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**IMPROVISATORY, COMPOSITIONAL AND PERFORMANCE ISSUES IN
CHOPIN'S BERCEUSE, OP. 57**

by

SARAH GRUNSTEIN

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

2005

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ABSTRACT**IMPROVISATORY, COMPOSITIONAL AND PERFORMANCE ISSUES IN
CHOPIN'S BERCEUSE OP. 57**

by

SARAH GRUNSTEIN**Adviser: Professor Richard Kramer**

The performance of Chopin's music presents a myriad of challenges for the present-day pianist. Among them are issues relevant to the stages and fluidity of Chopin's compositional process, his improvisatory style, the interpretation of his phrase markings, his use of the pedal, and rubato. The questions that confront the pianist are further complicated by the occasional presence of contradictory indications among the sources in Chopin's hand and in the first editions, by the particular nature of certain markings (phrasing and hairpin dynamics), and by features whose very nature defies notation, such as the inherent improvisatory elements of his aesthetic, and rubato.

How then, are we to understand Chopin's score? That is the fundamental question asked by this dissertation. Focusing on the Berceuse, my study will examine the sketch, the autograph, its contemporary sources, and Chopin's corrected copy through to the editions and recordings of the first generation of recording pianists.

My dissertation is based on the premise that the improvisatory element of Chopin's style permeated every aspect of Chopin's creativity, from his notations on the page to his pedagogy and his playing. My investigation traces the connections between the improvisatory nature of the Berceuse and Chopin's inherited tradition of improvisation as taught by principals in the Bach circle, locating the parallels of such improvisatory practices in the field of rhetoric. The study of the sources in Chopin's hand and the first editions reveal the principles of Chopin's style and the hierarchical nature of these principles. My discussion of the editions and performances of the first generation of recording pianists focuses on those aspects inherent in Chopin's music that defy notation: the improvisatory elements, and the nature and use of rubato, all of which come under the umbrella of the ownership of the work in the pianist's hands. A final perspective seeks to address how we relate these findings to Chopin, at once the composer and pianist.

The dissertation includes a CD of Raoul Pugno, Ignaz Friedman, Leopold Godowsky, Alfred Cortot and Ignaz Paderewski.

*To the memory of my mentor
Nancy Salas
who taught me how to play
what is not on the page.*

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One of the most significant topics of this dissertation is the question of how music affects the mind, the ear, the hand and the memory. Indeed it is through these entities that the pianist is guided by the teacher – whether or not the teacher is a pianist, and long after the “lesson” has ceased. As such, the inspiration of those teachers and musicians who have influenced me the most – in my playing and in my thinking – lies at the heart of my text. Here I speak of Nancy Salas and Betsy Brown (Sydney Conservatorium), John O'Donnell (now at Monash University), Sascha Gorodnitzki, Herbert Stessin, Michael White, Larry Alan Smith and Vincent Persichetti (all of the Juilliard School), Lev Natochenny (now at the Frankfurt Hochschule), Greville Rotherton (assistant to Claudio Arrau), Malcolm Bilson and John Hsu (Cornell University), Raymond Erickson and Leo Treitler (City University of New York), and Joel Lester (now at the Mannes

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ABBREVIATIONS

Bibliographical abbreviations


CPT Eigeldinger, Jean-Jacques. *Chopin: pianist and teacher – as seen by his pupils*. Cambridge: Cambridge University Press, 1986.

General abbreviations

LH, RH left hand, right hand

MS, ms manuscript

Terminology

hairpin hairpin dynamic: > or 

INTRODUCTION

A. Overview

How are we to understand Chopin's score? What can the score tell us about the musical work, its history, Chopin the composer, Chopin the pianist, and our performance of Chopin? These are the fundamental questions asked in this dissertation. My study will examine the sketch, autograph and corrected copy of the Berceuse through to the early editions and recordings of the first generation of recording pianists. My goal is to investigate what Chopin's score indicates to the pianist and the scholar through a study of what is, and is not, notated. My focus will address the issues that challenge the pianist of our time: in effect, those relevant to Chopin's improvisatory style, his compositional process, his markings, his phrase notations, use of the pedal, and rubato.

The Berceuse provides an invaluable case study for an investigation into compositional and performance issues in Chopin's music. First, it is one of Chopin's few compositions for which the sketch, autograph and corrected copy survive. Second, because of its widespread appeal, the Berceuse appeared in a number of early twentieth-century editions by outstanding pianists. And, perhaps due to its popularity and brevity, it was frequently recorded by those same pianists who published editions of the work.

The advantage of using such a set of materials in this inquiry is that it enables us, as interpreters of Chopin's music, to ask questions that are otherwise very difficult to explore. Not only do the sources in Chopin's hand provide significant insights into his compositional process and pianistic aesthetic, but the early editions and recordings of the first generation of recording pianists offer a historical window into a performance tradition that was closely connected to Chopin's style. The Berceuse is particularly

interesting, not only because it is Chopin's only essay in that genre, but because of its seemingly improvisatory nature. As such, my investigation will also explore the improvisatory nature of Chopin's compositional and keyboard style, a reflection of the important role improvisation played in his creativity.

My inquiry will focus on the compositional and performance issues from a historical perspective, with respect to Chopin's inherited compositional and keyboard tradition, his own performance and teaching; second, the evolution of Chopin's markings in the first editions of the Berceuse (1845); and third, the subsequent editions and recordings of the Berceuse.

First, I will view the compositional issues in the context of the following:

- (a) the historical background of the Berceuse as "les variantes";
- (b) the historical connections between the keyboard variation and improvisation; Chopin's inherited keyboard tradition with regard to pianistic issues such as texture, the pedal, and the improvisatory;
- (c) issues among the sources in Chopin's hand: the fluidity of his handwriting in the sketch, the layout of the sketch, and the sequential order and nature of certain markings. While Nowik has explored some of the compositional issues with respect to the sources in Chopin's hand, his discussion does not provide the pianist with much guidance.¹ My discussion will address these issues from the deeper historical perspective described above.

The second stage of my study focuses on the Berceuse in publication. Following my investigation of the evolution of Chopin's markings in the first editions, I will explore

¹ Wojciech Nowik, "Fryderyk Chopin's op. 57 – from *Variantes* to *Berceuse*," in *Chopin Studies 1*, ed. Jim Samson (Cambridge: Cambridge University Press, 1988), 25-40.

the recorded performances and editions of the Berceuse by the first generation of recording pianists with respect to the relationship of their performances to the text.

Of course, there is always the prospect of variability between performance and notation, even if a performer were to perform the work and create his edition on the same day.

That possibility speaks to the very essence of performance. However, such variabilities are not the issues I have in mind. My fascination lies in the interpretative deviations that are extremely difficult, or perhaps impossible, to notate:

- (a) the nature and use of rubato, which might occur in any of the following contexts: the taking of time to express a phrase, dynamic, or articulation marking; the delay in expressing notes of the right hand melody; the difference, or shift, in tempo, within a phrase, or between adjacent phrases, or sections;
- (b) the use of the pedal (outside the notational scope of “where” the pedal is depressed and released), to create distinct sonorities within the structure, or to conceal a level of the structure;
- (c) the creation of distinct sonorities through various combinations of the hand, the foot, and the temporal;
- (d) temporal and textural issues in the fioraturas;
- (e) the fanciful addition of notes, and other textual alterations;
- (f) the temporal and textural shift of the coda.

The following questions will arise: were these issues conveyed in notation by the pianists as editors, and if so, how? How do they perceive the significance of Chopin’s text? Can we relate these questions to the handwritten notations and page landscape of

the sources in Chopin's hand, and, finally, to the etymological connections between Chopin's designations "les variantes" and "Berceuse"?

B. Outline

Chapter 1 offers a historical perspective on the nature of Chopin's Berceuse, its history (inclusive of Chopin's two designations, "les variantes" and "Berceuse"), and Chopin's inherited keyboard tradition. My discussion will focus on Chopin as improviser, the variational and improvisatory aspects of the Berceuse as genre, their historic interconnections, and rhetoric.

Chapter 2 examines the compositional process of the Berceuse, from the sketch to the autograph sources. Does the sketch provide further perspective on the work's two designations, "les variantes" and "Berceuse"? I will not only refer to Nowik's discussion of these issues, but will pose additional questions with respect to the historical and performance contexts.² At what point does the composition designated as "les variantes" become the "Berceuse," and what makes it so from the pianist's perspective?³ When does Chopin introduce phrasing, dynamics, pedal, and fingering? Can we make further sense of what they indicate by understanding when, and perhaps why they were introduced? What is the nature of Chopin's performance indications: are they detailed, are they final? What is the significance of his corrections? What do we learn by applying his pedagogical precepts to the sources in Chopin's hand, taking into account the markings he deleted?

² Nowik, "Fryderyk Chopin's op. 57," 29. While Nowik discusses these questions from a compositional point of view, I will discuss them from the pianist's perspective.

³ While Nowik discusses this question, my discussion presents not only the pianist's perspective but an entirely different point of view.

In Chapter 3 I explore the evolution of Chopin's markings in the first editions. Then I discuss the performances of those in the first generation of recording pianists who edited the Berceuse, namely Raoul Pugno, Ignaz Friedman, Leopold Godowsky, Alfred Cortot, and Ignaz Paderewski, with reference to their editions. I include in this chapter reference to the edition of the esteemed Chopin pianist, Vladimir de Pachmann. In the recorded performances I deal particularly with rubato, which necessarily encompasses the discussion of touch (the sound's surface), tone (the sound's depth), texture (the result of the first two) and sonority (the first three plus pedal). My focus lies in the following questions: how do the pianists express as sound their concepts of the Berceuse's structure? How do their performances relate to Chopin's principles of playing? How do the pianists perceive their role in relation to the score? How do we relate this role to Chopin the composer, and Chopin the pianist?

C. Motivation for this Study

While, as performer, I am inspired to understand as closely as possible the nature of Chopin's compositional and performance intent, it is not my goal to formulate conclusions about an "authentic" Chopin edition or performance style. In fact, the more I understand Chopin as composer, pianist, improviser and pedagogue, the more I am convinced that such a phenomenon is contrary to Chopin's own aesthetic.⁴ Indeed, Chopin's student Georges Mathias remarked, with a trace of irony, on this aspect of the "historic" regarding Chopin's own playing:

⁴ See Chapter 1, Section A: Chopin as Improviser.

Chopin, performer of genius, interpreted Mozart, Beethoven with the feeling of Chopin, and it was extremely beautiful, it was sublime. He was not of the category of critical or historic performers, which is not to say that the latter are unworthy: for not everybody can possess genius.⁵

As pianist, I am primarily concerned with how music affects the ear, the mind, the hand and the memory. Indeed this focus is an underlying thread in my dissertation, particularly with respect to the improvisatory nature of Chopin's music. My writing in this area is inspired by my interest in the history of musical sounds, the inquiry into how a sound was heard in its own time, and how this history can inform and inspire the pianist – in our performance, pedagogy and thought. It is under this umbrella that I discuss Niedt's pedagogy on variation, C.P.E. Bach's chapter on the fantasie, and the rhetoric of fantasie.

I strongly believe that our understanding, interpretation, conviction, and therefore performance are shaped at least as much by the questions we ask, as by the answers. The Berceuse offers a unique window not only into the meaning of Chopin's notations and performance, but into the historical inter-relationships among the sources in Chopin's hand, his own performance and pedagogy, and the editions and performances of his works in the first generation of recorded pianists. My goal, through this historical inquiry, is to come closer to an understanding of Chopin's compositional and performance style – the two are not necessarily distinct – and to enhance the interpretative palette, not only of the pianist, but for all who have an interest in understanding Chopin.

⁵ Georges Mathias, Preface to *Exercices quotidiens tirés des oeuvres de Chopin*, by Isidore Philipp (Paris: Hamelle, [1897]), 5. Quoted in Jean-Jacques Eigeldinger, *Chopin: pianist and teacher – as seen by his pupils* (Cambridge: Cambridge University Press, 1986), 277.

The topic, for the most part, was inspired by my strong sense that the Berceuse is an improvisatory work. That is to say, it sounds (to the ear) and feels (to the hand) as if improvised. This impression was strikingly reinforced when I first saw a facsimile of Chopin's sketch of the work (the nature of which forms the basis for Chapter 2): the sketch conveys, to my mind and eye as a pianist, that Chopin may well have improvised the Berceuse.⁶ The sense I describe is one John Rink refers to as the "musical understanding obtained when [the performer] knows a work as one knows a close friend or relation (prolonged contact yielding an almost intuitive "feel" for the other's character)."⁷ The challenge then was to find a way to explore the basis for this intuitive sense of the piece.

What leads me to my thinking about the Berceuse in this way is my earliest training at the piano with my first mentor, Nancy Salas, who was a pianist, harpsichordist, fortepianist and clavichordist. From her I learned, while very young, how to read and play the music of Bach and Mozart. (I might add that Miss Salas was just as likely to present her students in an evening of Bach Suites or *Mostly Mozart* as in an evening of Bartók Mikrokosmos or Stockhausen Klavierstücke.) Playing the inventions, fugues, suites, toccatas, partitas of Bach, and the sonatas, fantasies, and concerti of Mozart, I studied the execution of appoggiaturas, mordents, dotted rhythms, binary variants, improvised cadenzas, and the like. As I "absorbed" these features into my performance of eighteenth-century music, my understanding of the function and meaning of eighteenth-century notations developed. This process was supported by my

⁶ See Chapter 2, Section A.

⁷ John Rink, "Authentic Chopin: history, analysis and intuition in performance," in *Chopin Studies 2*, ed. John Rink and Jim Samson (Cambridge: Cambridge University Press, 1994), 214.

occasionally playing the harpsichord, clavichord and fortepiano in her home, to hear the music's sound and to feel its touch, and our occasional reference to the treatises. Miss Salas' goal was *not* to teach an "authentic" performance practice – after all, we were playing Bach on the piano – but to teach the music's meaning and context.

Some years later, during my studies with a most esteemed teacher at Juilliard, I played the Sinfonia of Bach's C minor Partita during a lesson. He exclaimed, "Dear, dear! You are not playing what is written!" He proceeded to demand that I play what was "written." Playing from memory, I found it impossible to recall the music as it was notated on the page. And even when I opened the score, I was unable to play the music, as written, with any conviction whatsoever. The experience, in its contradictions, was traumatic; its impact was lasting. There was one thing I knew for certain: Bach's notation invited the performer to "make the music his own" by adding various means of embellishment. It could not be cast in stone any more than we could place a value on the length of the dot. The notated score stood for an already existing sound entity (real or imagined), whose version was "fuller" than that notated, but was by no means "fixed" or "final." To perform with no embellishments robs the music of its unexpected delight and expressiveness. To perform the rhythms as notated gives them an exactness they do not have, voids them of their rhetorical emphases, robs them of their historical context, and the music of its affect. Without these unnotated entities, my ability to convey the improvisatory immediacy of the Sinfonia was defunct. Bach made "sense" on the page: structurally, harmonically, melodically, and rhythmically. But played as notated, Bach lost its contextual sense: its historical, rhetorical, expressive, decorative, and improvisatory sense. The musical work lies both in what is notated on the page, and what

is not notated. To understand the notation then, we must also look for what we cannot see.

How did Chopin, composer and pianist, view what he had notated on the page?

That is the question with this dissertation begins.

CHAPTER 1

A HISTORICAL PERSPECTIVE

The meaning of a score is best understood in relation to the historical perspective of the composition. Therefore, in this chapter I shall discuss the following:

- A. Composer as pianist: Chopin's improvisatory style.
- B. The nature of the Berceuse
- C. The history of the Berceuse.
- D. Chopin's inherited keyboard tradition.

A. COMPOSER AS PIANIST: CHOPIN'S IMPROVISATORY STYLE

"Chopin revised inveterately."¹ Yet the malleability of his creative inspiration extended beyond his notations. No textual meaning remained immutably fixed, whether on the page, in his playing, or in his pedagogy. Accounts of Chopin's performance and teaching substantiate this aspect of his style as much as the notations in his students' scores, the existence of variant manuscripts, and the co-existence of different versions, simultaneously published, of the same piece.² Among the differences we find variants in ornamentation, rhythm, dynamics, pedal, articulation, and, in his mazurkas and waltzes, structure. Below I offer a mere sampling of their scope:

(i) The existence of no less than fifteen variants in ornamentation among the annotations in his students' scores, for the Nocturne Op. 9, no. 2. Other changes include

¹ Jeffrey Kallberg, "The Chopin Sources: Variants and Versions in Later Manuscripts and Printed Editions" (Ph. D. diss., The University of Chicago, 1982), 1.

² See Eigeldinger, CPT, 55-56, 66, 74-75, 79-80, 84, 86-7, 125-7, 148-152, 212-214, 217-218, 221, 235. For a discussion of textual variants, see Jeffrey Kallberg, "The problem of repetition and return in Chopin's mazurkas," in *Chopin Studies I*, ed. Jim Samson, 1-23; and "The Chopin Problem': Simultaneous Variants and Alternate Versions," in Jeffrey Kallberg, *Chopin at the Boundaries: Sex, History and Musical Genre* (Cambridge: Harvard University Press, 1996), 215-230.

dynamics (such as the insertion of a *fortissimo* in the consequent of the phrase at m. 23-24 published as *piano*) and accent.³

(ii) In the Mazurka in D major Op. 33, no. 2 the autograph and all printed editions reproduce the dynamics in the third section (mm. 74-121) as identical to those in the first: *f-pp, f-pp, f-pp*.⁴ Yet the pianist Aleksander Michaelowski describes that Princess Czartoryska played the mazurka quite differently, just as Chopin had taught it to her:

I was struck by the way she interpreted its main theme. At first she played it in a brash forthright way, with no subtlety of nuance. It was only towards the end of the piece, at the theme's second appearance [bar 74 to the end], that she played it with a soft, caressing touch, utterly subtle and refined. When I asked her about this contrasting treatment, she replied that Chopin had taught it to her in that way: in this piece he wanted to present the contrast between the 'tavern' and the 'salon'. That was why he wanted the same melody played so differently: at the beginning it was to evoke the popular atmosphere of the tavern, and, towards the end, the refinement of the salons.⁵

Chopin's student Wilhelm von Lenz reinforces a similar image in the Mazurkas in C-sharp minor, Opp. 41, no. 1 and 50, no. 3, which "begin on the organ, and end in a pure salon atmosphere."⁶ We note that in each of these three mazurkas, by shifting to the "refinement of the salons" Chopin has altered the affect.

(iii) Chopin's performance of the Barcarolle in F-sharp major Op. 60, in which he played the final section not *forte* but *pianissimo*:

³ Eigeldinger, CPT, 77-79, 151, 257-261.

⁴ Eigeldinger, CPT 150, footnote 178.

⁵ Michalowski, Aleksander, "Jak grał Fryderyk Szopen?" [How did Chopin Play?], *Muzyka* ix, 7-9 (1932). Quoted in Eigeldinger, CPT, 75. Michalowski was a student of Chopin's student Karol Mikuli, and knew Princess Marcelina Czartoryska during her last years. See also Eigeldinger, CPT, 94.

⁶ Wilhelm von Lenz, "Die Grossen Pianoforte-Virtuosen unsere Zeit aus persönlicher Bekanntschaft. Liszt-Chopin-Tausig," *Neue Berliner Musikzeitung* XXII, 41. Quoted in Eigeldinger, CPT, 150, footnote 178.

At the last public concert he gave in Paris, at the [. . .] beginning of 1848, he played the latter part of his ‘Barcarolle,’ from the point where it demanded the utmost energy, in the most opposite style, *pianissimo*, but with such wonderful nuances, that one remained in doubt if this new reading was preferable to the accustomed one. Nobody but Chopin could have accomplished such a feat.⁷



Barcarolle in F-sharp major, Op. 60

(iv) An alternate version of the final measures of the Nocturne in C minor Op. 48, no. 1, and of the middle section of the Étude in E major, Op. 10, no. 3, both among the annotations in Jane Stirling’s scores.⁸ Such changes might be considered as an *ossia* for small hands, the purpose of which may have been to avoid tension in playing.

(v) Variants in formal schemes for Chopin’s mazurkas and waltzes, a topic discussed at length by Jeffrey Kallberg.⁹ As an example I include Kallberg’s diagram of the schemes for Op. 7, no. 2 published in his essay “The Problem of Repetition and Return in Chopin’s Mazurkas.”¹⁰ His diagram indicates the formal schemes in the manuscript presented to Emilia Elsner, the printed editions, and the score of his student

⁷ C. E. and Marie Hallé, *Life and Letters of Sir Charles Hallé Being an Autobiography (1819-1860) with Correspondence and Diaries* (London: Smith & Elder, 1896), 36. Quoted in Eigeldinger, CPT, 66.

⁸ See Eigeldinger CPT, 155 for a discussion of the Nocturne Op. 48, no. 1. See Kallberg, “The Chopin Problem” 224-226 for a discussion of the Étude Op. 10, no. 3.

⁹ See Kallberg, “The problem of repetition” and “The Chopin Problem.”

¹⁰ Kallberg, “The problem of repetition,” 9-10.

Camille Dubois, *née* O'Meara.¹¹ (His subscript '1' refers to a harmonically open ending; '2' to a harmonically closed ending):

Autograph:	i	: A ₁ A ₂ :	: BA ₂ :	CDC
Published editions:		: A ₁ A ₂ :	: BA ₂ :	C :DC: A ₁ A ₂ <i>or</i>
		: A ₁ A ₂ :	: BA ₂ :	C :DC : A ₁ A ₂ :
Dubois-O'Meara:		: A ₁ A ₂ :	: BA ₂ :	C :DC: A ₁ A ₂ BA ₂ <i>or</i>
		: A ₁ A ₂ :	: BA ₂ :	C :DC : A ₁ A ₂ : BA ₂

Kallberg summarizes the discrepancies as follows: the manuscript contains an introduction not present in the publications, lacks repeats and the *da capo* in the trio; it is unclear whether to take the repeat marked by the printed editions in the *da capo*; in the Dubois-O'Meara score, the *fine* is crossed out at m. 16 and placed in m. 32, though as Eigeldinger points out, its handwriting is apparently not Chopin's.¹² But the existence of this notation, possibly placed by Dubois, begs our consideration.

(vi) The variants between the two autograph scores and the Fontana edition of the Waltz in G-flat major, Op. 70, no. 1, discussed by Leo Treitler in his recent essay "Early Recorded Performance of Chopin Waltzes and Mazurkas: The Relation to the Text."¹³ In this case the autograph scores were found following Julian Fontana's posthumous publication: one is held by Yale, and the other was found in the Chateau de Thoiry near Paris by Byron Janis and published by him in 1978.¹⁴ Here we note the difference in

¹¹ Kallberg, "The problem of repetition," 9-10.

¹² Eigeldinger, CPT, 149. Quoted in Kallberg, "The problem of repetition," 9-10.

¹³ Leo Treitler, "Early Recorded Performance of Chopin Waltzes and Mazurkas: The Relation to the Text," *Journal of the American Liszt Society* 51 (2002), 55-78. See pp. 70-71 for the discussion of the Waltz Op. 70, no. 1.

¹⁴ Treitler, "Early Recorded Performance," 70.

formal schemes between the two autographs as presented in Treitler's essay:¹⁵

Thoiry autograph: AA BB CC DC DC AA
Yale: AA BB CC DC AA

In the Yale autograph and the Fontana version, Treitler calls our attention to the differences in rhythm.¹⁶ Along with those, we must consider the differences in slurs, rests and staccato which together effect not only the tempo, but significantly alter the waltz's affect:

Autograph
(Yale):

Fontana:

Among the issues presented by the mazurka and the waltz, there is not only that of the linear progression of form – that is to say, determining which section comes next – but that of each work's temporal dimensions. Keeping in mind that such issues are by no means limited to these two works,¹⁷ we must ask, as performers, the following questions:

¹⁵ Treitler, "Early Recorded Performance," 71.

¹⁶ Treitler, "Early Recorded Performance," 70.

¹⁷ See Kallberg, "The problem of repetition" and "The Chopin Problem."

What will determine whether we play the repeats? In the waltz, what are we to make of the present or absent DC section? Where is the *fine*, but perhaps more importantly, what makes it moveable? If it is the nature and genre of the work, as Kallberg suggests,¹⁸ then we must probe just as deeply to inquire what it is about the mutability of the genre that inspires this aspect of Chopin's creative spirit, not only as composer but as pianist. Of course, we should keep in mind that Chopin's inspiration might quite simply be the whim of the moment.

In one sense, we are dealing with an indeterminate concept of time. We observe that in some combination the beginning, middle and/or end are not necessarily fixed. And for quite different reasons we experience a similar indeterminacy of time in the meteoric nature of the Mazurka Op. 7 no. 4, whose abrupt beginning and end might be perceived as neither. Indeed, in the Mazurka Op. 7 no. 5 Chopin indicates "*Dal segno senza Fine*": this mazurka, as it is notated on the page, has no end. Such issues raise questions for the pianist, the historian, the theorist and the editor. But as performers we are concerned not only with the work's notation, its structure, and the fluidity of Chopin's compositional process; we must venture beyond the notational questions and ask whether a section's indeterminacy of time is perhaps more significant than the question of whether we repeat a section or not. Can we, as pianists, convey such indeterminacy, and if so, how? What does it mean to us as performers that a section or a work is elastic in its dimension of time? How do we perform the opening of the mazurka knowing that once upon a time there was a beginning before its beginning? Or that it had a sliding end? For if the *fine* in Op. 7, no. 2 were placed by Chopin's student on his suggestion, then it is likely that the idea occurred to Chopin during a piano lesson, and must surely be

¹⁸ Kallberg, "The problem of repetition," 22-23.

associated with a pianistic idea. If the autograph and Fontana's publication indicate such different rhythms, articulations and affects, what factors will influence us to choose one "version" at any given moment? And in that case, why are we considering only the notated, both in terms of what we choose to play, and in our study of the issues at hand? Perhaps there is an elasticity in the structure that cannot be notated, or an element of performance whose notation cannot tell us everything about its elasticity? I am interested not only in how these issues present themselves in Chopin's notation and compositional process, but in the question of how such mutability and indeterminacy manifested themselves in the sound of Chopin's playing.

We endeavor to comprehend Chopin's variants by studying the sources in Chopin's hand, the published versions, their contextual historical accounts, and the markings in his students' scores. We tend to note the incongruities among the sources as a kind of exceptional status quo that we take into account when thinking about and playing Chopin. Indeed we have been well-trained to consider an entity notated and to draw analytical and historical conclusions about what lies on the page: we can read it with our eyes, hear it with our ears, play it at the piano, understand its co-existences, learn it – even its multiple versions, and perform "a version," or parts of a few, at whim or by plan. We offer with historical reasoning our explanation for the various details of its notated genesis, and compare it with others. But to consider Chopin's variants and revisions without taking into account Chopin the pianist is to fail to grasp the larger perspective in which they play a part. For through studying the sound of the mutable aspects of Chopin's creative process, we can come closer to understanding the source of

his fascination with the mutable, and will better know how to deal with it as pianists and scholars.

We may gain a little more by observing how the concept of a work's malleability manifests itself in a lesson with Chopin, as recalled by his student Peru:

I am entirely indebted to him for the ever-different expression he taught me to obtain in my playing of his works. That is why I so often wept after having worked on one of his pieces which he would then play for me; to show me the style, he would make me hear it in an entirely different way from the previous time. And yet it was wonderful each time! [...] How often have I seen him rise from the couch where he was lying and take my place at the piano in order to play, as he felt it, the piece that I had played – badly – that is to say, in an entirely different manner, though I had worked long and hard on it! That finished the lesson, for I did not want to forget this experience to which I had so religiously listened. At the following lesson, almost satisfied with the imitative fashion in which I had worked on the piece, I would play it again. Unfortunately, when I had finished, Chopin, once again, stretched out on his couch, would rise and, with a brusque reprimand, seat himself at the piano saying, 'Listen, this is how it should go', and he would proceed to play it again in an entirely different way. I could only respond with tears to this demonstration which in no way resembled the first one.¹⁹

Such a lesson calls on us to ask, can we imagine a teacher who, after hearing us play, would offer a different interpretation, and then another, and another . . . who indeed would expend the entire lesson offering interpretation after interpretation? And in the next lesson, after we had practiced to incorporate these ideas so diligently, yet another? And, we ask of ourselves, have we ever taught in this way? Do we contemplate performing a work with the innate ability to create a markedly different rendition each time we play it, if inspired in the moment to do so? Yet we are not talking about small

¹⁹ F.-H. Peru, "Mes souvenirs de Frédéric Chopin," *Revue de la S.I.M.* ix/12 (1913), 28-30. Quoted in Eigeldinger, CPT, 55-56. Chopin's Paris teacher, Friedrich Kalkbrenner, sent the young pianist F.-Henry Peru to study with Chopin in 1847. See also Eigeldinger, CPT, 174-176.

changes – ornamentation, rhythm, articulation, and the like: “this demonstration in no way resembled the first one.”

Peru’s account brings to mind the subsequent teaching of Anton Rubinstein: “In fine weather you may play it as you did, but when it rains play it differently.”²⁰ And the ideal of Vladimir de Pachmann: “He should first of all teach the pupil that there are hundreds of things which no teacher can ever hope to teach.”²¹ We recall Liszt’s advice to his student Teresa Carreño: “Little girl, in time you will be one of us. Don’t imitate anyone. Keep yourself true to yourself. Cultivate your individuality and do not follow blindly in the paths of others.”²² And Josef Hofmann, who, in his teaching was “untiring in pointing out the many roads that lead to Rome,” “would exemplify the fluidity and flexibility of interpretation by demonstrating several different conceptions deriving from contrasting premises and make each one valid and convincing.”²³ “A work of art is large enough,” Hofmann said, “to hold innumerable and contrasting interpretations without losing an iota of its inherent truth.”²⁴ To be sure we perceive in Chopin’s lesson some likeness to the message in each of these maxims. So as the principles of the tradition that carried forward reflect Chopin’s teaching, perhaps we can call upon these similarities to deepen our perspective of Chopin’s thinking as simultaneously composer and pianist, and

²⁰ Josef Hofmann, *Piano Playing with Piano Questions Answered* (New York: McClure Company, 1908; Philadelphia: Theodore Presser Company, 1920; reprint New York: Dover, 1976), 58.

²¹ James Francis Cooke, *Great Pianists on Piano Playing* (Philadelphia: Theodore Presser Company, 1917; reprint, New York: Dover, 1999), 192.

²² Cooke, *Great Pianists on Piano Playing*, 109.

²³ Abram Chasins, *Speaking of Pianists* (New York: Alfred Knopf, 1957; 3rd ed., New York: Da Capo Press, 1982), 12-13.

²⁴ Chasins, *Speaking of Pianists*, 13.

to illuminate which aspects of those tradition we have kept, and which have been neglected.

“To show me the style, he would make me hear it in an entirely different way from the previous time. And yet it was wonderful each time.” I cannot regard such demonstrations as “versions.” Rather, they represent that the music, to Chopin’s ear, mind and hand, was a mould so malleable that he would habitually re-shape it at any moment – to demonstrate a point, or simply for the sake of doing so.

It comes as no surprise that the same malleability manifests itself in Chopin’s playing, as we learn from his London tuner Alfred Hipkins:

Chopin *never* played his own compositions twice alike, but varied each according to the mood of the moment, a mood that charmed by its very waywardness; his playing resembled nothing so much as the tender delicate tints seen in mother-o’-pearl, and rendered apparently without the least effort.²⁵

Indeed, Peru writes, its effect mesmerized his listeners:

Chopin never played his works twice with the same expression, and yet the result was always ideally beautiful, thanks to the ever-fresh inspiration, powerful, tender or sorrowful. He could have played the same piece twenty times in succession, and you would still listen with equal fascination.²⁶

And his playing was inimitable, according to Sir Charles Hallé:

I can confidently assert that nobody has ever been able to reproduce [his works] as they sounded under his magical fingers. In listening to him you

²⁵ Hipkins, Edith J., *How Chopin played. From Contemporary Impressions collected from the Diaries and Notebooks of the late A. J. Hipkins* (London: Dent, 1937), 7. Quoted in Eigeldinger, CPT, 55.

²⁶ F.-H. Peru, “Mes souvenirs de Frédéric Chopin,” 25. Quoted in Eigeldinger, CPT, 55.

lost all power of analysis; you did not for a moment think how perfect was his execution of this or that difficulty; you listened, as it were, to the improvisation of a poem, and were under the charm as long as it lasted.²⁷

But we are now dealing with two issues: first, Chopin's attitude toward his notated texts, and second, the sound of his playing and its effect. Once heard, of course, the mutable (Chopin's text) and its sound become inseparable. Hipkins' account speaks of "the mood of the moment . . . that charmed by its waywardness;" Peru writes of "ever-fresh inspiration, powerful, tender or sorrowful;" and Sir Hallé, "under his magical fingers . . . you lost all power of analysis." And we learn of sounds recalled as "tender delicate tints seen in mother o'pearl, rendered apparently without the least effort." Indeed, the experience of listening to Chopin play his own works was so transcendent that "under his magical fingers . . . you listened, as it were, to the improvisation of a poem, and were under the charm as long as it lasted."

Such accounts call on us to consider the nature of Chopin's playing as an entity the sum of whose parts could not be replicated (the concept of which agrees implicitly with Chopin's lesson), just as Berlioz portrays:

Unfortunately, virtually nobody but Chopin himself can play his music and give it this unusual turn, this sense of the unexpected which is one of its principal beauties; his playing is shot through with a thousand nuances of movement of which he alone holds the secret, impossible to convey by instructions.²⁸

Keeping in mind that we best apply the consideration of any perspective not only to each

²⁷ C.E. and Marie Hallé, *Life and Letters*, 31-34. Quoted in Eigeldinger, CPT, 271. Sir Charles Hallé was a German pianist who lived in Paris from 1836 until 1848 and heard Chopin play often, both in public and in private. See Eigeldinger, CPT, 140.

²⁸ Hector Berlioz, "Concerts," *Le Rénovateur* II/345, 15 December 1833. Quoted in Eigeldinger, CPT, 272.

genre, but to each work on a case-by-case basis, we are still left with the impression of a style of playing – an impression that each performance of a work was not merely “different”; it was so transformed and transcendental that it inspired wonder. Having “lost the power of analysis,” the listener could not focus on “the execution of this or that difficulty,” and, I suggest, perhaps not a rhythmic, decorative or structurally decorative feature (such as a reprise in a mazurka) either. “You could listen twenty times in succession, and you could still listen with equal fascination.” Chopin’s playing “is shot through with a thousand nuances of movement of which he alone holds the secret, impossible to convey by instructions.” Through its sound and effect the issue now becomes one not only of “notated versions” and “re-visions,” but of the transformational and transcendental: that improvisatory element of Chopin’s style:

I must describe his wonderful playing, which will remain impressed on my soul until I draw my last breath. *Even the deepest understanding of his compositions and the most intimate familiarity with them can give no idea of the poetry of address that was his very own. All material considerations vanished* – it was like the light of a wonderful meteor, bewitching us all the more with its unfathomable mystery [emphasis mine].²⁹

Before pursuing this aspect further, let us visit his improvisations. Chopin’s gift and craft as an improviser was evident even in his youth, for he frequently improvised in the Warsaw salons.³⁰ “This spontaneous inspiration was like an inexhaustible torrent of

²⁹ Ferdinand Hiller, *Briefe an eine Ungeannte* (Köln: DuMonte and Schauberg, 1877), 150-152. Quoted in Eigeldinger, CPT, 270. Hiller was a close friend of Chopin (the Nocturnes Op. 15 are dedicated to him), and also a friend of Liszt and Berlioz. See CPT 272, footnote.

³⁰ Halina Goldberg, “Musical Life in Warsaw During Chopin’s Youth, 1810-1830” (Ph.D. diss., City University of New York, 1997), 346-347. For a perspective of the Warsaw musical salon of Chopin’s youth, see 260-345.

precious materials in ferment . . . full of pearls and rubies,” Fontana recounts.³¹ Chopin’s improvisations were “far bolder than his finished compositions,” wrote Delacroix, “something like comparing the sketch of a painting to the finished product.”³² His perception is endorsed by Fontana:

From his earliest youth, the richness of his improvisation was astonishing. But he took good care not to parade it; and the few lucky ones who have heard him improvising for hours on end, in the most wonderful manner, never lifting a single phrase from any other composer, never even touching on any of his own works – those people will agree with us in saying that Chopin’s most beautiful compositions are merely reflections and echoes of his improvisations.³³

We observe that his improvisations seemed never to “lift a single phrase” from his own or others’ works. Indeed, as we learn from Chopin’s compatriot in Paris, Ferdynand Dworzaczek, the one most delighted by such effect was Chopin himself:

One day Chopin was improvising. I was lying on the sofa; I was in ecstasy, listening to him and day-dreaming. All of a sudden his music rang out with a song which went to the heart of my soul . . . a well known song . . . a song from the homeland . . . beloved . . . from the family home . . . from the childhood years . . . My heart throbbed with yearning, tears sprang to my eyes – I leapt up: ‘Frederyczku!’ I cried, ‘I know that song from the cradle . . . my mother used to sing it . . . I have it in my soul, and you have just played it!’ He looked round with a strange expression. His eyes shone; his fingers were moving delicately over the keys; ‘You never heard this tune before!’ he declared. ‘But I have it here, here, in my soul!’ I cried, pressing my hand to my breast. ‘Oh!’ – he rose and embraced me – ‘you have just made me indescribably happy, there are no words for it!

³¹ Jules Fontana, *Oeuvres Posthumes pour piano de Fréd. Chopin* (Paris: Meissonnier, 1855), Preface. Quoted in Eigeldinger, CPT, 282.

³² Eugène Delacroix, *Journal* (Paris: Plon, 1932), II, 22. Quoted in Eigeldinger, CPT, 282.

³³ Jules Fontana, *Oeuvres posthumes*, Preface. Quoted in Eigeldinger, CPT, 282.

You never knew this song . . . only its spirit: the spirit of the Polish melody! And I am so happy to have been able to grasp and reveal it.³⁴

And in his improvisations, writes George Sand's friend Elisa Fournier, Chopin could allude to many different styles in succession:

He played to us a parody of a Bellini opera till we doubled up in laughter; then a prayer of the Polish people in distress, which made us cry; then a rendition of a tolling bell, which gave us the shivers; then a funeral march . . . grave, . . . somber, . . . sad. . . . Finally . . . a bourrée . . . [and then] a *tour de force* the likes of which I could never have imagined. He imitated on the piano a little music box. His sparkling touch, finesse and dexterity . . . [were] without equal. Then suddenly a cadenza, endless and so faint one could hardly hear it.³⁵

So while the improvisatory nature of Chopin's playing inspired fascination through its transformation of the present (the notated), his improvisation could inspire the same through its transformation of the absent (the unnotated). In Chopin's playing, the present became as if absent, the absent as if present; transformation was the factor in common, and both appeared as if made up in the moment. The improvisatory was thus the inverse of the improvisation. Indeed, relates Heinrich Heine, the poetic, transformational nature of Chopin's improvisation was such that it could evoke in his listener the memory of the absent through another's memory:

He is not only a virtuoso but also a poet; he can reveal to us the poetry that lives in his soul; he is a composer, and nothing can equal the pleasure he

³⁴ Wilkońska Paulina, *Moje wspomnienia o życiu towarzyskim w Warszawie* [My recollections of social life in Warsaw] (Warsaw: Państwowy Instytut Wydawniczy, 1959), 154. Quoted in Eigeldinger, CPT, 284. Dworzaczek was a renowned Warsaw doctor who met Chopin in Paris.

³⁵ Letter dated 9-10 July 1846, from Elisa Fournier in Nohant to her mother. Original in the Archives de la Charente-Maritime, Dossier 4J1509; published in Georges Lubin, *George Sand en Berry* (Paris: Hachette, 1967), 28-29. Quoted in John Rink: "Chopin's Improvisatory Music: Style, Structure, Aesthetic," in *Ostinato rigore* 15 (2000), 9.

gives us when he sits at the piano and improvises . . . When he sits improvising at the piano, I feel as though a compatriot from the beloved homeland were visiting me and recounting the most curious things which have taken place there during my absence.³⁶

Now we see that Chopin's improvisatory style was transcendent in its transformation of the present, the absent, or, to call upon Delacroix' image, "the reflection of a reflection."³⁷ We may touch upon what each represents, but each, to his listener, remains intangible. When we study Chopin's "versions" and revised notations, I suggest that we are gaining a glimpse of only those aspects of his transformational, improvisatory style that could be notated. Herein lies the greater context in which that malleable mould plays a part. Those notations had a sound. Perhaps their sounds were akin to those described in the accounts we just visited. Would we have been listening so as to identify, each time, what was different? "We are concerned with the end result," as Chopin repeated to Princess Czartoryska, "the goal, not the means used to evoke it. You can be struck dumb with astonishment at unexpected news whether it be shouted loud, or barely whispered in your ear."³⁸

Chopin's fascination with the transformational quality of the music in his hands was an essential aspect of his creative process. We may liken it to our own childhood fascination with the kaleidoscope. Rotated ever so slightly, it would shift: like magic the effervescent bits would fall, seemingly transforming themselves into new inner patterns;

³⁶ Henri [Heinrich] Heine, *Sämtliche Werke* VIII (Leipzig: Insel-Verlag, 1910-15), 125-6. Quoted in Eigeldinger, CPT, 284.

³⁷ George Sand, *Impressions et souvenirs* (Paris: Calmann and Lévy, 1896, new ed.), 85-86. Quoted in Eigeldinger, CPT, 282.

³⁸ Adam Czartkowski and Zofia Jezewska, *Fryderyk Chopin* (Warsaw: Państwowy Instytut Wydawniczy, 1970), 377. Quoted in Eigeldinger, CPT, 57; see also 99: Princess Czartoryska's student Cecylia Działyńska notated the information given to her by the Princess in a booklet published in Poznań in 1882, which was reproduced in the text of Czartkowski and Jezewska.

at various moments different bits would emerge and recede, yet they kept connected, the same bits within their outer cylindrical whole; and though we had turned the cylinder countless times before, we could not predict the next any more than we could recapture the last. This is what I understand to be the essence of Chopin's improvisatory style. We cannot begin to understand the nature of his music, his compositional process, or the sound of his playing until we recognize that this is an innate quality of all he touched. Indeed I find this to be one of the most fascinating aspects of his highly structured yet improvisatory sounding seventy-measure Berceuse. Our challenge lies in understanding how this aspect of his style manifests itself in his music, from where it emerged, and what we, as performers, teachers, and scholars, do with it. I proceed with an exploration of the improvisatory in the Berceuse and in Chopin's inherited keyboard tradition.

B. THE NATURE OF THE BERCEUSE

The Berceuse, Chopin's only composition in that genre, is a nocturne-like lullaby:³⁹ its gentle, undulating *bel canto* right-hand melody, stated in varying rhythmic figurations, and in various contrapuntal sonorities, appears over the rise and fall of an *ostinato* bass, which itself creates a bi-polar harmonic sphere.⁴⁰ Several features render the composition hypnotic in quality: its cradle-song affect, the seemingly endless

³⁹ Chopin's Berceuse is acclaimed as "the defining work of the genre" by Kenneth L. Hamilton (see his article "Berceuse," *The New Grove*, 2nd ed., v. 3, 304). It became a model for other composers, e.g. Liszt, Balakirev, Debussy, Ravel, Busoni, and Stravinsky. For a discussion of the vocal nocturne and the vocal lullaby genres sung in the Paris salons, see James Parakilas, "'Nuit plus belle qu'un beau jour': Poetry, Song, and the Voice in the Piano Nocturne," in Halina Goldberg, ed., *The Age of Chopin: Interdisciplinary Inquiries* (Bloomington: Indiana University Press, 2004), 204-223, especially 213. Parakilas suggests that the Italian and French vocal nocturnes were models for Chopin's piano nocturnes. Significantly, Parakilas draws poetic and musical parallels among the vocal nocturne, lullaby, and barcarolle genres.

⁴⁰ By "contrapuntal sonorities," I am referring to the different sonorities of different contrapuntal lines, an innate quality of Chopin's music (e.g. the sonorities that result from his fingering in m. 56.) See Chapter 2, Section A(5) and B(4).

repetition of the ostinato, its “rocking” motion, the seamless nature of the figurative variants, and the combined sonorities of the *pianissimo*, *dolce*, *legato*, voicings, pedal-points (D-flat and A-flat), and the *sostenuto* and *una corda* pedals. Charles Rosen sums up the effect of its textures:

The apparent indifference of the right hand to the left, of the figuration to the underlying harmony, creates a web of delicate dissonances, a grill of sonority like the mixtures on a Baroque organ that never disturbs the insistently repeating harmonic structure but seems to have a life of its own.⁴¹

The element most significant to the hypnotic quality of the Berceuse is the bass-line, whose I–V paradigm, one-measure long, does not change until m. 55. Its repetition is not only seemingly endless; its very nature is endless. The V functions, in relation to I, as a magnetic pole: in likeness it is opposite, in impulse, it is magnetic. When new harmony finally does appear (in the coda at m. 55), it does so on the unstressed beat – the beat that for fifty-four measures has accommodated both the “opposite pole” and the anacrusis. Its unexpected quality is masked by its metrical occurrence on the weak beat; yet its effect is subsequently reinforced by the expressive sonorities marked by Chopin’s fingering and hairpins.⁴² Its sound is prolonged for four measures in an elongation of the harmonic rhythm, sustained and made more sonorous by his indication of a long pedal. While we find ourselves “out” of the one-measure harmonic paradigm, its rhythm remains present: we are deceived by our memory of it. Following the prolongation of the harmonic shift (mm. 55-58), the overall effect of the coda is a decrease in harmonic

⁴¹ Charles Rosen, *The Romantic Generation* (Cambridge: Harvard University Press, 1995), 397.

⁴² The expressive indications inherent in Chopin’s fingering are discussed in Chapter 2, Section A(5) and (B)4. The hairpins are discussed in Chapter 2, Section 5 and Chapter 3, Section B(3).

tension. That the single harmonic move in the entire seventy measures emerges as an understatement in the coda serves to further convey the very tender nature of the Berceuse.

Jim Samson remarks upon those aspects that shape the work:

Chopin's original title for the Berceuse was 'Variantes' and this describes well its final form, a set of sixteen short variations on an *ostinato* ground. The Berceuse is indeed a work of rarest originality in which ornamental filigree takes on a quite new significance within Chopin's music, precisely because its curve of complexity remains essentially divorced from harmonic progression (a repeating cycle) and dynamic shape (a stable level). It is even divorced from melody, since the identity of Chopin's little four-bar phrase quickly succumbs to the hypnotic influence of the finely wrought passage-work. In this sense Chopin's *variantes* are far from orthodox. They are constructed as a single impulse of departure and return, but one generated almost entirely from ornamental figuration. The underlying harmony remains after all a uniform oscillation of tonic and dominant until the subdominant at bar 55 enables a final tonicization. In quite a literal sense, then, this music is shaped by texture and sonority.⁴³

If, as Rosen states, the Romantics “permanently enlarged the role of sound in the composition of music,”⁴⁴ then the Berceuse, “shaped by texture and sonority,”⁴⁵ would surely be classed as a Romantic idiom. However, as will be demonstrated below, Chopin’s use of textures and sonorities in the Berceuse are grounded in the eighteenth-century keyboard tradition.⁴⁶ Further, in its compositional inspiration as variations on an *ostinato* bass, the Berceuse is retrospective in its structural conception. Of course we should not be surprised. Chopin’s early study was rooted in the theoretical traditions of

⁴³ Jim Samson, *Chopin*, Master Musician Series (Oxford: Oxford University Press, 1996), 223.

⁴⁴ Rosen, *The Romantic Generation*, 40. For a discussion of the role of sound in Romantic compositions, see 1-40.

⁴⁵ Samson, 223.

⁴⁶ See Section C and D below. For further discussion of sonority, see Chapter 2, Section B(4).

Albrechtsberger and Kirnberger, and he himself often acknowledged his indebtedness to Bach and Mozart.⁴⁷ My interest here lies in the historic keyboard tradition that is an inherent constituent in the structural formation of the *Berceuse* – the tradition that encompasses the elements of variation and the improvisatory. As we shall see below, these elements are not necessarily, historically speaking, separate.

C. THE HISTORY OF THE BERCEUSE: “les variantes”

In the earliest account we have of a performance of the *Berceuse*, Chopin played it not once, but twice. He received a wondrous response:

At four o'clock I went to Chopin's . . . Chopin entered unexpectedly, pale, tired, but in good spirits and in an inspired mood. He greeted me affectionately and sat down at the piano. It's impossible to describe the form and subject of his playing. For the first time in my life the beauty of the music moved me so vividly that I could not hold back my tears. All the nuances, all the musician's emotions, I could grasp, and I remember in the most exact way the motives and the feelings I had while listening to each piece. First he played a magnificent Prelude, then the *Berceuse*, then a Mazurka, again the *Berceuse* – of which Mme Hoffman said that the angels in Bethlehem must have sung like that. There followed a splendid Polonaise, and finally, in my honour, an improvisation in which he evoked all the sweet and sorrowful voices of the past.⁴⁸

There are discrepancies among scholars in fixing an exact date for the *Berceuse*:

⁴⁷ Eigeldinger, CPT, 276. I discuss Chopin's background further in Chapter 2, Section B(3h), (4) and (6e).

⁴⁸ From the personal diary of the Polish poet Bohdan Zaleski (1802-86). Quoted in Ganche, *Dans le souvenir de Frédéric Chopin* (Paris: Mercure de France, 1925), 6th ed., 24-25. Quoted in Eigeldinger, CPT, 283. Chopin knew Zaleski before leaving Poland and met him again in Paris after the 1831 insurrection. With Mieckiewicz, Slowacki, Witwicki, Klementyna Hoffman-Tańska, Zaleski belonged to the literary circle of Polish immigrants in Paris. (See Eigeldinger, CPT, 283.) The diary entry is noted on February 2, 1844, one year prior to the first publications of the *Berceuse*.

1843, 1844, or 1843-4.⁴⁹ Significant to this study is Wojciech Nowik's historical account surrounding Chopin's reference to the Berceuse as "*les variantes*" to his French publisher Schlesinger, and as "*La Berceuse*" to his German publisher Breitkopf & Härtel, both in the same year, 1844.⁵⁰ In addressing his French publisher Schlesinger, Chopin wrote: "Ma Sonate ainsi que les variantes sont à votre disposition. Je veux pour les deux ouvrages douze cents francs."⁵¹ In 1845, Schlesinger announced that Chopin "est de retour à Paris. Il rapporte une nouvelle Sonate et des variantes. Bientôt ces deux importants ouvrages seront publiés."⁵² Yet in a document dated 21 December 1844, in which Chopin sells Breitkopf & Härtel his author's rights to recent works, the composition is listed as "La Berceuse . . . [Op.] 58".⁵³

Nowik's subsequent discussion, in which he goes about analyzing Chopin's compositional process as indicated by his markings on the sketch, offers valuable insights into the structure. Nowik proves his point: that is to say, the notations on the page indicate that the Berceuse was conceived, structurally, as variations. Given the layout of the sketch, as we shall see in Chapter 2, this is undeniable. However, Nowik's point is valid only insofar as what we can see notated on the page. I would like to take this notion

⁴⁹ Wojciech Nowik, "Fryderyk Chopin's op. 57," 26. Nowik provides details of the sources for the discrepancies.

⁵⁰ Nowik, "Fryderyk Chopin's op. 57," 27.

⁵¹ *Korespondencja Fryderyka Chopina II*, ed. Bronisław Sydow (Warsaw: Państwowy Instytut Wydawniczy, 1955), 384. Quoted in Nowik, 27.

⁵² Ignacy Blochman, "Dwa autografy listów Chopina w Belgii," *Kwartalnik Muzyyczny* xxvi-xxvii (1949), 46. Nowik refers to Fredrick Niecks, *Frederic Chopin as Man and Musician* (London, 1902), ii: 122, who is uncertain about the title and suspects a printing error. Quoted in Nowik, "Fryderyk Chopin's op. 57," 27.

