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Performance-Motivated Analysis: An Approach to Performance Interpretation

BY

ANDREW QUINTIN GEORGE ATKINS

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Abstract

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Andrew Q. G. Atkins

(Under the supervision of Jian Liu and David Cospér)

Performance interpretation is one of the most challenging yet most important skill sets for a performer to develop. Performers all use different approaches in developing their interpretations. This exegesis focuses on the idea of Performance-Motivated Analysis as one of these possible approaches to interpreting music. By performing a thorough analysis of the exposition of the first movement of Beethoven's 'Waldstein' Sonata, by drawing upon many analytical sources, and by combining this with an annotative analysis of six performers' interpretations, this exegesis shows how theory can be used to explain many possible interpretive decisions within the composition. I then use and discuss this knowledge in regards to my own interpretation and subsequent performance of the same composition for my Masters Recital.

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Preface

In one of history's most renowned keyboard treatises, *Essay on the True Art of Playing Keyboard Instruments*, C.P.E. Bach writes:

A musician cannot move others unless he too is moved. He must of necessity feel all of the affects that he hopes to arouse in his audience, for revealing of his own humour will stimulate a like humour in his listener.¹

This statement is as relevant today in the area of performance interpretation as it was 250 years ago. Bach presents the idea that to produce good music the performer must understand the emotion that they are trying to convey.² This would require the performer to understand not just how to play the notes but also the emotional impact of the notes. This method of engagement with music is one that will vary from performer to performer, resulting in endless possible interpretations of any one piece of music. Türk's *Klavierschule*, printed after Bach's treatise, carries many of the same sentiments.

Whoever performs a composition so that the affect (character, etc.), even in every single passage, is most faithfully expressed (made perceptible) and that the tones become at the same time a language of feelings, of this person it is said that he is a good executant. Good execution, therefore, is the most important, but at the same time, the most difficult task of making music.³

Discovering the emotional content of a piece can be an exciting process with many methods of approach. The complexity of working through some of these methods to find an interpretation that works for each individual performer is probably the most important part of learning a composition.

This performance exegesis will focus on how to find an interpretation within a piece of music using, in this case, a score analysis. A case study focusing on the exposition of the first movement of Beethoven's 'Waldstein' Sonata will be used to help develop the notion of Performance-Motivated Analysis (PMA). This will combine a score analysis with an annotated

¹ C.P.E. Bach, *Essay on the True Art of Playing Keyboard Instruments*, trans. William Mitchell (New York: Norton, 1949), 152.

² This is an idea that has always resonated very strongly with my own thoughts on performance.

³ Daniel G. Türk, *Klaveirschule*, trans. Raymond Haggh (Lincoln: University of Nebraska Press, 1982), 321.

analysis of six performances. I will finally present my experience of using PMA to shape my own interpretation of the exposition for my MMA recital.

Introduction

Performance-Motivated Analysis is a new term defined in this exegesis as a specific type of analysis aimed directly at the principles of performance interpretation. Practiced theory is often viewed very differently by each discipline of music from musicology to performance which can cause problems of cohesion between disciplines. Each discipline sets out to analyse music with a different collection of goals in mind. PMA is an attempt at suggesting a similar set of goals to be attained from the analysis in order to try to bond the particular disciplines of musicology and performance. To achieve PMA one needs to analyse the score, analyse the performance, and then work out how they fit together.

PMA is essentially analysis as a practiced ‘mode of performance’.⁴ To get the most out of the analysis this exegesis will consider many different analytical readings of the work as ‘different analysts notice different things, and different methods of analysis illuminate different aspects of a composition’.⁵ PMA must be approached from the aspect of possibility as each performance interpretation is different. Therefore not just one analysis will be able to present all the interpretive potential of a work such as the ‘Waldstein’ Sonata. Each analysis provides us with new opportunities so that one might develop multiple interpretations for varying performances of a work. ‘[A]nalysis, like performance, entails a fresh engagement’ with each attempt and it is this ‘fresh engagement’ that keeps the performer’s opportunities open.⁶

The idea behind PMA goes back as far as the early performance practise treatises of J.J. Quantz,⁷ C.P.E. Bach,⁸ L. Mozart,⁹ and D.G. Türk¹⁰ throughout the 1700’s. The aim of these treatises was to help performers read the information not always in the score, to provide local knowledge of how to perform said music. PMA also has a similar goal to provide performers with interpretive choices that might lead them to playing a piece in a way not explicitly written in the score. To achieve this it is important for this exegesis to consider the benefits of performance practice in PMA. A good performer will understand all the finer details of good technical facility,

⁴ Kofi Agawu, ‘How We Got Out of Analysis, and How to Get Back In Again’, *Music Analysis* 23/2-3 (2004), 273.

⁵ Agawu, ‘How We Got Out of Analysis’, 274.

⁶ Agawu, ‘How We Got Out of Analysis’, 274.

⁷ *Versuch einer Anweisung die Flöte traversiere zu spielen* (1752)

⁸ *Versuch über die wahre Art das Clavier zu spielen* (1753)

⁹ *Versuch einer gründlichen Violinschule* (1756)

¹⁰ *Klavierschule* (1789)

interpretation of articulation and tempo indications, as well as a grasp of dynamics and expression markings. Bach and Türk both agree that a good performance can only be produced when one is prepared to look further than just the details of good technical facility.

Good performance, then, occurs when one hears all notes and their embellishments played in correct time with fitting volume produced by a touch which is related to the true content of a piece. Herein lies the rounded, pure, flowing manner of playing which makes for clarity and expressiveness.¹¹

Performance practice creates its own understanding of music theory through a discussion of all the aspects one could expect to have to interpret in a composition to enhance one's performance.

For even with all his facility in reading notes and in playing, he will never attain his main purpose, which is to move the heart of his listener, without good execution.¹²

The concepts presented in performance practice will subsequently complement the ideas presented in a theoretical analysis. This can help provide a smooth transition into performance interpretation which will help PMA become more accessible to the performer.

The following chapters of this exegesis are where theory will meet analysis and analysis will meet performance. Chapter one will present a thorough analysis of the exposition of the first movement of Beethoven's 'Waldstein' Sonata. Chapter two will provide an annotated analysis of six performances of the work, and these performances will then be discussed in chapter three describing possible interpretive decisions. In chapter four I will address my own engagement with PMA in preparing the 'Waldstein' Sonata for subsequent performance.

¹¹ Bach, *Essay on the True Art of Playing Keyboard Instruments*, 145.

¹² Türk, *Klaveirschule*, 322.

Chapter One

Score Analysis of the ‘Waldstein’ Sonata First Movement Exposition

The ‘expressive qualities of sonata op. 53 push to new heights the limits of what could be demanded from the piano’.¹³ This sonata is not like anything he had written before; it ‘marks the point at which Beethoven’s style grew finally incompatible with that of his “first period”’.¹⁴ He ‘crossed the Rubicon’ as Tovey puts it, declaring war on the old regime as it were.¹⁵ It is impossible to deny that something changed as his eloquence in motivic development is enhanced with his exciting use of distant keys and an extended development section.

Near the beginning of his book *Beethoven’s Piano Sonatas*, Charles Rosen points out that it is doubtful that Beethoven would have claimed to have known what sonata form was,¹⁶ being as it were that sonata form was a tradition passed on through composition. Listeners came to expect certain sequences of keys and themes evident in most sonata movements. Sonata form becomes a point of question in the ‘Waldstein’ as Beethoven avoids expectations established by earlier composers.¹⁷ Beethoven surprises his listeners, fashioning himself a ‘new path’ from which to tread. The first movement of this extraordinary sonata is as exciting to analyse as it is to play and listen to. One will feel much like the traveller on an unexpected journey and be ever changed through its exploration. ‘Once you have encountered [analysis], your perception of the

¹³ Robert Taub, *Playing the Beethoven Piano Sonatas* (Oregon: Amadeus, 2002), 110.

¹⁴ Donald F. Tovey, *A Companion to Beethoven’s Pianoforte Sonatas: A Bar-to-Bar Analysis of all Beethoven’s Pianoforte Sonatas from the First Note to the Last* (London: ABRSM, 1931), 149.

¹⁵ Tovey, *A Companion to Beethoven’s Pianoforte Sonatas*, 149.

¹⁶ Charles Rosen, *Beethoven’s Piano Sonatas: A Short Companion* (New Haven: Yale University Press, 2002), 9.

¹⁷ Sonata form is a topic of heated debate among contemporary theorists and musicologists. Form is always very important in an analysis but for the sake of this exegesis I will be steering clear of the sonata form debate. My references to sonata form will be kept to the generally accepted terms that can be located in most of the books and articles referenced throughout this exegesis, such as exposition, development, and recapitulation, as well as smaller diminutions of general thematic breakdown like primary and secondary theme groups, transition sections, and codetta. I direct the reader to James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century* (New York: Oxford University Press, 2006). As with all discussions of sonata form there are areas of contention. However, the illustration on p. 17 can provide a good general overview of the form if one ignores the argument specific content and focuses on the large scale; P, TR, S, C. Also see William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), Rosen, *Sonata Forms*, Rev. ed. (New York: Norton, 1988), and Carl Dahlhaus, *Ludwig Van Beethoven: Approaches to his Music*, trans. Mary Whittall (Oxford: Clarendon, 1991) for more interesting discussion on sonata form. A particularly interesting read is Dahlhaus chapter five part two *models of Sonata Exposition* which discusses the inadequacy of sonata form in particular due to its original conception as a tool for compositional pedagogy.

composition is permanently transformed'.¹⁸ The following analysis will present my own findings of this 'middle-period', post-Heiligenstadt sonata, along with other discoveries from both performer and analyst perspectives.

