

The Genesis of Beethoven's Piano Sonata in A flat, Op. 110

by

Lynn Marie Matheson
B.M., University of Victoria, 1989


A Thesis Submitted in Partial Fulfillment of the
Requirements for the Degree of


ES


MASTER OF ARTS


in the School of Music

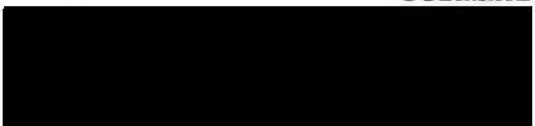
We accept this thesis as conforming
to the required standard


Dr. William Kinderman, Supervisor (School of Music)


Dr. Harald Krebs, Departmental Member (School of Music)


Dr. Erich Schwandt, Departmental Member (School of Music)


Dr. Johannes Maczewski, Outside Member (Department of
Germanic Studies)


Dr. Paul Wood, External Examiner (Department of History)

© LYNN MARIE MATHESON, 1993

University of Victoria

All rights reserved. Thesis may not be reproduced in whole
or in part, by photocopy or other means, without the
permission of the author.

Supervisor: Dr. William Kinderman

ABSTRACT


Although Beethoven's Piano Sonata in A flat, Op. 110, is one of his outstanding compositions, it has not been exhaustively discussed in the literature. In particular, aspects of the genesis of the work are in need of clarification. One body of sketch materials has remained unknown to previous scholars and is examined here in detail for the first time. Study of the sources in question--Paris Manuscripts 51, 51/3 and 80--makes possible a reevaluation of Beethoven's compositional process.

The thesis assesses the work of other scholars who have written about the sonata, placing emphasis on studies of the primary sources. Various manuscripts are examined in detail and their relation to one another clarified. Important as well is the examination of the structure and chronology of the source materials--including the autograph scores. Both the physical structure and musical content of the source materials require close attention. Robert Winter's source study in The Beethoven Sketchbooks (Oxford, 1985) is reconsidered here against the evidence of the original manuscripts.


The largest part of this thesis concerns the genesis of the sonata as documented in manuscripts held in Berlin and Bonn, as well as Paris. Various stages of the compositional

evolution are traced in the sources, with special attention given to the complex final movement of the work, for which many layers of revision are preserved in the manuscripts. Certain sketches for this movement are surprisingly different from the final version and can therefore offer a new basis for analytical insight into the finished work.


Examiners:




Dr. William Kinderman, Supervisor (School of Music)




Dr. Harald Krebs, Departmental Member (School of Music)



Dr. Erich Schwandt, Departmental Member (School of Music)



Dr. Johannes Maczewski, Outside Member (Department of Germanic Studies)



Dr. Paul Wood, External Examiner (Department of History)

CONTENTS

Abstract.....	ii
Contents.....	iv
List of Figures.....	v
Acknowledgements.....	vi
Introduction.....	1
Chapter 1 Problems of Sources and Chronology.....	9
Introduction.....	9
Artaria 197.....	11
The Pocket Sketches:	
Paris Ms 51/3, 80 & 99.....	19
Paris Ms 51.....	25
The Autograph Scores.....	33
Chapter 2 Aspects of the Genesis: The First Two Movements	
The First Movement.....	37
The Second Movement.....	53
Chapter 3 Aspects of the Genesis: The Finale	
The Finale.....	65
Bibliography.....	105
Transcription of the Sketches.....	109

LIST OF FIGURES

Figure 1	Sources for the piano sonata in A flat: Op. 110.....	13
Figure 2	Proposed Structure of Paris Gatherings in Chronological Order.....	22
Figure 3	Revised Structure of Paris Manuscript 51/3.....	24
Figure 4	Chronological Overlap in Artaria 197 and Paris Manuscript 51.....	84

ACKNOWLEDGEMENTS

I am indebted to all the members of my committee for their continuing support and guidance during the preparation of this thesis: to Dr. Kinderman for his knowledge and insight into the realm of Beethoven's compositional process, Dr. Krebs for his keen analytical mind and helpful suggestions, and Dr. Maczewski and Dr. Schwandt for their prompt reading of the chapters, as well as their enthusiasm for this project.

I am grateful also to Helmut Hell of the Staatsbibliothek zu Berlin and Catherine Massip of the Bibliothèque Nationale for allowing me to consult the original manuscripts in order to provide transcriptions of these sketches.

INTRODUCTION

The musical genesis of Beethoven's penultimate piano sonata, Op. 110 in A flat major, is richly documented in a variety of sketch and autograph sources now held in Berlin and Paris. Despite studies of these sources by generations of scholars--including Nottebohm, Schenker and Karl Michael Komma--aspects of the genesis of this work have remained in need of clarification. For instance, sources reveal the existence of a preliminary autograph version of the scherzo surprisingly different from the finished version. They also show that the finale was at a comparatively early stage when Beethoven began work on the autograph score. Subsequently, Beethoven extensively revised the finale and even prepared a new Reinschrift for this movement before returning to the original to make his final revisions.

The autograph score of the Op. 110 piano sonata is a highly unusual source deserving of special attention. Such an Urschrift normally represents the 'final version', in which the music is complete and does not require any subsequent revision.¹ Lewis Lockwood has rightly observed, however, that for Beethoven an autograph score is not a single or uniform

¹The terms Urschrift and Reinschrift will be used often in the present study to designate the original text or autograph (Urschrift), and the "good" or "fair" copy (Reinschrift).

entity; the function of the autograph score for Beethoven changed throughout his life.² For this reason the extent of revision in the autographs varies considerably. In the case of Op. 110, these sources are among the most heavily revised in Beethoven's career.

In each movement of the autograph score, and particularly the finale, there are significant revisions which generate far-reaching implications often extending beyond the boundaries of a single movement. A cursory study of available facsimiles of Beethoven's other works indicates that this is relatively uncommon, especially in the works of earlier periods. For instance, the piano sonata in A flat, Op. 26, contains only a small number of changes which seem to be copying errors rather than corrections necessitated by more complex problems. Works with such extensive revisions as those of the sonata in A major for cello and piano, Op. 69, are quite rare.³

Although there is a definite trend towards an increased number of autograph revisions in the later works, copious revisions such as those in Op. 110 are rather uncommon. Most noteworthy here are the many layers of work on the finale, which caused Beethoven to prepare a second autograph or Reinschrift before entering final changes into the Urschrift,

²Lewis Lockwood, "On Beethoven's Sketches and Autographs: some Problems of Definition and Interpretation" Acta Musicologica, (1970), pp. 34-5.