⁵³ Jeffrey Kallberg, "Chopin in the Marketplace," *Notes* xxxix (1983), 823-4. Chopin gave the wrong opus numbers of both the Berceuse and the B minor Sonata in this document. Quoted in Nowik, "Fryderyk Chopin's op. 57," 27.

further, and suggest not only that the Berceuse was conceived as variations, but that the variations, as sketched, are the product of an improvisation. I beg to differ, therefore, with the sequence of events that Nowik concludes, and offer the following speculations (emphases mine):

- (i) it is not that the “ordering of the segments and the assignation of their functions *gave rise to* an unusually cohesive and homogeneous form,”⁵⁴ but that the “cohesive and homogenous form” existed before the sketch as a set of improvisatory variations; the segments *are* the pre-existing “form” notated in columns and rows;
- (ii) it is not that the “tabular formation of the material *assisted the development of* the form and played an important *operational* role,”⁵⁵ but that the “tabular formation” was a spatial representation – quite simply, a shorthand – for its already-existing form in Chopin’s mind;
- (iii) it is not that Chopin “*sowed the seeds of polymelody* even marking this in the text of the sketch and *later expanding* them in the copy,”⁵⁶ but that the “polymelody” was the keyboard figuration that first “fell from under his fingers;” that he then reduced his subsequent notations in the sketch for the sake of notational convenience.

That is to say, it is possible that Chopin improvised these *ostinato* variations at the piano first, in a version very close to the “original” and/or its “revisions,” and then wrote

⁵⁴ Nowik, "Fryderyk Chopin's op. 57," 31.

⁵⁵ Nowik, "Fryderyk Chopin's op. 57," 31.

⁵⁶ Nowik, "Fryderyk Chopin's op. 57," 32.

them down. Such a case is always difficult to prove, even circumstantially. If it could be proved, the evidence would enable us to state unequivocally that the Berceuse was an “improvisation” before Chopin notated it. In a sense, however, proving the point would be like notating the improvised: the exercise defeats its purpose. The music cannot be “reproduced” in that sense – either on the page or in performance, and keep the same meaning. Yet it is not my purpose, or wish, to prove this point. As a performer, I find the historical possibilities are at least as potent as the specificities of the written text. Indeed, the historical suggestion inspires in the performer a far greater interpretative palette than any specificity can – such is the nature of art. There is, after all, an innate quality of unpredictability in the immediacy of a performance that is contrary in spirit to a “proven point.” The pianist Artur Schnabel expressed this idea as follows: “The performer does not underline anything which the composer has already made obvious. He has to take care of whatever the composer left for him to take care of.”⁵⁷ (Within the realm of “whatever the composer left for [the performer] to take care of,” I recognize that goal of conveying a sense of the spontaneity of the moment – a goal, ironically, that we as performers spend our lives “practicing” toward.) Given that we cannot or do not wish to prove that the Berceuse was an improvisation, we must still consider those aspects of its style that make the Berceuse *appear* to have been improvised. What I mean by that is those qualities that make it sound (to the ear) and feel (to the hand) as if improvised – that is to say “improvisatory.”

Let us take this notion of that “unpredictability” in performance, then, one step further: to the genre of the improvisatory. In performance, the art of “playing as if one

⁵⁷ Konrad Wolff, *Schnabel's Interpretation of Piano Music* (London: Faber & Faber, 1972 under the title *The Teaching of Artur Schnabel*; 2nd ed. New York: W. W. Norton, 1979), 21.

does not know what will happen next,” or “allowing the piece to unfold, seemingly of its own accord, within the context of a greater plan,” or “playing as if one is making it up in the moment,” or, as the case may be, improvising, in fact takes much thought, craft, intuition and practice. The literature of music offers much evidence that composers such as Bach, Mozart, Beethoven, Schumann and Chopin viewed the *fantasie*, a composition that embodies the improvisatory, as a most sophisticated genre.

Which aspects of the “composition” then, present themselves to the listener as “made up in the moment,” all the while appearing as if out of an inherent logic? How are we to understand them, discuss them, and analyze them? Of course, most improvisations have some kind of “ground plan” that enables the “unknown,” the “unpredictable” or the “improvised” to occur. My goal, then, is to understand what makes the *Berceuse* appear to have been “made up in the moment,” as if Chopin may or may not yet have known himself what would come next. My interest lies in making the connections between what is notated and those elements that, by their very “improvisatory” nature, defy notation. In order to understand the improvisatory nature of the *Berceuse*, we must first investigate the tradition of keyboard music that Chopin inherited: that tradition in which these practices – the variation, the *ostinato* and the improvisatory – were inter-connected.

D. CHOPIN’S INHERITED KEYBOARD TRADITION

1. Variation and Improvisation: a brief history

In the tradition of keyboard music since the seventeenth century, variation and improvisation went hand-in-hand. Originally conceived above an unchanging harmonic foundation, the variation structure provided the logical basis upon which to improvise. In

the seventeenth- and eighteenth-centuries, a variation set was often conceived as a dance suite – a genre that was enjoyed by the *Liebhaber* – in which the ensuing movements, often titled *partite*, were indeed variations on the opening movement.⁵⁸ In its earliest sources “the word *partite* seems[s] to be equivalent in meaning to *mutanze* or *modi*, i.e., variations or elaborations on the bass of a traditional tune.”⁵⁹ Mattheson, regarded as “one of the first aesthetic critics of his time” and “simultaneously the founder of musical criticism, practical music theory, and musical history in Germany,”⁶⁰ adds to our historical perspective of the inter-functionality of the *partita* as variation and the dance. In his venerable “*Der Vollkommene Capellmeister*” of 1739, Mattheson explains:

In Froberger’s time, perhaps 70 or 80 years ago, this *partita* spirit had become so common that not only at least a half dozen variations had to be performed on special little arias, or ariettas ... but also the *allemandes* and *courantes* were infected by it...⁶¹

Significant to our discussion, it was mainly the rhythm of each variation or dance movement that defined its affect. In addition to their structural role, the binary repeats of each section had an aesthetic function – that of improvised decoration, the intention of which was to provide delight through elaboration. According to Niedt’s “Guide to Variation” (“*Handleitung zur Variation*”) first published in 1706, variation was both a “necessity” and a “grace”:

⁵⁸ The *Clavier-Übung* of Johann Kuhnau and the *ClavierÜbung* (v. I) of J.S. Bach, each containing six *partitas*, were dedicated to *Liebhaber* (“amateurs” or “music lovers.”)

⁵⁹ David Fuller/Cliff Eisen, “Partita,” *The New Grove*, 2nd ed., v. 19, 173-174.

⁶⁰ Johann Mattheson, *Der vollkommene Capellmeister*, trans. and ed. by Ernest C. Harriss (Ann Arbor: UMI Research Press, 1981), 4.

⁶¹ Mattheson, 464.

Variety in things or ideas ... is to no creature so pleasing and delightful as to the senses and sensibilities of the human soul.⁶²

Throughout the seventeenth century, the terms *passacaglia* and *chaconne* were used, often interchangeably, to describe pieces structured as variations above an *ostinato* bass. Indeed, the passacaglia, “whose term comes from *pasar* (to walk) and *calle* (street) . . . appears to have originated in 17th-century Spain as the *pasacalle*, a brief improvisation (usually barely more than a few rhythmically strummed chords) that guitarists played between the strophes of a song.”⁶³ The absence of “tunes for the dances” from the earliest surviving tablatures of Spanish chaconnes dating from the early 1600s, is an indication that this genre must also have been originally improvised.⁶⁴

While there is no single distinguishing factor that sets the two genres apart, the chaconnes and passacaglias, mostly in triple meter, have the following in common:

They are built up of an arbitrary number of brief units, usually two, four, eight or 16 bars, each terminating with a cadence that leads without a break into the next unit. This almost limitless extendibility allows for the creation of a momentum sustainable over an appreciable length of time, a quality that contributes much to the special character of the genres ... Large-scale articulation by means of temporary shifts of mode or key is not uncommon.⁶⁵

⁶² Friedrich Erhardt Niedt, *The Musical Guide*, trans. Pamela Poulin and Irmgard C. Taylor (Oxford: Clarendon Press, 1989), 73. Niedt’s writings reflect the teachings of the Bach family, particularly J.S. Bach. Niedt’s “Guide to Variation” forms Part II of *The Musical Guide*. See Section (2) below.

⁶³ Alexander Silbiger, “Passacaglia,” *The New Grove*, 2nd ed., v. 19, 191-194.

⁶⁴ Alexander Silbiger, “Chaconne,” *The New Grove*, 2nd ed., v. 5, 410-415.

⁶⁵ Silbiger, “Chaconne,” v. 5, 410.

Structurally, the Berceuse resembles the chaconnes and passacaglias in the brief unit of its *ostinato* (one measure), its structure as variations, the shifts in its rhythmic patterns, its “limitless extendibility.” While the Berceuse is in compound duple time, the subdivisions of its beat are triple. Its *ostinato* unit therefore resembles that of the chaconne and passacaglia in its metrical and aural proportions.

More important to my discussion than what distinguishes the genres, and crucial to the exploration of the Berceuse’s components, is the fact that historically there was a class of genres that was understood as “improvised.” Mattheson places the *fantasie* and the chaconne in this category.⁶⁶

The so-called improvisation thus consists of various things which we must briefly explain. *Intonazioni*. *Arpeggi, senza e con battuta*, *Arioso*, *Adagio*, *Passaggi*, *Fughe*, *Fantasie*, *Ciacone*, *Capricci*, etc., are the most important, which can all be included with their purpose under the general name *toccatas*, which usually means playing, and which may or not use the above categories.⁶⁷

Enmeshed in the historical meaning of the term “*fantasie*” lies our present-day difficulty in distinguishing the sounds of the “improvised” (i.e., invented in the moment) from those of the “improvisatory” (i.e., those that *appear* to be improvised.) Referring to the word “*fantasy*,” Mattheson explains, “we do have a style of writing with this name” in which he includes works both improvised and notated:⁶⁸

It actually consists not so much in the writing or composing with the pen,

⁶⁶ In this section, the reader will notice the different spellings of “*fantasie*,” “*fantasia*,” and “*fantasy*.” To maintain integrity with the sources I am quoting, my citations accord with the spelling as it appears in the source. In my own discussion, I use the spelling “*fantasie*” to refer to the musical genre.

⁶⁷ Mattheson, 857-858.

⁶⁸ Mattheson, 216.

as in the singing and playing that occurs spontaneously, or as is said, *extempore*. The Italians call this style *a mente* or *non a penna*. Though the so-called *Fantasia*, *Capriccie*, *Toccate*, *Ricercare*, etc., be they written down or printed, really belong here, not to mention the *boutades* and preludes.⁶⁹

What to us is a problem in the distinction between the improvised and the improvisatory was indeed the goal of the genre. Mattheson unmasks its mirrored guise: subsequently classifying the genres “*Boutades*, *Capricci*, *Toccate*, *Preludes*, *Ritornelli*, etc.” under the category “*fantasia*,” he explains, “although all of these *strive to appear as if* they were played *extempore*, yet they are frequently written down in an orderly manner [emphasis mine].”⁷⁰

The reciprocal was also true. While the ideal of the notated *fantasia* was to sound as if improvised, the supreme extemporization could seem as if notated. I demonstrate this point with a reference to J.S. Bach’s realization of the thoroughbass. (Significantly, Bach himself said, “The thoroughbass is the beginning of composing; indeed, it may be called an extemporaneous composition.”)⁷¹ The theorist and composer Johann Friedrich Daube describes Bach’s thoroughbass realization:

The excellent Bach possessed this third species [of thorough-bass playing] in the highest degree; when he played, the [written-out] upper voice had to shine. By his exceedingly adroit accompaniment he gave it life when it had none. He knew how to imitate it so cleverly, with either the right hand or the left, and how to introduce an unexpected counter-theme

⁶⁹ Mattheson, 216.

⁷⁰ Mattheson, 465.

⁷¹ Phillip Spitta, *Johann Sebastian Bach* (Leipzig, 1873-1880); English translation by Clara Bell and J.A. Fuller-Maitland (London, 1889), ii: 917. (Facs., New York: Dover, 1951). Quoted in Joel Lester, *Compositional Theory in the Eighteenth Century* (Cambridge: Harvard University Press, 1992), 49.

against it, so that the listener would have sworn that everything had been conscientiously written out [emphasis mine].”⁷²

Of course, figured bass realization is a different kind of improvisation than the free fantasy or the simple bass ostinato. J.S. Bach’s free improvising over a chorale received extraordinary praise from the renowned organist Johann Adam Reinken. In 1722 Bach traveled from Lüneburg to Hamburg to perform for the master, who was “then near a hundred years old.”⁷³ After Bach “varied [over a chorale] for almost half an hour,” Reinken proclaimed, “I thought that this art was dead, but I see that it still lives in you.”⁷⁴

C.P.E. Bach provides us with another piece of the puzzle: he instructs that the ear and the eye demand “definite relationships” so that the piece “may be notated.”⁷⁵ Daniel Gottlob Türk, in his “School of Clavier Playing” (*Klavierschule*) of 1789, reinforces the statements of Mattheson and C.P.E. Bach. Türk’s statement is clear that the notated fantasia emulates extemporization:

The *fantasie*, for the most part, is first [invented during playing], but there are fantasies which, like other compositions, have already been composed and notated.⁷⁶

⁷² Hans T. David and Arthur Mendel, *The Bach Reader* (New York: W. W. Norton, 1945), 66.

⁷³ David and Mendel, 304.

⁷⁴ David and Mendel, 304. We note that the technique of “varying” is a significant component of improvisation, in this case, over a chorale. The variation technique, as it applies to the improvisatory genre, is discussed below in Section 2 on Friedrich Erhardt Niedt.

⁷⁵ C.P.E. Bach, *Essay on the Art of Playing Keyboard Instruments*, trans. and ed. William J. Mitchell (New York: W. W. Norton, 1949), 430.

⁷⁶ Daniel Gottlob Türk, *School of Clavier Playing*, trans. and ed. Raymond Haggh, (Lincoln: University of Nebraska, Press, 1982), 388. Daniel Gottlob Türk, *Klavierschule, oder Answeisung zum Klavierspielen für Lehrer und Lernende* (Leipzig and Halle: Schwickert; Hemmerde und Schwetschke, 1789). Facsimile, ed. Erwin R. Jacobi, Kassel: Bärenreiter, 1962, 2nd ed., (Leipzig and Halle; Schwickert; Hemmerde und Schwetschke, 1802), 395. Haggh translates “*das Spielen erfunden*” as “contrived during the performance.” The words “invented during playing” are my translation. The translation of “*erfunden*” as “contrived” seems to imply that there was another plan, for which notion I can find no source. I translate “*Spielen*” as “playing” to maintain historical etymological consistency with our understanding of the word “*spielen*” as

Mattheson lists thirteen skills required for “the full prelude and postlude or for a toccata,” which he earlier categorized as a genre of improvisation. His list contains prerequisites for good improvisation that a keyboardist should possess and exercise:”

1) that one would be *master of the clavier*, 2) *would have a rapid hand*, 3) *would know the compass of the minor and major keys*, 4) *would have a reserve of many ideas and phrases*, 5) *would understand the thorough bass completely*, 6) *would listen often to much that is good*, 7) *would sing well*, 8) *would imitate all sorts of vocal melodies in playing*, 9) *would practice constantly*, 10) *would write down one’s thoughts diligently*, 11) *would submit them to an intelligent judge for examination*, 12) *would study the annotations made concerning them*, and 13) *would make use of such in future endeavors [emphasis mine].*⁷⁷

The challenges and status of improvisation should therefore come as no surprise:

It may rightly be called the highest practical summit in music, thus it is easy to see that it would require a proficient man.⁷⁸

Mattheson lists the thoroughbass and “a reserve of many ideas and phrases” as the requirements for improvisation. In the keyboard tradition of the seventeenth and eighteenth centuries, they form its basis. We shall see parallels in the writings of Niedt and C.P.E. Bach, which I discuss below. What we have observed thus far is the following: while the notated sounds as if spontaneous, the spontaneous can sound as if notated. Yet significant components of the spontaneous already exist: the underlying harmonic scheme, and the figurations.

it is used in contemporary sources, such as in our translation of the title of Bach’s essay, whose dates of the first and second publications of Part II were 1762 and 1797 respectively.

⁷⁷ Mattheson, 859-860.

⁷⁸ Mattheson, 860.

2. Friedrich Erhardt Niedt: The Variation and the Chaconne

The significance of *The Musical Guide* (*Musicalische Handleitung*) of Friedrich Erhardt Niedt lies in the fact that its material is paraphrased on a manuscript “apparently dictated by Bach to his students at the *Thomas Schule* [sic] and recorded by one of these.”⁷⁹ According to Alfred Mann, this manuscript might be understood as one that “preserve[s] Bach’s teaching as transmitted through the work of a pupil.”⁸⁰ Additionally, as Poulin explains, “it is possible that Part I of *The Musical Guide* is a record of the Bach family’s teaching techniques transmitted from Johann Nicolaus Bach (1669-1753) [Niedt’s teacher] to Niedt, later attracting the attention of Johann Sebastian as a clear statement of a methodology he also followed.”⁸¹

Part I of *The Musical Guide* was published in 1700 and reissued in 1710. Part II, which Niedt entitled “*Guide to Variation*” (“*Musicalische Handleitung zur Variation*”), was first published in 1706 and reissued in 1721 with extensive annotations on the text by Mattheson. Part III was published in 1717 and 1721.

Niedt offers detailed instruction on the thorough-bass both as a means of performance and as the fundamental basis of composition. He addresses his treatise to the “true musician” who, in his words, is the composer, the practicing musician, and theorist.⁸² Following his instruction on thorough-bass realization in Part I, his focus in Part II is variation. Beginning with a simple bass line, Niedt demonstrates how to create

⁷⁹ Niedt, xii.

⁸⁰ Peter Williams, ed., *Bach, Handel, Scarlatti Tercentenary Essays* (Cambridge: Cambridge University Press, 1985), 257. Quoted in Niedt, xiii.

⁸¹ Niedt, xiii, in Introduction to the Translation.

⁸² Niedt, 60.

one-measure variations out of intervals, and builds up to complete melodic lines: first in the bass, and then in the treble. His pedagogy is thorough: in the final chapter of Part II, he instructs the student on how a series of dance movements may be constructed above a figured bass. Indeed, he demonstrates a complete suite: an Allemande, Courante, Sarabande, Minuet, and Gigue, offering two examples of each (three of the Minuet), with two extra *doubles* of the Courante – all constructed as variations above the same figured bass-line. (This would seem to suggest that entire suites were improvised.)

In addition to the suite, Niedt offers a chapter called “*On Preludes and Chaconnes and How They May Be Made From a Simple Thorough Bass.*”⁸³ First, he chooses a sixteen-measure figured bass-line as “the foundation of my *Invention.*”⁸⁴ Using only its first four measures, and changing its meter to “three-quarter time,”⁸⁵ he offers a choice of three different rhythmic and figured bass renditions, for the *ostinato* of the Chaconne.

The Trio may be included in the Chaconne, but is not obligatory. If included, Niedt’s Trio uses a different figured bass ostinato that resembles, but is not identical to, his original. He takes a four-measure example ending in a full cadence, and augments it into an eight-measure unit ending in a half cadence. Niedt describes the possible entrances and repeats of the Trio in detail. Yet, when we look for the Trio in his fully notated, and completed, musical example of the Prelude and Chaconne, it is not there.

Does that mean it does not exist? No. It means that it exists as a sound entity but not on

⁸³ Niedt, 155. Originally appearing as the final Chapter 12 in Niedt’s first edition (1706), in Mattheson’s 1721 edition this material appears as “Chapter 11.”

⁸⁴ The term *inventione* (or *inventio*) was used from the Renaissance to the eighteenth centuries. Its concept, which is influenced by the writers of rhetoric, refers to the invention of an idea, or the process of composition. In the eighteenth century the term was also often used to mean a “work,” either notated (e.g. Bach’s Inventions) or improvised.

⁸⁵ Niedt, 156.

the page: the Trio is improvised. Its improvised nature was so well understood in the keyboard tradition that, simply put, to describe it as such was redundant. Furthermore, had he written it down, its existence as a notated entity would contradict its very meaning. Too obvious to ask, but allow me to pose the question: if the improvisation were notated, how would we ever know that it was as an improvisation?

Indeed, according to Niedt, both the Trio and the Chaconne, while “finished”, are indeterminate in length. In his words, the Trio “could always be repeated” simply because “such contrast is pleasing to the ear.”⁸⁶ And, the Chaconne, when “resumed . . . could continue for as long as one wishes.”⁸⁷ The half-cadence he prescribes at the end of the *ostinato* unit provides the mechanism for the “endless” nature of both the Chaconne and its Trio: the Trio could be rendered “endless” through its repeats; the Chaconne could be made “endless” through its continuing melodic variations. In other words, though their length on the page is determined, their performed length is indeterminate. Clearly the Chaconne consists of notated and unnotated entities: it is a notated “invention” that is, in parts improvised.⁸⁸ That which is notated is not the complete work; it also consists of unnotated, that is, improvised music as well.

“*When the Chaconne has ended, the entire Prelude could be concluded with a slow Finale using the first four measures of our given theme from above [emphasis mine].*”⁸⁹ Niedt’s language indicates that the Prelude is not simply introductory, but an improvisatory entity that both introduces and concludes the Chaconne: in other words, it *encircles* the Chaconne. While there is an underlying connection between the Prelude,

⁸⁶ Niedt, 157.

⁸⁷ Niedt, 157.

⁸⁹ Niedt, 157.

Chaconne and Finale (they are all based on the same figured bass), the Prelude and Finale are connected to each other by the very means that distinguish them from the central Chaconne: the outer sections contain the figured bass in its entirety, and share the same distinct meter, and affect.

Only after expounding upon the Chaconne from beginning to end, *and* its subsequent Finale, Niedt considers the opening Prelude. He instructs that the “theme,” that is to say the figured bass, “could without any losses, be extended by several notes in the actual execution.”⁹⁰ This is a loaded statement. Looking to his notated example, we observe that his original sixteen-measure figured bass has indeed been expanded into a twenty-five measure notated Prelude, by changing the figured bass rhythm. But Niedt instructs that this happens “in the actual execution.” In other words, the performer may simply decide to extend its length *while playing it*. Like the Chaconne, then, its notation may or may not represent its “complete” version. So the Prelude, notated on his page in an improvisatory style, may be improvised, in part or in whole, and is indeterminate in length.

The sequential order of his instruction is revealing. While we knew from the very beginning that the Prelude would be based on the original figured bass, it is only on studying Niedt’s musical example that we finally “read,” or play, hear and see, what the right hand is made of: it is built of *Manieren* that resemble those already allocated to the Finale. The nature of its *Laufen* (runs) and their juxtaposition against slow-moving chords are an indication that Niedt wants the Prelude to sound as if improvised (“improvisatory”), or to be improvised, or some of both. Like the Chaconne, some parts

⁹⁰ Niedt, 159.

are notated, and some are not. Like the Chaconne and its Trio, the Prelude is indeterminate in length. I believe that he notated the Prelude to demonstrate what appears to be its most striking feature: it is based on material, already conceived, that follows it.

What we also see in his notated example is that the “improvisatory” melodic-rhythmic figures that embellish the Prelude through sequence and imitation are rhythmically transformed in the Chaconne as variations above the ostinato.

These figurations are an innate component of the keyboardist’s vocabulary: that is to say, their triadic and rhythmic arrangements are idiomatic to the “feel of the keyboard under the hand.” Niedt firmly advises the student to “practice” the figurations:

He who is diligent should practise all of the instructions found in Chapter 11, section 3 in the order in which they occur, from No. 1 to 32. He will encounter all sorts of variations that will stand an organist, especially, in very good stead.⁹¹

Elsewhere, he promises, “the eager learner will achieve facility ... after he has practised it a hundred times.”⁹² Why is the student to “practice” the figurations? Finger technique is not the ultimate goal, in and of itself. An integral component of his instruction in variation is the fact that variations were conceived at the keyboard, whether in “*compositione vel extemporaea*” or “*vel praemeditata* (in extemporized or preconceived composition).”⁹³ We should keep in mind that the figured bass was in fact, the basis for both improvisation and composition: skills that the “true musician,” as “composer,

⁹¹ Niedt, 95.

⁹² Niedt, 96.

⁹³ Niedt, 87.

practicing musician, and theorist” would need “equally”.⁹⁴ In Mattheson’s words, we recall, the improviser required “a reserve of many ideas and phrases.”⁹⁵ Niedt demonstrates that the keyboard figurations – the prime component of the improvisatory genres based on variation (the chaconne, the prelude, and the dance) – were, indeed, patterns (*Manieren*) that lay under the fingers of the keyboardist:

The eager student can imitate these and similar skilful *Manieren* [patterns] taken from compositions of good Masters, or after hearing such skilful passages and patterns, he can commit them forthwith to paper and see what they consist in. Let me assure him that he will suffer no harm from this practice, but will discover that, in time, he himself will think of many *Inventiones*.⁹⁶

Niedt instructs the student to “imitate” the “*Manieren* . . . of good Masters.” While the figurations might be analyzed on paper, they do not originate on paper. Even the transmission of the keyboard tradition was conveyed by imitation: it was learned, practiced, and “re-created” at the instrument as a performance tradition, as distinct from a “notated” tradition. It is such a basic premise that its frequent omission in the present-day musician-scholar’s craft blinds us to its importance in the very music we are seeking to understand, and the tradition from which it all emerged. It is not to say that all variations were always improvised, but that the practice of “inventing” variations was one that was not only conceived, but evolved at the keyboard.

Niedt’s language provides further indication that not only the study of the figures, but the process of the invention of the variation was one that took place at the instrument.

⁹⁴ Niedt, 60.

⁹⁵ Mattheson, 859.

⁹⁶ Niedt, 158.

He teaches not only “how the bass in the *left hand* can be varied,” and “On Variation of the Main Chord in the *Right Hand*,” but how a “skilful variation can be *executed* in the discant of the right hand (emphasis mine.)”⁹⁷ His methodology – in which he lists numerous idiomatic keyboard figurations that the right hand can “execute” as variation – is so explicit and thorough that his titles of each example (which he presents in the form of a list) are worth including:

- I. [Model Passage]
- II. Inversion
- III. Inversion in somewhat faster notes with the dissonances interspersed
- IV. The same inversion with consonances and with fast notes only
- V. The first example rearranged
- VI. The same example rearranged a second way
- VII. Again the same example rearranged a third way
- VIII. Higher
- IX. Rearranged
- X. Half running, half leaping
- XI. With fewer notes and more leaps
- XII. In the manner of a theme or imitation
- XIII. Through diminution
- XIV. In three voices in a higher octave
- XV. By exchanging the upper voices
- XVI. In the manner of a Sonata in four voices
- XVII. In the form of an echo
- XVIII. Such an echo or *piano* [dynamic] could be effected right away with the first note⁹⁸

Organized with a musical example beneath each subtitle, Niedt’s instruction on the invention of variation is clearly offered as a systematized list of figurations above the figured-bass that the keyboardist should learn by “imitation” and “execution” at the instrument. “Practiced,” “in the order in which they occur,” “one hundred times,” of

⁹⁷ Niedt, 101.

⁹⁸ Niedt 102-109. I include some of these musical examples in Example 1, below.

course they will become a “natural” part of the vocabulary of the “true” musician, whether in composition, improvisation, or playing (“practice”). I present some of Niedt’s notated figures in Example 1, along with those of the Berceuse. While of course the styles of Niedt and Chopin are very different in style, my point is to demonstrate the basic keyboard components that their figurations have in common, the inherently progressive nature of the figurations’ features, and the conception of the improvisatory variation genre as it was understood in its keyboard tradition.

Additionally, this perspective allows us to see how Chopin conceals the inherent rhythmic delineations of the figures and the variations, creating both rhythmic and textural seamlessness.⁹⁹

⁹⁹ I offer a diagram of the seamlessness of the entire Berceuse in Example 2, below.

Example 1

We shall first concern ourselves with the usual chord associated with each unfigured bass note.¹⁰⁰



I: [Model Passage]¹⁰¹



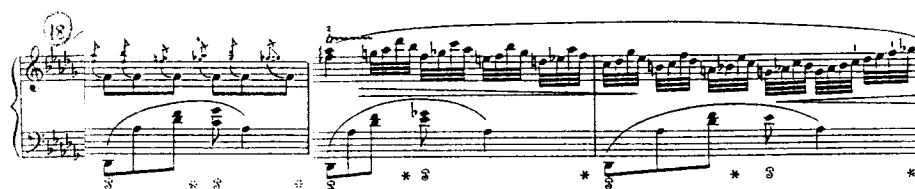
The entry of the alto line as the anacrusis of the subsequent variation in m. 6 (see above) overlaps with the cadence of the first variation. Built into the 1-V paradigm's "cast" in each four-measure unit is the ambiguity of the tonic's function, in every fourth measure, as simultaneously the new phrase and the cadence. The anacrusis in m. 6, and its new texture in two voices, heightens the effect of the phrase's end as the new beginning, and the beginning as its end. Through this simultaneous reciprocal effect that manifests itself throughout the Berceuse, the beginning and end of each phrase is at once present and concealed.

¹⁰⁰ Niedt, 101.

¹⁰¹ Niedt, 102. To remain consistent with the Niedt's text, I refer to the roman numerals in Niedt's subtitles.

XIII: Through diminution¹⁰²

In the Berceuse the rhythmic shift is concealed: the 32nd-notes “emerge” from the trill in the figuration of an inverted turn, on the unstressed beat, enabling them to appear without an accent. The ornamental acciaccaturas (mm. 16-18) transform into the diminutive rhythmic component of the trill (m. 19). (See mm. 18-20 below). Note that the rhythmic value of the ornament is less “fixed” in its notation and execution than that of the “melodic” text: the malleability of the rhythmic transformation is therefore inherent in the ornament’s decorative function. The minor 2nd G-flat/G-natural of the final acciaccatura (m. 18) “crushed” into the A-flat 8th-note (an octave below) expands into the intervallic component of the trill (a rolled F – A-flat/B-flat) and its subsequent 32nd-note figures:



¹⁰² Niedt, 102.

XIV. In three voices in a higher octave¹⁰³

The image shows two systems of musical notation for a piece in three voices. The first system consists of a single staff with a treble clef and a key signature of two flats, containing a complex melodic line with many sixteenth notes. The second system consists of two staves, treble and bass clef, with a key signature of two flats. The treble staff continues the melodic line from the first system, while the bass staff provides a harmonic accompaniment with chords and some melodic fragments. There are asterisks and circled numbers (3, 5) under the bass staff notes, likely indicating specific harmonic or rhythmic features.

The sound of Chopin's alternating thirds (m. 24) emerges from the rising sixths and falling thirds outlined in the melodic line that ends each group of 32nd-notes. In his single four-measure unit of thirds, Chopin creates two distinct sound entities: one diatonic (mm. 24-25), one chromatic (mm. 26-27):

This image provides a detailed view of measures 23 through 27 of the piece. It is divided into two systems. The first system covers measures 23 and 24. Measure 23 is circled in the original image. The second system covers measures 25, 26, and 27. The notation shows the treble and bass staves with various musical markings, including slurs, accents, and asterisks. The key signature remains two flats. The bass staff in both systems has asterisks and circled numbers (3, 5) under specific notes, corresponding to the text's discussion of diatonic and chromatic thirds.

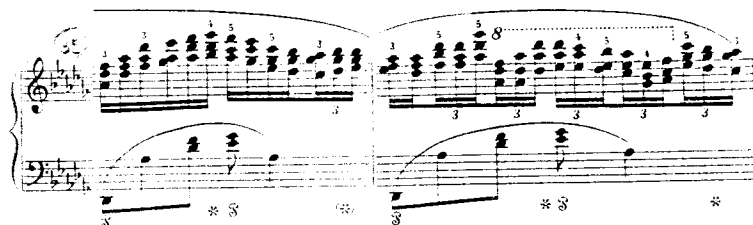
¹⁰³ Niedt, 107.

XV. By exchanging the upper voices¹⁰⁴

Chopin's broken sixths (mm. 39-42) emerge from the intervallic nature of the figuration that precedes (mm. 37-38). The linear sixths evolve out of the intervallic sequences between the first and second 32nd-notes of each group in m. 37, and are already in place in the first pair of each 32nd-group in m. 38:



¹⁰⁴ Niedt, 108.

XVI. In the manner of a Sonata in four voices¹⁰⁵

Chopin's triads (mm. 35-36) emerge out of the thirds underlined by the sonorous A-flat organ-points marked by a stem, and a surging and receding of intensity through the hairpin crescendo and diminuendo in the second measure (mm. 33-34):



¹⁰⁵ Niedt, 108.

§. 5. *Quarta in syncopatione constituta* [fourth in suspension].

Niedt explains this figure as “Variations of 4-3” which are “already prepared in the preceding [chord] and must actually be *already present in the hand* [emphasis mine].”

Variations of 4-3

The image shows musical notation for 'Variations of 4-3'. At the top, a small diagram shows a chord with a bracket over the fourth and a '3' below it. Below this are several lines of musical notation. The first line contains measures 1 through 6, with arrows pointing to specific notes. The second line contains measures 7 through 10, also with arrows. The third line shows a more complex variation with a circled '3' and various rhythmic markings. The bottom line of notation includes asterisks and circled numbers (3, 9) under the notes.

While there is nothing extraordinary about a 4-3 suspension, or its subsequent harmonic and melodic direction, my purpose is to show its use as a figure of variation. Note the pair of sixteenths whose second note is syncopated (shown by my bracket in Niedt’s example 2, above), and the resolution by a fall followed by a leap (shown by my arrows in Niedt’s example 6, 7, 10), which bear a similarity to Chopin’s use of the figure (mm. 13-14). In the *Berceuse* the figure’s entrance is concealed by the rhythm of the syncopated 8th-notes of m. 12 (see below). The 4-3 figure’s iambic rhythm (m. 13-14) transforms into the ornamental acciaccaturas of mm. 15-16:

The image shows musical notation for measures 15 and 16 of Chopin's *Berceuse*. It features a treble and bass clef with various rhythmic markings, including asterisks and circled numbers (3, 9) under the notes, indicating the 4-3 suspension figure and its ornamental acciaccaturas.

Keeping in mind that Niedt's principles represent those of the chaconne and the variation in the tradition of keyboard invention, we may now review, in terms of outer structure, what Chopin's Berceuse has in common with Niedt's concepts of the chaconne: the introductory measures form the basis of all the material that follows. And in its coda (m. 55), subsequent to the rhythm's gradual augmentation (which had begun at m. 47), the return of the single line texture, the phrase extensions and insertion of rests (mm. 66-68), the ostinato is finally, again, heard on its own (m.68). Chopin's Berceuse thus shares the same circularity as Niedt's Chaconne. Its outer sections are constructed of the same material, are alike in affect, and are distinct from its inner section. I shall explore below and in Chapter 2 the Berceuse's similar sense of indeterminate length.¹⁰⁶

Idiomatic keyboard figurations as the basis for improvising (or composing) variations therefore have a long history. These are the idiomatic figurations upon which the improvisatory genres are based. The figurations are idiomatic not only to the keyboard and to the various genres because in their "vertical" and "horizontal" structures, they define the melody, rhythm and harmony; they are idiomatic to the keyboard tradition because in their triadic, chordal, arpeggiated, and otherwise linear and rhythmic nature, the figurations "fit" and "fall" under the hand. Generic to the hand position and the feel of the keyboard, the figurations function naturally as a component of embellishment and variation. As such, the figurations will *sound* naturally. I believe that this is what Niedt means when he says, "the more natural and unaffected . . . the better it turns out."¹⁰⁷ (Of

¹⁰⁶ See Section 3(c) below: "The introduction, beginning and end" and Chapter 2, Section B (2): Introductory Measures, (7) Final Measures.

¹⁰⁷ Niedt, 159. Niedt's use of the words "natural and unaffected" follows his clause about the "unlimited" length of the Prelude. The reference occurs in the context of the Prelude's improvisatory nature, whose extendibility is based on the "execution" of the figures as discussed above.

course, this suggestion is not new to the practicing musician who knows that the more idiomatic a pattern is to the hand and the instrument, the more natural it will sound. The reason can be explained by physics: there is minimum physical, and thus acoustical tension.) The keyboard figuration, therefore, is a practiced tradition – transmitted through imitation, transmuted into different styles (such as Chopin’s) – whose “natural and unaffected” sound is an innate component of both improvisation and the improvisatory.

3. C.P.E. Bach: Improvisation – the Fantasie

“A good future in composition can be assuredly predicted for anyone who can improvise,” states C.P.E. Bach, in the final chapter of his *Essay on the Art of Playing Keyboard Instruments (Versuch über die wahre Art das Clavier zu spielen)*.¹⁰⁸ The historical significance of his *Essay* is best summed up by C.P.E. himself:

This study is not merely of the rules of composition; it bears directly on an understanding of composition.¹⁰⁹

Recognized in his own time as having “raised the art of performance/Through teaching/And practice to its perfection,”¹¹⁰ C.P.E. Bach’s influence on the keyboard tradition cannot be underestimated. In Haydn’s opinion, according to his biographer

¹⁰⁸ C.P.E. Bach, *Essay on the Art of Playing Keyboard Instruments*, trans. and ed. William J. Mitchell (New York: W. W. Norton, 1949). The two volumes date from 1753 and 1762 respectively.

¹⁰⁹ C.P.E. Bach, 9. Originally published in the *Hamburger unpartheiisher Correspondent*, 1773, No. 7. Dated January 11, 1773.

¹¹⁰ C.P.E. Bach, 1. The quotation is from the epitaph contributed by Friedrich Gottlieb Klopstock, for the commemorative monument planned for the Michaeliskirche in Hamburg. The project did not eventuate.

Dies, “Bach’s writings form the best, most basic and useful textbook ever published.”¹¹¹ Mozart’s expressed his admiration for CP.E. Bach, when, in a letter to his father from Vienna in 1783, he wrote, “If you could have Emanuel Bach’s fugues (there are six of them, I think) copied and sent to me some time, you would be doing me a great kindness.”¹¹² Mozart clearly respected Bach’s *Essay*. In a letter to his father some years earlier, he had referred to it via mention of Vogler’s *Kurpfälzische Tonschule*.¹¹³ Listing the *Essay* first among other compositional and performance treatises, Mozart’s letter demonstrates that it was a source he valued and incorporated as a pedagogical method:

I must see this book [of Vogler] and I have already ordered it. There must be some sound stuff in it, for he could copy the clavier method from Bach’s book, the outline of a singing method from Tosi and Agricola, and rules for composition and harmony from Fux, Riepel, Marpurg, Mattheson, . . . Rameau . . . and then boil them down into a shorter system, such as I have long had in mind . . . You ought to have the book for such works are useful when giving lessons. As a teacher one is led by experience to adopt certain good methods of dealing with this or that problem, and these good methods do not come to one all at once.¹¹⁴

Bach’s *Essay* was also held in high esteem by Beethoven, who said to Czerny’s father, “The boy has talent; I will teach him myself and accept him as my pupil. Send him to me several times a week. First of all, however, get him a copy of Emanuel Bach’s book on

¹¹¹ A.C. Dies, *Biographische Nachrichten von Joseph Haydn* (Vienna, 1810) ed. H. Seeger (Berlin: Henschelverlag, 1959, 4/1976), 95. Quoted in László Somfai, *The Keyboard Sonatas of Joseph Haydn: Instruments and Performance Practice, Genres and Styles* (Chicago: University of Chicago, 1995), 38-39.

¹¹² Emily Anderson, ed., *The Letters of Mozart and His Family* (1956; 3rd ed. London: MacMillan, 1985), 865. Letter dated December 24, 1783, Vienna.

¹¹³ Emily Anderson, ed., *The Letters of Mozart*, 548. Letter dated May 29, 1778, Salzburg. George Joseph Vogler, *Kurpfälzische Tonschule*, Mannheim, 1778. Vogler founded a music school in Mannheim following his appointment there as second Kapellmeister in 1775. The *Kurpfälzische Tonschule* was a compilation of pedagogical materials.

¹¹⁴ Anderson, ed., *The Letters of Mozart*, 548-549. Letter dated May 29 1778, Salzburg.

the true art of [keyboard] playing, for he must bring it with him the next time he comes.”¹¹⁵ Czerny relates that Beethoven’s method progressively followed the *Essay*.¹¹⁶ Bach’s teachings represented a keyboard tradition and “an understanding of composition” that lasted well into the nineteenth century.

The final chapter of Bach’s *Essay*, entitled “*Von der freyen Fantasie*” focuses on improvisation. Here Bach demonstrates that “the free fantasie” is an improvisation structured above a preconceived figured bass. To illustrate his point, Bach offers nineteen alternate examples of figured bass of which the keyboardist “may avail himself in extemporizing.”¹¹⁷ Bach provides progressive instructions on how to structure the improvised fantasie, which, as we have observed, “may be notated.”¹¹⁸ Below, I offer some similarities in execution between Bach’s fantasie and the Berceuse. While of course Chopin’s style is very different from that of C.P.E. Bach, my interest lies in the structure (harmonically grounded), content (particularly texture and sonority), and language (the use of the structure and content to convey the affect) of the improvisatory genre, and in its keyboard tradition.

(a) Structure

Beginning with the underlying harmony, sonority, beginning, end, and then middle, C.P.E. teaches the fantasie “from the outside in”. Like Niedt’s instruction

¹¹⁵ O.G. Sonneck, ed., *Beethoven, Impressions by his Contemporaries* (New York: Dover, 1967), 23.

¹¹⁶ “Czerny,” *The New Grove*, 2nd ed., v. 6, 824.

¹¹⁷ C.P.E. Bach, 431.

¹¹⁸ C.P.E. Bach, 430.

on the Prelude and Chaconne, the order in which Bach “invents” the fantasia is revealing.¹¹⁹ First, he tells us that it is harmonically conceived:

A free fantasia consists of varied harmonic progressions . . . which can be expressed in all manner of figuration.¹²⁰

While of course Bach’s fantasia is based on a through-composed, not an ostinato bass, my interest lies in the harmonic basis of the genre. Bach then refers to sonority, the introduction, and the establishment of the key at beginning and end. In order to view these entities in the perspective of the concepts that comprise its “middle,” I shall return to them subsequently.

(b) Rational Deception

One of the most important concepts that C.P.E. Bach describes is what he calls “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; but they must not be excessively used.¹²¹

Listing several harmonic examples of such “rational deception,” Bach explains how it may happen:¹²²

¹¹⁹ I use the word “invent” as it was used in the context of eighteenth-century compositional process. See footnote 84.

¹²⁰ C.P.E. Bach, 430.

¹²¹ C.P.E. Bach, 434.

¹²² C.P.E. Bach, 434.

It is sufficient for the leading note [*semitonium modi*] of the key to which one is modulating be present in the bass or some other voice. This note is the key [the entry point] to all natural modulations, and the distinguishing feature of them.¹²³

It is difficult for us to conceive of anything less extraordinary, harmonically speaking, than the use of the tonic functioning as an “entry point”; or – if taken out of its context as the single harmonic shift in the entire work – the use of the tonic, in the Berceuse at m. 55, as the pivot for the dominant function of a secondary area. My interest lies in Bach’s use of language, particularly in the term “rational deception” as a component of the improvisatory genre. As performers, we are highly sensitive to the use of language to describe sounds. Indeed, it comprises an important part of our training in the production of sound at the instrument.¹²⁴ We keep in mind that as we stand at this end of the time-line in the history of musical sounds, it is difficult for us to hear how a sound was heard in its own time. The language used at a particular moment in history can therefore illuminate how a sound was heard, enhancing our historical imagination, and thus, as performers, our interpretative palette. I suggest that our consideration of the tonic’s sound as “feigned,” the leading-tone as the “*semitonium modi*,” and the sounds’ relationship as “deceptive” offers far more musical meaning, within its context in the fantasie genre, than our twenty-first-century usage of the sole word “pivot” can inspire.

¹²³ Translation by Richard Kramer in Heinrich Schenker, *The Masterwork in Music: A Yearbook, Volume 1 (1925)*, ed. Richard Drabkin (Cambridge: Cambridge University Press, 1994), 4. See also C.P.E. Bach, 434.

¹²⁴ As an example I recall Leon Fleischer’s words at a Schubert masterclass last January 24 in CAMI Hall, New York: “That hairpin dynamic should sound like a s-l-o-w punch,” he explained with a gesture of taking his fist to his nose and slowly pushing his head backwards.

My interest thus lies in Bach's concept of "feigning" and "deception" as "one of the beauties of improvisation."

Before proceeding, it is useful to understand how the sounds Bach describes were heard in their own time. In a well-known account, Charles Burney speaks of the impact upon hearing Emanuel improvise:

After dinner which was elegantly served, and cheerfully eaten, I prevailed upon him to sit down to a clavichord, and he played with little intermission, till near eleven o'clock at night. During this time he grew so animated and possessed, that he not only played, but looked like one inspired. His eyes were fixed, his under lip fell, and drops of effervescence distilled from his countenance. He said that if he would work frequently in this manner, he should grow young again.¹²⁵

Yet as inspired as were both the improvisation and the clavichordist, Burney informs us (referring to an apparent complaint) that Bach's melody and modulation are always logical, learned, and refined:

As to their being *fantastical*, and far-fetched, the accusation, if it be just, may be softened, by alledging, that his boldest strokes, both of melody and modulation, are always consonant to the rule, and supported by learning; and that his flights are not the wild ravings of ignorance or madness, but the effusions of cultivated genius.¹²⁶

I shall now expound further on Bach's concepts, and then discuss the Berceuse.

¹²⁵ Percy A. Scholes, ed., *Dr. Charles Burney's Musical Tours in Europe* (London: Oxford University Press, 1959), ii: 219.

¹²⁶ Scholes, 218.

(c) The introduction, beginning and end.

In relation to the “feigned modulation” that must not be “excessively used,”¹²⁷ it is now interesting to observe *the functions* of the introduction, and the tonic organ-point for establishing the tonality at the beginning and the end. Bach’s focus in the fantasie is on the perception of the listener: the listener’s preparation, orientation, and memory.

Bach’s instruction of the “prelude” reflects that of Niedt. He explains, “the ‘extemporiz[ation] before the beginning of a piece ... prepares the listener for the content of the piece that follows.’”¹²⁸ Like Niedt, he elaborates on its content and affect:

The construction of the former is determined by the nature of the piece which it prefaces; and the content or affect of this piece becomes the material out of which the prelude is fashioned.¹²⁹

Bach’s instruction on the beginning of the fantasie focuses on the listener’s perception:

At the start the principal key must prevail for some time so that the listener will be *unmistakably oriented*. And again before the close it must be well prolonged as a means of preparing the listener for the end of the fantasia and impressing the tonality *upon his memory* [emphasis mine].¹³⁰

The tonic paves the way for the deception: the listener must be *unmistakably oriented* for the deception to take place. The listener’s sense of orientation is based *upon memory*, especially at the end. I shall now consider how Bach’s concepts of “rational deception”, the introduction, and the end, may apply to the Berceuse.

¹²⁷ C.P.E. Bach, 434.

¹²⁸ C.P.E. Bach, 431.

¹²⁹ C.P.E. Bach, 431.

¹³⁰ C.P.E. Bach, 431.

In the Berceuse, Chopin hypnotizes us with the endless repetition of the I-V paradigm: it seemingly does not end, nor does it *have* an end. Given the shape of the bass ostinato, the V/7 at the end of each measure is, in a sense, left hanging without resolution to the low D-flat that follows: the distance in voicing between the two harmonies disconnects them from any sense of voice leading. (This sound would have been even more pronounced on Chopin's favored instrument, the Pleyel, the registers of which sounded with different timbres.)¹³¹ Its effect heightens the ambiguity that prevails throughout the work. In m. 55 Chopin returns to I, as he has done, in the same single-measure rhythm, fifty-four times. Then, he makes his one, single harmonic shift in the entire Berceuse. On the weak beat, he moves not to V, the "opposite magnetic pole,"¹³² but to the dominant seventh of IV. We realize, only after the fact, that the tonic was not the resolution of the cadence it had always been, but that it acted as a pivot for the new, chromatically altered, harmonic area of the subdominant. All that was necessary was the alteration of one note: the leading tone of I (the *semitonium modi*). Instead of rising to the tonic, the leading tone C becomes C-flat, exposed in the sustained note values of the single melodic line. This is the "rational deception" that Bach describes: the music took us to the tonic, but we arrived elsewhere.¹³³ Its occurrence on the unstressed beat serves

¹³¹ See Antoine Marmontel, *Histoire du piano et de ses origines* (Paris: Heugel, 1885), 223, 230-231. Quoted in Eigeldinger, CPT, 92: "In 1830, M. Pleyel introduced veneered sound boards to his pianos [. . .] veneering the pine boards with mahogany across the grain of the pine. The result . . . acquired a particularly satisfying quality, the upper register becoming bright and silvery, the middle one accentuated and penetrating, and the lower clear and vigorous." See also Sandra Rosenblum, "Some Enigmas of Chopin's Pedal Indications: What do the Sources Tell Us?" *The Journal of Musicological Research* 16/1 (1996), 47, 49. For further discussion of the Pleyel, see Chapter 2, Section B(3e) and (6).

¹³² See p. 26.

¹³³ John Rink and Murray Perahia discuss this concept in: John Rink, "Chopin in Performance, Perahia's Musical Dialogue," *The Musical Times* 142/1877 (Winter 2001), 13.

to further conceal its emergence. The four-measure prolongation of this harmony (the duration of a variant), and the repetition of its repeated, highlighted sonorities (indicated by his stems, hairpin swells, and the thumb), all underscored by the rhythmic memory of the ostinato, render our experience, as listeners, all the more ambiguous and “lost.” The harmonic deception (V7 - I - V7/IV - IV) is magnified contrapuntally therefore, by our memory of the paradigm’s rhythm. Yet it is the ambiguity of the I-V paradigm itself that has “set us up,” for fifty-four and a-half measures, to be deceived. The bi-polar quality of the V in relation to I (as a magnetic pole: in likeness it is opposite; in impulse, it is magnetic) is the very quality that causes us to “expect” that which, at m. 55, happens but does *not* happen.¹³⁴ In fact, the Berceuse is constructed of microscopic deceptions. The I-V paradigm, that “single impulse of departure and return,”¹³⁵ is a “deception” in itself. The Berceuse is circular: we do not know how we got there (we were enticed by the hypnotic introduction before the melody began); we do not know where we are going (we are seemingly always in I moving toward V [definitely] and V moving toward I [less so]); its meandering melody bears resemblance to the rhetorical figure *circulatio*;¹³⁶ the boundaries between variations are concealed by the harmonic paradigm (the end of every four-bar melodic phrase functions simultaneously as both a cadence in the present phrase and an anacrusis to the next); and in its rhythmic structure, for the most part, we do not know we are there (in the next variation) until we have already arrived (the textural and rhythmic shifts are concealed in the anacrusis, a contrapuntal line, the middle of a beat

¹³⁴ John Rink, “Chopin in Performance,” 13. I borrow the phrase from Rink.

¹³⁵ Samson, *Chopin*, 223.

¹³⁶ The figures, in rhetoric, are used to ornament discourse in order to persuade. See Section 4, below, for a discussion of rhetoric.

(see Example 2), or juxtaposed by a phrase-mark, or pedal [see Table 1 below and Chapter 2]).

