten, der in seiner Armuth und Beschränktheit sich frei dünkt, weil er nicht vorauszusehn vermag, wie oft und wie überall er auf die Schranken und in die Irr- und Rückgänge seiner Wegesunkunde gerathen wird, sondern die sichere Freiheit dessen, der alle Richtungen und Wege kennt, folglich jeden mit dem andern vertauschen, auch wohl querfeldein gehn kann ohne Gefahr sich zu verirren.

Die Gestaltungen, in welchen sich dieser letzte Schritt zur Freiheit thut, fassen wir mit dem Namen Phantasie zusammen, ohne weitere Rücksicht auf die bisweilen nebenbei aufgeführten Namen der Tokkate (wenn sich in der Phantasie ein besondrer Spielreichthum zeigt), des Capriccio (wenn besonders eigensinnige Gedanken oder Spielweisen geltend werden), des Potpourri (meist ein Ragout aus Andrer Schüsseln) und andrer, die den besondern Inhalt der Komposition unterscheiden sollen.

Es liegt im Begriff der Sache, dass die Phantasie keinen bestimmten Weg gehn, keine bestimmte Form haben kann; denn ihr Wesen beruht ja eben darauf, von jeder bestimmten Form abzugehn. Daher ist auch für sie schlechthin gar kein Gesetz, nicht einmal das zu geben: dass ein Hauptton festgehalten oder zuletzt wiedergebracht werden müsse. -- obgleich das Letztere meist zutreffen mag. Wir können vielmehr beobachten, dass die Gestalten der Phantasie von einer festen, nur frei gewählten Formung an bis in das freieste Sichgehnlassen wechseln, werden also auch gefasst sein müssen, hier wie auf jeder Formgränze Gestalten zu (p.337) begegnen, von denen sich gar nicht mit Bestimmtheit sagen lässt, ob sie hüben oder drüben zu Hause sind.

So hat Beethoven zwei Sonaten (Es dur und Cis moll, Op.27) den Beinamen "quasi una Fantasia" gegeben, um die Abschweifung von der festern und vollständigen Sonatenform anzudeuten, es liegt in der Benennung selbst ausgesprochen, dass sich nicht habe festsetzen lassen, ob die Kompositionen Sonaten oder nicht vielmehr Fantasien seien. [The portion translated in Chapter Three continues from p.339.]

(p.339) Bloss das Eine sei angemerkt, dass aus hastig, unstät vorüberjagender Tonflucht sich endlich feste Harmoniemassen emporheben und als Hauptpartie der Fantasie ein tief bedeutungvolles Rezitativ gar Viel zu klagen und zu erzählen hat, ehe die Fuge ihren festern Gesang anstimmt und denselben zur Macht eines grossinnig klagenden Hymnus emporhebt.

Hier deutet schon die wesentlich nicht der Instrumentalmusik eigne Form des Rezitativs an, dass dem Tondichter wohl eine bestimmtere Idee vorgeschwebt haben müsse. Ein Gleiches liesse sich von der zuvor erwähnten Cis moll-Sonate von Beethoven nachweisen, deren drei Satze eine durchaus psychologische Folge von Seelenzuständen

enthüllen. Gleichen Antrieben, jedoch von ganz abweichendem Inhalt, ist der Verfasser sich bewusst, in seinen vierhändigen Fantasien "Um Mitternacht" und "Am Nordgestade" gefolgt zu sein. Das Fugato, das die erstere eröffnet, der Uebergang desselben zu einem Arioso oder Monolog, der heftige Allegrosatz, in dem Liedform und Doppelfuge sich mischen, die Erinnerung an den Anfang: das Alles möchte wohl nicht ohne innere Nothwendigkeit so geworden sein, da äusserlich bequemere, annehmlichere, gewohntere Gestaltungen näher oder eben so nahe gelegen hätten. Allein dem Künstler stellen sich bisweilen andre Aufgaben, als die zunächst liegenden und zunächst fasslichen: er geht nicht ihnen, sie gehen ihm nach und er muss ihnen gehorchen.

In andern Fantasien ist eine bestimmtere Idee nicht nachweisbar; wenigstens wüsste der Verfasser sie in der andern Sonata quasi una Fantasia (aus Es dur) von Beethoven, in den zahlreichen Fantasien Seb. Bach's (mit Ausnahme der chromatischen), so wie in Mozart's Cdur- und dessen grosser Cmoll-Fantasie nicht aufzufinden. Hier waltet eben die fessellos schweifende Phantasie des Tondichters und reiht Stimmungen an einander, die sich nicht weiter haben bestimmen lassen. Es tritt hier die andre Seite der Musik (und des Seelenlebens) hervor, die nicht sowohl aus Anregungen zu bestimmtem Gefühlen und Vorstellungen vorschreitet, sondern vielmehr umgekehrt das Feste, das in Bewusstsein oder Stimmung vorhanden war, auflöst und wie im Halbschlummer oder Traum Eins um das Andre vorüber- und dahinschwinden lässt auf den luftigen Tonwellen und gleich ihnen.

Man würde eben so arg fehlen, wenn man diese oft so reizvollen, oft wahrhaft beseligenden Träume verbannen oder gering achten, als wenn man jene Bildungen von bestimmter Inhalt verkennen wollte, oder gar der Tonkunst die Fähigkeit dazu

abzusprechen sich unterfinge: alle Meister ohne Ausnahme haben für Beides (wenn auch nicht alle in der Form der Fantasie) Zeugniß abgelegt. Jeder Künstler nimmt, was ihm gegeben oder in ihm gezeitigt wird, dankbar und pflichttreu auf und bildet es mit Liebe und Hingebung aus. Am wenigsten ziemt es dem Jünger, Eins oder das Andre zu suchen oder zu bannen. Ohnehin ist ihm aber die Fantasie keine zur Uebung gestellte Form. -- das absolut Frei kann nicht nach Vorschrift gebildet werden, -- sondern nur eine solche, die er kennen muss, die im Kreise der gesammten Formen nicht übergangen werden durfte.