³ibid., pp. 34-5.

containing the text of the final movement as we know it. Karl Michael Komma, who prepared the facsimile edition of the autograph with accompanying transcriptions and commentary, did not interpret the genesis of the finale correctly, despite the previous accurate evaluation of the sources by Heinrich Schenker. Schenker's comparison of the two autographs, together with a study of a copy revised by Beethoven from Brahms's collection, established the Urschrift of the finale with its later changes as the 'good copy'. A 1981 article by Hans-Werner Kuethen supports Schenker's conclusions and addresses further issues, examining earlier versions of portions of the finale.⁴ But despite the importance of this work, no exhaustive study has yet been offered.⁵

One reason for certain shortcomings in earlier research on Op. 110 is that a body of sketch materials for the sonata remained unknown to most earlier commentators and was not transcribed. Furthermore, many scholars were long content to rely on the pioneering studies by Gustav Nottebohm; these however are incomplete since Nottebohm consulted only the desk sketchbooks Artaria 197 and Artaria 201 and was unaware of the

⁴Hans-Werner Kuethen, "Die ominöse Stelle um den Orgelpunkt herum." Text- und Quellengeschichtliches zur Fuge in Beethovens Klaviersonate op. 110, Divertimento fuer Hermann J. Abs, Ed. Martin Staehlin (Bonn: Verlag des Beethoven-Hauses, 1981), pp. 49-69.

⁵A recent study which does address some aspects of compositional genesis is William Kinderman, "Integration and Narrative Design in Beethoven's Piano Sonata in A Flat Major, Op. 110" Beethoven Forum I (Lincoln and London: University of Nebraska Press, 1992), pp. 111-147.

other extant pocket sources. Furthermore, Nottebohm selectively transcribed only the most recognizable sketches from Artaria 197 and one sketch for the second movement contained in Artaria 201.⁶ Nottebohm's important contributions to Beethoven sketch studies cannot be overlooked, but his access to the early sketches for Op. 110 was limited, and he did not explore the complexity of the autograph sources.

In attempting to expand Nottebohm's research, later scholars, such as Mies, used his transcriptions but made no further attempts at interpretation. Schenker was an exception to this trend. As mentioned above, his contributions to scholarship on the sonata are both significant and original. Like Nottebohm, however, Schenker did not have access to the pocket sketches and therefore was still restricted in his work. In 1959, John Cockshoot writes:

Both Nottebohm and Schenker have studied the sketch-book that contains much of Beethoven's preliminary work for this sonata....Unfortunately [Nottebohm] quotes only one sketch for the fugue: (example given). This shows the subject in its final form apart from the last note. How much effort this had already entailed Beethoven one cannot tell; Nottebohm does not say. Possibly Beethoven may have had less difficulty with this Subject, because

⁶Gustav Nottebohm, Zweite Beethoveniana (Leipzig, 1887 & repr. New York, 1970), pp. 465-466, 472.

it is obviously planned on the same outline as the opening theme of the first movement.⁷

From the above quotation, several important facts emerge. Even as late as 1959, the author refers to the sketchbook for Op. 110, a singularity that not only betrays his dependence on Nottebohm's work--and Schenker's--, but indicates that the Paris manuscripts were still unknown.⁸ Furthermore, Cockshoot was in no position to evaluate Nottebohm's work since he did not even have access to the manuscripts Nottebohm consulted. If Cockshoot had examined 197 he would surely have been surprised to discover only a few sketches for the fugue--an unusual situation given the nature and complexity of the final movement. Moreover, "much of Beethoven's preliminary work" is contained not in this, but in other sources. Artaria 197 contains mainly sketches and continuity drafts for the first movement, a detailed continuity draft of the Scherzo, several versions of the Arioso melody and relatively few passages for the fugue. Thus, Cockshoot's work did not advance the discussion of sources or musical analysis beyond the stage of Schenker's Erlaeuterungsausgabe published almost half a century before.⁹

⁷ John Cockshoot, The Fugue in Beethoven's Piano Music (London: Routledge and Kegan Paul, 1959), p. 97.

⁸Cockshoot alerts us to his dependence on Nottebohm's work in the Preface of his monograph. *ibid.*, p. xi.

⁹It is unfortunate in this respect that Cockshoot's documentation is rather poor, often making it difficult to determine whether the material is derived from Schenker or is,

Even Komma, who later prepared the facsimile edition of the Urschrift, knew only of those sketches for the sonata contained in Artaria 197. Of these, he transcribed but a portion, claiming that it was not the purpose of his study to present these materials in their entirety, but rather to indicate to some extent what was contained in this sketchbook.¹⁰ Consequently, several collections of sketches still remain untranscribed and unanalysed in Komma's edition, and the commentary to the facsimile is incomplete in this respect.

Only in the more recent work of several Beethoven scholars were the "missing" sketches accounted for and discussed at least in a biographical context. In studies of the sources for Beethoven's last piano sonata, Op. 111, William Drabkin made several important observations regarding Op. 110, since the sketches for the two sonatas overlap.¹¹ Drabkin was able to demonstrate the physical and musical relationships of those sketches contained in the pocket bifolia of Paris Ms 51. He determined that at least half of

in fact, an observation by Cockshoot--of which there are very few. op. cit., pp.95-120.

¹⁰Karl Michael Komma, Die Klaviersonate As-dur Opus 110 von Ludwig van Beethoven, Commentary volume to the facsimile, (Stuttgart: Ichthys Verlag, 1967), p.5.

¹¹William Drabkin, "Some Relationships between the Autographs of Beethoven's Sonata in C Minor, Opus 111" Current Musicology no. 13 (1972), pp. 38-48 and his Ph. D. dissertation, "The Sketches for Beethoven's Piano Sonata in C Minor, Op. 111" (Volumes 1 and 2), (Princeton University, 1977).

the sketches in this source pertain to Op. 110 and that the fugue sketches here may have preceded or accompanied the Urschrift but follow the earlier sketches at the end of Artaria 197. Further studies by Robert Winter in The Beethoven Sketchbooks (1985) disclose that early sketches for Op. 110 are not exclusive to Paris Ms 51 and Artaria 197, but occur in two other sources: Paris Ms 51/3 and Paris Ms 80.¹² While those sketches in Ms 51 occur alongside sketches of Op. 111, those contained in the other sources are juxtaposed primarily with sketches for various movements of the Missa solemnis, Op. 123, and the "O Tobias" canon, WoO 182.

The chronology of these sketch materials is complex and difficult to assess. Here the physical integrity of the manuscript--in both pocket and desk-sized sketchbooks--plays an important role, since the physical succession of the sketches may not denote their chronological order. In any case, a basic chronological guide is provided in The Beethoven Sketchbooks, although only an examination of the sketches themselves can test the accuracy of this information.