In its coda, we are going in the wrong direction: IV (at m. 59) is a submission, not a tension before the final resolution; in its 6/4 inversion it is all the more covert. Yet in that inversion, Chopin is able to deceive us more, by sustaining the D-flat (once tonic) pedal-point. And the final V7, when we eventually get there (m. 61), is veiled over the same (now tonic) pedal point, and by the hemiolas above. To complete the entire circularity of the Berceuse, the final statement of the original melody occurs over the tonic, with no V present in the paradigm whatsoever (again, but for its rhythmic memory). Yet the boundaries are further concealed, now between the end and what follows: the piece seems to extend but not to end: Chopin lengthens the last statement of the melody through phrase extensions and inserted rests (mm. 66-68); finally (in m. 68), the ostinato appears alone. Having served to both connect and deceive, it draws us “out” of the Berceuse, just as it had enticed us “in”.¹³⁷

¹³⁷ The analytical mind may suggest that at mm. 55-58, the inflection toward the subdominant is simply a way of cutting off the otherwise infinite variations on the ostinato, and that this harmonic move is the essential component of a full cadence, here signally an end. To such minds, I assert that while the V7/IV chord may be “analyzed” as simply bringing the Berceuse to its close, this is not how a performer would perform mm. 55-58, nor then, how the listener would hear these measures. Chopin’s objective in the Berceuse is its transcendent, transformational affect, and effect. The key to performance is the parallel roads of the performer’s state: while he may be hearing in his mind’s ear the sound of only the very next instant so as to transmit information through the hand, the performer is simultaneously always “with” the audience’s perception. (Artur Schnabel phrased this element of performance as follows: “The conception materializes and the materialization redissolves into the conception.” See Wolff, *Schnabel’s Interpretation*, 20.) Of utmost significance here, all the audience ever really knows is what has just happened. (As we will observe in Section D, even the perception of sounds heard recently can be altered by the listener’s experience of sounds heard since.) The pianist therefore, while conveying a sound, will ideally experience, simultaneously, the same as the listener. What happens at m. 55 is the first harmonic change in the whole Berceuse. It is new and transcendent. Indeed for the duration of mm. 55-58, the Berceuse does not move forward: it has even *less* motion than all the measures that preceded: the harmonic rhythm is prolonged so that the secondary dominant lasts for four measures, not, as all previous harmonies, a half-measure. At m. 55 therefore, the pianist (while on his parallel roads) is just as carried away as the audience. Hence I suggest that the move toward the sub-dominant area is not, for the pianist or the audience, played or therefore *heard* as drawing the Berceuse to its close. The challenge for the performer, though he may have studied a work his whole life, is to always be playing the moment as if it is new, and at times, as if he does

Example 2: Seamlessness in the Berceuse

Notes on the diagram: In the analysis of the seamlessness of the Berceuse, it is useful to call upon the layout of Chopin's sketch (see Appendix A[1]) whose details I discuss at length in Chapter 2. As we shall see in Chapter 2, Chopin's layout of the sketch is structured, until the coda (m. 55), in four-measure units, one per row, each of his numbered rows containing a variant. In contrast, his notation of the coda (mm. 55-70) on the second page of the sketch – but for the phrase extensions and cadence – is written on one stave (Chopin's "row 14"). The sketch contains no phrase-marks: he added them in his fair copy, MS 115, and he emended them in the engraver's copy, MS 231.¹³⁸

Reference to the units of the sketch illuminates the overlap of the variants with Chopin's phrase-marks. My analysis of the Berceuse's seamlessness is in two sections: Part A refers to melodic, rhythmic and textural elements; Part B (Table 1) analyzes the overlap of the variants with the notations of phrase and pedal. In the diagram below, repeated rhythmic patterns are omitted. Circled numbers refer to the variant units as numbered by Chopin in his sketch; I indicate the sketched rows with brackets. Phrase and pedal markings are taken from MS 231. Pedal markings indicate only the exceptions from Chopin's two pedals per measure.

not know what is next. (This result, ironically, is what we spend our lives practicing toward.) That is the beauty of music's existence in time as opposed to on the page, the difference between the performer and the analyst, and most significantly, the performance and the analysis. The moment that the pianist conveys "the end," I believe, that is just how the audience will hear it. Herein lies the difference between the performer that mesmerizes his listeners, and the others. Quite to the point, one who had a most extraordinary gift, and craft, in mesmerizing his listeners was Chopin. (See Eigeldinger, CPT, 55, 271, 272, 286, 291, 294. See also Section A, this chapter.)

¹³⁸ MS 115 is held the Bibliothèque Nationale, Paris, Département de la Musique. By MS 231, I refer to the engraver's copy, in an unknown hand, containing Chopin's corrections that he submitted for publication to Breitkopf & Härtel, Leipzig, in 1844. This copy is held in Warsaw in the Biblioteka Narodowa, as Sign. Mus. 231. In Chapter 2 I discuss both these sources in detail.

Example 2: Seamlessness in the Berceuse

The image shows a musical score for a piece titled 'Example 2: Seamlessness in the Berceuse'. The score is divided into six numbered sections (1-6) and covers measures 1 through 26. Section 1 (measures 1-2) shows a melodic line starting with a slur. Section 2 (measures 3-6) continues the melody. Section 3 (measures 7-12) features a change in rhythm with eighth notes and a syncopation in measure 12. Section 4 (measures 13-15) shows a 4-3 suspension in the alto voice. Section 5 (measures 16-19) includes acciaccaturas and a trill. Section 6 (measures 20-26) features alternating triplets and sextuplets. Handwritten annotations include 'diatonic' and 'chromatic' under measures 20-21, and 'Alternating 3rds' under measures 23-24. Measure numbers 1-2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23 are clearly marked.

A. Melody, rhythm, texture.

At m. 6 the new variant is concealed in the alto voice by the anacrusis, and under the slur.

At mm. 9-11 the dissonant 9^{ths} invite expressive emphasis on the rhythmically unstressed eighth-notes, paving the way for the syncopation in the alto voice in m. 12, which, in turn, prepares the ear for the syncopation of the rhythmic shift of the 4-3 suspensions in m. 13-14.

The iambic rhythm and counterpoint of the 4-3 suspensions in the alto line of mm. 13-14 becomes the rhythm and counterpoint of the ornamental acciaccaturas of mm. 15-18.

The rhythm of the intervallic acciaccaturas (mm. 15-18) becomes the rolled arpeggiation (outlining a third) that introduces the trill (m. 19). The trill, fluid, unmeasured and expansive in its gesture, behaves as a quasi arrhythmic no-man's-land between the acciaccaturas that precede it and the thirty-second-notes that emerge from it. Note the alternation of the intervals of the 2nd (chromatic) and the 3rd (diatonic) in the thirty-second groups (mm. 19-20), the alternation of diatonic (end of m. 20) and chromatic (m. 21), and the alternation of the intervals of the 6th (harmonic) and the 2nd (chromatic) in m. 22, leading to the alternating 3^{rds} in mm. 23-24.

At m. 23, our attention is drawn not to the accented beat of the new rhythm, but to the agogic emphasis of the dotted eighth-note. From the two triplets and the sextuplet (m. 23) until the octuplet (m. 24), there is an implied linear counterpoint between the upper and lower thirds. The alternation between the triplet sixteenth-notes and the gruppo at the end of each measure pave the way for the triplet sixteenth-notes of mm. 25-26. The chromatic ascent of thirds (mm. 25-26) emerges into the expanding intervals at the end of m. 26.

Handwritten musical score with annotations for measures 24-48. The score is divided into systems. Annotations include circled numbers 7 through 12 and descriptive text:

- Measure 24: Circled 7
- Measures 25-30: "Chromatic ascending 3rds" (circled 7), "Chromatic / alternating expanding intervals" (circled 8)
- Measure 31: "Chromatic descending 3rds" (circled 9)
- Measures 33-34: "Organ point alternating with 3rds" (circled 10)
- Measures 35-36: "Triads" (circled 11)
- Measures 40-42: "fioritura" (circled 11)
- Measures 45-46: "fioritura" (circled 11)
- Measures 47-48: "fioritura" (circled 12)

The rising and falling intervallic leaps of the sigh figures at mm. 27-30 emerge out of the expanding legato intervals of m. 26; Chopin includes the first sigh figure under the same phrase. The rhythm of the leaps at mm. 27-30 becomes the rhythm of the acciaccatura at m. 31, which then fills in its leap with the descending chromatic scale in parallel thirds.

The chromatic descent of thirds (mm. 31-32) merges into the two sonorities of mm. 33-34: the contrast of the bell-like A-flat organ point with the sigh-figures above creates a counterpoint of rhythm and sonority.¹ The triads at mm. 35-36 emerge from the texture of the A-flat organ-point and thirds of mm. 33-34.

At m. 37 the rising intervals of the first two thirty-second-notes evolve into the linear sixths at m. 38 (still the first two of each group), which become the broken triplet thirty-second-note sixths at mm. 39-42. The rising direction of the undulating sequences of mm. 37-38 is countered by the falling direction of the sequences of mm. 39-40. Through the compression of note values at mm. 37-42, the counterpoint of the double-stems, the implied hemiolas (slurs are mine) at mm. 37-38, and the overtones produced by the combination of the extremes of the keyboard, Chopin heightens the sonority in mm. 39-42. This sonority leads to the fiorituras at mm. 43-44 whose chromaticism (m. 43), unmeasured nature, and single line texture (mm. 43-44) contrast with the undulations of the preceding sixths (mm. 39-42) and subsequent thirds (mm. 45-46).

The broken thirds of mm. 45-46, which imply a hemiola and suggest two single lines, merge into one line at m. 47. That Chopin does not use double-stems here (stems are mine) suggests less intensity of sound than at mm. 39-42. At m. 47, the single line begins on the unstressed, third eighth-note.

¹ See Chapter 2, Section B (4).

The image shows a musical score for Chopin's No. 13, Op. 25. It is divided into several systems of measures. The first system shows measures 49, 50, 51, and 52. The second system shows measures 53 and 54. The third system shows measures 55, 56, 57, and 58. The fourth system shows measures 59, 60, 61, and 62. The fifth system shows measures 63, 64, 65, 66, 67, 68, 69, and 70. The score includes various musical notations such as slurs, hairpins, and fingering numbers.

Chopin wavers in his gradual augmentation of rhythm by intercepting the two sections of sixteenth-notes (mm. 47-50 and mm. 55-62) with a section of triplet sixteenth-notes (mm. 51-54). In each of these sections, the sixteenths begin on the unstressed beat of the measure. He lengthens the value and deepens the sonority of the sixteenths in mm. 55-57, simultaneously creating a counterpoint of sonorities by means of stems, hairpins, and fingering.² The hemiolas at m. 53 and those implied at mm. 61-62 (slurs mine) create ambiguity in the patterns of the continuing augmentation.³

Chopin creates a final augmentation of rhythm in the eighth-notes of mm. 63-68 and the double-stemming of mm. 67-68. The final recall of the melody at mm. 63-65 is only a fragment with a phrase extension at m. 64 under its same slur. The eighth-notes of the second phrase extension at m. 66 begin on the unstressed beat. The right hand rest of m. 68 is at once the respiration following the second phrase extension (mm. 66-67) and the respiration before the final cadence. The long pedal over the right hand respiration at mm. 67-68 connects the second phrase extension with the final cadence.

² See Chapter 2, Section A(4) and B(3)(g) and B(4).

³ See Chapter 2, B(3)(g) and B(6), and Chapter 2, Example 2.

B. TABLE 1: The Berceuse's seamlessness: phrase, variants, and pedal.

In his articulation of phrase, Chopin conceals the beginnings and ends of the variants in two ways:

(i) The phrases span one, two or three variants, and occasionally portions of variants or measures.

(ii) The new phrase often ends on the first beat of a new variant, a feature that is related to the harmonic paradigm (the tonic is at once the close of a cadence and the beginning of the new phrase). In this way the articulation and expressive functions of the phrase further conceal the ends and the beginnings of the variants. In MS 231 Chopin indicates that at mm. 47 and 55, the new phrase begins on exactly the note that ends the preceding phrase.

Phrase (indicated by MS 231) by measure number (measure numbers per all publications)	Four-measure variant/unit number (indicated by sketch)	Pedal (indicated by MS 231)
3-14 (ends at last beat)	1, 2, 3	
15-19 (no phrase-mark)	4	
19-27 (ends at first beat of sigh figure)	5, 6	M. 25, m. 26: single pedals contrast pedaled and unpedaled texture in the ascent of chromatic parallel thirds. (See Chapter 2, Section B[6a].)
27-30	7	
31-34	8	
35-36	First half of 9	
37-39 (ends at first beat)	Second half of 9	
39-44	10, 11 (first 1.5 measures)	The long pedal that sustains the second trill of m. 43 into the fioritura of m. 44 creates a swoosh of sonority over the bar-line in these rhythmically expansive ornamental measures. (See Chapter 2, Section B[6d].)
44	11 (2 nd fioritura of m. 2 of unit)	
45-47 (ends at first beat of sostenuto, where next phrase begins)	11 (mm. 3-4)	
47	12 (m. 1)	
48	12 (m. 2)	
49-51 (ends at first beat)	12 (mm. 3-4)	
51-55 (ends at first beat, where next phrase begins)	13	
55-65	14 plus first measure of extended stave below. (As noted in chapter 2, Row 14 does not contain any four-measure units.)	Just as Chopin augments the rhythm, sonority (through fingering, hairpins and stems at mm. 55-57), and phrase-length in the coda, he lengthens his pedal markings. Note the <i>ritardando</i> in the rhythm of the pedal in mm. 55-58, 59-62, and 63-68, each time in a different way. (See Chapter 2, Section B[6e], and Chapter 2, Example 2.)
67-68	Remaining two measures of extended stave below Row 14.	The long pedal over the right hand respiration at mm. 67-68 connects the second phrase extension with the final cadence. (See Chapter 2, Section B[6e].)

(d) Sonority

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 reverberations, *the most delightful for improvisation* [emphasis mine].¹³⁹

“Thus in 1762 did Emanuel Bach express his pleasure in the extra resonance and special color gained for the relatively weak sound of the fortepiano by raising its dampers,”¹⁴⁰ and particularly, he adds, as “the most delightful” in improvisation. Sandra Rosenblum’s concise details on the damper mechanism’s history are worth mentioning here:

The fortepiano was the first keyboard instrument to have a mechanism independent of the keys designed specifically for raising the dampers from the strings. Gottfried Silbermann adopted the hand stop to raise and lower the dampers by the 1740s; the far more flexible and effective knee lever appeared on fortepianos by the 1770s. Virtually all makes had a stop, lever, or pedal for this purpose by the last quarter of the eighteenth century. Regardless of the mechanism, when the dampers are raised the strings are free to vibrate sympathetically with any notes that are played. The reinforced overtones impart a glow or richness to the sound.¹⁴¹

In order to understand the pedaled sonority in its historical perspective, we must consider its novelty at the time that C.P.E. was writing.¹⁴² It is known that both Carl Philip Emanuel and his father had access to the Silbermann pianos at the court of Frederick the Great in Potsdam, where Emanuel was employed by the king from 1740 to 1767. Forkel describes Johann Sebastian’s visit to the court in 1747 as follows:

¹³⁹ C.P.E. Bach, 431.

¹⁴⁰ Sandra Rosenblum, *Performance Practices in Classic Piano Music* (Bloomington: Indiana University Press, 1991), 102. 1762 is the date of first publication of Part II of Bach’s Essay.

¹⁴¹ Rosenblum, *Performance Practices*, 40. See also “Pedalling,” *The New Grove*, 2nd ed., v. 19, 272-274.

¹⁴² From hereon I refer to the “pedaled” sonority as that produced by raising the dampers, by means of either the hand stop, knee lever, or pedal.

The King gave up his concert for this evening and invited the Old Bach, to try his fortepianos, made by Silbermann, which stood in several rooms of the Palace. . . . The musicians went with [Bach] from room to room and Bach was invited everywhere to try them and to play unpremeditated compositions.¹⁴³

Indeed, Forkel informs us, “The pianofortes manufactured by Silbermann . . . pleased the King so much that he resolved to buy them all up. He collected 15.”¹⁴⁴

Emanuel does not mention the pedal in his first volume (1753). In his second volume (1762), he not only speaks of the damper mechanism,¹⁴⁵ but indicates his pleasure in the fortepiano as an instrument, not only for its capability of a gradation of sound, but in the variety of ways in which the volume can be changed:

The fortepiano and clavichord provide the best accompaniments in performances that require the most elegant taste. . . . [Those instruments] enjoy great advantages over the harpsichord and organ because of *the many ways in which their volume can be gradually changed* [emphasis mine].¹⁴⁶

In the piano literature, pedal indications are scarce until about 1800.¹⁴⁷ There are none in Mozart’s scores, Haydn notated it once – in his C major sonata of 1794 (with the

¹⁴³ David and Mendel, *The Bach Reader*, 305. It is here interesting to note that the elder Bach went “from room to room” *improvising* on all the fortepianos. It was on this visit that Bach improvised his *ricercari* for the Musical Offering (see David and Mendel, 305-306).

¹⁴⁴ David and Mendel, *The Bach Reader*, 305.

¹⁴⁵ C.P.E. Bach, 431.

¹⁴⁶ C.P.E. Bach, 172. See also 369.

¹⁴⁷ Breitman, David: “The Damper Pedal and the Beethoven Piano Sonatas: A Historical Perspective” (D.M.A. diss., Cornell University, 1993), 22, 49. Breitman’s dissertation is an invaluable resource for understanding the use of the pedal in the history of keyboard literature.

designation “open pedal”),¹⁴⁸ and Beethoven’s first sonata published with pedal indications was Op. 26 in 1800-1801.¹⁴⁹

David Breitman’s way of thinking about the history of the pedal, comparing its original use to that of “dynamics” and a “register,” is crucial to our understanding.¹⁵⁰ Its effect is two-fold: the line(s) may be sustained, and there is an after-effect of sympathetic reverberations in the piano. The experience is so basic to (and so often abused in) our everyday musical lives that it becomes next to impossible to appreciate the pedal’s significance, and sound, in the keyboard tradition of two hundred years ago. The developing capability of the piano to create a cantabile and legato went hand-in-hand with its ability to offer a canvas of alternate textures: a long melodic line, with its harmonic embellishment beneath. The pedal therefore allows for a horizontal sonority to become a vertical sonority, and for different sonorities to occur simultaneously. Of course what this means is that the piano becomes a canvas for a multitude of vertical sonorities – one of the most significant issues in the piano’s development and in its literature.¹⁵¹ Indeed, Breitman concludes that the improvisatory nature of the Moonlight Sonata and Beethoven’s use of the pedal (for the entire first movement) as a “special register” seem to completely “bear out C.P.E. Bach’s remark” that “the undamped register of the fortepiano is the most pleasing . . . and the most delightful for

¹⁴⁸ See Richard Kramer, “On the Dating of Two Aspects in Beethoven’s Notation for Piano,” *Beiträge ’76-’78 Beethoven Kolloquium 1977*, ed. R. Klein (Kassel: Bärenreiter, 1978), 160-173. Kramer demonstrates that “open pedal” indicates raising the dampers and sustaining all that follows.

¹⁴⁹ Breitman, 29, 31, 49.

¹⁵⁰ Breitman, 26-27.

¹⁵¹ I discuss Chopin’s pedaling with respect to his favored instrument, the Pleyel, in Chapter 2, Section B(6).

improvisation.”¹⁵²

(e) Beauty of variety: the figurations

The concept of “beauty of variety” is “made evident in the fantasia.”¹⁵³ Like Niedt, Bach explains that this is achieved through “diversified figurations,” whose variety conveys the fantasie’s purpose.¹⁵⁴

The ear tires of unrelieved passage work, sustained chords, or broken chords. By themselves they neither stir nor still the passions; and it is for these purposes that the fantasia is exceptionally well suited.¹⁵⁵

One of the most significant elements of Bach’s notated fantasie is its texture. Indeed, under the keyboardist’s hands it presents as an “almanac” of textures: it is constructed largely of embellished chords and arpeggiations, with some intermittent chromatic figuration, a fragment of the overture style, a passage in sixths, and some chords marked with alternating *piano* and *forte*. Bach places his instructions on the “undamped register” as early as his fourth paragraph; further, his advice for “a diversified figuration and all attributes of good performance” is filled with details:

Broken chords must not progress too rapidly or unevenly . . . Occasional exceptions to this precept may be introduced with good effect into

¹⁵² Breitman, 118-119. Additionally, Breitman concludes that because the first movement of the “Moonlight” is without precedent in using the pedal as a register – with no contrast – for the entirety of the piece, there was no additional indication necessary for individual pedal markings, such as Czerny suggests, on each beat: hence Beethoven’s indication “*Si deve suonare tutto questo pezzo delicatissimamente e senza sordino*” (“One must play this piece as delicately as possible and without the dampers”).

¹⁵³ C.P.E. Bach, 438.

¹⁵⁴ C.P.E. Bach, 438.

¹⁵⁵ C.P.E. Bach, 438.

chromatic progressions. The performer must not break his chords constantly in a single color. Both hands may progress from the low to the high register, or the left hand may do this alone while the right remains in its own register. This kind of execution is good on the harpsichord, for out of it there comes an agreeable alternation of devised forte and piano.”¹⁵⁶

How interesting it is that Bach teaches that one can obtain differences in color (a “devised” forte and piano) in varying the octave placement of the hands – even on the harpsichord which otherwise cannot produce the dynamics he knew Silbermann’s fortepiano could produce. But Bach is talking about more than dynamics: as pianists we know that the various registers of the keyboard, and therefore voicings of the hands, produce different reverberations and sonorities. This aspect of keyboard playing applies to the clavichord, harpsichord and fortepiano just as it does to the modern piano. Indeed, on the fortepiano, due to the nature and materials of its construction, such effect is all the more pronounced than on the modern piano. We cannot undermine the detailed emphasis Bach accords to this aspect of the improvised “free fantasia.” In the light of the pedal as a “register” that is “the most pleasing,” and the significance Bach grants to sonority, color and texture, I propose we consider that *not only* is the pedaled sonority the “most delightful” canvas upon which the fantasie is conceived, but that these pedaled, “diversified figurations” as a means of conveying “the beauty of variety” were a component of the fantasie’s language. This texture was a linguistic tool for communicating the fantasie’s fundamental purpose: “to stir or still the passions.”¹⁵⁷

The characteristics and use of the figurations as a component of structure, harmony, texture, sonority, and expression warrant attention. In Example 3 below I list

¹⁵⁶ C.P.E. Bach, 439.

¹⁵⁷ C.P.E. Bach, 439.

those whose shape and function, as described by Bach, bear resemblance to Chopin's usage. My purpose is to demonstrate that the nature and use of the figures were part of the evolving tradition that Chopin inherited.

Example 3

“The second may be struck and quitted before each tone of a broken triad or a relationship based on a triad. This is called “breaking with *acciaccature*.”¹⁵⁸



This figure is an innate component of Chopin's language, as we see in mm. 19-20:

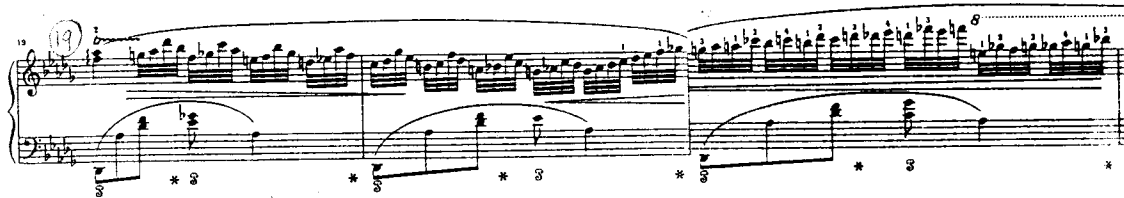


And in mm. 37-38:



¹⁵⁸ C.P.E. Bach, 439.

The effect of the texture in each style, of course, is that it creates opposition in sonority between the essentially diatonic and the chromatic. In m. 20 (below), the figure is transformed into a scale that leads into a sequence of intervallic seconds at m. 21. (Some intervals in m. 21 are notated as thirds, but they sound enharmonically as seconds.)



“Imitations in parallel and contrary motion can be very well introduced into *various parts* [emphasis mine]:”¹⁵⁹



Chopin creates not only counterpoint, but an additional sonority over the organ-point, as described earlier, through the hairpin crescendo and diminuendo in mm. 33-34:



In his corrected copy submitted for publication, Chopin inserts and subsequently deletes two-note phrases above the thirds in the upper voices, an issue I discuss in Chapter 2.¹⁶⁰

¹⁵⁹ C.P.E. Bach, 440.

¹⁶⁰ See Chapter 2, Section B(4): Stems and fingering.

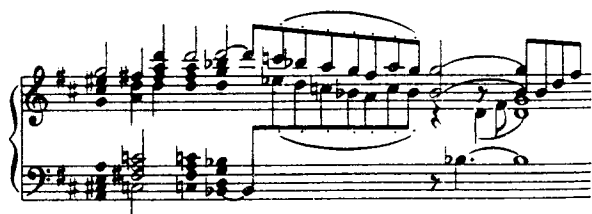
Like Niedt, Bach's example demonstrates the use of the figuration in sixths:¹⁶¹

Niedt:

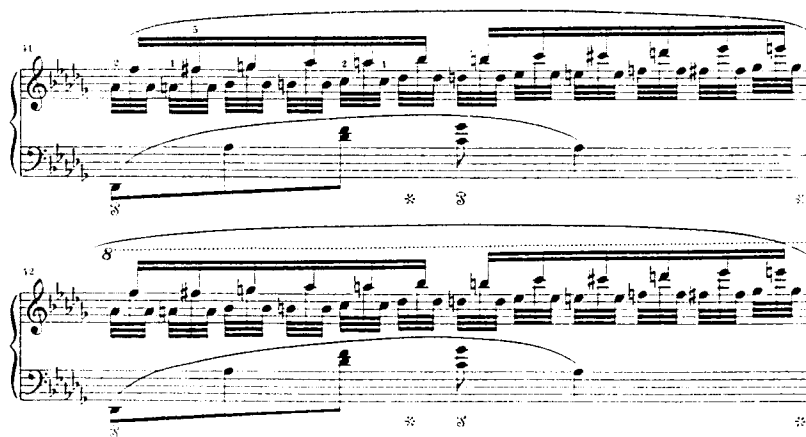
XV. By exchanging the upper voices



C.P.E. Bach:



Chopin (mm. 41-42):



¹⁶¹ C.P.E. Bach, 444, taken from Bach's example of the fantasia.

“The dominant organ point can also be introduced effectively before the close.”¹⁶²

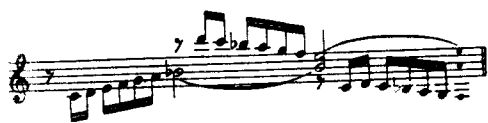
I include below Bach’s two examples: that offered in his text, and his notated example. Note that Bach’s text example contains sustained sonorities in the upper voices of the secondary dominant, just as indicated in the Berceuse by accents, stems, and fingering (m. 55-57).¹⁶³ In Bach’s notated example I have included the passage preceding the dominant organ-point to demonstrate the contrast in his prolonged evenness in rhythm, texture and sonority of the dominant organ-point close: note the chromaticisms, changing rhythms, textures, sonorities, arpeggiations, and sudden alternations of *piano* and *forte* which precede. Chopin not only indicates a *sostenuto* at m. 47 (not included in the example), but notates the coda with stems, elongated pedal indications, and note-values that are relatively longer and markedly more even than all we have heard since m. 11. The relative shifts of rhythm, harmonic rhythm, texture and sonority in the closing section are striking in both Bach’s fantasie and Chopin’s Berceuse.¹⁶⁴

¹⁶² C.P.E. Bach, 432.

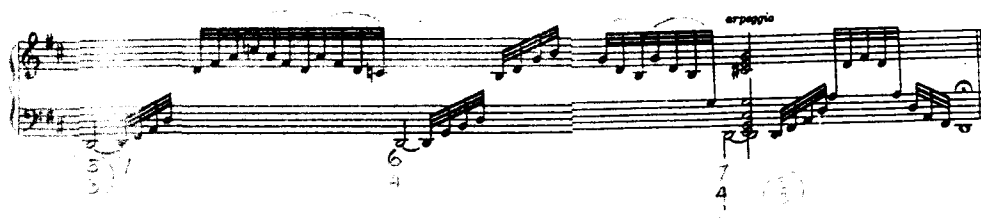
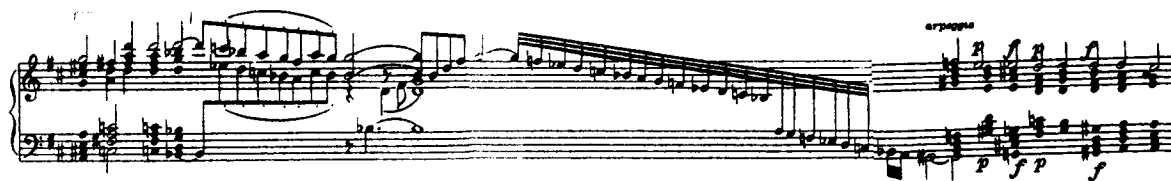
¹⁶³ I discuss Chopin’s use of stems and fingering in the sketch and corrected copy, see in Chapter 2, Sections A(5): Fingering and B(4): Stems and Fingering.

¹⁶⁴ I discuss the Coda in Chapter 2, Section A(4): The Coda, and Section B(6): The Pedal and (7): Final Measures.

C.P.E. Bach (example from text):



C.P.E. Bach (Fantasie in D major):¹⁶⁵



Berceuse, coda (mm. 55-70):

Four systems of musical notation (treble and bass clefs) for the coda of the Berceuse. The notation includes complex textures with arpeggiated chords and melodic lines. Dynamics include *p* and *dim*. Fingering numbers (7, 4, 6, 4) and asterisks are present below the bass staff.

Example 4: Bach's Fantasie and the Berceuse's coda

¹⁶⁵ The bracketed chords are probably shorthand for arpeggiations, as in J.S. Bach's Chromatic Fantasie.

Indeed Bach explains that the harmonic progression itself may contain an implicit performance instruction:

*The chromatic chords which were discussed in Paragraph 11 are best fitted to slow arpeggiation and the expression of profound feeling.*¹⁶⁶

He adds that such progressions “must be played more broadly.”¹⁶⁷ While Bach’s reference indicates examples of progressions that are strikingly chromatic, we may observe that there exists only one chromatic alteration in Chopin’s entire *Berceuse*: the C-flat in m. 55. Given its contextual significance, it is not out of place for us to consider the deeper level of Bach’s instruction, that is to say, that a chromatic progression (or others) may contain an implicit performance direction. As such, we may note the harmonic, historic “sense” behind the expressivity Chopin accords this note through stems, fingering, and hairpins in mm. 55, 56, and, in his corrected copy, at m. 57.¹⁶⁸

Bach firmly instructs that “[the principal key] must be well prolonged as a means of preparing the listener for the end of the fantasia.”¹⁶⁹ Bach’s attention is focused on the listener’s perception and orientation until the close. Not only does Bach demonstrate that the dominant organ-point as an effective means to end the *fantasie*, but he provides, among his figured bass examples, various chromatic renditions of the 7/6/4/2 chord.¹⁷⁰

¹⁶⁶ C.P.E. Bach, 440.

¹⁶⁷ C.P.E. Bach, 438.

¹⁶⁸ The edition in Example 3 is the Urtext, which differs from the corrected copy, whose hairpins appear longer than one note in mm. 55-57. See Chapter 2, Section A(5): Fingering, Section B(4): Stems and Fingering, and B(5): Dynamics; and Chapter 3, Section B: The evolution of Chopin’s markings.

¹⁶⁹ C.P.E. Bach, 431.

¹⁷⁰ C.P.E. Bach, 433.

(We observe that Chopin uses this chord in mm. 61-62.) In view of this point, note the particularly “unmeasured” sense of Bach’s 7/5 and 6/4 arpeggiations, which may, or may not necessarily be interpreted into various groupings. (I offer a suggestion through my slurs.) Note also Chopin’s overlapping hemiolas in the texture in mm. 61-62 of the Berceuse (slurs are mine) in the 7/6/4/2 chord, which similarly defy the measure.¹⁷¹ My point is to illustrate the various rhythmic textures and textural rhythms that were a component of the figurations’ language in the keyboard tradition. The figurations’ harmonic, rhythmic, textural, and sonorous language functioned “to stir and still the passions.” Only their idiom is transformed.

4. The Rhetoric of Fantasie

The use of memory to induce orientation and deception in the listener, as described by Bach in the fantasie, exists not only in the field of music; the fantasie can be seen in analogy to rhetoric as an art of “the means of persuasion.” Though there is a long tradition of viewing music in rhetorical terms, to enter that domain is a challenge, to be sure. Elaine Sisman sums up what she calls its “slippery” task:

To explore the problems posed by rhetoric and music seems at times like wrestling with a jellyfish which might then turn into a boa constrictor.¹⁷²

Yet Chopin frequently drew parallels between the arts of declamation and musical

¹⁷¹ I discuss these measures in detail in Chapter 2. See Section A(4): “The Coda,” and Section B(6): “The Pedal.”

¹⁷² Elaine Sisman, “The Music of Rhetoric,” in *Music and Sister Disciplines: Past, Present, Future. Proceedings of the 16th International Congress of the International Musicological Society, London, 1997*, ed. David Greer (Oxford: Oxford University Press, 2000), 169.

discourse, with the aim of moving his listener “by means of intonation and accentuation appropriate to the meaning of the text.”¹⁷³ Given Chopin’s constant references to oratory in his teaching, it is an issue that begs our attention.¹⁷⁴ As my thoughts in this area are inspired by Sisman’s writings, I shall refer to them as a basis of my discussion. My intention here is not to review the history of rhetoric in connection with music, but to touch upon some parallels in the musical genres of variation and the improvisatory on the one hand, and rhetoric on the other.¹⁷⁵ This, in turn, may shed some light on Chopin’s improvisatory language in the Berceuse. To start, I shall focus on the terms *inventio*, *memoria* and *fantasia*.

The five traditional parts of rhetoric constitute invention (*inventio*), arrangement (*dispositio*), style (*elocutio*), memory (*memoria*) and delivery (*actio*). Invention may be understood as “the finding and elaboration of arguments.”¹⁷⁶ Memory, the fourth part, discusses devices to aid and improve the memory. In verbal improvisation, the orator’s memory was trained through the *ars mnemonica*, a “memory theater” method that exploits the visual cortex by associating a particular pattern of argument with a visual scene, usually of a familiar building, room or place. The memory therefore constitutes one of the basic elements of the *ars mnemonica* “upon which verbal improvisation

¹⁷³ Eigeldinger, CPT, 14.

¹⁷⁴ Eigeldinger, CPT, 42-45. I discuss Chopin’s references in detail in Chapter 2, Section B, 3(a): “The rhetorical.”

¹⁷⁵ For further discussion on rhetoric and music, the reader may wish to consult the article by Blake Wilson, George Buelow, and Peter A. Hoyt, “Rhetoric and Music,” *The New Grove*, 2nd ed., v. 21, 260-275.

¹⁷⁶ Richard Lanham, *A Handlist of Rhetorical Terms* (Berkeley: University of California Press, 1991), 91-92.

(*oratio mentalis*) is so dependent.”¹⁷⁷ In his treatise *Institutio oratoria*,¹⁷⁸ Quintilian instructs that an image is placed in the locus (a place in the mind). When prompted by a circumstance, the image (the thing placed in the mind) activates the memory (*memoria*) that transforms it, elaborates it, and hands it back for execution (delivery):¹⁷⁹

. . . [the memory], somewhat in the manner of a medium, hands over for oratorical execution what has been received from invention.¹⁸⁰

Memory is not only one of the five branches of rhetoric; it is also a component of the secondary level of rhetoric that seeks to persuade through verbal ornamentation, using analogy and metaphor, for example, to look at things in another way. This secondary level calls on the figures of rhetoric, which behave as a pool of decorative terms used to elaborate discourse (as an element of style) in order to persuade. The rhetorical figure *fantasia* is such a figure, whose components involve memory and absence. In her essay “The Music of Rhetoric,” Sisman offers an account of the usage of the figure *fantasia* (from the Greek *phantasia*) as it occurs in both rhetoric and music:

. . . the rhetorical figure in which a speaker uses an image to make an absent thing appear to be present, to call an experience vividly to mind, to bring the audience into the world of the speaker or composer in order to sway them to have the desired feelings.¹⁸¹

¹⁷⁷ Gregory G. Butler, “The Fantasia as Musical Image,” *Musical Quarterly* 60 (1974), 607.

¹⁷⁸ Quintilian, *Institutio oratoria*, trans. H. E. Butler, Loeb Classical Library (Cambridge, MA and London: Loeb Classical Library, 1920)

¹⁷⁹ Butler, 608. I paraphrase Butler’s explanation.

¹⁸⁰ Quintilian, *Institutio oratoria* XI, ii, 3-4. “. . . quod illa quasi media quaedam manus acceptum ab inventione tradit elocutioni.” Quoted in Butler, 608.

¹⁸¹ Sisman, 175.

She describes the *fantasia* as a “two-way street . . . that stands at the intersection of style, memory, and performance.”¹⁸²

. . . it stirs the appropriate images in the composer’s own memory in order to create new or newly alive memories in his listeners’. As a type of musical rhetoric then, fantasy enables us to hear a piece in the act of its own creation.¹⁸³

Sisman’s analogy of the *fantasie* as a “two-way street” stirring both the composer’s memory and the listener’s is crucial not only to our understanding of the *fantasie* as a genre, but to our perception of the reciprocal semblances of the improvisatory “striving to appear as if extempore”¹⁸⁴ and the improvised, “[whose] listener would have sworn that everything had been conscientiously written out.”¹⁸⁵ (I propose that we provide a center lane for the role of the performer’s memory, re-creation, and transmission.) I would add that the quality she describes as “enabling us to hear” reflects the effect of Bach’s creative intention in the *fantasie*: to sway the listeners’ perception by means of their orientation and memory.

Such concepts prevailed in the late eighteenth and early nineteenth centuries. In 1800 the German writer J.C. Adelung, for example, who used the terms “imagination” and “*fantasie*” as synonyms, describes rhetorical “figures for the imagination” that could “*stir that power of the soul to create images in ever stronger gradations until the image*

¹⁸² Sisman, 176.

¹⁸³ Sisman, 176.

¹⁸⁴ Mattheson, 465.

¹⁸⁵ David and Mendel, *The Bach Reader*, 66.

fills the mind [emphasis mine].”¹⁸⁶ Writing on German literary style, his book, published in four editions between 1785 and 1800, was contemporaneous to Bach’s *Essay*, whose Part II was published in 1762 and reissued in 1797. Note that Adelung’s phrase echoes Bach’s purpose of the *fantasie* to “stir or still the passions.”

The German writer Johann Georg Sulzer focused on the artist’s use of imagination in his *Allgemeine Theorie der schönen Künste* (*General Theory of Fine Arts*), whose four volumes were published during 1771-1774, and again during 1792-1799.¹⁸⁷ His work “sums up the generally accepted place of the imagination in the arts throughout the latter half of the eighteenth century.”¹⁸⁸ For Sulzer, perception, memory and the transformation of ideas are the underlying bases of imagination. He demonstrates how a concept or image might be transformed through memory and the imagination into a work of art through its symbolic, emotional, sensuous, and unifying features. He offers the phrase “*Tu Marcellus eris*” from Virgil’s sixth book of the *Aeneid* as an example. The context is as follows:

. . . Aeneas, peering as a visionary into Rome’s future, foresees the tragic death of Augustus’ nephew and son-in-law, nineteen-year-old Marcellus, who promised to be a second great Marcellus.¹⁸⁹

Virgil portrays Aeneas, the legendary founder of Rome, looking into the future, simultaneously toward the optimism of promise and the tragedy of Marcellus’ young

¹⁸⁶ J.C. Adelung, *Ueber den deutschen Style* (4th ed., Berlin, 1800). Quoted in Sisman, 177.

¹⁸⁷ Johann Georg Sulzer, *Allgemeine Theorie der Schönen Künste* (*General Theory of Fine Arts*), 4 vols., (Leipzig 1771-1774; 2nd ed. 1792-1799; reprint, Hildesheim: Georg Olms Verlagsbuchhandlung, 1970.)

¹⁸⁸ James Engell, *The Creative Imagination: Enlightenment to Romanticism* (Cambridge: Harvard University Press, 1981), 104.

¹⁸⁹ Sulzer, *Allgemeine Theorie* I, 349-350. Quoted in Engell, *The Creative Imagination*, 105.

death. As James Engell explains, “the meaning of the word *eris*, besides ‘you will be,’ seems just as clearly to be ‘you would have been’ or ‘you will have been.’”¹⁹⁰ Through imagination and perception, the multiple meanings of *eris* supersede its tense, and no sole context of the word can exert a greater force than another. Through the single word *eris* Virgil calls on the imagination to portray simultaneously Rome’s troubled times, hope, tragedy, past, present, and future, as one.¹⁹¹ Memory becomes an entity of the future, portrayed in the past.

To further our perspective, let us revisit how memory behaves in music. We have observed in the writings of Niedt (on the practice, imitation and learning of the figures) and Mattheson (who advised the organist to stock “a reserve of many ideas and phrases”)¹⁹² that the figures required for improvisation existed in memory. (We recall the parallel in rhetoric, where, the memory “hands over for oratorical execution what has been received from invention.”)¹⁹³ Yet such concepts were already apparent in musical writings that precede and are subsequent to the eighteenth century. In his essay entitled “*The Excellent Art of Voluntary*” (ca. 1695) on keyboard improvisation, Roger North portrays memory’s effect on the player – he will perform as if “without thinking” and “fast asleep”:

By this he will know the fluency and emphases of musick, and his memory will be filled with numberless passages of approved ayre, ... And all of these in a manner as may be termed *memoriter*, in a like manner as persons that deal in tunes and lessons have them by heart and can

¹⁹⁰ Engell, *The Creative Imagination*, 105.

¹⁹¹ Engell, *The Creative Imagination*, 105.

¹⁹² Mattheson, 859.

¹⁹³ Quintilian, *Institutio oratoria*, XI, ii, 3-4. Quoted in Butler, 608.

performe without thinking, and even as sometimes comon fiddlers will play when fast asleep; which I mention to shew what exactness and perfection of memorial habit a master ought to be armed with, to enable him to be a perfect voluntier.

It is not to be expected that a master invents all he plays in that manner. No, he doth but play over those passages that are in his memory and habituall to him.¹⁹⁴

North later refers to these “numberless passages” as “pre-contrived stratagems.”¹⁹⁵

Indeed Czerny’s instruction on improvisation is based on its specific comparison to oratory. In his *Systematic Introduction to Improvisation at the Piano, Opus 200*, dated 1839, he introduces his fourth chapter “Concerning Improvisation on a Single Theme” as follows:

As soon as the performer sits down before a larger gathering and generally to improvise in front of an audience, he can be compared with an orator who strives to develop a subject as clearly and exhaustively as possible on the spur of the moment. In point of fact, so many principles of oratory correspond with those of musical improvisation that it is not inappropriate to venture the comparison.¹⁹⁶

Czerny’s fundamental focus is the performer’s memory in conjunction with the listener’s response. He first compares the orator’s accomplishment in speech with the pianist’s “mechanical” memory:

Just as the orator must be completely accomplished as much with his tongue as with his speech in order never to be at a loss for a word or turn

¹⁹⁴ Roger North, “The Excellent Art of Voluntary” (ca. 1695) in *Roger North on Music*, ed. John Wilson (London: Novello, 1959), 141. Quoted in Butler, 612.

¹⁹⁵ Wilson, 141. Quoted in Butler, 612.

¹⁹⁶ Carl Czerny, *A Systematic Introduction to Improvisation on the Pianoforte, Opus 200*, trans. and ed. Alice L. Mitchell (New York and London: Longman, 1983), 42.

of expression, the performer's fingers must likewise have the instrument completely in their power and be at the disposal of every difficulty and mechanical skill.¹⁹⁷

Next, he compares the orator's knowledge with the pianist's memory of harmony, ideas from the literature, and melodies:

Just as the orator must combine extensive reading of a general nature and fundamental knowledge in all branches of his field of scholarship, it is similarly the responsibility of the keyboardist, in addition to studying basic principles of harmony and becoming acquainted with many works of varying degrees of value by the master of all period, to have memorized a large assortment of interesting ideas from the literature and also to have at his command the current musical novelties, the favorite themes from the operatic melodies, and so on.¹⁹⁸

Like C.P.E. Bach, Czerny draws the orator's and improviser's attention to the mind of the listener:

...so also must the performer seek to gain a special appeal for his playing through beautiful and tasteful turns of expression, through presence of mind and consideration of his listeners' powers of comprehension, through elegance, and through appropriate embellishments.¹⁹⁹

In both oratory and improvisation, the most outstanding execution occurs as the result of both talent and craft. Just as an orator presents his points but does not pre-conceive every word, the desired effect of the ideal improvisation is the transformation of mechanical memory into a "sub-conscious . . . dream-like playing" combined with a mindful adherence to the plan:

¹⁹⁷ Czerny, 42.

¹⁹⁸ Czerny, 42.

¹⁹⁹ Czerny, 43.

Especially when great natural ability and much skill are involved, fantasy-like improvisation frequently consists in an almost subconscious and dream-like playing motion of the fingers, which makes it only so much the better, – just as the orator does not think through each word and phrase in advance. Nevertheless, the performer must always have the presence of mind (especially when he has to develop a given theme) to adhere constantly to his plan.²⁰⁰

We may thus understand that the fantasie has parallels in its musical and rhetorical terms. Among its components are memory, transformation, and perception. The musical event inspires both the memory of the absent and the perception of its transformation into something new. It is precisely those aspects of memory (the hands' and the listeners') and perception – integral components of the improvisatory genre – that cannot be notated on the page.

In the Berceuse, the “absent” is the melody. The “new” is the present variation and the new sonority. Yet in the Berceuse, the new occurs simultaneously with memory itself (the ostinato, and the one- and four-measure harmonic units): “the absent made present” is an ever-present contrapuntal dimension. Moreover, the transitions between variations are imperceptible. In the Berceuse, through the simultaneous appearance of memory (horizontal and vertical) and its transformation, the two genres – variation and the improvisatory – merge as one. The effect on the listener is transcendental – both a quality of its affect and its genre as lullaby. The transcendent experience is heightened by the ambiguity of its harmonic deception: that which happened but didn't happen (the inversion of memory). I offer the suggestion then, that the essence of the improvisatory style of the Berceuse lies in those elements it has in common with a “fantasie,” that is to

²⁰⁰ Czerny, 43.

say, not only in its textures and sonorities, but as an entity structured on absence, memory, and deception: on what is there but not there, all at the same time.

We may consider the same principle in a work of significantly greater proportions than the seventy-measure Berceuse: Chopin's *Fantasia* Op. 49 of 1841. The concepts of orientation, memory and deception, in terms of the compositional and harmonic language of Bach in his *fantasia*, may well be applied to the dual polarity of F minor and A-flat major in Chopin's *Fantasia*. Absence, memory and deception are its underlying bases. While a "tonic" of A-flat major affirms itself at the end, we remain with a sense of uncertainty in *our* orientation. Yet the listener's ultimate disorientation and deception through memory are essential components of the rhetoric of the *fantasia*'s genre. (How these concepts manifest themselves, of course, will differ in each work.) Our endeavor to identify its tonic, I dare suggest, is to perhaps miss the point, in terms of the genre's rhetorical terms: in Chopin's *Fantasia* we may rather consider its "tonality" as a background entity, for it is memory and deception that function rhetorically, in its foreground, with the greater force. The perspective of Bach's language viewed through the window of rhetoric offers another dimension in which to consider Carl Schachter's portrayal of the *Fantasia*'s final measures:

The deceptive cadence interrupts . . . but the interruption does not lead to the sort of violent conclusion to which Chopin was so often drawn. . . . What follows instead is the urgent appeal of the *Adagio sostenuto*, an appeal to which the final tonic yields no definite answer, for the piece ends like a dream, its elements dissolving into nothingness just when we think we have finally grasped their meaning.²⁰¹

²⁰¹ Carl Schachter, "Chopin's *Fantasy* Op. 49: the two-key scheme," in *Chopin Studies* I, ed. Jim Samson, (Cambridge: Cambridge University Press, 1988), 253.

The key to our historical understanding of both improvisation and the improvisatory is that in our perception, we are not necessarily supposed to be able to distinguish the present (what we are hearing in the moment) from our memory (that which existed before, either within the work or outside of it). We may now recall the exclamation of Chopin's friend Dworzaczek, on hearing Chopin improvise: "I have it in my soul, and you have just played it!" And Chopin's resounding joy: "You never knew this song . . . only its spirit: the spirit of the Polish melody! And I am so happy to have been able to grasp and reveal it."²⁰² It is in the apparent disparity of whether the "song" had existed or not, that we locate the key elements of the improvisatory genre: those of deception, transformation, and the imagination. Memory's ability to co-exist in the past, present and future may be seen as both the genre's beauty and its tool. In our consideration of all the arts, we should note that the interaction of memory and deception occurs as an ideal entity in performance, for we cannot ever retrieve the sound that we just heard.

The concepts that underlie the improvisatory genre in the keyboard tradition Chopin inherited are transformation through memory and deception, whose language is harmonic structure, texture and sonority. The improvisatory "stirs and stills the passions" through the "beauty of variety" of "diversified figurations" that not only elaborate the underlying harmonic structure, but fall from under the hand through its memory; and the pedal which creates simultaneously an alternative existence, a perfect sonority for memory and deception, and, as we shall see in the *Berceuse*, has a life of its own.²⁰³

²⁰² Wilkońska, *Moje wspomnienia*, 154. Quoted in Eigeldinger, CPT, 284. See Section A (this chapter).

²⁰³ I discuss the pedal at length in Chapter 2, Section B(6).

CHAPTER 2

SOURCES

From Chopin's Hand and Other Contemporary Sources

This chapter will discuss the following sources, with reference to Chopin's compositional process, performance, and the improvisatory:

(i) Chopin's sketch, held in the Frederick Chopin Society (Towarzystwo imienia Fryderyka Chopina), Warsaw.¹ With the exception of the first measure, the entire first page of two contains only the right hand notation. Significantly, the sketch contains hardly any left hand notation: the left hand is notated only in m. 1, in the first two measures of page 2, then only in the measures where the harmony or voicing changes, and in the final cadence. This points clearly to the notion of variations over an ostinato bass, as discussed in Chapter 1.² The only other indication besides Chopin's important organizational details is his fingering, which, as we will see below, signals not only hand position but expressivity, both in terms of the pianist's tone and the use of time.³ (The reader should refer to Appendix A1.)

(ii) Chopin's fair copy, held in the Bibliothèque Nationale, Paris, Département de

¹ The information in Koblańska's *Thematisch-Bibliographisches Werkverzeichnis*, which states that the sketch is held in the R. O. Lehman Collection in New York, is now outdated. (See Krystyna Koblańska, *Frédéric Chopin: Thematisch-Bibliographisches Werkverzeichnis* [Munich: G. Henle Verlag, 1979], 123. Information per kind courtesy of Rigbie Turner [Mary Flagler Cary Curator of Music Manuscripts and Books, The Piermont Morgan Library], and Jeffrey Kallberg.) The sketch is published in facsimile in Alfred Cortot and Édouard Ganche, eds., *Trois Manuscrits de Chopin* (Paris: Dorbon Aîné, 1932) and in Krystyna Koblańska, *Rekopisy utworów Chopina, katalog* [*Manuscripts of Chopin's works: catalogue*] (Kraków: Polskie Wydawnictwo Muzyczne, 1977), 2: 89-90.

² See Chapter 1, Section D(1) and (2).

³ I discuss Chopin's fingering in Section A(5) and B(4) below.

la Musique, as MS 115. This copy includes the addition of right-hand phrasing. (See Appendix A2.)

(iii) The engraver's copy, in an unknown hand, containing Chopin's corrections that he submitted for publication to Breitkopf & Härtel, Leipzig, in 1844. This copy is held in the Music Division of the Biblioteka Narodowa (the National Library), Warsaw, as Sign. Mus. 231.⁴ The following indications are in Chopin's hand: the title, the dedication to his student Elise Gavard, the two introductory measures, the tempo marking *Andante*, the markings *dolce* (m. 2), *sostenuto* (m. 47), articulation markings, double-stems, additional fingering, dynamics, the pedaling, left-hand phrasing, alterations to right-hand phrasing, other notational corrections discussed below, and the corrections to the final measures. (See Appendix A3.)

(iv) Two other manuscripts that apparently date from the same time but are not in Chopin's hand, also held in the Bibliothèque Nationale, Paris, Département de la Musique, as MS 10809 (a fragment, see Appendix A4), and MS 10810 (see Appendix A5). The inclusion of the first two measures in MS 10809, indicates that the copyist was likely copying from one of Chopin's finished sources for his or her own use. (Among the surviving sources in Chopin's hand, the first two measures do not appear until the engraver's copy.) Like the fair copy, both MS 10809 and 10810 include the right-hand phrasing. However, with the exception of the two introductory measures that appear in MS 10809, all the other corrections that Chopin entered into the engraver's copy are absent.