Exposition (Bars 1-86)

The exposition of the first movement of the 'Waldstein' Sonata is 86 bars in length and repeated, as per sonata form convention. Its main construction is relatively standard in regards to thematic grouping. It has two theme groups separated by a transition section. Each theme group contains only one theme constructed of smaller motivic units. A second transition separates the secondary theme group from the short codetta before the repeat. The transition sections contain motifs that are developed throughout the remainder of the movement, but never form a theme group by themselves. The codetta material is only used once more, in the recapitulation. This exposition has some intriguing harmonic implications, seen only before in Beethoven's op. 31 no. 1 in G major, that play a major role in the development of the piece.¹⁹

As we will see in the following analytical breakdown of each section of the exposition, Beethoven's use of register, motivic development, phrasing and rhythmic impetus all combine in such an efficient way that he had not achieved in his previous sonatas. This sonata sets off his 'new path' brilliantly and this exposition sparks life into one of his most beloved compositions for solo piano.

Primary Theme Group (Bars 1-22)

The first thirteen bars of the primary theme group make up the substance of the theme which is then simply repeated an octave up with increased urgency characterised by tremolo semiquavers. 'No previous sonata by Beethoven had a first movement with so powerful and so unremitting a drive', the opening tempo *Allegro con brio* reveals a lot of the overall character of the movement to come.²⁰ The perpetual driving quavers in the left hand and dramatic shifts of register in the right hand work together to build strong foreboding and tension in the opening

¹⁸ Agawu, 'How We Got Out of Analysis', 278.

¹⁹ See Rosen, *Beethoven's Piano Sonatas*, 180. Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 115 and 149. Roger Kamien, 'Subtle Enharmonic Connections, Modal Mixture, and Tonal Plan in the First Movement of Beethoven's Piano Sonata in C Major, Opus 53 ('Waldstein')', *Beethoven forum* 1/1 (1992), 99-101.

²⁰ Rosen, *Beethoven's Piano Sonatas*, 180.

theme. These opening thirteen bars have a lot to say in a very short space of time. It is noteworthy to compare this movement with the first movement of an earlier sonata, op.31 no.1 in G major. The opening bars of both movements bear a striking resemblance, in the case of the earlier sonata, the tonic G major shifting to the briefly tonicised subtonic, F major. Beethoven has a clearer vision for the ‘Waldstein’ moving through this transition in only four bars to arrive in Bb major in bar 5, as opposed to the earlier twelve bars in the G major sonata.²¹

Andrew Powell takes an interesting approach to the two harmonic paths that underpin the surface material of the opening section. In his thesis *Harmony in Time* he presents the notion that the tonic of C major is not established clearly through analysis of the chord progressions present at a localised level. He shows how, in fact, the opening four bars establish G major as a tonic centre with a progression of IV (C major) - V2 (D7 third inversion) - I6 (G major first inversion). He goes on to write that ‘not only do the harmonies imply G major, but the melody also reinforces the key. This is due to the raised seventh of G major, F sharp, leading to a resolution into G major’.²² Following this same line of thought, bars 5-8 then establish a modulation to F major, with a modal switch in bar 8 to f minor. The f minor chord then pivots us into c minor (f minor being chord iv of c minor) with an oscillation between the dominant seven, G7, and f minor leading to a half resolution into c minor. Powell then makes the counter argument presenting the second harmonic plot of the opening:

If viewing only the bass line, the first thirteen measures [bars] imply only C major as the tonic key Moreover, this particular analysis suggests that the alternation of G7-f6 in mm. 9-10, which is not “functional” in a traditional interpretation, elaborate the note “G” (dominant of C major), with the “Ab” in the bass of the f6 functioning as an upper neighbor tone.²³

The movement then to c minor re-affirms the tonal centre of C and establishes G, on which the theme temporarily pauses, as the true dominant of the theme’s harmony. This second harmonic plot is likely to be felt the most strongly by the listener. However, it is the first harmonic plot that creates the tension in the music. ‘With all the complexity of harmony, this opening defines

²¹ Rosen, *Beethoven’s Piano Sonatas*, 180.

²² Andrew S. Powell, ‘Harmony in Time: Memory, Consciousness, and Expectation in Beethoven’s Waldstein Sonata, Op. 53’, MMus thesis, Duquesne University (2010), 8.

²³ Powell, ‘Harmony in Time’, 11.

C major sufficiently for Beethoven to continue with more interesting matters'.²⁴

Moving now from harmonic structure to motivic structure, the opening thirteen bars are made of three four-bar phrases, the last phrase being extended by one bar to accommodate the G pause. The first phrase is constructed of two sub-phrases, the second sub-phrase responding to the first. The second phrase repeats one tone lower. The third phrase emerges from the end of the second phrase establishing the dominant pedal and continuing the primary semiquaver motif from bar four preparing the re-statement of the theme at bar 14. 'The whole structure is supported by descent of bass by semitones in 2-bar steps, accelerating the 4th step by a semitone'.²⁵ 'This descent helps infuse the work with its unique tension and urgency'.²⁶

The bass plays an important role in both the motivic drive and, as we have already seen, the harmonic drive. The whole movement begins on the low C; the *Introduction to the Rondo* also begins with a low bass F' octave and the *Rondo* itself opens with the same C as the first movement. This C starts off the bass descent and can also be seen as the beginning of the melody.²⁷ The importance of the low C, in regards to the first movement melody, is emphasised in the restatement of the theme in bars 14-22. Here Beethoven lets the C and D stand alone in the texture, which naturally emphasises their presence in the music.

Returning to the phrase structure of the opening thirteen bars, it can be seen that the first phrase contains all the necessary motivic components upon which almost the entire remainder of the movement is built. There is some argument over the definition of these motives. Charles Chavez, Eero Tarasti, and Donald Tovey provide the following contrasting approaches to reading these first thirteen bars.

Chavez provides the following motivic break-down of the opening bars.²⁸

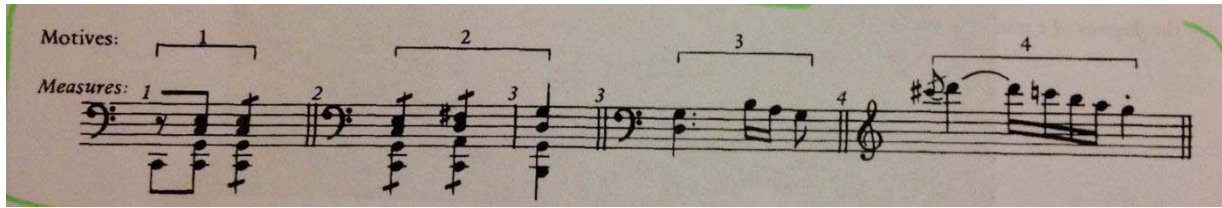
²⁴ Rosen, *Beethoven's Piano Sonatas*, 180.

²⁵ Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 150.

²⁶ Taub, *Playing the Beethoven Piano Sonatas*, 111.

²⁷ Taub argues that the latter is incorrect due to the quaver rest at the beginning of the first bar in the right hand part. (*Playing the Beethoven Piano Sonatas*, 111.) I would argue the opposite. Using the *Introduction* and the *Rondo* as examples we can see the importance of starting with a lone bass note. It is hard not to hear this as melodic, and in each case there is a specifically written rest in the other voice (in the *Rondo* there is a quaver rest between the first bass note and the crossed over g'). I believe the rest has been written to emphasise the absence of other voices and highlight the presence of the solo bass note. Taub contradicts himself immediately with the statement, "[b]ut in the *Rondo* the long, arching melody does in fact start from the same low C, which is still played by the left hand". (*Playing the Beethoven Piano Sonatas*, 112.)

²⁸ Carlos Chavez, 'Anatomic Analysis: Beethoven's Waldstein, op. 53', *The Piano Quarterly* 83 (1973), 18.



