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WORKS OF THE PERIOD 1796-1802.

City University of New York, Ph.D., 1976  
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THEMATIC UNITY IN BEETHOVEN'S SONATA  
WORKS OF THE PERIOD 1796-1802  
by  
MEIR WIESEL

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Faculty in Music in partial fulfillment of  
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## CHAPTER I

### INTRODUCTION

#### Significance and Objectives

Thematic unity exists in multi-movement compositions from all periods of Western music since the Middle Ages.<sup>1</sup> It is generally assumed, however, that not until the nineteenth century did it become a major stylistic feature evident in the work of almost every composer.<sup>2</sup> It is further supposed that the music of

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<sup>1</sup>David Cerniavsky, "The Pursuit of Unity," The Music Review VIII, No. 1 (February 1947): 3, cites examples of thematic unity from the Renaissance to the twentieth century; Betsy C. Farlow, in "Thematic Unity in Selected Nonprogrammatic Symphonies of the Nineteenth Century," (unpublished Ph.D. dissertation, University of North Carolina, 1969), p. 1, presents a short account of thematic unity before the Classical era; William S. Newman, in The Sonata in the Baroque Era (Chapel Hill: University of North Carolina Press, 1959), pp. 78-79, discusses thematic relationships in Baroque sonatas; Karl Marx, in "Über die zyklische Sonatenform; zu dem Aufsatz von Günther von Noë," Neue Zeitschrift für Musik CXXV, No. 4 (1964): 142-46, cites examples of thematic unity in works by Mozart and Haydn; Robert Haven Schauffler, in Beethoven, The Man Who Freed Music, 2 vols. (Garden City, New York: Doubleday, Doran & Comp., 1929), p. 53, mentions experimentations with thematic unity in the Baroque and Classical eras.

<sup>2</sup>Jan LaRue, in "Significant and Coincidental Resemblance between Classical Themes," Journal of the American Musicological Society XIV, No. 2 (Summer 1961): 224, emphasizes thematic relationships in the nineteenth century as conscious procedures; Günther von Noë, in "Der Strukturwandel der zyklischen Sonatenform,"

Ludwig van Beethoven's so-called second and third style periods marks the beginning of the consistent use of thematic unification as a major device. Discussions of the matter, such as the following by F. H. Shera, usually refer to Beethoven's works written after 1800:

Beethoven's symphonies have a unity of mood which is rarely perceptible in earlier composers. This is sometimes reinforced by the linking of movements--two in No. 5, three in No. 6. Another means of unification is found in the quotation of (a) motifs, in 3,III and 5,III; (b) whole passages, in 5,IV and 9,IV.<sup>3</sup>

Similarly, Joseph Kerman writes:

The interrelationship and the quality of the sequence among the movements of the classic cyclic work was the subject of one of Beethoven's most far reaching reinterpretations of the Haydnesque or Mozartian conception. . . . His earliest music, however, is not the place to study this tendency. In the sonatas, it first becomes a matter of aesthetic importance after 1800; in the symphonies, tentatively with the second; and in the quartets, only after the Op. 18 series.<sup>4</sup>

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Neue Zeitschrift für Musik CXXV, No. 2 (1964): 55-62, describes relationships among the movements of sonatas starting with the Beethoven Sonata Op. 27, No. 1; William S. Newman, in The Sonata since Beethoven (Chapel Hill: University of North Carolina Press, 1969), pp. 141-44, discusses thematic unity in the Romantic era, starting with Schubert; Vincent d'Indy, in César Franck, trans. Rosa Newmarch (New York: Dover Publications, 1965), p. 171, asserts that the employment of thematic unity begins with César Franck.

<sup>3</sup>F. H. Shera, "Symphony," Grove's Dictionary of Music and Musicians, 5th ed., edited by Eric Blom (New York: St. Martin's Press, 1955) VIII, p. 223.

<sup>4</sup>Joseph Kerman, The Beethoven Quartets (New York: A. A. Knopf, 1967), p. 20.

The first objective of this thesis is to show that thematic unity among different movements of a work is a major compositional device in Beethoven's earlier music as well. The year 1796 serves as a terminus a quo for this investigation, since between 1796 and 1800 thematic unity appears as a strong element. The works from 1782-1796 will be surveyed in Chapter III to provide a complete overview of Beethoven's early period.

The year 1802 usually serves as the approximate close of Beethoven's first style period, and has also been chosen as the terminus ad quem for this investigation. Difficulties inevitably arise in any attempt to compartmentalize a continuing artistic development.<sup>5</sup> The rather progressive style of the piano sonatas in comparison to the rest of Beethoven's instrumental works around this time is an obvious example of the potential shortcomings of such arbitrary dating. Nevertheless, this study follows convention in referring to the period 1782-1802 as Beethoven's first style period.

The second objective of this thesis is to investigate in depth the nature of thematic unity in Beethoven's multi-movement works and the means by which he achieved it during this period. Almost the entire literature on the subject is devoted to proving the mere existence of thematic relationships. Since the present investigation seeks to study the nature of the

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<sup>5</sup> See: Charles Rosen, The Classical Style (New York: W. W. Norton, 1972), p. 389; but see: Donald J. Grout,

relationships as well, it must rely on the present writer's own original analyses. Perhaps this new approach will stimulate similar examinations of Beethoven's later music, as well as of the music of the nineteenth century in general.

The term "thematic unity" requires clarification at the outset. Willi Apel, in the Harvard Dictionary of Music, defines cyclic works as ". . . compositions--usually Sonatas or Symphonies--in which related thematic material is used in all or in some of the movements."<sup>6</sup> Since reference to unification in such cyclic works as "cyclic unity" may be ambiguous in view of other meanings suggested by the word "cyclic," the more specific term "thematic unity" has been substituted and will be defined for this study as coherence in a cyclic work, achieved by the use of related thematic material in all or some of its movements.

Thematic unity, as will be seen later, is most often revealed through motivic relationships. Definition of the term "motive" has itself given rise to considerable controversy.<sup>7</sup> This study adopts the approach of Ernst Kurth:

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A History of Western Music, rev. ed. (New York: W. W. Norton, 1973), p. 518.

<sup>6</sup>Willi Apel, "Cyclic, Cyclical," Harvard Dictionary of Music, 2nd ed. (Cambridge, Mass.: Harvard University Press, 1969), p. 217. It should be noted that Apel's dictionary is the first to include an entry for this term. "Cyclic" may refer to a larger work made up of a series of smaller works (especially songs); a composition consisting of several movements; and, finally, a multi-movement work in which the movements are thematically unified.

<sup>7</sup>Edgar Hiester Alden, "The Role of the Motive in Musical Structure," (unpublished Ph.D. dissertation,

Als Motiv ist eine nicht weiter teilbare Bildung, die als geschlossene, charakteristische Einheit . . . in unsere Vorstellung eintritt, dann zu bezeichnen, wenn sie im Verlaufe der Verarbeitung ein Werk oder der Teil eines Werkes beherrscht. . . . Ein Thema selbst kann schon aus mehreren Motiven oder Wiederholungen des gleichen Motivs . . . zusammengesetzt sein.<sup>8</sup>

According to this definition, thematic unity involves both thematic and motivic relationships.

This investigation recognizes the following limits: First, musical elements such as tonality, form, rhythm, harmony, and melody will be considered only in relation to their function as thematic components, though their essential role as independent elements contributing to the unity of a work is fully recognized. This study does not presuppose the presence of thematic unity in all works by Beethoven, nor in every Beethoven sonata.<sup>9</sup> Nor does this investigation assume the presence of the same degree of thematic unity in each work.

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University of North Carolina, 1956), pp. 5-23, presents a good summary of the literature dealing with the subject. This study rejects his final definition, however.

<sup>8</sup>Ernst Kurth, Grundlagen des linearen Kontrapunkts; Einführung in Stil und Technik von Bach's melodischer Polyphonie (Bern: Max Drechsel, 1917), p. 24: "One can call a motive a formation which is not further divisible and which enters our awareness as a closed, characteristic entity . . . if it predominates in the course of the development of a work or part of a work. . . . A theme itself may consist of several motives or repetitions of the same motive . . . "

<sup>9</sup>Such far-fetched conclusions were not seldom arrived at by Beethoven researchers. See discussion on p. 12.

Similarly, the absence of thematic unity in a work is in no way presumed to result in lack of coherence in the piece.

Secondly, the present analysis will not adopt the methods formulated by Heinrich Schenker and his disciples, simply because it deals only with thematic events on the immediate and obvious surface--the "foreground" in Schenkerian terminology.

Thirdly, as the title specifies, the thesis will restrict itself to sonata works only. "Sonata works" here includes all compositions of the multi-movement type of the Classical sonata: symphonies, concertos; trios, quartets, quintets, etc.; and all solo instrumental sonatas.<sup>10</sup> Actually this excludes relatively few of Beethoven's multi-movement instrumental works of this period: song cycles, dances, and variations. Among the Classical forms it is the sonata which employs thematic manipulation most significantly and in which, consequently, thematic unity may manifest itself to the maximum degree.

Finally, this investigation will concentrate on inter-movement relationships only. It will assume no thematic unity where themes are related only within individual movements, a phenomenon not foreign to the Classical sonata and one already thoroughly investigated.

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<sup>10</sup>Concertos are included here because of their basic resemblance to a sonata. See Apel, "Concerto," Harvard Dictionary, p. 122.

Establishing criteria to determine the presence of thematic relationships and evaluate their unifying power presents serious problems. After all, within the melodic language of the Classical style, which abounds in step-wise and triadic motion, there can hardly exist two themes which do not share some intervals. The literature on the subject sets out a variety of different, and often conflicting, approaches and interpretations. Chapter II examines the problem and the solutions presented in the literature and formulates a definitive set of criteria for the presence and evaluation of thematic unity.

Chapter III consists of a detailed account of thematic unity in each sonata work in Beethoven's first style-period. An investigation of general features follows.

Chapter IV details Beethoven's means and techniques of thematic unification as employed during the years 1796-1802, in six exemplary works, all of which exhibit strong thematic unity. My analyses are included here.

Chapter V considers the information revealed by a study of primary sources: letters, accounts, conversation-books, and--most importantly--the available sketch-books.

The collected edition of Beethoven's works has been used for musical references unless otherwise specified.<sup>11</sup>

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<sup>11</sup>Ludwig van Beethovens Werke, 24 series and supplementary volume (Leipzig: Breitkopf & Härtel, 1864-90).

Any standard edition would be suitable for purposes of this discussion, however, since the subject does not involve problems of editing or authenticity.

### The Literature<sup>12</sup>

In 1814, in his essay "Beethoven's Instrumental Music," E. T. A. Hoffman called attention to the extraordinary coherence of the Fifth Symphony: ". . . the connecting links, the constant allusion to the main theme, demonstrate how the great master had conceived the whole and planned it with all its emotional forces in mind."<sup>13</sup> A similar statement appeared in 1890 in the first edition of Grove's dictionary:

...What Beethoven seems to have aimed at was the expansion of the term 'idea' from the isolated subject to the complete whole, so that instead of the subjects being separate though compatible items, the whole movement, or even the whole work, should be the complete and uniform organism which represented in its entirety a new meaning of the word 'idea,' of which the subjects, in their close connection and inseparable affinities, were subordinate limbs. This principle is traceable in works before his time, but not on the scale to which he carried it, nor with his conclusive force.<sup>14</sup>

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<sup>12</sup>The following is an objective account. Evaluation and criticism of the literature appear in Chapter II.

<sup>13</sup>E. T. A. Hoffman, "Beethoven's Instrumental Music," trans. A. W. Locke, The Musical Quarterly III (1917): 129.

<sup>14</sup>C. Hubert H. Parry, "Sonata," A Dictionary of Music and Musicians, 1st ed., edited by Sir George Grove, vol. III, p. 573.

In the nineteenth century, such perceptive attempts to describe thematic unity in Beethoven's works were few and far between. Considering the generally subjective and imaginative character of the literature of the time, this is not entirely surprising. The phenomenon did begin to arouse more interest around the turn of the century: in 1907 Ernest Walker warned against "mere juggling with our imaginations" when discovering similarities between movements.<sup>15</sup> But no studies directly related to the problem exist before 1919. In his analysis of unity in Beethoven's Piano Sonata Op. 110 at that time, Armin Knab described thematic unity in a few earlier piano sonatas as well.<sup>16</sup> Knab's work was followed in the 1920s by that of Hans Mersmann, who emphasized the distinction between "substance" and "idea," an approach also taken up by some later researchers:

Die Einheit der zyklischen Form entsteht einmal von der Substanz, in anderen Fällen von der Idee aus. Der Blick auf die C-dur-Sonate von op. 2 hatte gezeigt, das die Einheit der Substanz die frühere war.<sup>17</sup>

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<sup>15</sup>Ernest Walker, Beethoven, 3rd ed. (London: J. Lane, 1907), p. 156.

<sup>16</sup>Armin Knab, "Die Einheit der Beethovenschen Klaviersonate in As dur, op. 110," Zeitschrift für Musikwissenschaft, 1. Jahrg., Heft 7 (April 1919), p. 388.

<sup>17</sup>Hans Mersmann, "Beethovens zyklisches Formprinzip," Beethoven-Zentenarfeier, internationaler musikhistorischer Kongress (Wien: Universal Edition, 1927), p. 53: "The unity of the cyclic form grows sometimes out of the substance, in other cases out of the idea. The glance at the C-major Sonata from op. 2 had shown that the unity of the substance was the earlier one."

Around the same time, Marc-André Souchay asserted that Beethoven had inserted elements of the variation form into the sonata in order to achieve unity of the whole work.<sup>18</sup>

In 1929, Robert Haven Schauffler presented a first attempt at a thorough discussion of thematic unity through what he called a germ-motive, namely, ". . . a germinal phrase cyclically used to interlock the parts of a sonata or symphony into a unified whole."<sup>19</sup> Following a short account of thematic unity before Beethoven, Schauffler focused on Beethoven's works such as Opp. 13, 18, No. 4, 23 and 36.

Yet another approach was presented in the studies of Walter Engelsmann in the 1920s and 1930s. Engelsmann's philosophy stemmed from Goethe's views on the unity of creation as revealed through the study of plant life. A Beethoven composition became for him a reflection of universal creation on a musical plane. Engelsmann summarized his theory in the following law:

Each sonata or symphony of Beethoven's, throughout all its movements, sections and themes (melodies), is developed from a single chief-theme (work-theme) or from a germ motive.<sup>20</sup>

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<sup>18</sup> Marc-André Souchay, "Zur Sonate Beethovens," Gedenkschrift für Hermann Abert, ed. Friedrich Blume (Halle: M. Niemeyer, 1928), p. 135.

<sup>19</sup> Schauffler, Beethoven, p. 53.

<sup>20</sup> Walter Engelsmann, "Beethoven and the Creative Law in Symphonic Art," The Musical Quarterly XXIII, No. 1 (1937): 56; see also his: "Die Sonatenform Beethovens; Das Gesetz," Die Musik LVII, Heft 6 (1925), pp. 424-431; Beethovens Kompositionspläne, dargestellt in den Sonaten für Klavier und Violine (Augsburg: Benne Filser, 1931).

The importance of Engelsmann's statement lay in his conclusion that thematic unity applied to every Sonata by Beethoven. This approach, often referred to as "monism," was later to become the basis of an entire school of analysis.<sup>21</sup> For some reason, however, Engelsmann's theory did not stimulate immediate interest. Early references to Engelsmann's theory tended to be negative. In 1948 Kurt von Fischer criticized his statement:

. . . zu dieser Behauptung ist zu sagen, dass durch mehr oder weniger gewaltsame Auslassungen, Reduktionen und Zusammenziehungen von Themen und Motiven alles in alles hingedeutet werden kann; theoretisch lässt sich schliesslich jede Melodie auf gewisse motivische Grundformen zurückführen.<sup>22</sup>

Sir Donald Francis Tovey also rejected the monistic approach: "The notion that music can be logically connected by mere thematic links has done almost as much harm to composers as to theorists and teachers."<sup>23</sup>

In spite of such objections, a number of later writers found the theory increasingly appealing. In the 1950s, Rudolph Reti became a leading figure of what may be

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<sup>21</sup>The term monism was introduced by Geoffrey Madell, in "Thematic Unity and 'The Language of Music,'" The Music Review XXIII, No. 1 (February 1962): 30.

<sup>22</sup>Kurt von Fischer, Die Beziehungen von Form und Motiv in Beethovens Instrumentalwerken (Strasburg: Heitz, 1948), p. XXIV: "Along with this statement it should be said that through more or less forced omissions, reductions and contractions of themes and motives everything can be demonstrated all in all; eventually, any melody can theoretically be traced back to certain motivic prime-forms."

<sup>23</sup>Sir Donald Francis Tovey, Essays and Lectures on Music (London; New York: Oxford University Press, 1949), p. 275.

called a monistic school of analysis, one that is still active today. Although it may seem that some monists were interested in a more general aspect of esthetic unity in a composition, in essence they are all discussing unity through thematic relationships. Reti's formulation applies not only to Beethoven's music but to every musical work of art:

. . . in the great works of musical literature the different movements of a composition are connected in thematic unity--a unity that is brought about not merely by a vague affinity of mood, but by forming the themes from one identical musical substance.<sup>24</sup>

Josef Rufer expressed similar views using the term "idea" for the unifying substance:

The whole collection of themes in a work, though apparently independent of one another, can be traced back to a single basic idea, . . . whether or not one can recognize and demonstrate these relations in every case. This corresponds to the thesis that a work of art is a unity, the unity existing even where it cannot be exactly demonstrated.<sup>25</sup>

Hans Keller treated unity through what he called "Functional analysis":

. . . a great work can be demonstrated to grow from an all-embracing basic idea, and . . . the essential . . . questions of why contrasting motifs and themes belong together, . . . why a slow movement belongs to a first movement, . . . must be answered . . . <sup>26</sup>

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<sup>24</sup>Rudolph Reti, The Thematic Process in Music (New York: The Macmillan Company, 1951), p. 4; see also his: Thematic Patterns in Sonatas of Beethoven, ed. Deryck Cooke (New York: The Macmillan Company, 1967).

<sup>25</sup>Josef Rufer, Composition with Twelve Notes Related only to One Another, trans. Humphrey Searle (New York: The Macmillan Company, 1954), p. 29.

<sup>26</sup>Hans Keller, "K. 503: The Unity of Contrasting Themes and Movements," The Music Review XVII, No. 1 (February 1956), p. 50.

Deryck Cooke, in his book The Language of Music, attributed to every musical fragment an expressive meaning; thus, ". . . a work must have formal unity because it must have expressive unity."<sup>27</sup> In a subsequent article on Beethoven's late string quartets, Cooke explains:

As the foundation of a given work, a composer will often use one of the basic pitch-patterns that form part of his personal language (sometimes he will use an entirely original pattern, apparently created ex nihilo). In such a case he will usually remould the pattern afresh, giving it new tonal inflections and/or a new rhythmic articulation; and this accounts for the works which use the same basic pattern. In any case, within a given work, he will create an overall structure from his basic, initial theme, in an entirely new way; and this accounts for the individual character of the work--its difference from any of his other works which may be based on a similar type of theme. This means that each of his works must be analyzed as an entity in itself--as a continuous working out of a single idea--to show the particular way in which the basic theme is metamorphosed into the other themes of the work.<sup>28</sup>

In 1970, F. E. Kirby discussed the unity in the Pastoral Symphony similarly, from a motivic as well as expressive viewpoint.<sup>29</sup> Alan Walker and Hans Engel continued in the 1960s to explore unity among contrasting themes.<sup>30</sup>

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<sup>27</sup>Deryck Cooke, The Language of Music (London: Oxford University Press, 1959), p. 228.

<sup>28</sup>Deryck Cooke, "The Unity of Beethoven's Late Quartets," The Music Review XXIV, No. 1 (February 1963): 30.

<sup>29</sup>F. E. Kirby, "Beethoven's Pastoral Symphony as a 'Sinfonia Characteristica,'" The Musical Quarterly LVI, No. 4 (October 1970): 605.

<sup>30</sup>Alan Walker, A Study in Musical Analysis (London: Barrie and Rockliff, 1962); Hans Engel, "Thematische Satzverbindungen zyklischer Werke bis zur Klassik," Musa--Mens--Musici. Im Gedenken an Walther Vetter, ed. Heinz Wegener (Leipzig: Deutscher Verlag für Musik, 1969), p. 109.

Other studies, such as Wilhelm Sauer's and Jürgen Uhde's incorporated thematic unity into discussions of more general topics.<sup>31</sup>

The increasing interest in the subject generated approaches based on factors other than thematic relationships alone. In 1958, Ludwig Misch presented a thorough study on the unity of style in Beethoven's works:

Die Wirkung der Einheit des Werks beruht auf der Einheit des Werkstils: der individuelle Stil, durch den sich jedes Beethovensche Werk von seinesgleichen unterscheidet, bindet die formal geschlossenen, ihrer Thematik und ihrem besonderen Ausdruckgehalt nach verschiedenen Sätze zur übergeordneten organischen Einheit.<sup>32</sup>

In 1971 Philip Barford followed the approach of Walter Riezler (1938) by explaining unity in terms of Grundgestalt, namely:

. . . a group of tones from which different themes are derived and to which they relate as 'moments' or 'aspects' of a unity. Such a 'basic-whole' can be explicit in a composition, in which case it will appear complete in original, inverted or retrograde forms, etc. Alternatively, and this seems to be more the case in Beethoven, it is a nascent complex, an overall nisus to a certain characteristic thematic

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<sup>31</sup>Wilhelm Sauer, Beethoven und das Wesen der Musik, (Berlin--Halensee: M. Hesse, 1958); Jürgen Uhde, Beethovens Klaviermusik, 3 vols. (Stuttgart: P. Reclam jun., 1968-74).

<sup>32</sup>Ludwig Misch, "Die Faktoren der Einheit in der Mehrsätzigkeit der Werke Beethovens; Versuch einer Theorie der Einheit des Werkstils," Veröffentlichungen des Beethovenhaus in Bonn, Neue Folge, Reihe 4, No. 3 (1958), p. 13: "The effect of the unity of a work rests upon the unity of its style: the individual style, through which every Beethovenian work is distinguished from its like, ties into a superior organic unity the movements which are formally closed and which are different in their thematic material and in their particular expressive contents."

order detectable in many quite different figures which can be heard in subtle interconnections.<sup>33</sup>

In recent years, criticism and modification of various theories of unity have appeared with increasing frequency. Richard Rosenberg, while expressing his admiration for Walter Engelsmann's work as a reaction against traditional analysis, has questioned its validity: although some compositions are united through "'Substanzgemeinschaft'" of themes and movements, others are not, and in those, different unifying elements must be sought.<sup>34</sup> Jan Nordmark followed Sir Donald Francis Tovey in rejecting monistic theories for musical as well as psychological reasons.<sup>35</sup> Jan LaRue and Nicholas Temperley have warned against coincidental resemblances between themes, and recommend structural and statistical procedures.<sup>36</sup> Geoffrey Madell has rejected Deryck Cooke's theories of expressive unity.<sup>37</sup> And, finally, Donald

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<sup>33</sup> Philip Barford, "Beethoven as Man and Artist," The Beethoven Companion, ed. D. Arnold and N. Fortune (London: Faber and Faber, 1971), p. 28; Walter Riezler, Beethoven, trans. G. G. H. Pidcock (New York: E. P. Dutton, 1938), pp. 91-93.