Because of the unusual nature of Chopin's sketch, my discussion will be divided into two parts: Part A will examine the sketch; Part B will compare all the sources.

⁴ From hereon I will refer to this copy as MS 231.

A. CHOPIN'S SKETCH

1. Nature And Layout

The Berceuse is one of the few Chopin compositions for which a sketch survives. The particular layout of Chopin's sketch of the Berceuse is remarkable because it allows us to study Chopin's creative process from conception to the early stages of his fuller working out of the composition. It is written on music paper in oblong format, with twelve staves on the page.⁵ Its layout on the first page is four bars per system, in the form of a table comprising two columns. Each numbered system contains a four-measure variation.⁶ Nowik's account of the sketch details its special features:

The spatial arrangement of the material on the page is unusual and without any equivalent in the composer's other autographs. Instead of notating the piece as a sequence of successive bars, Chopin wrote out virtually the whole piece in columns made up of four-bar segments. An exception is the final segment on the second page of the sketch marked by the number '14'; this comprises four four-bar sections.⁷

2. Corrections

What is immediately apparent about Chopin's handwriting in the sketch is its almost perfect neatness, its distinct clarity and flow. Even with respect to its compact nature, the sketch displays very few corrections. The little that is crossed out may be categorized as follows:

⁵ For a discussion of the paper Chopin used in his sketches, see Kallberg, *The Chopin Sources*, 158. Kallberg describes the paper Chopin generally used as "pre-cut bifolio[s] of music paper (with staves – generally twelve or fourteen on the page – already added by the manufacturer or merchant) in oblong format."

⁶ In Chapter 1, Example 2 and Table 1, I demonstrate how Chopin transforms the rows through rhythm, phrase and pedal into the seamless "Berceuse."

⁷ Nowik, "Fryderyk Chopin's op. 57," 29. I quote Nowik's account in full for its relevance to my discussion. However, I disagree with Nowik's statement that the final segment comprises "four four-bar sections." See Section A(4) below.

(a) Embellishment (melodic, rhythmic, harmonic)

- (i) Row 11 (notated between Rows 7 and 8), m. 2: his working out of the pitches of the fioritura passages.
- (ii) Row 8: Chopin alters the rhythm of the first group from pair to triplet, and changes the order of the repeated thirds figuration, so that the first two of three are repeated rather than the final two.
- (iii) Row 14, m. 10 (the last notated measure on that row): the final three eighth-notes of the measure appear to be corrected on the system below. Though their pitches are difficult to identify in the sketch, neither the final three notes of Row 14 nor their corrections beneath are B-flat, D-flat and A-flat, as Chopin subsequently notated them in the autograph.
- (iv) Row 14: the penultimate chord was originally notated as a V7 above a tonic pedal point. Chopin corrected the bass to read a dominant octave in the left hand.

(b) Placement of Variation

Row 11, 2nd system, m. 3: Chopin crosses out the material that he eventually places in Row 9, m. 3. Nowik relates this positional alteration to the interchangeability of Chopin's four-bar "segments": each row, or segment, occurs as a "transformation" of the original four-measure "model." Through the "structural equivalence" of each unit the composer was able to interchange individual "segments."⁸

⁸ Nowik, "Fryderyk Chopin's op. 57," 31.

3. Structural And Improvisatory Issues

Nowik further explains that, for the most part, even each measure will relate as a “variant” to the corresponding measure in the opening four-measure melody.⁹ While he has analyzed the structural basis for each “segment” into four “types,” each “type” being based upon one of the first four measures, and has discussed their interchangeability, he has omitted a most important point. What Nowik has not taken into account is that the Berceuse, as variations, might have been improvised or, as discussed in Chapter 1, is improvisatory in nature. If Chopin had first improvised the Berceuse, it is possible, therefore, that he may simply have momentarily “forgotten” what he did at a particular point in his improvisation, or in his improvisatory conception.

What, for example, finalized Chopin’s original placement, eventual re-placement of the material in system 11, m. 3, and his conspicuous re-naming of system 11, which appears to have been first named “8”? Is it possible that Chopin may have remembered the “climax” (m. 43), but, as he got closer to that pitch class, forgot which particular “rows” had preceded it? Did he remember the likes of 8, 9, and 10, but forget the order in which he had improvised them? Is it possible, therefore, that he wrote down m. 43 too early, or possibly wrote it down as soon as he recalled it, given that the fioritura of system 11 (originally system 8) begins in the same pitch class as system 7, which immediately precedes? (After all, what Chopin was writing down was, to his mind, a rough draft, and even includes a testing the nib’s ink-flow several times on both pages.) Did he then realize his omission and seek to find the way to his climactic high point again, either through aural memory and a re-working on paper (as he did) and/or at

⁹ Nowik, “Fryderyk Chopin’s op. 57,” 29-31.

the keyboard? Such phenomena are normal occurrences during the practice of improvisation, and the process of its “re-creation.” After all, the very nature of improvisation is that it is not “cast in stone.”

What leads me to this speculation is not so much the compositional process revealed by Chopin’s corrections and omissions as the immediate impact of what is visually present in the sketch: the measures that are written out with utmost clarity and apparent facility are those that serve to connect each variant seamlessly – those that make the composition circular and fluid, that lead the listener, almost deceptively, to the new variation.¹⁰ The sketch reveals that Chopin did not work at all to correct or improve these measures. I suggest that these seamless, connecting measures fell as easily from Chopin’s pen as they fell from under his fingers at the piano, a feature that could relate as much to the “improvised” as to the “improvisatory.” This is the point that offers the most significant insight into the relevance of the *Berceuse*’ structure as variations above an ostinato bass, implied by Chopin’s early designation “les variantes.”¹¹ It is the point that offers the etymological and analytical connection between the titles “les variantes” and “La *Berceuse*,” and provides a historical window into both its interpretative history (as an improvisatory work) and its interpretative possibilities. These connecting measures are those that transform the genre beyond that of mere ostinato variation to the transcendental, nocturnal genre of the *Berceuse*.

¹⁰ Refer Chapter 1, Example 2 and Table 1.

¹¹ Chopin’s reference to this designation is in his letter of 1844 to his French publisher Schlesinger, as discussed in Chapter 1, Section C: “Ma Sonate ainsi que les variantes sont à votre disposition. Je veux pour les deux ouvrages douze cents francs.”¹¹ See *Korespondencja II*, ed. Sydow, 384.

4. The Coda

The material marked by the number “14,” occurring at the end of the second page of the sketch, contains the coda of the Berceuse. This section of the sketch warrants particular attention. Nowik describes this passage as “the final segment on the second page of the sketch marked by the number ‘14,’” and further claims that it “comprises four four-bar sections.”¹² As can be seen from the reproduction of the sketch in Appendix 1, the outstanding feature of Chopin’s notated music at system 14, in comparison to the other 13 systems, is that it contains no visible four-measure units whatsoever. In fact, while systems 13 and 12 (the two systems, respectively, at the top of page 2) are notated four measures per system, they are conspicuously “spread out” in the horizontal direction along the page, compared to the compact, columned notation of page 1. It should be noted here that the reproduction of the sketch in Nowik’s article in “Chopin Studies,”¹³ in which the two pages of the sketch are printed one below the other, does not offer the visual representation that it could. By placing the two pages side by side, one can trace, on the stave beneath system 11, the end of the curved line originating on page 1 that serves to connect the music of this stave to its continuation, notated on page 2 in the stave beneath system 12 and marked by an “x.” The alignment of the two pages, therefore, provides us with the visual representation of what was clearly the side-by-side format in which Chopin sketched his Berceuse. This perspective highlights Chopin’s fluidity on page 2 in contrast to the compact nature of page 1.

It is possible that systems 13 and 12 take more space than their counterparts on page 1, not only because Chopin was nearing the end of the piece – he is beyond the arch

¹² Nowik, “Fryderyk Chopin’s op. 57,” 29.

¹³ Nowik, “Fryderyk Chopin’s op. 57,” 28.

that leads to the pitch climactic point of m. 43 – but because these two systems (that lead to the coda) are as seamless, with respect to the whole structure, as the fourth measure in every row is seamless with respect to the next.

It is also apparent from the page layout that it is not Chopin's intent to add columns to systems 12 and 13. Indeed it is striking that the layout on page 2 bears no resemblance to columns whatsoever. That is because row 14 represents the coda, by the first measure of which Chopin's harmony shifts to the V7 of the sub-dominant. The harmonic foundation of his ostinato bass has therefore changed and, as such, the phrase of the coda, while reminiscent of the opening phrase, does not function as a variant *of* it. Unlike the entire main body of the piece, the coda itself is not conceived in four-measure units. In fact, the fluidity and sense of long melodic line, marked by the ongoing secondary dominant resolving to the sub-dominant in its second inversion (m. 57), is actually characterized by the fluid manner in which Chopin's hand has written out this section, namely, its fluidity and horizontal length on to one system. Indeed, the result not only "fits" on to one long system. While the music is sub-divided into rhythmic measures, the notation itself looks remarkably "unmeasured" in comparison to the entirety of page 1, where each bar-line aligns with all of those above and below it. Even the phrase extensions (mm. 65 - 68) that form part of the coda are literally "added on" at the end of the lower, otherwise void stave as an afterthought, which manifests itself on the page as an "extension" of the preceding system. The final cadence and the measure that precedes it appear alone, as yet a further, "extended" thought on the last system.

The following notations in row 14 were altered in the fair copy:¹⁴

- (i) Right hand, m. 10, final three eighths. While it is difficult to recognize

¹⁴ Nowik does not mention these in his article.

their exact pitch on the sketch, they appear to be E-flat, D-flat, and A-flat.

In the fair copy and publications these notes are B-flat, D-flat, A-flat.

(ii) At the end of the first system of row 14, there appears to be a whole measure rest, later omitted. Chopin's intent to include it is evidenced by the curved line that connects it to the stave beneath. (The curved line is of the same nature as those on page 1: the first connects row 11 to its continuation on page 2, as described above; the second connects the end of row 9 to its continuation on the stave above row 10.)

(iii) In the final system, in the measure preceding the cadence, Chopin indicates the right hand notes F – D-flat on the first two eighth-notes followed by a rest. In future copies, the right hand will have a rest for this entire measure.

The rest described in (ii), and the two right hand eighths plus rest described in (iii) serve to further expose the diminution of rhythm, and the slowing of motion (or consciousness), that are already apparent in the fluidity of row 14, its descending and undulating hemiola-sequences, its phrase extensions, and the rests, or, in Chopin's terms, the "respirations," between the phrase extensions.

5. Fingering

Chopin's inclusion of fingering in the sketch provides several fascinating insights whose nature extends beyond Nowik's surmise that the composer "thinking in terms of performance and interpretation even at this early stage of the creative process."¹⁵ At first glance, it may seem that Chopin was simply making a recommendation for what was

¹⁵ Nowik, "Fryderyk Chopin's op. 57," 32.

most comfortable or pianistically appropriate here. It is certainly a sign that the composer's concept of the piece was absolutely "under his fingers" at this early stage. In order to fully grasp the significance of Chopin's fingering in the sketch, we must first understand what fingering meant to Chopin.

Unlike other pianists of his day, Chopin was known to concentrate on the different weights of each finger for expressive purposes, as compared to his contemporaries, who focused on "equalizing" the finger weights. Chopin's markings reflect his own writings, in his *Projet de Méthode* [Sketch for a Method]:

For a long time we have been acting against nature by training our fingers to be all equally powerful. As each finger is differently formed, it's better not to attempt to destroy the particular charm of each one's touch but on the contrary to develop it. Each finger's power is determined by its shape, the thumb having the most power, being the broadest, shortest and freest; the fifth [finger] as the other extremity of the hand; the third as the middle and the pivot; then the second [illegible], and then the fourth, the weakest one, the Siamese twin of the third, bound to it by a common ligament, and which people insist on trying to separate from the third - which is impossible, and fortunately, unnecessary. As many different sounds as there are fingers – everything is a matter of knowing good fingering.¹⁶

Chopin's precept of different finger weights was not new in the keyboard literature. Nor was his precept of crossing the 4th over the 5th fingers. These concepts were prevalent among English, Italian, French and German sources in the sixteenth through the eighteenth centuries.¹⁷ The development in Chopin's teaching was the combination of such fingering with the great suppleness of movement in the hand, wrist and arm. These

¹⁶ Frédéric Chopin, *Projet de Méthode* (Sketch for a Method). Quoted in Eigeldinger, CPT, 195. The manuscript of Chopin's *Projet de Méthode*, a collection of autograph notes for the beginning of a piano method, is now held in New York, The Piermont Morgan Library, Robert O. Lehman deposit. The full text and translated transcript of Chopin's *Sketch for a Method (Projet de Méthode)* are reproduced for the first time in Eigeldinger, CPT, 190-197.

¹⁷ See Mark Lindley, "Keyboard Fingering," *The New Grove*, 2nd ed., v. 8, 832-840.

principles accorded with the development of the piano and Chopin's sensitivity to the range of nuance afforded by the instrument he loved most, the Pleyel.¹⁸

We may now explore the meaning of the fingering pianistically speaking. (Refer page 2 of the sketch, Row 14, m. 2.) By placing 5 on the E flat, at such close proximity to the thumb on C flat, the pair of the 2nd and 4th fingers will form a "cup" over the thumb. Given the fact that the thumb is both the heaviest finger and is now obliged to remain stationary, that is, to lengthen the note C flat, Chopin's fingering is surely an indication for the C flat to sound with a sonority that only the sustained thumb, even more weighted by the cupped hand above than it otherwise would be, can produce. In addition, given the crossing over at the leap of a diminished 4th by the 2nd finger to the lower F, by virtue of physical necessity, the pianist cannot help but give added articulation to the E-flat played next by the 5th finger, and then *legato* between the counter-melodic falling second created by the upper voice of the 5th to 4th fingers. Furthermore, the difference in weight between the lower voice, (expressed by the thumb and 2nd) and the upper voice (5th and 4th) results not only in the counterpoint of voices, but in the counterpoint of sonorities, which is an innate characteristic of Chopin's music. More interesting to me is the fact that the length of these sonorities, indicated by fingering as opposed to stem notation, is indeterminate. Perhaps this best describes the sonority Chopin had in mind: the juxtaposition of textures created by the 5th moving to the 4th fingers, countered at once by the thumb and the underlying melodic line, produces various dimensions of sonority, the interpretation of which would be restricted by the notation of stems or slurs.

¹⁸ For a discussion of the Pleyel, see Chapter 1, Section 3(c), note 131, and this chapter, Sections B(3e) and (6) below.

Last but not least, we keep in mind that Chopin played with “the greatest suppleness imaginable.”¹⁹ “*Facilement, facilement,*” he repeated ceaselessly, recalls his student Camille Dubois.²⁰ Therefore, in accordance with how supple the pianist’s wrist is, and how much suppleness the pianist wishes to employ, both Chopin’s indicated fingering and the resultant position of the hand will beckon the pianist to take time. By this I mean, the “sinking” of the thumb, via the supple wrist, on any of the C-flats (row 14, mm. 2-3) invites the pianist to further lengthen this note if the pianist wishes; with a supple wrist, the subsequent stretch over the thumb by the 2nd finger will necessarily take time, as will the return of the hand position following. The re-adjustment into the “cup” to play the E-flat may also suggest some time, as may the next hand position to play the A-flat with the 2nd. Notice I list possibilities, and use the word “may.” By no means is there a “cast” for when or how much time should be taken though, at the very least, the use of the 2nd crossing over the thumb, and back again, will require the taking of some time. What we have here is a sampling of Chopin’s rubato, written into his fingering and executed by the combination of the hand position, the *legato*, and the wrist’s “*souplesse*” (as it was described by Mikuli) – all key elements in Chopin’s pedagogy.²¹ (In Chapter 3, Sections C and D, I discuss in detail Chopin’s concepts of rubato.) That these indications appear in the sketch – by means of the shorthand of fingering – is a reflection of the deepest levels of Chopin’s pianistic conception in this early stage of composition.

¹⁹ Eigeldinger, CPT, 45. See also 29-30. I discuss the suppleness of Chopin’s wrist in further detail in Section B (3b) below.

²⁰ Frederick Niecks, *Frederick Chopin II*, 182. Quoted in Eigeldinger, CPT, 29.

²¹ See Eigeldinger, CPT, 29-33, 46-51. For a discussion of “*souplesse*” see Mikuli, Carl, *Vorwort to Fr. Chopin’s Pianoforte-Werke I*, ed. Mikuli (Leipzig: Kistner, [1880]), 3; and Maria von Grewingk, *Eine Tochter Alt-Rigas, Schülerin Chopins* (Riga: Löffler, 1928), 9-10. Each quoted in Eigeldinger, CPT, 29, 45. I discuss Chopin’s pedagogy in each of these areas in detail in Section B, below, and in Chapter 3.

I suggest, therefore, that Chopin's explicit fingering, stated so simply by "1, 1, 2, 5, 4," is a shorthand representing the articulation of slurred phrases (here from E-flat to D-flat), the articulation of melodic counterpoint through stems, the counterpoint of sonorities, and rubato. We cannot underestimate how significant it is that these expressive nuances are notated in the coda of the *Berceuse*, where there is a marked shift to a long harmonic rhythm and a long melodic line. Indeed, the fingering serves to highlight and prolong, through sonority and rubato, the *Berceuse*'s single occurrence of chromatically altered harmony.

6. The Shorthand

Chopin's shorthand in row 10 is not only an "indication of Chopin's structuralist approach to the material,"²² but a reflection of his pianistic conception. Whether realized in parallel or broken sixths, these intervals fit perfectly under the hand. In addition, no matter whether the first note of each sequence is a black or white key, the hand position hardly needs to change. Is it a coincidence that Chopin composed his *Étude* Op. 25, no. 8, in parallel sixths, in the same key, similarly moving upward and downward by step and over the interval of a fourth, and rhythmically ambiguous through the occasional hemiola in a similar way? Whether or not Chopin had his *étude* in mind is not the issue. What is significant is that this same material was an inherent figuration in Chopin's keyboard language – so much so, that it formed the basic motive for one of his Op. 25 *Études*, whose set, in Samson's words, Chopin used "to confirm and strengthen a tradition of

²² Nowik, "Fryderyk Chopin's op. 57," 32.

inventions based on figurative consistency.”²³ Given the similarity of this material to the Étude, Rosen’s description of the Berceuse applies not only to its compositional style, as he intended, but to the pianistic genesis of this particular passage, as evidenced by Chopin’s shorthand: “the metamorphosis of the finger exercise into a play of sound.”²⁴

7. The Left Hand

It is particularly interesting that while the sketch is striking in its clarity of notation and structural layout, Chopin’s notation of the left hand in m.1 does not align with the right hand. It should be noted here that Chopin’s sketches were of a private nature,²⁵ characterized by inkblots and shorthand,²⁶ as we see in the Berceuse. However, here we observe that the difference in notation between the two hands (marked, additionally, by an overriding absence of left hand notation) is representative of the hands’ distinct compositional and expressive roles. As such, the lack of alignment suggests, to the pianist’s eye, that in Chopin’s conception the performance of the two hands is not necessarily rhythmically aligned. This, in turn, would suggest that rubato was not an “interpretative” element but an innate component of Chopin’s expressive language, here apparent in the notation that is the representation (however much in haste) of the work’s conception. This perspective is further substantiated by the fact that

²³ Jim Samson, “Chopin, past and present,” *Early Music* xxix/3: 387.

²⁴ Rosen, *The Romantic Generation*, 395. Chopin’s performance of such passages further substantiates the pianistic conception of this figure. See Chapter 3, Section C(3), text referring to Example 28.

²⁵ See Wojciech Nowik, “Autografy muzyczne jako podstawa badań źródłowych w Chopinologii,” *Muzyka* 16 (1971), 65-68; “The Receptive-Informational Role of Chopin’s Musical Autographs,” in *Studies in Chopin* (Warsaw: n. p. 1973), 77-89; and “Proces twórczy ryderyka Chopina w swietle jego autografów muzycznych” Ph. D. diss., University of Warsaw, 1978), 81-106. Quoted in Kallberg, “The Chopin Sources,” 160.

²⁶ Kallberg, “The Chopin Sources,” 160. For a discussion of the nature of Chopin’s sketches, see 158-164.

Chopin indicated phrasing for the two hands at different times in his compositional process.²⁷ This signifies the difference in hierarchy, function, meaning, and therefore in execution between the right hand and left hand slur notations (see Section [g] below).

That the left hand remains unnotated for the remainder of the Berceuse, except where the notes are changed for voice-leading or harmonic purposes, speaks to its function as an ever-present “entity” and, as observed above, the notion of variations over an ostinato. I therefore suggest that the introduction might have existed, in Chopin’s mind or in his improvisation before the first bar, but simply unnotated.²⁸

8. Omissions

As Nowik has discussed, the sketch contains no markings of phrase, articulation, pedal, dynamics, expression or tempo.²⁹

B. A COMPARISON OF THE SOURCES

Table 2, below, represents a comparison of the sketch, fair copy (MS 115), the engraver’s copy with Chopin’s corrections (MS 231), and the two contemporary manuscripts in unknown hands (MS 10809 and 10810). My discussion of the compositional and performance issues that arise out of these comparisons will follow.

²⁷ Chopin indicated slurs for the right hand in MS 115. In MS 231, he added slurs to the left hand, and made emendations to right hand’s slurs. See Sections 3(c) and (g) below.

²⁸ I discuss this notion and its implications further below, particularly with regards to Chopin’s slurs and rubato. See Part B, Sections (2), (3g), and (7). The discussion of rubato is continued in Chapter 3, Sections C and D.

²⁹ Nowik, “Fryderyk Chopin’s op. 57,” 25-40.

Table 2: COMPARISON OF SOURCES

	SKETCH	FAIR COPY MS 115	MS 10809 FRAGMENT (not in Chopin's hand)	MS 10810 (not in Chopin's hand)	COPY WITH CHOPIN'S CORRECTIONS MS 231
LAYOUT Each number (in series) refers to measures per stave.	p. 1: 2 columns. Multiple rows. 4 measures each row. p. 2: 4 + 4 + 10 + 3 + 3	p.1: 8 + 8 + 4 + 4 + p.2: 4 + 4 + 4 + 4 + p.3: 4 + 6 + 6 + 12	Contains mm. 1 – 42 only. 7 + 6 + 5 etc. no resemblance.	8 + 6 + 4 + 3 etc. no resemblance.	11 + 8 + 4 etc. no resemblance.
INTRODUCTORY MM. 1 – 2.	No. But the LH m. 1 is not aligned.	No. But the LH m. 1 is not aligned.	Yes. Taken from MS 231 or another source.	No	Yes: added by Chopin afterward. He also added pedal (mm. 1 – 2) afterward.
PHRASING	None	RH only.	RH only.	RH only.	RH and LH.
FINGERING (coda)	Yes	No	N/A	No	Yes. Additional on p. 2.
DOUBLE STEMS	No	No	No	No	Yes
PEDAL	No	No	No	No	Yes
ALTERATION TO FINAL MM. 69-70.	No	No	N/A	No	Yes
DYNAMICS	No	No	No	No	Yes
TEMPO, EXPRESSION	No	No	No	No	Andante; dolce (m.3); sostenuto (m. 47).
TITLE	No	No	No	No	"Berceuse"

1. Layout

Unlike the other sources, the fair copy is laid out in a manner that reflects the sketch.

Following the first two systems that are each eight measures in length, the entirety of the piece is laid out in systems that are four measures long, until the coda that begins on the second system of page 3. In other words, with the small exception that systems 1 and 2 of the sketch are now notated on one system (mm. 1–8), MS 115 reflects the layout of the sketch until the material that was row 12 of the sketch. As will be recalled, systems 12 and 13 were those that followed the climactic point, led to the cadence, and were those in which Chopin chose not to use the notational structure of the “column.”

What is noticeable on page 3 is the visible length and fluidity of the lower three systems, and the fact that these systems contain groups of 6, 6, and 12 measures respectively. I am not arguing that Chopin’s notated systems reflect phrase groupings. However, what is evident is the spatial fluidity of these phrases, their inter-connectedness on the same system (in contrast to the first two pages), and the noticeably long, final system consisting of 12 measures. It is possible that Chopin may have been trying to contain this section on one concluding page; yet the fluidity of the last three systems in contrast to the eight- and four-measure units on the two pages that precede them – together with the overall organizational similarities to the sketch – is striking.

2. Introductory Measures

Among the sources in Chopin’s hand, the introductory measures are missing until

the copy containing Chopin's corrections, MS 231. While this copy is in an unknown hand, it is all the more significant that Chopin has added the introductory measures himself. That these measures also occur in the fragment MS 10809 (in a different, unknown hand) indicates that this fragment was either based on MS 231 or on another missing source. Nowik discusses the function of the introduction, which, in his words, "strengthens the role of the accompaniment as a means of integrating the entire musical material," whose "use . . . reflect[s] the composer's desire to create an expressive-semantic determinant for the work as a whole."³⁰ One might argue that the left hand is more than an accompaniment – after all, structurally speaking, it lays the foundation of harmony, rhythm, and harmonic rhythm for the whole work.³¹ Nowik seems intent on relating the insertion of the introductory measures to the material that follows. Yet, the fact that Chopin added these two measures on the page in a late source is not, in and of itself, evidence to prove they did not exist before. (We recall that their notation in the sketch indicates their function and possibly their existence as another "entity.") Indeed, the ostinato, undulating one-measure rhythmic and harmonic paradigm, now appearing solo in the introductory measures, inspires the pianist to introduce the right hand melody in a similar way: as if emerging in the moment, or as if it were drawn from the air. (We recall, as discussed in Chapter 1, that in Chopin's inherited keyboard tradition, the ostinato variation was an improvisatory genre.) It is not my purpose to prove that the introductory measures existed, in Chopin's mind or as part of an improvisation, before he wrote them down. However, such speculation reveals not only their relationship to the

³⁰ Nowik, "Fryderyk Chopin's op. 57," 38.

³¹ The reader may be interested to listen to the recording of the pianist Ignaz Friedman playing the Berceuse, discussed in Chapter 3, Section C(2). Friedman uses the left hand in extraordinary ways to denote the Berceuse's phrase and variant structure.

music that follows, but exposes the very context in which they arise: that is to say, out of nothing. These two measures function, therefore, not only as a means of defining structural, harmonic, and semantic relationships in the body of the Berceuse as Nowik explicates; in the same way as the end of a measure, a harmony, a rhythm, or a phrase connects imperceptibly with the next, the introductory measures also serve to link the Berceuse with the world from which they emerge.

3. Phrasing

While the fair copy lacks dynamics, pedal indications, tempo marking, the two introductory measures, and final rest, it is indeed interesting that Chopin has marked the entire right hand of the Berceuse with phrasing. Nowik's statement that "the only interpretative indication which the composer includes is the phrasing of the melody"³² not only undermines the importance of the notation of phrasing at this point in the compositional process; in reducing the compositional significance of phrasing to the secondary level of "interpretation," Nowik's statement misleads the reader with respect to all that Chopin's phrase notations indicate. My discussion will focus on the following issues: the rhetorical, the breath, the contextual functions, the phrase markings, and the left hand phrase.

(a) The rhetorical

In order to understand the significance of Chopin's addition of right hand phrasing at this point in his compositional process, we must first understand what

³² Nowik, "Fryderyk Chopin's op. 57," 35.

phrasing meant to him. For Chopin, phrasing was not merely the articulation of melody. The numerous accounts in Chopin's life that relate the arts of oratory and music are best understood in the perspective of Chopin's own words, drafted in his *Projet de Méthode*: "we use sounds to make music just as we use words to make a language."³³

Mikuli describes Chopin's references to phrasing as a means of rhetorical declamation:

Chopin insisted above all on the importance of correct phrasing. Wrong phrasing would provoke the apt analogy that it seemed to him as if someone were reciting a laboriously memorized speech in an unfamiliar language, merely failing to observe the right quantity of syllables, but perhaps even making full stops in the middle of words. Similarly, by his illiterate phrasing the pseudo-musician reveals that music is not his mother tongue but something foreign and unintelligible to him; and so, like that orator, he must relinquish all hope of his speech having any effect on the listener.³⁴

Mikuli further explains that the phrase, for Chopin, was the means by which the declamation is punctuated:

Under his finger each musical phrase sounded like song, and with such clarity that each note took the meaning of a syllable, each bar that of a word, each phrase that of a thought. It was a declamation without pathos; but both simple and noble.³⁵

The voice was the means by which that declamation could be understood. As Chopin so often advised his pupils: "You must sing if you wish to play."³⁶ Chopin's

³³ Chopin, *Projet de Méthode*. Quoted in Eigeldinger, CPT, 42. For reference to accounts in Chopin's life relating oratory to music, see Eigeldinger, CPT, 14, 42-45, 109-114, 194-195. See also Chapter 1, Section D, and Chapter 3, Sections C and D.

³⁴ Mikuli, *Vorwort*, 4. Quoted in Eigeldinger, CPT, 42.

³⁵ Raoul Koczalski, *Frédéric Chopin. Betrachtungen, Skizzen, Analysen* (Köln: Tischer & Jagenberg, 1936), 53. Quoted in Eigeldinger, CPT, 42.

Chopin so often advised his pupils: “You must sing if you wish to play.”³⁶ Chopin’s favored student Emilie von Gretsck, who had heard Chopin play almost all of his works, recalls, “During lessons Chopin would repeat indefatigably: *‘Il faut chanter avec les doigts!’*”³⁷

Eigeldinger points out that that “the expression ‘*dire*’ un morceau de musique” (to “speak” a piece of music) was current in French musical circles of the last century and even at the beginning of the twentieth.³⁸ According to Eigeldinger, Chopin uses the term with “eloquent insistence.”³⁹ It is surely no co-incidence, therefore, that in demonstrating the meaning of the phrase Chopin would perform the whole piece for his students.

Mikuli describes this aspect of Chopin’s pedagogy:

On declamation and performance in general, he gave his pupils invaluable and sensible instructions and hints, but *conveyed his meaning by repeatedly playing not just single passages but whole pieces*, and this with a conscientiousness and enthusiasm that listeners in a concert hall could not have had the opportunity of hearing [emphasis mine].⁴⁰

(b) The breath

For Chopin, as again Emilie von Gretsck describes, the wrist was the means by which the pianist expressed the breath, and therefore the phrase and its articulation:

...Today Chopin showed me another new, simple way of obtaining a marvelous result. I had felt in what respect my playing was lacking, but

³⁶ Frederick Niecks, *Frederick Chopin II*, 187. Quoted in Eigeldinger, CPT, 14.

³⁷ Grewingk, *Eine Tochter Alt-Rigas*, 20. Quoted in Eigeldinger, CPT, 45. For a background on Gretsck, see Eigeldinger, CPT, 164-166.

³⁸ Eigeldinger, CPT, 14. In CPT the expression is translated as “to tell a piece of music.”

³⁹ Eigeldinger, CPT, 14.

⁴⁰ Mikuli, *Vorwort*, 4. Quoted in Eigeldinger, CPT, 44.

without knowing the solution. True to his principle of imitating great singers in one's playing, Chopin drew from the instrument the secret of how to express breathing. At every point where a singer would take a breath, the accomplished pianist [...] should take care to raise the wrist so as to let it fall again on the singing note with the greatest suppleness imaginable. To attain this *souplesse* is the most difficult task I know. But once you succeed in doing it, then you laugh with joy at the beautiful sound, and Chopin exclaims, '*C'est cela, parfait! merci!*'⁴¹

Chopin, in his *Projet de Méthode*, sums up the wrist's function:

The wrist: respiration in the voice.⁴²

The Polish pianist Kleczyński describes Chopin's use of the wrist:

Chopin attached great importance to these [phrasing slurs]...whenever this mark terminated he detached the hand after having diminished the tone.⁴³

The wrist is therefore responsible for the expression of the phrase, both in terms of the fluidity of the long lines, and the execution of the slur's beginning and end. The significance of Chopin's right hand slurs in the fair copy is now further revealed: they indicate the execution of the rhetorical declamation and the expressivity of the voice, both shaped by the "suppleness" of the wrist.

⁴¹ Grewingk, *Eine Tochter Alt-Rigas*, 9-10. Quoted in Eigeldinger, CPT, 45.

⁴² Chopin: *Projet de Méthode*. Quoted in Eigeldinger, CPT, 45.

⁴³ Jean Kleczyński, *How to Play Chopin. The Works of Frederic Chopin, their Proper Interpretation*, trans. Alfred Whittingham (London, 6th ed., 1913), 55. Quoted in Eigeldinger, CPT, 45. Jan [Jean] Kleczyński (1837-1895) was the most important Polish writer on music in the second half of the nineteenth century. His topics included discussions of Chopin interpretation and the earliest writings about his pedagogical methods. Though he never studied with Chopin, he studied with Princess Czartoryska, Camille Dubois and Georges Mathias, three of Chopin's most outstanding students. See Eigeldinger, CPT, 102

(c) The functions

It is useful here to examine the various functions of the right hand phrases, which may be summarized as follows:

(i) to break up the regularity of the original Berceuse “row” structure, and to make fluid the variational segments (here I am speaking of a sound, not just a structure) by phrasing over the four-bar units. In MS 115, this occurs at mm. 4-5, mm. 8-9, mm. 12-13, mm. 20-21, and mm. 32-33.⁴⁴ Again referring to MS 115, the long phrase that seems to begin before m. 17 (but definitely not at m. 16 on the previous stave) seems to extend beyond m. 24, but is definitely absent at the beginning of m. 25 at the top of the next page. Similarly, in MS 10809 and 10810, the slur definitely extends long beyond m. 24, each occurring at the end of a stave, but does not extend into m. 25. In MS 231, this same phrase ends after the first triplet at m. 25. While the varying sources indicate Chopin’s different interpretations at various times, the slur that extends beyond 24 and into the first triplet of m. 25 (over what was the original rows 6 and 7) is surely an indication of his intent, in the corrected copy, to make fluid the variational segments.

(ii) to alter the phrase rhythm of the four-bar units by creating anew from the middle of the unit, as opposed to the beginning or the anacrusis. For example, the new phrase at m. 35 (MS 115) serves to make a new phrase of material that, in the sketch, occurred in the third and fourth measures of their row 9.

(iii) to punctuate the decorative, such as the sigh figures at mm. 25-28, and the fiorituras of m. 41 (both MS 115), discussed in paragraph (e), below.

⁴⁴ The beginning of the phrase-mark at m. 33, as it appears in MS 115, is not clear. We cannot tell if the slur indicates a new phrase at m. 33, or if it is a continuation of the slur on the preceding system. I include this example above because there is no new phrase-mark in all of the other sources: MS 231, MS 10809, and MS 10810.

(iv) to indicate further articulation of the phrase structure, and therefore expressive meaning of what had originally been notated on the relatively expansive layout of page 2 of the sketch. In MS 115, we see the long fluid phrase beginning in m. 53, continuing until m. 63. We note that the measures (still referring to MS 115) from m. 53 onward had originally been the long row 14 of the sketch, with its phrase extensions beneath. No less striking, in MS 231, are the two single measure phrases at mm. 47 and 48 (in MS 115, at m. 46) – the only time we see single measure phrases in the whole piece. This signifies that Chopin must have wanted these measures to be expressed in a more “declamatory” style: each of these phrases will be executed in a way that would not be due to them had the two measures appeared under one long slur. Significantly, these measures are the first of the rows 12 and 13 on page 2 of the sketch – those that serve to actually introduce the coda. Their distinct phrasing provides a “rhetorical” punctuation between the figurational variations that preceded, and the expressive fluidity that follows. I discuss the particular nature of the phrase marking below and in Chapter 3 (Section B).

In viewing the sources containing markings in Chopin’s hand, both in MS 115 and MS 231, three types of phrase are evident. I will refer to Chopin’s corrected copy MS 231, for it contains the most detail. We see first the long phrase, for example, mm. 3-14, 19-24, 25-27, 31-36, 37-38, 39-44, 45-47, 54-66; second, the decorative phrase: the slurs over the sigh figures at mm. 27-30 (equivalent in MS 115), the deleted sub-phrases at mm. 33-34,⁴⁵ and the final fioritura, m. 44 (equivalent in MS 115); and third, the unusual slur combination (the conjunction of phrases) indicating a phrase that begins on

⁴⁵ Because the deleted sub-phrases (mm. 33-34) are relevant to Chopin’s notation of the A-flat organ-point stems, these measures are discussed separately in Section 4 below.

the note it ends at mm. 47, 48 (equivalent in m. 46 of MS 115), and m. 53. I discuss each category below.

(d) The long phrase

What are we to make of Chopin's long slurs? Chopin's student, Pauline Viardot (1821-1910), who was "as remarkable a pianist as she was a singer, . . . read entire scores at the piano with Chopin," and shared his love of Mozart and of *bel canto*, is perhaps the ideal pianist to answer this question:⁴⁶

[In Chopin's works] when huge slurs extend over entire musical periods, they indicate this *spianato* playing, without nuances or discontinuations in the rhythm – impossible for those whose hands are not graced with perfect suppleness.⁴⁷

Her comment is significant for her reference to the *spianato* style of playing, whose meaning translates as "level," "smooth," and "even."⁴⁸ This term was used in reference to the *bel canto* style of singing, particularly that of Bellini, which was a reaction to the extravagantly ornamental style of Rossini. It is best described in Blaze de Bury's account:

After the vivid and brilliant graces, the glittering colours and the sometimes overloaded ornamentation of Rossini's method, the composer of *Norma* and *I Puritani* introduced a new style of tender cantilena,

⁴⁶ For reference to "reading scores", see George Sand, *Correspondance*, ed. Georges Lubin (Paris: Garnier, 1964-1995), I, 401. Quoted in Eigeldinger, CPT, 186-187.

⁴⁷ Camille Saint-Saëns, "Quelque mots sur l'exécution des oeuvres de Chopin," *Le Courier musical*, xiii/10 (1910), 386-7. Quoted in Eigeldinger, CPT, 54.

⁴⁸ Translation from Franklin Taylor, "Spianato," in *The New Grove*, v. 24, 128.

moving and palpitating – in short, *spianato* singing, as it is called in Italy, in all the eloquence of its expression.⁴⁹

Eigeldinger relates this style not only to Chopin's *Andante Spianato*, but to his Nocturnes Op. 15, no. 1 and Op. 27, no. 1, and to the Prelude in D flat Op. 28, no. 15.⁵⁰ These relationships are relevant to our discussion for two reasons. First, the two latter works share both the same affect and, in the case of Op. 27, no. 1, the same key as the Berceuse. Second, Viardot's reference to the *spianato* style indicates that Chopin's phrases require the suppleness that will allow the beginnings and endings of phrases to flow into one another with the rise and fall of the wrist, thereby "without nuances or discontinuations in the rhythm."⁵¹

Structurally and expressively in the Berceuse, the long phrase functions to conceal the boundaries of the variants. (See also Chapter 1, Table 1 and Example 2).

(e) The conjunct phrases⁵²

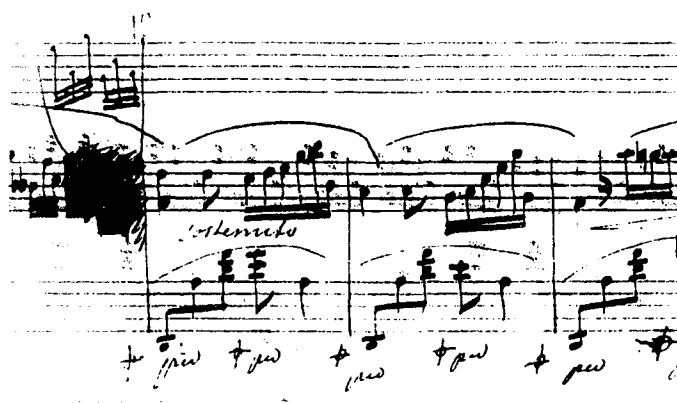
In MS 231 Chopin ends the final slur of thirty-second notes on the interval of the sixth that falls on the first beat of m. 47, the point from which his new phrase-mark emerges:

⁴⁹ Henri Blaze de Bury, *Musiciens contemporains* (Paris: Lévy frères, 1856), 112. Quoted in Eigeldinger, CPT, 124, note 108.

⁵⁰ Eigeldinger, CPT, 124, note 108.

⁵¹ For a discussion of the suppleness of the wrist as it applies to Chopin, see paragraph 3(b) above.

⁵² I use this term to refer to two phrases that have a common point in time and pitch: the downbeat is the point of conjunction where one phrase ends and the next begins. I choose not to use the term "elided" here because that conveys the suppression or omission of the end of a phrase, which is not what I believe Chopin's intent to be in the Berceuse. I am grateful to Professor Raymond Erickson for his suggestion of the terminology.



Example 1: MS 231, mm. 46-48

The slur that ends as the next begins is an unusual marking, but here in Chopin's corrected copy of the seventy-measure Berceuse we see it three times (mm. 47, 48 and 55).⁵³ Indeed, as we noted above, he uses the same marking in the latter two equivalent measures of MS 115 (mm. 46 and 53). I suggest that the pianist may express this phrasing by decaying the sound at the end of the preceding phrase (m. 46), and by subsequently conveying a continuity of sound on the decaying sixth at m. 47. While the concept appears to be contradictory, if not impossible on an instrument that is often (mis-)categorized as “percussive,” that is not the case at all. Ironically, it is those qualities that result in the misnomer of the piano as a “percussion” instrument that afford the very possibility we are talking about: the depth with which the key can be depressed, the flexibility – of the wrist and the hand – with which it can be depressed and released, and the overlapping of the keys created by the *legato* of the fingers (enhanced by the

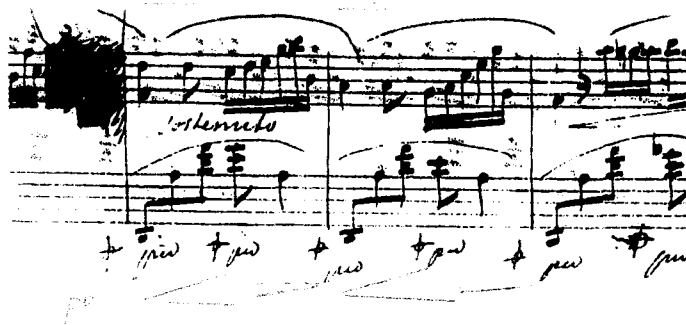
⁵³ John Rink, co-editor of *The Complete Chopin – A New Critical Edition* (forthcoming) addresses the various “outmoded” notational features that we encounter in Chopin's manuscripts. See John Rink, “Les Concertos de Chopin et la notation de l'exécution,” in *Frédéric Chopin, interprétations*, ed. Jean-Jacques Eigeldinger (Geneva: Librairie Droz, forthcoming 2004), 69-88. I am particularly grateful to Professor Rink for his generosity in forwarding to me his yet unpublished article as I was writing this dissertation.

wrist). These elements, combined with the sense of breath in the music's pulse, allow the pianist a myriad of combinations of expanding and decaying nuance, all of which can be further veiled or exposed by the pedal. (And, we note, these are significant precepts in Chopin's teaching.)⁵⁴ At m. 47 the pianist achieves this sense by a *legatissimo* execution (a "glued" overlap of the notes of the right hand – the keys should not even release all the way);⁵⁵ a calculated depth of tone of the third eighth-note D-flat of m. 47, so that its tone matches or is ever so slightly greater than that of the first D-flat at its last instant of decay; and particularly through the temporal propulsion, growing intensity of depth of tone, and *legato* of the left hand. Indeed all of these tone qualities come under the umbrella of Chopin's *sostenuto* marking. I demonstrate the effect with my indication of hairpins in Example 2(a) below:

⁵⁴ See Eigeldinger, CPT, 44-49, 56-59.

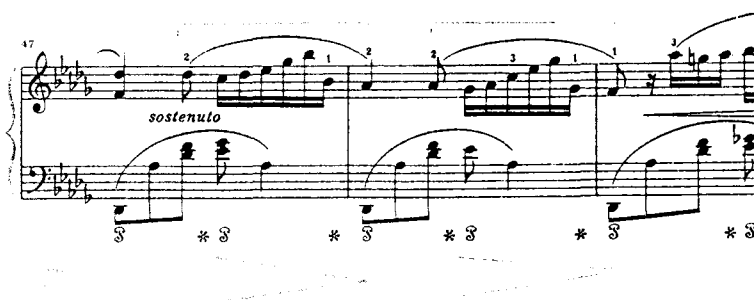
⁵⁵ By "glued overlap," I am referring to a keyboard technique known historically (and in harpsichord playing) as "finger pedaling." Bach referred to it in his *Essay* (155), and Türk in his *Klavierschule* (355). Franz Paul Rigler described the concept in his 1798 treatise: "The slur over broken chords means that the first, second, and third notes must remain down until the fourth has been played." See Franz Paul Rigler, *Anleitung zum Gesänge, und dem Klavier . . . zu spielen* (Ofen, 1798), in Isolde Ahlgrimm, "Unter dem Zeichen des Bogens," *Österreichische Musikzeitschrift* xix/4 (April 1964), 156, 158. Quoted in Rosenblum, *Performance Practices*, 157.

(a) MS 231:

[Hairpins mine, within the context of *pianissimo*]

A quite different interpretation results from the Henle Urtext edition (which indicates the same as Breitkopf & Härtel):

(b) Henle Urtext:



Example 2: Mm. 47-48

An absence of swell in the left hand (as I have implied in the Henle) will enable the articulation of the right hand units above. The swells I have marked in the left hand of MS 231 will counter the effect of the decay on the right hand quarter-notes, exactly at the point where Chopin has indicated that the phrase ends and the new begins. It should also be noted here that my markings do not exclude the likelihood of a *diminuendo* at the end of each measure, in both (a) and (b). The *diminuendo* is likely to be less in (a) in order to save enough tone for the final note of the phrase (i.e., the first note of the next).

In the execution notated in MS 231, the effect may be likened to the gradation and flexibility in the sound that the violinist creates by exerting more weight through the bow, or to the nuance of the singer's voice. (Significantly, these particular effects of the violin and the voice can be enhanced by a piano's accompaniment.) Indeed, Mikuli speaks of this very effect in Chopin's playing:

Under Chopin's hands the piano needed to envy neither the violin for its bow nor wind instruments for their living breath. The tones melted into one another as wonderfully as in the most beautiful singing [. . .] the tone he could *draw from* [*tirer*] the instrument, especially in *cantabile*, was immense [*riesengross*]; in this regard John Field alone could be compared with him [emphasis mine].⁵⁶

How interesting that Mikuli speaks of Chopin "drawing tone *from* the instrument." To my mind, ear, and hand, what Mikuli describes may well be applied to the effect of an increase in sound from an apparently sustained note. While the execution I have noted in Example 2(a) is well within the modern-day pianist's palette, it is not the sound we might immediately consider when presented with the indications published both in Breitkopf and in Henle. Yet we must also keep in mind that Chopin's Pleyel was noted for its "light touch on which one can nuance more easily." Within this perspective, it is interesting to learn from Chopin's student Emilie von Gretsck that Chopin referred to the "ready made-tone" of the Erard as "a perfidious traitor [*un traître perfide*]."⁵⁷ She remarks:

[Chopin] found it dangerous to work much on an instrument with a beautiful ready-made sound like the Erard. He said these instruments

⁵⁶ Mikuli, *Vorwort*, 4. Quoted in Eigeldinger, CPT, 46.

⁵⁷ Grewingk, *Eine Tochter Alt-Rigas*, 20. Quoted in Eigeldinger, CPT, 26.

spoil one's touch: "You can thump it and bash it, it makes no difference: the sound is always beautiful and the ear doesn't ask for anything more since it hears a full, resonant tone."⁵⁸

Marmontel quotes Chopin's description of the qualities he treasured in the Pleyel:

If I am not feeling strong enough to mould the keyboard to my will, to control the action of keys and hammers as I wish it, then I prefer an Erard with its limpidly bright, ready-made tone. But if I feel alert, ready to make my fingers work without fatigue, then I prefer a Pleyel. The enunciation of my inmost thought and feeling is more direct, more personal. My fingers feel in more immediate contact with the hammers, which then translate precisely and faithfully the feeling I want to produce, the effect I want to obtain.⁵⁹

The Pleyel's mechanism is explained by a contemporary technician, Claude Montal:

The striking of the hammers has been calculated so as to produce a sound that is pure, clear, even and intense; the carefully made up hammers – very hard in the middle, then covered with a soft and elastic – bring out in *piano* playing a soft and velvety tone, gaining in brightness and volume with stronger pressure.⁶⁰

Taking these qualities into account, we learn that what Chopin so loved about the Pleyel was its ability to respond to the most sensitive of nuances and expressiveness in execution, "even in *piano* playing." I suggest, first, that the Henle rendition is the interpretation for the instrument that is the "perfidious traitor"; second, that the modern-day pianist is so used to working on a "ready-made" sound (such as offered by the Steinway) that our creative palette is often not inspired to seek the range of possibilities

⁵⁸ Grewingk, *Eine Tochter Alt-Rigas*, 15. Quoted in Eigeldinger, CPT, 26.

⁵⁹ Antoine-François Marmontel, *Histoire du piano et de ses origines* (Paris: Heugel, 1885), 256. Quoted in Eigeldinger, CPT, 91. Debussy's teacher Marmontel, did not study with Chopin but heard him play often. See CPT, 130-131.

⁶⁰ Claude Montal, *L'Art d'accorder soi-même son piano* (Paris: Meissonnier, 1836; reprint Geneva: Minkoff, 1976), 223, 230-231. Quoted in Eigeldinger, CPT, 92.

for nuance, and the corresponding rubato, that Chopin may have had in his ear, mind, and hand. Indeed, it seems that Chopin deeply valued the nuance that was afforded by the “more immediate contact with the hammers.” (Perhaps we may find a degree of comparison in considering the clavichord and the clavichordist.) Chopin’s Pleyel clearly had an action and sound quality that so readily responded to his suppleness of playing, sensitivity in execution, and poetic, vocal inspiration.

As I will discuss in Chapter 3, Chopin’s indication of the conjunct phrases was ignored by the recipient of MS 231, Breitkopf & Härtel; it appears only in m. 47 of the Meissonnier edition, and not at all in Wessel. Yet one of the most significant effects of this phrase indication is its rhetorical nuance. Significantly, what was Chopin’s most fluid writing (as laid out in the sketch) is, through these slurs, now marked to be executed with a *parlando* and *cantabile* quality, exactly at the point where Chopin begins the rhythmic augmentation of the variants.

Our modern-day challenge, in understanding Chopin’s markings, is two-fold. First, we must seek out the notations that Chopin *did* indicate in his sources. The slur indication for conjunct phrases is an ideal example of how much we can learn from the markings in Chopin’s hand. Second, we must seek to understand the context of the phrase-mark taking into account the work itself, the instrument he favored most of all, and Chopin’s style – as composer and pianist. My discussion throughout Chapter 3 addresses these issues further.

(f) The decorative phrase

At m. 42 of MS 115, Chopin indicates a definite phrase on each of the fiorituras,

both of whose phrase indications end on the top B-flat of the decorative figuration, before the final melodic note. In MS 231, the phrase mark is entirely changed. Here, the first slur is a continuation from m. 41, and ends at the melodic-functioning staccato A-flat at m. 44. A new phrase is definitely indicated at the beginning of the second trill of m. 44, ending again on the top A-flat.