Later in his analysis he also notes the downward c minor arpeggio in bar 12 (which is the resolution of the dominant seventh harmony in bar 11) as a potential fifth motif supplementary to the four motifs outlined above.²⁹ This same motif is considered by Tarasti as an important feature of the opening bars as per the following break-down.³⁰

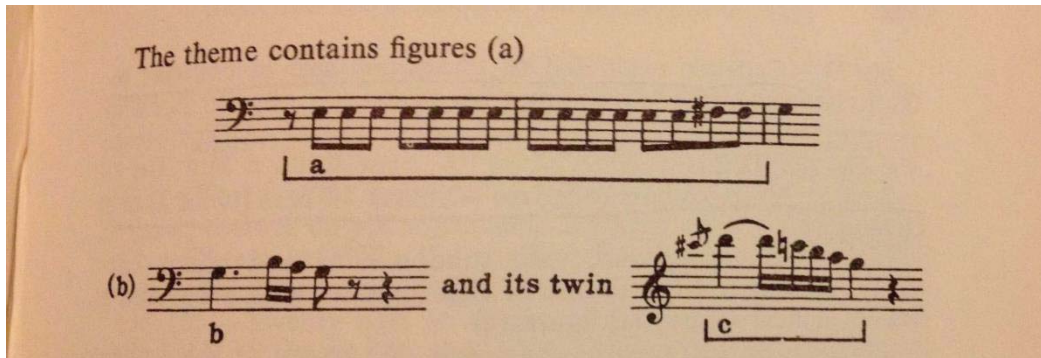


He ignores the first bar and a half of repeated C major chords in his motivic analysis. Instead he only outlines the harmonic movement in bar 2 on beats 3 and 4. The motifs he labels as c) and

²⁹ It is interesting to note that Tovey ignores the c minor arpeggio as a motif of importance. It is also relevant to point out that Chavez states that it 'could be considered an arpeggiation of motive 4' ('Anatomic Analysis', 19.) In my reading the c minor arpeggio seems of little motivic interest and comes across more as the result of the large registral gap present in the music at this point. Steven C. Cannon describes the sonority of bars 9-11 as 'akin to a thinly walled structure, such as an eggshell or paper bag, suddenly collapsing in on itself under a heavy weight'. ('Register, Sonority, and Structure in Beethoven's Piano Sonata Op. 53', MA thesis, University of Victoria (2002), 72.)

³⁰ Eero Tarasti, 'Beethoven's Waldstein and the Generative Course', *Indiana Theory Review* 12 (1991), 104.

b) are the same as Chavez motifs 3 and 4, and Tovey's b) and c).³¹ In Tovey's motivic analysis only three motifs are considered relevant as follows.³²



As noted above, all three analysts share two motifs in agreement. Motifs 1 and 2 highlighted by Chavez can be described as the head and tail of Tovey's motif a). Although they are important and individually developed, they appear together more often than they do separately. Tarasti also notes the importance of the repeated quavers, labelling it as the 'drumming' motif, even though he avoided highlighting it in his original motivic breakdown.³³

With these three motifs established in the opening phrase, our attention is now drawn to the register that Beethoven exploits in these first thirteen bars. As Tarasti points out, 'the deliberate creation of a 'gap' in the tonal space at the very beginning of the piece provides a strong implication for further developments'.³⁴ Beethoven makes the right hand leap an enormous two octaves and a fifth between bars 3 and 4. This acts as a release of the tension created by the 'drumming' motif and has the effect of being catapulted owing to an enormous burst of energy. 'As the main theme unfolds, the gap created by this leap is left conspicuously vacant', it is only filled in a fleeting manner through bars 11-12.³⁵

The rhythmic drive of the opening section is thrown off kilter, first with the semiquaver run that starts on the fourth beat of the bar 9, then by the subsequent *sforzando* in bar 11 which brings the theme to a grinding halt. What follows in bars 14-22 is 'an immediate corroboration

³¹ Why he labels the two motifs in reverse order of appearance in the score is made clear later in his article, pp. 113-115, where he discusses 'Actorial Dimensions' bringing together his four motifs as actors on a stage.

³² Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 151.

³³ Tarasti, 'Beethoven's Waldstein and the Generative Course', 111.

³⁴ Tarasti, 'Beethoven's Waldstein and the Generative Course', 104.

³⁵ Cannon, 'Register, Sonority, and Structure in Beethoven's Piano Sonata Op. 53', 69.

of the theme in C major',³⁶ 'an octave higher with an imitation of a string orchestral tremolo' in semiquavers.³⁷ This re-statement of the opening theme continues the primary theme group and re-starts the rhythmic drive towards the first transition. The sonic gap left in the first thirteen bars is slowly filled from either end of the keyboard as we modulate towards our secondary theme group.

The bass line takes an important change of direction heading towards B major. The harmonic content of the two phrases in bars 14-17 and 18-21 is identical but in sequence a tone apart. The first phrase leads to G major (as it did in bars 1-4) and the second to a minor. An extra bar extends the second phrase to five bars as the a minor chord shifts to an Italian 6th chord (augmented 6th) of e minor. This resolves onto the dominant of e minor, B major, in bar 23 introducing the first transition section.

Transition one (Bars 23-34)

This transition prepares us for the modulation to E major, the key of the second theme, an exciting harmonic change in the place of what would usually be the dominant. The melodic material comes from the descending semiquaver motif in bar 4. The dynamics and lack of harmonic movement restrain the music from an early climax. The prevailing B major harmony is 'heard retrospectively as the dominant to E major, it helps establish the smooth transition to the second theme'.³⁸ In real time this might be perceived as the dominant of e minor due to the melodic minor scale used in bars 23-28. Beethoven solves this problem with little effort preparing the second theme with an ascending scale from B' in broken octaves. 'The later part of his scale shows that (III.), and not (iii.), is the object of this dominant preparation'.³⁹ Tovey is here referring to the F-sharp's and G-sharp's in the rising scale. The C-sharp's and D-sharp's heard initially are shared by both the major and melodic minor scales of E, therefore hiding the transcendent movement to E major as long as possible.⁴⁰

³⁶ Chavez, 'Anatomic Analysis', 19.

³⁷ Rosen, *Beethoven's Piano Sonatas*, 180.

³⁸ Taub, *Playing the Beethoven Piano Sonatas*, 112.

³⁹ Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 151.

⁴⁰ Roger Kamien describes this establishment and prolonging of e minor in 'Subtle Enharmonic Connections, Modal Mixture, and Tonal Plan in the First Movement of Beethoven's Piano Sonata in C Major, Opus 53 ('Waldstein')', *Beethoven forum* 1/1 (1992), 104. He also describes the importance of the melodic descent from b''

Secondary Theme Group (Bars 35-50)

Taub writes that '[i]n no previous sonata had Beethoven characterized the themes so strongly; the unexpected choice of key for the chorale-like second theme enhances the overall contrast'.⁴¹ This contrast is not just seen in the 'unexpected' harmony but also in the sheer simplicity of the second theme's construction. '4 + 4 self-repeating, answering half-close at 4th bar by full close at the 8th bar, the whole being repeated in a variation in triplet quavers arising as link from the 8th bar'.⁴² It totals sixteen bars of music which dovetail into the beginning of the second transition. From this point in the exposition, and right through until bar 74, the composition never leaves the key of E major. It seems that Beethoven has become content to remain in the one key-centre also using a generally slow harmonic rhythm. His earlier 'bold treatment of the nearer keys makes the dominant ineffective as a key for a contrasted section, and leads to the choice of (III.) for the second group'.⁴³ 'Rosen claims that Beethoven's use of dominant substitutes raises the tension to a higher level of dissonance than would be achieved by the dominant itself'.⁴⁴ Therefore, further modulation at this stage would unsettle the exposition and overshadow the achievement of the development section to come.⁴⁵

Tarasti, in his section on actorial analysis, states, 'because of its serenity of energetic will and balanced phrasing, the second theme instigates no further development and no further action'.⁴⁶ This is very true of the second theme. It contrasts the primary theme perfectly in every sense. The registral gap created in the opening bars of the primary theme group is perfectly filled

(bar 23) to *g-sharp*" (bar 35). Cannon also makes note of this descent in 'Register, Sonority, and Structure in Beethoven's Piano Sonata Op. 53', 76.

⁴¹ Taub, *Playing the Beethoven Piano Sonatas*, 113.

⁴² Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 151.

⁴³ Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 151.

⁴⁴ Michael Spitzer, 'The Significance of Recapitulation in the "Waldstein" Sonata', *Beethoven Forum* 5/1 (1996), 107.

⁴⁵ In a topical analysis written by David Korevaar looking into the exotic Turkish trope in relation to the 'Waldstein' Sonata, he references the key of the second theme to be a 'favourite destination of "Turkish" marches' and the rhythm to be 'set in the retrograde of the standard "Turkish" march rhythm (ie, long, Short, Short, Long, Long, instead of long, long, short, short, long)'. ('Exoticism Assimilated: "Turkish" Elements in Mozart's Sonata, K. 331 and Beethoven's "Waldstein" Sonata, op. 53', *Journal of Musicological Research* 21/3 (2002), 219.) Also see Robert S. Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana University Press, 2004), 68-89. Here Hatten discusses the important aspect of 'troping'. See pp. 70-71 for examples of 'topical troping' which is what Beethoven is employing here in the 'Waldstein'.

⁴⁶ Eero Tarasti, 'Beethoven's Waldstein and the Generative Course', *Indiana Theory Review* 12 (1991), 115.

by the first bars of the secondary theme group, a fit that is 'too close to be accidental'.⁴⁷ There is also the reflected contour of the two themes. The primary theme ascends then descends and the secondary theme descends then ascends. This was also foreshadowed in the right hand running semiquavers of the first transition. The *sforzando* in bar 38 briefly disrupts the calm serenity, but 'applies only to the B in the alto, which then descends to take over the soprano line in the lower register'.⁴⁸ The triplet variation in bars 43-50 merges into the second transition and foreshadows the rhythmic drive towards the climax of the exposition.