The interpretation of pocket sketch-sources proves even more challenging than the desk-sized sketchbooks, undoubtedly another factor contributing to their relative neglect in

¹²Paris 51/3 is one of the nine pocket bifolia belonging to Ms 51--a series of sheets of the same paper type. Because it belongs to another gathering--with Ms 80 and Ms 99--it is referred to separately as Ms 51/3. For further information on these pocket bifolia see Douglas Johnson, ed., The Beethoven Sketchbooks (Berkeley: University of California Press, 1985), pp. 379-387.

earlier scholarship. Their unusual and often hasty construction, not to mention the predominant use of pencil which became faded and smudged, contributes to their complexity. Even the nature of the sketches can be very different; fewer lengthy continuities appear and there is a tendency instead toward shorter excerpts.¹³ Moreover, since these particular gatherings were unstitched--something not uncommon in the pocket-format sources--careful consideration of both the physical and musical evidence is required to establish the chronology and genesis of the composition.

The foundation of this study, then, is the transcription and conceptual reconstruction of the manuscript sources. These sources include the Paris manuscripts 51, 51/3 and 80, the Artaria 197 sketchbook and the autograph sources. A reconstruction of these sources will provide a more thorough understanding of the entire compositional process, and provide access to earlier versions of the sonata, which will in turn facilitate interpretation of the revisions and permit evaluation of the sketches as an integral unit. In this manner, it will become evident how the sketches relate to one another, and how they relate to the autograph score. Finally, sketches have structural implications that are analytically relevant to the finished work. The assessment of these issues leads us out of the inner world of compositional genesis into the more lucid, unequivocal realm of the completed composition.

¹³This will be discussed in Chapter One.

PROBLEMS OF SOURCES AND CHRONOLOGY

Introduction

An examination of the Op. 110 compositional sources requires familiarity with a variety of manuscripts, each unique in its method of construction. Whether it be an autograph score, a desk-sized sketchbook or a loose gathering of pocket leaves, an evaluation of the physical structure and characteristics provides the framework for any such manuscript study. At the most basic level, this evaluation involves an examination of the paper structure, water marks and water mark sequences, rastrology, ink blots and other physical features, in part to establish the integrity of a manuscript by alerting us to the possibility of missing or added leaves.¹⁴ At a more complex level, the special characteristics of each source must be acknowledged and assessed. For instance, the Paris pocket-leaves require conceptual reconstruction before questions of compositional genesis or chronology can be answered with any certainty.

The physical structure of the manuscripts is clearly relevant to a chronological discussion of the Op. 110 sonata, since the question whether the sequence of entries may be

¹⁴Rastrology refers to the study of the manner in which the pages are lined--in this case, with musical staves.

viewed continuously or not has obvious implications for chronology. Beethoven occasionally may have turned back and forth between various pages during the sketch process though there is little clear evidence of this in the sources for Op. 110. Only an evaluation of the musical content in conjunction with the physical evidence can reveal the various sketch stages and the relation of the manuscripts to one another. The question then becomes whether or not the musical content of the sketches can be used to establish facts about the structure of a source and the chronology of its entries. These questions are most applicable to the pocket sketchbooks which, because of their complexity, form a special category.

The issue of sketch continuities has been taken up previously by various writers, including Douglas Johnson in The Beethoven Sketchbooks. Johnson writes:

...The evidence of continuity deriving from the sketch process itself is much less valuable in reconstructing pocket sketchbooks than in large-format books where entries are in ink and musical continuities between pages are common. It should be clear, then, that establishment of sketch continuity is of less direct help than the matching of blots with their offsets in determining the original sequence of sketch leaves. Whereas the blotting can only have occurred between facing pages of a book, musical continuities might be pursued almost anywhere. The latter are therefore most helpful as confirmation

rather than proof of suspected juxtaposition.¹⁵

Still, Johnson's answer to the above question is a "guarded affirmative". He continues:

In the course of his studies on intact sketchbooks, Nottebohm noted that in general the sketches for the separate movements of a work are to be found in the same order in the sketchbooks as in the completed work, and he guessed, moreover, that the local sequence of the sketches also corresponded to a large extent to the order of the pages. Subsequent work on the sketches has tended to confirm these conclusions...¹⁶

The problems of sources and chronology concerning Op. 110 are considerable but with the availability of the Paris pocket-sketchbooks, a re-interpretation and clarification of the issues is made possible. The remainder of this chapter will address the problems raised by these sources.

Artaria 197

Artaria 197 is an enigmatic source that needs to be treated with skepticism and caution--and rightly so. A

¹⁵Douglas Johnson, ed., Alan Tyson and Robert Winter, The Beethoven Sketchbooks (Berkeley: University of California Press, 1985), pp. 63-4.

¹⁶ibid., pp. 63-4. The most recent confirmation can be found in Barry Cooper's publication Beethoven and the Creative Process (Oxford: Clarendon Press, 1990) and in the collection of essays Beethoven's Compositional Process William Kinderman, ed., (Lincoln and London: University of Nebraska Press, 1991)

veritable hodge-podge of no fewer than five non-uniform paper types, this desk-sized sketchbook raises questions of physical integrity that arouse doubt about the chronology of the individual entries. In fact, several leaves contained musical jottings before Beethoven assembled the various bifolia to form the present 88-page sketchbook. These entries pre-date the surrounding entries in the manuscript.¹⁷ Furthermore, when the present binding was supplied in the 1930's, the individual bifolia were cut into single leaves and mounted separately. Yet despite the sketchbook's make-shift construction, its general coherence can be confirmed through ink off-sets, sketch continuities and the like. Apart from a few obvious anomalies, the content of the source appears to have integrity; that is, it is not a miscellany but a genuine sketchbook.

Artaria 197 contains the earliest sketches for the sonata; those for the first movement begin on page 64. Unlike in the accompanying Paris manuscripts, where each gathering contains primarily sketches for one movement of the sonata, all three movements appear in the larger desk sketchbook. The facts that each movement is well-represented and that there are also intermittent entries for other compositions suggest that Artaria 197 was, for Beethoven, the main sketchbook during the period of work on Op. 110. For the most part, the

¹⁷This was noted by Nottebohm, Zweite Beethoveniana (Leipzig, 1887 and repr. New York, 1970), p. 463.

pocket leaves supplement work in this manuscript (see Figure 1).¹⁸

Figure 1.