What are we to make of these discrepancies? Were they “variants” in his compositional process, or were they corrections? Chopin’s student Wilhelm von Lenz describes such “small-note embellishment[s] as “characteristic of Chopin’s ornamentation,” and describes how Chopin used to teach them:

It looks so simple! Chopin used to say of these ornaments that “they should sound as though improvised, the result not of studying exercises but of your sheer mastery of the instrument.” He himself provided the perfect example: like Field playing in Paradise.⁶¹

Chopin’s changed slurring in the fiorituras reflects his improvisatory concept of these passages. Offering examples in the Nocturne Op. 15 no. 2, the E minor Concerto Op. 11 (Romance), and the Impromptu Op. 29, Kleczyński discusses how Chopin executed such “parenthetical ornamentations”:

These ornamental passages should not be slackened, but rather accelerated towards the end; A *rallentando* would invest them with too much importance, would make them appear to be special and independent ideas, whereas they are only *fragments of the phrase*, and, as such, would form part of the thought, and disappear in it like a little brook which loses itself in a great river; or they may be regarded as parentheses which, quickly pronounced, produce a greater effect than they would if they were retarded. . . . Chopin differed, in his manner of using arabesques and parenthetical ornamentations, from the usual manner of his time, which

⁶¹ Wilhelm von Lenz, “Übersichtliche Beurtheilung der Pianoforte-Kompositionen von Chopin,” *Neue Berliner Musikzeitung*, XXVI/36 (1872), 283. Quoted in Eigeldinger, CPT, 52. See also 53, 133.

was to dwell upon such passages and to endue them with importance, as in the airs cadenzas attached to the airs of the Italian school [emphasis mine].⁶²

Indeed Mikuli speaks of the fiorituras in Chopin's playing that were not notated on the page:

Chopin took particular pleasure in playing [. . .] Field's Nocturnes, to which he would improvise the most beautiful *fiorituras*.⁶³

We also learn from Chopin's biographer Niecks that adding such ornaments in performance was not an uncommon practice among the Chopin circle. Yet the difference between the notation and the performance was quite apparent. Niecks refers here to Adolf Gutmann (the student whom Chopin admired the most), playing the Nocturne Op. 9, no. 2:

Gutmann played the return of the principal subject in a way very different from the way it is printed, with a great deal of ornamentation, and said that Chopin played it also in that way.⁶⁴

As the fiorituras clearly functioned as parenthetical ornamentation in Chopin's interpretative hierarchy, it is likely that these passages were altered in the inspiration of the moment. Keeping in mind that I further discuss the fiorituras' sound in Chapter 3, it should be mentioned here that Chopin's execution of the fiorituras may well have played a part in the overall ambiance and delicate quality of his playing, recalled by those who

⁶² Kleczyński, *How to play Chopin*, 48-49. Quoted in Eigeldinger, CPT, 54.

⁶³ Mikuli, *Vorwort*, 3.

⁶⁴ Niecks, *Frederick Chopin II*, 263, n. 32. Quoted in Eigeldinger, CPT, 78. Adolf Gutmann was the dedicatee of Chopin's Scherzo Op. 39. Chopin praised him "as his favorite interpreter of his own compositions." (Eigeldinger, CPT, 166).



heard him perform. I refer here, for example, to the sounds Alfred Hipkins described as those “delicate tints seen in mother-o’-pearl, and rendered apparently without the least effort.”⁶⁵

(g) The left hand phrase

Where Chopin introduced the right hand phrasing in the fair copy, he marks the left hand phrasing at a much later compositional stage: that is to say, in his corrected copy submitted for publication. The difference in stages signifies the distinction in function between the meanings of the articulation in the two hands. Where the right hand phrasing indicates the rhetorical nature of Chopin’s expressivity, the left hand phrase serves to shape the one-measure ostinato. We may also note that Chopin notates the left hand phrase at exactly the same time as he includes the introductory measures, to which he also designates a *staccato* to the D-flat pedal point. This further heightens the difference in meaning: for the right hand, the phrase signifies the dimension of expressivity, within which smaller articulations (for example, the *staccato* in the fiorituras, and the two-note phrases at mm. 33-34, inserted and deleted) may occur; for the left hand, it signifies an articulation.

The difference in meaning must surely manifest itself in performance. We have observed that the nature of the right hand is a rhetorical, declamatory meaning. The articulation of the left hand phrase, by nature of its *ostinato* function, is by comparison, straightforward. Hiller, the dedicatee of the Paris nocturnes, reflected on the nature of Chopin’s declamatory performance style: “Rhythmic firmness was combined with

⁶⁵ Edith Hipkins, *How Chopin played*, 7. Quoted in Eigeldinger, CPT, 55. See also CPT, 93. Hipkins was a pianist, musicologist and technical advisor for Broadwood. He was Chopin’s piano tuner in London in 1848 and heard him play many times. See also Chapter 1, Section A.

freedom in the declamation of his melodies, so that they would seem to have occurred to him at that very moment."⁶⁶ Of course, the combination of the “firmness” and the “freedom” prompts consideration of Chopin’s *rubato*, a topic that I will discuss in detail in Chapter 3. What is significant here is that through understanding the functions of the phrasing in each hand, we comprehend their difference in meaning. Therefore, the different performance of each will result in a type of *rubato*. No less significant is the fact that the “rhythmic firmness” of the left hand serves to heighten that “freedom of declamation” in the right hand, resulting in the improvisatory effect that was so remarked upon by Chopin’s contemporaries – that innate component of Chopin’s compositional style, represented here through the application of his slur.⁶⁷ Kleczyński’s quotation of Chopin’s *rubato* is especially relevant to the execution of this notation:

Some of Chopin’s students have assured me that in the *rubato* the left hand ought to keep perfect time, whilst the right indulges in its fancy; and that in such a case Chopin would say, “The left hand is the conductor of the orchestra.” Many passages of the *Berceuse* can be executed in this manner.⁶⁸

(h) The Coda

How interesting it is that Chopin’s elongated Row 14 of the sketch evolved into one long phrase. In MS 115, Chopin notates one long slur from m. 53 to m. 63. In MS 231, he keeps the same phrase marking. (The equivalent measures in MS 231 are m. 55-65.) Indeed, it is the concise structural nature of the *Berceuse* that illuminates the ways

⁶⁶ Ferdinand Hiller, *Briefe an eine Ungenannte*, 150-152. Quoted in Eigeldinger, CPT, 270. See also Chapter 1, Section A.

⁶⁷ For a discussion of Chopin’s improvisatory style, see Chapter 1, Section A.

⁶⁸ Kleczyński, *How to play Chopin*, 57. Quoted in Eigeldinger: CPT, 51.

in which Chopin uses the phrase to create seamlessness, to convey the phrase rhythm, the expressivity through the wrist's suppleness and "respiration," and the vocal qualities of *cantabile* and *parlando*. The landscape of the slur in the coda is surely an indication of the expressivity of a long line which will be punctuated by the vocal qualities of *parlando*, by the nuances of hairpins and fingering, and as we will see below, by the sonority of the pedal.

4. Stems and Fingering

Chopin's addition of stems in MS 231 signifies his focus on counterpoint, an inherent component of his mature style.⁶⁹ The journal of Eugene Delacroix is so revealing in this aspect of Chopin's late compositional style that it is worth citing in full. (His entry also demonstrates the detail and depth of discourse in which these two artists engaged.) Delacroix writes:

He made me understand the meaning of harmony and counterpoint; how in music, the fugue corresponds to pure logic, and that to be well versed in the fugue is to understand the elements of all reason and development in music. I thought how happy should have been to study these things, the despair of common-place musicians. It gave me some idea of the pleasure which true philosophers find in science. The fact of the matter is, that true science is not what we usually mean by that word – not, that is to say, a part of knowledge quite separate from art. No, science, as regarded and demonstrated by a man like Chopin, is art itself, but on the other hand, art is not what the vulgar believe it to be, a vague inspiration coming from nowhere, moving at random, and portraying merely the picturesque, external side of things. It is pure reason, embellished by genius, but following a set course and bound by higher laws. And here I come back to the difference between Mozart and Beethoven. As Chopin said to me, 'Where Beethoven is obscure and appears to be lacking in unity, it is not,

⁶⁹ Samson discusses the influence of Bach, and Chopin's use of counterpoint in the 1830s and 1840s. See Samson, "Chopin, past and present," particularly 385-387. I offer further background on Chopin's training in eighteenth-century style in Section 6(e) below.

as people allege, from a rather wild originality – the quality which they admire in him – it is because he turns his back on eternal principles.” Mozart never does this. Each part has its own movement which, although it harmonizes with the rest, makes its own song and follows it perfectly. This is what is meant by counterpoint, *punto contrapunto*. He added that it was usual to learn harmony before counterpoint, that is to say, to learn the succession of notes that leads to the harmonies.⁷⁰

Delacroix’ statements portray Chopin in 1849 as a musician deeply influenced by the “pure logic . . . and reason” of counterpoint, the aesthetics of the eighteenth century, and the concept of an art “bound by higher laws.” Particularly, as will be noted below, we cannot ignore the influence of Bach on his creative spirit. Indeed, the *Berceuse* consists not only of a most concise logic and order within its phrase structure above the ostinato, and within the phrases’ overriding seamlessnes; the logic and order of counterpoint are embedded within the work’s keyboard textures (those produced through touch and figuration) and sonorities (those produced through tone and pedal). Perhaps these are signs of his “pure reason, embellished by genius.” Chopin’s contrapuntal treatment manifests itself through several entities:

- (i) the entry of the second variant in the alto, at the anacrusis of m. 6; the treatment of 4-3 suspensions in mm. 13-14, discussed in Chapter 1.⁷¹
- (ii) the parallel sixth motion that is embedded in the rising triplet figure (mm. 39-42), which conveys an apparent sense of melodic independence through the alternation of lower and upper notes, and the syncopation of the upper (mm. 39-42);
- (iii) the counterpoint of “measured” sonority, by providing a two-measure

⁷⁰ A. Joubin, ed., *The Journal of Eugène Delacroix*, trans. W. Pach (New York: Crown Publishers, 1948), 194-195.

⁷¹ See Chapter 1: Section D(2); Table 1 and Example 2.

“counter-ostinato” (the A-flat organ-point in MS 231, mm. 33-34).⁷² By “counterpoint of sonority,” I am referring to the juxtaposition of contrasting sonorities. These are the result of Chopin’s detailed articulation markings, clearly a reflection of the colors, hues and textures of his “inner ear’s palette” and the sensitivity of his keyboard execution. Chopin’s indication of the A-flat pedal-point cannot be separated from the small, additional, two-note phrases above each pair of second and third 16ths in mm. 33 – 34, which he later crosses out. The stem notation of the A-flat pedal-point is itself sufficient an indication, to the pianist, of the counter-sonority in the upper voice. It is of interest here to note that Chopin crossed out his carefully notated two-note phrases because, simply put, he did not want the small details to encumber the fluidity of the long line. In an elaborate discussion of Chopin’s teaching, Kleczyński refers to Chopin’s Waltz in A-flat, Op. 69, no. 1, and proceeds to equate its hierarchy of periods and phrases with that of the “full-points” (periods), “semi-colons,” and “commas” of language.⁷³ To convey such execution, he notates a small eight-measure example, in which he includes every nuance of phrase, dynamics, *crescendi* and *diminuendi* (some only one note in length), accent, “*poco sf*” and pedal. All of that being said, Kleczyński inserts the following caveat:

From these general rules, Chopin arrived at the following conclusion, to which he attached much importance; *do not play by too short phrases*; that is to say, do not keep continually suspending the movement and lowering the tone on too short members of the thought; that is again to say, do not spread the thought out too much, by slackenings of the movement – this fatigues the attention of the listener who is following its development.⁷⁴

⁷² I also discuss mm. 33-34 in Section 6(c) below: “The Pedal”.

⁷³ Kleczyński, *How to play Chopin*, 49, 50. Quoted in Eigeldinger, CPT, 42-43. Kleczyński’s performance notations of the Waltz are reproduced in CPT, 43. See also Section 7, below.

⁷⁴ Kleczyński, *How to play Chopin*, 49, 50-53. Quoted in Eigeldinger, CPT, 42-44.

The writer Karasowski sums up the concept: “He advised his pupils not to fragment the musical idea, but rather to carry it to the listener in one long breath.”⁷⁵ I suggest that Chopin deleted his two-note phrases, not because he did not want them observed, but simply because he did not want the pianist to give more attention to their details than to the shape of the long phrase above. The modern-day performer, therefore, is better off understanding the context of their insertion and deletion, than not having known of them at all.

(iv) the counterpoint of “indeterminate” sonority (mm. 55-56, and mm. 66 67). While Chopin writes the fingering in mm. 55-56, in MS 231, exactly as he had in the sketch, what is new is that Chopin also indicates a double-stem on the C-flat, further emphasizing the chromatic alteration of the secondary dominant seventh – that which he indicates should be played with the thumb, the heaviest finger. Chopin’s stem notations in the coda occur either as a single sonority, as in the C-flats (mm. 56 and 57), or hint at a melodic line, as in the suggested alto line F to E-flat (mm. 66 and 67). We have already noted that Chopin’s indication of the 5th and 4th fingers in his suggested soprano line is indeed a more effective notation, by nature of the resultant indeterminate length, than the notation of stems or slurs might provide. What is fascinating is the fact that none of these stems have any rhythmic logic in the measure of which they form a part. This indicates Chopin’s desire for the suggestion of a contrapuntal sonority whose rhythmic value is indeterminate, as distinct from an identifiable contrapuntal line of definable rhythmic duration.

⁷⁵ Moritz Karasowski, *Friedrich Chopin. Sein Leben, seine Werke und Briefe* (Dresden, Ries, 1877), II, 94. Quoted in Eigeldinger, CPT, 44.

With reference to the topic of fingering, it should here be noted that Chopin's additional fingering indications in MS 231 demonstrate the care he took to convey the interpretative meaning, which would occur naturally as a result of the indicated hand position. His fingering at m. 43, for example, provides for the rendition of a smooth, fluid, and *legato* fioritura. At m. 49, Chopin indicates fingering where the 4th finger, landing on a black key, crosses over the 5th finger; then the 5th passes under the 4th.

Among his musical examples Kleczyński cites these exact measures of the *Berceuse*:

[The exercises immediately above] also explain to us those fingerings – so original that they shocked the old pianists – the object of which is to keep the hand in its proper position, even by passing the 3rd or 4th finger over the 5th: for instance, the chromatic scales with the 3rd, 4th and 5th fingers, *Etude* Op. 10/2; the passage to the second motif of the Nocturne in B flat minor [Op. 9/1], the *Berceuse*, the Nocturne in C sharp minor [Op. 27/1], etc.⁷⁶

Kleczyński explains Chopin's reasoning:

[This fingering] arises from a perfectly true and rational idea, from a natural position of the hand, to which position it ought to conform in most passages; and this is one of Chopin's greatest merits so far as piano technique is concerned. If we take as the normal position for the right hand, e, F#, G#, A#, B, and for the left hand, C, Bb, Ab, Gb, Fb, we perceive that the two hands must be slightly turned in contrary directions.⁷⁷

Keeping the hand in its position at m. 49 (prior to the crossing over) will result in a stillness, perfectly suited for the now augmented rhythmic values in these measures that precede the coda, and for the effect of the *sostenuto* marking that prevails until the close.

⁷⁶ Kleczyński, *How to Play Chopin*, 32-34. Quoted in Eigeldinger, CPT, 39.

⁷⁷ Kleczyński, *How to Play Chopin*, 32-34. Quoted in Eigeldinger, CPT, 39

By virtue of this position, the pianist cannot help but express the rhetorical stretch to the G flat, followed by the slurred fall of G flat to F (the 5th falling under the 4th), which, in turn, will render itself vocally, just as Chopin taught. His fingering in this example is an indication of the *bel canto* and rhetorical expressiveness of his keyboard style. The interpretative significance of Chopin's fingering, indicated in the sketch, explains the meticulous attention he accorded to it as a pedagogical means. Indeed, his student George Mathias states, "Chopin was very particular about fingerings, demanding that the students should learn a fingering once and for all, and then never alter it."⁷⁸

5. The Dynamics and Hairpins

It is significant that Chopin adds dynamics and expressive markings only in the late stage of his compositional process – in the engraver's copy. Unlike the right hand phrasing, which Chopin enters in the fair copy, the dynamics form a "second" level of specification in the *Berceuse*. In this way Chopin's music carries the same keyboard tradition of Bach and Mozart: there is much that can be understood about the dynamic levels from the affect, the texture, the voicing of the pitches on the page, and the resultant sonorities. While the dynamics, for Chopin, play a significant role in the rhetorical elocution, it is most succinctly through his phrasing indications and, in special circumstances, fingering, that he conveys that intent.

How interesting it is to note that out of the three hairpin markings at mm. 55-57, no two are of the same length. At m. 55, there is a hairpin (>) underlying the first three of the group of sixteenth-notes. At m. 56 it is not clear whether Chopin's same indication

⁷⁸ Ernest Schelling, "Chez un élève de Chopin," *La Revue Musicale*, XII/121 (1931), 68-70. Quoted in Eigeldinger, CPT, 41.

is an accent under one note, or a longer hairpin under two. The same marking occurs again under the third sixteenth-note in m. 57, which is double-stemmed as a sixteenth- and a quarter-note. Chopin was so concerned about the execution of these notes that he also marked the fingering above the relevant notes in mm. 55 - 56, indicating that the double-stemmed C flat, the chromatically altered note that functions as the seventh of the secondary dominant – that causes the greatest upheaval, in the wrong direction, for the listener – should be played with the thumb, the heaviest finger. If we consider the hairpins and the fingering in the same context, then it is evident that these short hairpins, or long accents, are not only an indication of sonority, but also of rubato. This point substantiates Rink's conclusion that the roles of the "long accent" markings in [Chopin] performance "were determined by context, but in most cases, probably involved dynamic and/or temporal spreading."⁷⁹ The Henle Urtext publication of each of these signs (in the Berceuse) as an accent is surely misleading with regards to the range, and meaning, of Chopin's expressive and sonorous intent. The fact that the first, in m. 55, is so clearly a lengthened decrease in sound alters in conception the expressive nature of the hairpin marks that follow. Indeed, we recall that in the context of "punctuation and elocution," Kleczyński's performance notations of Chopin's Waltz Op. 69, no. 1 include a *crescendo* followed by a *diminuendo*, each the length of one note.⁸⁰

6. The Pedal

Chopin's pedal notations, which do not appear until MS 231, reveal fascinating

⁷⁹ Rink, "Les Concertos de Chopin," 69-88. (Exact page number not available at this time.)

⁸⁰ Kleczyński, *How to play Chopin*, 50-53. Quoted in Eigeldinger, CPT, 42-43. See Section 4, "Stems and Fingering", above. For a discussion of the hairpin marking in the editions of 1845 and subsequent, see Chapter 3, Section B.

insights into Chopin's concept of the pedal. It is intriguing to observe that Chopin's pedal signs are meticulous, notating precisely the point of depression and release in every measure. The following measures are of special interest:

(a) Mm. 25-26

In m. 25, Chopin has originally marked in two pedals per measure, dividing the measure in half – as in every measure up to here – but then crosses out these markings. His corrected pedaling indicates that in m. 25 the pedal should be used only on the first eighth-beat, and in m. 26 only over the first half-measure. The sudden shift from a pedaled to a non-pedaled texture in Romantic, nocturnal music whose keyboard texture remains static is likely to surprise the present-day pianist, particularly considering the pedaled quality of the first 24 measures – which constitute more than one-third of the *Berceuse*. What was Chopin's intent? When almost every other eighth-beat in the entire *Berceuse* has a pedal indication, why, the pianist must ask, would Chopin leave the one-and-a-half octaves ascent of double thirds (m. 25), and the alternating double intervals (end of m. 26), exposed? The answer is simple. Chopin desired a lucid clarity for the rendition of the double thirds and “sometimes desired the contrast in pedaled and unpedaled sound.”⁸¹ Surely his objective is the clarity of the thirds. Why then is the identical continuation of the ascending double thirds, in m. 26, pedaled? The answer again relates to clarity. In that register of the piano, due to the smaller number of partials, it is easy to maintain clarity of articulation while still engaging the pedal. That the second half of that measure remains unpedaled reveals that Chopin wanted the alternate,

⁸¹ Sandra Rosenblum, “Some Enigmas of Chopin's Pedal Indications,” 41. Sandra Rosenblum offers a detailed account of Chopin's pedal indications.

gradually augmenting intervals to sound particularly distinct in comparison to the ascent of thirds. This unpedaled effect, in turn, results in a similar shift in sonority between this passage and the subsequent rhythmic transformation to two-note phrases at m. 27. The pianist Antoine Marmontel, Debussy's teacher, offers some insight into the unpedaled effect that Chopin could achieve:

He would use the soft pedal alone for those light murmurings which seem to create a transparent vapour round the arabesques that embellish the melody and envelop it like fine lace. The timbre produced by the pedals on Pleyel pianos has a perfect sonority.⁸²

At this point we would gain by considering the Pleyel, Chopin's immensely favored instrument in Paris. First, the distinction between pedaled and unpedaled sound on the Pleyel is not as great as on the modern piano, due to the wooden center of the hammer that caused the sound to linger for longer than the modern felt hammers. In addition, the action of the Pleyel was much lighter, so the transparent effect of unpedaled ascending double-thirds would have been accommodated quite naturally, both by the fingers and the ear. Indeed, in contrast to the modern piano, where the combination of *legato* and transparency of such passages is almost impossible to achieve *without* the pedal, the unpedaled texture may well have been the more desirable effect, due to the Pleyel's innate naturally transparent quality. It is quite possible that the lingering after-effect of the light dampers of the Pleyel would have produced that very result. The extensive details of Sandra Rosenblum's account of the Pleyel are crucial to our understanding the meaning and context of Chopin's pedal indications:

⁸² Marmontel, *Histoire du piano*, 256-7. Quoted in Eigeldinger, CPT, 58.

For reasons of size, materials used, and construction, Pleyel's instruments have a lighter (though easily controllable) action and a less powerful sound than the contemporary Erards. But Pleyels produce a more lyrical tone that is malleable and responsive to subtle variations in touch – aided by that builder's loyalty to a single escapement action ... Like others of the first half of the nineteenth century, Pleyel's grands produced tones rich in harmonics, with changes in timbre among the registers. In the two instruments I know, the sound is transparent and bright in the upper half of the keyboard, rich but clear in the lower half. The bottom octave sounds robust, the next two octaves to middle C are rich and warm, the two octaves above middle C are more penetrating, and from approximately c3 to the top the sound becomes silvery. The quality of the top register is brought about both by the needle-like shape of the wooden hammer core in the treble, which emphasizes the upper partials, and by the change of the striking point from a ninth at c3 to beyond a thirteenth at g4. Modern instruments produce sound with more fundamental and far fewer harmonics, and have a homogenous tone quality throughout the registers but with a thick, less well-defined bass. Finally, the light dampers on the Pleyels leave a slight after-sound that does not exist on twentieth-century pianos.⁸³

Still, the contrasts of the passage at mm. 25-26, on a modern piano, might be greater than the design (and thus aesthetic) of the modern piano can accommodate. What is the pianist to do? In m. 25, the pianist might employ a one-eighth pedal for the remainder of the measure – just enough to provide the necessary *sostenuto*, and little enough to provide a perceived contrast in sonority.

(b) M. 28

M. 28 provides an important clue as to Chopin's use of pedal through the use of dissonance: in the passage containing the two-note sigh figures, he would rather give up the rhythm and sonority of the D-flat bass pedal point in order that its juxtaposition with the dissonant E-natural in the right hand not pervade through the whole measure. There are many occasions in Chopin's music, of course, where a dissonance becomes part of his

⁸³ Rosenblum, "Chopin's Pedal Indications," 47, 49.

pedaled texture. However, in this measure, the dissonance is particularly exposed because of the right hand two-note phrases, each punctuated by the rest that follows. This example, because of its unique sacrifice in the entire Berceuse pedaling, substantiates the two similar cases that Rosenblum offers, which, significantly, were composed immediately following the Berceuse: the Largo of the Sonata in B minor, Op. 58, and the Barcarolle, Op. 60.

That being said, Chopin, as he is wont to do, repeats this same music in m. 30, pedaling through the dissonance for the first three eighth-notes of the measure. Here we must decide whether we should treat this measure similarly to m. 28, or whether we perform this measure per Chopin's notation, keeping in mind that he took delight in variety in his improvisatory keyboard style.⁸⁴

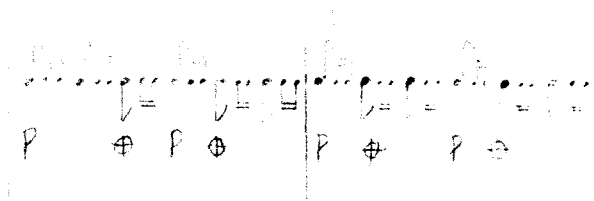
(c) Mm. 33-34

In m. 33, Chopin's first pedal lasts for two eighth-notes; in m. 34, the first pedal lasts for one eighth note. In both measures, Chopin indicates the release of the pedal precisely at the fifth eighth-note beat. The effect is two-fold. First, we must view this pedal indication in conjunction with the two-note phrases above – those he had inserted and then deleted. The lack of pedal at the end of the measure will enunciate more clearly the texture of the stemmed notation of the right hand with, as mentioned above, the unnotated possibility of the two-note phrases implied by the stem notation. Indeed, the unpedaled sonority will bring greater clarity to whatever the pianist has decided to make of the possibilities of sub-phrase texture in the right hand, *without* overriding the long phrase of mm. 31-36. This is the very effect that fulfills Chopin's whole intention for

⁸⁴ See Section 3(f) above: "The Decorative Phrase."

deleting the two-note phrases. That is not to say that there should be no decorative sub-phrases, but that for Chopin, his priority is the long phrase, underlined at times by the dimension of contrast provided by pedaled and unpedaled sonorites, whose colors serve at various moments to veil or expose further underlying textures.

Second, the result of the contrast in pedaled and unpedaled sound brings about its own rhythm of sonority, particularly exposed in the repeated right hand pedal point rhythm of Chopin's double-stemmed A-flats, as shown in Example 3.



Example 3: mm. 33-34.

Silhouetted against the triplet-sixteenth notation, the microscopic texture reveals itself to be extraordinarily complex: the shifting texture, which I have notated by the change in stem direction, of the pedal-point, in juxtaposition with the two-note sigh-figures and the *ostinato* bass, becomes almost kaleidoscopic.

(d) The fioritura: mm. 43-44

The indication of the new pedal on the fifth eighth note has a two-fold effect. First, Chopin creates a pronounced mesh of sonorous dissonance by merging the B-double-flat of the first trill with the A-flat of the bass, and then with the A-flat of the

second trill, all under one pedal. Second, by having this same second pedal of m. 43 last until the third eighth-beat of m. 44, he has merged the trills with the first fioritura, resulting in quite a swoosh of sound. While the developmental climax of the Berceuse is as circumferenced by its variational structure, as by its one-measure harmonic paradigm, this swell of sonority coincides with the pitch-class climax, and with the harmonic, that is to say, vertical, effect of the rhythmic diminution of these surrounding measures. Why would Chopin's treatment of dissonance be different here, in comparison to m. 28 as described above? The answer is simple. Chopin desired a different treatment of sonority in passages distinctly punctuated by sequences of sixteenth-pairs and rests (as in mm. 28-30) from that in his decorative, improvisatory, cadenza-like fioritura passages.

(e) The Coda

The coda is not only distinct in its fluidity of phrase and in its hints at contrapuntal sonorities through the combination of fingering and stems; this section contains distinctly longer pedal markings than we have seen in the entirety of the Berceuse. The combination of these factors creates a sonority that is quite distinct from that of the body of the Berceuse. The pedal markings of the coda are a study unto themselves.

(i) M. 55

Significantly, Chopin's first long pedal marking occurs at m. 55, the first measure of the coda. It marks this section with a new sonority and with a new rhythm of sonority, both of which correspond to the shift in harmony, and in harmonic rhythm. The new

length of pedal in measures 55, 57 and 58 further sustains the resonance of the chromatically altered C-flat and renders even more indeterminate the effect of the underlining symbol that is too long for an accent and too short for a *diminuendo*.

(ii) Mm. 57-58.

Melodically, this material contains an extension of the material in mm. 55 –56. The pedaled sonority serves simultaneously to highlight the phrase extension and to replicate its rhythm. We have already noted the rhythm of the pedaled sonority in mm. 33-34, above. At mm. 57–58, we recall that the fingering (marked in the sketch) and the stems (indicated in MS 231) indicate the first and second contrapuntal dimensions. By now we may certainly perceive an extra dimension of counterpoint, made conspicuous by means of its rhythmic independence: namely, the counterpoint of sonority.

(iii) Mm. 59-63

(In this section, the reader should refer to MS 231 and Example 4, below.) At mm. 59-60 we are, for the first time in the entire Berceuse, in a harmonic area free of the tension of a dominant-seventh. The two one-measure pedals in mm. 59-60 provide an even greater stability for the resolution to the sub-dominant. However, their metrical effect is soon veiled by Chopin's long pedal underlying the shift to the dominant-seventh (itself occurring over a pedal-point) at mm. 61-62. Significantly, Chopin crossed out the original new pedal at m. 62. The resultant long pedal renders more ambiguous the hemiolas that imply a soprano and alto voice. (See Example 4.) Indeed, the long pedal highlights the silhouette of both implied voices and allows each to emerge and recede,

<p>55</p> <p>P</p> <p>I</p> <p>$\frac{V^7}{IV}$</p>	<p>56</p> <p>1 5 2 4</p> <p>P</p> <p>ΦP</p>	<p>57</p> <p>P</p>	<p>58</p> <p>Φ</p>
<p>59</p> <p>P</p> <p>Φ</p> <p>IV^6_4</p>	<p>60</p> <p>P</p> <p>Φ</p> <p>Phrase extension</p> <p>V^7 over pedal</p>	<p>61</p> <p>P</p> <p>ΦP</p>	<p>62</p> <p>ΦP</p> <p>Φ</p> <p>Sub-phrases (my own) indicate hemiolas that occur simultaneously, implying soprano and alto. Long pedal highlights the silhouette of both. Single pedal (end of m.62) makes final hemiola distinct</p>
<p>63</p> <p>P</p> <p>Φ</p> <p>I</p>	<p>64</p> <p>P</p> <p>Φ</p>	<p>65</p> <p>P</p> <p>ΦP</p> <p>Φ</p>	<p>66</p> <p>P</p> <p>Φ</p>
<p>67</p> <p>P</p> <p>ΦP</p> <p>I</p>	<p>68</p> <p>LH</p> <p>Φ</p>	<p>69</p> <p>P</p> <p>Φ</p> <p>V^7</p>	<p>70</p> <p>P</p> <p>Φ</p> <p>I</p>

Example 4: Pedal indications in the coda

depending on the *souplesse* of the wrist. The final new, half-measure pedal in m. 62 may at last make distinct the concluding hemiola figure; however, by now that distinction is inconsequential to the listener. The new pedal, while itself a component of the “rhythm” of the sonority, will simply allow for a decrease in sonority that serves to introduce the final appearance of the right hand melody.

The sonority of the pedal therefore, has its own rhythm, one that counters that of the ostinato, that of the harmonic rhythm, that of the hemiolas, and that of the long phrase above. However, at times Chopin will use the pedal to connect all of the above. Indeed, Chopin’s use of the pedal creates an even greater circularity than he has achieved by means of the “rational deception” of the V-I paradigm, phrases that have indiscernible beginnings and ends, and indeterminate hairpin markings. The pedal functions at times to expose, counter, or veil it all through its own contrapuntal sonority, which seems to have a mind, life, and rhythm, of its own. In all of its precision, it is as unpredictable to the listener as every other entity in this highly “structured” Berceuse. In denoting the expectation of the V-I paradigm, Chopin has deceived us in every possible way. The pedal represents yet another color in Chopin’s palette that is mesmerizing, trance-like, dependent, and yet independent. In its apparent indefinitude, it evokes, like the other compositional components, that quality recalled by Chopin's student Wilhelm von Lenz (1809-83), who recounts Chopin's words: “I indicate, (*j'indique*) . . . it's up to the listener to complete (*parachever*) the picture.”⁸⁵

⁸⁵ Lenz, *Die Grossen Pianoforte-Virtuosen*, XXII, 39. Quoted in Eigeldinger, CPT, 278.

(iv) Mm. 66–68

Chopin's pedal markings at mm. 66-68 create a sonority that is distinct in its length from the notation of the right hand, its partial phrase markings, and at mm. 67-68, from the ostinato bass. Chopin's indication of a change in pedal, on the third eighth note of m. 67 has several effects. Most obviously, it relieves the possibility of the sustained dissonant E-flat. Second, it creates a shift in the pedal rhythm. Perhaps most significantly, by changing the pedal on the weak beat and through the pedal's prolongation in the subsequent measure 69, the pedal removes the punctuated downbeat of the bass pedal-point, both from the final phrase extension and from the final two statements of the ostinato. This shift in emphasis also invites the pianist in m. 68 to "swell" expressively – that is, to take time – in the articulation of these right hand notes, a performance element that we will explore in Chapter 3. Finally, the prolongation of the pedal into m. 68 serves to connect the final "respiration" of the right hand, in m. 69, with the preceding phrase. The sonority of the pedal, therefore, has its own rhythm.

We cannot leave the discussion of Chopin's use of pedal in the coda without addressing its overall perspective. Referring again to Example 4, we may observe, while taking into account the rhythmic shifts, that there is the tendency of a *ritardando* in the pedal's own rhythm in the coda, toward the end of each of the following phrase units: mm. 55–58; mm. 59–62; and mm. 63–68 (including the phrase extension at mm. 66–67, and the "respiration" in m. 68.) Indeed, we notice that the longer pedal combinations (none of them alike) take place in the final two measures of each unit. The rhythm of Chopin's pedal, therefore, aligns with the lengthening of his harmonic rhythm, as follows:

- (i) The two-measure pedal at mm. 57-58 has the effect of “lengthening” the secondary dominant of mm. 55-58, particularly as it highlights and prolongs the right hand C-flat in m. 57.
- (ii) The one-and-a-half-measure pedal at mm. 61-62 punctuates and prolongs the secondary dominant. Having been somewhat veiled by the hemiolas and the tonic pedal-point, the final half-measure pedal provides an additional punctuation of this harmony.
- (iii) The final one-and-a-half-measure pedal at mm. 66-67 elongates the last tonic that occurs before the cadence; however, as discussed above, by beginning the long pedal on the third eighth-note, he weakens the effect of the tonic by avoiding the tonic downbeat in the pedal.

The rhythm of Chopin’s pedaling, therefore, is particularly marked in the coda which is built otherwise of fluidity in the right hand. The fluidity is made irregular, that is to say, it is punctuated by the rhythm of the pedal. The pedal’s rhythm is also particularly exposed in mm. 33-34, as discussed above, where the contrasts of the pedaled and unpedaled texture are rhythmically highlighted above the secondary right-hand ostinato pedal-point and the (deleted) sub-phrases. Such passages speak to the manner in which Chopin absorbed Bach’s counterpoint into his own idiomatic keyboard language.⁸⁶

⁸⁶ Chopin’s first teacher, a violinist Wojciech Zywny, instilled in Chopin the love of Bach’s music: see Halina Goldberg, “Musical Life in Warsaw,” 48. Chopin’s early training with his mentor Józef Elsner in Warsaw was grounded in the eighteenth-century texts of Albrechtsberger, *Anweisung zur Composition*, and Kirnberger, *Die Kunst des reinen Satzes*: see Samson, *Chopin*, 53. Chopin’s esteem for J.S. Bach cannot be underestimated. He advised to Madame Dubois, “*toujours travailler Bach – ce sera votre meilleur moyen de progresser.*” (Niecks, *Frederick Chopin II*, 190, 107. Quoted in Eigeldinger, CPT, 61). When Lenz asked him how he prepares for concerts, he replied, “For a fortnight I shut myself up and play Bach. That’s my preparation, I don’t practise my own compositions.” (Lenz, *Die Grossen Pianoforte-Virtuosen*, 36. Quoted in Eigeldinger, CPT, 135. See also CPT, 135-136). While Samson does not discuss the pedal in this context, he discusses the influence of Bach’s counterpoint on Chopin’s keyboard style. See Samson, “Chopin, past and present,” 385-387.

Indeed, the pedal itself has become a “figurational” embellishment – one whose sonority has its own rhythm – the kind upon which the entire melodic and rhythmic line of the Berceuse is based. Viewed in this way, Chopin’s treatment of the pedal as a rhythmic, harmonic sonority is akin to the “beauty of variety” of “diversified figurations” that C.P.E. Bach taught in his chapter on the fantasie.⁸⁷

Chopin's student Friederike Streicher (1816-1895) addressed the significance with which Chopin regarded the pedal:

In the use of the pedal he had likewise attained the greatest mastery, was uncommonly strict regarding the misuse of it, and said repeatedly to the pupil: 'The correct employment of it remains a study for life.'⁸⁸

Perhaps Marmontel best sums up the craft of Chopin’s pedaling (and how interesting it is to consider that which Debussy inherited from his teacher):

No pianist before him employed the pedals alternately or simultaneously with so much tact or skill. With most modern virtuosos, excessive, continuous use of the pedal is a capital defect, producing sonorities eventually tiring and irritating to the delicate ear. Chopin, on the contrary, obtained ravishing harmonies, melodic whispers that charmed and astonished. . . . If we draw a parallel between Chopin’s sound effects and certain techniques of painting we could say that this great virtuoso modulated sound much as skilled painters treat light and atmosphere. To envelop melodic phrases and ingenious arabesques in a half-tint which has something of both dream and reality: this is the pinnacle of art, and this was Chopin’s art.⁸⁹

⁸⁷ See Chapter 1, Section C.

⁸⁸ Niecks, *Frederick Chopin* II, 341. Quoted in Eigeldinger, CPT, 57.

⁸⁹ Marmontel, *Les pianists célèbres*, 4-5. Quoted in Eigeldinger, CPT, 274-275.

(v) M. 70:

Chopin's omission of pedal on the final shortened note, if taken literally, could be problematic on the modern piano, which does not have the lingering after-effect of the sound that the Pleyel has. What is the modern pianist to do? Play the last note of course ever so softly so that it does not require much time to decay, and use the lightest dab of pedal with slow a release as possible, so that the moment of silence cannot be determined from the decay in sound.

7. Final Measures

In the final measure of MS 231, Chopin corrects the value of the final chord from a dotted half, and re-writes a quarter followed by rests. I disagree with Nowik's statement that "the shorter final note has the effect of delimiting more clearly the boundary between the sound-structure of the piece and the silence which surrounds it." If we are to turn again to Kleczyński's notated execution of the phrases in Chopin's Waltz Op. 69, no. 1, we see the following interpretation of a cadence-point, notated not once but three times in succession:⁹⁰



⁹⁰ Kleczyński, *How to play Chopin*, 49, 50-53. Quoted in Eigeldinger, CPT, 43.

Kleczyński instructs that the above should be executed as follows:



In fact, by shortening the value and by inserting the *diminuendo* and the rests, Chopin adds to his new notation in precisely the same way as Kleczyński. The final rest in the Berceuse, therefore, does not “delimit” boundaries, but means quite the opposite. The notation indicates that the slightly punctuated chord in m. 69 will decay into the quarter-note, which, depressed as softly as it is short, will in turn fade into the “respiration” – all at the level of *pianissimo*. Chopin’s student, Emilie Gretsch, describes Chopin’s dynamics in exactly this way:

Only with Chopin can one appreciate the quality of sound to infinitesimal levels [*le charme du son jusqu’à l’infini*]; as an entirety as well as in the smallest detail, his decrescendo is as enchantingly beautiful as it is difficult to attain.⁹¹

However, what is most significant about Chopin’s altered notation is not its elocution, but that the “respiration” occurs at the point in the measure that functioned as the connecting point throughout the Berceuse. What happened at that moment was always the means to an end that inspired another beginning – the ambiguity of the dominant seventh, the rhythmic syncopation and yet the anacrusis – all often veiled by a pedal that suggests yet a new rhythm, or beneath a phrase that conceals it. By

⁹¹ Grewingk, *Eine Tochter Alt-Rigas*, 15-16. Quoted in Eigeldinger, CPT, 57.

punctuating the respiration at the moment that, as a harmonic, rhythmic, and semantic pattern, is both an end and a beginning, Chopin is, in effect, connecting the cadence of the Berceuse with the world beyond, in the same way as the introductory measures emerge out of nothing. The very outer nature of the Berceuse, then – that of circularity – serves to heighten its dream-like character within.

Robert Schumann spoke of the dream-like manner in which Chopin performed, and of the gesture that seemed necessary in order for Chopin to extract himself from this trance-like state:

It was already an unforgettable picture to see him sitting at the piano like a clairvoyant, lost in his dreams; to see how his vision communicated itself through his playing, and how, at the end of each piece, he had the sad habit of running one finger [*glissando*] over the length of the plaintive keyboard, as though to tear himself forcibly away from his dream.⁹²

Indeed it is curious that Schumann, so enthralled by that quality of Chopin's playing which he likens to "lost in his dreams," parodies the same affect in his miniature entitled "Chopin" in *Carnaval*, Op. 9. Marked by "D.S." (*dal segno*), but nowhere by a *fine*, the *segno* occurs in its first measure, at the top note of the same arpeggio that ends the last measure. Ending, therefore, where it begins and beginning where it ends, "Chopin" has neither a beginning nor an end. Similarly, the circular structure of the Berceuse, forever "connected" and "lost," is merely an outer circumference of the microscopic ambiguities within. Such is the significance of Chopin's addition of the first two measures, and his alterations to the last.

⁹² Robert Schumann, *Gesammelte Schriften über Musik und Musiker von Robert Schumann*, ed. F. Gustav Jansen (Leipzig: Breitkopf & Härtel, 4th ed., 1891), 23. Quoted in Eigeldinger, CPT, 269.

CHAPTER 3
FROM CHOPIN TO THE PIANIST:
The First Editions
to the First Generation of Recording Pianists

What becomes of the Berceuse in the hands of Chopin's editors and the first generation of recording pianists? This question underlies the issues addressed by this chapter in which I discuss the evolution of the Berceuse from the first editions (Wessel, Meissonnier, and Breitkopf & Härtel) to the editions and recorded performances of Raoul Pugno, Ignaz Friedman, Leopold Godowsky, Alfred Cortot, and Ignaz Paderewski.¹ Although the esteemed Chopin pianist Vladimir de Pachmann did not record the Berceuse, I include his edition in my discussion. The chapter is organized as follows:

- A. Overview.
- B. The evolution of Chopin's markings.
- C. In the hands of the pianist.
- D. The pianist's perspective. A re-evaluation.

Appendix B: The pianists' editions with my notations of their performances, aligned system-by-system under MS 231 and the Meissonnier edition.²

Enclosure: A compact disc of the recorded performances of Pugno, Friedman, Godowsky, Cortot and Paderewski.

¹ Though Paderewski began work on the complete edition of Chopin's works in 1937, it was for the most part compiled after his death by Ludwik Bronarski and Józef Turczyński between 1945 and 1961. See Section B and C(5) below.

² For practical purposes I include in Appendix B only the Meissonnier edition. The differences among the first three editions are demonstrated, with examples, in Section B.

A. OVERVIEW

The performances and editions of the first generation of recording pianists provide a historical window into a performance tradition that was closely linked to Chopin's: their performances will reveal the connections. I am primarily interested in the following questions: how did the pianist express as sound his conception of the work's structure – that is to say, its variant sections, its seamless, its coda, its introduction and end?³ What did his performance indicate about the pianist's role in relation to the work? How do we relate these concepts (both of the performance and of the pianist's role) to Chopin playing Chopin?

The pianists' editions are valuable at three levels. First, along with the sources and the first editions, they enable us to trace the evolution and reception of Chopin's notations. Second, the editions reveal what was important to each pianist on the page in terms of entities such as phrase, articulation, pedal, and in the cases of Pugno and Godowsky, rubato. At this level the editions can provide a valuable pedagogical tool that was, to a significant degree, the purpose of the pianists. And their editions teach us not only about Chopin interpretation, but demonstrate how Chopin was taught. The indications of rubato (Pugno), fingering and articulation (Pachmann), articulation (Godowsky) – which through his recording we learn can also indicate rubato, pedal (Friedman), and technical supplements (Cortot) are just some of the exceptional features of each pianist's edition. At the third level – the one on which I will focus – we learn about the relationship between the pianist and the score: his own and Chopin's.

I will qualify my interest further by stating that it is not my intent to offer a

³ I use the word "variant" as indicated by Chopin's rows in the sketch, shown in my analysis in Chapter 1, Table 1.

measure-by-measure comparative analysis of articulation, dynamics, and the like. Such an exercise is easily undertaken by an engaged listening to the recordings along with a study of the editions (facilitated by the system-by-system alignment of the editions in Appendix B). It will demonstrate that in elements such as articulation, phrase and dynamics their editions reflect, to varying degrees, their performed interpretations. We may even be somewhat surprised by how closely the pianists' playing resembles their edited interpretations, for example, in the cases of Pugno and Godowsky. But Chopin's *Berceuse* is rigorous in its structure, and therefore offers less opportunity for textual liberties than we see this generation take in their performances of the waltzes, mazurkas, and nocturnes.⁴ Indeed it is the structural strictness of the *Berceuse* – as variations over an ostinato – that exposes the freedoms they do take. My prime purpose is to explore what the pianists do that lies *beyond* their own notation. I am thus interested in the signposts in the score that prompted their unnotated freedoms, the study of which at times requires us to view their edition as a kind of negative image.

One of the most important aspects of such a study is that it brings to the fore the pianists' individuality in their treatment of various elements of performance, especially the element of rubato. The likeness between Pugno's edition and his playing, for example, is immediately apparent because he provides specific instruction for the performance of rubato, and he performs much of what he notates – which indeed is one of the most valuable aspects of his 1909 score: we learn about his performance from his edition. In a quite different way, we learn about Godowsky's notations from his

⁴ See James Methuen-Campbell, *Chopin Playing from the Composer to the Present Day* (New York: Taplinger, 1981), 45-89, 99-109; James Methuen-Campbell, "Chopin in Performance" in *The Cambridge Companion to Chopin*, ed. Jim Samson (Cambridge: Cambridge University Press, 1992), 191-205; and Robert Philip, *Early Recordings and Musical Style, 1900-1950* (Cambridge: Cambridge University Press, 1992), 55-58.

performance: his playing reveals that every slur and articulation mark in his edition is an indication for the nuance not only of tone but of time. In contrast to their colleagues, the liberties enjoyed by Friedman, Paderewski and Cortot are not, for the most part, revealed by their notations; yet, like their colleagues, these pianists are inspired in their rubato and textual freedoms by the Berceuse's phrase structure and outer form.

In the exploration of how a pianist uses sound and time to shape the structure of the Berceuse, my main concern is to identify those features that seem to be the most outstanding in each pianist's performance. In particular I will focus on those aspects that, for the most part, lie beyond the realm of notation:

(a) the nature and use of rubato, which might occur in any of the following contexts:

- (i) The delay of the melodic note, that is to say, where a right hand note sounds after the left hand. Sometimes this occurs as "robbed" time within the measure or phrase, where the time is "given back." But just as often this time is not "given back": the length of the measure or phrase is simply (and often markedly) extended.
- (ii) the taking of time to express a phrase, dynamic, or articulation marking (such as a slur, or the pianist-editor's own *tenuto* indication).
- (iii) the correspondence of the compression and expansion of time to gradations in dynamics.
- (iv) An *accelerando* or *ritardando* ranging from a portion of a measure to a significant portion of a variant.

- (v) The performance of a variant at a faster or slower tempo, generally moderated by a gradation of tempo and dynamics leading into it, but not always. (For example, Cortot's coda is significantly slower, almost immediately.)
- (vi) The apparent steadiness of the left hand (Pugno, Godowsky, Friedman, and sometimes Paderewski), or its marked unsteadiness (Cortot), but the simultaneous pliability of pulse and tempo (all).
- (vii) The shifting forward of an entire measure, in the right hand, by a sixteenth-note (Friedman).

(b) the use of the pedal (beyond notated pedalings) to create distinct sonorities within the structure, or to conceal a level of the structure;

(c) the creation of distinct sonorities through various combinations of the hand, the foot, and the temporal;

(d) the temporal and textural issues in the fiorituras;

(e) the fanciful addition of notes, and other textual alterations;

(f) the temporal and textural shift of the coda.⁵

Because no sound can truly be separated from its elements – it is at once affected by phrase, articulation, dynamics, touch (a sound's surface), tone (a sound's depth), tempo, length, delay (of a sound's beginning), decay (of a sound's end), pedals, what precedes, and what follows – there is an inherent danger in separating these elements in

⁵ Per my explanation in the Introduction, I refer to texture as the combination of touch (the sound's surface) and tone (the sound's depth). There is, therefore, a significant textural shift in the coda. With the augmenting note values, the pianist's tone will deepen in accordance with Chopin's *sostenuto* marking at m. 47. The longer pedals, double stems, fingering and hairpins will also enhance the tone.

such a discussion. I will therefore discuss the performances and editions on a pianist-by-pianist basis, and relate aspects of each pianist's performance to Chopin's principles along the way. At the conclusion of the chapter I will offer a historical perspective of the pianist's perception of his role in relation to the work, as seen through the eyes of Paderewski and Liszt, the means by which the pianist fulfills that role, and how we may relate that perspective to Chopin – the composer, the pianist, and his music.

B. THE EVOLUTION OF CHOPIN'S MARKINGS

What becomes of Chopin's markings in publication? This section discusses the discrepancies among the first editions and the issues the pianist confronts in dealing with the evolution of Chopin's markings in print. Table 3 below indicates the details of the editions included in my discussion in this section and Section C.

In relating select issues in the first editions to the corresponding measures in the pianists' editions, we are presented with several concerns. First, we do not have the *Stichvorlagen* that Chopin presented to the publication houses of Wessel and Meissonnier.⁶ So any discussion of these publications of the Berceuse must take into account the possibility that they may contain printing errors or house editors' changes, which generally were not presented to Chopin for his approval prior to publication.⁷ And in discussing the pianists' editions, we should note that the editions of Pugno, Cortot, Godowsky and Pachmann make no mention of the sources on which their editions are based. While Friedman indicates that he takes into account the "discrepancies [that]

⁶ Koblaińska, *Thematisch-Bibliographisches Werkverzeichnis*, 123-124.

⁷ For a discussion of Chopin's business relations with his publishers, see Kallberg, "Chopin in the Marketplace," in his *Chopin at the Boundaries*, 161-214.

Table 3: THE EDITIONS

PIANIST	DATE	PUBLISHER	DETAILS
	1845	Wessel, London	Plate no. 6313
	1845	Meissonnier, Paris	Plate no. J. 2186 M.
	1845	Breitkopf & Härtel, Leipzig	Based on MS 231. Plate no. 7259
Raoul Pugno 1852-1914	1909	Librairie des Annales, Paris	Part of pedagogical book, <i>Les Leçons écrites de Raoul Pugno</i> , with narrative instructions on interpretation
Ignaz Friedman 1882-1948	1912	Breitkopf & Härtel, Leipzig	Vol. X of 12 volumes. New complete edition
Leopold Godowsky 1870-1938	1923	Art Publication Society, St. Louis and London	Progressive Series Compositions, Catalogue No. 1110
Vladimir de Pachmann 1848-1933	01/1937	Augener, London	With notes by Pachmann's wife, pianist Marguerite de Pachmann-Labori
Alfred Cortot 1877-1962	09/02/1945	Éditions Salabert, Paris	Ser. 1 of "Édition de Travail" with detailed recommendations for practice and interpretative annotations
Ignaz Paderewski 1860-1941	Berceuse 1954. Complete edition 1945-1961	Instytut Fryderyka Chopina Polskie Wydawnictwo Muzyczne, Warsaw	Editorial work of Ignaz Paderewski, Ludwik Bronarski and Józef Turczyński

have arisen either from the alterations Chopin so often made during the printing and correcting of the proofs," he is not accurate in doing this. Rather, his edition was the result of opinion and taste: "It was a case of choosing one thing, and then adhering to it. Wherever differing interpretations or ornaments are as good as the original text, or wherever Chopin's ms. has been enriched by a well-established, traditional variant, I have made a note of this, or retained it at discretion."⁸ In viewing the pianists' editions, therefore, we are studying notated interpretations. A glance at each pianist's notation of

⁸ Fr. Chopin, *Pianoforte-Werke*, ed. Ignaz Friedman, Band X, *Verscheidene Stücke* (Leipzig: Breitkopf & Härtel, 1912), Preface.

the left hand ostinato and pedal (see Appendix B), neither of which is consistently observed in the pianist's performance, demonstrates his interpretative stance.