<sup>34</sup> Richard Rosenberg, Die Klaviersonaten Ludwig van Beethovens; Studien über Form und Vortrag, 2 vols. (Olten: Urs Graf Verlag, 1957), p. 3.

<sup>35</sup> Jan Nordmark, "New Theories of Form and the Problem of Thematic Identities," Journal of Music Theory IV, No. 2 (November 1960): 210.

<sup>36</sup> LaRue, "Significant and Coincidental Resemblance," p. 224; Nicholas Temperley, "Testing the Significance of Thematic Relationships," The Music Review XXII, No. 3 (August 1961): 177.

<sup>37</sup> Madell, "Thematic Unity," p. 30.

Martin Schwejda devoted his Ph.D. dissertation to a thorough investigation into the validity of Rudolph Reti's analytical techniques.<sup>38</sup>

The foregoing summary is remarkable for the number of diverse methods and controversial opinions it reveals with regard to thematic unity. Although it may seem impossible to define any absolute categories in the evaluation of thematic unity, an attempt must be made to eliminate subjective considerations from the evidence and to formulate criteria based as much as possible on objective reasoning.

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<sup>38</sup>Donald Martin Schwejda, "An Investigation of the Analytical Techniques Used by Rudolph Reti in 'The Thematic Process in Music,'" (unpublished Ph.D. dissertation, Indiana University, 1967).

## CHAPTER II

### CRITERIA FOR DETERMINING THE PRESENCE OF THEMATIC UNITY AND FOR ITS EVALUATION

#### The Problem

Jan LaRue describes the subjective nature of observations about thematic relationships as follows:

Similarities between themes can never be determined as a matter of absolute right or wrong, since personal opinion based on individual experience and perception necessarily plays a vital part in all such discriminations. The larger the personal element, however, the smaller the basis for general agreement on musical questions. In a balanced process of style analysis, the arguments are not so much right and wrong as convincing or unconvincing. The strongest conviction emerges from unadorned musical facts.<sup>1</sup>

Donald Marin Schwejda, following a careful and thorough investigation into "Esthetics and Analysis," concludes that intuition is a valid way of gaining knowledge but, since no objective means of measuring intuition have yet been invented, it cannot be used in teaching or communicating that knowledge.<sup>2</sup>

The problem, therefore, centers around the question:

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<sup>1</sup>LaRue, "Significant and Coincidental Resemblance," p. 234.

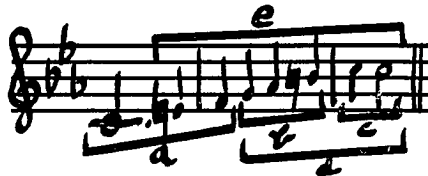
<sup>2</sup>Schwejda, "The Analytical Techniques Used by Rudolph Reti," p. 39.

what are the musical facts unadorned by intuitive manipulation, and how can they be demonstrated with the greatest possible objectivity? The proliferation of diverse approaches and controversial conclusions in investigations of unity, as outlined in Chapter I, stems mainly from lack of clear answers to this key question.

The most critical factor in analyses of thematic unity is the arbitrary selection of certain notes from a theme or a motive as the basis for further observations.<sup>3</sup> Such a selection, if it does not rest on sound musical evidence, will lead to "adorned" conclusions that are often unconvincing and easily discredited. The following examples from the literature illustrate some of the pitfalls encountered in some analyses.

Walter Engelsmann dissects the opening phrase in the Allegro of the Piano Sonata in C minor, Op. 13, as follows:<sup>4</sup>

Ex. II-1: Piano Sonata in C minor, Op. 13,  
Grave, Allegro di molto e con brio,  
m. 11-13 (Engelsmann).<sup>5</sup>




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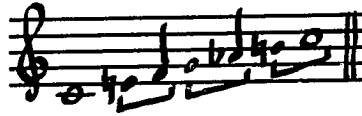
<sup>3</sup>The colloquial equivalent for the procedure is "note-picking."

<sup>4</sup>Engelsmann, "Die Sonatenform," p. 427.

<sup>5</sup>The musical examples in this study will show

Examination of the melodic structure of the excerpt reveals an entirely different idea: the overall direction of the melody is from c to c<sup>1</sup>; this goal is reached through addition of the intermediate notes f and a-flat; the melody also includes nonessential tones which determine its characteristic motivic structure--the ascending half-step:

Ex. II-1a



Engelsmann's fragmentation conforms neither to the structure nor to the motive inherent in the melody.

A few examples from Rudolph Reti's work are in place despite Schwejda's comprehensive investigation, in which he seriously questions the validity of Reti's methods.<sup>6</sup>

Reti considers melody as made up of cells:

"Every musical composition on a high structural level contains several motivic cells from which its structure

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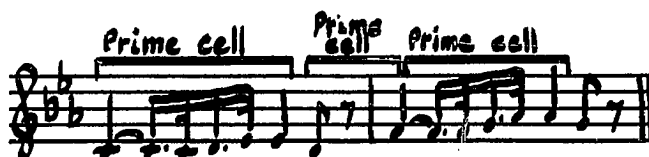
only the main melodic line; dynamics and articulation markings will be included when necessary to clarify the discussion.

The collected edition of Beethoven's works does not include measure-numbers. Those provided here indicate the number of complete bars from the beginning of each movement.

<sup>6</sup>Schwejda, "The Analytical Techniques Used by Rudolph Reti," p. 96.

is formed. . . . The motifs, and subsequently the themes, are developed from the cells; . . ." <sup>7</sup> Reti observes two primary cells in the Op. 13 Sonata: c--e-flat and a-flat--d--e-flat, the first of which spans the opening phrase of the Grave as follows: <sup>8</sup>

Ex. II-2: Piano Sonata in C minor, Op. 13, Grave, m. 1-2 (Reti)



While the ascending thirds c--e-flat and f--a-flat are clear, the one between d and f is questionable, since it combines notes from two separate phrases: the d closes the first phrase, the f opens the second.

Reti also assumes the ascending third to permeate the opening of the Allegro, and concludes the following relationship: <sup>9</sup>

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<sup>7</sup>Reti, Thematic Patterns, p. 17.

<sup>8</sup>Ibid., p. 17.

<sup>9</sup>Ibid., p. 32.

Ex. II-3: Piano Sonata in C minor, Op. 13,  
 (a) Grave, m. 1-2, (b) Allegro di  
 molto e con brio, m. 11-13 (Reti)



Here the Allegro theme is again analyzed without consideration of its motivic and structural characteristics. The irreconcilable difference between Reti's understanding of the theme and Engelsmann's (Ex. 1) arises as a result of intuitive manipulation founded on insufficient musical evidence.

In a further example, a discussion of the Sonata Op. 14, No. 2, Reti maintains that the composer prolongs the Allegro theme by "repeating two of its notes,"

Ex. II-4: Piano Sonata in G major, Op. 14, No. 2,  
 Allegro, m. 1 (Reti)



and then, from the transposed inversion (omitting the octave leap),

Ex. II-4a



derives the Andante theme:<sup>10</sup>

Ex. II-5: Piano Sonata in G major, Op. 14, No. 2,  
Andante, m. 1-2 (Reti)



The transformation in Ex. 4, however, is musically unfounded because it destroys one of the dominating intervals of the theme--the falling fourth. Reti's other transformations involve arbitrary additions and omissions as well. Upon examination of the musical evidence, the entire argument fails.

To show how a theme from the Finale of the Op. 27, No. 2, Sonata is derived from the principal theme of the first movement, Reti extracts the contour of the themes:<sup>11</sup>

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<sup>10</sup>Reti, Thematic Process, pp. 75-76.

<sup>11</sup>Ibid., p. 92.

Ex. II-6: Piano Sonata in C-sharp minor, Op. 27,  
No. 2; (a) Presto agitato, m. 43-44;  
(b) Adagio Sostenuto, m. 5-9 (Reti).

The most striking misconception here is the fact that a few of the notes selected by Reti actually do not form the melodic contour of the themes in question. In the Finale-theme the repeated  $d^1$ -sharp in m. 44 is a continuation of the pedal  $d$ -sharp in the previous measure, while the melody itself is outlined in the lower voice as an inversion (or retrograde) of the melody in m. 43:

Ex. II-6a

In the Adagio theme, Reti's opening six notes are part of the introductory material and, therefore, cannot be considered part of the theme that follows.

Deryck Cooke, in his defense of Hans Keller's system of functional analysis, demonstrates the thematic

unity of Beethoven's Seventh Symphony.<sup>12</sup> The following is one of Cooke's illustrations:<sup>13</sup>

Ex. II-7: Symphony No. 7 in A major, op. 92; (a) Poco sostenuto, m. 1-7; (b) Allegro con brio, m. 20-26 (Cooke).

The quotation from the Finale consists of two phrases: the first is introductory, hammering the notes  $a^1-e^2$ ; the second phrase descends step-wise down from  $c^1$ -sharp and lands on  $b$  in m. 26. Cooke's division does not conform with this phrase-structure and the suggested relationships between segments 1A and 2B of the Finale and the Introduction lack musical ground.

Alan Walker asserts that the opening of the principal theme of the Finale in Beethoven's First Symphony is nothing but a retrograde transformation of the theme from the first movement:<sup>14</sup>

<sup>12</sup>Deryck Cooke, "In Defence of Functional Analysis," The Musical Times (September 1959): 456.

<sup>13</sup>Ibid., p. 459.

<sup>14</sup>Walker, A Study, p. 54.

Ex. II-8: Symphony No. 1 in C major, Op. 21, (a)  
 Adagio molto, Allegro con brio, m. 33-35;  
 (b) Adagio, Allegro molto e vivace,  
 m. 6-8 (Walker).



However, the sixteenth-note run in the Finale theme outlines an octave  $g--g^1$  and reappears throughout the development as a scale within an octave.<sup>15</sup> To choose the note  $b$  as the beginning of the scale would therefore require additional support. But in the first theme the note  $b$  actually belongs to the phrase which follows as a sequence,

Ex. II-8a



and is much more emphatic here than in the Finale theme, where it has a passing function.

Walker's illustration points to another important factor not to be ignored in the analysis of thematic unity,

<sup>15</sup>See m. 96-107, 116-129, 148-155.

namely, the melodic language of the Classic era.<sup>16</sup> Considering the frequency of step-wise and triadic motion in every Classical melody, any relationship such as between the themes in Ex. II-8 becomes insignificant, especially when elements other than melody--harmony, rhythm, and note-structure--do not play a unifying role.

Joseph Rufer presents an analysis of the Sonata Op. 10, No. 1, to demonstrate that "in order to ensure the thematic unification of a work, . . . all the musical events are developed, directly or indirectly, out of one basic shape."<sup>17</sup> The following are some of his illustrations:<sup>18</sup>

Ex. II-9: Piano Sonata in C minor, Op. 10, No. 1;  
 (a) Molto allegro e con brio, m. 1-3, 56-58; (b) Molto adagio, m. 1-2, 17-18;  
 (c) Finale, prestissimo, m. 1-2 (Rufer).

<sup>16</sup>The larger consideration is, of course, the melodic language of tonal music of all times. Schwejda, in his "Analytical Techniques Used by Rudolph Reti," p. 27-38, illustrates successfully how, when applying Reti's methods, thematic affinities can be found among different works by different composers.

<sup>17</sup>Rufer, Composition with Twelve Notes, p. 38.

<sup>18</sup>Ibid., pp. 214-215.

The b-shape--a falling second--is well outlined in Rufer's examples (except that in m. 2 of the slow movement the a-natural leads to the b-flat of the following phrase and does not, therefore, belong to the b-shape). Although the falling second is a common interval in the Classical language, it gains prominence here through its structural appearance at the close of each phrase. Rufer's a-shape, however, is less convincing: if the rising third c--e-flat is the motive of the opening three measures of the Sonata, only the beginning of the slow movement reveals a relationship; if the broken chord characterizes those measures, nothing in the music points to anything more significant than ordinary triadic motion.

Misinterpretation of the common language of classical composition mars Richard Rosenberg's discussion of Substanzgemeinschaft as well. According to Rosenberg, three movements from the Sonata Op. 2, No. 1, are united through the descending scale. Here is an example from the first movement:<sup>19</sup>

Ex. II-10: Piano Sonata in F minor, Op. 2, No. 1;  
Allegro, m. 140-142, and m. 2 (Rosenberg).




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<sup>19</sup>Rosenberg, Die Klaviersonaten, p. 5.

But the triplet in m. 2 is an embellishment of the descending third  $a^1$ -flat-- $f^1$ , whereas in m. 140-142 the marked notes (all but the g) fulfill a much stronger structural function. Besides, what is Rosenberg's rationale for choosing to disregard the c in m. 141? It must be emphasized again that neither harmony nor rhythm support findings of thematic relationship between the excerpts.

Finally, another factor essential to considerations of thematic unity, as well as to every analysis or reasoning process, is consistency. One example is sufficient to demonstrate how an inconsistent approach leads to far-fetched conclusions. Ernest Newman maintains that the figure of three ascending notes in conjunct motion appears in all of Beethoven's slow movements: ". . . the upward-striving figure of three notes dominates the whole musical idea."<sup>20</sup> The following are two of Newman's illustrations:<sup>21</sup>

Ex. II-11: Piano Sonata in C minor, Op. 13;  
 (a) Adagio cantabile, m. 1-6;  
 (b) Piano Sonata in F minor, Op. 2,  
 No. 1, Adagio, m. 5-7 (Ernest Newman).



<sup>20</sup>Ernest Newman, The Unconscious Beethoven, rev. 2nd ed. (New York: A. A. Knopf, 1970), p. 72.

<sup>21</sup>Ibid., pp. 72-74.

Despite the fact that Newman's subject is different from the present one, these examples are relevant here because they likewise demonstrate an attempt to draw a thematic relationship through the common ascending third. Regarding the theme from the Sonata Op. 2, No. 1, Newman explains that since the  $g^1$  in m. 6 is merely an appoggiatura, the ascending figure  $d^1-e^1-f^1$  is outlined. Why, then, does Newman disregard the passing function of the e-natural in the Op. 13 excerpt?

The foregoing examples illustrate how absence of clearly defined methods in the analysis of thematic unity has led to subjective, intuitive, exaggerated, and often inconsistent conclusions. The deficiencies arise from two principal sources: (1) misinterpretation of the musical structure, and (2) inadequate awareness of the vocabulary of the musical language of the Classical period in general.

Yet another problem of a different kind is revealed in the literature. Since thematic unity has always been a controversial topic, rife with subjective manipulations supported by ill-defined methods, the related analyses have all been confined to proving and demonstrating its existence. No attempt has been made so far to evaluate thematic unity systematically and to define its various degrees of intensity. For if one recognizes the role of thematic unity in establishing coherence as similar to the role of harmony, rhythm, and form, one recog-

nizes also the different roles which each of these elements play in different works by the same or different composers. Thus, thematic unity may be strong in one work, weak in another, absent in yet another. Naturally, only a well defined set of criteria can be of use in determining the matter.

Before discussing the present writer's solution to the problems in question, suggested solutions in the literature must be considered.

#### Methods and Criteria Proposed in the Literature

Compared to the extensive literature dealing directly and indirectly with thematic unity, very little has been written about the methods by which to pursue its investigation. A few attempts have even failed to recognize the main problem--the large area of subjective considerations involved.

Geoffrey Madell suggests that

Two criteria, at least, are obviously essential. Firstly, the postulated identity must really be felt as a matter of musical experience; secondly, this experience must be of a latent identity, not merely of a vestigial connection between one theme and another.<sup>22</sup>

Although Madell's ideas are essentially valid, they do not constitute verifiable criteria for systematic analysis.

William S. Newman writes: "Sometimes, the more distinct relationships help to validate the more subtle ones in a

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<sup>22</sup>Madell, Thematic Unity, p. 30.

composer's works."<sup>23</sup> Obviously, Newman's intention is not to define a method. Yet, considering the shaky foundations supporting the analysis of thematic unity so far, his suggestion, which opens the door to indirect evidence, is not useful in the present discussion.

A few approaches are based on statistical methods. Nicholas Temperley claims that the only way to ensure the significance of thematic relationships in a work is to compute the average number of musically relevant occurrences of the unifying motive in other works; if the number of occurrences of the motive in the work in question does not exceed the resultant average, the relationship is merely casual.<sup>24</sup> Beside being entirely impractical, Temperley's methods allow for insignificant relationships based on the composer's general vocabulary. Motivic events cannot be considered by the number of occurrences alone.

Jan LaRue's approach suggests two criteria, the first of which is, again, statistical:

If themes B, C, D and E all resemble theme A approximately equally, the statistical background scarcely justifies special comment on the A/B relation. This relationship between A and B may be entirely convincing in itself; but in the frame of reference formed by similar themes of the same general repertory, to single out the A/B relationship

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<sup>23</sup>William S. Newman, The Sonata in the Classic Era (Chapel Hill: University of North Carolina Press, 1963), p. 139.

<sup>24</sup>Temperley, "Testing the Significance," p. 177.

above A/C, A/D, or A/E represents a dangerously selective use of musical evidence.<sup>25</sup>

LaRue's second criterion concerns structural similarity, or the extent of functional identity: identical notes must function analogously with regard to melodic contour, rhythmic function, and tonal and harmonic background.<sup>26</sup>

LaRue's criteria have been accepted as the foundation for a more elaborate and systematic set of criteria to be established in this study, for the purpose of limiting subjective considerations as far as possible. It is of course understood that no system of music analysis, as elaborate as it may be, can be absolutely objective.

In the following discussion criteria for the existence and the evaluation of thematic unity will be considered separately.

Proposed Criteria for the Existence of  
Thematic Relationships<sup>27</sup>

A relationship between two themes exists when they have some musical elements in common. Paul Vincent Reale

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<sup>25</sup>LaRue, "Significant and Coincidental Resemblance," p. 226.

<sup>26</sup>Ibid.

<sup>27</sup>Obviously, the criteria here relate specifically to the Classical style. With proper adjustments, however, the methods can be adapted to the analysis of any style.

refers to such elements as parameters, and distinguishes between two kinds:

Some of the parameters are overall in their changing effect on the nature of the theme, such as the parameters of timbre, dynamics, and articulation of attack. Other parameters are more specific in that they act on the smallest events in the theme as it proceeds through time and space.<sup>28</sup>

The first step, for purposes of this study, will be to define parameters according to these two useful categories. In the first category, the following premise is assumed: the effect of meter, tempo, key, texture, instrumentation, articulation, phrasing and dynamics on thematic relationships is sufficiently small to be altogether ignored.

Example 12 illustrates two different thematic ideas. The identity between them is hardly affected by their distinct meters, tempos, tonalities and instrumentations:

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<sup>28</sup>Paul Vincent Reale, "The Process of Multivalent Thematic Transformation: Categories and Large-Scale Application," (unpublished Ph.D. dissertation, University of Pennsylvania, 1970), p. 6.

## Ex. II-12: Violin Sonata in F major, Op. 24

Allegro, m. 1-2

Adagio molto espressivo, m. 54-55

The musical score for Ex. II-12 consists of two measures. The first measure is in 3/4 time, marked 'p' (piano). The second measure is in 3/4 time, marked 'p' and 'cresc.' (crescendo). The score is written for violin and piano.

Similarly, Ex. 13 shows the negligible role of texture, phrasing, articulation and dynamics:

## Ex. II-13: Piano Sonata in E flat major, WoO 47, No. 1

Allegro cantabile, m. 1-4

Adante, m. 1-2

The musical score for Ex. II-13 consists of two measures. The first measure is in 3/4 time, marked 'p' (piano). The second measure is in 3/4 time, marked 'p' (piano). The score is written for piano.

Before considering the second, more specific, category of parameters, some definitions must be provided for analytical terms employed in this study.

Unifying idea: that by which themes are related. A unifying idea may, therefore, be anything from a motive to a phrase, and involve melodic, rhythmic, harmonic or formal elements.

Linear motion: the successive pitches in the melody. The term "motion" is used in accordance with Willi Apel's definition: "The pattern of changing pitch levels (high-low) in the melody, as distinguished from rhythm, . . ." <sup>29</sup>

Linear function: the function of the pitches and their structural power in relation to the entire texture.

Structural location: location with regard to the form of a theme, section or movement.

The second premise can be stated, now, as follows: in determining the existence of thematic relationships, the unifying idea is affected by any of the following active parameters: (1) linear motion, (2) rhythm, (3) harmony, (4) linear function, (5) structural location of the unifying idea.

After defining the active parameters it remains to be seen how, and to what extent, they function.

A parameter can undergo two basic processes: change and transformation. <sup>30</sup> In the process of trans-

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<sup>29</sup>Apel, Harvard Dictionary, p. 546.

<sup>30</sup>The term "transformation" is used here according to its scientific definition, which distinguishes between change, as a complete alteration, and transformation, as modification without alteration of the value or essence.

formation the parameter is modified but retains its unique significance, value or content (the identity process is included here as the transformation in which no modification takes place). While change acts in an infinite number of ways, it is important to define the effect of transformations on each of the five active parameters.

Regarding linear motion: pitch-transposition, inversion, retrograde, fragmentation, extension, and embellishment are each a transformation which modifies the pitches but retains the essence of the intervallic content, or part of it. Obviously, in tonal music, the effect of tonal modifications (such as tonal sequence which repeats a major interval as a minor interval, in the same key) is sufficiently small to be ignored.

Regarding rhythm: rhythmic augmentation and diminution are each a transformation which modifies the individual durations but retains the relative durations.

Regarding harmony: various vertical (or horizontal) distributions of pitches outlining the same chord or its inversions, act as harmonic transformations. In some cases, replacing a chord by another of similar function (V and VII, for instance) may act as a transformation.

Regarding linear function: insertion and extraction of nonessential tones are each transformations which retain the characteristic structure. It must be empha-

sized again that since this investigation involves thematic events on the "foreground" level alone, such transformations are considered to take place only on this level. Any larger-scale manipulations will distort the characteristic linear qualities of the theme.

Regarding structural location of the unifying idea: new locations within identical units of form (such as beginnings of themes, closings of phrases) are transformations which retain the formal identity of the unifying idea in relation to the entire theme.

It is, of course, taken for granted that the unifying idea as well as the transformations conform to the structure of the music; otherwise, even the greatest change could be described in terms of a series of transformations.<sup>31</sup>

The fundamental ingredients of organized sound are linear motion and rhythm;<sup>32</sup> hence the first criterion to be formulated concerns these.

Criterion No. 1. A necessary (but not always sufficient) condition for a significant relationship between themes is the existence of a unifying idea of which the linear motion or the rhythm, or both, undergo transformations within each theme.

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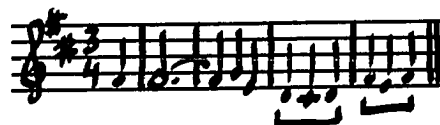
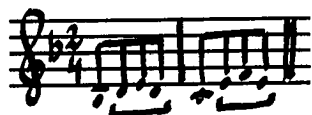
<sup>31</sup>This statement opens the door to subjective judgement. However, no music analysis can afford to dismiss such requirements.

<sup>32</sup>Apel, "Melody," Harvard Dictionary, p. 517: "Each musical sound has two fundamental qualities, pitch and duration, . . ."