Transition Two (Bars 50-74)

This second transition is of a more substantial quality than the first. It has a slow harmonic rhythm with a 'cadence expanded to enormous size' over bars 62-73 going from A major (IV of E major) to B major (V of E major).⁴⁹ The dynamic volume is loud and grumbly at the beginning of bar 62 and dies away slowly to *pianissimo* in bar 71 before a small *crescendo* into a *fortepiano* at bar 79. This is contrasted by the register which begins low down in the bass and transcends into the uppermost register of the keyboard that was available to Beethoven at the time. His control over sonority is expert in the 'Waldstein'. Rosen remarks that this transition section is a prime example of his individual imagined sonority.

Hammering out twelve A major triads in the bass fortissimo against some brilliant passage-work in the right hand (bars 62 ff.) and continuing with twelve even harsher inversions of a dominant seventh chord, produce a sonority revolutionary in piano music that is derived from concerto style, but exceeds anything from contemporary concertos in massive power.⁵⁰

It is not, however, the register, sonority, dynamics or harmonic implications of this transition which give it its epic drive, but its rhythm.

The rhythm has a steady inbuilt acceleration which drives the section through to the codetta. It begins with triplets and an alternating form of 'primitive double counterpoint' in

⁴⁷ Cannon, 'Register, Sonority, and Structure in Beethoven's Piano Sonata Op. 53', 69.

⁴⁸ Rosen, *Beethoven's Piano Sonatas*, 181.

⁴⁹ Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 152.

⁵⁰ Rosen, *Beethoven's Piano Sonatas*, 183.

syncopated minims.⁵¹ These triplets accentuate an E on the down beat of every second bar for four bars, then every bar for two bars. The rhythm breaks into semiquavers and accentuates the E every two beats for one bar then every beat for one bar before a sideways shift in harmony and a *crescendo* to the A major section beginning in bar 62.⁵² The driving left hand pulse in bars 62-65 pushes the music forward even more. Then the hands switch roles, with the semiquavers in the left hand and accented quavers in the right. The final ascent into a shimmering *pianissimo* with the left hand morphing into a trill signals the point of the highest rhythmic tension. This tension explodes into the codetta and is allowed to slowly dissipate before the return to the primary theme.

This transition's sudden appearance 'right after the singing, melodic second theme, provides the needed contrast at the right time and place'.⁵³ It also contains some of the most virtuosic passages of the entire movement. However, it is virtuosity 'not demonstrated exclusively through loud playing but rather by exquisite control' due to the vast dynamic range of the transition.⁵⁴ 'The presence of a virtuoso element in the "Waldstein" sonata is a vital condition for the success of its harmonic experiments'.⁵⁵

Codetta (Bars 74-86)

The codetta begins in e minor which 'naturally and agreeably prepares for the repetition of the principal theme'.⁵⁶ Rosen notes that after such a long period in E major the change at this

⁵¹ Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 151.

⁵² This winding up of tension through rhythmic tapering is another aspect of the 'Turkish' style highlighted by Korevaar. He discusses observations of the 'Turkish' style made by Jonathan Bellman that shows this pattern of 'first every two bars, then two per bar, then four per bar' which is very typical of this trope and one Beethoven uses regularly throughout the first movement of the 'Waldstein'. ('Exoticism Assimilated', 218.) See also Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (London: Collier Macmillan, 1980). His chapter on topics in classical music is an unparalleled resource in the area. 'From its contacts with worship, poetry, drama, entertainment, dance, ceremony, the military, the hunt, and the life of the lower classes, music in the early 18th century developed a thesaurus of *characteristic figures*, which formed a rich legacy for classic composers. Some of these figures were associated with various feelings and affections; others had a picturesque flavour. They are designated here as *topics* – subjects for musical discourse. Topics appear as fully worked-out pieces, i.e., *types*, or as figures and progressions within a piece, i.e., *styles*. The distinction between types and styles is flexible; minuets and marches represent complete types of composition, but they also furnish styles for other pieces'. (p. 9)

⁵³ Chavez, 'Anatomic Analysis: Beethoven's Waldstein, op. 53', 21.

⁵⁴ Taub, *Playing the Beethoven Piano Sonatas*, 110.

⁵⁵ Spitzer, 'The Significance of Recapitulation in the "Waldstein" Sonata', 111.

⁵⁶ Carl Czerny, 'Harmonic Groundwork of Beethoven's Sonata Op. 53', In *Music Analysis in the Nineteenth Century*, ed. Ian Bent, volume 1 (Cambridge: Cambridge University Press, 1994), 195.

point to e minor ‘makes a warmer, more expressive concluding theme for the exposition’.⁵⁷ This ‘theme of less engaging character than the first or second’ is a simple figure that allows Beethoven to return quickly and seamlessly back to C major from c minor.⁵⁸ The last wisps of semiquavers in bars 74-76 and 78-80 are merely residue from the previous build up in rhythmic tension that found its release on the E major chord of bar 74. This rather short passage of music brings us back to the tonic with little fuss and provides the momentum to move further into the beginning of the development. Beethoven’s last laugh at the end of the exposition is the *crescendo* to *subito piano* dynamics, a joke he takes one step further in the final bars of the coda when he puts the *piano* in the last beat of the bar (bars 290-294).

⁵⁷ Rosen, *Beethoven’s Piano Sonatas*, 151.

⁵⁸ Chavez, ‘Anatomic Analysis: Beethoven’s Waldstein, op. 53’, 22.

Chapter Two

Annotated Analysis of the ‘Waldstein’ Sonata First Movement Exposition

This chapter will present an annotated score of the exposition as performed by six noted pianists spanning more than a century of piano playing. Each of the following performers has recorded the complete set of Beethoven sonatas at least once in their careers. A handful of them also edited the sonatas for publication. As a student pianist in New Zealand it was important for me to also include a New Zealand pianist in this line up. Michael Houstoun is the only New Zealand pianist to have performed the complete set of 32 piano sonatas in New Zealand twice. Another performer of significance to me is Claude Frank to whom I have a pedagogical connection as my teacher’s teacher. The six performers I chose are as follows:

Arrau, Claudio (1903-1991) was a Chilean pianist well known for his interpretation of Beethoven and editing of the 32 piano sonatas for the Peters Urtext edition. He recorded all the set of sonatas for Philips recordings during 1962-66.

Frank, Claude (1925-2014) was a German-born American pianist whom studied under Artur Schnabel in New York. He recorded the complete set of Beethoven violin and piano sonatas with his daughter Pamela Frank. In the commemorative year of Beethoven’s bicentenary he recorded the complete set of 32 piano sonatas.

Houstoun, Michael (1952-) is a New Zealand pianist renowned for his recovery from focal hand dystonia, a cramp or spasm in the hand whilst attempting fine motor skills such as playing the piano. He has performed and recorded the 32 piano sonatas of Beethoven twice in his career, first in 1992 then again in 2014.

Kempff, Wilhelm (1895-1991) was a German pianist and composer renowned for his interpretations of Beethoven. He founded *Fondazione Orfeo*, known today as *Kempff Kulturstiftung*, in Positano where he held his yearly Beethoven masterclasses until 1982 after which two of his star pupils took over running the

course. He recorded the complete set of 32 piano sonatas twice, first during 1951-56 and second during 1964-65.

Schnabel, Artur (1882-1951) was an Austrian pianist and composer, among the most respected in the 20th Century. He is one of the original interpretive geniuses of Beethoven's music. He wrote his own edition of the complete set of 32 piano sonatas with such a substantial amount of performance notes that it filled three volumes. He was the first pianist to record the complete set which he did during 1932-35.

Taub, Robert (1955-) is an American pianist well known for his interpretations of Beethoven and his book *Playing the Beethoven Piano Sonatas*. He was also the editor of the recent Schirmer Performance Editions of Beethoven's complete set of 32 piano sonatas published in 2010. He recorded the complete set for Vox Classics in 1997.

The annotation markings will be shown on three separate lines below the original score that represent the two individual staves in the music with a line in the middle for dynamic markings. Each system of score will have six sets of three lines horizontally underneath it that represent the annotations for six different performances as shown below.

Opus 53

Allegro con brio

21.

Arrau $\text{♩} = 71$

Fran. $\text{♩} = 92$

Hous. $\text{♩} = 78$

Kemp. $\text{♩} = 79$

Schn. $\text{♩} = 88$

Taub. $\text{♩} = 91$

The score used in the annotated analysis comes from the Urtext edition edited by G. Henle Verlag published in 1980. Any markings already present in the score that have been executed by the performer will not be indicated again on the three lines. Also pedal usage will not be annotated as it is often too hard to hear whether a performer has used the pedal in an audio recording. This is not to say that pedal usage in piano music is not relevant to performance interpretation, but that to justly annotate its usage one would require video evidence of its use.⁵⁹ The annotation markings that will be used in the analysis are presented in the following key:

⁵⁹ This could be a rather interesting and substantial topic for debate in the context of performance interpretation as the pedal has such an important effect on sonority in piano music. One need only look to the finale of the 'Waldstein' Sonata where Beethoven has indicated meticulous pedal indications for a desired sonority and effect.



Slur symbol used to mark passages played legato where not specified in the score.



Dotted slur symbol used to mark passages played non-legato where they were specified legato in the score.



Unaccented symbol used to show a written articulation not performed.



Accent symbol used to show added accented articulation of an unmarked note.



Tenuto symbol used to show the slight marking of an unmarked note.



Staccato symbol used to show the shortening of a note value or a lightening of touch of an unmarked note.