Sources for the piano sonata in A flat: Op. 110

Year:1821		1822					
Aug.	Sept.	Oct.	Nov.	Early Dec.	Dec. 25	Jan. 11	Later
		Artaria 197-----					
		Paris 51/3 & 80					
				Paris 51-except 51/2-----			
					Artaria 196-----		
						Bmh 2/42-	
						Wien A/48	
							Artaria 201-----

It might be expected that the nature of the entries themselves would mirror this relation between the larger sketchbook and the accompanying Paris leaves, with Beethoven reserving Artaria 197 for more extensive draft versions, and returning to the pocket bifolia only to rework the musical "nitty-gritty" of shorter excerpts.¹⁹ But although the

¹⁸The later sketches for the fugue contained in Paris Ms 51 are an exception. As we will see, they accompany the work on the autograph score.

¹⁹That sketch formats may have a specific function has been noted; in the Diabelli variations, for instance, each manuscript reflects a particular stage of the compositional

manner in which the Op. 110 sources complement one another is clearly discernable, there is no single consistent purpose for each source. The later pages in Artaria 197 contain, for example, numerous melodic and rhythmic variations of the first Arioso theme, as well as brief sketches for the first and third movements. At the same time, the pocket leaves present far more than shorter musical excerpts; there are melodic drafts for the complete scherzo as well as for the second Arioso. In fact, this situation is the reverse of what one would expect.²⁰

Although each source shows a multiplicity of functions, it is still possible to discern where they overlap or intersect with one another. This process has implications for the chronology of the composition.

Curiously, in a letter to Tobias Haslinger of Vienna written from Baden on September 10, 1821, Beethoven described a dream he had the day before while travelling to Vienna by carriage. His dream-journey took him to distant places: to Syria, India, Arabia and Jerusalem. Beethoven claimed that his thoughts "naturally" turned to the scriptures and the figure Tobias--and thence to "our little Tobias", the

process. William Kinderman, Beethoven's Diabelli Variations (Oxford: Clarendon Press, 1987), p. 17.

²⁰A similar situation has been noted by William Drabkin in his work on the Agnus Dei of the Mass in D. See William Drabkin, "The Agnus Dei of Beethoven's Missa Solemnis: The Growth of Its Form" in Beethoven's Compositional Process William Kinderman, ed., (Lincoln and London: University of Nebraska Press, 1991), p. 139.

recipient of Beethoven's letter. A canon based on "O Tobias" occurred to Beethoven, but immediately upon his awakening, he could not recall a single note of it. According to Beethoven, it was on his return to Baden the next day (in the same carriage) that he recalled the three-part canon that he included in his letter to Haslinger.²¹

Sketches for the "O Tobias" canon appear at three points in the source materials for Op. 110. The bulk of the entries are contained in Paris Ms 99--a gathering otherwise dedicated to work on the Missa solennis--where five successive pages in an eight-page gathering pertain to "O Tobias". Rather faded pencil sketches for the canon also appear on the outer bifolium of the gathering Ms 51/3.²² Finally, in Artaria 197, there is a single sketch for the canon underneath a short entry for the Credo of the Mass. This three-part sketch in ink is crammed into the bottom right-hand corner of page one and, judging by its location, appears to have been added belatedly.

Other factors indicate that this sketch for the canon on the first page of Artaria 197 was notated considerably later than the surrounding entries. The date of the canon's composition is fixed by Beethoven's September 10th letter to

²¹Emily Anderson, ed. and trans., The Letters of Beethoven (London: Macmillan, 1961), p. 922.

²²The placement of the "O Tobias" sketch on an **outer** bifolium is according to my structural revisions of these sources. According to Winter's plan, this sketch would be in the centre.

Haslinger, whereas the autograph for Op. 110 is dated December 25th, by which time Artaria 197 would have been filled. If the "O Tobias" sketch were to mark the beginning of Beethoven's work in Artaria 197, then the compositional dates for the sketchbook would have to be placed at least within the narrow timespan from September to December 25th. The sources imply however, that the Artaria 197 sketches date from closer to the end of November, since they do not coincide with the Autograph stage. Beethoven must have begun writing out the Autograph around the second week of December to be able to complete it by December 25th. Moreover, letters indicate that Beethoven was still occupied at this time with corrections for the Piano Sonata, Op. 109, as well as the proofs for the 25 Scottish Songs, Op. 108.²³ This is to say nothing of the continued health problems which evidently plagued him throughout the fall of 1821, causing him to relocate temporarily to Baden where he was unable to tolerate the cure and thus returned prematurely to Vienna. It seems improbable that Beethoven could have filled the 88-page sketchbook in this short period under such circumstances.

There is other evidence as well for the dating of Artaria 197. In Manuscript 99, sketches for "O Tobias" are either surrounded by entries for the Credo of the Missa solemnis, or

²³op. cit., pp. 929 and 932.

precede them entirely.²⁴ Corresponding sketches for the Credo do not occur until pages 61-3 in Artaria 197, possibly indicating that Beethoven worked out the canon during composition of the Mass and therefore the entry for the canon on page one must have been notated around the time Beethoven was occupied with pages 61-3. As we have seen, the canon's off-in-the-corner placement on page one supports this idea; the entry was added later, long after the adjacent sketches.

The importance of the "O Tobias" canon to our consideration of the Op. 110 chronology should become clear at this point. Sketches for the canon are juxtaposed with entries for the Credo in both the pocket leaves and Artaria 197. Since the first sketches for the sonata appear on page 64 of the desk sketchbook, directly after sketches for the Credo, and since they also follow sketches for the Credo in the accompanying Paris gatherings, Beethoven's work on the piano sonata must have begun around the 10th of September--the date of Beethoven's letter to Tobias Haslinger which included the "O Tobias" canon.²⁵

Dating the final pages of sketching in Artaria 197

²⁴The ordering depends on whether we conclude that Ms 99 precedes the work in the other gatherings or whether Ms 80 actually encloses Ms 99 in which case some sketching for the Credo would appear before entries for the canon.

²⁵Winter's interpretation of the Paris leaves places the beginning of work on the sonata at the end of August. With his structuring of these leaves, some sketching for Op. 110 falls before work on the canon and therefore must have been composed before September 10th. See the diagram of these sources on page 382 of The Beethoven Sketchbooks.

involves other factors. Entries for the fugue do not reach an advanced stage; there is no contrapuntal working out of the various voices and only one sketch for the beginning of the second fugue in A flat instead of the later G major. In fact, the bulk of the sketching pertains to the first Arioso. It seems initially that Beethoven is sketching something like a series of variations; his efforts are concentrated repeatedly upon the first phrase and its many melodic, rhythmic and accompanimental possibilities. It is clear that Beethoven could not have begun the autograph score of the third movement directly after the sketching in Artaria 197.