## Ex. II-14: String Quartet in D major, Op. 18, No. 3

Andante con moto, mm. 1-2

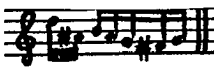
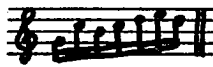

Allegro, m. 1-4



Presto, m. 1-2



The unifying idea is a neighbor-figure. Its linear motion is identical in the Allegro and Presto, inverted in the Andante. Its rhythm is identical in the Andante and Presto, augmented (or diminished, considering the tempos) in the Allegro. The themes, therefore, fulfill the condition in Criterion No. 1.

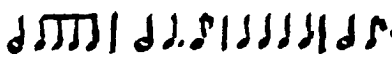
In Ex. II-4 (p.21 ) Reti indirectly assumes the unifying idea to be  . Its appearance in the Scherzo theme would be the result of a transposed inversion,  , plus the insertion of the note f,  . But this insertion which takes place on a strong beat, is neither an embellishment nor an extension; the linear motion, therefore, undergoes change, not transformation. Similarly, the rhythm is changed. The necessary condition in Criterion No. 1

is not fulfilled and the themes are not related.

The following example, cited by Ludwig Misch, demonstrates conditions which satisfy Criterion No. 1 but are not sufficient for a significant relationship:<sup>33</sup>

Ex. II-15: Piano Concerto No. 3 in C minor, Op. 37 (Misch); (a) Allegro con brio, m. 50-53; (b) Rondo, m. 182-185.



The themes seem to be related through the rhythmic progression . In the Finale theme, the rhythm is diminished, the slight changes being ignored. Yet, despite the fulfillment of Criterion No. 1, the relationship is insignificant. The reason is twofold: first, the unifying idea lacks a distinct quality to distinguish it from other similar rhythmic progressions.<sup>34</sup> Secondly, out of the five active parameters only two undergo transformations: rhythm and structural location. The harmony (and harmonic rhythm!), linear motion, and linear function are different. The unifying idea has too little

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<sup>33</sup>Misch, "Die Faktoren," p. 27. It should be noted that Misch's subject is not thematic unity but stylistic unity.

<sup>34</sup>The following are only a few examples of other "related" themes: Beethoven, Piano Concerto No. 2, Op. 19, first movement, m. 128-131,

musical support to be significant.

Such situations, fairly common in the Classic period, require the formulation of a second criterion.

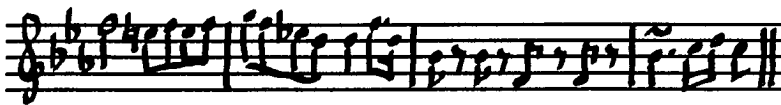
Criterion No. 2. When the parameter which undergoes transformation, in fulfillment of Criterion No. 1, is not sufficiently distinct from similar appearances in other compositions of the same era, at least two additional active parameters (to form a majority of three active parameters out of five) must undergo transformations in order to secure the significance of the unifying idea.

The following two examples demonstrate the

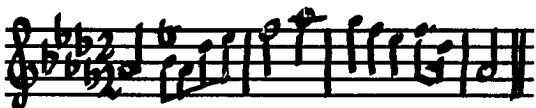
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Mozart, Piano Concerto K. 466, second movement, m. 1-4



and Chopin, Fantasie-Impromptu Op. 66, m. 43-46



application of Criteria Nos. 1 and 2:

Ex. II-16: Piano Sonata in D minor, Op. 31, No. 2

Largo, m. 1-2

Adagio, m. 1-2



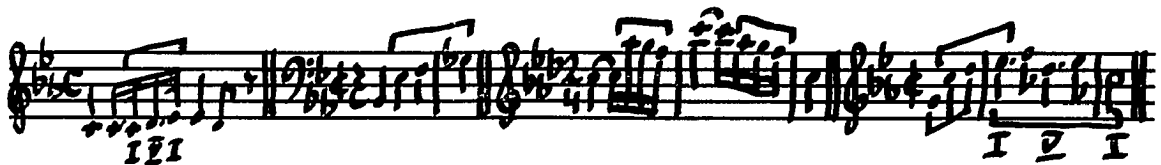
The linear motion is almost identical, but an arpeggio is a common pattern in Classical music. Nevertheless, the rhythm, linear function and--most importantly here--the structural location, are identical as well. The relationship becomes significant.

Ex. II-17: Piano Sonata in C minor, Op. 13

Grave, m. 1

Allegro di molto e  
con brio, m. 51-52

Adagio cantabile Rondo  
m. 17-18 m. 1-2



The unifying idea is a step-wise ascending third, a frequent motive in tonal music. In all movements, however, the unifying idea appears at a significant structural location--the beginning of a new theme. At the same time, in all movements except the Introduction, the rhythm of the unifying idea is similar, and criterion

No. 2 holds there. The Grave-theme becomes significant through its transposed reappearance in the Allegro which follows, and also relates to the descending third in the Rondo-theme through common harmony. It is of interest to note that the relationships prove valid despite differences in the linear function of the unifying motive.

Proposed Criteria for the Evaluation of  
Thematic Relationships and  
Thematic Unity

As previously stated, the existence of a significant unifying idea is mandatory for a relationship between themes. The quality of the relationship is obviously affected by the nature of the unifying idea.

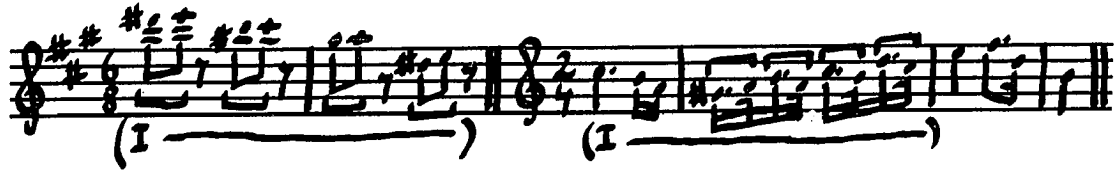
Criterion No. 3. The intensity of the relationship between themes corresponds to the degree to which the themes reflect the characteristic qualities of the unifying idea.

Criteria Nos. 1 and 2 also stressed the dependence of thematic relationships on the five active parameters. Hence:

Criterion No. 4. The intensity of the relationship between themes corresponds to the number of active parameters undergoing transformations in the manifestation of the unifying idea in each theme.

## Ex. II-18: Violin Sonata in A major Op. 12, No. 2

Allegro vivace, m. 1-2

Andante, piū tosto  
Allegretto, m. 1-4

The unifying idea--the interval of a second--is the essence of the Allegro theme and an integral part of the Andante theme. The linear motion, harmony, structural location and linear function are similar, and the relationship between the themes is, therefore, strong.

## Ex. II-19: Piano Sonata in G minor, Op. 14, No. 2

Allegro, m. 1

Scherzo, m. 1-4



The unifying idea--the ascending half-step--is unique in the Allegro theme, but in the Scherzo theme the scale predominates. Moreover, the rhythm and structural location are employed differently in each theme. Hence, the relationship is not as strong.

The evaluation of thematic unity in a multi-movement composition involves first the evaluation of the relationships between representative themes, and then of

the role of relevant themes in each movement and in the entire work. Before formulating this procedure, the term "constructiveness" must be defined as follows:

A musical idea will be considered "constructive" in a movement of a work when it generates a substantial amount of related material in the course of that movement.

It goes without saying that the more constructive the unifying idea, the more prominent and obvious the thematic relationships which it generates. The final criterion can be formulated as follows:

Criterion No. 5. The effective power of thematic unity in a work depends on three factors: (1) the intensity of the relationships between themes of different movements, (2) the number of movements among which thematic unity exists, (3) the degree of constructiveness of the unifying idea in each relevant movement.

Obviously, an exact numerical representation for the effective power of thematic unity in a work could be arrived at if numerical values were assigned to each contributing factor, and some kind of average computed. However, considering the inconsistency of personal judgement involved in such a long procedure, the resulting imprecisions would nullify the desired accuracy of numerical representation. On the other hand, the system formulated through Criteria Nos. 1-5 helps to diminish the amount of subjective judgement considerably, and logical reasoning supported by musical evidence will

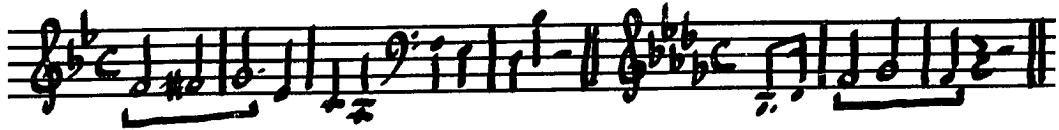
suffice to lead to definitive results.

The following example demonstrates the application of Criterion No. 5:

Ex. II-20: Trio for Piano, Clarinet and Violoncello in B-flat major, Op. 11

Allegro con brio, m. 1-4

Tema con variazioni,  
Variation IV, m. 1-2



The unifying idea is the rhythmic figure  $d \ d \ | \ d$  .  
 In the variation the linear motion and harmony undergo changes, the other active parameters undergo transformations. The relationship is, therefore, significant. On the other hand, beside the first movement, only the fourth variation includes related material. Considering the entire work, made up of three movements, this is insufficient evidence for real thematic unity. However, the constructiveness of the unifying idea, which is strong in the first movement, is also extremely notable throughout the fourth variation, where the unifying idea actually permeates the entire music. The overall evidence points, therefore, to the presence of weak thematic unity in the Trio Op. 11.

CHAPTER III  
THEMATIC UNITY AND ITS GENERAL CHARACTERISTICS  
IN BEETHOVEN'S FIRST STYLE PERIOD,  
1782-1802

Thematic unity in Beethoven's sonata works becomes a major compositional device only during the period starting with the year 1796, but works of the preceding years must not be overlooked. The reason is twofold: (1) three early works--the Piano Sonata in E-flat major, WoO 47, No. 1 (1782-83), the Piano Quartet in C major, WoO 36, No. 3 (1785), and the Piano Sonata in C major, Op. 2, No. 3 (1794-95)--do reveal interesting features of thematic unity; and (2) any general considerations of the role of thematic unity in Beethoven's creative development must rely on his work during the entire first style period. Hence, the broader scope of this chapter.

The discussion will begin with an account of thematic unity in all sonata works of the period. An investigation into relevant problems will follow.

Thematic Unity in Sonata Works, 1782-1802

In the following pages the works are listed chronologically according to their approximate date of

composition as cited in Kinsky's thematic catalogue, and--for those works not listed there--in Hess's supplements to the collected edition.<sup>1</sup>

The degree of effectiveness of thematic unity, arrived at according to the methods described in Chapter II, is marked by the letters A, B, C, N, as follows:

A--strong thematic unity.

B--moderate thematic unity.

C--weak thematic unity.

N--no thematic unity.

In order to facilitate a grasp of the effective power in each work, the letter is placed at the left side of the title of the work.

Musical examples are cited to demonstrate thematic relationships when they exist. It must be noted, however, that only important spots, which represent the relationship in question, are cited, since repetitions or similar occurrences can be easily followed thereafter.

When the literature concerning a work deals--directly or indirectly--with thematic unity, it is mentioned and described briefly. In numerous cases the analytical methods do not conform with those used in the present study. Since this problem has already been thoroughly discussed in Chapter II, discordant analyses will not be

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<sup>1</sup>Georg Kinsky and Hans Halm, Das Werk Beethovens; Thematisch-Bibliographisches Verzeichnis Seiner Sämtlichen vollendeten Kompositionen (München-Duisburg: G. Henle Verlag, 1955); Willi Hess, Supplemente zur Gesamtausgabe, 14 vols. (Wiesbaden: Breitkopf & Härtel, 1959-).

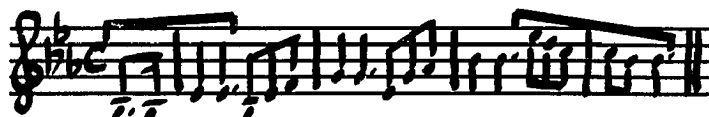
elaborated upon.

The following works are not included in this survey: (1) works consisting of one movement only--the Violin Concerto (Bruchstück) in C major, WoO 5 (1790-92); the Mandoline Sonatinas in C minor, WoO 43, No. 1, and in C major, WoO 44 (1796); (2) works which are arrangements or are based upon previously composed works, and are practically identical with their precursors--the String Quartet in E-flat major, Op. 4 (1795-96, based on the Wind Octet Op. 103, 1792), and the String Quartet in F major (1801-02, an arrangement of the Piano Sonata Op. 14, No. 1, 1798-99).

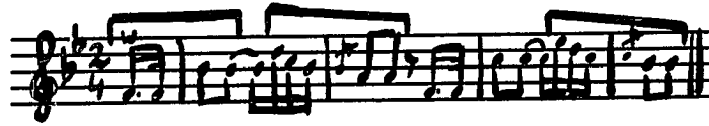
1. Bonn years (?) N Sonata for Flute and Piano in B-flat major
  
2. 1782-83 B Piano Sonata in E-flat major, WoO 47, No. 1

This Sonata employs a striking resemblance between the opening themes of the first and second movements:

Ex. III-1: Allegro cantabile, m. 1-4



Andante, m. 1-4



More important than the rising fourth is the unifying idea of a step-wise descending fourth. It predominates also in the second theme of the first movement,

Ex. III-2: Allegro cantabile, m. 11-13



as well as in the second theme of the second movement,

Ex. III-3: Andante, m. 18-20



and in the opening theme of the third movement.

Ex. III-4: Rondo, vivace, m. 1-4



The effective power of thematic unity in the Sonata is moderate mainly because the unifying idea is only moderately constructive in all the movements.

3. 1782-83 C Piano Sonata in F minor, wo0 47, No. 2

Some thematic unity is present through the insertion of material derived from the slow Introduction (Larghetto maestoso) in the Allegro assai which follows.<sup>2</sup>

4. 1782-83 N Piano Sonata in D major, Wo0 47, No. 3

5. 1784 N Piano Concerto in E-flat major, Wo0 4

6. 1785 N Piano Quartet in E-flat major, wo0 36, No. 1

7. 1785 N Piano Quartet in D major, Wo0 36, No. 2

8. 1785 C Piano Quartet in C major, Wo0 36, No. 3

The unifying idea is a step-wise descending fourth. Although the opening of the first movement involves the unifying idea considerably,

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<sup>2</sup>See p.152 for an evaluation of inserted material in general.

## Ex. III-5: Allegro vivace, m. 1-4



the idea hardly reappears in the course of the movement. The opening theme of the second movement reveals the descending fourth more extensively:<sup>3</sup>

## Ex. III-6: Adagio con espressione

m. 1-3

m. 7



The opening of the third movement as well as its second theme are significant:

## Ex. III-7: Rondo, Allegro

m. 1-4

m. 35-38




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<sup>3</sup>It is interesting that the second movement of the Piano Sonata in F minor, Op. 2, No. 1, which is based

However, since in none of the movements is the unifying motive constructive, the overall effect of thematic unity in the Quartet is weak.<sup>4</sup>

- |     |         |   |  |
|-----|---------|---|--|
| 9.  | 1790    | N | <u>Piano Sonatina in F major, WoO 50</u><br>(only two movements are extant)  |
| 10. | 1790    | N | <u>Trio for Piano, Flute and Bassoon</u><br><u>in G major, WoO 37</u>        |
| 11. | 1790    | N | <u>Piano Trio in E-flat major, WoO 38</u>                                    |
| 12. | 1790-92 | N | <u>Duo for Clarinet and Bassoon in</u><br><u>C major, WoO 27, No. 1</u>      |
| 13. | 1790-92 | N | <u>Duo for Clarinet and Bassoon in</u><br><u>F major, WoO 27, No. 2</u>      |
| 14. | 1790-92 | N | <u>Duo for Clarinet and Bassoon in</u><br><u>B-flat major, WoO 27, No. 3</u> |
| 15. | 1791-92 | N | <u>Piano Sonata in C major, WoO 51</u>                                       |

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on similar material, does not show any relationship to the other movements of the Sonata.

<sup>4</sup>For the use of the term "constructive" the reader may refer to p. 44.

16. 1792 N String Trio in E-flat major, Op. 3
17. 1792 N Wind Octet in E-flat major, Op. 103
18. 1792 N Duo for Flutes in G major, WoO 26
19. 1793-94 N Piano Trio in E-flat major, Op. 1, No. 1
20. 1793-94 C Piano Trio in G major, Op. 1, No. 2

The opening of the Adagio introduces the principal theme of the Allegro which follows:

Ex. III-8:

Adagio, m. 1-4

Allegro vivace, m. 1-2



Aside from this obvious identity, the movements do not employ any significant relationships.

21. 1793-94 N Piano Trio in C minor, Op. 1, No. 3

22. 1794 N Trio for Two Oboes and English-horn, Op. 87

23. 1794 N Sextet for String Quartet and Two Horns, Op. 81b

24. 1794-95 N Piano Sonata in F minor, Op. 2, No. 1

Several attempts have been made to exemplify thematic unity in the Sonata. While Hans Mersmann and Wilhelm Sauer only mention it briefly, Richard Rosenberg analyzes the Sonata in detail, although his methods are often questionable, and the relationships he draws are often based on scales and broken chords without sufficiently distinguishing them from other frequent appearances in Classical music (see example on p. 27).<sup>5</sup>

25. 1794-95 N Piano Sonata in A major, Op. 2, No. 2

26. 1794-95 B Piano Sonata in C major, Op. 2, No. 3

The unifying idea is a double-neighbor figure combined with a falling third, and it is clearly exposed at the opening of each movement:

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<sup>50</sup>Hans Mersmann, Beethoven, die Synthese der Stile, (Berlin: J. Bard, 1922), p. 36; Sauer, Beethoven und das Wesen, p. 212; Rosenberg, Die Klaviersonaten, p. 3.

Ex. III-9:

Allegro con brio, m. 1-2



Adagio, m. 1



Scherzo, Allegro m. 1-2

Allegro assai,  
m. 1-4

The Trio of the Scherzo movement is interesting for its second section, m. 73, which develops the unifying idea in retrograde form:

Ex. III-10: Scherzo, Trio, m. 73-76



The Scherzo itself, which is entirely based on the double-neighbor idea, is especially notable in the Coda:

## Ex. III-11: Scherzo, Coda, m. 119-128



Although the relationships between the principal themes are strong, the unifying idea is not constructive in the first, second and fourth movements, and thematic unity in the Sonata is, therefore, moderate.

Alexander Kelberine, Armine Knab, and Richard Rosenberg describe the relationships in the Sonata similarly but disregard the falling third.<sup>6</sup> Harold Truscott calls the unifying idea a "turn-like figure," and discusses its appearances in the second, third and fourth movements only.<sup>7</sup> Hans Mersmann mentions the Sonata among examples of Beethoven's earlier employment of thematic unity.<sup>8</sup>

27. 1794-95 N Piano Concerto in B-flat major, Op. 19

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<sup>6</sup>Alexander Kelberine, The Four Famous Pianoforte Sonatas of Ludwig van Beethoven (New York: J. Fischer, 1939), p. 16; Knab, "Die Einheit," p. 388; Rosenberg, Die Klaviersonaten, p. 43.

<sup>7</sup>Harold Truscott, "The Piano Music--I," The Beethoven Companion, eds. Denis Arnold and Nigel Fortune (London: Faber and Faber, 1971), p. 88.

<sup>8</sup>Mersmann, Beethoven, p. 36.

28. 1795-98 N Duo for Viola and Violoncello (mit zwei obligaten Augengläsern), in E-flat major (The fourth movement is missing and only a fragment exists from the second movement)
29. 1796 N Wind Sextet in E-flat major, Op. 71
30. 1796 N Quintet for Piano and Winds in E-flat major, Op. 16
31. 1796 N Sonata for Violoncello and Piano in F major, Op. 5, No. 1
32. 1796 B Sonata for Violoncello and Piano in G minor, Op. 5, No. 2

A rather lengthy scale-figure opens the Adagio and the Allegro which follows:

Ex. III-12: Adagio sostenuto ed espressivo, m. 1-2



Allegro molto più tosto presto, m. 1-4



The scale spans a large portion of the Adagio, both in ascending and descending motion. In the Allegro it also predominates the second theme,

Ex. III-13: Allegro molto più tosto presto,  
m. 62-65



but it does not play a constructive role in the course of the movement. The scale-idea is entirely absent from the third movement, except in one interesting spot:

Ex. III-14: Rondo, Allegro, m. 8-10



The overall thematic unity in the Sonata is considered moderate because of the lesser involvement of the unifying idea in the third movement and its lesser constructive power in the second movement.

33. 1796 C Piano Sonata in G major, Op. 49, No. 2

The unifying idea--a lower-neighbor figure--is present in the principal themes of the first movement,

Ex. III-15: Allegro ma non troppo

m. 1-3

m. 20-22

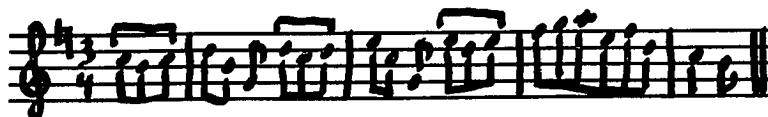


and in the opening and middle section of the second movement:

Ex. III-16: Tempo di Menuetto, m. 1-4



m. 71-75



In neither movement, however, is the unifying idea constructive, nor are the thematic relationships strong.<sup>9</sup>

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<sup>9</sup>For a relevant sketch, see p. 170.

34. 1796 N Quintet for Oboe, three French horns, and Bassoon in E-flat major  
(The opening of the first movement and the closing of the third are missing)
35. 1796-97 N Piano Sonata in D major, four-hand, Op. 6
36. 1796-97 C Piano Sonata in E-flat major, Op. 7

A weak relationship exists between the opening of the first and third movements (the Sonata consists of four movements) through the falling third in identical pitches:

Ex. III-17: Allegro molto con brio, Allegro,  
m. 1-4 m. 1-4



The significance of the relationship is due to the harmony and structural location, both of which support the transformed linear motion of the themes.

Armin Knab asserts that similarity in time (Zeitmass) unifies the opening chordal progressions of the first and second movements.<sup>10</sup>

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<sup>10</sup>Knab, "Die Einheit," p. 390.

37. 1796-98 N String Trio in G major, Op. 9, No. 1

38. 1796-98 N String Trio in D major, Op. 9, No. 2

Emil Platen's analysis of the Trio shows an approach similar to Ludwig Misch's (see p. 14), whose discussion of thematic relationships is based on stylistic features.<sup>11</sup> The following example, which demonstrates connections between the openings of the first and last movements according to Platen, also illustrates the essential difference between his method and the present one:<sup>12</sup>

Ex. III-18: Allegretto, m. 1-4, and Rondo, Allegro, m. 1-2 (Platen)

<sup>11</sup>Emil Platen, "Beethovens Streichtrio D-dur Opus 9 Nr. 2; zum Problem der thematischen Einheit Mehrsätziger Formen," *Colloquium amicorum* (Schmidt-Görg Festschrift), Siegfried Kross and Hans Schmidt, eds. (Bonn: Beethovenhaus, 1967), p. 260.

<sup>12</sup>*Ibid.*, p. 268.

39. 1796-98 C String Trio in C minor, Op. 9, No. 3

The Trio opens with a descending fourth which is notable for the augmented second at the center:

Ex. III-19: Allegro con spirito, m. 1-2



This motive is moderately constructive in the development and coda sections. The second movement starts with a diatonic falling fourth in the bass, but soon the original idea of the augmented second reappears:

Ex. III-20: Adagio con espressione

m. 1

m. 19-20



The unifying idea is absent from the remaining two movements.