Pause symbol used to indicate any lengthening of note not written.



Back arrow symbol used to indicate stretching/pulling back of time over a passage of notes.



Forward arrow symbol used to indicate a compressing/pushing forward of time over a passage of notes.



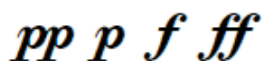
Backward and forward arrow symbol used to indicate a small stretching of time over a few notes.



Forward and backward arrow symbol used to indicate a small compression of time over a few notes.



Crescendo and *diminuendo* symbols used to indicate increase or decrease in dynamic level not written.



Dynamic markings used to indicate dynamic either different from that which is written or a change in dynamic not written.

The following chapter will combine the annotated analysis with the theoretical analysis and aspects of performance practice. For the readers reference the complete annotation of the exposition, which includes the score, can be found in the appendix of this exegesis.

Chapter Three

Performance-Motivated Analysis of the ‘Waldstein’ Sonata First Movement Exposition

The aim of this chapter is to discuss the interpretive decisions made by the six performers, Arrau, Frank, Houstoun, Kempff, Schnabel, Taub, and to try to understand why they may have made them. This will lead to an understanding of PMA through justification of the interpretations and suggestion of potential alternative interpretive ideas that can be understood through theoretical analysis.

Tempo and Tempo Modification

Finding the ‘correct’ tempo in Beethoven can be quite a difficult task.⁶⁰ It is known that he gave metronome markings to all nine symphonies, his first eleven string quartets, and a handful of lesser works.⁶¹ The metronome was a new invention by Maelzel in 1816 that Beethoven strongly endorsed. ‘To the end of his life, letters, public notices, publications of his own metronome marks for some of his most important compositions, and efforts to keep his metronome in good repair, all demonstrate his continued support for the instrument’.⁶² He was becoming increasingly frustrated with the limiting nature of ‘Tempi Ordinari’, the standard Italian markings, *adagio*, *andante*, *allegretto*, *allegro*, and *presto*.⁶³

In regards to the sonatas, Czerny is among the small group of trusted editors that provided each sonata with a metronome marking.⁶⁴ For the ‘Waldstein’ Sonata he gave the first

⁶⁰ See Sandra P. Rosenblum, *Performance Practices in Classic Piano Music* (Indiana: Indiana university Press, 1988), 305-361. ‘There is little doubt that choice of tempo is a fundamental yet elusive aspect of performance practice’ (p. 305). William S. Newman, *Beethoven on Beethoven: Playing His Piano Sonatas His Way* (New York: Norton, 1988), 83-120. ‘Ever since Beethoven’s own day, arriving at the “right” tempo has confronted musicians with one of the most elusive challenges in performing his music’ (p. 83). Rosen, *Beethoven’s Piano Sonatas*, 43-106. ‘Of course, in the end we have to choose a tempo that we find both viable and comfortable, or with which we have finally found a way to be comfortable’ (p. 44).

⁶¹ See Sandra P. Rosenblum, ‘Two Sets of Unexplored Metronome Marks for Beethoven’s Piano Sonatas’, *Early Music* 16/1 (1988) and especially William Malloch, ‘Carl Czerny’s Metronome Marks for Haydn and Mozart Symphonies’, *Early Music* 16/1 (1988), 75. Illustration 4. Also see Newman, *Beethoven on Beethoven*, 86.

⁶² Rosenblum, ‘Two Sets of Unexplored Metronome Marks for Beethoven’s Piano Sonatas’, 59.

⁶³ Rosen, *Beethoven’s Piano Sonatas*, 44. Newman refers to them as five typical markings categorised as “very slow, slow, moderate, fast, and very fast” (*Beethoven on Beethoven*, 84.)

⁶⁴ Rosenblum discusses a number of other trusted editors on this matter in ‘Two Sets of Unexplored Metronome Marks for Beethoven’s Piano Sonatas’. It is also important to note that Beethoven only wrote metronome marks for one of his piano sonatas, op. 106 ‘Hammerklavier’ as discussed by Newman (*Beethoven on Beethoven*) and Rosenblum (‘Two Sets of Unexplored Metronome Marks for Beethoven’s Piano Sonatas’).

movement a marking of minim equal to 88 beats per minute.⁶⁵ This is a very brisk tempo. Kullak makes a note that the ‘general view of the proposed system for fixing the tempo’ in Beethoven’s time particular for *Allegro con brio*, which is the tempo indication for the ‘Waldstein’, was a range from 130-150 crotchet beats per minute.⁶⁶ This would recommend a maximum tempo of minim equal to 75 beats per minute, a tempo considerably slower than what Czerny has indicated.

Arrau, Houstoun, and Kempff perform the movement at a tempo nearer this slower recommendation than the other three performers. Arrau plays the slowest tempo of minim equal to 71 beats per minute. In the context of the piece, this slower tempo allows for all the details present in the transition sections to be heard. For example, the Italian 6th chord in bar 22 can be more easily expressed, as well as the soprano melody in bars 54-58. The subtle nuances of the G-sharp to F-sharp, A to G-sharp, B to A, and D-sharp to E become more expressive in bars 54 and 55. Also the change in rhythmic pattern of E, B, A, D sharp in bars 56-57 from crotchets to the long, short, short pattern in bar 58 is more noticeable and helps to foreshadow the rhythm of the codetta motif.

Frank, Schnabel, and Taub all play the movement at a tempo equal to or slightly faster than Czerny’s recommendation. There is much to be said for the faster tempo decision when one considers the harmony of the movement. As discussed in detail in chapter one, the whole movement has a very slow harmonic rhythm, with some harmonies lasting for two bars, such as the opening ‘drumming’ quaver motif.

Such characteristics as a relatively slow harmonic rhythm, light texture, straightforward and not too detailed articulation, uncomplicated rhythmic movement, and little ornamentation lend themselves to faster movement than do more complex stylistic elements.⁶⁷

Therefore, a faster tempo would help the music move through this slow harmonic movement so as not to become laboured. More subtle details can become overlooked but the brilliance of the

⁶⁵ Rosenblum, ‘Two Sets of Unexplored Metronome Marks for Beethoven’s Piano Sonatas’, 68.

⁶⁶ Franz Kullak, *Beethoven’s Piano-Playing*, trans. Theodore Baker (New York: Da Capo, 1973), 23.

⁶⁷ Rosenblum, *Performance Practices in Classic Piano Music*, 311.

virtuoso passagework, vital to the ‘Waldstein’, comes to light in the foreground. Taub, whom plays the second fastest tempo of the six performers, writes:

Although the harmonic motion is striking, it actually proceeds quite slowly; therefore, I like a fast tempo- Allegro con brio, *pianissimo*- creating the feeling that the opening chords are pulsating restlessly.⁶⁸

This faster speed is also related to a trend in Germany at the time. In Türk’s second edition of his *Klavierschule* he writes, ‘A far more moderate tempo is generally taken for granted for an allegro composed fifty years or more ago than for a more recent composition with the same reading’.⁶⁹ ‘Beethoven himself confirmed [a] faster allegro in his now famous letter of 1817 to the Viennese conductor Mosel’.⁷⁰ It seems that when one considers the evidence present in the music and the performance practice associated with the ‘Waldstein’, either of the slower or faster allegro tempi is plausible for a good performance.

All six performers seem to agree that the secondary theme should be approximately one fifth slower than the opening tempo, regardless of how fast they started. Taking the second theme at a slower tempo is a well-used practice in sonatas of the Classical period. It comes from the tradition of secondary themes being more melodious than primary themes. The more melodic nature hints at a slower tempo so that the performer may adequately present all the subtle nuances in the music. In the case of the ‘Waldstein’ Sonata Beethoven writes in minims and crotchets for the first eight bars of this theme that suggest a more sustained tempo. It can also be noted that the harmonic rhythmic is now synchronised with the melodic rhythm. Each new melody note is harmonised differently which speeds up the harmonic rhythm in comparison to the previous 34 bars. This alone demands a slower tempo; otherwise, it seems hurried. ‘It follows that there are particular circumstances in composition that oblige the performer to make tempo modifications’. This is certainly one of those places.⁷¹

Tempo modification is often shied away from in interpretations of Classical music as it is considered to be a ‘Romantic’ gesture not suitable to the period. Advancement in tempo rubato is generally associated with music written after 1830, as in the music of Brahms, Chopin, Liszt,

⁶⁸ Taub, *Playing the Beethoven Piano Sonatas*, 112.

⁶⁹ Türk, *Klavierschule* (Leipzig, 2/1802), 106.

⁷⁰ Rosenblum, ‘Two Sets of Unexplored Metronome Marks for Beethoven’s Piano Sonatas’, 62.

⁷¹ Heinrich Schenker, *The Art of Performance*, trans. Irene Scott (New York: Oxford University Press, 2000), 54.

and Rachmaninoff to name a few. However, this may not necessarily have been the case in Beethoven's time. As Schenker points out 'a balanced tempo throughout a piece does not exclude freedom'.⁷² In the case of the 'Waldstein' the first place where any tempo modification is used by any of the performers is in bar 12. Up until now any flexibility in tempo would have seemed strange owing to the strictness of the repeating left hand quavers. Bar 12 pre-empts a pause on the dominant in bar 13 with activity only on every crotchet beat. Four quavers, with quaver rests meticulously placed in between each, and no running semiquavers have the effect of a built in *rallentando*, even if played in tempo. However, each of the six performers decided to enhance this effect by broadening a little going into the pause. This has the added bonus of emphasising the space in between each of the four quavers; space which has not been present in the first eleven bars.