Paris Ms 51 bridges this gap between sketches for the third movement at the end of Artaria 197 and the preparation of the Autograph score. While the first bifolium of the Paris gathering--Ms 51/2--pre-dates the sketch stage shown in the third-movement plan on page 69 of Artaria 197, the latter leaves supplement work on the Urschrift and even final revisions notated in the last pages of this Autograph. Allowing a minimum of two weeks for work on the Autograph which bears the completion date of December 25, 1821, the completion date of the desk sketchbook cannot be later than the first week of December.²⁶

One further issue that must be addressed concerns the

²⁶This conclusion is also reached by Winter in his discussion of the sketchbook in The Beethoven Sketchbooks, p. 269. Factors that will be discussed later in this chapter point to the interpretation of December 25 as the completion date for the Urschrift.

internal ordering of entries in this manuscript, and that of the Paris leaves. The sequence of sketches in these sources appears discontinuous--one reason why the physical integrity of Artaria 197 has been questioned. However, a conceptual reconstruction of the Paris leaves and a reassessment of all sources in context leads to a resolution of these questions; the sonata sketches follow those for the mass in both sketch sources. Further details of the relationship between these compositional sources will be considered in a more thorough examination of the Paris leaves below.

The Pocket Sketches: Paris Ms 51/3, 80 and 99

As we have seen, Beethoven's labours in Artaria 197 were supplemented by a number of loose bifolia which were grouped together to form a series of gatherings. The most important of these are the three unstitched gatherings comprising Paris Ms 51/3, 80 and 99. Unlike Paris Ms 51--a larger manuscript, made up of seven bifolia, and used later in the compositional process for work on the fugue--the three smaller Paris gatherings do not fall easily into any such configuration. They may be grouped together on the basis of paper type, but it is unlikely that the bifolia were employed as a large sketchbook.

These three gatherings were originally derived from two complete sheets with matching rastrology and paper type. In

his discussion of these pocket sketchbooks, Winter demonstrates that Paris Ms 51/3 and 99 belong to the same complete sheet and that Ms 80 was cut from the second sheet.²⁷ (A fourth bifolium is presumed lost.) This is the most conclusive evidence that Ms 51/3 and 99 belong together, although it does not indicate which of these gatherings would have been used first. It also suggests that Ms 80 would probably have been added last to the other two gatherings. However, the relationship of Ms 80, from the second original sheet, to the leaves stemming from the first is unclear. While pocket bifolia from the same original sheet can usually be matched through the comparison of torn profiles and creased corners as well as by the study of watermarks, the assessment of the relation between leaves stemming from more than one sheet can be more challenging. Where this is the case, musical continuities must often provide the evidence as to which bifolia were used together and in what order they were used.

It is clear that Ms 99 forms the innermost gathering of the group, since the central bifolium contains an ink draft of "O Tobias" from one side to the next, across the centre fold. At least during the sketch process, then, Ms 99 was the centre and could not have enclosed either of the other manuscripts. Heavy graphite smudges on several leaves support this arrangement, confirming the internal ordering of the two

²⁷ibid., p. 380.

bifolia comprising Ms 99.

The next question is which of Ms 80 or Ms 51/3 may have enclosed Ms 99. Winter, in The Beethoven Sketchbooks, has elected, on the basis of physical evidence, to show the three sets of bifolia as one large gathering, with Ms 51/3 enclosing Ms 99 and with Ms 80 comprising the outer portion.²⁸ Since Ms 80 is divided exactly in half--sketches for the Credo of the mass appear in the first four pages while the other half is devoted to the second and third movements of Op. 110--it probably did enclose other leaves while it was in use, unless Beethoven consciously divided the book in half to separate the entries for the mass and the sonata. The division of Ms 80 might also suggest that it was probably used after the other two gatherings were filled. However, a thorough examination of both physical make-up and musical content sheds new light on the problem and indicates a different arrangement of the leaves (See Figure 2).

²⁸Winter, The Beethoven Sketchbooks, p. 382.

Figure 2.

Proposed Structure of Paris Gatherings in Chronological Order

Ms 80	1	Opus 123 Credo	(deum de deo)
	2	"	(cujus regni)
	3	"	(cujus regni)
	4	"	"
Ms 99	9	WoO 182 (O Tobias)	
	10	"	
	11	"	
	12	"	
-----	13	"; Opus 123 Credo	(in unum Deum)
	14	"	(omnipotentem)
	15	"	
	16	"	(et vitam)
Ms 80	21	Opus 110 II	
	22	" II + III	
	23	" II + III	
	24	" II + III	
Ms 51/3	17	Opus 123	(judicare)
	18	?	
	19	Opus 110 II + III	
	20	" III	
	5	" III	
	6	Opus 123 Agnus Dei	
	7	?	
	8	WoO 182	

The musical contents of both Ms 51/3 and 80 indicate that Ms 80 was filled before Ms 51/3, not after, as Winter suggests. The leaves in Ms 80 contain mostly sketches for the second movement of Op. 110, which are at a noticeably earlier stage than those in Ms 51/3. In this earlier stage of sketching, the opening scherzo phrase is recognizable only by its rhythm and its presentation of a four measure phrase structure. Later sketches for the second movement in Ms 51/3 include indications of harmony and are closer to the final version.²⁹ Manuscript 51/3 also contains numerous sketches for the third movement.

Another point that demands reassessment is the internal ordering of the two Ms 51/3 bifolia. Disregarding the other two gatherings for a moment, let us consider Ms 51/3 separately. Unlike Paris Ms 80 and 99, Ms 51/3 has no evident 'centre' and contains sketches for three compositions: the mass, the sonata and the canon. Winter's ordering of the bifolia implies that Beethoven's sketching fluctuated rather rapidly among all three works. However, this ordering does not take into account that pages 8 and 17 are noticeably smudged and worn so that they appear to have been outer pages at some point in the history of the gathering. Furthermore, the penmanship and actual sketch content indicate that these sketches could very well have been written around the same time, so that an arrangement of the bifolia with the material

²⁹This will be discussed in detail in Chapter Two.

for the sonata grouped together seems most logical. This ordering also corresponds to the order of the sketches in Artaria 197. Based on the above information, the proposed ordering of Ms 51/3 would be as follows (with Winter's page numbering): (See Figure 3)

Figure 3.

Revised Structure of Paris Ms 51/3

<u>Manuscript</u>	<u>Page</u>	<u>Work</u>
Ms 51/3	17	Op. 123 (judicare)
	18	?
	19	Op. 110 (II and III)
	20	" (III)
	5	" (III)
	6	Op. 123 (Agnus Dei)
	7	?
	8	WoO 182 (O Tobias)

The pencil entry for the canon in Manuscript 51/3 is an anomaly. If its physical location in the gathering in any way reflects the chronology, then it is conspicuously out of place, for the main sketching of the canon is then separated from this single entry by numerous leaves containing work for the sonata. The work for the sonata in this Paris 51 gathering corresponds to the entries in Ms 80 and 99 and also to those in Artaria 197. These sketches were presumably made

just before the scherzo draft on pp. 74-75 of the Artaria 197 sketchbook, as we will see.