40. 1796-98 A Piano Sonata in C minor, Op. 10, No. 1

The unifying idea--a descending second--becomes significant through its structural location at the closing

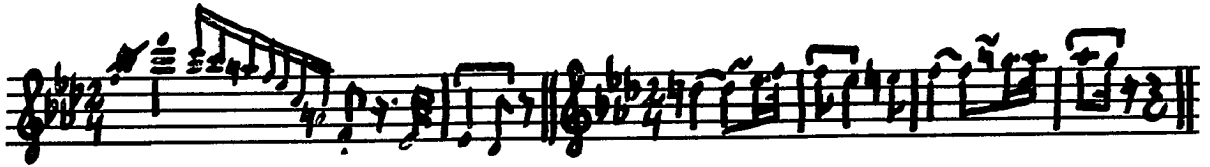


in the second movement,

Ex. III-23: Adagio molto

m. 17-18

m. 24-27



10th to 7th m. from end



and in the third movement, in addition to the opening motive:

Ex. III-24: Finale, Prestissimo,

m. 22-24

m. 43-44 (closing material)



The literature which deals with thematic unity does not mention the Sonata at all.

41. 1796-98 N Piano Sonata in F major, Op. 10, No. 2

42. 1796-98 A Piano Sonata in D major, Op. 10, No. 3

The unifying idea consists of two motives:

(a) a step-wise fourth, (b) a broken chord preceded by a half step. It predominates in all four movements:

Ex. III-25: Presto, m. 1-4      Largo e mesto, m. 1-5



Menuetto, Trio, m. 55-58      Rondo, Allegro, m. 1



The Sonata is one of the six works which are discussed in Chapter IV, and its strong thematic unity is demonstrated there in detail.

The literature concerning the sonata is not extensive. Walter Riezler mentions only the relationship between the Finale motive (f-sharp--g--b) and the opening of the first movement.<sup>13</sup> Dieter Schnebel demonstrates

<sup>13</sup>Riezler, Beethoven, p. 118.

thematic unity throughout the entire Sonata, but his motivic divisions do not always conform with the phrase structure.<sup>14</sup> The following are Schnebel's examples from the first three movements:<sup>15</sup>

Ex. III-26: Presto, m. 1-6, Largo e mesto, m. 1-5, Menuetto, m. 1-8 (Schnebel)



43. 1796-98 N Sonata for Violin and Piano in A major, Op. 12, No. 1

Walter Engelsmann's observations on thematic unity in the Sonata are extremely questionable since he considers the chief motives to be a broken chord and step-wise motion, without distinguishing them from other frequent appearances in Classical music.<sup>16</sup>

<sup>14</sup>Dieter Schnebel, "Das angegriffene Material. Zur Gestaltung bei Beethoven," Beethoven 70, (Frankfurt am Main: S. Fischer, 1970), p. 47.

<sup>15</sup>Ibid.

<sup>16</sup>Engelsmann, Beethovens Kompositionspläne, p. 67.

44. 1797-98 C Sonata for Violin and Piano in A major, Op. 12, No. 2

The opening of the Sonata announces the unifying idea--the interval of a second--in various melodic and rhythmic forms:

Ex. III-27: Allegro vivace, m. 1-12



The idea is constructive in the first movement. The opening theme of the second movement involves the unifying idea as well,

Ex. III-28: Andante, piu tosto Allegretto, m. 1-4



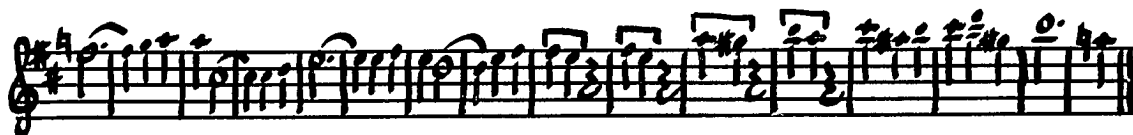
but the rest of the movement does not, except five successive repetitions of the opening two notes d-sharp

--e in m. 101-108. The third movement has related transitory material, and a related theme is in the middle section:

Ex. III-29: Allegro piacevole, m. 33-36



m. 120-133



Walter Engelsmann recognizes the interval of a second as a unifying element.<sup>17</sup> Gustav Gärtner asserts the dominance of the "two-note motive" in the first movement only.<sup>18</sup>

45. 1797-98 B Sonata for Violin and Piano in E-flat major, op. 12, No. 3

The opening themes of the second and third movements reveal a striking similarity:

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<sup>17</sup>Engelsmann, Beethovens Kompositionspläne, p. 90.

<sup>18</sup>Gustav Gärtner, "Ein Zweitöne Motiv bei Beethoven," Musica II (Cassel, 1957): 294.

Ex. III-30:

Adagio con molt' espressione,  
m. 2-4Rondo, Allegro  
molto, m. 1-4

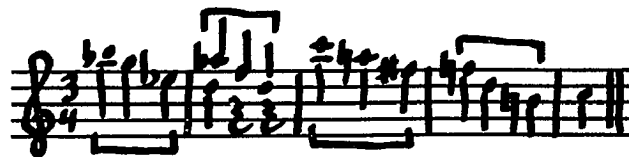
In addition, the Sonata is unified by motion within a fifth. In the first movement this idea appears in the opening and closing themes:

Ex. III-31: Allegro con spirito,  
m. 5-7

m. 58-60



In the course of the second movement the opening  $g^1-e^1-c^1$  in m. 1 reappears, albeit not constructively, especially towards the end:

Ex. III-32: Adagio con molt' espressione,  
8th to 4th m. before end

The second theme of the Finale reveals the unifying idea strongly,

Ex. III-33: Rondo, Allegro molto, m. 51-55



but the idea is not significantly constructive, neither in the Finale nor in the other two movements.

Walter Engelsmann emphasizes the unifying role of the interval of a third.<sup>19</sup> His opening example may illustrate some doubtful conclusions raised by such an approach:<sup>20</sup>

Ex. III-34: Allegro con spirito, m. 1-2 (Engelsmann)




46. 1798 C Piano Concerto No. 1 in C Major, Op. 15

The principal theme as well as much of the development in the first movement are characterized by the

<sup>19</sup>Engelsmann, Beethovens Kompositionspläne, p. 98

<sup>20</sup>Ibid.

rhythmic motive , the quarter notes of which carry identical pitches. In the opening of the second movement, the accompaniment in the strings, and the beginning of the orchestral interlude, both reveal a similar idea:

Ex. III-35: Largo, m. 1 m. 8-10



47. 1798 C Trio for Piano, Clarinet, and Violoncello in B-flat major, Op. 11

The principal theme in the first movement and Variation IV in the third movement are closely related through chromatic motion with identical rhythm (this particular citation has been discussed at length on p. 45 ):

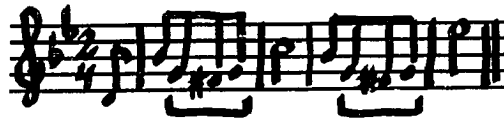
Ex. III-36: Allegro con brio, Tema con varia-  
m. 1-4 zioni, Variation IV,  
m. 1-2



48. 1798 C Piano Sonata in G minor, Op. 49,  
No. 1

The two movements in the Sonata are related through a lower-neighbor figure. In the first movement it appears in the opening theme, but does not play a constructive role later:

Ex. III-37: Andante, m. 1-4



The lower neighbor permeates a larger amount of material in the second movement:

Ex. III-38: Rondo, m. 20-23



m. 32-36



Thematic unity in the Sonata is weak because of the limited employment of the unifying idea in the first movement.

49. 1798-99 A Piano Sonata in C minor, Op. 13

This work has been frequently mentioned as an early example of the insertion of material from one movement into another (the youth Sonata WoO 47, No. 2, being disregarded), and to the unity between the first and third movements. However, when the unifying idea is understood as a step-wise ascending third, the slow movement reveals a significant relationship as well:

Ex. III-39: Grave, m. 1

Allegro di molto e  
con brio, m. 51-55



Adagio cantabile, m. 17-19



## Rondo, Allegro, m. 1-8



The beginning of the Allegro may be interpreted as a fragmentation of the unifying idea, especially when, in the middle section, similar material appears next to a complete statement of the ascending third:

Ex. III-40: Allegro di molto e con brio,  
m. 11-13



m. 137-143



In the second movement the unifying idea is not as constructive as in the other movements. The end of the second movement, however, reveals an interesting relationship:

## Ex. III-41: Adagio cantabile, four last measures



Carl Reinecke, Vincent d'Indy, and Robert Haven Schauffler present similar views.<sup>21</sup> Reinecke recognizes the relationship between the principal theme of the third movement and the second theme of the first. D'Indy, who considers the thematic unity in the Sonata peculiar and rare for Beethoven's time, asserts that the unifying motive is  $g_1$ --c--d--e-flat, but fails to explain its function in the Adagio. Schauffler analyzes the work in view of the step-wise ascending third germ-motive.

Walter Engelsmann, Rudolph Reti, and Ernest Newman arrive, each in his own way, at questionable conclusions.<sup>22</sup> An example from Engelsmann's analysis, which is essentially different from the rest of the literature, has been cited

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<sup>21</sup>Carl Reinecke, The Beethoven Pianoforte Sonatas; Letters to a Lady, trans. E. M. T. Dawson (London: Augener, 1912), p. 44; Vincent d'Indy, Beethoven, trans. Theodore Baker (Boston, Mass.: Boston Music Company, New York: G. Schirmer, 1913), p. 23; Schauffler, Beethoven, p. 53.

<sup>22</sup>Engelsmann, "Die Sonatenform," p. 427; Reti, Thematic Patterns, p. 17; Ernest Newman, The Unconscious Beethoven, p. 77.

in Chapter II, p. 18. Reti claims two primary cells to predominate in the Sonata: c--e-flat and a-flat--d--e-flat (see discussion on p. 20). Newman maintains that the figure of three ascending notes in conjunct motion occurs in all Beethoven's slow movements with a unique expressive function. However, Newman's evidence from the Adagio of the Sonata in question is doubtful (see p. 28).

Richard Hohenemser finds significant similarities between the Sonata and Cherubini's Medea, notably that in Medea several sections are interrelated too.<sup>23</sup> Finally, Warren Storey Smith rejects altogether any suggested relationships between the Rondo theme and the Grave motive.<sup>24</sup>

50. 1798-99 C Piano Sonata in E major Op. 14, No. 1

A weak relationship exists between the openings of the first and third movements, through the rising fourth:

Ex. III-42: Allegro, m. 1-4      Rondo, Allegro commodo, m. 1-2



<sup>23</sup>Richard Hohenemser, "Zu Beethovens 'Sonate Pathétique,'" Die Musik XV, Heft 9 (1923): 655.

<sup>24</sup>Warren Storey Smith, "The Cyclic Principle in Musical Design, and the Use of It by Bruckner and Mahler," Chord and Dischord II, No. 9, p. 5.

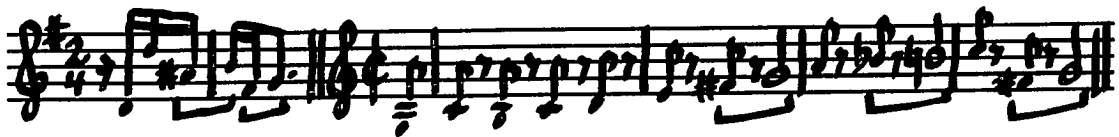
In the course of the movements, however, the idea is not particularly constructive.

Hans Mersmann mentions the presence of thematic unity but cites no evidence.<sup>25</sup>

51. 1798-99 B Piano Sonata in G major, Op. 14, No. 2

The unifying idea is an ascending half-step. It appears in the principal themes of the three movements with identical linear function -- the first note leading to an accented note a half-step higher:

Ex. III-43: Allegro, m. 1      Andante, m. 5-8



Scherzo, Allegro assai, m. 1-4

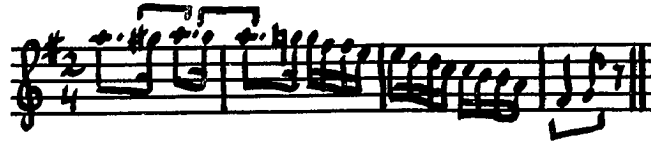


In the first movement the unifying idea predominates in the second theme,

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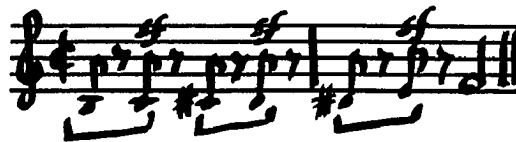
<sup>25</sup>Mersmann, Beethoven, p. 36.

Ex. III-44: Allegro, m. 26-29



as well as in the development and recapitulation. It is not as constructive in the second movement; however the closing of the theme is notable, for here the linear function of the unifying idea is emphasized by syncopation:

Ex. III-45: Andante, m. 17-18



In the third movement the idea appears in transitional material such as the following:

Ex. III-46: Scherzo, Allegro assai, m. 33-34



Although the unifying idea is not constructive there, the closing nine measures, and especially the very last three notes, expose it clearly:

Ex. III-47: Scherzo, Allegro assai, last nine measures

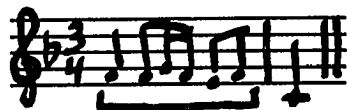


Rudolph Reti attempts to prove that the opening of the principal theme in the second movement is a modified inversion of the opening of the first movement (see discussion in pp. 21-22).<sup>26</sup>

52. 1798-1800 B String Quartet in F major, Op. 18, No. 1

The double-neighbor unifying idea appears at the openings of the first, second, and fourth movements:

Ex. III-48: Allegro con brio, m. 1-2

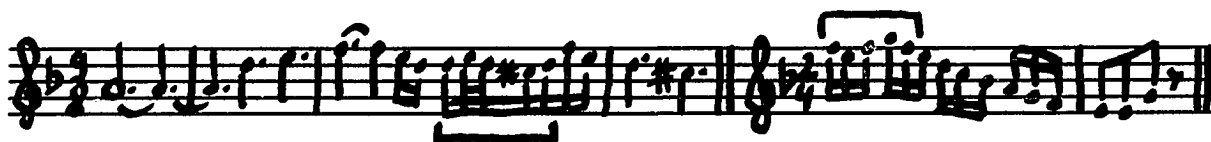



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<sup>26</sup>Reti, Thematic Process, pp. 75-76.

Adagio affettuoso ed  
appassionato, m. 2-5

Allegro, m. 1-2



While in the first movement the idea is clearly manifested throughout, in the second it is less prominent, although reminiscences do reappear in the following pattern:<sup>27</sup>

Ex. III-49: Adagio affettuoso ed appassionato,  
m. 50



In the Scherzo, only the Trio employs related material:

Ex. III-50: Scherzo, Trio, m. 90-93




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<sup>27</sup>See also a sketch of the second movement, p. 167.

In the Finale the triplet form of the unifying idea (see Ex. 48), supported by a duple-rhythm form,

Ex. III-51: Allegro, m. 47



plays a considerably constructive role.

The effectiveness of thematic unity in the Quartet is moderate for two reasons: (1) the absence of related material in the Scherzo-Allegro, (2) the small extent to which the unifying idea characterizes the thematic content in the second and fourth movements.

53. 1798-1800 B String Quartet in G major, Op. 18, No. 2

Here a rising perfect fourth appears frequently in phrases of thematic importance, although not always constructively:

Ex. III-52: Allegro, m. 4-5    m. 21-24    m. 36-39

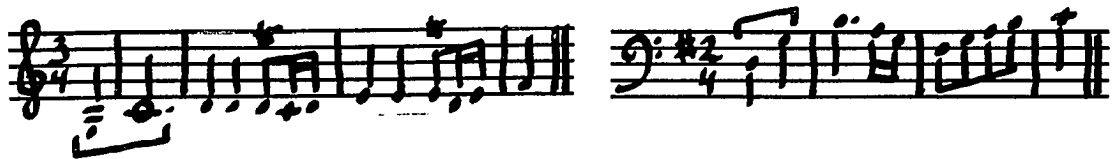


Adagio cantabile, m. 1-3

m. 23-24



Scherzo, Trio, m. 43-47

Allegro molto quasi  
Presto, m. 1-4

Joseph Kerman emphasizes interrelationships among the movements. His approach, however, is different from the present one. Considering the relationship between the opening of the Finale and the section from m. 21 to 30 in the first movement, Kerman writes: "Almost everything corresponds, from the unisono effect, the melodic and harmonic direction, the heavy double-mock-upbeat, the rhythm, and even the time-signature, down to the relentless multiplication of balanced end-stopped fragments."<sup>28</sup>

Hans Mersmann mentions the presence of thematic unity but cites no evidence.

<sup>28</sup>Kerman, The Beethoven Quartets, p. 50.

<sup>29</sup>Mersmann, Beethoven, p. 36.

54. 1798-1800 B String Quartet in D major, Op. 18, No. 3

A neighbor-figure unites the second, third and fourth movements. It reveals itself immediately at the beginning of each movement:

Ex. III-53: Andante con moto, m. 1-4



Allegro, m. 1-4

Presto, m. 1-4



In the second and fourth movements the unifying idea predominates in the principal themes and, consequently, in almost the entire music of each movement. It is of less importance, however, in the third movement, and since it is altogether absent in the first, the entire Quartet is only moderately united. The work is not mentioned in the literature dealing with thematic unity.

55. 1798-1800 A String Quartet in C minor, Op. 18, No. 4

The unifying idea is a rising perfect fourth followed by a downward step. In the principal theme of the first movement the idea is presented in several fragments:

Ex. III-54: Allegro ma non tanto, m. 1-8



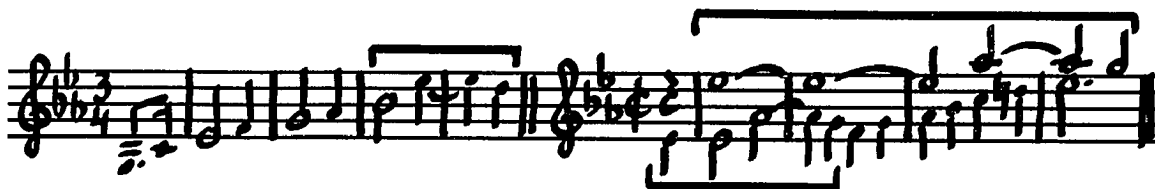
The unifying idea appears more explicitly in the remaining movements:

Ex. III-55: Scherzo, Andante scherzoso quasi Allegretto, m. 1-5



Menuetto, Allegretto, m. 1-4

Allegro, m. 17-20



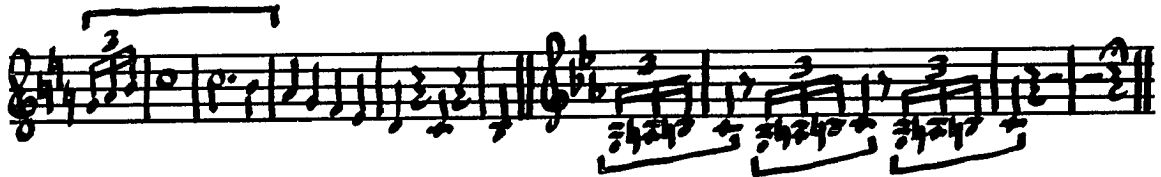
In the second movement the idea is not constructive, although an interesting reappearance occurs in a cadential spot:

Ex. III-56: Scherzo, Andante scherzoso quasi Allegretto, m. 176-180



In the Finale the unifying idea originates a step-wise rising fourth which also closes the work:

Ex. III-57: Allegro, m. 73-78 last four measures



Jean Chantavoine emphasizes the identical opening of the first and third movements as a unifying factor.<sup>30</sup> Robert Haven Schauffler mentions the similar opening of the first, second and third movements.<sup>31</sup>

<sup>30</sup>Jean Chantavoine, Beethoven, 10th ed. (Paris: F. Alcan, 1920), p. 136.

<sup>31</sup>Schauffler, Beethoven, p. 534.

56. 1798-1800 C String Quartet in A major, Op. 18, No. 5

A weak relationship exists between the third and fourth movements through a downward-upward scale:

Ex. III-58: Andante cantabile, m. 1-4



Allegro, m. 2-6



57. 1798-1800 A String Quartet in B-flat major, Op. 18, No. 6

An incomplete double-neighbor figure unifies the work. In the first, second and fourth movements it appears as a short ornamental figure,

Ex. III-59: Allegro con brio,  
m. 1-3

Adagio ma non  
troppo, m. 3-4



Adagio, La Malinconia, m. 12-16



and in the third and fifth movements--in note-value equal to that of the surrounding notes:<sup>32</sup>

Ex. III-60:

Scherzo, Allegro, m. 1-4

Allegretto quasi  
Allegro, m. 1-2



The strong thematic unity in this Quartet is fully discussed in Chapter IV. The literature concerning the subject does not mention this work.

58. 1799 A Symphony No. 1 in C major, Op. 21

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<sup>32</sup>The meter of the third movement has been the subject of various statements, because of the 3/4-6/8 ambiguity there. Most opinions favour the 3/4 rendition, in which the syncopation is stressed, and--moreover--the double-neighbor unifying figure becomes prominent. See discussion in: Sir William Henry Hadow, Beethoven's Op. 18 Quartets (London: Oxford University Press, H. Milford, 1926), p. 58; Daniel Gregory Mason, The Quartets of Beethoven (New York: Oxford University Press, 1947, reprinted 1959), p. 73.

The unifying idea consists of two motives:

(a) the interval of a half-step, (b) a step-wise descending fifth. The Symphony is analyzed in detail in Chapter IV. The following are a few examples involving thematic relationships:

Ex. III-61:

Adagio molto, m. 1-4      m. 9-10      Allegro con brio,  
m. 13-14

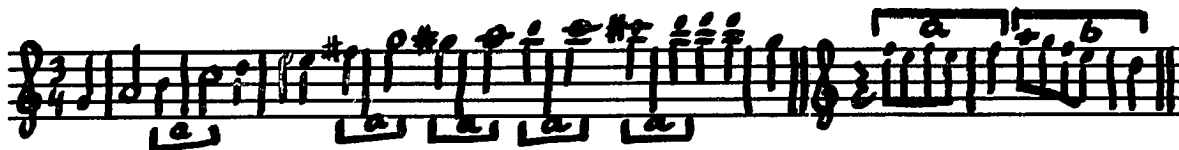


m. 18-19

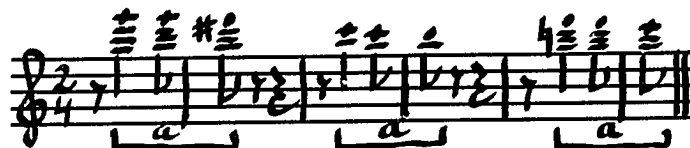
Andante cantabile con moto,  
m. 1-4



Menuetto, Allegro molto e      Trio, m. 106-107  
vivace, m. 1-8



Allegro molto e vivace, m. 131-136



The literature about the Symphony is extensive. Walter Engelsmann's analysis is basically similar to the present one. Contrary to his approach to other Beethoven works, his observations regarding this Symphony are interesting, thorough, and not as controversial.<sup>33</sup> Arthur Willner emphasizes the important role of the falling fifth throughout the Symphony, although some of his conclusions are far-fetched.<sup>34</sup> Karl Nef recognizes the half-steps ("chromatischen Anstiegen"), and Robert Oboussier points out the step-wise motion ("Sekundenbewegung"), as unifying elements in the first and third movements.<sup>35</sup> Ludwig Misch discusses the organic unity of the first movement only, through the half-step leading tone and the falling fifth

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<sup>33</sup>Engelsmann, "Beethoven and the Creative Law," p. 60.