Although Paderewski began work on editing Chopin's works in 1937, the Complete Edition in his name was, for the most part, compiled by Ludwik Bronarski and Józef Turczyński after Paderewski's death in 1941. While the Paderewski edition of the Berceuse (first published in 1954) claims the intention of faithfulness with regards to the sources, here the editors' methodology is problematic. The Paderewski editors often conflated the source material, a matter that is discussed by both Samson and Rink;⁹ this conflation is evident in the Berceuse, various measures of which are taken from different sources.¹⁰ Also problematic are the editors' interpretative formulations. At m. 7, for example, the Paderewski editors insert a new slur and explain: "Though the original version does not break the slur at the beginning of the bar, we start a new slur here to emphasize the beginning of a new passage, i.e. the first variation of the new theme."¹¹ Yet surely, as we observed in Chapter 1, seamlessness is Chopin's goal.¹² As a second example, now concerning the *gruppetto* at m. 24 of the Berceuse, the Paderewski editors advise, "the very fact that later on [Chopin] changed this group into an octuplet consisting of notes of the same value implies that he viewed the octuplet as consisting of

⁹ See Samson, *Chopin*, Master Musician Series, 280; and John Rink, *The Piano Concertos* (Cambridge: Cambridge University Press, 1997), 34, and Rink, "Les Concertos de Chopin," 69-88. See also Chapter 2, Section B(f).

¹⁰ Fryderyk Chopin, *Complete Works*, ed. Ignazy Paderewski, XI, *Fantasia, Berceuse, Barcarolle* (Warsaw: Instytut Fryderyka Chopina Polskie Wydawnictwo Muzyczne, 1954; reprint 1979). See Commentary, 46-48.

¹¹ Chopin, *Complete Works*, ed. Paderewski, v. XI, 46.

¹² See Chapter 1, Section D (2): Example 1, and (3c): Example 2 and Table 1.

even groups.”¹³ But Lenz informs us that “Chopin used to say of these ornaments that *they should sound as though improvised*, the result not of studying exercises but of sheer mastery of the instrument [emphasis mine].”¹⁴ Indeed our knowledge that Chopin often improvised such ornaments (in his nocturnes and mazurkas, in Field’s nocturnes, and certainly in his improvisations) suggests a rendition that is quite the opposite of their advice.¹⁵ However, as the Paderewski edition is one that has been so widely used in the history of twentieth-century Chopin performance and pedagogy, it begs inclusion in a comparative discussion of Chopin editions, particularly for the purpose of our critical evaluation.

We should keep in mind, therefore, that each edition in a different way confronts us with issues that concern the sources and the pianist’s interpretation (both the pianist-editor’s and ours) – exactly the reason they demand such critical inquiry. I will deal with these concerns as my discussion unfolds. I open with the discrepancies among the first editions and incorporate issues of the pianists’ editions along the way.

The first editions of the Berceuse, all dating from 1845, were published by Wessel (London, probably April), Meissonnier (Paris, probably June), and Breitkopf & Härtel (Leipzig, probably July).¹⁶ They differ in issues crucial to our understanding of Chopin’s style: the pedal notations, his phrase marks that end and begin on the same note, and his

¹³ Chopin, *Complete Works*, ed. Paderewski, XI, 46.

¹⁴ Wilhelm von Lenz, “Übersichtliche Beurtheilung der Pianoforte-Kompositionen von Chopin,” *Neue Berliner Musikzeitung* xxvi/36 (1872), 283. Quoted in Eigeldinger, CPT, 52. See also 53, 133.

¹⁵ See Eigeldinger, CPT, 52, 77-79, 276.

¹⁶ Dalila Turlo suggests the publication months in “Problemy identyfikacji i chronologii pierwszych wydań Chopina,” *Rocznik Chopinowski* xiv (1982), 52. Quoted in Nowik, “Fryderyk Chopin’s op. 57,” 27, footnote.

hairpin markings (mm. 55-57).

1. The Pedal

The Breitkopf & Härtel publication exactly follows Chopin's pedal markings in his corrected copy. The pedal indications in Meissonnier and Wessel deviate greatly from those indicated by MS 231; yet they are similar but not identical to one another. The upper two systems of Appendix B show the reader the differences between the Meissonnier and MS 231: the omission of pedal from the second half of each measure until m. 53 (like Wessel),¹⁷ with the exceptions of the sigh figures plus one measure of descending thirds (mm. 27-31 – unlike Wessel); the fiorituras plus the two subsequent measures (mm. 43-46 – like Wessel); and the coda plus the two that precede it (mm. 53–70 – like Wessel), the latter section of which does more closely resemble Chopin's corrected copy (yet is indicated a little differently in Wessel). While it is difficult to imagine that Chopin would have consistently omitted the pedal for the second half of the ostinato figure, given its leap over the bar-line (even considering the Pleyel's after-sound) the overall effect of the pedal indications in the Meissonnier and Wessel publications does correspond to Chopin's principle of a different sonority for different textures and sections. Either the house editors of Meissonnier and Wessel worked from different, unknown sources, or their editions are perhaps a reflection of a concept whereby pianistic effect had higher priority than notational faithfulness. Still, the issues we confront in studying the details of these publications offer further insight into Chopin's pianistic principles, as we will see below. With the exception of m. 27 discussed below, I base my

¹⁷ I provide examples of Wessel's indications below.

subsequent discussion on the speculation that the pedal indications shown in Meissonnier and Wessel represent the markings Chopin submitted to them because they accord with what we know about Chopin's principles.

(a) Mm. 1-4

The indication of the pedal in Wessel at mm. 1-4 is curious given that for most other measures in this publication the pedal marking is only on the first beat. The following example demonstrates the difference in the opening and what follows:

Example 1: Wessel, mm. 1-8

Such indication in the opening measures invites us to consider two possibilities: either the subsequent markings of one pedal per measure (for most of Wessel's publication) are a shorthand (either of Chopin or the house editor) representing the continuation of the same pedal as mm. 1-4, and those subsequent, intermittent sections marked with two pedals per measure (discussed and shown below) simply assure the pianist that the pedal is indeed intended in the more chromatic and/or rhythmically diminutive areas that follow; or, the differences in pedal between the opening and the subsequent sections are intentional,

serving to color the textural and chromatic soundscape of the Berceuse. The latter scenario would lead the pianist to take more time in the pedaled first half of each measure than in the unpedaled second half, the effect of which will be twofold: this will create a rubato, heightening the lilt of the lullaby, and will simultaneously create distinct sonorities for the tonic and dominant harmonies, respectively. It is, nonetheless, an effect discouraged by the modern piano, which lacks the after-sound of the Pleyel.¹⁸ We may venture closer to such effect by depressing the pedal a much smaller distance (say a quarter- or eighth-pedal) on the second half of the measure.

(b) Mm. 13-14

At mm. 13-14 (Wessel and Meissonnier) the pedaled sonority creates its own veil over the boundary between variants; the subsequent one pedal per measure will highlight the continuation of the acciaccaturas, but only on the unstressed beat of the bar – not at their immediate appearance on the accented beat:



Example 2: Wessel and Meissonnier, mm. 12-15 (reproduction of Wessel)

(c) M. 21

Among the chromatic and diatonic mixtures (even among pairs of notes) in the

¹⁸ For a discussion of the Pleyel, see Chapter 1, Section C, footnote 131, and Chapter 2, Section B(3e) and (6e).

figurations of thirty-second notes (mm. 19-22, Wessel and Meissonnier), Chopin highlights the chromatic ascent (m. 21) under the sonority of the pedal:

Example 3: Wessel and Meissonnier, mm. 19-22 (reproduction of Wessel)

(d) Mm. 27-32

At m. 27 in the Wessel edition, if this is not an error, then indeed what we have is a new, contrasting texture highlighted by the complete omission of the pedal, all the more exposed by the “respirations” of Chopin’s rests and the absence, in this measure and the preceding, of an overriding slur:

Example 4: Wessel, mm. 26-27

I suggest however that the omission of both phrase and pedal is an error. First, it seems unlikely that a whole measure would lack pedal, even given the measure of rests. To my ear, the bass D-flat pedal-point requires *sostenuto*; moreover, the sigh-figures and their “respirations” need the resonance and overtones produced by the sustained D-flat pedal-point. (We keep in mind that the resonance of the upper partials of the piano is heightened by whatever is sustained below; and Chopin seems never to let us forget his ingenious craft of writing, or should I say inventing, for the sonorities of the instrument.) Second, the phrase-mark at m. 25 (not shown), which occurs at the bottom of Wessel’s previous page, *does* go beyond the final note of the measure, suggesting that it was intended to continue to m. 26 in the new stave. Either the end of that slur going past its last note (m. 25) is a notational error (the only time such a notation that is *not* continued on the next stave occurs), or the omission of the slur at m. 26 is an error. The possibility of error here lends slightly less credence to the omission of pedal immediately subsequent.

Chopin’s indication in Meissonnier that the sigh figures in mm. 27-28 should be pedaled indicates a marked contrast in sonority from the pedaled ascent and expansion of ascending thirds that precede in mm. 25-26 (see Example 5 below):

Example 5: Meissonnier, mm. 25-30

Note (in Example 5) the differences in pedal at the final eighth-beat of the measure in mm. 27-28, compared with mm. 29-30. Here Chopin offers us another glimpse of his delight in the pedal's own rhythm, just as evidenced in the nature of his corrections to the pedal indications in MS 231.¹⁹ And in mm. 31-32, the Meissonnier edition shows us exactly the same effect in Chopin's descending thirds, with a contrast in pedaled and unpedaled sonority, that the composer magnifies through his corrections in MS 231, in the rising ascent at mm. 25-26:²⁰

¹⁹ For a discussion of Chopin's corrected pedal indications, see Chapter 2, Section B(6).

²⁰ See Chapter 2, Section B(6).

Meissonnier

Mm. 29-32

Musical score for Meissonnier, Mm. 29-32. The score is in G major (one sharp) and 3/4 time. It consists of two systems of piano music. The first system covers measures 29-30, and the second system covers measures 31-32. The right hand (treble clef) features a melodic line with eighth and sixteenth notes, often beamed together. The left hand (bass clef) provides a harmonic accompaniment with chords and single notes. Pedal markings are present in both systems, indicating where the sustain pedal should be used. The tempo is marked 'Mm.' (Moderato).

MS 231

Mm. 25-26

Musical score for MS 231, Mm. 25-26. The score is in G major (one sharp) and 3/4 time. It consists of two systems of piano music. The right hand (treble clef) features a melodic line with eighth and sixteenth notes, often beamed together. The left hand (bass clef) provides a harmonic accompaniment with chords and single notes. The score is heavily marked with 'p' (piano) and 'f' (forte) dynamics. The tempo is marked 'Mm.' (Moderato).

Example 6: Meissonnier and MS 231

(e) Mm. 39-41

At mm. 39-42, the Wessel edition indicates again Chopin's apparent delight in the contrast in sonorities, now under an umbrella of another rhythmic figuration:

CHOPIN, Op. 37, La Berceuse. (W & Co. No. 3313.)

Example 7: Wessel, mm. 39-41

(f) The coda

Again in Wessel, we find Chopin's principle of contrast in sonority at work in the each of the following pairs of measures in the coda, each pair in a different pedaled rhythm:

Mm. 55-56

Mm. 57-58

Mm. 59-60

Mm. 61-62

Note that in Wessel's fingering, "+" indicates the thumb, "1" indicates the 2nd finger, etc.

Example 8: Wessel, coda

We note (in Example 8 above) that the pedal, through its articulation of sonority, punctuates the harmonic rhythm of each pair differently each time. We recall the rhythm of the pedal's sonority in the coda, indicated by Chopin's markings in MS 231, at mm. 55-58, mm. 59-62, and mm. 63-68 (see Chapter 2, Example 3). The details of the pedal markings in the coda of the Meissonnier and Wessel publications indicate that Chopin, in each of his *stichvorlagen*, still accorded to the pedal a rhythm of its own – just a little differently to that indicated in MS 231 (see Example 9 below):

	55	56	57	58
MS 231 / Bredkopf				
Wessel				
Meissanier				
	59	60	61	62
MS 231				
W				
M				
	63	64	65	66
MS 231				
W				
M				
	67	68	69	70
MS 231				
W				
M				

Example 9: Pedal indications in the coda (the first editions)

The following measures, referring to Example 9 above, are of particular interest:

(i) At mm. 56-57, we observe that the indications in the Wessel edition, lacking stems and hairpins (discussed further below), expose the second half of mm. 56 and 58 in a contrasting, unpedaled sonority. Yet it is the absence of pedal here that heightens the sonorous effect of the pedal on the first beat of the respective measures. At m. 56, together with the indication of the thumb, the result is in an emphasis on the first C-flat of the measure, almost as if it had been stemmed or hairpinned. The omission of pedal on the second beat of m. 58 invites the pianist to render the first unpedaled sixteenth-note of that beat – the E-flat – with an agogic accent, which will, quite simply, create a greater legato and sonority with the hands in absence of the foot's contribution.

(ii) At m. 57 of the Meissonnier edition it is therefore all the more revealing to observe that E-flat is the note that receives the stem.²¹ Chopin clearly took delight in varying *which* beat received emphasis, and in the rhythmic and pianistic means through which that variety might be conveyed.

(iii) At m. 56 (Meissonnier) the pedal is depressed on the second beat of the measure and held until the second beat of the subsequent measure; at m. 57 (Meissonnier and Wessel), the second pedal of the measure is depressed on the fifth eighth-note, and held until the second beat of m. 58. Note the differences in pedal on the second beat of m. 58: in Wessel it is omitted; in Meissonnier there is a new pedal marking. Both result in entirely different rhythm of the pedaled sonority for the prolongation of the V7/IV harmony that pervades mm. 55-58, and which, particularly in mm. 57 and 58, defies the demarcation of the beat.

²¹ See also Section (4): Stems, below.

(iv) Both editions at mm. 61-62 follow Chopin's indication of a different, still long, pedal for the suggested hemiolas (slurs are mine). The long, two-measure pedaled sonority in the Meissonnier commands the listener's attention in its immediate contrast to the final three unpedaled sixteenth-notes that introduce it (m. 60).

(v) The pedal markings in Meissonnier's mm. 63-65 render the return of the opening melody in an entirely new rhythm of the pedal. However, Chopin seems intent on now depressing the pedal on the fifth eighth-note. In doing so he syncopates a particularly weak rhythmic moment of mm. 63 and 64 and, interestingly, highlights and lengthens the highest melodic notes of each undulation (see Example 10 below). This is particularly marked following the long pedal that precedes (mm. 61-62) and the articulation of the pedals that follow (mm. 65-70):

The image shows a musical score for two systems of piano and bass staves, covering measures 61 through 70. The top system (measures 61-62) features a treble staff with a melodic line and a bass staff with a rhythmic accompaniment. A long, two-measure pedal is indicated by a horizontal line above the bass staff, with a diamond symbol and the word 'Ped' below it. The bottom system (measures 63-70) continues the piece, with similar notation and several shorter pedal markings. The score includes dynamic markings like 'dim.' and 'fz', and a 'FINE' marking at the end. The publisher's information 'J. M. 2186.' is visible at the bottom of the second system.

Example 10: Meissonnier, mm. 61-70

The effect of sustaining the uppermost notes as the first of the pedal's "phrase" is almost that of stemming (see Example 11):



Example 11: effect of mm. 63-65 (Meissonnier)

Indeed, as we observed in Chapter 2, Chopin adds stems to the first of each undulating group in the phrase extension at mm. 66-67 in MS 231, as is also indicated in the Wessel and Meissonnier publications (see Section 4 below).²² Yet the *sostenuto* of the foot renders an entirely different sound quality to that of the hand; if the hand is to volunteer assistance in the pedal's *sostenuto* (a possibility the pianist may consider) the sound quality will be different again. Clearly through the various indications of fingering, hairpins, stems, and “accented” pedal, Chopin suggests a shifting array of sonorities and the interchangeability of rhythms in his fluid, *pianissimo* coda.²³

(v) The pedal at the cadence (mm. 69-70) in Wessel's edition, overlapping the dominant and tonic chords, (see Example 9) is not an unlikely indication. Even on a modern instrument, the pianist may simply begin to slowly release the pedal early in m. 69, saving just a tad at the top of its release for the final chord at m. 70. If, through the *souplesse* of the wrist and the refinement of the ear, the tone of the final chord matches the decay of the diminuendo, the final chord will be both very soft and, we recall, quite short, just as Kleczyński suggests (see Chapter 2, Section B[7]). Together with a velvety legato, the result is an ever-so-slight overlap in harmonies that only just veils their

²² See also Chapter 2, Section B(4) for a discussion of stems in MS 231.

²³ The hairpins and stems are discussed in Sections (3) and (4) below.

distinction. Indeed its effect will contrast with the pedaled and unpedaled sonorities of these chords that prevailed in almost every measure of this edition.

Referring again to Example 9, we observe that, like MS 231 and thus Breitkopf, the indications in Wessel and Meissonnier reveal the tendency of a *ritardando* in the pedal's own rhythm in the coda, toward the end of each of the following phrase units: mm. 55-58; mm. 59-62; and mm. 63-68, each edition demonstrating this effect in a different way. And as we observed in MS 231, we notice that the longer pedal combinations (none of them alike) still take place in the final two measures of each unit.²⁴

Just as Chopin's overriding long phrase and deleted sub-phrases (mm. 33-34) in MS 231 indicate the hierarchy of phrase markings in Chopin's sound aesthetic, the varying indications among the first editions reveal the hierarchical significance inherent in Chopin's pedal markings.²⁵ Their discrepancies teach us that what is important to Chopin is the principle: all the pedal markings reflect Chopin's delight in textural variety and contrast. In the coda, we observe that in each edition the pedal's own rhythm presents itself independent of Chopin's fluidity of phrase. How that rhythm manifests itself appears to be high in priority, but is not cast in stone: hence the discrepancies in these detailed pedal markings among the first editions. The composer's principles are intact; the details of the malleable mould, I suggest, are left to Chopin the pianist.

(2) Phrasing

Because of the phrase's crucial role in both the *Berceuse*'s seamless and

²⁴ For a full discussion of the correspondence of the pedal's rhythm with the coda's harmonic rhythm, see Chapter 2, Section B(5e) and Chapter 2, Example 3.

²⁵ For a discussion of Chopin's deleted sub-phrases at mm. 33-34, see Chapter 2, Section B(4)(ii).

the nuance of tone, the discrepancies in phrasing among the first editions demand consideration.²⁶ I draw attention, first, to the seamlessness indicated by Chopin's phrasing in mm. 25-27 in MS 231; and second, to the three areas at mm. 47-48, 55 and 59, where Chopin's own markings in MS 231, which end and begin on the same note, were published differently by Breitkopf, the recipient of this engraver's copy.

(a) Seamlessness

(i) Mm. 25-27

In the ascent into the sigh figures, we observed in chapters 1 and 2 that in MS 231 Chopin rendered the transition seamless by extending the phrase beyond the chromatic thirds over the first sigh figure (see MS 231, Example 6 above). It is curious that these measures are indicated quite differently in the Meissonnier edition (see Example 12),

Example 12: Meissonnier, mm. 25-27

the effect of which results in the articulation of the new variant.²⁷

²⁶ See Chapter 1, Table 1, and Chapter 2, Section (B)(3).

²⁷ We observed that in the Wessel edition, there is no slur over m. 25 whatsoever, the omission of which I suggest is an error. (See discussion referring to Example 4 above.) Among the pianists' editions, the only one that accords with the slur indication of MS 231 at mm. 26-27 is Friedman.

(b) The conjunct phrases(i) Mm. 47-48

In Chapter 2 it was noted that in MS 231 Chopin ends the final phrase of thirty-second notes on the interval of the sixth that falls on the first beat of m. 47, the point at which his new phrase-mark begins:

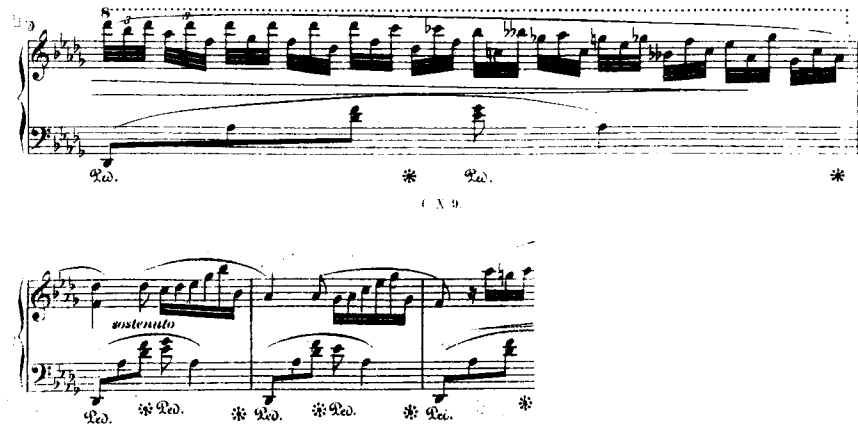


Example 13: MS 231, mm. 46-51

As observed in Chapter 2, Chopin does exactly the same at mm. 48, 51 and 55.²⁸ It was noted that the pianist may express this phrasing by decaying the sound at the end of the preceding phrase (at m. 46) and by subsequently conveying a continuity of sound on the decaying sixth (at m. 47). While the concept appears to be contradictory, if not impossible, on an instrument often categorized as “percussive,” that is not the case at all. As discussed in Chapter 2, the pianist achieves this sense by a *legatissimo* execution (a “glued” overlap of the right hand – the note should not even release all the way), a calculated matching in depth of tone of the subsequent D-flat (the third eighth-note) of m. 47, so that its tone matches or is ever so slightly greater than that of the preceding D-flat at its last instant of decay, and particularly through the temporal propulsion, growing intensity of depth of tone, and legato of the left hand.

²⁸ See Chapter 2, Section B(3e).

It was also observed in Chapter 2 that the effect of such phrasing is the *parlando* quality that was such a prominent feature of Chopin's style, and it was noted that its occurrence at mm. 47-48 marks the shift from the central section of faster note values to the preparation of the coda. The reinterpretation of this marking by Breitkopf results in a completely different performance interpretation:²⁹



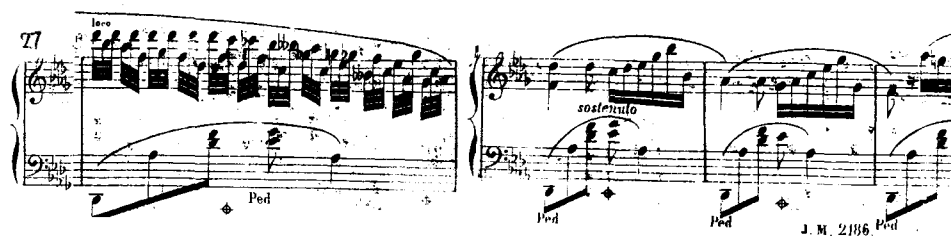
Example 14(a): Breitkopf & Härtel, mm. 46-48

Breitkopf's slur indication signals to the pianist a new beginning on the second D-flat, with no linking gradation in tone in between. And it denies the pianist the possibility of figuring out for himself the potential of Chopin's intention, and the possibilities for expressing it.

Meissonnier begins a slur right on the first note of m. 47, an indication difficult to accept given Chopin's great care to render the Berceuse seamless in every other way – and all the more difficult considering that these measures signal perhaps the most striking change in rhythm, texture and sonority (note the *sostenuto*) in the Berceuse. Then,

²⁹ The reader should refer to my discussion of these measures in Chapter 2, Section B(3e).

following that sudden articulation, Meissonnier actually publishes the very indication, at m. 48, that is omitted in its m. 47:



Example 14(b): Meissonnier, mm. 46-48

Wessel, in mm. 47, indicates the same slurring as Meissonnier in m. 47, and Breitkopf is the same as Wessel in m. 48:

Example 14(c): Wessel, mm. 46-48

As a pianist, the phrase indication for this pair of measures that makes the most sense to me is Chopin's in MS 231: at this crucial change in Chopin's writing, the phrasing is seamless, both going into the intervallic D-flat/F at m. 47 and emerging out of it. And the *parlando* expressiveness demanded by his slurring accords with the structural context and, as observed in chapter 2, with the fluid layout of the top of page 2 of the

sketch.³⁰ Among the three first editions, that which makes the most sense at m. 47, in terms of the Berceuse's seamlessness, is Breitkopf. But that publication most certainly does *not* present what we know Chopin wrote. It is interesting to observe that the pianists' editions notate the slur beginning on the third eighth-note, just as does Breitkopf – an indication that either they based their editions on this source, or, perhaps more likely, they adapted whichever source they had used in preference for this interpretation (see Appendix B, m. 55). Insofar as an editor working from a source in Chopin's hand is concerned, the following cannot be denied: Chopin's notation – with slurs ending and beginning on the same note – is an unusual one. But that is not enough of a reason to ignore its *raison d'être*. Quite to the contrary, it demands that the pianist attend with great care to the *parlando* effect of Chopin's writing, the structural context in the now rhythmically augmenting phrase units,³¹ and the corresponding nuances rendered by the hand, the foot, and the temporal. Future editors should present what Chopin notated, thus enabling the pianist to consider all the interpretative possibilities, so that he can arrive at his own conclusions.

(c) Mm. 55-58

At m. 55 Chopin's end and beginning of the phrase is as clear as that at m. 47: the phrase ends at the D-flat and begins immediately at that point. Example 15, below, reproduces the passage in each edition. Again Breitkopf ignores Chopin's notation.³²

³⁰ See Chapter 2, Section A.

³¹ See Chapter 1, Table 1.

³² The reader should keep in mind that MS 231 is the *Stichvorlage* that was submitted to Breitkopf. We cannot say with any certainty what Chopin submitted to Meissonnier and Wessel.

Meissonnier indicates the same as Breitkopf and Wessel notates it all under one phrase, quite possibly an indication of yet another Chopin “variant,” a point also suggested by the absence of any hairpins at mm. 55-57 (an omission in both Meissonnier and Wessel, discussed below). While the omission of hairpins and stems in Wessel’s coda does not render it free of various emphases (still significantly present through the fingering and rhythm of the pedal, discussed above), its long phrase (mm. 52-63) and the omission of hairpins and stems are indicative of the coda’s significant fluidity that is represented by its layout in Chopin’s sketch.³³ That said, Wessel’s coda, with its absence of markings, may be perceived as representing the bare landscape upon which Chopin could conceive of an array of sonorities, and rhythms in sonority – just as he did in the copies presented, apparently afterward, to Meissonnier and Breitkopf.

Taking each of Chopin’s works on a case-by-case basis, the present-day pianist might similarly look to identify the layer that is the bare landscape that can be embellished through the artist’s own imagination and creativity. Our challenge lies in identifying those elements that constitute the bare landscape, and those that are interpretative. It is the realization that those boundaries are fluid that requires us to reconsider our own approach to Chopin’s music printed on the page. The hierarchical principles revealed by the sources in Chopin’s hand and the first editions demand that we move away from our “ur-text” mentality toward one in which we, as the pianists, take ownership of the music, as we might understand it (from the sources) or imagine it in its earlier stage. This, I suggest, is the process of Chopin – at once composer and pianist – revealed by the nature of his notational changes.

³³ See Chapter 2, Part A(1) and (4).

MS 231

Musical score for MS 231, showing two staves. The upper staff features a complex melodic line with many slurs and dynamic markings like *loco* and *loco*. The lower staff has a more rhythmic accompaniment with chords and slurs. Pedal markings are present below the lower staff.

Breitkopf

Musical score for the Breitkopf edition, showing two staves. The upper staff has a melodic line with slurs and dynamic markings like *loco*. The lower staff has a rhythmic accompaniment with chords and slurs. Pedal markings are present below the lower staff.

Meissonnier

Musical score for the Meissonnier edition, showing two staves. The upper staff has a melodic line with slurs and dynamic markings like *loco*. The lower staff has a rhythmic accompaniment with chords and slurs. Pedal markings are present below the lower staff.

Wessel

Musical score for the Wessel edition, showing two staves. The upper staff has a melodic line with slurs and dynamic markings like *loco*. The lower staff has a rhythmic accompaniment with chords and slurs. Pedal markings are present below the lower staff.

CHOPIN, Op. 52, Le Strozzer. (W A C 21 5112.)

Example 15: MS 231 and the first editions, mm. 54 – 58

(d) Mm. 67-70

The way in which Chopin's hand notates the end of the slur at m. 65 (see MS 231, Example 16 below), the phrase extension at mm. 66-67, and the final cadence conveys, to my eye as pianist, Chopin's intent: the small slur above the phrase extension at mm. 66-67 appears on the page as the continuation of Chopin's extended thought, only broken by the lifting of the hand for the rest – with quite the suppleness that we can imagine Chopin's hand at the keyboard; in the openness of its arc, even the beginning of the notated slur at the final cadence does not read as a newly articulated “beginning.”



Example 16: MS 231, mm. 60-70

As pianists we spend our lives transforming the visual (among other elements) into sound: of course, we are sensitive to what we see. Here is a representation that no “factory-made” slur, applied with the thickness and delineation identical to every other slur in its publication, can convey. Such instances, and those at mm. 47-48 and m. 55, reveal just how much insight the pianist can gain by studying the markings in Chopin's hand.

3. Hairpins

Referring back to Example 15, in mm. 55-57 we recall that Chopin's notation of the first hairpin in MS 231 (m. 55) is three sixteenth-notes in length, the second (m. 56) more than one but less than two, and the third (m. 57), about one.³⁴ Breitkopf publishes the first two hairpins as approximately two notes in length, and omits the third (Example 15). How curious it is that Chopin evidently omitted these markings from his submissions to Wessel and Meissonnier (Example 15). Such details as indicated in the Breitkopf edition (not only of hairpins, but also of phrase and pedal) therefore support Dalila Turlo's suggestion that Breitkopf was indeed the third publication – in other words, although Chopin's markings here were not necessarily “final,” they were certainly the *most* detailed.³⁵ Does this mean Chopin had earlier intended that these measures would be performed with no nuance here? Not at all: we observed in chapter 2 that Chopin's inclusion of fingering in his sketch is, remarkably at that early stage, an indication for tone, sonority, expressiveness, counterpoint, the rhetorical, and rubato, all signaled by the mere shorthand of fingering.³⁶ We are reminded of Chopin's pedagogical credo – that he so explicitly drafted in his *Projet de Méthode* – the essence of which lies in the relationship of the hand position to the production of sound:

One needs only to study a certain positioning of the hand in relation to the keys to obtain with ease the most beautiful quality of sound, to know how to play long notes and short notes and [to attain] {comprehensive/deleted} unlimited dexterity.³⁷

³⁴ For a discussion of the hairpin markings in MS 231, see Chapter 2, Section B(4).

³⁵ Turlo, “Problemy identyfikacji,” 52. Quoted in Nowik, “Fryderyk Chopin's op. 57,” 27, footnote.

³⁶ See Chapter 2, Section A(5).

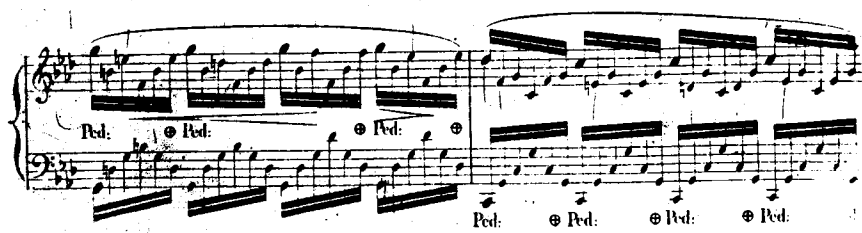
³⁷ Chopin, *Projet de Méthode*. Quoted in Eigeldinger, CPT, 192.

We will observe the interpretations of these measures in the pianists' editions below.

4. The stems

(a) Mm. 55-57

Still referring to Example 15, we note that Breitkopf reproduces the stems in mm. 55-57 just as MS 231 indicates. Meissonnier writes the first stem at C-flat and the second on E-flat. In Wessel they are absent. Here it seems that Chopin again submitted copies to his publishers with different markings. The discrepancies in stems should come as no surprise to the pianist. What does this reveal? Quite simply, that variety is delightful (a principle that echoes the words of Niedt and the aesthetic of the eighteenth and nineteenth centuries).³⁸ Voicing and sonority are among the first things we, as pianists, change in the spirit of spontaneity. Chopin offers us an example of how he taught this aspect of piano playing, as we see in Jane Stirling's exemplar of the *Étude* Op. 25, no. 1:³⁹



Example 17: *Étude* Op. 25, no. 1

Keeping in mind that the pianists' editions are notated interpretations, we will

³⁸ For a discussion of Niedt's principles see Chapter 1, Section (D)2. See also Chapter 1, Section D(3e).

³⁹ Frédéric Chopin: *Œuvres pour piano: fac-similé de l'exemplaire de Jane W. Stirling avec annotations et corrections de l'auteur (Ancienne collection Édouard Ganche); introduction de Jean-Jacques Eigeldinger; préface de Jean-Michel Nectoux* (Paris: Bibliothèque Nationale, 1982), 109.

now observe what the pianists make of mm. 55-57 in their editions. Pugno indicates an accent on each of the three C-flats, and a stem on the final two. “*Con molto sentimento*,” he inserts in his score, and indeed (as we will hear in Section C), he plays this section at a markedly slower tempo:

Example 18: Pugno, mm. 55-57

In his annotations Pugno advises, “un accent douloureux pour le do[-flat]: donnez à cette note, chaque fois qu’elle revient pendant les trios mesures qui suivent une sonorité un peu plus intense, et isolez-la un peu des autres.”⁴⁰ [A tender accent on the C-flat: give to this note each time that it appears during the three measures a sonority that is a little more intense, and isolate it from the others (translation mine).] Pugno’s instruction reinforces the rubato that is implicit in the effect of Chopin’s fingering.

Friedman indicates an accent on the first two C-flats, and stems for all three:

Example 19: Friedman, mm. 55-57

⁴⁰ Pugno, *Les Leçons écrites*, 32, Note 20.

Friedman's recommended hand position, resulting from the 3rd finger (at the second C-flat of m. 56) going to the 5th on E-flat necessitates the pianist taking a little extra time to adjust between those two notes. Friedman's particular pedal markings at mm. 55-58 convey a significant degree of seamlessness over the bar-line. However, as can be heard, he does not perform this pedal indication in his recording (refer to Section C[2]).

As in many other measures, the indications of Godowsky and Pachmann are markedly similar:

Godowsky

The musical score for Godowsky shows measures 55 through 58. Measure 55 begins with a *sempre pp* marking. Measures 56 and 57 feature a *dolcissimo* marking, and measure 58 is marked *lusingando*. The notation includes intricate fingering and stems for the C-flat, E-flat, and D-flat notes.

Pachmann

The musical score for Pachmann shows measures 55 through 58. Measure 55 begins with a *sempre pp* marking. Measures 56 and 57 feature a *dolcissimo* marking. The notation includes intricate fingering and stems for the C-flat, E-flat, and D-flat notes.

Example 20: Godowsky and Pachmann, mm. 55-57

Godowsky and Pachmann are not content with stemming only the C-flats, but are inspired to add stems to the E-flat and D-flats of m. 56 and 57, with a slur inserted above

each. Notice also their nuanced introduction to the coda: Godowsky by means of a slur and *tenuto* at the end of m. 54, Pachmann with a slur only. The additional slur is a characteristic these two pianists particularly seem to favor, and is an element we will find conspicuous in Godowsky's performance: for him the small slur indicates not only nuance but also a significant amount of time. Godowsky, in his edition, takes great care to indicate a hairpin diminuendo in m. 55, followed by a range of accents and a *tenuto* in mm. 56 and 57. Pachmann is content with all as accents. Both find importance in the two C-flats at m. 56. In listening to Godowsky's performance (refer Section C[3] below), we will hear in these measures, that he creates a significant shift in sound through his application of pedal, the taking of time, and a strikingly different quality of tone. He also takes a considerable amount of time at the conclusion of m. 58, where he inserts in his edition the indication "*dolcissimo e lusingando.*"

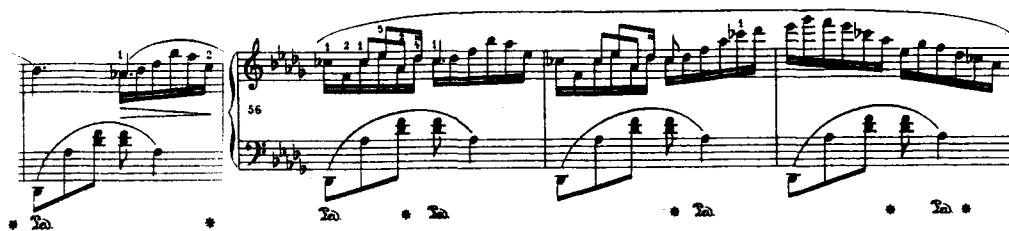
Both Cortot and the Paderewski edition indicate one long hairpin at m. 55 and none other (see Example 21 below). Like Godowsky and Pachmann, they add extra stems for the E-flat and D-flats, but unlike the former, no small slurs. Cortot suggests a fingering that provides an awkward stretch between the 4th and 3rd fingers at the end of m. 55, yet in doing so will force the pianist to take more time between these notes. The 3rd finger on the C-flat at m. 56 is also awkward, will have the same effect, and will result in an agogic articulation on that note.

46

Cortot

The image shows a musical score for Cortot's edition, measures 46-48. The score is in G-flat major (two flats) and 3/4 time. It shows a piano part with a long slur over measures 46-48. The slur is labeled '(18)' and 'legatissimo'. The piano part has a hairpin diminuendo in measure 46. The right hand has a complex melodic line with many slurs and accents. The left hand has a simple accompaniment with slurs and accents. There are asterisks and 'co.' markings in the left hand part.

Paderewski



Example 21: Cortot and Paderewski, mm. 55-58

(b) Mm. 67-68

Granted, it is not certain that we see double stems at mm. 66-67 in MS 231 (see Example 21, below). (And if we see stems on the F and E-flat, the question arises: do we also see them on the upper A-flats? And if so, in the preceding measure?) Rink comments on the unusual nature of Chopin's stem markings:

The various "outmoded" notational features encountered in Chopin's manuscripts and editions that bear upon matters of performance (and, indirectly, on critical opinion in general) include upward or downward stems on many melody and accompaniment notes which violate modern rules.⁴¹

The interpretation of the markings in mm. 67-68 as stems is validated by the publications of Meissonnier and Wessel (see below) and by the notations in Chopin's hand in Jane Stirling's exemplar (Example 16, above), where the stems in Chopin's hand indicate that Chopin was not necessarily careful in notating on which side of the note his additional stem went. And in MS 231, at mm. 55-57, we observe that the upper stems (notated either by his copyist or by Chopin) are very short (see Example 14, or Appendix A3).

⁴¹ Rink, "Les Concertos de Chopin," 69-88. Rink reflects upon Chopin's unusual notations and the challenges faced by the present-day pianist and scholar, particularly given the misrepresentations and errors in the first and early editions. (See also Chapter 2 above for a discussion of Chopin's notation.)

Our understanding of the notations in Chopin's sources, therefore, must necessarily be acquired by the combination of in-depth study of the scores and Chopin's pianistic style, musical intuition, and a critical study of the reception by contemporary sources. That said, we note that Breitkopf does not indicate stems in mm. 67-68:

MS 231



Breitkopf



Example 22, mm. 67-70

If the notations in the *Stichvorlagen* presented to Meissonnier and Wessel were similar to MS 231, then their inclusion of the lower note stems is perhaps an indication that the corresponding notation in MS 231 indicated stems after all:

Meissonnier



Wessel



(Notice the omission of the final slur in Meissonnier (mm. 69-70).

Example 23: MS 231 and the 1845 editions: mm. 66-67.

Keeping in mind that the pianists' editions offer insight into the reception of Chopin's score, we shall now view their treatment of the final measures. Taking into account the pianists' indications of stems, rhythm, dynamics and accents, we are left with six different notations. The Paderewski edition (see Example 23, below) accords with Meissonnier (Example 21, above), though as we will hear in Paderewski's performance, he plays it very differently from Chopin's notation and all his colleagues' renditions:⁴²

Paderewski

Pugno reinforces his preference with the suggestion, “mettez beaucoup de rêve et d’expression dans cette phrase” [play this phrase with much dreaminess and expression (translation mine)]:⁴³

Pugno

22. Mettez beaucoup de rêve et d'expression dans cette phrase :

Example 24(a): Paderewski and Pugno, mm. 66-70

Cortot's stem notation (see Example 24[b] below) is similar to that of Pugno (Example 24[a]) and Friedman (Example 25) in its rhythm:

⁴² Refer to Section C(6) for a discussion of Paderewski's performance.

⁴³ Pugno, *Les Leçons écrites*, note 22.

Cortot



Example 24(b): Cortot, mm. 66-70

By changing fingers over the bar-line at mm. 66 and 67, Cortot's fingering will result in greater articulation of the E-flat at m. 67. However, even if the key is not released all the way, I suggest that it will not be as legato as depressing the key with the same finger.

Friedman's notation is somewhat different: he indicates that these measures should be played with a *diminuendo* that begins *pianissimo*. Indeed, as we will hear in Section C[2], his recording reveals his remarkable sensitivity to the nuance of tone. Friedman introduces the stemmed sonorities earlier than Pugno and Cortot.

Friedman



Example 25: Friedman, mm. 63-70

Godowsky and Pachmann also indicate that the stemmed notation begin earlier – just not quite as early as Friedman, yet in a different way. Their fingering, (at m. 63 different from one another and at m. 64 alike) allows for a maximum legato of each triplet group (see Example 26):

Godowsky

Berceuse-Cradle Song, 7

(12)

1110-7

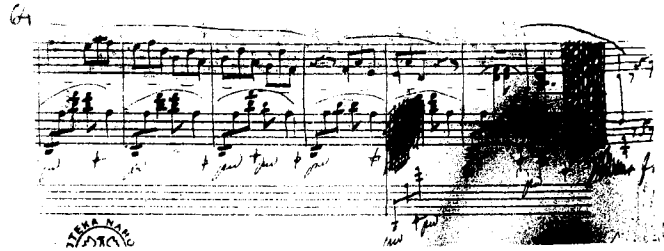
Pachmann

perdendosi

Example 26: Godowsky and Pachmann, mm. 63-70

What is striking is Pachmann's slur at the end of m. 68, which draws the A-flat organ-point out of the final ostinato and connects it, instead, to the final cadence. Pachmann's creativity appears to have been quite inspired by the concepts of nuance and seamlessness. We note Godowsky's additional sub-slur notation. And particularly, his curious lengthening of the final F in the alto of m. 65, by means of a tie and the pedal, both of which absolutely defy Chopin's rest; yet his marking is akin to Chopin's pedal

marking over the bar-line at mm. 67-68 in MS 231, which has the effect of prolonging the final melodic note until the cadence.⁴⁴



Example 27: MS 231, mm. 67-68

For the moment, we should keep in mind that the modern-day pianist is presented with issues in Chopin's changes to his notations, the reception of his markings as published in the first editions, and the reception of his music by his early interpreters. We may learn from each provided we grasp the nature and hierarchy of Chopin's principles, and approach each instance with historical and critical inquiry. We do keep in mind that a study of the sources highlights both what these principles are and their hierarchical nature. I shall now explore how Chopin's text manifests itself as sound among his early interpreters.

C. IN THE HANDS OF THE PIANIST

In this section, the reader should refer to the enclosed compact disc and to Appendix B, consisting of the pianists' editions with my notations of their performances. Table 4 below indicates all the available recordings of the Berceuse by the pianists in this

⁴⁴ I discuss this effect in Chapter 2, Section B(6).

discussion. The recordings I discuss (on the enclosed CD) are shown in bold.⁴⁵ In the cases of Godowsky and Cortot, more than one recording of the Berceuse is available. In the issues concerning their use of time in conjunction with touch, tone and pedal – the basis of this chapter – their subsequent recordings are markedly like their first, and a detailed comparison reveals no new insight. For this reason, I have chosen one recording of each.

Table 4: The Editions and Recordings

PIANIST	DATE OF EDITION	DATE OF RECORDING	RECORD SOURCE	Re-issue CD COMPANY	CD CATALOGUE NUMBER
Pugno	1909	1903	78 ac. G & T 35540	The Piano Library	PL 218
Friedman	1912	2.9.1928	Columbia L 2260	Pearl	IF 2000
Godowsky		1913	78 ac. Columbia L 1171	Pearl	GEMM 167
				IPL Veritas	VM 103
Godowsky	1923	1.18. 1924 New York	Brunswick X 123162, unpubl. as 78 ac.	APR	2000
A. Cortot		78 ac., 1910		HMV	DB 167
Cortot	1936	1.27.1920	Victor 72643 (Matrix C 22502 take 5)	Biddulph	LHW 014
Cortot		1929		HMV	DB 114578
Cortot		2.27.1923	Victor 74623 (Matrix C 22502 take 7)	Biddulph	LHW 014-15
Paderewski	1961	6.22.1922	Victor 6428	The Piano Library	PL 217

Abbreviations:

Ac. Acoustic

G & T Gramophone and Typewriter Company

⁴⁵ On the enclosed CD, the Pugno, Cortot and Paderewski tracks were reproduced from the LP recordings. The Godowsky track was reproduced from the Brunswick source. The Friedman track (track 2) is a reproduction of the Pearl CD with the kind permission of PEARL Pavillion Records.

1. Raoul Pugno

- b. Montrouge, near Paris, 1852
- d. Moscow, 1914

Pianist, organist, accompanist, teacher, composer. Student of Chopin's pupil, Georges Mathias (1826-1910). Music Director of the Opéra, 1871. Professor in Harmony, Paris Conservatoire, 1892-1896; Professor in Piano, Paris Conservatoire, 1896-1901. Recognized as leading French pianist of his time, particularly in music of Mozart, Chopin, Franck. Recitals with Belgian violinist Eugène Ysaÿe from 1896 onward. Early exponent of Wagner in France; performed the two-piano accompaniment of *Das Rheingold* with Debussy, 1893. Noted for his richly varied sound and delicate tonal color. Published two pedagogical books: *Les Leçons écrites de Raoul Pugno: Chopin* (Paris, 1909) and *Les Leçons écrites de Raoul Pugno: Schumann* (Paris, 1911).

Pugno was a student of the renowned pianist and student of Chopin, Georges Mathias. While it cannot be said that Chopin's pupils necessarily transmitted every principle of Chopin's style (indeed, as observed in Chapter 1, Chopin's teaching indicates that such a concept may well have been contrary to his thinking), we cannot discard the likelihood that various aspects of Chopin's style may have been preserved in his students' performances and teaching. Pugno's pianistic heritage has further significance, however, since his teacher Mathias studied not only with Chopin, but also with Chopin's teacher Kalkbrenner. With this history in mind, Pugno offers us a window into that tradition not only through his recordings, but also through his notated interpretations of a number of Chopin's works supplemented by his pedagogical instructions in detailed prose.⁴⁶ As I demonstrate below, his recording of the Berceuse indicates that his use of rubato is parallel to Chopin's principles.

⁴⁶ Pugno's edition of Chopin's Berceuse appears in a larger work entitled Raoul Pugno, *Les Leçons écrites de Raoul Pugno: Chopin, avec une Biographie de Chopin par M. Michel Delines*, (Paris: Librairie des Annales, 1909). *Les Leçons écrites* is a pedagogical book containing Pugno's instructional discourse not only on the Berceuse, but also on Chopin's Prelude Op. 45, the Waltz Op. 34, no.1, the Polonaise Op. 25, no.1, the Étude Op. 10, no.12, the Mazurka Op. 17, no. 4, the Ballade Op. 23, and the Nocturne Op. 15, no. 2. In 1911 Pugno published a similar collection *Les Leçons écrites* on the works of Schumann, which he dedicated to his colleague and friend Nadia Boulanger.

Because Pugno's discs were recorded on a slightly wavering turntable, some details of this 1903 recording – particularly his use of the pedal – are difficult to hear. (Indeed, the first bass-note is hardly audible.) But as we become accustomed to the recording's sound, we hear that it still effectively conveys Pugno's use of tone, texture, and time as they relate to the Berceuse's structure. Methuen-Cambell offers an account of the circumstances in which Pugno recorded:

These discs were made in the most primitive conditions: the studio was geared to singers, and the recording horn was fixed at the height of the average adult's mouth, being therefore too high for the piano. This was negotiated by mounting an upright piano on a level of the horn, and since Pugno was extremely fat, the process of installing him on the platform was very unwieldy. Fortunately, the basic character of his style was preserved.⁴⁷

The immediately striking feature of Pugno's recording is his use of rubato. Against the strictness of his left hand we hear two types: first, the delay of right hand notes for the purpose of expressiveness, which heightens the lilt of lullaby's rocking motion, and second, the speeding up of measures, or, at times, sections. As will be noted below, such sectional undulations in tempo accord with Chopin's concept of rubato, as understood by his students. Pugno's use of right hand rubato is apparent in the very opening (mm. 3-5), where his delay of the melodic notes is apparent (refer to CD and notations, Appendix B). Indeed, such rubato, manifesting itself in different ways in each recording of the pianists in our discussion, calls to mind Lenz's characterization of Chopin's playing:

⁴⁷ Methuen-Campbell, *Chopin Playing*, 76.

‘The left hand,’ I often heard him say, ‘is the choir master [*Kapellmeister*]: it mustn’t relent or bend. It’s a clock. Do with the right hand what you want and can . . . A piece lasts for, say, five minutes, only in that it occupies this time in overall performance; internal details [of pace within the piece] are another matter. And there you have rubato.’⁴⁸

In Pugno’s performance the rocking motion of the right hand’s lilt seems to merge into his breaking of the major ninths in mm. 10–11, whose effect creates even more of a rubato, thus highlighting Chopin’s new dissonance treatment in this variation (see notations Appendix B).

Pugno treats his rubato in two ways. First, he heightens Chopin’s rhythmic shifts with parallel tempo shifts, often accelerating as the note values increase, and lengthening as the note values decrease. Second, Pugno’s temporal shifts seem to emerge from his treatment of volume; the changes are accompanied either by a swell or diminution of sonority. For example, at the end of the acciaccaturas at m. 18, he ritards slightly as he renders a diminuendo into the trill; then, rolling the third that introduces the trill, he causes it to emerge even more gradually. From his lengthened trill, performed with a swell of sound, he accelerates into the *pianissimo* thirty-second notes (mm. 19–22); their diminuendo recedes into his substantial lengthening of the sixteenth-note triplets that follow (m. 22), the effect of which he spells out in Note 6 of *Les Leçons* (see mm. 19–22, Appendix B):

6. Reprenez l’*A tempo* [*sic*] du commencement dans un mouvement un peu plus animé. Les traits bien perlés, dans une jolie demi-teinte, et avec des crescendo et des diminuendo très allongés.⁴⁹

⁴⁸ Lenz, “Die Grossen Pianoforte-Virtuosen XXII 38 (1868), 302. Quoted in Eigeldinger, CPT, 50.

⁴⁹ Pugno, *Les Leçons écrites*, 27, note 6.

[Play the opening tempo a little more animated. The quality pearl-like, in a fine demi-tint, and with elongated *crescendo* and *diminuendo* (translation mine).]

Pugno accelerates slightly in the ascent of parallel thirds at mm. 25-26, which creates an intensity in the thirds' texture (refer to CD and Appendix B). He breaks that intensity quite naturally with the first rest in the sigh figures (m. 27), whose slurred pairs he performs as if whispering. With the descending thirds in the next section (mm. 31-33) Pugno slightly increases his sound and simultaneously accelerates (see Appendix B).

Yet with the *diminuendo* of the organ points at m. 34, he ritards into Chopin's triads at mm. 35-36, which he plays more slowly and quite distinctly (possibly with only a little pedal). We observe the care with which he marks "*espressivo*" in m. 34, and his explanation of the expressive intent in his note 11 below, all rendered in his performance (refer to CD and Appendix B):

11. Je vois là une intention expressive: accentuez les tierces sans les presser, et donnez une jolie sonorité à la tierce:⁵⁰



[I see here an expressive intent: accent the thirds without hurrying them, and give a particular sonority to the third (translation mine).]