In a broader context we can see that Beethoven's compositional efforts were largely focused on the composition of the mass and that both "O Tobias" and the sonata were smaller tasks that temporarily interrupted work on the mass.

The Pocket Sketchbook: Paris Ms 51

The physical and musical relationship of the seven bifolia comprising Ms 51 was first discussed by William Drabkin in a 1972 article and his dissertation.³⁰ Although he dealt primarily with the sketches for the Op. 111 sonata, Drabkin was able to assemble the unstitched leaves into one large gathering, with the sketches for Op. 110 falling mainly into the first half of the gathering and the sketches for Op. 111 comprising the latter portion. The bifolium enclosing the other leaves, Paris Ms 51/2, is an exception. Not only do the fugue sketches on this leaf pre-date even those in Artaria 197, but the last page contains sketches for the second fugue of Op. 110 as well as for the first movement of Op. 111, following pages of entries for the Arietta movement of Op.

³⁰William Drabkin, "Some Relationships between the Autographs of Beethoven's Sonata in C Minor, Opus 111," Current Musicology no. 13 (1972), pp. 38-48 and "The Sketches for Beethoven's Piano Sonata in C Minor, Opus 111" (Volumes 1 and 2), (Princeton University, 1977)

111. (This anomaly shall be considered later in our detailed discussion of this pocket sketchbook.) Drabkin's arrangement of the bifolium indeed seems plausible. At the same time, Drabkin states that "it is wholly unlikely that Beethoven used these ten leaves together as a continuous sketchbook, and it is quite possible that they were put together long after his death. Nevertheless, the manuscript may be reassembled into a number of 'sketch gatherings'." He continues: "there are no musical connections between the gatherings--although they may well have been used at the same time."³¹

A reassessment of all the Op. 110 sketch sources confirms Drabkin's conceptual reconstruction, and indicates that Beethoven may indeed have used these leaves as a continuous sketchbook in conjunction not only with Artaria 197 but also at the autograph stage. Aside from Paris Ms 51/2, the sketch sequence in the Paris gathering seems logical and complements that of the other sources. There were of course breaks between some of the entries as Beethoven moved from one source to the next, but the general progression in the musical content as well as the direct links between several bifolia support the grouping of these leaves into a single manuscript.

The main body of sketching in the first half of this Paris manuscript is for successive passages from the first fugue in Op. 110; Ms 51/5 p. 4 and Ms 51/1 p. 5 containing a melodic draft of the second Arioso are exceptions. What

³¹Drabkin, Current Musicology, pp. 39 and 46.

follows the Arioso sketch is an intense working out of the fugal entry in D flat, repeated sketches for the climax (mm. 105ff), and several versions of the transition leading from the first fugue into the second Arioso. There are only two other sketches that are not from the fugue: an entry for measure 112 (R.H.) of the first movement and a short sketch which appears to belong to Op. 111. The sketch for the first movement is significant; this passage is one that Beethoven modified several times in the autograph score before arriving at this version in the Paris leaves. It was then amended directly in the autograph. Most importantly, this sketch serves as evidence that even before completing the working out of the fugue, Beethoven had already begun work on the autograph and was moving back and forth between sources.

The entry for the second Arioso in Paris Ms 51 represents a break in the work on the fugue. (The first Arioso had already occupied Beethoven in the Paris Ms 51/3 leaves and in Artaria 197.) Until this point in the manuscript, there is an entire cycle of subject entries for a large segment of the fugue. Although they are somewhat different from the final version, it is clear that the sketches proceed at least as far as measure 76. From here Beethoven moved directly to a fairly complete draft in Artaria 197 of passages from the first fugue. For example, the early draft in Paris Ms 51 of measures 31-46 precedes a sketch for the same material on page 69 in the desk sketchbook (See Example 1a and b). After

numerous entries for the first Arioso in Artaria 197, Beethoven began the task of writing out the autograph score for the third movement, surely not anticipating the compositional difficulties he would have in the final section of the first fugue and the transition into the second Arioso.

Example 1a (Paris Ms 51/2, p. 2, lines 8-15)

The image displays two systems of handwritten musical notation. The first system consists of two staves: a treble clef staff on top and a bass clef staff on the bottom. The treble staff contains a melodic line with various note values and rests. The bass staff contains a more rhythmic accompaniment. A bracket under the bass staff in the fourth measure is labeled "hurry". The second system also has two staves. The treble staff shows a melodic line with some notes circled in parentheses. A question mark is placed above the treble staff in the fourth measure. The bass staff continues the accompaniment, with a question mark placed above it in the fourth measure.

When Beethoven was unable to come up with an immediate solution to these trouble spots, he proceeded, rather than working them out in the Paris leaves, to the composition of the second Arioso. Following the composition of a melodic draft in the Paris manuscript, Beethoven turned to the next blank page in the autograph score and wrote out the second Arioso and then the second fugue. It was not until he had

Example 1b (Artaria 197, p. 69)

The image displays two systems of musical notation. The first system consists of two staves: a treble staff on top and a bass staff on the bottom. The key signature is two flats (B-flat and E-flat), and the time signature is 3/8. The notation includes various note values, rests, and dynamic markings. The second system also consists of two staves, continuing the musical piece with similar notation and staff arrangements.

notated these sections that Beethoven returned to the troublesome passages in the Paris bifolia, the Reinschrift version and the last pages of the Urschrift, sometime in late December.

Not only does the entry for the second Arioso reveal something about the finale's genesis, but it also indicates that at least two bifolia in the gathering were used together. This sketch, which begins on Ms 51/5, p. 4 and ends on Ms 51/1, p. 5, provides one of only two examples of a direct musical continuity across pages of the manuscript.³² In

³²The only other example occurs during sketching of Op. 111 where Ms 51/8, p. 6 is directly linked to Ms 51/9, p. 7.

other instances, a direct progression between sketches may be assumed only through assessing the musical content itself. The progression may, on occasion, be supported by a comparison of the handwriting and pencil lead.

There is another important factor in deciding whether Paris Ms 51 was used as a continuous sketchbook. Because all the bifolia in this manuscript originate from two complete sheets, it is crucial to evaluate the possibility that there could be a gap between the bifolia originating from one sheet and the bifolia stemming from the second sheet, or that the leaves were not used consecutively. In fact, a clear break in the sketch process, like that created by the appearance of the second Arioso sketch between two distinct stages of sketching for the first fugue, would seem rather suspicious and would be worth examining closely. However, the break that falls between the earlier fugue sketches in Paris Ms 51 and those corresponding with the autograph does not coincide with the division between the two sheets. This division occurs later during sketches for the Op. 111 sonata. Thus, it seems that Beethoven did indeed employ the individual leaves as a continuous sketchbook.