<sup>34</sup>Arthur Willner, "Die melodische Entwicklung in Beethovens 1. Sinfonie," Die Laute, Jahrg. 4 (1920-21), p. 73.

<sup>35</sup>Karl Nef, Die neun Sinfonien Beethovens (Leipzig: Breitkopf & Härtel, 1928), p. 18; Robert Oboussier, Die Sinfonien von Beethoven (Berlin: E. Bote & G. Bock, 1937), p. 14.

motives.<sup>36</sup> Basil Deane and Ira Lieberman mention the half-step interval as a unifying factor in the first movement.<sup>37</sup>

Several analyses are oversimplified and unsatisfactory. René Girard asserts the unity through three factors: melody--the C major scale, rhythm--the short-long figure, and atmosphere--light and lively music.<sup>38</sup> Erich Schenk postulates that the B-A-C-H motive unifies the work.<sup>39</sup> Rudolph Reti shows how the entire thematic substance in the Symphony grows out of the motive of a major third followed by a half step.<sup>40</sup> Alan Walker's approach is similar to Reti's, except that Walker also stresses the role of the falling fifth.<sup>41</sup> Jean Chantavoine altogether rejects the idea of organic unity

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<sup>36</sup>Ludwig Misch, "Der persönliche Stil in Beethovens Erster Symphonie; Organismus und Idee des ersten Satzes," Beethoven-Jahrbuch, eds. P. Mies and J. Schmidt-Görg (1955-56), p. 55.

<sup>37</sup>Basil Deane, "The Symphonies and Overtures," The Beethoven Companion, eds. Arnold and Fortune, p. 282; Ira Lieberman, "Some Representative Works from Beethoven's Early Period Analyzed in Light of the Theories of Ernst Kurth and Kurt von Fischer," (unpublished Ph.D. dissertation, Columbia University, 1968), p. 107.

<sup>38</sup>René Girard, Les Neuf Symphonies de Beethoven (Montréal: South Bend Fides, 1949), p. 9.

<sup>39</sup>Erich Schenk, "Beethovens 'Erste'--eine B-A-C-H - Symphonie," Neues Beethoven-Jahrbuch, Nr. 8 (1938), p. 162.

<sup>40</sup>Reti, Thematic Process, p. 86.

<sup>41</sup>Walker, A Study, p. 54 and 109.

in the symphony; his evidence, however, is incomplete: he disagrees with the linking of the first movement to the Finale through two seventh chords at the opening of each movement, or through a thematic analogy between the Introduction and the Finale:

Ex. III-62: Adagio molto, m. 4-5                      Allegro molto e vivace, m. 58-60  
(Chantavoine)



But throughout the literature dealing with the unity of the First Symphony these examples do not seem to be the issue.<sup>42</sup>

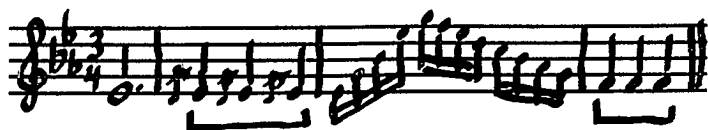
59. 1799-1800 A Septet in E-flat major, Op. 20<sup>43</sup>

The unifying idea is the successive repetition of a note thrice. In the first movement the idea manifests itself at the beginning of the Introduction and in a few significant spots in the Allegro:

<sup>42</sup>Chantavoine, Les Symphonies, p. 47.

<sup>43</sup>The Septet Op. 20 is often referred to as a divertimento (See Apel, Harvard Dictionary, "Divertimento," p. 239). It has been included in this study because of its obvious resemblance to a sonata, the difference being only the larger number of movements in the Septet.

## Ex. III-63: Adagio, m. 1-2



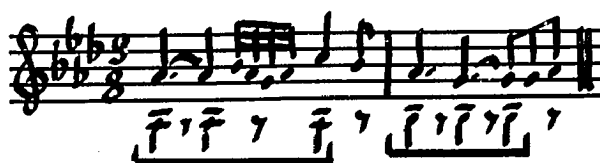
## Allegro con brio, m. 39-41

m. 86-90



The second movement, aside from being in 9/8 time and involving many triplet-figures in the accompaniment, shows related material at the very beginning too:

## Ex. III-64: Adagio cantabile, m. 1-2



In the Menuet, the second section starts with a strong reiteration of the unifying idea:

Ex. III-65: Tempo di Menuetto, m. 8-10



Similarly, in the fourth movement, the second part of the theme and a few variations include related material:

Ex. III-66: Tema con Variazioni, Andante, m. 9-12



The Scherzo involves the unifying idea first as transitional matter, then in the Trio as an independent theme:

Ex. III-67: Scherzo, Allegro molto Trio, m. 97-104  
e vivace, m. 37-40



The slow introduction to the sixth movement ends with an emphatic statement of the unifying idea,

Ex. III-68: Andante con moto alla Marcia, m. 15-16



The last movement includes related material especially in cadential spots:

Ex. III-69: Presto m. 43



The Septet is not mentioned in the literature dealing with thematic unity.

60. 1799-1800 A Piano Sonata in B-flat major, Op. 22

The unifying idea is a four-note motive, the first three of which form a lower-neighbor figure. Since the Sonata is discussed in Chapter IV, only selected examples will be cited here:

Ex. III-70: Allegro con brio,  
m. 1



Adagio con molto espressione, m. 1-5



Menuetto,  
m. 1-2

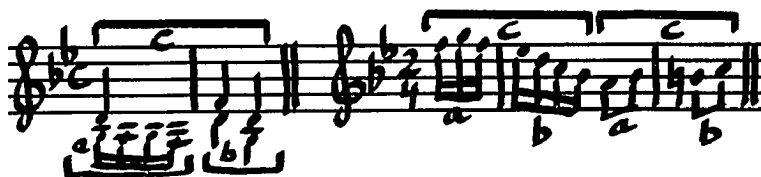
Minore, m. 1

Rondo, Allegretto,  
m. 4-5



Walter Engelsmann manipulates the opening motive  
to demonstrate relationships such as the following:<sup>44</sup>

Ex. III-71: Allegro con brio, m. 1      Rondo, Allegretto,  
m. 1-2 (Engelsmann)



<sup>44</sup>Engelsmann, "Die Sonatenform," p. 425.

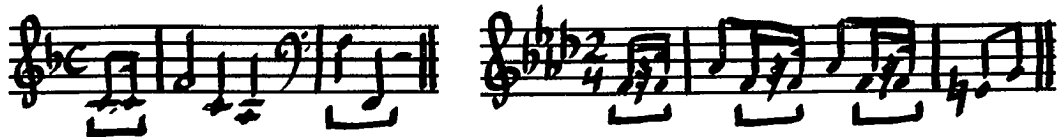
61. 1800 B Sonata for Horn and Piano in F major,  
Op. 17

The special instrumentation undoubtedly influenced the characteristic material of the Sonata as well as the nature of thematic unity in it. At any rate, the thematic relationships are based on dotted rhythms and octave leaps. It will suffice to cite only a few spots, since others are similar:

Ex. III-72:

Allegro moderato, m. 1-2

Poco adagio quasi  
andante, m. 1-2



Rondo, m. 1-2



62. 1800 N Piano Concerto No. 3 in C minor, Op. 37

Ludwig Misch suggests a rhythmical resemblance between the secondary theme of the first movement and one of the Finale themes (see Ex. II-15, p. 39).<sup>45</sup>

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<sup>45</sup>Misch, "Die Faktoren," p. 27.

63. 1800-01 A Sonata for Violin and Piano in A minor, Op. 23

The unifying idea is an upward-downward or downward-upward step-wise motion. It reveals itself immediately in the beginning of each movement:

Ex. III-73:

Presto, m. 1-2

Anadante scherzoso,  
più Allegretto, m. 1-4

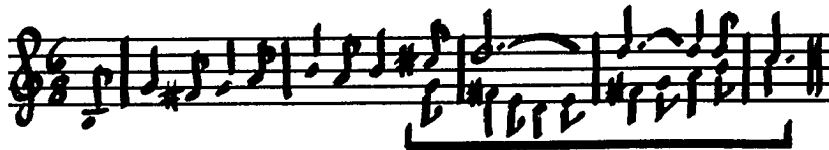


Allegro molto, m. 1-2



In the first movement the second theme also involves the unifying idea,

Ex. III-74: Presto, m. 30-34



as well as a few scale-figures which appear as fragmentation of the unifying idea:

Ex. III-75: Presto, m. 110-112



In the second movement its second theme involves related material as well:

Ex. III-76: Andante scherzoso, più Allegretto,  
m. 38-40



In the development of the second movement, two themes are combined in a simultaneous appearance of the opposite directions involves successively in the unifying idea:

Ex. III-77: Andante scherzoso, più Allegretto,  
m. 103-105



In the third movement the idea is prominent only through the frequent repetitions of the principal theme.

Walter Engelsmann recognizes the motion in opposite directions which characterizes the unifying idea. In addition, he maintains that the pitch-level difference of a whole step, which the opening theme reveals through a sequence of the first measures, plays a thematic role in the Sonata.<sup>46</sup> Robert Haven Schauffler attributes the discovery of the unifying germ-motive in the Sonata to Miss Marion Bauer.<sup>47</sup>

64. 1800-01 A Sonata for Violin and Piano in F major, Op. 24

An incomplete double-neighbor figure, followed by a step-wise downward motion, is the idea which strongly unites the Sonata, at times to an extent where the composer's conscious employment of thematic unity is difficult to reject:

Ex. III-78: Allegro, m. 1-2

Adagio molto  
espressivo, m. 54-55

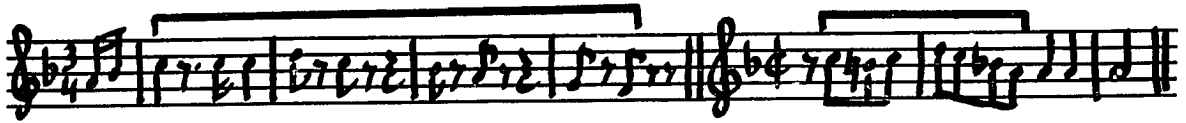


<sup>46</sup>Engelsmann, Beethovens Kompositionspläne, p. 111.

<sup>47</sup>Schauffler, Beethoven, p. 534.

Scherzo, Allegro molto,  
m. 1-4

Rondo, Allegro ma non  
troppo, m. 1-2



Additional examples are cited throughout Chapter IV. Only Walter Engelsmann mentions this Sonata, considering the rising second a unifying motive but failing to provide evidence to distinguish it from the usual vocabulary of Classical music.<sup>48</sup>

65. 1800-01 B Piano Sonata in A-flat major, Op. 26

In this Sonata the unifying idea is subtle, for it is often exposed in the midst of thick texture. In the opening of the Sonata it appears in the bass line, beneath a melody with distinctness of its own:

Ex. III-79: Andante con Variazione, m. 1-4



<sup>48</sup>Engelsmann, Beethovens Kompositionspläne, p. 47.

Throughout the variations, however, the step-wise ascending third is persistent. Moreover, its recurring exact pitches--a-flat, b-flat, c--gain a prominence that increases when the second movement starts identically:

Ex. III-80: Scherzo, Allegro molto, m. 1-4



In the third movement, the Marcia Funebre, the unifying idea appears in an inner voice (b-flat--c-flat--d-flat), again surrounded by thick texture:

Ex. III-81: Marcia Funebre, m. 1-2



The same quality of texture prevails when a transitional theme reveals the unifying idea in inversion:<sup>49</sup>

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<sup>49</sup> See also sketches to the third and fourth movements, p. 172.

Ex. III-82: Marcia Funebre, m. 16-18



The principal theme of the Finale may now be interpreted as a fragmentation of the unifying idea, namely, an ascending step:

Ex. III-83: Allegro, m. 1-3



The unity in the Sonata is moderate because the unifying idea permeates only a limited amount of thematic material.

66. 1800-01 C Piano Sonata in E-flat major,  
Op. 27, No. 1

The Sonata reveals features which may seem to be of strong unifying power: the movements are played without pause, and material from the third movement is inserted in the fourth. However, as far as thematic unity is concerned, the relationships are only weak. The first, third, and fourth movements begin with a falling third:

Ex. III-84:

Andante, m. 1

Adagio con  
espressione,  
m. 1-2

Allegro  
vivace,  
m. 1-2



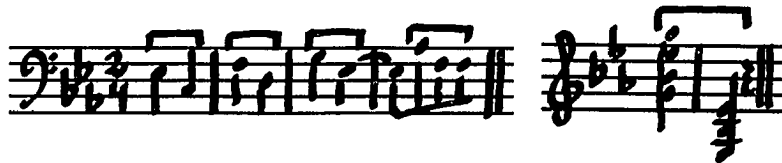
But except for the middle section in the first movement,

Ex. III-85: Andante, Allegro, m. 37-38



and the very end of the Sonata,

Ex. III-86: Allegro vivace, Presto, 20th to 17th  
measure before end, and the last two  
measures



most of the remaining thematic material is not connected with the unifying idea.

Betsy C. Farlow attributes great importance to

this Sonata as an example for Beethoven's advance in cyclical unity over his predecessors. According to Farlow, the initial themes of all the movements are related through a descending third followed by a rising fourth. The insertion in the last movement is treated as a distinct innovation, and so is also the fact that the movements are played without pause.<sup>50</sup>

67. 1801 C String Quintet in C major, Op. 29

A neighbor-figure appears in the principal themes of the first and fourth movements,

Ex. III-87: Allegro moderato, m. 1-3    Presto, m. 2-5



and--as part of these themes--throughout the movements as well. In the second movement, the unifying motive predominates in a transitional section:

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<sup>50</sup>Farlow, "Thematic Unity," p. 3.

Ex. III-88: Adagio molto espressivo, m. 16-18



The relationships, however, are weak, for the unifying idea characterizes the thematic material only to a small extent.

68. 1801 A Piano Sonata in C-sharp minor,  
Op. 27, No. 2

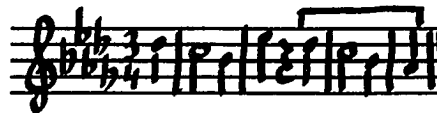
The unifying idea consists of two motives:

(a) an upper neighbor combined with a step-wise falling fourth, (b) a chromatic turn. The a-motive appears in a complete, fragmented, or embellished form in all three movements:

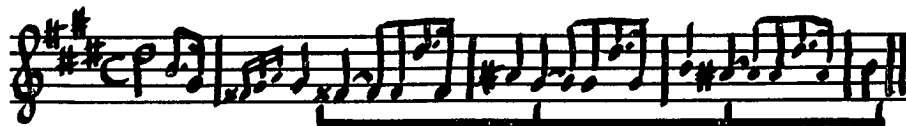
Ex. III-89:

Adagio sostenuto,  
m. 6-9

Allegretto,  
m. 1-4

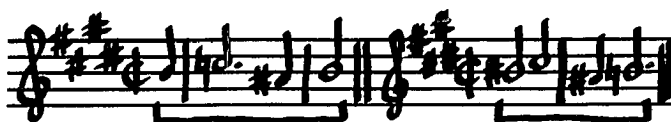


Presto agitato, m. 21-25



The b-motive, a chromatic turn, appears in the first and third movements:

Ex. III-90: Adagio sostenuto, m. 15-17      Presto agitato, m. 29-30



Of particular interest are the opening five measures of the first movement. When the treble broken chords are viewed as three-part harmony, the top and bottom voices outline the a-motive, the middle voice the b-motive:

Ex. III-91: Adagio sostenuto, m. 1-5  
(three-part reduction)





## Rondo, Allegro ma non troppo, m. 1-4



Hugo Riemann and Richard Rosenberg discuss the pedal point as a unifying element.<sup>52</sup> Ludwig Misch, Hugo Riemann, and J. S. Shedlock emphasize the role of the fourth or fifth (between a and d).<sup>53</sup>

70. 1801-02 N Piano Sonata in G major, Op. 31, No. 1

Ludwig Misch attempts to show stylistic affinities between the movements. Often, however, he does not distinguish them from affinities which pervade the Classical language in general. Moreover, some of Misch's motivic subdivisions do not conform with structural considerations. For instance, in his attempt to demonstrate the unifying role of the octave leap in the Sonata, he cites the

<sup>52</sup>Hugo Riemann, L. van Beethoven sämtliche Klavier-Solosonaten; ästhetische und formal-technische Analyse mit historischen Notizen, 3 vols. (Berlin: M. Hesse, 1919-1920), p. 272, 305; Rosenberg, Die Klaviersonaten, p. 193.

<sup>53</sup>Misch, "Die Faktoren," p. 72; Riemann, L. van Beethoven, p. 272; J. S. Shedlock, The Mannerisms of Beethoven, (London: Musical Association Proceedings, 12th session), p. 50.

following example from the Rondo:<sup>54</sup>

Ex. III-93: Rondo, Allegretto, m. 6-8 (Misch)



71. 1801-02 B Piano Sonata in D minor, Op. 31,  
No. 2

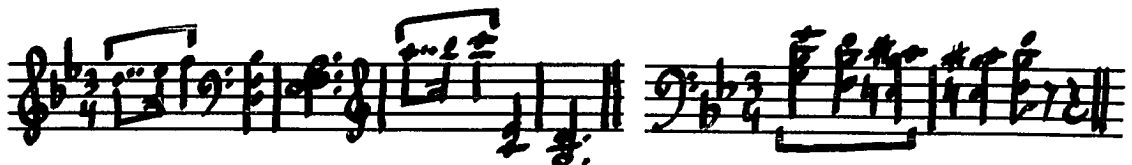
Each of the first two movements starts with an arpeggio:

Ex. III-94: Largo, m. 1-2          Adagio, m. 1-2



The second and third movements are related through a step-wise ascending third:

Ex. III-95: Adagio, m. 2-5          m. 18-19



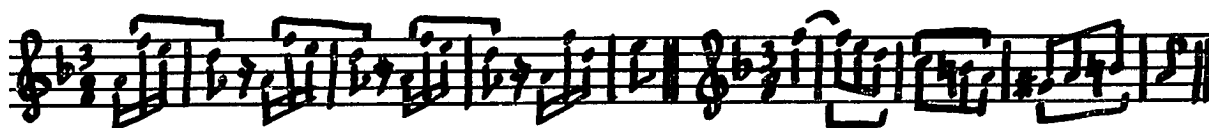
<sup>54</sup>Misch, "Die Faktoren," p. 47.

two last measures



Allegretto, m. 1-4

m. 49-53



Rudolph Reti and Richard Rosenberg mention the arpeggio as a unifying factor; the latter discusses also the falling third motive.<sup>55</sup>

72. 1801-02 N Piano Sonata in E-flat major Op. 31, No. 3

73. 1801-02 A Symphony No. 2 in D major, Op. 36

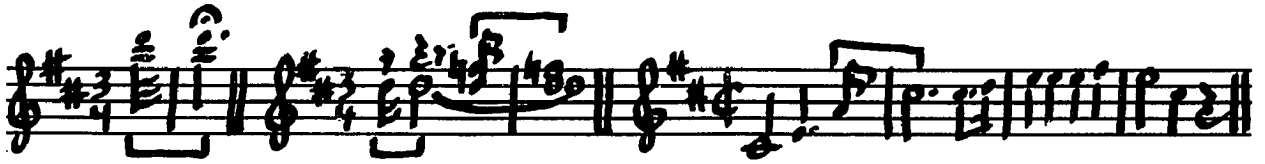
A rhythmic motive--two notes of short-long duration--unifies the first and last movements:

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<sup>55</sup>Reti, Thematic Patterns, p. 201; Rosenberg, Die Klaviersonaten, pp. 233-235.

Ex. III-96:

Adagio molto, m. 1      m. 57-58      m. 73-76



Allegro molto, m. 1-2

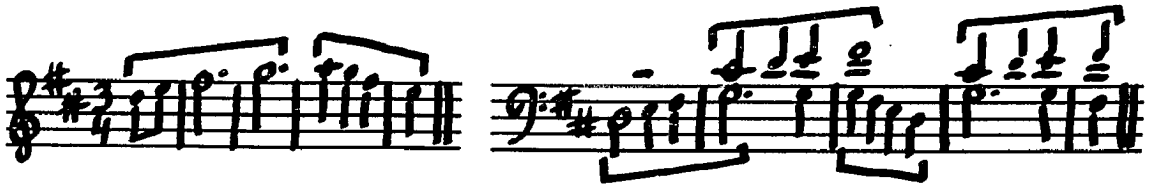



More effective is the step-wise falling fourth, which in various forms unites all four movements. Since the Symphony is fully discussed in Chapter IV, only representative examples will be cited here:

Ex. III-97: Adagio molto, m. 1-2      Allegro con brio, m. 34-35



Larghetto, m. 1-8

Scherzo, Trio,  
m. 84-88Allegro molto,  
m. 26-30

Walter Engelsmann recognizes the rhythmic short-long figure as a unifying motive.<sup>55</sup> Wilhelm Sauer asserts, but does not elaborate upon, unity among the movements of the Symphony.<sup>56</sup> Robert Haven Schauffler maintains that the step-wise third motive unifies the second and third movements and that the coherence of the entire Symphony grows out of a triad.<sup>57</sup> Hermann Scherchen stresses the role of the rhythmic figure  in the first, second, and third movements.<sup>58</sup>

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<sup>55</sup> Engelsmann, "Die Sonatenform," p. 426.

<sup>56</sup> Sauer, Beethoven und das Wesen, p. 211.

<sup>57</sup> Schauffler, Beethoven, p. 110.

<sup>58</sup> Scherchen, The Nature of Music, p. 138.

74. 1802 B Sonata for Violin and Piano in A major,  
Op. 30, No. 1

The unifying idea is a rising fourth (or falling fifth). In the first movement it is a constructive idea:

Ex. III-98: Allegro, m. 3-8      m. 34-37

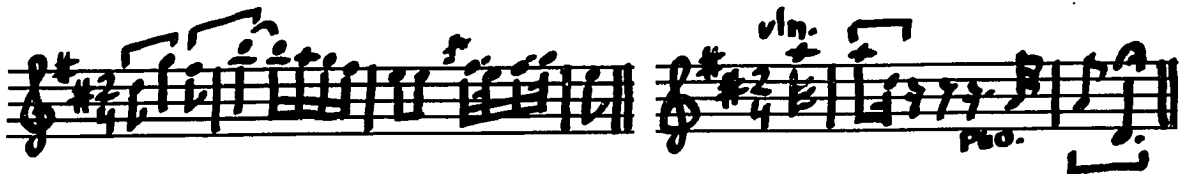


m. 102-106



In the second and third movements, the idea appears persistently though not constructively:

Ex. III-99: Adagio molto espressivo,      last two  
m. 5-8      measures



Allegretto con Variazioni, m. 21-24  
m. 1-4



Walter Engelsmann's analysis is unconvincing.<sup>59</sup>

He considers the interval of a third a unifying motive. Since originally the Finale of the Kreutzer Sonata Op. 47 had been planned as the Finale of the Sonata Op. 30, No. 1, Engelsmann demonstrates how the interval of a third permeates in the Kreutzer Sonata as well. The following may illustrate his doubtful approach:<sup>60</sup>

Ex. III-100: Sonata for Violin and Piano in  
A major, Op. 47, Presto, m. 126-133



75. 1802 C Sonata for Violin and Piano in C minor,  
Op. 30, No. 2

A weak relationship exists among the first, third and fourth movements through a frequent appearance of the

<sup>59</sup>Engelsmann, Beethovens Kompositionspläne, p. 155.