As we will also hear in the performances of Cortot and Friedman, Pugno breaks the interval of the sixth at m. 39, a gesture that likens it to the broken sixths that follow in the subsequent phrase (see Appendix B).

Though we cannot distinguish pedaled and unpedaled sonorities on Pugno's recording, the fiorituras at mm. 43-44 are of a noticeably transparent texture – the result of his expanse of time, his superbly light touch, and a distinct shift in what is perhaps very little pedal.

⁵⁰ Pugno, *Les Leçons écrites*, 27, note 11.

In the coda (mm. 55-70) Pugno heightens expressivity through lengthening the longer values and rendering the triplets and pairs of sixteenth-notes with pliability. It is interesting to hear how he takes advantage of the hemiolas' inherent ambiguity by slightly accelerating at mm. 61-62 until the last group of four sixteenth-notes, which he substantially lengthens (see Appendix B). The overall effect of this passage is that we are as if caught in a swirl that finally settles. Pugno marks the last measures of the Berceuse (mm. 63-67) with an expansive *ritardando* that heightens Chopin's phrase extensions and allows him the opportunity to execute the final melodic notes with further right hand delay, depth, and thus the decay of tone. We recall his addition of hairpin accents in mm. 67-68, which he plays with varying degrees of agogic emphasis (see Appendix B).⁵¹

Throughout the Berceuse we have hardly noticed a difference in Pugno's treatment of the left hand. Yet a careful listening will reveal that some bass D-flats are raised one octave in order to conceal sectional entrances (notably the right hand's very first entrance at m. 3, and the acciaccatura entrance at m. 16), or to lighten the texture (see mm. 3, 11, 16, 18 and 19, Appendix B). In terms of the temporal relationship between the hands, the overall effect of Pugno's rubato brings to mind Liszt's account of Chopin's rubato, which he likened to "the breath of [Chopin's] inspiration":

'Look at these trees!' Liszt said, 'the wind plays in the leaves, stirs up life among them, the trees remain the same, that is *Chopinesque rubato*.'⁵²

⁵¹ Pugno's indication of hairpin accents is discussed in Section B(4) above.

⁵² Niecks, *Frederick Chopin I*, 101. Quoted in Eigeldinger, CPT, 51.

Pugno increases the intensity of the Berceuse's emerging and receding textures by matching them with his compression and expansion of time. We may relate such effect to Chopin's use of rubato as described by his student Mikuli:

Chopin was far from being a partisan to metric rigour and frequently used rubato in his playing, accelerating or slowing down this or that theme. But Chopin's rubato possessed an unshakeable emotional logic. It always justified itself by a strengthening or weakening the melodic line, by harmonic details, by the figurative structure. It was fluid, natural; it never degenerated into exaggeration or affectation.⁵³

Pugno's use of time, particularly in his acceleration of measures or sections, demonstrates that rubato for Chopin could be more than just the "stealing" of notes within a measure or phrase. Indeed, this aspect of his performance exemplifies Chopin's understanding of rubato as suggested by Michalowski: "the expression of a living undulation of tempo which avoided exact coincidence with the strict metric framework."⁵⁴

Perhaps the delicate sounds that transmit with some weakness on this recording are those Methuen-Campbell describes as Pugno's "almost whispering effects, almost impossible to achieve on the modern grand."⁵⁵ Indeed such effects possibly offer a perspective of the delicacy of Chopin's "exquisite *pianos* and *pianissimos*," as characterized by Chopin's piano tuner in London Alfred Hipkins: "always a waving line,

⁵³ Aleksander Michalowski, "Jak grał Fryderyk Szopen?" [How did Chopin play?] *Muzyka*, IX/7-9 (1932), 74-75. Quoted in Eigeldinger, CPT, 50.

⁵⁴ Michalowski, "Jak grał Fryderyk Szopen?" 74-5. Quoted in Eigeldinger, CPT, 50. Michalowski was a student of Mikuli and knew Princess Czartoryska during her last years. See CPT, 94.

⁵⁵ Methuen-Campbell, *Chopin Playing*, 77.

crescendo and *diminuendo*.”⁵⁶ We learn from this recording that Pugno’s ability to “execute infinite shades of delicate tone color” that has otherwise been attributed to his “very supple fingers,”⁵⁷ is indeed heightened by his application of the expansion and compression of time.

2. Ignaz Friedman

b. Podgorze (suburb of Krakow), 1882

d. Sydney, 1948

Pianist and composer. Studied piano with Flora Grzywińska in Krakow, composition with Hugo Riemann in Leipzig. Played *Well-Tempered Clavier* at age nine. In 1901 went to Vienna to play for Leschetizky, who advised him to give up the piano as a career. However Friedman studied with Leschetizky for four years, became his assistant, and attended master-classes of Busoni. Performed with notable conductors such as Nikisch, Mengelberg and Saint-Saëns; piano duets with Arthur Rubinstein; favored pianist of Vladimir Howowitz. Renowned teacher: students included Ignace Tiegerman, Leon Pommers (formerly on the Queens College faculty) and Bruce Hungerford. Performed and recorded many works of Chopin. Edited the Complete Works of Chopin, as well as major works by Beethoven, Mendelssohn, Schumann and Liszt.

The beginning of Friedman’s performance presents us with an entirely different perspective. What is outstanding in his opening measures compared to the other performances in this study is his strict time in both hands. Its metrical steadiness (at a tempo faster than the others) stabilizes us to such a degree that we are all the more carried along with him when he accelerates in the sections of shorter note values, which he performs as follows (refer to CD and Appendix B):

⁵⁶ Hipkins, *How Chopin Played*, 6-7. Quoted in Eigeldinger, CPT, 57. Hipkins, a technical adviser for Braodwood, made Chopin’s acquaintance in 1848, and heard Chopin play several times. A pianist himself, he became a chief exponent of Chopin’s music in London. See Eigeldinger, CPT, 93.

⁵⁷ Methuen-Campbell, *Chopin Playing*, 77.

- (i) Lengthening with an expansive *ritardando* at the end of the acciaccatura section (m. 16), Friedman rolls the opening third of the trill (m. 18); at the thirty-second-notes which emerge out of the trill, he unhinges from his seemingly steady beat and “takes off.”
- (ii) After stabilizing in the texture of alternating thirds at mm. 23-24, Friedman slightly accelerates in the ascent of rising thirds (mm. 25-26) as he increases his depth of tone, highlighting Chopin’s chromatic texture with a richness of sonority.
- (iii) He steadies his pulse briefly in the sigh figures at mm. 27, but not for long: he accelerates, rendering the rests with a quality of breathlessness, not of “respirations.”
- (iv) At the A-flat organ-points (mm. 33-34) Friedman accelerates slightly as he intensifies his sound. Note his (performed) *ritardando* along with his heightened *diminuendo* at the end this phrase (m. 34).

Of all the pianists in this discussion, Friedman is the one who accords the most attention to the left hand. He changes the register of the D-flat pedal-point, performing it sometimes in octaves, or as D-flat', D-flat, or d-flat (noted by arrows in Appendix B). See for example m. 16 (acciaccaturas/down), m. 22 (alternating thirds/down), m. 26 (sigh figures/added rolled chord) m. 31 (chromatic thirds/down), m. 32 and m. 35 (up), m. 43 and 44 (fioritura/added rolled chords), m. 47 (section preceding coda/down), m. 55 (coda/down) and m. 63 (final statement of the melody/down). In doing so, Friedman not only occasionally marks the entry of variants, but creates the most extraordinary colors. Indeed, Chopin recommended such effect to his students, for precisely this reason, in the

scores of his Nocturnes Op. 27, no. 2 in D-flat, and Op. 37, no. 1 in G minor.⁵⁸ In the Nocturne Op. 27, no. 2, Kleczyński recounts Fontana's explanation that the principal theme that occurs three times "should appear each time with a different strength and a different shade of expression."⁵⁹ Further, while it seems that Friedman's seemingly insignificant but noticeable variants of the D-flat occur on a *laissez-faire* manner, they are an ideal example of the improvisatory as an entity of the hand's memory and the listener's perception.⁶⁰ Whether Friedman may have "planned" the D-flat's various registers is not the issue. In the veil of his pedaled sonorities they appear made up in the moment. Nonetheless we are carried away with their structural logic, the beauty of their extraordinary resonance in his hands, and our delight in being surprised. We also observe, in Friedman's performance (as we do in each pianist's recording) the occasional seemingly *laissez-faire* alteration of the voicing in the left hand interval, from a fifth to a third or vice versa (see Appendix B).

Friedman not only changes the register of the bass D-flat and the left hand's interval; his edition (like those of Godowsky and Pachmann, each differently), accords the left hand notation additional sonority through the elongation and syncopation of the A-flat organ-point. While the notation is continued with indication *simile* (m. 10), Friedman clearly felt strongly that the left hand should command attention at the opening of the Berceuse and subside gradually, perhaps receding as the dissonant treatment in

⁵⁸ In Op. 27, no. 2, the bass is doubled at the lower octave by 8va or 8 on the first beat of bar 49 (Dubois' score), the first and fourth beats of bars 58-59 (Jedrzejewicz' score), and bar 59, (Stirling's and Dubois' scores). Quoted in CPT, Eigeldinger, 154, footnote 189. In Opus 37, no. 1 the Stirling score takes the first left hand G down an octave by the indication of an "8", and corrects the arrangement of the final bar (see facsimiles in Eigeldinger-Nectoux 238, 240.) Quoted in Eigeldinger, CPT, 154, footnote 190.

⁵⁹ Kleczyński, Jean, *Chopin's Greater Works*, translated with additions by Natalie [*sic*] Janotha (London: William Reeves, 188?) Quoted in Eigeldinger, CPT, 79-80.

⁶⁰ See Chapter 1, Section D.

Chopin's counterpoint emerges in the upper voices (also at m. 10). The left hand A-flat organ-point does not disappear for good, however. It rises to the surface unexpectedly (in his performance) at mm. 39-40, producing the surprise of its syncopation and a contrapuntal sonority beneath the undulating thirty-second-note sixths. We hear a slightly less but still present articulation in Friedman's left hand B-flats (their sole appearance) at mm. 59-60. Though on the page Chopin's left hand notation appears to be unchanging, Friedman's performance indicates his view of the left hand as an equal and independent partner to the right, characterized by different articulations and sonorities, and emerging into and out of the textural and temporal variants of the Berceuse.

Such individual left hand treatment calls to mind Chopin's method of teaching the left hand in his Nocturne Op. 9, no. 2, in which he instructed his student to practice the notated left hand with two hands. By using both hands, the student would feel the physical freedom to (i) produce the contrapuntal sonorities inherent in a seemingly simple figure, and (ii) occasionally counter its regularity of rhythm by suggesting the alternate entrance of another voice:

Chopin wanted 'the bass to be practised first by itself, divided between the two hands; and each of the chords following the main bass beats in the 12/8 should sound like a chorus of guitars. Once the bass is mastered – with two hands – with a full *piano* sonority and in strict time, maintaining an absolutely steady *allegretto* movement without the 12/8 lapsing into triplets [? – presumably he means avoiding an oom-pah-pah effect], then the left hand can be trusted with the accompaniment played that way and the tenor invited to sing his part in the upper voice.'⁶¹

The term "full *piano* sonority" requires clarification. I understand this to mean the dynamic *piano*, yet full in sonority. I suggest that the phrase "without the 12/8 lapsing

⁶¹ Lenz, "Übersichtliche Beurtheilung," xxvi/38, 297. Quoted in Eigeldinger, CPT, 77.

into triplets” means more than Eigeldinger’s interpretation of “avoiding the “oom-pah-pah effect.” I believe that “lapsing into triplets” refers to the danger of falling into a dragging tempo, an effect Chopin’s instruction is seeking to avoid. (We note that he recommends that the nocturne, marked *Andante*, be practiced with an *allegretto* left hand.) Indeed, the effect of Friedman’s performance accords with Chopin’s precept quite markedly.

Friedman’s execution of the fioritura (mm. 43-44) is remarkable for its combination of the expansiveness of time and delicate transparency of touch. Its quality brings to mind Berlioz’ description of Chopin’s softness of sound in the Mazurkas:

He has found out how to render them doubly interesting by playing them with the utmost degree of softness, *piano* in the extreme, the hammers merely brushing the strings, so much so that one is tempted to go close to the instrument and put one’s ear to it as if to a concert of sylphs or elves.⁶²

Friedman then merges the fioritura into the meandering triplets that follow by sustaining the pedal of the second fioritura (m. 44) through m. 45 (with a possible slow or half-release at the fourth eighth-note of m. 45), which he does not completely release until m. 46. He renders the triplet section (m. 45) with a delicate featheriness of sound in the piano’s upper register that enables him to take the gently pedaled fioritura’s sound along with him. The two distinct sections not only merge: the new section truly emerges *out* of the fioritura whose sustained resonance, through Friedman’s prolonged pedal, forms its counterpoint. (I have approximated the sound of Friedman’s gradual release of the pedal by the notation of rising pedal brackets at m. 44 in Appendix B.)

⁶² Berlioz, “*Concerts*,” 15 December 1833. Quoted in Eigeldinger, CPT, 71.

Friedman's coda (mm. 55-70) speaks with an expressivity obtained through his use of time and depth of tone. We are reminded of the emphasis that Chopin placed on the *bel canto* line as a basis for pianistic declamation and sonority of tone, as described by the cellist, writer and critic Maurycy Karasowski:

The best way to attain naturalness in performance, in Chopin's view, was to listen frequently listening to Italian singers, among whom there were some very remarkable artists in Paris at the time. He always held up as an example to pianists their broad and simple style, the ease with which they used their voices and the remarkable sustaining powers which this ease gave them.⁶³

Klecyński reinforces Karasowski's view:

Chopin's advice was, that this theory [of musical declamation] should be grounded upon the rules which guide vocalists, and that it should be perfected by hearing good singers.⁶⁴

The effect of Friedman's expressivity in the coda calls to mind Methuen-Campbell's description of Friedman as an artist "who has calculated every nuance with the greatest care."⁶⁵ However it is impossible to *perceive* that Friedman's playing is calculated; rather, his performance conveys an extraordinary combination of abandonment and finesse. His nuance of sound, nonetheless, is rendered not only with the greatest care, but to my ear, with utmost beauty. As pianists we understand that the tone production of a note is as dependent upon its depth as it is upon time (that is, when the note begins and ends), both of which effect the listener's expectation of the sound that

⁶³ Karasowski, *Friedrich Chopin II*, 93. Quoted in Eigeldinger, CPT, 44.

⁶⁴ Klecyński, *How to Play Chopin*, 55. Quoted in Eigeldinger, CPT, 44.

⁶⁵ Methuen-Campbell, *Chopin Playing*, 65.

follows: this is an art in our piano playing that we develop throughout our lives.

Friedman's coda fluctuates with a rubato that to my ears is not exaggerated, but allows his tone to speak all the more exquisitely. His use of the pedal heightens this effect. He does not seem to follow his rather detailed pedal markings in his coda; rather, it seems that he is here raising and depressing the pedal to various miniscule degrees, never (seemingly, in the coda) entirely, and for the most part imperceptibly. The effect is one that lengthens Chopin's own phrase extensions, and creates a most delicate merging of the elements of time, tone and sonority. His recording embodies those principles most important to him:

Rhythm and color in piano playing are above all the most difficult things to learn, just as they are to teach. Rhythm may be called the life, colour the flesh and blood of piano playing. A good sense of rhythm, to my thinking, is born in people. Colour represents the mixture of tone, the "colouring" of tone by the union of key-pressure and pedal, and the control of the piano overtones through every legitimate means.⁶⁶

His textual alteration at m. 23 provides an exquisite example of rubato. By shortening the iambic rhythm of the first two-notes, he brings almost the whole measure forward by the distance of a sixteenth-note (I have notated its rhythm above m. 23 in Appendix B.) Through such rubato Friedman not only provides ample time for the sextuplet's expressivity: the greater effect is the entire sense of temporal readjustment in the measure – by an apparent shift of 359 degrees. We are carried by it, but can barely figure out whether what we are hearing is ahead of its pulse or behind. Its effect brings to mind Liszt's characterization of Chopin's rubato, which is worth citing in its full context:

⁶⁶ Frederick H. Martens, *Friedman*, Little Biographies (New York: Breitkopf & Hartel, 1922), 19.

In his performance the great artist [Chopin] rendered most exquisitely that kind of agitated trepidation, timid or breathless [. . .] He always made the melody undulate like a like a skiff borne on the breast of a powerful wave; or sometimes he made it hover like an airy apparition suddenly sprung up in this tangible and palpable world. In his writings he at first indicated this way of playing – which gave such an individual stamp to his virtuosity – by the term ‘Tempo rubato’: stolen, broken time – a rhythm simultaneously supple, abrupt, and languid, vascillating like the flame under the breath that agitates it, like the corn in the field waving under the soft pressure of the warm air, like the tops of trees bent hither and thither by a strong breeze.

But as the term taught nothing to whoever already knew, and said nothing to those who did not know, understand, and feel, Chopin later ceased to add this explanation to his music, persuaded that if one had the sense of the music, it would be impossible not also to divine this rule of irregularity. Also, all of his pieces must be played with that kind of speech-like, accented lilt, that softness [*morbidezza*], the secret of which is difficult to grasp if one had not often heard him play in person. He seemed to wish to teach this style of playing to his numerous pupils, especially his compatriots to whom, more than to any others, he wanted to communicate the breath of his inspiration.⁶⁷

Through Friedman’s sensitivity of touch (the sound’s surface), malleability of tone (the sound’s depth) and elasticity of time, we hear the Berceuse’s emerging and receding patterns in varying temporal dimensions: as the sense of time expands and compresses, the colors and textures shift accordingly. We are reminded of Lenz’s perception of the effect of Chopin’s rubato, in contrast to Henselt’s:

Henselt’s priority when playing the Mazurkas is the beat and the barline; passages of delicately wrought workmanship he paints over with big brush strokes and a big sonority. His rubato is not Chopin’s: it is a shifting of accents within a maintained tempo, rather than the radical readjustment of the whole field of vision to view the piece in its entirety as if seen through reversed opera glasses.⁶⁸

⁶⁷ Franz Liszt, *F. Chopin* (Leipzig: Breitkopf & Härtel, 1923), 115-116. Quoted in Eigeldinger, CPT, 51.

⁶⁸ Lenz, *Die Gossen Pianoforte-Virtuosen*, 102. Quoted in Eigeldinger, CPT, 72.

Indeed, the shifts in temporal space occupied by each variant in Friedman's playing may be likened to the shifting visual magnifications that we obtain by rotating the focus of Lenz's reversed lens. Like Pugno, Friedman's use of the decrease or increase of tone in the sectional seams is significant. While Pugno, however, is more likely to take a slightly new tempo that emerges after the subsequent section has begun, Friedman frequently ritards at the sectional seams, which he then follows with a tempo (similar, a little faster, or slower) that emerges at the beginning of the new section. The exquisite beauty of his playing lies in the delicacy of his tone that is as pliable as his treatment of time, and his merging of textures that are the result of this effect. And though his use of time is pliant throughout, his left hand *seems* to remain constant.

Some consideration must be given to those interpretative aspects of his score that are evident in his performance recorded sixteen years later: namely, his attention to the A-flat stemmed upper voice in the right hand (his notation) at the end of m. 53, and to his edited indication of the E-flat to D-flat stemmed eighths at m. 54 through agogic expressiveness (see Appendix B). At mm. 55–58, unlike his edition, he pedals throughout these measures but lifts the pedal gradually at the end of m. 58 as he here expands his sense of time (see Appendix B). Yet Friedman's score represents an interesting perspective of the pedaling to which he so often referred, that is, to take a new pedal before the beat, or, as he stated, "the control of the piano overtones through every legitimate means."⁶⁹ Friedman's indication at mm. 55-58 does represent his (performed) pedaling over the bar-line, which his score does *not* indicate at m. 65-66, and at the third into the fourth eighth-notes at m. 67 (see Appendix B). Here we also observe his

⁶⁹ Martens, *Friedman*, 19.

indication of stems at m. 65, which he performs with a delicacy of tone whose expansion of time allows the sounds to decay until the close.⁷⁰

Our study of Friedman's playing brings us closer to an understanding of the reciprocal respect shared by Friedman and his mentor Leschetizky, and illuminates the aspect of piano playing that Leschetizky emphasized the most, as recalled by Friedman:

He would often shout at me, in the course of a lesson: 'Tone, tone, tone! Always more TONE!' His one weakness, perhaps, was his interest only in pupils who were 'colorful' players. The tales of Leschetizky's being madly insistent on technic, first and foremost, are all fables. I remember at one of my Vienna recitals Leschetizky watched the whole performance through opera glasses, his eyes glued on every movement of my hands. At the end of the recital he looked me up and said: 'You are more sympathetic to me as a pianist than any of my other pupils, because you are the one who has gone farthest in advance of me.' I have treasured that remark in my memory because it is one that does Leschetizky even more credit than it does myself.⁷¹

3. Leopold Godowsky

- b. Sozly, near Vilnius, 1870
- d. New York, 1938

Polish-born American pianist and composer; studied briefly with Ernst Rudorff at the Berlin Hochschule, protégé of Saint-Saëns in Paris (1887-1890), but regarded himself as self-taught. First appearance in Boston in 1884, returned to the USA in 1890; taught at the New York College of Music. Later held teaching posts in Philadelphia and Chicago. His appearance at the Beethoven Hall in Berlin in 1900 established his reputation as both virtuoso and composer. Became widely known as composer through his polyphonic keyboard transcriptions, which included works of Bach, the Chopin études, and Schubert songs. Renowned for creating extraordinary sonorities through polyphonic voicings. The pianist Josef Hofmann is reported to have said, "If Chopin is regarded as the spirit of piano composition, Godowsky represents the spirit of pianistic expression."⁷²

⁷⁰ For a discussion of stems see also Section B(4).

⁷¹ Martens, *Friedman*, 13.

⁷² Jeremy Nicholas, *Godowsky: The Pianist's Pianist* (Northumberland: Appian Publications and Recordings, 1989), xix.

Godowsky's performance confirms his edition as a most thorough representation of his interpretative intention, and provides evidence of the pianistic means by which he achieves his intention. Published as Catalogue No. 1110 of the "Progressive Series Compositions," the publishers clearly directed the series toward the entire gamut of the student-pianist, amateurs and budding professionals alike. However, a contradictory feature of his edition lies in the contrast between Godowsky's highly sophisticated pianistic notations (see Appendix B) and the glossary of terms on the final page, which includes not only meanings of basic terms, but their pronunciation, for example:⁷³

Sempre una corda	pronounced	sem'pra õõ'-nä kor'dä
Frédéric François Chopin	"	Fra'da-ric Frän'swä Shōpan

As if that were not enough, the student is further advised that the pronunciation of "Chopin" be "nasalized"!⁷⁴

Where the most striking aspect of Godowsky's edition is his articulation markings – additional phrases, *tenuti*, and hairpins that for Godowsky often have a contrapuntal purpose – the most striking aspect of his performance is how he uses time (either its expansion or compression) to enunciate these markings (refer to CD and Appendix B).

To establish a sense of stability, Godowsky's left hand is perfectly in time. While we can just barely perceive the accent and *tenuto* his edition accords the left hand, his performance conveys every articulation he notated in the right hand. We hear the first sense of significant temporal deviation with the A-flat that is the end of the two-note slur in m. 3. At the end of m. 6 he performs a quite exaggerated *ritardando* and breaks the

⁷³ Frédéric François Chopin, *Berceuse (Cradle Song) Op. 57*, ed. Leopold Godowsky (St. Louis, London: Art Publication Society, 1923), 4.

⁷⁴ Chopin, *Berceuse*, ed. Godowsky, 4.

right hand third on the first beat of m. 7, an effect we may regard as quite magnified this early on: it exposes, rather than conceals, the beginning and end of the phrase (see Appendix B). Indeed, his expressive *ritardando* here is representative of the significance with which Godowsky marks the seam of the following sections (refer to Appendix B):

- (i) At mm. 12-13, Godowsky's performed *ritardando* preceding the variant of 4-3 suspensions corresponds to Godowsky's notated indication of the accented, broken fourth; in his performance he takes a significant amount of time and renders greater expressivity to this measure by also breaking (even more slowly) the sixth at the end of the measure. Out of this treatment he gives emphasis to the ensuing alto voice, now in sixteenths. In fact, through the degree of his temporal separation of the intervals at m. 12, he anticipates the rhythm of the sixteenth-notes that follow, thus further enhancing Chopin's rhythmic seamlessness and heightening his own expressivity at the seam, all at once.
- (ii) At the end of m. 14, Godowsky performs a magnified *diminuendo* and *ritardando*. Godowsky thus merges (through decay) but makes quite distinct (through the comma) this phrase and the subsequent acciaccaturas.
- (iii) At m. 18, Godowsky performs the *ritardando* marked in his edition (more than his "*poco*"), rendering further expressivity to his accented B-flats (notated and performed). The *ritardando* serves to lengthen the decay of the noticeable *diminuendo*, which allows him to merge the expressivity of this measure into the trill and into his faster thirty-second-notes of the new variant that follows.

- (iv) At mm. 22, Godowsky's *ritardando* results in the expressive and more slowly performed two-note slur at 23, which Godowsky marks with both hairpin and accent.
- (v) His rendition of m. 24 is expansive to the extent that it appears to be almost half-tempo. What is delightful is that he first chooses to linger on the lower intervals, just as he indicates in his edition, and subsequently on the upper (not indicated). What is more fascinating is that he seemingly renders the slurs with a different amount of tone and time on each. (Notice the last third is delivered broken.) The effect, while heightening the evenness of sound in the subsequent swoosh of ascending thirds, is quite improvisatory.
- (vi) Godowsky's performed but not indicated *ritardandi* allow for expressivity between the shifts in textures on either side of the bar-lines, between mm. 32 and 33, and mm. 34 and 35. (Note also Pachmann's indication of a *poco rit.* at the latter, and his hairpins at the former.)

Other notated nuances that Godowsky performs include his *tenuti* in the rising thirty-second note ascent at mm. 19-20, highlighting the melodic turns within; the melodic *tenuti* at mm. 37, and taking time between the first note of each group marked *tenuto* and the second marked with a stem; his accented hemiolas at in the undulating sixty-fourth-notes at mm. 39-40; his hemiolas at mm. 45-46, now delivered with the hemiola emphasis on the lower and unstressed notes in a different texture and articulation than those at mm. 39-40; and all editorial indications in the coda. We note that

Godowsky's broken sixths at mm. 39–42 are so fast that they almost sound vertical – and, we recall, vertical was just how Chopin had sketched them:⁷⁵



Example 28: Berceuse, sketch

How interesting, then, it is to note the critic August Kahlert's observation of Chopin's playing, as early as 1830, which reinforces the pianistic nature of such notations in Chopin's sketch:

The third, fourth and fifth fingers of his right hand are extremely developed, and are thus raised to such an independence that it is possible for him to perform at the fastest rate with one hand the runs upwards and downwards in the chromatic scale. *Thanks to this speed*, to the lightness of his leaps, and to the great arpeggios, *Chopin adds an admirable melodiousness* which is often lacking at the piano [emphasis mine].⁷⁶

Through Godowsky's combination of his quick flourish, lightness of touch, and expanse of time his fioritura (mm. 43-44) is extraordinary in a way that is comparable to Friedman's. It sounds truly as if Godowsky is "brushing the strings" as Berlioz described

⁷⁵ For a discussion of Chopin's notation of the sixths in his sketch, refer Chapter 2, Part A(6).

⁷⁶ Quoted in translation in Musiol, "Echoes of Chopin's Wroclaw Concert in Musical Criticism and in Literature," *Chopin in Silesia* (Fascicles of the archives "Music Culture in Silesia"/Music College Library, Katowice/No. 1) Katowice, 1974, 6-7; originally "Über Chopin's Klavier-Kompositionen," *Der Gesellschafter oder Blätter für Geist und Herz*, 1834/3, 165. Quoted in Eigeldinger, CPT, 289. In a letter to his parents, Chopin wrote that Kahlert had perhaps understood him better than any listener (see Hedley, Arthur: *Selected Correspondence of Fryderyk Chopin* [New York, Toronto, London: McGraw-Hill, 1962], 62.) The poet and philosopher Kahlert also wrote for Schumann's *Neue Zeitschrift für Musik*. See Eigeldinger, CPT, 289.

Chopin's softness of touch⁷⁷ or, as Lenz described Chopin's fioritura, like a "run of notes like a string of pearls, wonderfully swift but *delicatissimamente*."⁷⁸

Godowsky approaches Chopin's *sostenuto* at m. 47 with a magnified *ritardando* (see Appendix B). From m. 47 to the end, Godowsky's sense of time is markedly pliant. Indeed among all the pianists, his coda is rendered with the most striking shift in texture and affect. Here his expansiveness of time combines with a most exquisite *cantabile* quality in the right hand. In his rendition of the hemiolas (mm. 61-62) and at end of the Berceuse (mm. 64-70), Godowsky's playing may be likened to the slow unwinding of a clock.

Godowsky's refined craft of matching the tone of a note to the decay of that which precedes it, in combination with his pliant temporal shifts in this slow tempo, is the aspect of his playing that I find to be extraordinarily beautiful. While Godowsky's recording dates from only one year later than his edition, it is, nonetheless, fascinating to observe that he performs every detailed articulation marking notated in his score. His edition is a profound reflection of his artistic intent. Further, his recording offers a wonderful lesson for us, some eighty years later, on the meaning of his editorial articulation marks.

Clearly his slurs, accents, double-stemmed notes, *tenuti*, and implied counterpoint refer not only to tone but also to time. Indeed, the quality of Godowsky's *quasi* vocalized expressiveness through his pliable use of time is of a quite different quality than Friedman's; yet it conveys a similar, declamatory effect. We recall the

⁷⁷ Berlioz, "Concerts," 15 December 1833. Quoted in Eigeldinger, CPT, 71.

⁷⁸ Lenz, "Übersichtliche Beurtheilung," 297. Quoted in Eigeldinger, CPT, 77.

words of Chopin's student Emilie Gretsche, whose lessons Chopin often prolonged so that eventually she had heard him play almost all of his works:

During lessons Chopin would repeat indefatigably: '*Il faut chanter avec les doigts!*'⁷⁹

Where Friedman seems to conceal the sectional seams through a *ritardando* marked with a *diminuendo*, Godowsky's *ritardandi* between sections are considerably lengthened in time and *emphasized* with a marked expressivity of tone. He uses the expansion of tempo with its corresponding expansion of tone not to conceal, but to expose Chopin's sectional seams.

4. Vladimir de Pachmann

b. Odessa, 1848

d. Rome, 1933

Ukrainian pianist; first teacher was his father, a violinist and Professor of Law. Early musical training consisted mostly of hearing great virtuosi at concerts. Studied with Czerny's student Joseph Dachs at the Vienna Conservatory, 1866, who instructed him to study one fugue of Bach; Pachmann returned in the following lesson with the entire *Well-Tempered Clavier* memorized. Instructed by Dachs to study a Chopin etude, he returned with the twenty-four études memorized. Studied with Dachs for one year. So impressed with hearing the pianist Tausig in Odessa in 1870 that he ceased giving concerts for eight years to study intensively on his own. Then established his reputation as a Chopin player throughout Europe and the United States; retired in Italy in 1925. Known for his eccentricities, particularly his habit of talking to audiences before, during and after a performance. George Bernard Shaw wrote, "M. Vladimir de Pachmann gave his well-known pantomimic performance, with accompaniments by Chopin."⁸⁰ Sometimes known as a *pianissimist* for his exquisite tone; nicknamed by the American critic Huneker as the "Chopinzee."⁸¹

⁷⁹ Grewingk, *Eine Tochter Alt-Rigas*, 20.

⁸⁰ Harold C. Schonberg, *The Great Pianists From Mozart to the Present* (New York: Simon and Schuster, 1963), 313.

⁸¹ Schonberg, *The Great Pianists*, 313.

There is no recording of Pachmann's performance of the Berceuse. However, I was inspired to include his edition in this study not only because of his reputation as a performer of Chopin, but because of the detail of the nuances in his edition. Such detail is surely a reflection of the extraordinary quality of sound that characterized his performances. The English writer, pianist and composer Kaikhosru Sorabji describes its effect:

The almost unlimited range of his gradations of tone within a *mezzo forte* an unbelievable *quasi niente*, the amazing fluidity and limpid liquidity of his fingerwork, his delicious dainty staccat, the marvellous cantilena, the exquisite phrasing and the wonderful delicate fantasy of the whole, all made his playing [of the smaller works of Chopin] an enchantment and a delight.⁸²

Pachmann's use of special fingerings and his interpretation of phrasing are preserved in his editions of Chopin, edited by his wife and former student, Marguerite de Pachmann-Labori.⁸³ As she writes in the edition's introduction, "sometimes he would leave no note unfingered, and would insert every comma or breath-mark punctuating the phrases."⁸⁴ The following measures are of particular interest (see Appendix B):

- (i) At mm. 8-9, the hairpin swell in the soprano is contrasted by the phrase rhythm of the alto voice (5+3+4). The alto voice is further highlighted by Pachmann's stemmed anacrusis at the end of m. 9, which will be further emphasized, both in terms of tone and time, by his indication of the left hand thumb. It is clear already that Pachmann is interested in locating and

⁸² Nigel Nettheim, "Pachmann, Vladimir de," in *The New Grove Dictionary of Music and Musicians*, 2nd ed., v. 18. 857.

⁸³ The complete set, published by Augener, contains, in addition to the Berceuse, Chopin's Ballade no. 1, Op. 23, the Ballade no. 3, Op. 47, the Impromptu Op. 36, and the Polonaise, Op. 53.

⁸⁴ Chopin, *Piano Works, with the authentic fingering and phrasing of Vladimir de Pachmann* (London: Augener, 1937). Note by Marguerite de Pachmann-Labori.

exposing great detail in the Berceuse's seams. Note that all of this is followed, in the new variant at m. 10, by his indication of *dolcissimo* and a new evenness in his alto's phrase rhythm.

- (ii) Note the altered melodic text at m. 13: Pachmann notates a D-flat (which, curiously, we hear in Cortot's performance).
- (iii) At mm. 13-14, Pachmann adds stems on the final alto A-flat of each measure; these anticipate the alto A-flat organ-points of the next variant (mm. 15-18) to which he accords special attention with his *portato* indication (mm. 15-17).
- (iv) At m. 18, his accent on the first soprano B-flat and the *ritardando* in this measure are similar to Godowsky's indications in this measure. Note the unusual marking of *pf* on the trill that follows (m. 19) and the sub-phrases on the final three notes of each group, the articulation of which will heighten the chromatic interval of the first two of each group. As Pachmann's touch was surely as delicate as his nuance (nuance is, in part, the result of touch – the sound's surface), we can thus imagine the resultant contrast in textures in each group of thirty-second notes.
- (v) At mm. 33-34, we notice that Pachmann and Godowsky insert the two-note slurs that Chopin had inserted and deleted in MS 231.⁸⁵ Other similarities to Godowsky's indications occur at m. 24, m. 35, and, conspicuously, in the left hand notation.

⁸⁵ For a discussion of Chopin's deleted sub-phrases, see Chapter 2, Section B(4).

- (vi) Note the small hairpins in the hemiolas at m. 39-40. If Pachmann's articulations of slur and hairpin were an indication of taking time, as they were for Godowsky, then here we have, possibly, a swell in time in the thirty-second notes.
- (vii) Note the hairpins in the middle of the range of each fioritura at mm. 43-44, an indication that is quite different to each of the other pianists.
- (viii) Like Godowsky, Pachmann indicates *tenuti* and sub-phrases at the opening measures of the coda (mm. 54-56), but in a quite different way.
- (ix) Finally, we observe that Pachmann's pedal markings indicate that the fourth eighth-beat, for the most part, should remain unpedaled. An interesting exception is in the coda, particularly mm. 59-70. Perhaps we should not be surprised, for so many of his indications – the hemiolas, articulations, slurs, and contrapuntal highlights – defy the beat. His pedal markings will thus expose the unpedaled sound of the fourth eighth-note, the effect of which brings to mind Chopin's delight in the contrast of sonorities.⁸⁶

An unpublished biography of Pachmann quotes The New York Times critic Olin Downes writing about Pachmann's performance of the Berceuse in Boston in 1908:

*A piano that was first piano, then pianissimo, then double pianissimo, and so on into infinite gradations until it seemed as if a piano struck by mortal fingers could not be the origin of such tones [italics mine].*⁸⁷

⁸⁶ See Section B (this chapter) and Chapter 2, Section B(6).

⁸⁷ From an unpublished biography of Vladimir de Pachmann by Edward Blickstein (dated ca. 1968-2000), the manuscript of which is held by the International Piano Archives at Maryland. Courtesy Donald Manildi, Curator. While the source of the review has not been located, the description is in accordance

Keeping Pachmann's range and quality of *pianissimo* in mind, Pachmann's extensive notations in the Berceuse leave us with the impression of a highly nuanced performance in which every moment is rendered with delicate detail and filled with the most exquisite gradations of tone – and, if it is at all similar to Godowsky's, then one highly marked by the inflection of time as well.

Indeed, we observe that the editions of Pachmann and Godowsky are markedly alike. Pachmann often goes one step further than Godowsky in his slur markings, and underlines many with the nuance of hairpin dynamics. We then note that Godowsky's performance resembles not only his own edition, but also that of Pachmann (refer to CD). From this we may surmise that the two pianists did not necessarily work from the same textual source, but simply that the source of their pianistic thinking is markedly alike. Perhaps we should not be surprised at this, for Pachmann, even during his own recitals, consistently acclaimed Godowsky as “the second greatest living pianist.”⁸⁸

5. Alfred Cortot

b. Nyon, 1877

d. Lausanne, 1962

Swiss-born French pianist and conductor; studied at the Paris Conservatoire with Emile Decombes, one of Chopin's disciples, and Louis Diémer; won a *premier prix* in 1896. Following successful recital and orchestral debuts in Paris, appeared in concerts with Édouard Risler (student of Liszt's students Stavenhagen, Klindworth and d'Albert), playing two-piano arrangements of Wagner's music. Assistant conductor in Bayreuth; became one of the leading figures in European musical life. Returning to France (1902),

with the sound of Pachmann's *pianissimo* playing in his recordings, e.g. the Nocturnes Op. 15, no. 2 (1911), Op. 27, no. 2 (1921 and 1925), Op. 37, no. 2 and Op. 55, no. 1 (1912).

⁸⁸ Nicholas, *Godowsky*, 73-74. Another of Pachmann's favorite declamations, writes Nicholas, was “Second Godowsky . . . third Rosenthal, fourth Paderewski, fifth Busoni.” (See p. 74). Pachmann's admiration for Godowsky was also noted by the critic Huneker, in J.G. Huneker, *The Brahma of the Keyboard*, *The New York Times*, April 27, 1919. Quoted in Nicholas, *Godowsky*, 74.

conducted *Tristan* and the first Paris performance of *Götterdämmerung*. Formed *La Société de Festival Lyrique* for which he conducted first performances in France of *Parsifal* (in concert form), Beethoven's *Missa Solemnis* and Brahms' German Requiem. Established a piano trio with Jacques Thibaud and Pablo Casals (1905). Professor of Piano at the Paris Conservatoire (1907-23). Founder of the *École Normale de Musique*, whose aim was to provide a fuller musical education than was available at the Conservatoire (1919). Appointed its distinguished music faculty, including Pablo Casals, Nadia Boulanger, Paul Dukas, Arthur Honegger, Wanda Landowska, Igor Stravinsky and Jacques Thibaud. Cortot's students include Clara Haskil, Gina Bachauer, Dinu Lipatti, Vlado Perlmutter and Jerome Lowenthal. Publications include editions for Salabert of most of Chopin's, Schumann's and Liszt's music. Writings on music include *Cours d'Interprétation* (1934), and *Aspects de Chopin* (1949).

To my ear, the most striking aspect of Cortot's recording is that, from m. 2 onward, it seems there are more than six but not quite seven eighth-notes in the measure (refer to CD and Appendix B). Most of the time, Cortot expands the second and fifth eighth-notes to an exaggerated degree, and his left hand, rather than assuming the post of Kapellmeister, succumbs to his right hand's meandering rhythm. Through such exceptions Cortot's rendition invites us to further consider the ways in which Chopin employed rubato, as described by Kleczyński:

“The left hand is the conductor of the orchestra.” Many passages of the *Berceuse* can be executed in this manner [. . .] It is, nevertheless, my belief that this means can only be employed in certain particular cases; and I, therefore, can only regard it as a demi-rubato. There are passages in the works of Chopin, in which not only do the leaves tremble (to continue the comparison of Liszt), but the trunk totters. For instance: the Polonaise in C sharp minor (Op. 26/1), 3rd part, measures 9-14 [=59-63]; Nocturne in A flat (op. 32/2), the middle part [bars 27-50]. We may quote also the Impromptu in A flat [op. 29]; here everything totters from foundation to summit, and everything is nevertheless so beautiful and clear!⁸⁹

Cortot's *Berceuse* thus presents us with a dilemma. Where's the conductor? Can the cradle still rock in a tree that is tottering? We observe that the passages Kleczyński

⁸⁹ Kleczyński, *How to Play Chopin*, 57. Quoted in Eigeldinger, CPT, 51.

quotes do not resemble the Berceuse: the harmonic progressions in the pieces Kleczyński mentions contain an inherent propulsion not present in the Berceuse. Perhaps this accounts for the sound of Cortot's rubato as rather "overdone" to some present-day listeners. Is his elasticity too great for the static nature of the Berceuse? Yet however static its harmonic paradigm may be, inert it is not. Are we to measure by how much the cradle will rock? We keep in mind that "an authentic *Chopin* performance" is not our goal. Indeed the innate individuality and elasticity of a pianist's rubato defies, in a sense, the concept of such a phenomenon. What we hear through the individuality of Cortot's rubato is "authentic Cortot." Yet as rubato is such an intrinsic feature of Chopin's artistic aesthetic, then we must ask whether the effect of "authentic Cortot" (or "authentic [other pianist]" as is so prominent in these recordings) is an implicit feature in Chopin's style.

A closer examination of Cortot's performance may yield a greater perspective. Cortot uses the expansion and compression of time to render the textures and sections distinct. Yet his shifts in time occur at short intervals, and sound even less stable because of the conspicuous fluctuations of his left hand. Here are some examples (refer to CD and Appendix B):

- (i) His *parlando* opening, marked with significant delayed notes in the right hand with which his left hand obliges, creates the effect of some seven eighth-notes per measure.
- (ii) Following his *ritardando* at m. 14, he performs a distinct comma before beginning the acciaccatura section, which he performs somewhat faster.

- (iii) Following a particularly lengthened trill at m. 19, his thirty-second-note section accelerates to a much faster tempo, which is followed by an exaggerated *ritardando* at m. 22.
- (iv) The thirds immediately following (mm. 23-24) are played at about one-third the previous tempo.
- (v) The sigh figures (mm. 27-31) are a little faster, but there seems to be seven eighth-beats in the measure.
- (vi) Following an exaggerated *ritardando* at m. 30, the descending thirds are fast. Again he performs an exaggerated *ritardando* in the organ-point A-flats (m. 34); the subsequent triads contrast in a moderate tempo, performed with a pliant rubato.
- (vii) His sixths leading up to the fioritura (mm. 41-42) are fast and somewhat accelerated. The first trill in m. 44 is extremely lengthened, paving the way for the contrasting pliability and expansiveness of the fiorituras.
- (viii) With no *ritardando* at m. 46 (notice the contrast to Godowsky's performance whose *ritardando* was magnified here), Cortot's *sostenuto* at m. 47 is immediately much slower and extremely pliable. The only temporal pivot was the expressively elongated D-flat at m. 47.

But while Cortot makes the Berceuse's sections distinct in their shifts through his marked expansion or compression of time, his *ritardandi* and *accelerandi* are enveloped by an undeniably beautiful softness of tone, which brings to mind the softness in Chopin's playing that Liszt's described as "*morbidezza*."⁹⁰ Nonetheless, Cortot's

⁹⁰ Franz Liszt, *F. Chopin*, 116. Quoted in Eigeldinger, CPT, 51

Yet in its posthumous publications it is presented as follows:

Example 29: Lento con Gran Espressione

The manuscript history of this work is complex. The autograph is significantly different in text from any of the three extant copies, notably in its polymetric notation.⁹¹ This indicates that the copies were based on another autograph, now lost.⁹² Clearly each of the posthumous publications was based on one of these copies. The speculation that there were originally (at least) two quite different autograph sources teaches us, in this instance, that what Chopin heard in his mind's ear and played at the piano was at times difficult to notate. (We keep in mind that we are looking at a relatively early composition, composed in Vienna in the year he left Warsaw.) This is not to say, by any means, that such rhythmic juxtapositions present themselves with frequency in Chopin's music. But it is quite possible that as Chopin developed his relationships with publishers he simply chose to use notation conventionally, just as early on in his teaching he stopped indicating the marking *rubato* in his scores: he knew the concept would only truly be understood by a pianist with sophisticated training, and did not want to be

⁹¹ Samson, *Chopin*, 1-3, 100.

⁹² Samson, *Chopin*, 100.

misunderstood.⁹³ Regardless of the other elements and issues that may be located in this music, this example represents first, how Chopin's rubato can defy notation; second, that it was even perhaps more pliable than we tend to imagine, and that issues between the left and right hands are not necessarily as straightforward as the tree and the Kapellmeister after all; and third, how constricted and mis-informed our modern-day perception of Chopin's music can become from studying inferior editions without due reference to sources and without critical, historical inquiry. Here indeed is an argument for beginning with the sources.⁹⁴ Yet particularly given the apparent complexity of Chopin's notation in the *Lento con espressione*, it is wise to recall, as we learn from Mikuli, that Chopin's rubato possessed "an unshakeable logic . . . always [justifying] itself by a strengthening or weakening of the melodic line, by harmonic details, by the figurative structure."⁹⁵

So while Cortot's rubato may sound exaggerated to our ears, it acts in accordance with the melodic line, the harmonic details, and the figurative structure. Our task lies in identifying what we may perceive as disorienting: its sudden shifts, that ever-present extra eighth-and-a-half, or the absence of the Kapellmeister. Perhaps, simply put, we are just not used to its sound.

Finally, in view of textual notation, we observe that Cortot is the one pianist who, in his performance, alters Chopin's right hand notation both chromatically and rhythmically (refer to CD, and see my notations at mm. 8, 9, 10, 13 and 14, Appendix B).

⁹³ Liszt, *Chopin*, 115-116. See Liszt's remark on Chopin's rubato, quoted above. Quoted in Eigeldinger, CPT 51.

⁹⁴ By "sources" I am referring to facsimiles of autographs when available. As pianist, of course I would rather be confronted by the inconsistencies of Chopin's notations than the misrepresentation of an edition. The former inspires my historical and musical imagination; the latter misinforms me.

⁹⁵ Michalowski. "Jak grał Fryderyk Szopen?," 74-75. Quoted in Eigeldinger, CPT, 50. I cite this reference in full on p. 195.

Like Friedman in his rhythmic treatment of m. 23, Cortot here offers us a glimpse at how the Berceuse – even in its concise compositional nature – became a malleable text in the pianist’s hands.

5. Ignaz Paderewski

- b. Krusk, Podolia, 1860
- d. New York, 1941

Mostly self-taught until entering the Warsaw Conservatory at age 12. By the 1880s had gained a reputation as a gifted pianist and improviser. In Berlin, made acquaintance of Richard Strauss and Anton Rubinstein; few lessons with Leschetizky in Vienna 1883-4. Appointed to Strasbourg Conservatoire 1885; success in Paris in 1888. Became something of a cult figure. From 1910-1919, and in 1935, played a prominent role in the politics of Poland: was appointed Prime Minister and Minister of Foreign Affairs from 1917–1919.

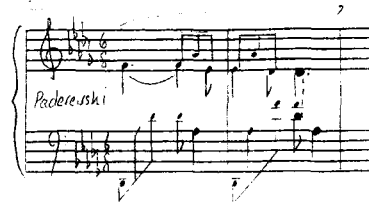
Paderewski’s rubato in the opening measures is the result of delayed notes in the right hand that sometimes give back what they robbed and sometimes do not, and a left hand that seems to behave as the Kapellmeister but with a significant lilt. His rendition of the middle sections of the Berceuse (particularly the pairs of sigh-figures, the thirds and sixths) is not delivered with the same sense of magic as his colleagues’: in his performance these sections are rather rhythmically measured, and do not emerge and recede with an intensity of color, texture, or time. Yet his combination of time and tone in the coda speaks with a delicacy that engages our attention. Indeed, the effect of his rather strict sense of the central section is that it further contrasts and exposes the lyricism of the outer two. Some points of interest invite our consideration (refer to CD and Appendix B):

- (i) His *ritardando* at the end of m. 2 and his performed comma (*Luftpause*) at the end of m. 68 delineate the introduction and the end as separate entities, and punctuate a boundary between the inner circularity of the Berceuse and what lies beyond. This presents a structural concept of two concentric circles: the inner being mm. 3-68, the outer as mm. 1-2 and mm. 69-70. This is quite different from the singular circularity we might hear in Schumann's miniature "Chopin," as discussed in Chapter 2.⁹⁶
- (ii) He uses substantially less pedal, with just a small dab on each eighth-note in mm. 19-23 and mm. 37-38 (unlike the edition in his name) bringing a marked transparency to the thirty-second notes. His use of less pedal on the organ-point eighths (mm. 33-34) and in the fiorituras bring to mind Chopin's desire for contrasts in texture.⁹⁷
- (iii) His use of delayed right hand notes from mm. 47 onward, reminiscent of his opening rubato, heightens the unity of the outer sections.
- (iv) His (performed) four-measure pedal at mm. 55-58 (which corresponds to Godowsky's edition, not his own) results in a sonorous quality that is remarkable through his combination of tone and time; notice that through the tension of his temporal elasticity at the *end* of mm. 56 and 58, he propels us toward the resonant richness of the double-stemmed C-flat in m. 57 and the resolution to B-flat in m. 59.

⁹⁶ See Chapter 2, Section B(7).

⁹⁷ See Chapter 2, Section B(6) and this chapter, Section B(1).

- (v) Note his use of the pedal at mm. 63-68, his addition of an F at the first note of m. 66, his voicing of the left hand at m. 67, and a distinct comma to follow:



Example 30: Paderewski, mm. 66-67

Much to Paderewski's demise, writers at times were more tempted to tease him about his hair than to engage in his performance:

But your pounding
Lacks the sounding
Timbre of your towzled bang!⁹⁸

This little rhyme, apparently published soon after his New York debut in 1891, is certainly *not* the effect of his recorded *Berceuse*. Rather, what we hear is a delicate sensitivity of touch in the outer sections and a sense of time that (after we become accustomed to its sound) is just as the American critic Henry T. Finck describes in 1910:

His irregularity of movement is so natural, so unconscious, that one might easily suppose he was playing in strict time . . . yet any incarnate metronome trying to keep pace with his hands – right or left – would soon be landed in a madhouse.⁹⁹

⁹⁸ A.T. Schwab, *James Gibbons Huneker* (Stanford: Stanford University Press, 1963), 63-64. Quoted in Adam Zamoyski, *Paderewski* (New York: Atheneum, 1982), 86.

⁹⁹ Henry T. Finck, *Success in Music and How it is Won* (London: Charles Scribner's Sons, 1910), 317. Quoted in Zamoyski, *Paderewski*, 95.