Das endlich gar oft Künstler unter dem Titel von Fantasien, auch mit bestimmter Angabe des Inhalts, bei ihren Kompositionen Gemüthzustände und Vorstellungen im Sinne getragen, die musikalisch zu offenbaren ihnen nicht gelungen oder überhaupt nicht möglich war (man denke an so viele Schlacht- und Naturgemälde älterer Tonsetzer, an die zahllosen Souvenirs de Paris u. s. w. unsrer Virtuosen, an die parfümirt-poetisirenden Titel oder andeutenden Motto's aus "Faust" oder andern Gedichten in neuster Zeit) kann und soll nicht geleugnet werden. Allein beweist das Misslingen oder Irren in noch so viel einzelnen Fällen etwas gegen eine ganze aus dem Wesen der Kunst und so viel gelungenen Werken vollkommen festgestellte Kunstrichtung? -- Oft sogar liegt das scheinbare Verfehlen nur in einer nicht bezeichnend genug gewählten Andeutung des Inhalts, oder in der Natur desselben, wenn dieser zwar ein künstlerisch darstellbarer, aber dem Vorstellungskreis der Meisten weniger naheliegender ist. Denn allerdings ist jenes Wort Goethe's

Wer den Dichter will verstehn,
Muss in Dichters Lande gehn

nicht Jedermanns Sache: und stets hat das dem Gewohnten Näherliegende, das Leichtfassliche, das Alte unter dem Scheine der Neuheit vor dem Tiefem, Fremdem, Neuen die erste und ausgebreitetste Gunst davon getragen.

Wie es sich aber auch damit verhalte (die Musikwissenschaft wird darauf ernstlicher eingehn müssen), so liegt doch in der Zweifelhaftigkeit solcher Unternehmungen hinlänglicher Grund, den Jünger nicht zu ihnen hinzulocken, sondern eher von ihnen abzumahnern, – bis innere, unabweisbare Nothwendigkeit ihn dahin zieht).

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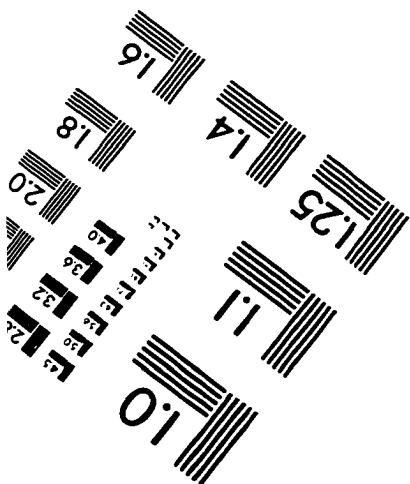
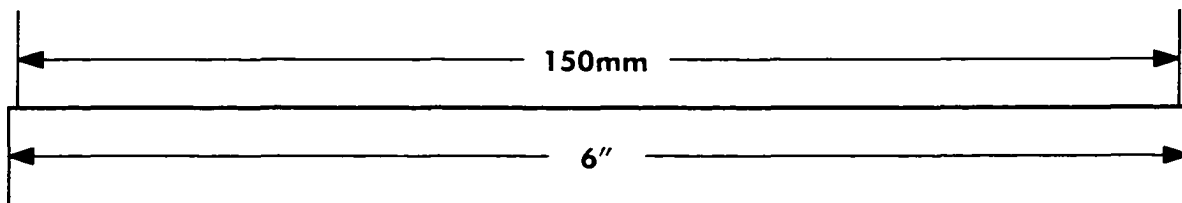
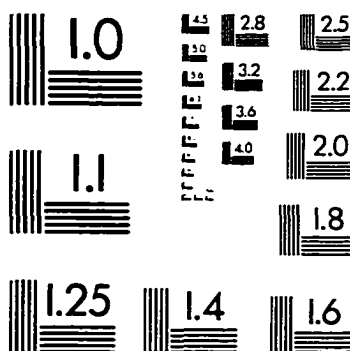
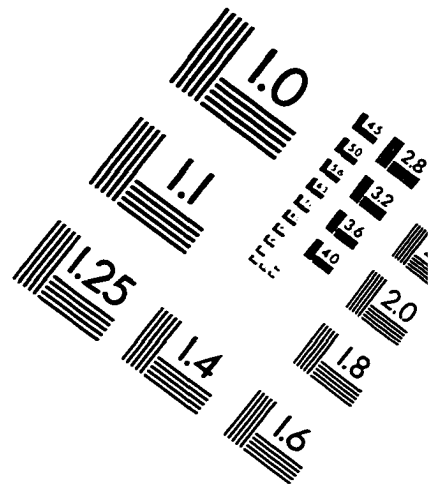
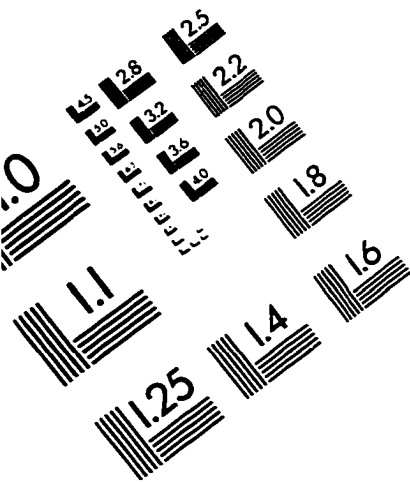
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IMAGE EVALUATION TEST TARGET (QA-3)



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