<sup>60</sup>Ibid., p. 170.

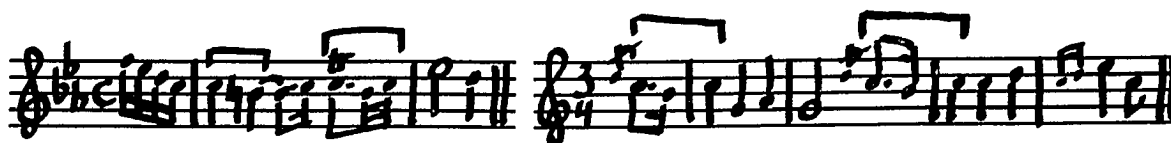
pitch group c--b-natural:

Ex. III-101: Allegro con brio, m. 13-18



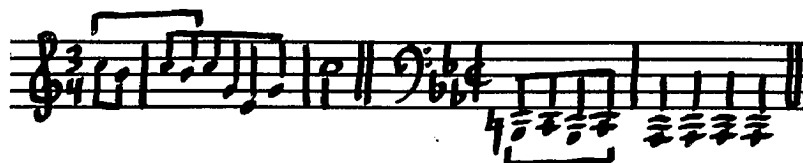
m. 24-26

Scherzo, Allegro, m. 1-4



Scherzo, Trio,  
m. 49-50

Finale, Allegro, m. 1



Walter Engelsmann's analysis is unconvincing.<sup>61</sup>

The following is a characteristic example:<sup>62</sup>

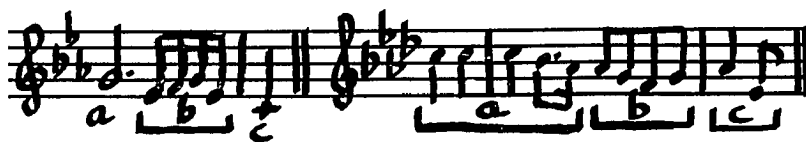
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<sup>61</sup>Engelsmann, "Die Sonatenform," p. 425;  
Beethovens Kompositionspläne, p. 27.

<sup>62</sup>Engelsmann, Beethovens Kompositionspläne,  
p. 27.

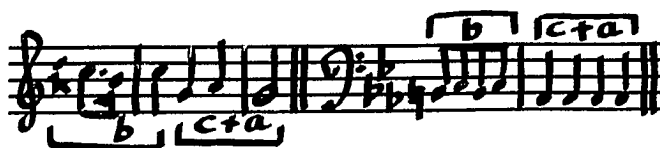
Ex. III-102: Allegro con brio,  
m. 1-2

Adagio cantabile,  
m. 1-2



Scherzo, Allegro, m. 1-2

Finale, Allegro,  
m. 1



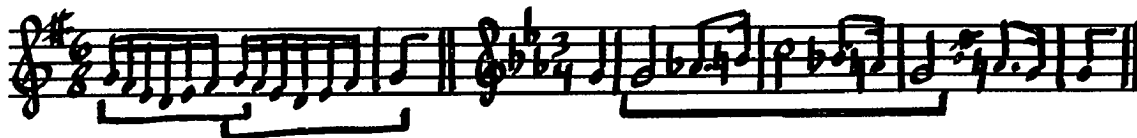
76. 1802 B Sonata for Violin and Piano in G major,  
Op. 30, No. 3

The Sonata is unified through an idea consisting  
of step-wise motion in opposite direction:

Ex. III-103:

Allegro assai, m. 1-2

Tempo di Minuetto,  
m. 16-20



Tempo di Minuetto,  
m. 62-64

Allegro vivace,  
m. 8-12



But the idea is significantly constructive in neither movement.

Walter Engelsmann's analysis is unconvincing, for it involves too many untenable motivic subdivisions.<sup>63</sup>

It is now possible, on the basis of the information given in the foregoing account, to attempt to draw conclusions which refer to thematic unity in Beethoven's first style-period in general.

#### General Characteristics of Thematic Unity in the First Style Period

##### General Development

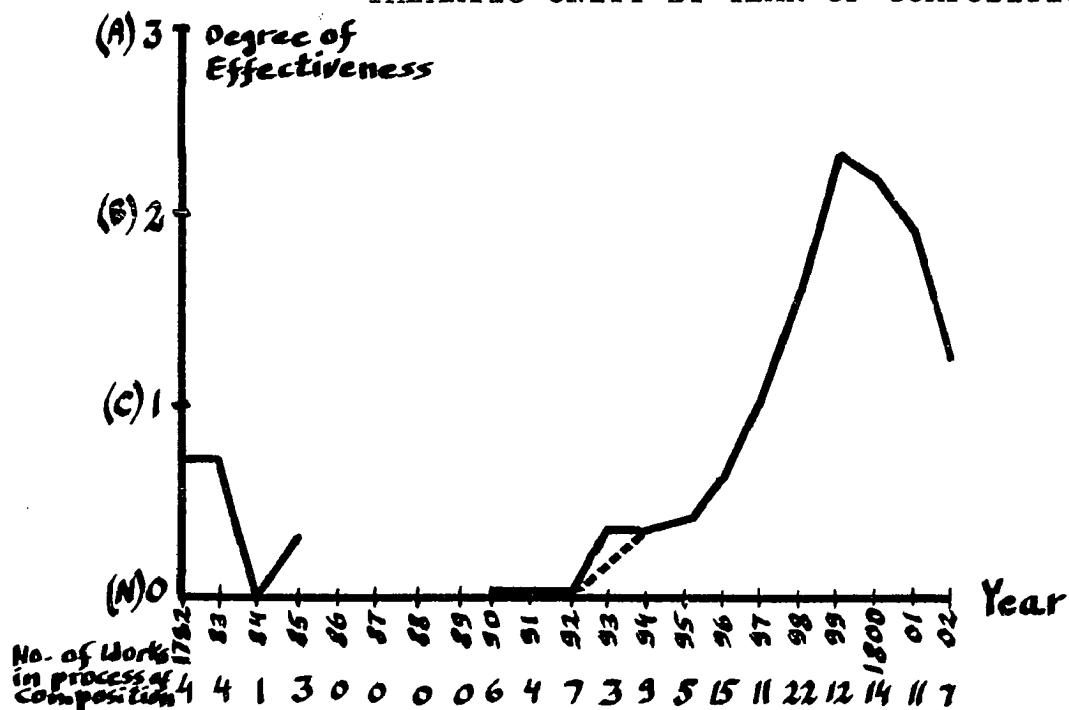
The following graph shows the average degree of effectiveness of thematic unity in the works of the first style period, according to their year of composition. It must be emphasized that, since the evaluation of thematic unity can be neither perfectly objective nor precisely measured, any numerical representation of it is merely an approximation. Nevertheless, the graphic curve does provide

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<sup>63</sup>Engelsmann, Beethovens Kompositionspläne, p. 120.

a clear illustration of the general process in question, and important conclusions may be drawn from it despite slight imprecisions.<sup>64</sup>

FIGURE I: AVERAGE DEGREE OF EFFECTIVENESS OF THEMATIC UNITY BY YEAR OF COMPOSITION



The most important and striking phenomenon revealed in the graph is the gradual increase in effectiveness of thematic unity during the period 1794-99 (and--when the years 1792-94 are viewed as one time-unit--the period in question may be enlarged to cover the years

<sup>64</sup>The graph has been constructed in the following way: a numerical value has been assigned to each of the degrees of effectiveness of thematic unity, A--3, B--2, C--1, N--0. For each year, all sonata works which were in process of composition during that year were taken into account (works which had been composed during several years appear, therefore, more than once), their degrees of effectiveness added and the average taken over the number of works.

1792-99, as shown by the dotted line in the graph). This phenomenon proves clearly that thematic unity had been used (consciously or unconsciously) as an active compositional device and its power consistently explored and experimented with during that period.

The curve representing earlier youthful works, on the other hand, shows greater fluctuations, and points to the fact that thematic unity--to the small extent to which it is revealed in these works--had been rather randomly used, and perhaps its full significance not yet determined. The latter assumption is reinforced by the steady zero-line in the graph representing the years 1790-92.

The sharp decline in the curve corresponding to the years 1800-1802 is worthy of remark. An immediate question arises--whether or not the curve continues to decline past the year 1802, the answer for which is, of course, beyond the scope of this investigation. However, the presence of strong thematic unity in a number of later works by Beethoven is a known fact.<sup>65</sup> One may assume, therefore, that the curve will continue in some kind of a fluctuating manner. If this assumption holds true, it magnifies the importance of the period 1794-99 as a persistently experimental one, with regard to thematic unity. It also leads one to believe that the

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<sup>65</sup> See Introduction, p. 1.

decline is not a result of total rejection of thematic unity as a compositional device, but rather a natural decline which follows any climax, particularly that which marks the use of thematic unity in the years 1799-1800.

The graphic decline points also to the obvious conclusion that thematic unity is not a necessary condition in Beethoven's artistic development after 1800.

#### Thematic Unity according to Performance Media

The sonata works of the first style period belong to three principal categories of medium: solo piano, chamber, and orchestral. When the average degree of effectiveness of thematic unity is calculated per each category (the numerical values are again A--3, B--2, C--1, N--0), the following results are revealed:

TABLE I

#### AVERAGE DEGREE OF EFFECTIVENESS IN PRINCIPAL CATEGORIES OF PERFORMANCE MEDIA

Performance Medium	Number of Works	Average Degree of Effectiveness
Solo Piano	25	1.32
Chamber	45	0.87
Orchestral	6	1.17

The comparatively low average for chamber works is rather trivial, because of the large number of early youthful chamber works which involve no thematic unity. Thus, it may be concluded that the principal categories of performance media do not exhibit significantly different degrees of effectiveness of thematic unity.

This does not seem to be the case regarding

various performance media within each of the chamber and orchestral categories. When the chamber works are classified according to their specific instrumentation, the results are as follows:

TABLE II  
AVERAGE DEGREE OF EFFECTIVENESS IN CHAMBER  
WORKS ACCORDING TO INSTRUMENTATION

Instrumentation	Number of Works	Average Degree of Effectiveness
Piano and woodwinds	4	0.50
Piano and strings	17	1.06
Strings only	12	1.25
Woodwind ensembles	8	0.00
Other rare combinations	4	0.87

In Table II, the comparatively low average corresponding to chamber works with woodwinds is notable. The only possible explanation of this phenomenon is that Beethoven's earlier works with woodwinds are still influenced by the light and easy style of the eighteenth century divertimento, whereas thematic unity is a compositional device far too sophisticated, and at times altogether concealed from the entertained listener.

More perplexing is the distribution within the orchestral category: both symphonies involve strong thematic unity, whereas among the four piano concertos, three employ none whatsoever. It is possible, of course, to attribute this oddity to pure chance. At any rate, any attempt to further explain it must rely on analytical evidence from all other orchestral works by Beethoven, a task beyond the scope of this thesis.

Thematic Unity in Different Sonata Movements

In the following investigation, the common four-movement scheme of the sonata--Allegro (sometimes preceded by an introduction), Adagio, Scherzo (or Minuet), Allegro--is considered the standard.<sup>66</sup> In all other cases (three- or two-movement sonatas, differently ordered movements, etc.), movements will be referred to according to the standard scheme of their function within each specific sonata. In this way, the movements of 41 sonata works, all of which employ some thematic unity, have been assorted by the role of each movement in the unification process of the entire sonata--moderate to strong, weak or none.

TABLE III  
DISTRIBUTION OF SONATA MOVEMENTS ACCORDING  
TO THEIR ROLE IN THE UNIFICATION PROCESS

Movement	Number of Occurrences among the 41 works	Mov. of Moderate to Strong Them. Un.	Mov. of Weak Them. Un.	Mov. of No Them. Un.
Introd.	7	57%	43%	0%
Allegro	41	61%	34%	5%
Adagio	36	64%	25%	11%
Scherzo	24	54%	25%	21%
Allegro	40	47%	43%	10%

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<sup>66</sup>See Apel, Harvard Dictionary, "Sonata," p. 787.

Table III reveals the following facts: (1) the slow introduction, when present, involves thematic unity; (2) the first Allegro movement and the Adagio both employ thematic unity frequently and significantly; (3) the Scherzo employs thematic unity less frequently; (4) the last Allegro movement employs thematic unity frequently but less significantly.

In so far as any conclusion can be drawn from the distribution in Table III, it probably points to the weightier nature of the first two movements compared to the third and fourth, in Beethoven's earlier sonatas.<sup>67</sup>

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<sup>67</sup>Newman, in The Sonata in the Classic Era, p. 142, attempts to describe what he calls the "dynamic or climactic curve" in the Classical sonata. Rosen, in The Classical Style, p. 100, asserts that the standard four movements of a sonata "are arranged . . . in a progressively relaxed order, . . .". The question is obviously too subjective to be decisively answered. However, observations of thematic unity, such as those drawn from Table III, can contribute important factors to similar investigations.

## CHAPTER IV

### BEETHOVEN'S MEANS AND TECHNIQUES OF THEMATIC UNIFICATION

To examine closely Beethoven's techniques of thematic unification, six exemplary works possessing strong features of thematic unity will be studied in depth. These works provide a characteristic and complete view of the subject. At the same time they also represent all performance-media, orchestral, chamber and solo, and their dates of composition span the years 1796-1802 as uniformly as possible.

The works are:

Piano Sonata in D major, Op. 10, No. 3 (1796-98)

String Quartet in B-flat major, Op. 18, No. 6  
(1798-1800)

Symphony No. 1 in C major, Op. 21 (1799)

Piano Sonata in B-flat major, Op. 22 (1799-1800)

Sonata for Violin and Piano in F major, Op. 24  
(1800-01)

Symphony No. 2 in D major, Op. 36 (1801-02)<sup>1</sup>

The first consideration will be the specific

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<sup>1</sup>The inclusion of both symphonies is obviously out of proportion in relation to the representation of chamber and solo works. Because of the special nature of thematic

nature of the unifying idea and its manipulation in the first tempo-section.<sup>2</sup> Then will follow an investigation of later reappearances of unifying material. Since in general any relationship is based on an interchange between modification and identity, the discussion will accordingly distinguish between relationships involving thematic modification and relationships involving identical material. It will conclude with an inquiry into significant locations of thematic reappearances within a sonata movement.

The Nature of the Unifying Idea and  
its Appearance in the First  
Tempo-Section

The six compositions exhibit three types of unifying ideas. Common to all types is the distinct, clear and immediate prominence at the beginning of the work.

In both the String Quartet Op. 18, No. 6, and the Piano Sonata Op. 22, the unifying idea is in itself a

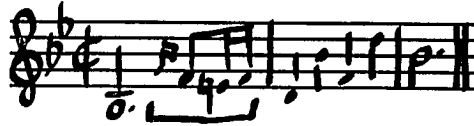
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unity in each of these symphonies, however, an omission of either one would make this investigation incomplete.

<sup>2</sup>By first tempo-section is meant the slow introduction, when present, or the opening "allegro." Such a distinction must be made since it cannot be taken for granted that an introduction is thematically connected to the movement that follows. Thus, when a thematic relationship does exist between the introduction and the "allegro," it must be considered a feature of thematic unity, and the material in the "allegro" will be treated as a reappearance of the unifying matter.

distinct, short, and fragmentary motive:

Ex. IV-1: String Quartet Op. 18, No. 6, Allegro con brio, m. 1-3.



Ex. IV-2: Piano Sonata Op. 22, Allegro con brio, m. 1.



Both motives consist of rhythmical values which are the shortest in the movements. In the Piano Sonata the motive immediately generates the rhythmic motion of the music. In the Quartet it fulfills a metric function through accentuation of the weak beats of the measures. Rhythmical energy is further gained when the motives are soon subjected to development, mainly sequential repetitions (m. 13-17 in the Quartet, 2-3 and 8-12 in the Piano Sonata). As a result, the melodic structures of the motives are brought into prominence as well.

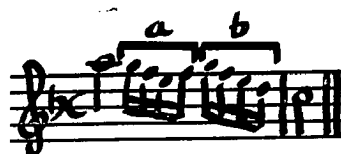
The Piano Sonata Op. 10 No. 3 and the Sonata for Violin and Piano Op. 24 reveal a different type of uni-

fyng idea. Here the idea is a motive, too, but one which unfolds two distinct parts:

Ex. IV-3: Piano Sonata Op. 10, No. 3, Presto, m. 1-2.



Ex. IV-4: Sonata for Violin and Piano Op. 24, Allegro, m. 1-2



Both parts employ the same rhythm; in the Piano Sonata motive, they also share the initial half-step c-sharp--d. Thus, in spite of their subdivisions, the motives remain integral entities.

Contrary to the fragmentary quality of the motives in Op. 18, No. 6, and Op. 22, here the motives provide the substance for almost the entire first theme of each movement:

Ex. IV-5: Piano Sonata Op. 10, No. 3, Presto,  
m. 1-10



Ex. IV-6: Sonata for Violin and Piano Op. 24,  
Allegro, m. 1-10



Yet another type of idea unifies the First Symphony and the Second Symphony, namely, two distinct, separately introduced motives:

Ex. IV-7: Symphony No. 1, Op. 21, Adagio molto,  
m. 1 and 9-10.

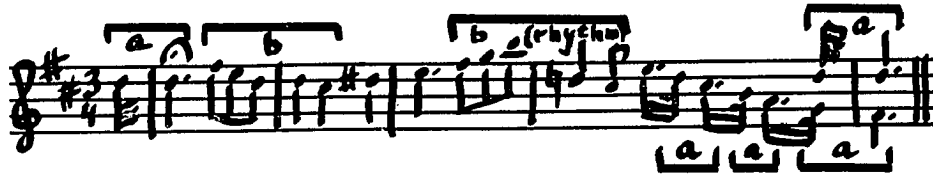



Ex. IV-8: Symphony No. 2, Op. 36, Adagio molto,  
m. 1-2



The half-step motive of the Introduction in the First Symphony is strongly articulated through sequential repetitions and distinct harmonization in m. 1-4 and 6. The second motive is exceptional in that it plays only a transitory role in the Introduction, in m. 9 and 12. In the Second Symphony, the entire theme of the Introduction is based on the above pair of motives:

Ex. IV-9: Symphony No. 2, Op. 36, Adagio molto,  
m. 1-5



The a-motive of the Second Symphony should be noted for its rhythmical, fragmentary quality, which distinguishes it from the broad, evenly flowing theme itself. The b-motive should also be noted for its rich melodic (step-wise motion within an interval of a fourth), rhythmic ( , and contrapuntal (contrary motion in inversion) content.

To sum up: The unifying idea consists of one or more motives. The motives may be either short and fragmentary, distinctly distinguished from the surrounding material by their particular melodic, rhythmic and harmonic qualities, and given prominence by frequent repetitions; or the motives may be of a more complex structure which consequently becomes the source of the entire first theme. In all cases, the unifying idea appears emphatically at the beginning of the first tempo-section.

It is important to note that in four of the six sonatas the unifying idea also plays a constructive role in the first tempo-section. The most obvious example is the Piano Sonata Op. 10, No. 3, where the entire thematic, transitional and developmental invention reveals, in one way or another, the motive cited in Ex. IV-3. In the Sonata for Piano and Violin Op. 24, and in the Piano Sonata Op. 22, the unifying idea is absent from the second theme group. It manifests itself considerably, however, in the first theme group, the closing section, the development section, and--in Op. 24--in the coda. In the Second Symphony the motives cited in Ex. IV-8 permeate the music of the entire Introduction.

On the other hand, both the String Quartet Op. 18 No. 6 and the First Symphony do not reveal the same treatment. In the Quartet, the motive cited in Ex. IV-1 is noticeable (but not constructive) in the first theme group, the closing section, and the beginning of the development

section only. The Introduction in the First Symphony is altogether too short to engage in significant development. One cannot overlook, however, the simultaneous superposition of the motives cited in Ex. IV-7:

Ex. IV-11: Symphony No. 1, Op. 21, Adagio molto, m. 11-13.



It can be concluded, thus, that although in most cases the unifying idea does play a constructive role in the first tempo-section, this is not a necessary condition for the existence of thematic unity.

### Later Reappearances of the Unifying Idea

#### I. Reappearances involving Thematic Modifications

In the following discussion it will be seen that the thematic modifications in question are all based on common features of what is usually called "motivic development."<sup>3</sup> There is, however, an essential difference be-

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<sup>3</sup>Also called "motivic variation" by Douglass M. Green, in Form in Tonal Music (New York: Holt, Rinehart and Winston, 1965), p. 32; or "motivic play" by Newman, The Sonata since Beethoven, p. 110. See discussion of development features in Green, Form in Tonal Music, p. 32.

tween thematic modification as a means of thematic unity and motivic development in general. William S. Newman describes "motivic play" as being "characterized variously by imitative treatment of a significant but fragmentary idea, . . ." (*italics mine*).<sup>4</sup> In other words, the process of motivic development, through a variety of diversified reappearances, unfolds and projects the unique elements of the theme. The exact opposite holds true with regard to thematic unity: through reappearances based on unique elements of the theme, a variety of diversified ideas, new themes, and contrasting movements are created. In motivic development the interest lies in what the theme is. In thematic unity--in what the theme does.

Therefore, while the means of thematic modification employed by Beethoven in sonatas that are thematically united are similar to those which he employs in motivic development in general, the techniques are different. A series of examples of the means will demonstrate their similarity to motivic development:

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<sup>4</sup>Newman, The Sonata since Beethoven, p. 110.

Fragmentation.

Ex. IV-12: Symphony No. 2, Op. 36, Scherzo,  
Allegro, m. 1-8.

*Unifying idea:*

Extension.

Ex. IV-13: Symphony No. 1, Op. 21, Andante  
cantabile con moto, m. 183-186.

*Unifying idea:*

Sequential Repetition.

Ex. IV-14: Piano Sonata Op. 22, Menuetto,  
m. 4-8.

*Unifying idea:*

## Interval Change.

Ex. IV-15: Piano Sonata Op. 22, Minuetto--minore,  
m. 30-34.



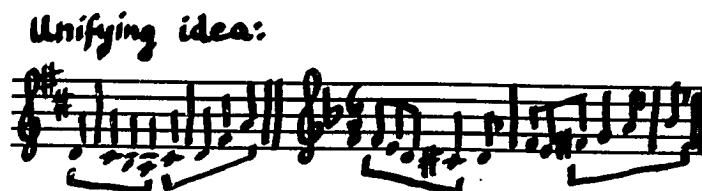
## Retrogression.

Ex. IV-16: String Quartet Op. 18, No. 6, Scherzo,  
Allegro, m. 1-4



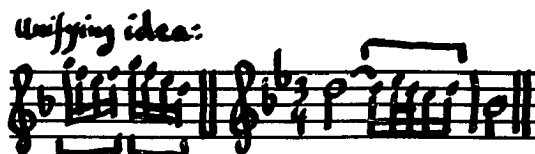
## Inversion.

Ex. IV-17: Piano Sonata Op. 10, No. 3,  
Largo e mesto, m. 3-5.



## Rhythmic Change.

Ex. IV-18: Sonata for Violin and Piano Op. 24,  
Adagio molto espressivo, m. 2-3.



## Augmentation.

Ex. IV-19: Symphony No. 2, Op. 36, Finale,  
Allegro molto, m. 358-366.