6. Fryderyk Chopin

In summary, the pianists' use of time heightens the *cantabile* and *parlando* qualities of Chopin's writing and his contrapuntal expressivity, serving sometimes to further expose the distinctions and at others to conceal the boundaries of Chopin's structural and textural shifts. And though the Berceuse is most concise and structured in its nature, the pianists exhibit not only individuality, but freedom, in terms of both temporal and textual elements. Particularly in the combination of their elasticity of time with elements of touch, tone and sonority, this generation's performances surely provide another perspective through which to consider the accounts we read of Chopin's performances of the Berceuse in the British Isles in the last year of his life. George Hogarth, a close friend of Walter Scott, writes the following in the Daily News about Chopin's second recital of the season:

There was a numerous and fashionable assembly, who were delighted with the entertainment provided for them. M. Chopin performed an *Andante Sostenuto* and a Scherzo from [*sic*] his Opus 31, a selection from his celebrated studies, a Nocturne and a *Berceuse* and several of his own Preludes, Mazurkas and Waltzes. In these various pieces he showed very strikingly his original genius as a composer and his transcendental powers as a performer. His music is as strongly marked with individual character as that of any master who has ever lived. It is highly finished, new in its harmonies, full of contrapuntal skill and ingenious contrivance; and yet we have never heard music which has so much the air of unpremeditated effusions. The performer seems to abandon himself to the impulses of fancy and feeling, to indulge in a reverie and to pour out unconsciously, as it were, the thoughts and emotions that pass through his mind . . .

He accomplishes enormous difficulties, but so quietly, so smoothly and with such constant delicacy and refinement that the listener is not sensible of their real magnitude. It is the exquisite delicacy, with the liquid mellowness of his tone, and the pearly roundness of his passages of rapid articulation which are the peculiar features of his execution, while his music is characterized by freedom of thought, varied expression and a

kind of romantic melancholy which seems the natural mood of the artist's mind.¹⁰⁰

The Berceuse must have been a work Chopin favored, both in presentation and in playing, because it featured again in Glasgow and Edinburgh programs not long after, and clearly made an impact. To his refined and pianistically astute audience in the Edinburgh soirée, even his fingering drew attention:

M. Chopin's Soiree Musicale – This eminent Pianiste gave a “Soiree Musicale” on Wednesday evening, in the Hopetoun Rooms, and we have rarely seen such a display of rank and beauty congregated at a similar entertainment. Most of the elite of our Edinburgh Society were present, as well as a considerable sprinkling of strangers. This speaks volumes for the increase of musical taste amongst us. The performances of M. Chopin are of the most refined description; nothing can equal the delicacy of his tone, or rival the lightness of his passage. They fall most deliciously on the ear accustomed to the ‘hammer and tongs’ work of the modern school. Our limits will not admit of our entering into lengthened description of his system, but we may mention that, while all other pianists strive to equalize the power of the fingers, M. Chopin aims to utilise them; and in accordance with this idea, are his treatment of the scale and the shake, as well as his mode of sliding with one and the same finger, from note to note, and of passing the third over the fourth [i.e. the fourth over the fifth] finger. The gem of this performance, in our opinion, was the Berceuse, although the most popular were the Mazourkas and Valse, with which M. Chopin concluded one of the most delightful musical evenings we have ever spent.¹⁰¹

D. THE PIANIST'S PERSPECTIVE

What is it that makes each performance of this tightly structured work so individual among the generation of pianists we have been studying? How is it that a

¹⁰⁰ *Daily News*, 10 July 1848, quoted in Arthur Hedley, *Chopin*, 4th ed., (London: Dent, 1957), 295. Quoted in Eigeldinger, CPT, 294-295.

¹⁰¹ *Edinburgh Advertiser*, Friday 6 October, 1848. Quoted in Eigeldinger, CPT, 295.

work of such concise architecture, logic and order can sound so improvisatory?¹⁰² Which qualities reveal themselves as markedly different from our generation's playing? The answer lies in the liberty each pianist takes in the temporal dimensions in conjunction with the control of sonority, to produce what to our ears is an immensely pliable sound structure of the work; this is combined with the pianist's sense of freedom to alter the text, to realize their own interpretative intentions even in the smallest ways; for it is these seemingly insignificant features that constitute such freedoms as a "practice," and are an indication of the pianist's voice and the ownership of the work in his hands. Further, it cannot be denied that such freedoms are considerably greater than any we would hear in the concert-hall (or soirée) of the present-day. What was the pianist's attitude toward the work's text with respect to what we call "freedoms"? How does this relate to the pianist's concept of his role, and how do we relate his view to Chopin the composer and pianist? In Section C I related the pianists' performances to Chopin's precepts. To further understand the questions above, I shall now pursue the role that rubato and textual alteration played in the pianist's artistic aesthetic. I shall address issues in Chopin's playing (as it was heard in its own time) along the way. I begin by referring to Paderewski who, in his essay "*Tempo Rubato*," published in 1910, offers his own thoughts on this matter:

There is no absolute rhythm. In the course of the dramatic development of a musical composition, the initial themes change their character, consequently rhythm changes also, and in conformity with that character, it has to be energetic or languishing, crisp or elastic, steady or capricious. Rhythm is life.¹⁰³

¹⁰² For a discussion of logic and order in the Berceuse, see Chapter 2, Section B(4).

¹⁰³ Ronald Stevenson, *The Paderewski Paradox* (Lincoln U.K. and Switzerland: The Klavar Music Foundation of Great Britain and La Société Paderewski, 1992), 25. This book contains a reprint of

He offers his perspective of Chopin's rubato. Here we learn what, in Paderewski's view, can happen to the conductor:

According to a current story, Chopin used to say to his pupils: “. . . let the left [hand] act as your conductor and keep time.” We do not know whether this story should be afforded the benefit of the doubt. Even if it be exact, the great composer contradicted it most energetically in such wonderful compositions as the étude in C sharp minor, preludes No. 6 and No. 22, the polonaise in C minor, and in so many fragments of others of his masterpieces, where the left hand does not play the part of a conductor, but most distinctly that of a prima donna.¹⁰⁴

He describes “Tempo Rubato” as “this irreconcilable foe of the metronome, one of music's oldest friends”:¹⁰⁵

To be emotional in musical interpretation, yet obedient to the initial tempo and true to the metronome, means about as much as being sentimental in engineering . . . To play Chopin's G minor nocturne with rhythmic rigidity and pious respect for the indicated rate of movement would be as intolerably monotonous, as absurdly pedantic, as to recite Gray's famous *Elegy* to the beating of a metronome.¹⁰⁶

Insofar as the elasticity of rhythm is concerned, according to Paderewski, one cannot constrict either the composer's imagination or the interpreter's emotion: “A composer's imagination and an interpreter's emotion are not bound to be the humble slaves of either

Paderewski's monograph “Tempo Rubato,” which was originally written as a chapter for Finck, *Success in Music*.

¹⁰⁴ Stevenson, 25.

¹⁰⁵ Stevenson, 27.

¹⁰⁶ Stevenson, 26.

metronome or tempo.”¹⁰⁷ And just as Klecynski accounts for “everything [that] totters from foundation to summit,” Paderewski explains that one cannot always “give back” what is “stolen”:

The technical side of Tempo Rubato consists, as is generally admitted, of a more or less important slackening or quickening of the time or rate of movement. Some people, evidently led by laudable principles of equity, while insisting upon the fact of stolen time, pretend that what is stolen ought to be restored. We duly acknowledge the highly moral motives of this theory, but we humbly confess that our ethics do not reach such a high level. The making up of what has been lost is natural in the case of playing with the orchestra, where, for the security of the whole, in spite of fractional alterations of movement, the metric integrity should be rigorously preserved. With soloists it is quite different. The value of notes diminished in one period through an *accelerando*, cannot always be restored in another by a *ritardando*. *What is lost is lost*. For any lawlessness there is, after a certain term – proscription [emphasis mine].¹⁰⁸

Paderewski relates rubato to oratory and explains how it can shape structure and expressiveness:

Tempo Rubato is a potent factor in musical oratory, and every interpreter should be able to use it skillfully and judiciously, as it emphasizes the expression, introduces variety, infuses life into mechanical execution. It softens the sharpness of lines, blunts the structural angles without ruining them, because its action is not destructive: It intensifies, subtilizes, idealises the rhythm . . . it converts energy into languor, crispness into elasticity, steadiness into capriciousness. It gives music, already possessed of the metric and rhythmic accents, a third accent, emotional, individual, that which Mathis Lussy, in his excellent book on musical expression, calls *l'accent pathétique*.¹⁰⁹

And he accounts for the *raison d'être* of rubato:

¹⁰⁷ Stevenson, 26.

¹⁰⁸ Stevenson, 30-31.

¹⁰⁹ Stevenson, 30

There are in musical expression certain things which are vague and consequently cannot be defined; because they vary according to individuals, voices, or instruments; because a musical composition, printed or written, is after all, a form, a mould: the performer infuses life into it, and whatever the strength of that life may be, he must be given a reasonable amount of liberty, he must be endowed with some *discretionary power*. In our modern meaning discretionary power is *Tempo Rubato*.¹¹⁰

For Paderewski the composition is a mould that is given life through those things that are indefinable, or perhaps, unnotateable. These entities will vary with each individual who, with reasonable liberty, will make the piece his. Paderewski refers to a well-known anecdote in which Sir Charles Hallé endeavored to point out to Chopin that he had played some mazurkas in 4/4 instead of 3/4 time:¹¹¹ “As for Charles Hallé, a distinguished but rather too scholastic pianist,” says Paderewski, “this estimable gentleman, who knew so many things, ought to have known better here. Our human metronome, the heart under the influence of emotion, ceases to beat regularly – physiology calls it *arythmia*,” Paderewski explains: “Chopin played from his heart. His playing was not national; it was emotional.”¹¹² For Paderewski, rubato therefore is one of the means through which the pianist moulds the shape of the work and expresses what is physiologically and emotionally unique to him.

¹¹⁰ Stevenson, 27.

¹¹¹ See C.E. and Marie Hallé, *Life and Letters*, 37. Quoted in Eigeldinger, CPT, 72-73: Hallé writes: “[Chopin] laughed and explained that it was the national character of the dance which created the oddity. The more remarkable fact was that you received the impression of 3/4 rhythm while listening to common time . . . this was not the case with every Mazurka, but with many. I understood later how ill advised I had been to make that observation to him and how well disposed towards me he must have been to have taken it with such good humour, for a similar remark made by Meyerbeer, perhaps in somewhat supercilious manner . . . led to a serious quarrel, and I believe Chopin never forgave him.”

¹¹² Stevenson, 26.

The concept of the unnotateable entity that brings the piece alive, gives the pianist a voice and the ownership of the work, gives rise to two issues: first, that rubato is not only the pianist's voice but an element of the improvisatory, and second, it reflects the pianist's role in the work's re-creation.

On the first issue, that is, rubato as an element of the improvisatory, this concept is not new to us. For C.P.E. Bach wrote:

It is especially in fantasias, those expressive not of memorized or plagiarized passages, but rather of true, musical creativeness, that the keyboardist more than any other executant can practice the declamatory style, and move audaciously from one affect to another. . . . The metric signature is in many such cases more a convention of notation than a binding factor in performance. It is a distinct merit of the fantasia that, unhampered by such trappings, it can accomplish the aims of the recitative at the keyboard with complete, unmeasured freedom.¹¹³

Even in our consideration of the improvisatory but “measured” music of Chopin, we may still apply the intent of the *parlando* to the rhetorical function of the improvisatory. The heightened elasticity of Chopin's coda as performed by the pianists studied in this chapter, particularly in the stems, hairpins, phrase markings, and rubato at mm. 55-58, provides an example of what can happen to the “convention of notation” in performance. (With C.P.E. Bach's words and the recorded performances discussed above, the relative fluidity of Chopin's notations in the layout of page 2 of his sketch has even greater significance.)¹¹⁴ Indeed, it is here worth recalling that the effect of Chopin's rubato sounded exactly in this way, according to his close friend Hiller:

¹¹³ C.P.E. Bach, *Essay*, 153.

¹¹⁴ See Chapter 2, Section A(4): The Coda.

Rhythmic firmness was combined with freedom in the declamation of his his melodies, so that they would seem to have occurred to him at that very moment.¹¹⁵

On the issue of the pianist's role in the work's re-creation, what we learn from the generation of pianists studied here is that *every* element of Chopin's music – from the lyrical to the rhetorical and the improvisatory – invites the pianist into the work, to “infuse life into execution,” shape the malleable and make it speak with his own voice. I am referring here to the *cantabile*, the *parlando*, and the *bel canto* lyricism; the expressiveness of Chopin's counterpoint and contrapuntal implications; the refinement of the effect of touch, tone, gradations of dynamics (on one note and longer), and of sonority, all in accordance with the pianist's rubato; and the “softening of lines,” and “blunting of edges,” already so softened and blunted by Chopin that they are, as we have observed in the Berceuse, concealed.¹¹⁶ Indeed, what we hear so conspicuously in these recordings is that rubato is at once a function of the phrase, the rhetorical and the improvisatory. Rubato, therefore, in combination with the pianist's individual palette of touch, tone and sonority as well as the textual freedoms taken, is the vocal, expressive, and temporal means through which each pianist uniquely renders Chopin as if his own creation.

The concept of Chopin's music as music the pianist can make one's own brings to mind the review of the first concert Chopin performed in Pleyel's showrooms in Paris, on February 26, 1832. In comparing Chopin to Beethoven who “wrote music for piano,” François-Joseph Fétis writes that Chopin 's music is “music for pianists . . . a plethora of

¹¹⁵ Hiller, *Briefe an eine Ungenannte*, 150-152. Quoted in Eigeldinger, CPT, 270. See also Chapter 1, Section A.

¹¹⁶ See Chapter 1, Example 3 and Table 1.

original ideas of a sort nowhere else to be found . . . I find in M. Chopin's inspirations the sign of a formal renaissance that could eventually exercise enormous influence upon this branch of art." The context of Fétis' statement warrants our consideration:

But here we have a young man who, giving himself over to his natural inclinations and following no models whatsoever, has effected, if not a total resuscitation of piano music, at least a part of what we have so long been searching for in vain – that is, a plethora of original ideas of a sort nowhere else to be found. This is not by any means to say that M. Chopin is gifted with the powerful spirit of a Beethoven, nor that there is in Chopin's music anything of the majestic force that one finds in the music of that great man: Beethoven wrote music *for piano* but this is music *for pianists* – and it is in that realm that I find in M. Chopin's inspirations the sign of a formal renaissance that could eventually exercise enormous influence upon this branch of art.

. . . M. Chopin played a concerto that surprised listeners as much as it pleased them both because of the novelty of its melodic ideas and because of its virtuoso passages, its modulations, and its larger structural organization. There is vitality in his melody, fantasy in his passage-work, and originality in everything. Too many colorful modulations, so much confusion in linking phrases that it sometimes seems as though one is hearing an improvisation rather than a written composition – these are the imperfections that are found intermingled with the virtues I have just mentioned. But they are imperfections of the youthful artist, and they will disappear as he gains greater experience. Indeed, if M. Chopin's subsequent works fulfill the promise of his debut, we can be sure that he will enjoy a brilliant and well-deserved reputation.¹¹⁷

I shall now address that which Fétis complains about: "so much confusion in linking phrases that it sometimes seems as though one is hearing an improvisation rather than a written composition." (Perhaps what Fétis perceived in 1832 was akin to that which William Rothstein diagnosed in 1989: "If Chopin's rests are potentially confusing, his slurs are an analytical minefield.")¹¹⁸ Keeping in mind that while we do not have an

¹¹⁷ "The Concert of M. Chopin from Warsaw," in *Strunk's Source Readings in Music History*, Leo Treitler, General Editor (New York, 1998), 1123-4.

¹¹⁸ William Rothstein, *Phrase Rhythm in Tonal Music* (New York, 1989), 220.

account of the soirée's entire program, we do know that Chopin had played the E-minor concerto. Indeed, the work's "larger structural organization" had clearly made its impact. What we learn from Fétis is that those components he relates to Chopin's improvisatory style were heard as "imperfections of the youthful artist that will disappear as he gains greater experience" – perhaps an element of the perceived "originality in everything." Even more significant to my discussion, Chopin's "confusion in linking phrases" is, to Fétis, causally related to the sound of Chopin's improvisatory style. In that analytical minefield of Chopin's phrasing lies the jewel of Chopin's improvisatory style: its deception. How illuminating, then, is Fétis's language, for it is the "désordre dans *l'enchaînement des phrases* [italics mine]" that is one of the most striking structural and improvisatory traits of the *Berceuse*.¹¹⁹

It is no less curious to observe that Chopin, while "acclaimed as an artist promising of the very best," had received a similar comment about his performance style in the anonymous review of his Vienna debut three years earlier. After informing us that Chopin "accentuates only gently, like a person conversing in the company of cultured people, avoiding that rhetorical aplomb considered indispensable amongst virtuosos," the critic adds, "The young man's playing revealed inadequacies, indeed significant ones, perhaps most noticeably his inobservance of the accent marking the beginnings of new musical lines [*Constructionen*]." ¹²⁰ Indeed it seems that the anonymous Vienna critic and Fétis are complaining about the same feature of Chopin's performance style: what

¹¹⁹ Jean-Jacques Eigeldinger, *Chopin Vu Par Ses Élèves* (Neuchâtel: Editions de la Baconnière, 1979), 328. For a discussion of the *Berceuse*'s seamlessness, see Chapter 1, Table 1 and Example 3.

¹²⁰ Anonymous, *Wiener Theaterzeitung*, 20 August, 1829. Unsigned, this review is sometimes attributed to Adolf Bäuerle, then director of the *Wiener Theaterzeitung*. Quoted in Eigeldinger, CPT, 288-289.

happens between the phrases. The Vienna listener craves demarcation at the beginnings of phrases, and Fétis hears “*désordre dans l’enchaînement*” between the phrases. Is it possible that his audience heard, at times, a phrasing akin to this?



Is it possible Chopin’s Vienna critic desired a rendition more along the lines of this?



Given the overlap of phrase function (as indicated by slurs) that so pervades Chopin’s music, the refined nuance of his playing, and even the “conjunct” phrase notations in his hand (for example in MS 231 at m. 47, 48 and 55), it is rather questionable to ponder that, as Fétis had hoped, this was an element of performance that “would disappear as Chopin gained greater experience.”¹²¹ Quite to the contrary, one must consider, first, the likelihood that this feature only developed into an even more highly refined nuance as Chopin matured, for the inflection of his playing certainly resulted in enraptured responses among his listeners; and second, that this complaint – the “*enchaînement*” – was heard as one of the most important features of his creative style –

¹²¹ On Chopin’s phrase function, see Rothstein, *Phrase Rhythm*, 214-248. On nuance, see Eigeldinger, CPT, 42-45, 56-57. On Chopin’s phrase notations in MS 231, see Chapter 2, Section B(3e) and this chapter, Section B. For a discussion of Chopin’s “outmoded” notational features in the concerti, see Rink, “Les Concertos de Chopin,” 69-88.

not only in his composition but also his playing.¹²² My attention is drawn to the immediate impact this quality had in Chopin's time, and the question of how we, as pianists, convey it. What we learn from the first generation of recorded pianists is that rubato, used in conjunction with the inflection of tone, texture and the pedal is one of the most significant means for concealing or exposing the linking of phrases and sections, and for thus heightening the expectation and deception so crucial to the improvisatory style of the *Berceuse*. What we also hear so conspicuously in the first generation's performances is the phrase as an indication of the rhetorical, which, as we observed in Chapter 2, was just as Chopin taught.¹²³ Therefore, rubato, in Chopin is one of the chief means through which we convey the structural and rhetorical functions of a phrase and as Paderewski explains, is one of the liberties by which we infuse life into the mould and make the piece ours.

Before further addressing the significance of the statements in Fetis's first paragraph, I want to relate Paderewski's concept as well as the textual liberties that we hear in the pianists' performances to Liszt's teaching of Chopin's music. Liszt took the pianist's creative role even further, and as he was one of the chief exponents of Chopin's music from 1837 onward, the account of his student Alfred Reisenauer (1863-1907) invites our attention. Here is Reisenauer's description of a lesson with Liszt on Chopin's *Waltz Op. 69, no. 1*:

Sit at the piano and I will indicate the general plan pursued by Liszt at a lesson: . . .

¹²² For accounts of the nuance in Chopin's playing, see Eigeldinger, *CPT*, 56-57, 289-295.

¹²³ See Chapter 2, Section 3(a). See also Eigeldinger, *CPT*, 42-44.

“First of all we must arrive at the very essence of the thing; the germ that Chopin chose to have grow and blossom in his soul. It is, roughly considered, this:



Chopin's next thought was, no doubt:



But with his unerring good taste and sense of symmetry he writes it so:



Now consider the thing in studying it and while playing it from the composer's attitude. By this I mean that during the mental process of conception, before the actual transference of the thought to paper, the thought itself is in a nebulous condition. The composer sees it in a thousand lights before he actually determines upon the exact form he desires to perpetuate. For instance, this theme might have gone through Chopin's mind much after this fashion:



[We note that the intervallic sequences of the fioritura and its subsequent rest reveal the signature of the Waltz's new author.]

The main idea being to reach the embryo of Chopin's thought and by artistic insight divine the connotation of that thought, as nearly as possible in the light of the treatment Chopin has given it.

It is not so much the performer's duty to play mere notes and dynamic marks, as it is for him to make an artistic estimate of the composer's intention and to feel that during the period of reproduction he simulates the natural psychological conditions which affected the composer during the actual process of composition. In this way the composition becomes a living entity – a tangible resurrection of the soul of the great Chopin. Without such penetrative genius a pianist is no more than a mere machine and with it he may develop into an artist of the highest type."¹²⁴

Liszt in his teaching and the first generation of recording pianists demonstrate the same principle: Chopin's work is a malleable entity we may make our own, infusing it with our voice through rubato ("the breath of inspiration") combined with touch, tone, texture and pedal, and our "re-creation" of the text. Chopin's improvisatory style is the doorway through which Chopin gestures us in. Indeed, Liszt teaches that the process of making Chopin's music our own creation is an expression of our aspiration as artists of the highest type. This calls to mind the reputation that the young Chopin so consciously sought to establish in Paris, as he expressed in a letter to his Warsaw mentor and former teacher Józef Elsner shortly after his Paris debut:

In my view, so far as making a name in the musical world is concerned, *he is a lucky man who can be both composer and [actor] at the same time*. I am already known here and there in Germany as a pianist; a few musical papers have mentioned my concertos and have expressed the hope that I shall shortly be seen as taking my place among the leading exponents of my instrument. . . . Today I have before me a unique opportunity of realizing the promise that is within me [emphasis mine].¹²⁵

Chopin's statement is part of a long and strong letter in response to Elsner who was trying to persuade Chopin to pursue the composition of opera. The word "*aktem*" has

¹²⁴ Cooke, *Great Pianists on Piano Playing*, 227-229.

¹²⁵ Hedley, *Selected Correspondence*, 103. Chopin's letter, written from Paris, is dated 14 December 1832.

often been translated as “executant,”¹²⁶ which conveys the words “pianist,” “performer” and, if you will, all the traits of eighteenth century execution: articulation, phrase, rhetoric and affect. Given Chopin’s inherited keyboard tradition, there is certainly a valid context in Chopin’s world for the word “executant.” However the Polish word “*aktem*” translates as “actor.” I suggest that by forcing its translation closer to the musical world we subtract from its meaning and therefore encumber our understanding of what Chopin was saying. (Chopin after all uses the word “*pianista*” [pianist] and “*wirtuoz*” [virtuoso] twice each, in the same paragraph.) Perhaps Chopin means to suggest that he has the ability to be both the composer and the one who takes on the role in performance of recreating, bringing to life through interpretation the invention that he has already composed, just as an actor brings to life a pre-made character. Of course, the character’s existence and his every characteristic depend ultimately upon the actor. In his essay “Analysis and the Act of Performance,” Rothstein draws a similar analogy:

Instrumentalists too often forget something which most singers know instinctively: musical performance is, by its very nature, a species of acting. It is the performer who controls the way in which virtually every aspect of the work is conveyed to the listener.¹²⁷

In this perspective the word “actor” may include, yet quite simply embodies so much more than the word “executant.” And it is, after all, what “*aktem*” means. Indeed, the significance of literature and drama in Chopin’s early years must not be underestimated:

¹²⁶ Hedley translates “*aktorem*” as “executant” in *Selected Correspondence*, 103. This translation also appears in Pierre Azoury, *Chopin Through his Contemporaries: Friends, Lovers, and Rivals* (Westport: Greenwood Press, 1999), 62. Opieński translates the word as “actor” in Henryk Opieński, *Chopin’s Letters* (New York: Alfred A. Knopf, 1931, reprint New York: Vienna House, 1971). I have chosen to cite Hedley as the main source for the flow of the passage in its translation.

¹²⁷ William Rothstein: “Analysis and the Act of Performance” in *The Practice of Performance: Studies in Musical Interpretation*, ed. John Rink (Cambridge: Cambridge University Press, 1995), 237.

his close affiliation with the Polish writers Bohdan Zaleski, Stefan Witwicki and Maurycy Mochnacki, who visited the Chopin salon in Warsaw, the latter of whom played duets with Chopin; his attendance at the theater during his youth; his love of opera (one of the factors that inspired Elsner's suggestion to Chopin in the first place, and the subject of their correspondence), and Chopin's constant admiration for and reference to singers.¹²⁸ The consequence of Chopin's chameleon-like inter-mingling of these two faces – composer and actor – is, I suggest, our present-day difficulty in determining, in Chopin's music, who has more say: Chopin the composer or Chopin the pianist; the consequence for Chopin is, of course, his vision: “the lucky man.”

Chopin's projected image of himself, simultaneously the composer and actor, is mirrored by the principles expressed by Liszt's teaching of Chopin, as it is by the performances of the first generation of recording pianists. Indeed, Chopin's image, composer as actor, reflects the essence of the improvisatory nature of his music, the malleability of which is brought to life through the voice, breath and hand of its re-creator, and most of all, through the talent, craft, and aesthetic of the pianist as improviser. In this way no two pianists will sound alike – just as Chopin, in his playing,

¹²⁸ The significance of literature and drama in Chopin's early years should not be under-estimated. For Chopin's attendance at the theater in Warsaw, see Samson, *Chopin*, 18; on writers visiting the Chopin salon, see Samson, *Chopin*, 21. For the growth of musical institutions in Warsaw and their impact on the young Chopin, see Goldberg, “Musical Life in Warsaw.” Goldberg discusses the circumstances in which Elsner and his colleague Wojciech Boguslawski created Warsaw's School of Drama, “primarily to train singers for the National Theater in Warsaw” (p. 51); see also 48-79 for a discussion of Chopin's education. Chopin's letter to his close friend Jan Matuszyński in Warsaw (Vienna, 26 December, 1830) clearly portrays the young composer's focus on the *dramatic* aspects of opera: “Fräulein Heinefetter is almost completely lacking in feeling; a voice, such as I do not often hear, every note so cold that I almost got my nose frostbitten while sitting in the front row near the stage. [Notice where the young opera lover is sitting.] Off the stage she is pretty, especially in masculine dress. In Othello she is better than in the Barber, in which, instead of a lively, innocent young girl in love, she has to represent a thoroughly practiced flirt. In Mozart's Titus, as Sextus, she is charming; in The Crusader also. She will soon appear in the Magpie: I am curious to see. Wolkow understood the Barber better; if only she had Heinefetter's throat.” (Quoted in Opienski, *Chopin's Letters*, 132.) For similar references, see also Hedley, *Selected Correspondence*, 100, 101, 104 and Eigeldinger, CPT, 44-45, 110-111. This passage, however, is omitted in Hedley.

never sounded the same twice. On the other hand, this is the element the pianists, and Chopin, have in common. The proclamation of Fétis rings true: Chopin's music is music for pianists. To be sure, the inspirations of Chopin – composer, pianist and improviser – have enormous influence upon the pianists, and the piano music of musical art.

CHAPTER 4

CONCLUSION

What emerges from this study is an image of Chopin, at once the composer, pianist and improviser. Chopin brought the attitude of an improviser to both composition and performance. His improvisatory approach permeates every aspect of his creative being: it is evident in the “versions” and “revisions” of his manuscripts and the different versions, simultaneously published, of the same piece; in his pedagogy through annotations in students’ scores; and, as we learn from contemporary accounts, in his lessons and in his playing. His enthrallment with the transformation of what exists through memory and touch lies at the essence of his improvisatory style.

The organizational layout of the Berceuse’s sketch, the work’s nature as ostinato variations, its use of texture and sonority, and its nature as an entity structured upon absence, memory and deception reveal that Chopin’s conception of the work is grounded in the eighteenth-century improvisatory tradition. It should be noted here that the concept of the improvisatory genre and that of a defined structure are by no means mutually exclusive. Quite to the contrary, the literature of music offers much evidence that composers such as Mozart, Beethoven, Schumann, and Chopin viewed the fantasie not only as a most sophisticated genre, but one that was highly structured. Indeed, each of their fantasies comprises quite distinct characteristics, particularly in terms of structure. Perhaps this is a reflection of the genre’s rhetorical language whose bases are imagination, memory, and deception, for these are elements that may function at the fore in a multitude of textures, sonorities, and forms.

The concise nature of the Berceuse exposes Chopin as a composer and pianist who engaged in the utmost precision in his markings. His notations (slur, pedal, and hairpin) are as indicative of their expressive context within the phrase structure, as they are of their structural context within the work. Further, his markings indicate with intricate detail all the qualities that shaped his playing: the function of his phrase (the long line, the decorative, the parenthetical, the rhetorical); the nuances of his slurs, not only of the long slur but between two notes; the sonorities beyond the notes (through tone, legato and the pedals); the vocal and speech-like qualities (*cantabile*, *bel canto* and *parlando*), and rubato. Indeed, we learn that Chopin's fingering can not only represent the hand position, but also tone, legato, the vocal shape of a line, and rubato. His pedal markings in the coda reveal a composer-pianist interested in the use of sonority as a contrapuntal entity, and his sensitivity to the array of sounds that he could produce through his beloved instrument, the Pleyel. Both his phrase and pedal markings indicate that often a hierarchical principal will prevail. We learn that at times he made deletions, not necessarily because he had discarded an idea, but because he did not want to be misunderstood in his notations. Significantly, he ceased to indicate rubato in his scores for this same reason. The changes, shorthand, omissions and deletions reveal as much about his pianistic style as they do about his process of composition.

We are not surprised that Chopin's teaching exposes the portrait of a pedagogue who is as concerned with the overall shape of a work as with the smallest details. We recall Mikuli's words: "[Chopin] conveyed his meaning by repeatedly playing not just single passages but whole pieces, and this with a conscientiousness and enthusiasm that

listeners in a concert hall could not have had the opportunity of hearing.”¹ Significantly, Chopin’s annotations in students’ scores and the accounts of his students reveal that his lessons were clearly inspired by the spontaneous approach of his improvisatory spirit, and the intricate details through which this spirit may emerge.

We are left with the strong impression that music for Chopin truly was a living language, as he referred to it in his *Méthode*: “*l’expression de la pensée par les sons*” and “*la langue indéfinie de l’homme.*”² As such, his playing may indeed be likened to “speaking the piece of music.”³ No doubt an essential component of the composer-pianist’s creativity was his inspiration to “speak” the work somewhat differently the next time. It is perhaps through this window that we might consider Chopin’s playing as “the improvisation of a poem” which left his listener “under a spell for as long as it lasted.”⁴ And it is with this sense, I suggest, that we approach Chopin’s score: not as a museum piece cast in stone, but as a malleable mould ripe for its transformation in our own hands.

Our challenge is twofold. First, while we study in depth the changes Chopin notated in his manuscripts, or, should I say, the changing faces of Chopin’s scores, we must keep in mind the larger context of his improvisatory sense of the music in his hands. The second, perhaps greater challenge, is to unlearn what has been such a rigorous part of our musical training: that ideal of the *Urtext*, the notion that there exists a final “version” of every work of art; that sense of “perfection” ingrained by the experience of the

¹ Mikuli, *Vorwort*, 4. Quoted in Eigeldinger, CPT, 44. See also Chapter 2, Section B(3a).

² Frédéric Chopin: *Esquisses pour une méthode de piano*, ed. Jean-Jacques Eigeldinger (Mayenne, 1993), 48. Quoted in Samson, *Chopin*, 55. See also Chapter 2, Section B(3(a)).

³ Eigeldinger, CPT, 14. See also Chapter 2, Section B(3a).

⁴ C.E. and Marie Hallé, *Life and Letters*, 34. Quoted in Eigeldinger, 271. For full citation, see Chapter 1, Section A.

conservatory “jury,” the modern-day piano competition, the effect of recording industry; indeed, perhaps the present-day experience of the concert hall itself. It is here useful to recall Berlioz’ account of Chopin’s playing:

Chopin’s talent is of an entirely different nature [from Liszt’s.] *In order to appreciate him fully, I believe he has to be heard from close by, in the salon rather than the concert hall, with all preconceived notions put aside, as these would be inapplicable to both him and the music.* An interpreter and composer, [we recall here Chopin’s letter to Elsner] Chopin is an artist apart, bearing no point of resemblance to any other musician I know.⁵

Berlioz’ perception is confirmed by Chopin in his advice to his talented student Emilie Gretsck: “Concerts are never real music; you have to give up the idea of hearing in them the most beautiful things of art.”⁶

If we are to re-consider our own teaching of Chopin’s music, we must take into account Chopin’s insistence to his students that they not practice for more than three hours per day. As Camille Dubois informs us:

He feared above all . . . the *abrutissement* [stupefaction by overwork] of the pupils. One day he heard me say that I practiced six hours a day. He became quite angry, and forbade me to practise more than three hours.

We learn indeed that Chopin’s first priority was mental concentration. He opposed “a twenty-fold or thirty-fold repetition,” which “does no good at all” – the mainstay of as many pianists, today, it seems, as in Chopin’s time.⁷ Rather, he advised that the first

⁵ Hector Berlioz, “Concerts,” 15 December 1833. Quoted in Eigeldinger, CPT, 272. See also Chapter 1, Section A. My reference to Elsner refers to Chopin’s letter dated 14 December 1832, discussed in Chapter 3, Section. D. See Hedley, *Selected Correspondence*, 103.

⁶ Grewingk, *Eine Tochter Alt-Rigas*, 19. Quoted in Eigeldinger, CPT, 110.

⁷ Mikuli, Vorwort, 6. Quoted in Eigeldinger, CPT, 27.

priority was mental concentration, he forbade over-practice, and insisted that the student take breaks by “reading a good book, looking at masterpieces of art, or by taking an invigorating walk.”⁸

His students’ views reflect his own recital preparation, as indicated by his letter to his friend Titus Woyciechowski prior to his Vienna début in 1829:

Three *Instrumentenmacher* wanted each to put a huge piano [panteléon] at my disposal. I thanked them and refused, for my room was too small; anyway, these few hours of practice wouldn’t have been much use, since I was to play forty-eight hours later.⁹

I know of no pianist who would turn down the opportunity to practice for the two days preceding a début. If we now bring these thoughts into the context of a lesson with Chopin, in which we find the precept of a constantly renewed interpretation, then we must truly reconsider our own pianistic and pedagogical principles. The matter goes beyond one of having several interpretations at hand, although that would not be a bad place to start. Chopin was clearly a pianist for whom the clarity, thoughtful creativity and the spontaneous inspiration of his mind were as important to his performance as his facility in execution. He believed in these principles so strongly that he applied them firmly in his teaching. This approach requires us to explore Chopin and his music, but just as much to reflect upon the nature of our own artistry. From a pedagogical point of view, we may do well to consider Chopin’s precepts in our training of pianists as artists. In such consideration, I pose the following questions: Do we train our students in one or two interpretations, or do we offer the inspiration of the moment, and teach the student

⁸ Grewingk, *Eine Tochter Alt-Rigas*, 20. Quoted in Eigeldinger, CPT, 27.

⁹ *Korespondencja*, ed. Sydow and Miketta, I, 104. Quoted in Eigeldinger, CPT, 94. See also Hedley, *Selected Correspondence*, 32.

how to find the same? Do we set an example of that inspiration of the moment through our demonstrations in the lesson, our discourse, and our performances? In the music school, what is our response when a performer plays a work markedly differently from those performances we customarily hear? (We recall, indeed, that there were significant aspects in Chopin's playing that were new in his time. Indeed, Chopin "interpreted Mozart and Beethoven with the feeling of Chopin.")¹⁰

In performance, do we consider venues somewhat more intimate than the concert hall, which might foster the poetic in piano playing, as opposed to dazzling virtuosity (or dazzling poetry)? Do the ideals of our educational curricula embrace that sense of freedom in which an individual point of view might speak at the piano? Do we teach improvisation? Do we practice improvisation – a craft, as we learn from Niedt and Mattheson, that requires practice? Do we recognize that teaching improvisation will bridge a (currently neglected) connection to the past by enabling the pianist to express himself as the creator? We must thus keep in mind those elements that we learn from Chopin's inherited tradition. What we learn from the field of rhetoric is that the art of improvisation lies in the memory of the creator, the memory of the hand, and the perception of the listener. The ability of memory to co-exist in the past, present and future is the improvisatory genre's beauty and its tool. Indeed, it is in the craft of improvisation that we locate, through the imagination, memory, and deception, the innate ability to transform the present into the absent, and the absent into the present. These are the unnotated entities that constitute the essence of Chopin's improvisatory style.

Where are we to find that balance between our humility toward Chopin's score and the voice of our improvisatory spirit? Of course, we spend a large part of our

¹⁰ Mathias, Preface. Quoted in Eigeldinger, CPT, 277.

creative lives pursuing the meaning of the score. Undeniably, that is a significant component of our art. Indeed, as this study has shown, Chopin's score, inclusive of the emendations in his hand, is the looking-glass that exposes not only the intricate details of the work, but Chopin the composer, the pianist, and the improviser. But to seek the "*Ur-text* Chopin," to view his music as "notated versions," to strive toward an ideal edition that identifies a work's genesis through every available "revision," and to not take into account the essence of Chopin's improvisatory being is to neglect the voice of Chopin's improvisatory spirit. Indeed, that spirit is one that transcends genre.¹¹ The ultimate paradox, perhaps, is that Chopin's improvisatory spirit lives, among other places, at the heart of his text. How then shall we, as pianists, scholars, pedagogues, and thinkers, grasp and reveal it?

This dissertation has demonstrated that Chopin's work is the malleable entity we may make our own, infusing it with our voice through rubato ("the breath of inspiration") combined with touch, tone, texture and pedal, and our "re-creation" of the text. Chopin's improvisatory style is the door through which Chopin gestures us in: it is up to the pianist to join him. We may here call upon the words of Heinrich Heine, who spoke of "the highest in art" as that which "reveals the performer standing on the same free spiritual heights as the composer."¹² That Chopin, composer, pianist, and improviser, shared – indeed fulfilled – this vision, there can be no doubt. The continuing fulfillment of such vision lies in our hands.

¹¹ See Chapter 1, Section A.

¹² Henri [Heinrich] Heine, *Lutèce. Lettres sur la vie politique, artistique et sociale de la France*, 2nd ed., (Paris: Lévy frères, 1855), Article LV, March 20 1843. Quoted in Wolff, *Schnabel's Interpretation*, 15.

EPILOGUE

Be bolder, let yourself go more . . . Imagine you're at the Conservatoire, listening to the most beautiful performance in the world. Make yourself want to hear it, and then you'll hear yourself playing it right here. Have full confidence in yourself; make yourself want to sing like Rubini, and you'll succeed in doing so. Forget you're being listened to, and always listen to yourself . . . When you're at the piano, I give you full authority to do whatever you want; follow freely the ideal you've set for yourself and which you must feel within you; be bold and confident in your own powers and strength, and whatever you say will always be good.¹³

Fryderyk Chopin

¹³ Grewingk, *Eine Tochter Alt-Rigas*, 10-11. Quoted in Eigeldinger, CPT, 12. This passage comes from a letter (April 30 1844) of Chopin's gifted student Emilie von Gretsck, who describes a lesson with Chopin on the Nocturnes.

APPENDIX A1

THE SKETCH

The image shows a page of handwritten musical notation. At the top, there is a large, dark ink blot or scribble that partially obscures the beginning of the first staff. Below this, the page is filled with several staves of music. The notation is dense and appears to be a form of shorthand or a specific musical dialect. The staves are numbered 1 through 6, and there are some additional markings and symbols throughout the score. The paper is aged and shows some wear, particularly around the edges and the ink blot.

This image shows a page of handwritten musical notation on five staves. The notation is dense and includes various symbols, including what appears to be a treble clef on the top staff, vertical stems, and horizontal lines. There are several large, dark scribbles, particularly on the right side of the page, which obscure some of the underlying notation. The handwriting is somewhat messy and appears to be a working draft or a sketch. The page is numbered '254' in the top right corner.

APPENDIX A2

MS 115

This image shows a page of handwritten musical notation, likely a score for a string ensemble or orchestra. The page is oriented vertically but contains three systems of staves arranged horizontally. Each system consists of multiple staves with musical notes, rests, and other symbols. The notation is dense and appears to be a working draft or a manuscript. At the bottom of the page, there are three circled numbers: 9, 17, and 21, which likely correspond to measure numbers or system markers. The paper shows signs of age and wear, with some dark smudges and a slightly uneven texture.

The image displays a page of handwritten musical notation, organized into four systems of staves. Each system is identified by a circled number at the bottom: 25, 29, 33, and 37. The notation is dense and includes various musical symbols such as notes, rests, and beams. Dynamic markings like *lento* and *poco* are present throughout the score. A circular stamp, likely from a library or archive, is located in the upper right quadrant of the page. The overall appearance is that of a historical manuscript or a high-contrast scan of a printed score.

This image shows a page of handwritten musical notation on four staves, numbered 41, 45, 51, and 57. The notation is dense and appears to be a complex piece of music, possibly for a string ensemble or orchestra. The staves are arranged vertically. Staff 41 (top) features a large, dark, scribbled-out section on the left side. Staff 45 has a similar dark section on the left. Staff 51 and 57 contain more legible notation, including notes, rests, and dynamic markings. The word "piano" is written below staff 51. The word "pizzicato" is written below staff 57. The page is framed by a thick black border, and there is a faint circular stamp on the right side.

APPENDIX A3

MS 231

MS 234

Andante

Handwritten musical score for MS 234, marked *Andante*. The score is organized into four systems of staves. The first system features a large blacked-out section. The second system is marked with the number 12. The third system is marked with the number 20. The fourth system is marked with the number 24. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'p' and 'pp'.

Handwritten musical score for piano, measures 28-40. The score is written on five staves. Measure 28 includes the instruction *partenza p. ped.* and *lento*. Measure 32 includes the instruction *lento*. Measure 36 includes the instruction *lento*. Measure 40 includes the instruction *lento*. A circular stamp is visible in the upper right quadrant of the page, containing the text "BIBLIOTECA" and "MUSEO".

APPENDIX A4

MS 10809

Chopin

Handwritten musical notation on two staves, measures 1-7. The notation includes various note values, rests, and bar lines.

Handwritten musical notation on two staves, measures 8-13. The notation includes various note values, rests, and bar lines.

(8)

Handwritten musical notation on two staves, measures 14-19. The notation includes various note values, rests, and bar lines.

(14)

29450
MAY 19 1950

D. 10809

The image shows a handwritten musical score on three systems of staves. Each system consists of two staves. The notation is dense and appears to be a form of shorthand or a specific dialect of musical notation. The first system is labeled with a circled '19' at the bottom. The second system is labeled with a circled '22' at the bottom. The third system is labeled with a circled '25' at the bottom. The paper is aged and shows some staining and wear.



Handwritten musical notation on a five-line staff. The notation includes various note values, rests, and accidentals. A circled number "27" is written below the staff. The music appears to be in a common time signature.

27

Handwritten musical notation on a five-line staff. The notation includes various note values, rests, and accidentals. A circled number "28" is written below the staff. The music appears to be in a common time signature.

28

Handwritten musical notation on a five-line staff. The notation includes various note values, rests, and accidentals. A circled number "29" is written below the staff. The music appears to be in a common time signature.

29

The image shows a page of handwritten musical notation on three systems of staves. Each system consists of two staves. The notation is dense and appears to be a complex piece of music, possibly for a string quartet or similar ensemble. The first system is marked with a circled number '36' at the bottom. The second system is marked with a circled number '37' at the bottom. The third system is marked with a circled number '41' at the bottom. There are some markings above the first staff of the first system, including a bracket and the word 'arco'. In the upper right corner of the page, there is a faint, circular stamp or seal.

APPENDIX A5

MS 10810

Basso continuo di Clapham

A handwritten musical score for basso continuo, consisting of ten staves. The notation is dense and includes various rhythmic values and accidentals. Measure numbers 9, 15, and 19 are circled at the bottom of the staves. A 'C' time signature is visible above the sixth staff. The manuscript shows signs of age and wear.



D. 10510

Handwritten musical notation on five staves, numbered 22 to 26. The notation is dense and appears to be a form of shorthand or a specific musical notation system. Each staff begins with a clef-like symbol and a time signature. The notes and rests are represented by vertical stems and horizontal lines, with some additional markings that could be flags, beams, or ornaments. The staves are arranged vertically on the page, with the numbers 22, 25, 24, 23, and 22 (repeated) written in small circles below each staff.

Handwritten musical score on four systems of staves, numbered 37, 39, 41, and 43. The notation includes complex rhythmic patterns and dynamic markings such as "lao" and "p".



The image shows a page of handwritten musical notation on five systems of staves. The notation is dense and appears to be a complex piece of music, possibly for a string instrument or a small ensemble. The staves are numbered with circled numbers: 48, 53, 54, and 56. The notation includes various note values, rests, and dynamic markings. The handwriting is somewhat stylized and the ink is dark. The page is otherwise blank, with the musical notation occupying most of the space.

APPENDIX B

COMPARISON OF EDITIONS

AND PERFORMANCES

APPENDIX B**COMPARISON OF EDITIONS AND PERFORMANCES**

The pianists' editions are aligned system-by-system under MS 231 and the 1845 Meissonnier edition. Each system contains my notations of the pianists' performances.

SYMBOLS:

- ' ↓ Octave doubled
- ↓ One octave lower
- ^ One octave higher
- ▷ Delayed
- L Late
- (Broken
- TIME Takes time
- ◌ Comma
- Circle highlights performance that accords with edited notation or my markings in same area
- ⊗ Not performed, or notes are changed (applies to pitch and pedal markings)
- #/! Applies to long hairpin not performed
- [] Brackets surround my notations of the pianists' performed hairpins.

MM. 1-11

CHOPIN
MS 231

MEISSONNIER
1845 PIA. 30

Andante
dolce

BRISK tempo $\text{♩} = 120$

Andante
dolce

agogic emphasis 2nd beat

LESS volume

FRIEDMANN
Ed. 1912
Rec. 1928

OPINING $\text{♩} = 138$

Andante $\text{♩} = 120$

slight emphasis 2nd beat

dim

GODOWSKY
Ed. 1923
Rec. 1924

OPINING $\text{♩} = 120$

Andante $\text{♩} = 120$

slight emphasis 2nd beat

dim

PACHMANN
Ed. 1937
PIANO

Andante

EMPHASIS 2ND BEAT

dim

CORTOT
Ed. 1936
Rec. 1920

IMPOSSIBLE TO DETERMINE BEAT opp $\text{♩} = 108$

Andante

rit

PADEREWSKI
Ed. 1947
Rec. 1922

VERY UNSTEADY $\text{♩} = 126$

Andante

agogic emphasis 2nd beat

MM. 20-23

CHOPIN

MEISS

PIRGALIS

FRANKE

GODWISACK

FAC-MANN

CHERIE

PATSKREWSKI

M.M. 28-31

The image displays a page of a musical score, likely for piano, consisting of multiple systems of staves. The score is written in a complex, dense style with many notes and rests. Various performance markings are present throughout the piece, including:

- MELISSONNIER**: Marked above the first system.
- PICAD**: Marked above the second system.
- MORE SORD**: Marked above the third system.
- FRIEDMAN**: Marked above the fourth system, with *rit* and *stato acceler* markings.
- GODOLSKY**: Marked above the fifth system, with *1 fine* marking.
- PROCHMAN**: Marked above the sixth system, with *rit* and *meno mosso* markings.
- COFFERT**: Marked above the seventh system, with *meno rit* marking.
- PROCHMAN**: Marked above the eighth system, with *meno rit* and *stato acceler* markings.

The score includes various musical notations such as notes, rests, beams, and dynamic markings. The page number '279' is located in the top left corner, and the tempo/mood marking 'M.M. 28-31' is in the top right corner.

MM. 32-35

MUSICAL SCORE FOR MEASURES 32-35. The score is arranged in two systems. The first system includes parts for MEISS, AUGHNO, FRIEDMAN, GODUNSKY, PA CHIMNIN, and GORTOST. The second system includes parts for PADRE MAKI. The piano accompaniment is shown in grand staff notation. Various musical markings such as *Andante*, *Allegretto*, *Allegro*, *Andante*, *Allegretto*, and *Allegro* are present. The score includes vocal lines with lyrics and piano accompaniment. Measure numbers 32, 33, 34, and 35 are clearly marked at the beginning of each system.

Mm. 36-39

The musical score is arranged in two columns. The left column contains the staves for Meis, Avard, Friedmann, and Godousky. The right column contains the staves for Pachmann, Concerto, and Moroski. The score includes various musical notations such as notes, rests, and dynamic markings like 'dim', 'poco more', 'molto rit', and 'piu mosso'. There are also performance instructions like 'performis tremolos' and 'light pedal'. The score is numbered with measures 36, 37, 38, and 39.

Mm. 40-42

This page contains a musical score for measures 40 to 42. The score is arranged in two systems, each with two staves per instrument. The instruments are: MEISS, PUGNO, FREEMAN, GOMOUSY, PACHMAN, GURDY, and BADEROSKI. The notation includes various musical symbols such as notes, rests, and dynamic markings. Handwritten annotations include "accel and ease" above the PUGNO staff, "accel" above the FREEMAN staff, and "dim-ess-tt" above the GOMOUSY staff. The score is written in a standard musical notation style with a key signature of one flat and a common time signature.

MM. 43-45

MEISSNER

PUGNO

FRIEDMAN

GODAVSKY

MACMANN

CORTOT

PADRENSKI

PADRENSKI

fluctuates sound as if minimalist pedal.

> pedal bracket represents sound of Friedman's release of pedal.

less pedal

Mm. 46-51

The image displays a page of musical notation for piano, covering measures 46 to 51. The score is organized into systems, each corresponding to a different composer or piece:

- MEISS:** The first system shows a complex texture with multiple voices and dynamic markings like *pp* and *mf*.
- PUGNO:** The second system features a *leggiere* (light) texture with *ritardando* and *time* markings.
- FRESCOBALDI:** The third system includes *molto al* and *molto meno mosso* markings, with a *ritardando* section.
- BACH:** The fourth system shows a *molto meno mosso* tempo with a *ritardando* section.
- PROCHENSKI:** The fifth system includes *meno mosso* and *less ped.* (less pedal) markings, with a *ritardando* section.

The notation includes various musical symbols such as notes, rests, slurs, and dynamic markings. The page is numbered 284 in the top left corner, and the specific measures are identified as Mm. 46-51 in the top right corner.

Mm. 59-70

MESS

AUGO

FRIEDMANN

GOROUSY

PRICHMANN

CORTOT

PAVERENSKI

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BIOGRAPHICAL STATEMENT

Australian pianist Sarah Grunstein performs internationally as soloist. Her career has included concerts in the United States, Hungary, Austria, Italy, the United Kingdom, and her homeland. In celebration of Bach's tri-centenary, Ms. Grunstein's performances of the complete "Well-Tempered Clavier" in London, New York and the Sydney Opera House received wide acclaim. Following her all-Bach recital at the Purcell Room (London), she was invited to perform at Kensington Palace before His Royal Highness, The Prince of Wales.

Born in Sydney, Sarah Grunstein received her early training at the Sydney Conservatorium with Nancy Salas. In the United States, she obtained her Bachelor and Master of Music degrees at the Juilliard School, where she studied with Sascha Gorodnitzki and Herbert Stessin. She also studied with Greville Rother, (assistant to Claudio Arrau), Lev Natochenny (now at the Frankfurt Hochschule), and studied the fortepiano with Malcolm Bilson.

Sarah Grunstein is a winner of the Queen Elizabeth II Silver Jubilee Award for Young Australians. She has taught at the Juilliard School, the Manhattan School of Music, the City University of New York, Fordham University, and the Sydney Conservatorium of Music. She is now Assistant Professor at the College of the Holy Cross in Worcester, Massachusetts.