The recapitulation includes these same four quavers but they lead to a surprise A-flat, not a G. To help set up this surprise one would be expected to *rallentando* slightly before it. Had this not already been done twice before, in the exposition and its repeat, then it would be obvious that something different was about to happen. Slowing down in bar twelve of the exposition accustoms the audience to hearing a G on the pause, which allows the latter Ab to have more poignancy.

The next point of flexibility is the connection between the primary theme and transition one. All of the performers agree that a breath of some kind needs to occur before the *subito piano*. Arrau and Taub also prepare the *subito piano* with a slight pull back in the left hand semiquavers before the breath. Frank chooses to do the opposite and pull back a little at the beginning of transition one to steady the semiquavers in a clean running pulse. As this is the first long stretch of continuous semiquavers, taking them at a slightly held back tempo will have the effect of making them sound more brilliant yet still fast. This will hide the fact that Frank has slowed down.

Bars 29-34 no longer have changing chords, but rather one sustained B major harmony. It is for this reason that Arrau and Schnabel see fit to push forward through bars 29 and 30. The previous bars have been increasing in tension, climaxing with the *sforzandi* in bar 28 and releasing into bar 29. The brilliance of these descending inversions of B major broken chords

⁷² Schenker, *The Art of Performance*, 53.

requires a little push forward to keep the energy alive. When this is followed by a gradual *rallentando* over bars 31-34 the realised tension of bars 23-28 is able to peter away organically as Arrau and Schnabel allow it to do. The remaining four performers appear to miss this opportunity. All of the performers take note of the rhythmic broadening that Beethoven writes, tapering down from semiquavers to quavers to crochets and minims. Holding back the tempo in bar 34 prepares the tempo change to the secondary theme.

The secondary theme provides the performers with ample opportunity for expressive playing. This need not be achieved through too much fluctuation in tempo as the chorale texture and sumptuous harmonies provide the performers with a large enough tonal pallet. However, Kempff, Schnabel and especially Houstoun consider it necessary to emphasise the *sforzando* with further stretching of tempo. Arrau, Frank and Houstoun add even more tempo modification around the *subito piano* in bar 42 whereas Kempff adds a push forward into the triplet variation. Arrau, Houstoun, and Schnabel also bend the tempo between bars 45 and 46.⁷³

Transition two has many changes in figuration and rhythmic motion. It is interesting to note that this section nonetheless remains fairly steady as played by most of the performers. The counterpoint in bars 50-54 suggest that the tempo be pushed forward again, as does the slow harmonic rhythm. Many of the performers do this in bar 49 leading into it. Houstoun has an immediate tempo change as well as Frank, although Frank does push forward a little in bar 49 too. A sudden tempo change at bar 50 is supported by the offbeat minims in the left then right hands which off-balances the rhythm and helps disguise the tempo alteration making it feel organic. Pushing forward in bar 49 is not necessary (it is nice to hear the resolution of the four-bar phrase, bars 47-50, unhurried). However, the *crescendo* to *forte* and the ascending triplet figuration could suggest that forward movement can be well used here.

Further into the transition there is some disagreement between performers as to where a good place to pull or push the tempo is. It can be seen that Schnabel pulls back then pushes forward before and after the rhythmic change. Arrau and Kempff push forward on or near the

⁷³ It is possible to play this section expressively without extra tempo adjustment. I feel that playing the music at a slower tempo than the opening is modification enough for this theme. If we look briefly at the second theme in the recapitulation (bars 196-210), Beethoven provides the listener with a complication of key-centres and modulations as a means of returning to C major. These sudden tonality changes and abrupt modulations require a degree of tempo flexibility that is not necessarily needed in the exposition as Beethoven is content to write in the one key centre.

beginning of the change and Houstoun stretches the first beat of the harmony change at bar 60. Taub is the only performer to pull back entirely at bar 58. Passages of music such as this, where the rate of rhythmic motion is constantly changing to build or release tension, provide varying performance opportunities depending on what it is said performer is trying to achieve. Schenker provides one example of how to deal with such passages.

Each new rate of motion....must be introduced as clearly as possible. ... [I]t is necessary to play the very first notes of the new rhythmic pattern a little slower than the absolute strictness of the metronome would demand. ... [I]f the tempo were maintained without metronomic precision, with considering the listener, the newly introduced motion would prevent his immediate understanding precisely because of the regularity of tempo. It is thus the listener who requires a comfortable moment's lingering in order to comprehend the change of rhythm.⁷⁴

Only Schnabel provides an interpretation that follows Schenker's view. Houstoun does this in the change from straight quavers to semiquavers in the right hand over bars 67-69, but not earlier from triplet quavers to semiquavers. Frank ignores the first change at bar 60 but touches on the change at bar 68. All but Frank perform tempo modifications in bars 73 and 74 in reaction to the dramatic change in rhythm and harmony. It seems then that the performers who chose not to react so obviously to the changes in rate of motion considered other factors, such as melodic line or harmonic intensity, to be more important in their interpretive decisions relating to tempo modification.

In the codetta, the occasional stretch of tempo occurs on the *fortepiano* and *subito piano* bars but not all performers chose to do this. In this context both decisions are justifiable. Stretching the tempo over bars 74 and 78 to accommodate the *fortepiano* is also supported by the left hand jump downwards. This *fortepiano* acts as a restart of the same passage we had at bar 79 as if the music is trying to re-model a sonority it did not quite get the first time. From this view, a small stretch of time over the *fortepiano* becomes appropriate. On the other hand the *fortepiano* is more surprising to the listener if it is approached with no tempo fluctuation. It becomes part of a continued statement instead of another attempt at the original. The tempo

⁷⁴ Schenker, *The Art of Performance*, 57-59.

stretching in the *subito piano* bars is only performed by Arrau and works because of the presence of the *crescendo* to *subito piano*.

Articulation

Interpretation of existing articulation marks and the addition of new ones is an important aspect of performance interpretation. The way articulation is used or not used can change the effect of a phrase or the direction of a melodic line.

In the opening bar Houstoun and Kempff give the first bass note extra dynamic volume in the form of a slight tenuto or stress. This C is immediately followed by a four note chord which will sound louder than a single note, so to balance this it is perceivable to strengthen the bass C. However, it is possible to achieve a similar effect without emphasising the lone C by playing the preceding chords more quietly than marked to balance the opening bars.

It is interesting that the right hand motifs in bars 3 and 4 are played differently by each of the six performers. Frank plays it the way Türk recommends, insofar that 'the beginning tone of every period and the like must be given an even more marked emphasis than an *ordinary* strong beat'.⁷⁵ Kempff adds this emphasis to the 'beginning tone' of the motif in bar 3, however, he executes the *staccato* as an accent which goes against what Türk believes to be good execution. 'As necessary as it is to raise the finger from the key at the end of a period, the execution would be just as wrong if the raising of the finger were accompanied by a violent stroke'.⁷⁶ Houstoun falls into this same trap in bars 4 and 8. Schnabel, on the other hand, doesn't play with a lift at all but plays the note value for its full length. Arrau sustains the *staccato* tone as if it were not present in the score.⁷⁷ Half of the performers agree with Türk in bar nine that the long dotted minim needs a strong emphasis to begin a longer line than we have been previously privy too. In bar 12 Arrau sustains the quavers to slightly fuller length as does Houstoun on the last two quavers.

Most of the performers decide to emphasise the low D in bar 18 after having a slight breath in order to achieve a clean leap to the chord. This highlights the sudden change in

⁷⁵ Türk, *Klaveirschule*, 325.

⁷⁶ Türk, *Klaveirschule*, 331.

⁷⁷ It is perceivable that Arrau and Schnabel may have used editions that lacked the *staccato* on this note hence their interpretation. I will note that the Henle Urtext was published long after most of the performers would have been learning the work.

direction of the bass as it rises to a D instead of dropping to a Bb as in bar 5. Emphasising this movement helps to increase tension in the sound world.

Bar 22 holds more importance so far as the link to transition one. Arrau, Houston and Schnabel all accent or lengthen the *staccato* note in this bar as a side effect of the *crescendo* to *subito piano*. Beethoven has gone to the trouble of writing in a *staccato* dot and it is the responsibility of the performer to phrase off correctly to deal with the *staccato* and present the *crescendo*. Both are possible but achieved by none of the six performers. Taub comes close but compensates with a *diminuendo* over the last two beats of bar 22. Kempff probably does the best job but fails to provide a clean *staccato* lift. He is, however, the only performer to mark the beginning of the phrase at bar 23.

The *molto legato* nature of the secondary theme group leaves little room for added articulation until bar 49 which links into transition two. Here only Arrau takes the opportunity to highlight the hidden melody, B, B, C-sharp, D-sharp, E in the last note of each triplet which creates a melodic line similar to the opening two bars of the piece. It is then relevant to mark each of these notes with a small stress. The following syncopated minims, first in the left hand then in the right, lend themselves to added accentuation to help drive the music forward. All of the performers but Frank do this at some point in bars 50-53. Arrau and Houston stress the top notes in bars 56 and 57 to bring out the melody and add further drive to the harmonic rhythm. Houston is the only performer to continue these stresses into bars 58-60. This emphasises the change in the rhythm of the melody to long, short, short (foreshadowing the codetta motif) and the further chord change at bar 60.