The one exception, as we have previously noted, is the bifolium Paris Ms 51/2. It is clear that most of the entries on this leaf were not sketched concurrently with the rest of the gathering and were probably even written down before the bifolia were gathered into one large structure. This

outermost bifolium contains both very early sketches for the fugue as well as sketches for the first movement of Op. 111. The fugue subject appears in various rhythmic forms. Furthermore, the basic intervallic structure is not yet established in its final form and the aural impression of each of these early forms is somewhat different from the final form (See Examples 2a and b).

Example 2a (Paris Ms 51/2, p. 1, lines 1-2)



Example 2b (Paris Ms 51/2, p. 1, lines 5-8)

It would be very difficult to say when these sketches on p. 1 of Paris Ms 51/2 were jotted down, as they pre-date even the earliest sketches for this movement in Artaria 197. The sketches on the following page as well as the sketch for the first movement of Op. 111, however, complement work in the

desk sketchbook and were therefore written around the same time--that is, in late November.

The other interesting aspect of Ms 51/2 concerns the three holes along one side, which indicate that several of the leaves were stitched together. Winter's discussion of this oddity in The Beethoven Sketchbooks suggests that these holes were probably added sometime after the gathering was used.³³ But would it not make more sense to assume that they were there before the rest of the gathering was in use? For if they were added after the gathering was constructed, why would Beethoven--or whoever may have been responsible--not have stitched the remaining bifolia together? In any case, we can be sure on the basis of its contents that it belongs with the Paris bifolia.

What is rather curious about this manuscript is the absence of early sketches for the first movement of Op. 111 in the first half of the gathering. In fact, most of the entries for Op. 111 pertain to the second movement. Tracing the sketch process for Op. 110 shows that the sketches for the first movement of Op. 111 were written down in Artaria 197 until it was filled, and then in the next sketchbook, Artaria 201. In order to keep the sketching for the two sonatas separate, Beethoven used different documents. Not until the work on Op. 110 was completed and the first movement for Op. 111 was at a late stage did he return to the Paris 51 leaves

³³Winter, p. 384.

in order to sketch parts of the Arioso movement for Op. 111. We will learn more about the overlap in composition between the two sonatas in our discussion of the autograph scores.

The Autograph Scores: Artaria 196 and Bmh 2/42

The autograph scores for Op. 110 represent a special and complex stage in the compositional process. As we have noted, Artaria 196 contains far more than a few last minute revisions. Rather, a detailed network of sketches in Paris Ms 51 as well as the autograph itself indicate that Beethoven had not fully worked out the third movement when he began writing out the autograph. A series of pencil and ink sketches in the last leaves of the autograph score attest to this and, what is more, this further planning and revision even necessitated the preparation of a second autograph for the finale (Bmh 2/42) before Beethoven returned to the Urschrift to make his final corrections.

The question of which version of the third movement represents the completed work has been the focus of some attention. Those scholars who believe the second autograph is the most authoritative have clearly not deciphered the final changes encoded in the latter pages of the manuscript, and have assumed prematurely that the second autograph is the final version. It is no easy task to trace the compositional process, and scholars who did not know about the Paris pocket

leaves were clearly at a disadvantage.

This musical labyrinth preserved in the sketches has not been the only stumbling block. The date inscribed on the autograph score is puzzling when considered together with that of Op. 111. The Op. 110 autograph bears the date of December 25, 1821, although this was obviously changed from the original inscription of 1822 while the ink was still damp, suggesting that Beethoven dated the score retrospectively. Little more than two weeks later, Beethoven had also written out the autograph for the first movement of Op. 111, which is dated January 13th. These two dates are surprisingly close together. Does December 25th indicate the date on which Beethoven began the task of writing out the autograph version? Or does it actually represent the date of completion?

Both possibilities have been considered. Hans-Werner Kuethen's suggestion that Beethoven backdated the manuscript to the date on which the copying process began while work on the finale continued is not very convincing.³⁴ This reconstruction of events entails a highly improbable working schedule. If December 25th were the date on which the autograph score was begun, then Beethoven would have had to write out this entire Urschrift, a second Reinschrift of the third movement, as well as the revisions at the end of the

³⁴Hans-Werner Kuethen, "Die ominöse Stelle um den Orgelpunkt herum. Text- und Quellengeschichtliches zur Fuge in Beethovens Klaviersonate op. 110", Divertimento fuer Hermann J. Abs. ed. Martin Staehelin (Bonn: Verlag des Beethoven-Hauses Bonn, 1981), p. 61.

Urschrift and in the Paris leaves, all before January 11, 1822, when Beethoven received payment for the sonata from Schlesinger's Viennese representative. Moreover, we can be fairly certain that Beethoven began preparing the autograph for the first movement of Op. 111 on January 13, 1822, since that same date appears at the end of the first movement sketches in Artaria 201.³⁵ This being the case, the combined work on both sonatas seems too large a task for a period of just over two weeks. Kuethen's own argument that Beethoven may also have had a difficult time finding a copyist during the holiday season seems to support December 25 as the date of completion rather than the date on which the autograph was begun.

Winter, on the other hand, suggests that the date of December 25 is more likely the completion date, although his hypothesis implies that the final stage of Op. 110 coincides with the late stage of work on the first movement of Op. 111.³⁶ The sequence of sketches in the pocket gathering, Paris Ms 51, as well as that of the larger desk sketchbooks confirms that. Beethoven apparently began sketching the first movement of Op. 111 in Artaria 201 while he was still working on Op. 110. After Artaria 197 had been filled, Beethoven was labouring on the autograph, Artaria 196, as well as returning

³⁵It was characteristic for Beethoven, however, to indicate the date on which the manuscript was completed.

³⁶Winter, p. 268.

to make further sketches for the fugue in Paris Ms 51. He returned to this sketch gathering only after the completion of Op. 110 and of the sketches for the first movement of Op. 111 in Artaria 201. The second half of Paris Ms 51 is filled with sketches for the Arietta movement, and not the first movement, of Op. 111.

This chapter has attempted an overview of the manuscript sources and their relation to one another. We will now turn to a more detailed discussion of the genesis of each movement of the sonata.