Unifying idea:

## Diminution.

Ex. IV-20: Symphony No. 2, Op. 36, Larghetto,  
m. 69-70.

Unifying idea:

Transformation of Melodic Material  
into Accompaniment.

Ex. IV-21: Symphony No. 1, Op. 21, Finale, Allegro  
molto e vivace, m. 130-138.

Unifying idea:

## II. The Techniques of Thematic Modification.

Upon close examination of the techniques of thematic modification applied by Beethoven in the process of thematic unity, a certain design seems to govern in several cases, namely, obscuration of the unifying idea, followed by explication. This design conforms with the function of thematic modification as previously described--the creation of diversified ideas. The ambiguity in the disclosure of the unifying idea contributes to the effectiveness of contrast and diversity. The explicit exhibition of the unifying idea which follows intensifies its complete manifestation in the unification process.

The design appears on a larger and smaller scale: a whole movement of a sonata, and a single theme, respectively. The following discussion will deal with each of these forms separately.

On the larger scale, obscuration takes place within the exposition of the thematic material; explication is revealed later in developmental treatment, through which the unifying idea becomes prominent. A few examples, one from each work, will clarify this statement.

In the Piano Sonata Op. 10, No. 3, the principal theme of the third movement,

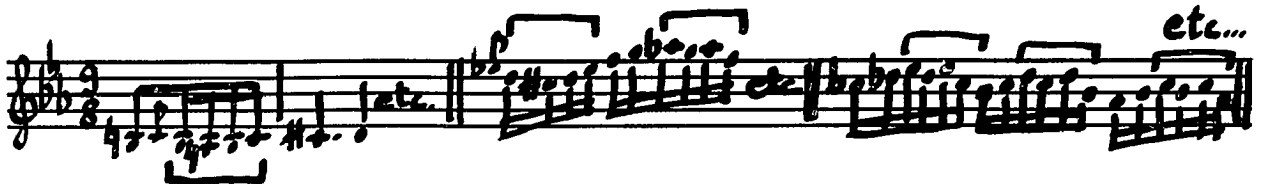


Ex. IV-23: Piano Sonata Op. 22, Adagio con  
molt' espressione, m. 1-5



is rich with fragments that pertain to the unifying idea, which is primarily a lower-neighbour figure. But, because of their ornamental function in the melody, the significance of these fragments as independent motives is obscured. However, the entire development section (m. 31-47) is based on sequential repetitions of similar fragments:

Ex. IV-23a: m. 31-32, 34, 39



Here, the fragments are removed from the theme and gain prominence through sequential repetition. Moreover, the motive which is closer to the unifying idea (c<sup>1</sup>--b-natural--c<sup>1</sup>--a-flat) due to the skip following the lower-neighbor figure,

and which appeared only once in the theme (m. 4), is from m. 39 on singly developed.

In the Sonata for Violin and Piano Op. 24, the principal theme in the slow movement appears first in the piano-part:

Ex. IV-24: Sonata for Violin and Piano Op. 24,  
Adagio molto espressivo, m. 2-9

The image shows a musical score for the piano part of the Sonata for Violin and Piano Op. 24, measures 2-9. The notation is in G major (one sharp) and 4/4 time. The first measure is marked with a handwritten note 'unifying idea' above it. The score consists of two staves: a treble clef staff and a bass clef staff. The music is characterized by a slow, expressive tempo and features a prominent unifying idea in the first measure, which is a sequence of notes that is later repeated in various forms throughout the movement.

The unifying idea is implied in m. 2 and 6, but obscured through rhythmic and intervallic changes. In m. 54-61, exact transpositions of the unifying idea appear in a chain of sequential repetitions:

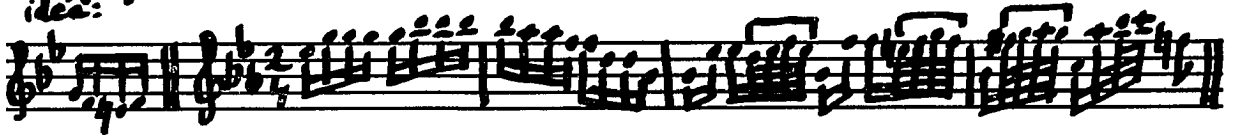
Ex. IV-24a, m. 54-58

The image shows a musical score for the piano part of the Sonata for Violin and Piano Op. 24, measures 54-58. The notation is in G major (one sharp) and 4/4 time. The score consists of a single treble clef staff. The music is characterized by a slow, expressive tempo and features a chain of sequential repetitions of the unifying idea, which is a sequence of notes that is later repeated in various forms throughout the movement.

In the second movement of the String Quartet Op. 18, No. 6, the unifying idea in inverted form, which appears first in the main theme,

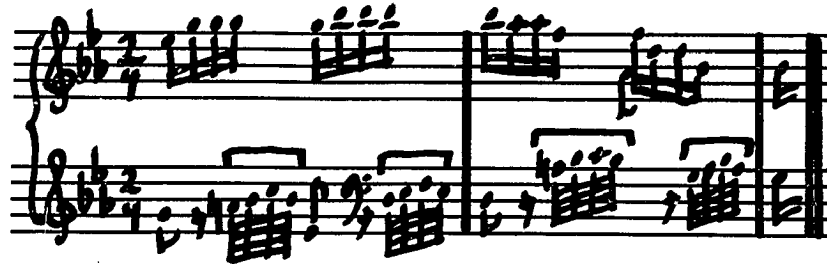
Ex. IV-25: String Quartet Op. 18, No. 6,  
Adagio ma non troppo, m. 1-4.

Unifying  
idea:



is later developed into contrapuntal fragments against  
the same theme:

Ex. IV-25a: m. 45-46



The principal theme in the second movement of the First  
Symphony,

Ex. IV-26: Symphony No. 1, Op. 21, Andante  
cantabile con moto, m. 1-7

Unifying  
idea:



and its later development is indeed an ingenious example  
of the design in question. The half-step figure appears  
as a consequence of intervallic contraction, c--f (fourth)

f--a (third), a--b-flat (second). As a result, its motivic identity within this intervallic tissue can hardly be detected. The second figure (step-wise motion within a fifth), is somewhat more obvious, but still obscured by the prominence of the dotted rhythm and by the inverted motion.

The development section (m. 65-81) starts with sequential treatment of the intervals contained in m. 1-2, all but the half-step:

Ex. IV-26a, m. 65-73



The latter is isolated and predominates the entire section immediately following (m. 81-93):

Ex. IV-26b, m. 81-93



Since the development section ends in m. 100 it can be concluded that the melodic activity of the entire develop-

ment is geared towards isolation and projection of the half-step motive.

The second part of the unifying idea is more explicitly presented in the closing theme,

Ex. IV-26c, m. 58-61




and in the recapitulation,

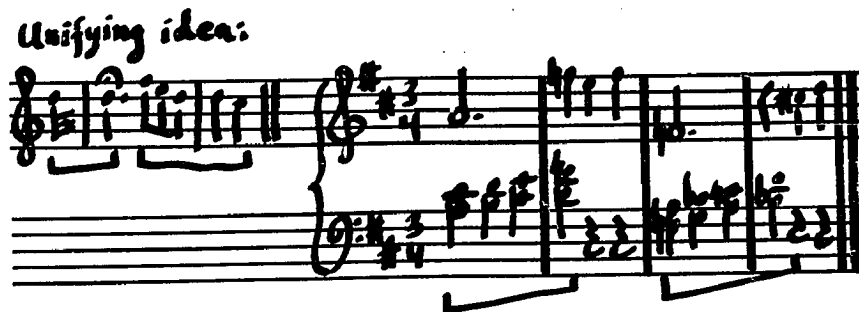
Ex. IV-26d, m. 106-111



primarily by means of abstraction of the dotted rhythm.

In the third movement of the Second Symphony, the unifying idea is obscured in the main theme (Ex. IV-12) because of the absence of two principal components of the idea--the interval of a fourth and the characteristic rhythm  . These components are added later,

Ex. IV-27: Symphony No. 2, Op. 36, Scherzo,  
Allegro, m. 17-20.



and in the Trio-theme,

Ex. IV-27a: Scherzo, Trio, m. 85-92

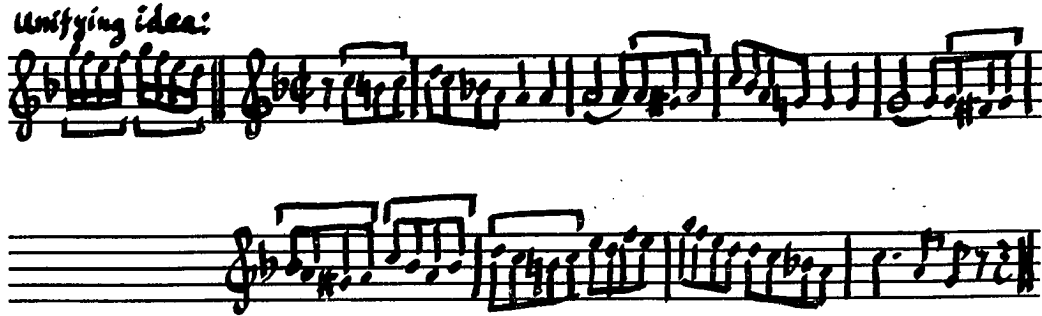


The examples cited above demonstrate the role of the obscuration-explication design on the larger scale --obscuration within the exposition, explication through developmental treatment. The role of the design on the smaller scale--the single theme--will be exemplified now.

The most common examples are those in which the beginning of the theme is not significantly related to the unifying idea; the relationship is then fully disclosed when the theme evolves through material in which the unifying idea is more clearly reflected.

The principal theme in the Finale of the Sonata for Violin and Piano Op. 24 is:

Ex. IV-28: Sonata for Violin and Piano, Op. 24  
Rondo, allegro ma non troppo, m. 1-8.



The origin of the lower-neighbour figure in the upbeat, in m. 2 and in m. 4, is not disclosed until m. 5-6, where the lower neighbour functions as part of a double-neighbour figure, identical with that in the unifying idea. An intensification of this process occurs later in the piano part:

Ex. IV-28a, m. 119-123



The opening theme in the third movement of the First Symphony consists of an ascending diatonic scale with a few chromatic insertions. Since diatonic and chromatic scales are part and parcel of the Classical musical language in general, any "hidden" relationships

may be rightfully overlooked.

Ex. IV-29: Symphony No. 1, Op. 21, Menuetto,  
Allegro molto e vivace, m. 1-8



In the following material, however, the significance of the half-step interval cannot be ignored:

Ex. IV-29a, m. 33-44

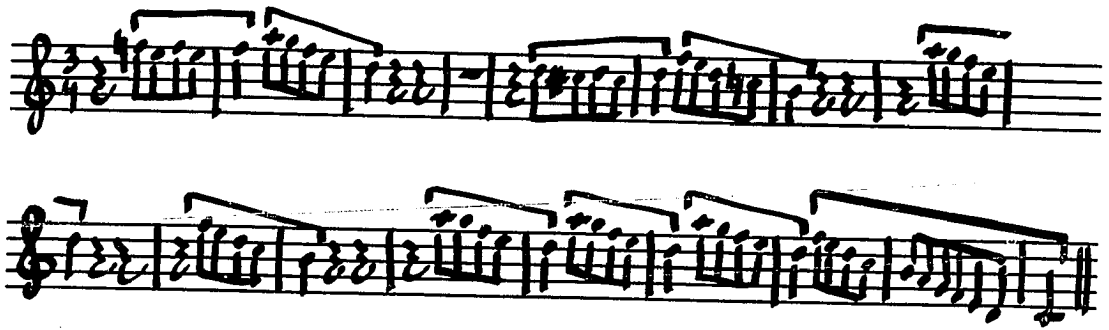
Similarly, in the Trio, the melody in the violins is essentially scalar:

Ex. IV-29b: Menuetto, Trio, m. 85-88



Later, this material is manifested as a combination of the components of the unifying idea:


## Ex. IV-29c, m. 106-122




In the Second Symphony, the second theme begins as follows:

Ex. IV-30: Symphony No. 2, Op. 36, Larghetto,  
m. 48-51



The characteristic rhythm  is, of course, reminiscent of the second motive of the unifying idea.<sup>6</sup> The broken chords in m. 49-50, however, decrease the effectiveness of this relationship. The following measures are self-explanatory:

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<sup>6</sup>The rhythm  is already implied in m. 5, 8, 23, 3, 41 and 43 in the same movement.

## Ex. IV-30a, m. 68-73



In La Malinconia from the Quartet Op. 18, No. 6, explanation takes place through sequential repetition of the figure that pertains to the unifying idea: In the opening,

Ex. IV-31: String Quartet, Op. 18, No. 6,  
La Malinconia, Adagio, m. 1-4



the grace-note figure may be conceived as a common embellishment. Its importance as a motive is emphasized, however, in the following measures:

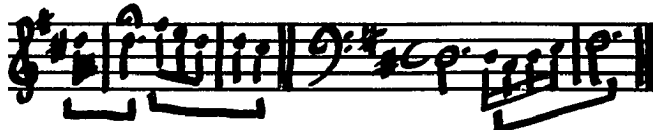
Ex. IV-31a, m. 13-16 and m. 37-42



To complete this inquiry into thematic modifications, a few additional examples must be discussed. Often, the unifying idea, in its reappearance, loses its original structural value. Such is the case with the principal motive of the first movement--Allegro con brio--from the Second Symphony, Op. 36:

Ex. IV-32: Symphony No. 2, Op. 36, Allegro con brio,  
m. 34.

*Unifying idea:*



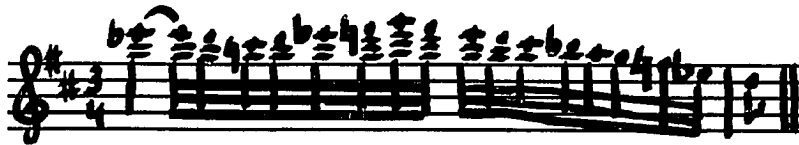
The  $c_2$ -sharp is actually a lower neighbour, and the  $e_1$ --a passing tone. Thus, the motive consisting of step-wise motion within the interval of a fourth is not structurally outlined here. Nevertheless, its true significance is immediately revealed in the following passage:

Ex. IV-32a, m. 37



The scalic figure originates in the running scales of the Introduction, m. 12-22. As a matter of fact, it occurs as a transposition of the scale in m. 15:

Ex. IV-32b: Adagio molto, m. 15



But the scales in the Introduction are an extended form of the step-wise fourth motive. Hence, the connection between the Allegro-motive and the unifying idea becomes evident.

When the unifying idea consists of two different motives, later reappearances may often combine the motives simultaneously. Such is the case in the Second Symphony,

Ex. IV-33: Symphony No. 2, Op. 36,  
Allegro molto, m. 346-350.

Unifying idea:

and in the Piano Sonata Op. 10, No. 3:

Ex. IV-34: Piano Sonata Op. 10, No. 3, Rondo,  
allegro, m. 1-2, 33-34.

Unifying idea:

Another common technique of thematic modification is used to create new themes based on the unifying idea. A new element, completely foreign to the unifying idea, is superimposed on it, and remains constructive throughout a movement. In the Sonata for Violin and Piano Op. 24 the rhythm plays the role of such a new element:

Ex. IV-35: Sonata for Violin and Piano, Op. 24,  
Scherzo, Allegro molto, m. 1-4

*unifying idea:*

In summary: thematic unity involves two processes. The first is the formation of new and diversified themes which bear a relationship to the unifying idea. The second is the reinforcement of the relationship either in the theme itself or through developmental treatment. In all instances, the means of thematic modification are similar to the means of motivic development in general. Naturally, the same applies also to the techniques of reinforcement through developmental treatment. More remarkable are the techniques of thematic formation through obscuration of the unifying idea, examples of which have been discussed in detail.

### III. Relationships Based on Identical Material.

The most obvious manifestation of thematic treatment is the insertion of a short section from one movement (or an introduction) into another. It is interesting to note that Beethoven employed such treatment already at the age of twelve, in the Piano Sonata in F-minor WoO 47

No. 2, where a varied version of the opening Larghetto maestoso is inserted in the Allegro assai. Nevertheless, the important role which is often attributed to such insertions as factors of coherence in a sonata work should be considered cautiously.<sup>7</sup> When the insertions are of a contrasting character to the music that surrounds them--which is the common case--they function as a reminiscence of previous material, the thematic substance of the movements remains independent, and the unity of the work is affected to a small extent only. But, when the insertion consists of material directly related to the unifying idea of the work--this is the case of the fourth and fifth movements in the String Quartet Op. 18 No. 6 (Ex. IV-31)--its significance as a factor of thematic unity undoubtedly increases.

Another form of identical transformation is that which will be referred to here as a "quotation." By this term is meant any phrase, other than a complete insertion, which in one way or another acts as a definite, unequivocal reminiscence of the unifying idea or part of it. Quotations have already been cited in Ex. IV-24a (Sonata for Piano and Violin Op. 24, second movement, m. 54-56), Ex. IV-32a and Ex. IV-30 (Second Symphony, first movement, m. 37 and second movement, m. 48-59, respectively).

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<sup>7</sup>See Farlow, Thematic Unity, p. 8; Shera, "Symphony," p. 223; Noé, "Der Strukturwandel," p. 55.

More striking are those quotations--and there seem to be quite a few of them--in which not only is the unifying idea reflected, but so are also the exact notes of its original exposure. In the following example, the characteristic interval c-sharp--d is prominent in later reappearances:

Ex. IV-35: Piano Sonata Op. 10, No. 3, Largo e mesto, m. 1-4.

*Unifying idea:*

Ex. IV-35a: Rondo, Allegro, m. 47-48 and 55.

The First Symphony includes numerous quotations of this kind, the most notable of which are cited here:

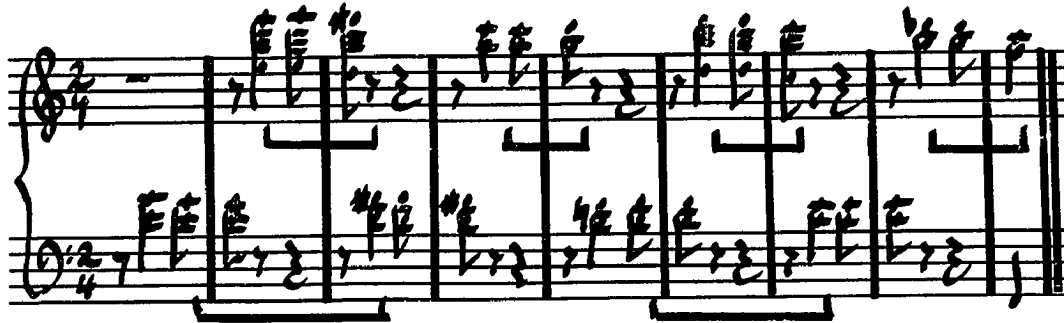
Ex. IV-36: Symphony No. 1, Op. 21, Andante cantabile con moto, m. 49-53 and 190-194.

*Unifying idea:*

Ex. IV-36a: Menuetto-Trio, m. 80-102



Ex. IV-36b: Allegro molto e vivace,  
m. 130-38



In the last excerpt the notes form a retrograde version of those in m. 1-4 of the introduction.

Quotations in the Second Symphony are notable as well:

Ex. IV-37: Symphony No. 2, Op. 36, Larghetto,  
m. 68-73 and 212-213



Ex. IV-37a: Scherzo, Allegro, m. 29-31.



(note also the similarity to the principal theme of the first movement, Ex. IV-32).

Ex. IV-37b: Allegro molto, m. 26-29.



Among the various features of thematic unity, quotations are--when recognized--undoubtedly the most obvious ones, and, maybe, even the most masterful, because of the ingenious way in which they are incorporated in entirely different themes, movements, and keys.

#### Significant Locations of Related Reappearances

##### I. The Opening Theme:

It is not surprising that in the movements of these works--in all but one (the Finale of the First Symphony), to be precise--the opening theme immediately reveals the unifying idea or a relationship

to it.<sup>8</sup> Naturally, the beginning of any continuous and constructive process in general--and that of a sonata movement in particular--has a special function in preparing the ground for what is to take place later. In most cases the relationship is recognizable, in others it may be rather obscured but soon clarified in the measures that follow, as demonstrated in previous examples.

## II. The Closing Material:

Somewhat more striking is the fact that in numerous instances the closing measures of a movement are notably related to the unifying idea. The best example is that of the Second Symphony, where the conclusions of the second and third movements imply a unique quotation:

Ex. IV-38: Symphony No. 2, Op. 36, Larghetto,  
m. 272-276, Scherzo, Allegro, m. 81-84.



The closing of the first movement is based on the first motive of the unifying idea:

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<sup>8</sup> Several writers refer to the opening theme of the Finale of the First Symphony as related to the falling fifth motive of the unifying idea: Engelsmann, "Beethoven and the Creative Law," p. 60; Walker, A Study, p. 54. Their approach seems, however, far-fetched.

Ex. IV-38a: Allegro con brio, m. 354-360.



The following examples are all self-explanatory:

Ex. IV-39: Piano Sonata Op. 10, No. 3, Largo e mesto, m. 85-87. Menuetto, Allegro, m. 49-54.

Unifying idea:

Ex. IV-40: Piano Sonata Op. 22, Allegro con brio, m. 197-199, Adagio con molta espressione, m. 76-77.

Unifying idea:

Ex. IV-41: Sonata for Violin and Piano Op. 24, Adagio molto espressivo, m. 70-73.

Unifying idea:

Ex. IV-42: String Quartet Op. 18, No. 6,  
Adagio ma non troppo, m. 73-79.

It seems, however, that there is no consistency in the choice of locations for related reappearances, other than the emphasis on the opening and the closing measures of a movement.

In this chapter, techniques of thematic unity have been studied in six representative works. It is important to note, that although procedures such as the obscuration-explication design, quotations, and significant locations of related material, all may seem to imply a conscious role on the composer's part in manipulating the musical substance, they have been observed here purely in terms of the music itself. Whether or not they had been conscious is too complicated to answer, as will be explained in Chapter V.

## CHAPTER V

### DOCUMENTS RELEVANT TO THE PROBLEM

In the foregoing chapters, the considerations of thematic unity were entirely based on evidence from Beethoven's music in its final form. Naturally, questions regarding the role of thematic unity in Beethoven's compositional procedures must also arise.

The question of whether thematic unification was a function of the conscious or unconscious creative process of the composer is no longer the focus of general attention. Although a number of writers have expressed their opinions on this matter during the last four decades--among them Philip Barford, David Cherniavsky, Walter Engelsmann, Hans Mersmann, Rudolph Reti, Romain Rolland, Joseph Rufer, Oscar G. Sonneck, Arnold Schönberg and Alan Walker, it is generally maintained today that the problem is too complicated in its deep psychological implications to be resolved.<sup>1</sup> The few statements attributed to Beethoven that

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<sup>1</sup>Philip Barford, "Urphänomen, Ursatz and Grundgestalt," The Music Review XXVIII (1967): 218; Cherniavsky, "The Pursuit," p. 3; Engelsmann, "Beethoven and the Creative Law," p. 56; Mersmann, "Beethovens zyklisches Formprinzip," p. 52; Reti, Thematic Process, p. 233; Romain Rolland, Dank an Beethoven. Eine Rede (Esslingen: Bechtle Verlag, 1951), p. 20; Rufer, Composition with Twelve Notes, p. 38; Oscar G. Sonneck,

are purported to describe his approach to the subject of unity are actually so vague as to open the door to free interpretation. In a letter to Georg Friedrich Treitschke, dated April 1814, Beethoven wrote: ". . . my custom when I am composing even instrumental music is always to keep the whole in view . . ." <sup>2</sup> But "the whole" may mean anything from the unity of contrasting elements to the entire material of which a composition consists. In an account by Louis Schlösser, Beethoven is quoted as having said: ". . . da ich mir bewusst bin, was ich will, so verlässt mich die zugrunde liegende Idee niemals." <sup>3</sup> But an idea does not necessarily mean a musical one, and if Beethoven did mean the latter, it is still questionable whether he actually implied a thematic idea. <sup>4</sup>

The cases where Beethoven inserted, interchanged or removed existing movements are not more illuminating

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quoted by Schauffler, Beethoven, p. 532; Arnold Schönberg, Style and Idea (New York: Philosophical Library, 1950), p. 81; Walker, A Study, pp. 127-148; but see: Alden, "The Role of the Motive," pp. 29-34; Engel, "Thematische Satzverbindungen," p. 136; Marx, "Über die zyklische Sonatenform," p. 146.