Playing the preceding left hand chords in bars 62-65 without added stress can work well as long as one holds a steady tempo and maintains a strong *fortissimo*. The alternative is to pulse the chords according to the strong beats of a common time bar (beats 1 and 3). This would end up sounding the way Taub plays it with a slight stress on each strong beat and a lift immediately after with a neutral upbeat. Kempff plays it neither of the two ways opting instead for a *portato* effect which muddies the texture clouding the brilliant right hand passage work. He does not accent the *sforzando* notes in the following two bars and heavily slurs the octave arpeggios. Arrau, Frank and Kempff all stress and lengthen the *staccato fortepiano* in bar 68 which should ideally be played with a sharp accented lift as suggested by the *staccato* mark.

The remainder of the exposition does not immediately call for extra stress except at the will of the performer. Frank emphasises the codetta motif in bars 76 and 77 stressing each chord. Taub provides the third beat of bar 80 with a stress to allow his added *diminuendo* to work more effectively. Arrau and Houston stress the down beat of bars 82 and 84 which is counter-intuitive as the note is marked *staccato* and comes at the end of a slur which suggests a light lift of the finger, not a soft accent.

Phrasing and Dynamic Variation

Phrasing is a very subjective aspect of performance that goes hand in hand with variations in the written dynamics of the music. It is often referred to as ‘phrase shaping’ in pedagogy. One will be asked to ‘shape’ the phrase appropriately to match the musical line. Articulation is an inherent aspect of phrasing and often helps to determine the phrase structure or direction. There are a number of other circumstances that can be used to inform the shape of a phrase.

Harmony:

The underlying harmonic structure of a phrase can suggest that the points of highest tension are where one will direct the listener’s attention.

Dynamics:

Sometimes a composer will be very specific on a particular phrase shape and direct the performer through the use of dynamic markings such as *crescendi*, *diminuendi*, *sforzandi* and normal dynamic gradations.

Texture:

Various gradations of textural density within a phrase can also provide ideas for phrase “shaping”. Movement from low to high density of notes and vice versa, and movement from simple to complex textures such as homophonic to polyphonic and vice versa are some examples.

Register:

As the music traverses tonal pitch space within a musical line the direction of the phrase or points of emphasis within that phrase can be illuminated. In counterpoint these are referred to as low

and high points in the musical line. Register expansion and contraction can also suggest opportunities for 'phrase shaping'.

In my annotated analysis of the exposition of the 'Waldstein' Sonata 'phrase shaping' is often highlighted by dynamic variation from the original score. The use of slurs can also be attributed to phrasing by the performers as they will have chosen to play an un-slurred section smoothly which will in turn give it a new direction or shape.

The first two phrases (bars 1-8) are played fairly straight to emphasis the hushed dynamic volume and brooding nature of the music. Taub adds in a little *crescendo* towards the middle of each phrase, as does Kempff in the second phrase, which puts a small amount of emphasis on the ascending melodic line and change in chord. The restatement of the theme from bar 14 is performed in much the same way as the opening. Arrau and Kempff see fit to add more shape to the first phrase (bars 14-17) which may not be required as the music has already reached a higher point of tension by being an octave above the original pitch. The beginning of the transition section (bars 23-30) has been slurred by Taub and Arrau which emphasises the chromatic nature of the line. Doing this makes it sound more slippery as opposed to not slurring it which can make it sound over articulate.

In the second theme the performers present more diverse approaches to phrasing than in the primary theme. The slower nature of the music and faster harmonic rhythm suggest more opportunity for 'phrase shaping'. Arrau, Frank, Kempff and Taub shape the first two-bar phrase towards the middle. The second phrase has been shaped already by Beethoven and all the performers adhere to this shaping. The third phrase in the lower octave suggests a less expressive quality so as not to pre-empt the *crescendo* to *subito piano* in bars 41-42. However, Kempff treats this phrase as he did the first in bars 35-36 and Taub begins the *crescendo* early joining the two phrases, as per Beethoven's slur mark, and shaping the music towards bar 42. Arrau, Frank, Houstoun and Kempff push the tempo of the triplet link in bar 42 which, along with the rise in register, directs the line towards the upper register and restatement of the theme in variation. Most of the performers make the decision to *diminuendo* through bars 43-44 and 47-48 which adds an emphasis to the slowly descending register of the musical line. This also helps highlight the climax of the second theme in bar 46 where texture complexity and density is at its highest in the theme.

All of the performers except Taub chose to slur at least one of the two sets of bars 74-75 and 78-79 which emphasises the shape towards the highpoint in the melodic contour in the middle of bars 75 and 79. This is also shown by the hairpin *crescendi* and *decrescendi* implemented by Arrau, Kempff and Schnabel. The music suggests this phrase direction within the tension of the harmony at those two points. The main codetta motif is heavily marked by Beethoven (bars 82-85) with slurs, *crescendo* markings, *subito piano* dynamics and *staccatos*. All of the performers refrain from the shaping that Beethoven has so meticulously attempted to portray. The music is trying to direct the phrase towards the middle of each two-bar group with the *crescendo* and register contraction, and then at the last minute it cuts the sound to surprise the listener. All six performers interpret these bars in one of the following ways; A) they start the *crescendo* at a louder dynamic than where they finished the last phrase; B) they emphasise the beginning of the *crescendo* cancelling out its effect; C) they emphasise the downbeat of the *subito piano* bar cancelling out its effect; D) they ignore the *subito piano* altogether and *crescendo* in the previous bar to a *mezzo forte* dynamic level then proceed to *diminuendo* in the bar that was marked *piano* for its whole duration.

Chapter Four

Performing Beethoven's 'Waldstein' Sonata First Movement Exposition

As a student, attempting to perform Beethoven's 'Waldstein' Sonata was always going to be a mammoth task. Interpreting such a monumental work is never easy and knowing where to begin can be a challenging prospect. One of the benefits of learning such a well-loved and often-played piece in the pianists' repertoire is that many great musicians have gone before me and laid out multiple paths of successful interpretations to draw upon. This can make the task of interpreting the music somewhat less daunting. However, it is always one's aim as a performer to craft an individual interpretation based on some of your own ideas.

On the journey to discovering an interpretation that feels comfortable to me, it is always important to start with what has gone before. Trying out many different approaches to shaping phrases, tempo, and dynamic variation, such as those described in the previous chapter, and carried out by other musicians, is often a good first step in making a musically informed interpretation. This exegesis has focused on developing PMA as one form of interpretive aid through the analysis of other performers' interpretations, which was my primary means of developing a performance interpretation for my Masters recital.

This chapter is two-fold. First, I will discuss my own interpretive decisions in theory and second, I will discuss them in practice. For the first part my use of 'in theory' is referring to a preconceived interpretation that is to be performed, so it is currently 'theoretical'. Ultimately the interpretation is going to vary somewhat when one factors in adrenaline and performance anxiety, which is what 'in practice' refers to for the second part. A final note: the interpretation discussed below is representative of my Masters recital only. Interpretation is like a plant, ever-changing, growing, and developing with time and experience. By the time I have finished this exegesis my interpretation may have changed again, as it will continue to do; such is the beauty of performance.

Performance Interpretation in Theory

Tempo and Tempo Modification

For the opening tempo I chose a slower tempo closer to that of Houstoun and Kempff of minim equal to 88 beats per minute. I find this tempo good for my style of playing and technical level because it feels comfortable and allows me to articulate my interpretation clearly to the listeners. It also prevents the piece from sounding hectic or rushed. My tempo for the second theme is again similar to Houstoun and Kempff sitting in the middle at approximately minim equal to 64 beats per minute. I find this tempo allows me the freedom of expression required of the *dolce molto legato* marking. It is not too slow as to become laboured in its sound, yet not too fast that it becomes too quickly spoken and void of its potential expressive qualities.

The finer details of tempo adjustments within the exposition by my performance begin in bar 11. I stretch the first two beats so as to emphasise the *sforzando* octave G's on beat 2. This is not done by any of the performers examined in this exegesis; I decided to do it because of the rhythmic imbalance that occurs in this bar. As described in chapter one the placement of the strong and weak beats, which hold together the foundation of stability within any piece of music, are off balanced due to the right hand semiquaver run starting on beat 4 of bar 9 followed by a *sforzando* minim in the left hand on beat 2 of bar 11. This halts the momentum in the left hand and brings the music crashing down onto the dominant pause through the quavers in bar 12.

For each of the left hand octaves in bars 14 and 18 I allow a little extra time to play the leaps cleanly. This also emphasises the harmonic bass ascent as opposed to the descent in the opening thirteen bars. As per five of the six performers (Arrau, Frank, Houstoun, Kempff, and Schnabel) and as suggested by the rhythmic tapering in the music, I pull back the last few beats before the second theme in bar 34. I then proceed to play the second theme without any tempo modification. As discussed in footnote 73, chapter three, I feel that another successful interpretation of this theme is to enjoy the colours of the harmony and the simple melody without fluctuations in tempo. The dynamics, phrasing, and fast harmonic rhythm make room for the tempo modifications present in each of the six performer's interpretations. However, that is not necessarily the only interpretation that the music suggests. A simple approach, as in my interpretation, is just as effective if you find the right tempo. Houstoun's tempo is about right for

this kind of treatment whereas Arrau's tempo is perhaps too slow and would require occasionally pushing forward. Taub's tempo on the other hand is a bit too fast and would probably require occasionally pulling back.

To lead into transition two, I push forward a little in bar 49 then again through bars 50-53. This allows me to get back to tempo by the semiquaver runs in bars 61-65. To mask this acceleration I use the counterpoint in bars 50-53 to distract the listener from the tempo increase, as the offbeat minims unsettle the rhythmic impetus. I then pause briefly before the down beat of bar 68 to help emphasise the start of the left hand melody and then pull back at the end of bar 73 to highlight the *fortepiano* E major chord in bar 74. Finally after the codetta I have a short pause on the C major chord that begins the first time bar repeat before launching back off into the 'drumming' motif of the opening.

Articulation

Taub's suggestion as to why the first solo left hand note should be played with a little stress is very convincing and matches well with the importance of the descending bass line highlighted by the harmony. I do what Taub recommends and I also bring out the melody in bar 2 from E to F-sharp to G. As per Türk's treatise I mark the *g* and *d'''* in bars 3-4 and subsequent bars 7-8, 16-17 and 20-22. I also perform a light lift of the finger on the *staccato* note that ends each slur in the aforementioned bars. I play the *f'''* in bar 9 gently without added stress as it is not the beginning of a slur. I also lengthen the grace note which emphasises the difference between the dotted minim and the similarly written crotchets in regards to its energy. This dotted minim is the beginning of a new build in tension as opposed to the release in tension that was present in the crotchets. The release of this passage is in the quavers at bar 12 which I play short to emphasise the rests in between them.

For most of the exposition I attempt to adhere to all the markings already written except where additions are suggested by the music. For example, in bars 50-53 I accent the offbeat minims to help give a renewed direction to the rhythmic drive. In the following four bars I mark the melody notes E, G-sharp to F-sharp, A to G-sharp, B to A, D-sharp then E, B, A, D-sharp etc. This helps to emphasise the contrary motion and leads us towards the rhythmic change to semiquavers in bar 58. The big left hand chords in bar 62-65 I perform in accordance with the

natural emphasis of the beats in a bar. I stress beats 1 and 3 and play the chords as if they are slurred together with a *staccato* dot on the second chord. The chord on the second half of beats 1 and 4 in this passage I play lightly, but not short, like an upbeat.

Phrasing and Dynamic Variation

In the opening thirteen bars I direct my phrase towards bars 10-11 voicing the oscillating G and A-flat which signals the point of fastest harmonic movement in the opening section. This helps lead to the *sforzando* in bar 11 and the ultimate release in bars 12-13. At the end of the primary theme I am careful to maintain the *crescendo* beginning bar 21 right to the end of bar 22 to make the *subito piano* in bar 23 all the more sublime. Through bars 23-28 I add in some dynamic variance following the contour of the music: *decrescendo* when the music descends and *crescendo* when the music ascends. I play the semiquavers detached but not too short in order to keep the flowing musical line and avoid it sounding over articulate.

I shape the second theme according to the dynamic markings already present except in the variation. Here I bring out the left hand melody a little more than the triplet figuration in the right hand. When I get to the second transition I play bars 54-57 tending towards legato to help bring out the melody notes, as stated previously, and emphasise the contrary motion of both hands. In bars 68-71 I voice towards the left hand which now has melody as it rises up a broken arpeggio. Then when it reaches the trill I increase the voicing in the right hand to emphasise the stretch up to the high F-sharp. In the beginning of the codetta I play the semiquaver runs as though slurred to help emphasise the melodic contour. I shape the phrase dynamically towards the middle of bars 75 and 79 with a hairpin *crescendo* and *decrescendo*. This is where the point of harmonic tension resides in the phrase owing to the dominant seventh chord in the left hand. I phrase the remaining codetta as per the written dynamics.

Performance Interpretation in Practice

As a performer I spend most of my time preparing my repertoire as best I can to eliminate as much uncertainty as possible in live performance. In many cases the prospect of uncertainty that comes with live performance is what makes performing exciting and challenging at the same time. It is this small amount of uncertainty that is always present, no matter how much I prepare or how many dress and technical rehearsals I attend, which brings spontaneity into the

performance. The wonderful thing about interpreting music is that there is never just one interpretation, hence the variety of performers discussed and analysts' views considered in the writing of this exegesis. Fresh new emotional engagement with the music creates new interpretations or re-inventions of preconceived interpretations at the will of the performer. This is where PMA can be so useful if applied correctly.

PMA can help me to understand some potential interpretive options available to me through the use of theory and analysis. As PMA is linked to aspects of structure, melodic development, articulation, harmonic development, and other subtle details of music, I will become accustomed to these elements whilst learning my repertoire. This is undoubtedly how I will find an interpretation (or collection of interpretations) that will work for me. This is all well and good 'in theory', as discussed above, but how can it be useful in the throes of live performance?

The spontaneity created through the uncertainty in live performance will present me with a binary of options. One, attempt if at all possible to stick to my preconceived interpretation, or two, run with my new emotional experience of the composition and deviate at will from my preconceived interpretation. Either of these two options might create an enjoyable listening experience for both me and the audience. Both choices can actively use PMA.

In this exegesis PMA has been used to demonstrate how theory and analysis can help one discover potential performance interpretations within a composition. In the course of action one, PMA will not necessarily be used to help create new paths. However, it is reasonable to expect that by this point in the process I will have become well acquainted to the formal, motivic, and harmonic structures within the composition. This is where PMA presents its alternative usefulness. Although not directly related to the outline of this exegesis, it is interesting to consider the memory aiding capabilities of PMA. In the process of attempting to accurately recall my preconceived interpretation, PMA will be able to help me remember the key structural points in the composition. This will help with interpretation recall as many aspects of an interpretation centre on key structural moments in a composition. A good example of this is transition one going into the secondary theme. All of the performers chose to make tempo modifications around this important structural point in the piece, not to mention the slower tempo for the secondary theme. I also chose to make a tempo modification in this same area. My knowledge of

the structure of the piece through PMA helped me remember to do this in the appropriate place in the piece.

In the spontaneous course of action two, PMA can be actively used to help illuminate new paths of interpretation during live performance. As I would have also tried out most of the different paths before in rehearsal, it will help me to re-access the memory of those paths. This way the performance will retry old possibilities as well as attempt new ones. In my own performance of this piece I actually started a little faster than originally intended due to the heightened stress of playing such a challenging work in the second half of my programme. This made the piece sound more exhilarating and as a result I chose not to pull back in bar 12 before the pause in order to respond to this extra excitement. This also made the secondary theme feel more rested as I decided to hold back the tempo more than intended. PMA helped me to achieve this while still remaining in control of my playing.

Conclusion

Interpretation is a creative process that can take many shapes and forms with many methods of achieving the desired outcome. It is the most challenging part of the final preparation of a composition for public performance and one that often takes more time to develop than actually learning the piece. I have shown how a performance interpretation can be achieved using one of the many methods available to a performer, score analysis. This is a method that is often challenging to use but as I have demonstrated, using Beethoven's 'Waldstein' Sonata as an example, it can be very beneficial in developing an interpretation.

Another of my focuses was to use score analysis alongside performance analysis to develop what I have called Performance-Motivated Analysis. This is a type of analysis that works with theory in a way directly related to performance. This has been used to help achieve the primary goal of my exegesis, to develop a performance interpretation using a theoretical approach. I demonstrated this in the final chapter where I utilised PMA to help craft my own interpretation for performance.

The impetus behind PMA is to analyse a composition in an accessible way for a performer to use in practice. My view has been to direct the analysis more towards performance, like performance practice, but to also include a more in-depth score analysis in the process. By building upon the already solid foundation of score analysis, shown through the many diverse analytical approaches presented in this exegesis, I have shown the performance benefits of PMA. I have used the score analysis in conjunction with some already well-established performers' interpretations and discussed their interpretive decisions in great depth. Through this one can see the link between performance and analysis clearly.

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Appendix

Opus 53

21. *Allegro con brio*

pp

cresc.

Arrau $\text{♩} = 71$

Fran. $\text{♩} = 92$

Hous. $\text{♩} = 78$

Kemp. $\text{♩} = 79$

Schn. $\text{♩} = 82$

Taub $\text{♩} = 91$

10

f *sf* *decresc.* *pp*

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

11

pp

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

d = 88 *p*

[illegible]

90

3

cresc.

4

5

6

7

8

9

10

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

25

p

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

26

cresc.

f

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

29

decresc.

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

32

p

dolce e molto legato

$d = 54$

$d = 74$

$d = 62$

$d = 67$

$d = 73$

$d = 82$

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

mp

mf

(46)

sf *p* *cresc.*

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

(47)

sf

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

54

decresc.

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

55

cresc.

f

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

[illegible]

69



Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

70



Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

75

76

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

(80)

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub

(85)

Arrau

Fran.

Hous.

Kemp.

Schn.

Taub