<sup>2</sup>Emily Anderson, ed., The Letters of Beethoven, 3 vols. (London: Macmillan; New York: St. Martin's Press, 1961), p. 454.

<sup>3</sup>Martin Hürlimann, ed., Beethoven; Briefe und Gespräche (Zürich: Atlantis Verlag, 1944), p. 200: ". . . since I am aware of what I want, the fundamental idea never leaves my mind."

<sup>4</sup>Regarding the meaning of Idee see: Max Unger, "From Beethoven's Workshop," The Musical Quarterly XXIV (1938): 323.

as far as thematic unity is concerned, mainly because the latter may not have been the only unifying factor influencing Beethoven's decisions. Anton Schindler reports that for a projected publication of the complete works in 1823, Beethoven considered reducing a few earlier sonatas from four to three movements: "He definitely wished to delete the Scherzo allegro from the highly emotional Sonata in C minor for violin and piano, opus 30, because of its incompatibility with the character of the work as a whole."<sup>5</sup> It is clear that the Scherzo movement is thematically related to the first and fourth movements.<sup>6</sup> Does Schindler's account point to Beethoven's unawareness of thematic unity, or to his preoccupation with other style elements?

Similarly, sketches show that the second movement in A-flat major of the Sonata above had originally been planned in the key of G major and possibly not intended for this particular work.<sup>7</sup> The thematic material in this movement is not related to that of the other three movements. Does this fact suggest Beethoven's lack of interest in thematic unity, or rather his preference for other

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<sup>5</sup>Anton Felix Schindler, Beethoven as I Knew Him, ed. Donald W. MacArdle, trans. Constance S. Jolly (Chapel Hill: University of North Carolina Press; London: Faber and Faber, 1966), p. 402.

<sup>6</sup>For the relationship between the movements, see above, p. 114.

<sup>7</sup>Elliot Forbes, ed., Thayer's Life of Beethoven, rev. ed. (Princeton, New Jersey: Princeton University Press, 1967), p. 318.

unifying factors in his compositional considerations? How, then, should Beethoven's gradual and consistent exploration of thematic unification between the years 1794-1799 be understood?<sup>8</sup>

The Menuets from the Piano Sonata Op. 49 No. 2 and the Septet Op. 20 are another interesting case. Both open almost identically with the principal theme (the version in the Sonata is older than the one in the Septet):

Ex. V-1: Piano Sonata in G major, Op. 49, No. 2,  
Tempo di minuetto, m. 1-8



Ex. V-2: Septet in E-flat major, Op. 20, Tempo  
di minuetto, m. 1-8



In the next four measures, preceding the return of the opening, the Sonata Minuet continues to develop the unifying idea of the work--the lower-neighbor figure--in its inversion:

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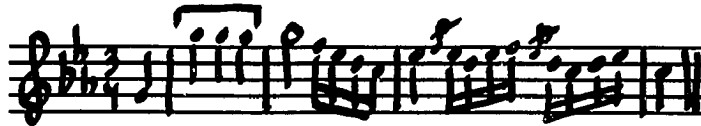
<sup>8</sup>See above, p.118.

Ex. V-1a: m. 8-12



In the Septet, however, the parallel section is entirely different from Ex. 1a, and, moreover, it opens with a clear reiteration of the unifying idea of the Septet--the repetition of a note thrice:

Ex. V-2a: m. 8-12



Does this case prove Beethoven's awareness of thematic unity?

Definite answers to questions of Beethoven's own views or his awareness of thematic unity are really unachievable. The investigation should focus rather on the degree to which thematic unity was active--consciously or unconsciously--in the process of his work on a composition. One source of this information is Beethoven's sketchbooks.

### The Sketches

Gustav Nottebohm, as early as 1865, asserted the following with regard to Beethoven's sketchbooks:

Bei solcher Mannigfaltigkeit wird es nicht gelingen, eine bestimmte Ordnung und ein Verfahren in der Arbeit zu entdecken, welches allen Fällen gemeinsam wäre und sich jedesmal wiederholte. Ist das nun einmal festgestellt, das Beethoven nach keiner Schablone arbeitete . . . so ist auch wohl einleuchtend, dass die Skizzenbücher das innere Gesetz, von dem sich Beethoven beim Schaffen leiten liess, nicht offenbaren werden.<sup>9</sup>

In 1887 Nottebohm added: "Was man organische Entwicklung eines Kunstwerkes nennt, liegt den Skizzen fern."<sup>10</sup>

In 1929 (despite Nottebohm's conclusions) Paul Mies attempted to study Beethoven's style on the basis of the sketches which, in Mies' words, "reveal an essential principle guiding his creative work."<sup>11</sup> However, with the exception of the Seventh Symphony, the discussion relates mostly to works consisting of one part or one movement; Mies' analysis, therefore, hardly pertains to the present subject.

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<sup>9</sup>Gustav Nottebohm, Ein Skizzenbuch von Beethoven (Leipzig: Breitkopf & Härtel, 1865), p. 6: "With such complexity one cannot succeed in detecting in Beethoven's work a specific order or procedure which would pertain to all cases and be repeated each time. Having once established that Beethoven did not work according to a routine, it is evident that the sketchbooks will not reveal the inner law by which Beethoven was guided when he composed."

<sup>10</sup>Gustav Nottebohm, Zweite Beethoveniana (Leipzig: J. Rieter-Biedermann, 1887), p. IX: "What is described as organic evolution in a work of art is absent from the sketches."

<sup>11</sup>Paul Mies, Beethoven Sketches: an Analysis of his

The research into Beethoven's sketches is still going forward; this investigation is limited to the transcriptions presently available. Conclusions may be drawn, therefore, only with regard to each example or group of examples, but cannot be applied to Beethoven's compositional procedure in general.

Regarding thematic unity, the sketches can stand in three relationships to the finished composition: (1) the unifying idea may appear in both the sketch and the corresponding final version; (2) the unifying idea may appear in the sketch but not in the corresponding final version; (3) the unifying idea may appear in the final version but not in the corresponding sketch.

When the first situation occurs and the sketch is generally similar to the final version (the most common case among relevant sketches), no significant conclusions may be drawn. Apparently, compositional factors other than thematic unity influenced the development of the final form of the music. Only when the sketch is radically different from the corresponding music can it be concluded that the unifying idea was active and thematic unity a major factor in the compositional process.

Existence of the second situation does not prove anything substantial either: the omission of the unifying

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Style Based on a Study of his Sketch Books, trans. Doris L. Mackinnon (London: Oxford University Press, H. Milford, 1929), p. 123.

idea may have again been due to reasons not related to thematic unity.

The third situation is of greater importance since it implies a compositional improvement through the employment of thematic unity. In such cases it must be determined whether or not the sketches were made before the unifying idea even came into existence.

Obviously, the sketches cannot be easily interpreted, and only a few examples will add significant information on the subject of thematic unity. Because of the particular interest in Beethoven's sketches, and for the purpose of the completeness of this study, the relevant examples will be cited and discussed.

I. Examples in which the unifying idea appears in both the sketch and in the corresponding final version.

When the unifying idea is constructive in a movement, it is only natural for it to appear in the sketches of that movement as well. Consequently, these sketches are relatively uninteresting as far as thematic unity is concerned. Characteristic examples are the sketches to the first movement of the String Quartet in F major, Op. 18 No. 1, where the unifying idea--the double-neighbor figure--permeates the entire musical fabric.<sup>12</sup>

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<sup>12</sup>See in: Karl Lothar Mikulicz, ed., Ein Notierungsbuch von Beethoven (Leipzig: Breitkopf & Härtel, 1927), p. 1; Nottebohm, Zweite Beethoveniana, pp. 481-483.

More revealing are some sketches to the second movement of the same work, where experimentation with the double-neighbor motive appears:<sup>13</sup>

Ex. V-3: String Quartet in F major, Op. 18, No. 1, Adagio affettuoso ed appassionato two sketches and final version (m. 4)

Equally interesting are sketches to the closing of the first movement from the Sonata for Violoncello and Piano Op. 5, No. 2, in all of which the unifying idea of a scale-figure predominates:<sup>14</sup>

<sup>13</sup> Mikulicz, Ein Notierungsbuch, p. 54 and p. 61.

<sup>14</sup> Joseph Kerman, ed., Ludwig van Beethoven; Autograph Miscellany from circa 1786 to 1799 (The Kafka Sketchbook), 2 vols. (London: Trustees of the British Museum, 1970), vol. 2., p. 11.

Ex. V-4: Sonata for Violoncello and Piano in G minor, Op. 5 No. 2, Allegro molto più tosto presto, 23rd to 16th bar from the end, three sketches and final version

The image displays four musical staves in G minor, 3/4 time. The first three staves are labeled 'Sketch I', 'Sketch II', and 'Sketch III'. The fourth staff is the final version. The sketches show various melodic and harmonic variations, with some notes marked with 'oder' (or) and 'p' (piano). The final version is a more refined and complete version of the passage.

Among the many sketches to the Second Symphony the following are noteworthy. In the Introduction, the unifying idea--the falling fourth--is obvious between f-sharp and c-sharp. Sketch I shows most clearly that a rising fourth (a retrograde of the unifying idea) is implied between d-sharp and g as well:<sup>15</sup>

<sup>15</sup>Mikulicz, Ein Notierungsbuch, p. 40.

Ex. V-5: Symphony No. 2 in D major, Op. 36,  
Adagio molto m. 1-4, two sketches and  
final version

The image shows three staves of musical notation. The top staff is divided into two sections: 'Sketch I' and 'Sketch II'. 'Sketch I' shows a melodic line starting with a half note D4, followed by quarter notes E4, F#4, G4, and a half note A4. 'Sketch II' shows a similar melodic line but with a different rhythmic pattern and some chromatic alterations. The bottom staff is labeled 'Final Version' and shows the actual opening of the movement, which is a half note D4, followed by quarter notes E4, F#4, G4, and a half note A4, with a fermata over the final note.

The following sketch is difficult to identify, but it is strongly related to the opening of the second movement of the Second Symphony by the use of the unifying idea and its fragmentation. Indeed, Nottebohm attributes the sketch to the Second Symphony:<sup>16</sup>

Ex. V-6: Symphony No. 2 in D major, Op. 36,  
Larghetto, m. 1-8, sketch and final  
version

The image shows two staves of musical notation. The top staff is labeled 'Andante Sinfonia' and shows a sketch of the opening of the second movement. It starts with a half note D4, followed by quarter notes E4, F#4, G4, and a half note A4. The sketch is marked 'Corni soli' and 'tutti'. The bottom staff is labeled 'Final Version' and shows the actual opening of the movement, which is a half note D4, followed by quarter notes E4, F#4, G4, and a half note A4, with a fermata over the final note.

<sup>16</sup>Nottebohm, Ein Skizzenbuch, p. 11.

Of special interest is a group of sketches where, as in Example V-5, the unifying idea is actually more prominent in the sketch than in the corresponding final version. In a sketch to the opening of the Piano Sonata Op. 49, No. 2, the unifying idea--the lower-neighbor motive--appears in the first measure as well:<sup>17</sup>

Ex. V-7: Piano Sonata in G major, Op. 49, No. 2, Allegro ma non troppo, m. 1-4, sketch and final version



The Menuetto and Trio from the Piano Sonata Op. 10, No. 3, have been mentioned in Chapter IV as an example of the obscurization-explication process: the motive in the second measure of the Menuetto,  $d^1--c^1$ -sharp-- $e^1$ , may be recognized as a modified fragment of the unifying idea  $c$ -sharp-- $d$ -- $f$ -sharp-- $a$  only when the Trio motive is introduced:  $g_2$ -- $f_2$ -sharp-- $a_2$ -- $d_2$ .<sup>18</sup> Is the following sketch to the Menuetto sheer coincidence?<sup>19</sup> (The pitch identity

<sup>17</sup>Gustav Nottebohm, Beethoveniana (Leipzig: J. Rieter-Biedermann, 1872), p. 2.

<sup>18</sup>See above, p. 137.

<sup>19</sup>Kerman, Kafka Sketchbook, Vol. 2, p. 22.

between m. 6 of the sketch and the Trio motive is also notable).

Ex. V-8: Piano Sonata in D major, Op. 10, No. 3, Menuetto, Allegro, m. 1-7, sketch and final version



The opening of the fourth movement from the Piano Sonata Op. 26 has been described as a fragmentation of the unifying idea--the step-wise ascending third.<sup>20</sup> The following corresponding sketch is identical in the first three measures, after which, however, the unifying idea is more clearly stated:<sup>21</sup>

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<sup>20</sup>See above, p. 102.

<sup>21</sup>Nottebohm, Zweite Beethoveniana, p. 242.

Ex. V-9: Piano Sonata in A-flat major, Op. 26,  
Allegro, m. 1-5, sketch and final  
version



A sketch to the Finale of the Piano Sonata Op. 27,  
No. 2 unfolds the unifying idea--step-wise falling fourth  
--in its inversion, more explicitly than does the final  
version:<sup>22</sup>

Ex. V-10: Piano Sonata in C-sharp minor, Op. 27,  
No. 2, Presto agitato, m. 21-25, sketch  
and final version



Likewise, a sketch to the Finale of the Sonata for  
Violin and Piano Op. 30, No. 2, over-stresses the c--b-natural

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<sup>22</sup> Donald Francis Tovey, "A Sketch for the Piano-  
forte Sonata Op. 27 No. 2," Music and Letters VIII, No. 2  
(April 1927), p. 258.

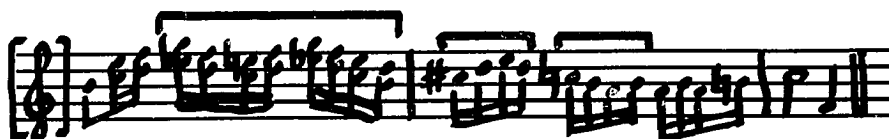
pitch cell:<sup>23</sup>

Ex. V-11: Sonata for Violin and Piano in C minor Op. 30, No. 2, Allegro, m. 1-2, sketch and final version



Perhaps the only sketches which disclose a conscious employment of thematic unity on Beethoven's part are those to the second movement of the Sonata for Violin and Piano Op. 24. Two such sketches never really materialized in the final music, and because of the obvious appearance of the unifying idea in them their importance increases considerably. The first sketch outlines the double-neighbor-followed-by-step-wise-motion figure in sixteenth-note rhythm, a form absent from the final version:<sup>24</sup>

Ex. V-12: Sonata for Violin and Piano in F major, Op. 24, sketch to the second movement



<sup>23</sup>Nottebohm, Ein Skizzenbuch, p. 23.

<sup>24</sup>Mikulicz, Ein Notierungsbuch, p. 163.

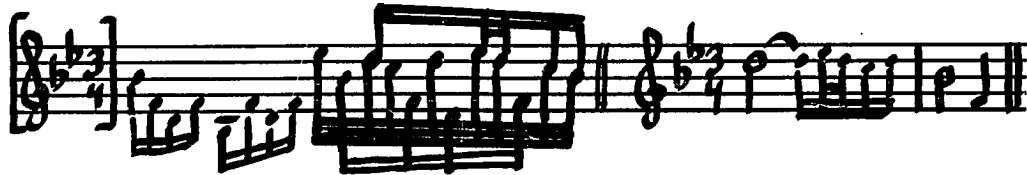
Notable in this sketch is also the almost exact note quotation, in the first measure, from the opening of the Sonata:

Ex. V-12a: first movement, m. 1-2



Equally revealing is another sketch which shows how the opening motive of the second movement is derived from the unifying idea:<sup>25</sup>

Ex. V-13: Sonata for Violin and Piano in F major, Op. 24, Adagio molto espressivo, m. 2-3, sketch and final version

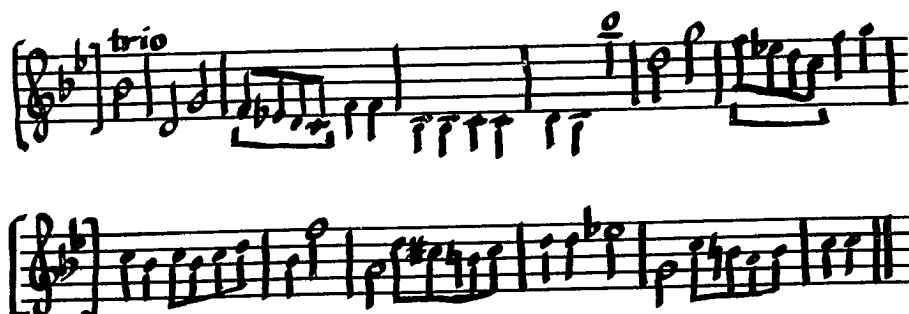


A sketch to the Finale of the Sonata is also important because it employs a theme which did not materialize, yet the unifying idea, albeit fragmented, is clearly present in it:<sup>26</sup>

<sup>25</sup> Mikulicz, Ein Notierungsbuch, p. 165.

<sup>26</sup> Ibid., p. 155.

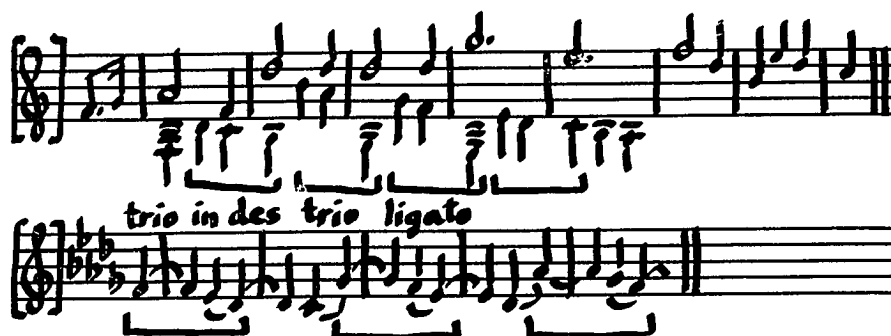
Ex. V-14: Sonata for Violin and Piano in  
F major, Op. 24, sketch to the  
Finale



II. Examples in which the Unifying Idea Appears in the  
Sketch but not in the Corresponding Final Version.

In the Piano Sonata Op. 26, the Trio in the  
Scherzo movement is entirely unrelated to the unifying  
idea--the step-wise ascending third. However, two  
different sketches, each in its own way, do employ the  
unifying idea in its inversion:<sup>27</sup>

Ex. V-15: Piano Sonata in A-flat major, Op. 26,  
sketches to the Trio of the second  
movement



<sup>27</sup>Nottebohm, Zweite Beethoveniana, p. 239, and  
Mikulicz, Ein Notierungsbuch, p. 166, respectively.

The same applies to the middle section, in A-flat major, of the Trauermarsch: the unifying idea, which is absent there, is prominent, again through its inversion, in the corresponding sketch:<sup>28</sup>

Ex. V-16: Piano Sonata in A-flat major, op. 26, Marcia Funebre, Maestoso andante, m. 31-32, sketch and final version

A sketch to the first movement of the Second Symphony employs the rhythmic idea  $\text{♩} \text{♩}$  as part of the principal theme, a practice which never occurs in the final version of the first movement:<sup>29</sup>

Ex. V-17: Symphony No. 2 in D major, Op. 36, part of a sketch to the first movement

<sup>28</sup>Nottebohm, Zweite Beethoveniana, p. 241.

<sup>29</sup>Ibid., p. 244.

III. Examples in which the Unifying Idea Appears in the Final Version but not in the Corresponding Sketch.

The unifying idea of the Piano Sonata Op. 22 is a four-note motive, the first three notes of which form a lower-neighbor figure. In the Finale the idea appears explicitly only in the fifth measure (and in similar places). Three sketches to the opening of the Finale omit the idea from the fifth measure, and only one maintains the upper-neighbor fragment at the very beginning:<sup>30</sup>

Ex. V-18: Piano Sonata in B-flat major, Op. 22, Rondo, m. 1-8, three sketches and final version

The image displays four staves of musical notation. The first three staves represent sketches of the opening of the Rondo from the Piano Sonata in B-flat major, Op. 22, measures 1-8. The fourth staff shows the final version of the same passage. Vertical dashed lines connect the measures across the staves, illustrating the differences in the fifth measure and the beginning of the piece between the sketches and the final version.

<sup>30</sup> Ibid., p. 242.



## CHAPTER VI

### CONCLUSION

It was clear from the outset of this study of thematic unity in Beethoven's works that the analytic procedures themselves would have to be rationalized and objectified in a new way. A considerable body of literature already existed on the subject, though none of it dealt specifically with the music from Beethoven's early period. Yet, in spite of the number of diverse approaches, the results seemed to multiply rather than to resolve the problems. A new set of criteria for the existence and evaluation of thematic unity was therefore designed to diminish as much as possible the role of subjective reasoning in determinations of thematic unity in Beethoven's music and, by extension, in related studies.

Attempts to describe thematic unity have heretofore concentrated on proving and demonstrating its very existence. In reality, interest in the topic lies less in defining the presence of unity than in determining the background and characteristics of its manifestation in the music of various composers, styles and epochs. The detailing in this study of the means and techniques

by which Beethoven achieved thematic unity in his earlier works, described in Chapter IV, may serve as a model for similar studies of music from all periods. Future studies along this line may lead to recognition of thematic unity as a stylistic element. Such a recognition would constitute an approach fundamentally different from that of the monistic school. Following Rudolph Reti and Hans Keller, the monists claim the existence of demonstrable unity among the themes of every work of art. In so doing, they treat thematic unity as an essential element of music, and not as a stylistic element that may be either present in varying degrees, or altogether absent. To discuss the coherence of a composition only in terms of thematic unity is to ignore the presence of other stylistic features contributing (often powerfully) to the overall unity of the work. Seen as one stylistic element among several, on the other hand, thematic unity may be evaluated according to its varying degrees of intensity, and its contribution to the total coherence of the work compared to that of other stylistic elements.

Regarding Beethoven's works in particular, it has been shown that, contrary to the prevailing consensus, thematic unification was already a major compositional determinant in the composer's first style period, and one that was gradually and consistently developed, especially between the year 1796-1802. The

fact that significant unity is already revealed in compositions from his twelfth year raises the question of whether or not Beethoven borrowed the idea from another composer or composers. An assessment of the extent to which the use of thematic unity throughout the Classic period influenced its employment by nineteenth century composers lies beyond the scope of the present investigation. The door stands open for further research in this area, however, and such projects may be facilitated by the adoption of methods proposed in this dissertation.

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