ASPECTS OF THE COMPOSITIONAL PROCESS:

THE FIRST AND SECOND MOVEMENTS

In a recent article, Lewis Lockwood describes the purpose of sketchbook entries as defining the larger sections within a composition in terms of thematic and motivic material, as well as plotting the harmonic and rhythmic structure.³⁷ This is, in fact, Beethoven's methodology for what initially appear to be the earliest sketches for the first movement of the Piano Sonata in A flat, Op. 110--several short ink excerpts contained in the later pages of Artaria 197. Despite the haphazard array of entries with numerous connecting symbols, these musical excerpts are surprisingly lucid; they are, in part, consistent with the final version. Furthermore, the process they illustrate is indeed one of basic definition followed by a more detailed working-out or shaping of the musical components.

The sketches for the first movement of the sonata begin on page 64 of the manuscript and continue through to page 67, with the words neue Sonate first inscribed above the presentation of the sonata's opening measures on page 65.³⁸

³⁷See Lewis Lockwood, The Beethoven Sketchbooks and "The General State of Sketch Research" in Beethoven's Compositional Process William Kinderman, ed., (Lincoln and London: University of Nebraska Press, 1991), p. 8.

³⁸Gustav Nottebohm, Zweite Beethoveniana (Leipzig, 1887 and repr. New York, 1970), p. 465.

With the exception of page 64, however, these four pages are not devoted exclusively to work on the sonata; they also contain, for instance, sketches for the Op. 111 sonata. Yet Beethoven returns to the first movement--at least in any length--only on pages 72-73 where there is a hastily written pencil draft of various sections. Apart from these pages there are very few further entries for the first movement in Artaria 197. The Paris sources contain two entries, but both are noticeably advanced. The first, notated on page 22 of Ms 80, appears amid sketches for the trio and fugue and is then incorporated into the draft on page 72 of Artaria 197. A later entry was made on page 4 of Ms 51/5 during work on the finale and accompanies directly the revision of this section of the first movement in the autograph score.

A significant portion of these ideas for the first movement was transcribed by various scholars. Five of the most obvious sketches for the sonata were supplied by Nottebohm in Zweite Beethoveniana, and Schenker who, like Nottebohm, does not offer a large number of transcriptions, did present some of the less obvious sketch derivations. Komma on the other hand, in his commentary volume to the facsimile, provides more extensive transcriptions, and clearly documents where his work overlaps with or differs from the work of previous scholars. His study does, however, lack a comprehensive approach. Those sketches which include merely a fraction of what they represent, or in which the relation to

the final version is initially unclear, find no place among the transcriptions included in the commentary volume. Furthermore, the ultimate rejection of a comprehensive and critical approach shuts out the possibility of tracing the creative process. The present study attempts to highlight aspects of the compositional process by examining the complete body of sketching pertaining to the sonata.

What first meets the eye is the absence of very early sketches for the first movement in these later pages in Artaria 197. The musical entries are already advanced and the sections of the movement seem well-defined, although finer details are later reworked. In addition, there are no sketches that differ substantially or surprisingly from the final version, and with relatively little sketching Beethoven began writing drafts of entire sections. It would be logical to assume that Beethoven had a very advanced conception of the movement before he began notating his ideas on paper.³⁹ This would be feasible, especially considering that this movement, in comparison to the more weighty finale, is somewhat less intricate.

Yet is it not unusual to find more advanced and complete sketches beginning on page 64 without any previous entries for

³⁹This may be, in part, the case. Already in March and June of 1821 Beethoven was promising Op. 110 to publishers. (Of course Beethoven had a tendency towards making such promises well in advance.) Emily Anderson, ed. and trans., The Letters of Beethoven (London:Macmillan, 1971), pp. 916 and 918.

at least a few sections of the movement either in Artaria 197 or the Paris manuscripts? The answer to this question is to be found in the many pages prior to the sketches for Op. 110 beginning on page 64, and perhaps has something to do with the "mysterious" nature of Artaria 197.

In Hans Guenther-Klein's catalogue many sketches throughout Artaria 197 remain either unidentified or in question.⁴⁰ Since physical integrity and chronology of the sources have been in question, it is not surprising that we do not yet have a more complete guide or even transcriptions of the musical entries, especially because such a study involves combing through notoriously difficult-to-read sketches in order to uncover the earliest ideas for a work. It is possible, therefore, that some of the earlier pages in Artaria 197 might actually contain early sketches for the sonata. An examination to test this hypothesis does yield some interesting information.

There are a number of sketches interspersed with entries for the Missa solennis that obviously belong to other works. Some of these entries are labelled with Sonata in h moll or fuga per il cembalo o organo and other indications which imply that they are designated for keyboard.⁴¹ None of these ideas came to fruition as further sonatas for the keyboard.

⁴⁰Hans Guenther-Klein, Beethoven: Autographe und Abschriften (Berlin:Verlag Merseburger, 1975), pp. 190-201.

⁴¹These indications occur, for example, on pages 16, 26 and 45 of Artaria 197.

However, when one considers the special characteristics of the Op. 110 Piano Sonata, several of the earlier sketches in Artaria 197 bear a remarkable resemblance to certain passages in the sonata. In fact, certain of these ideas appear to have been absorbed into Op. 110.

Of the sketches that have an affinity to any stage of work on Op. 110, the majority seem to be linked most closely to the finale. For example, there are fugal ideas based on a series of rising fourths, smooth-moving accompaniment and sustained notes (see Example 3).

Example 3 (Artaria 197, p. 45)

fuga per il
cembalo o
organo

Correlations between earlier entries in the desk sketchbook and later sketches of the first movement are not abundant, but there are a few significant ones.

Perhaps the most obvious example of an earlier sketch taken up into the sonata occurs on the second-last page of the sketchbook (p. 87). The two-measure sketch appears to have occupied this position prior to the construction of the sketchbook, however, and therefore pre-dates not only the adjacent entries on these pages, but also the other sketches

for the first movement beginning on page 64.⁴² The implied key is f minor and the time signature is 4/4 with the note value in sixteenths, but the likeness of this passage to the arpeggiated A flat chords beginning in m. 12 of the first movement is unmistakable (see Example 4).

Example 4 (Artaria 197, p. 87)



Because the basic intervallic configuration and the registral placement matches that of the arpeggios in the sonata, the aural impression is also comparable. Still more striking are the 'stroke' marks, contained in both the sketch in Artaria 197 and in the Urschrift (Artaria 196), to indicate a slightly accented articulation within the designated leggiermente context. These articulation markings are a subtle, yet important, aspect of the final version and were used rather

⁴²This short entry is written relatively neatly in ink on the first two staves of page 87. The surrounding sketches are noticeably different with regards to penmanship and a number of them are made in pencil. Furthermore, the musical content on pages 86-88 is, for the most part, occupied with the first Arioso and fugue, and appears to have been written after the sketch at the top of the page was already in place.

sparingly by Beethoven for a particular effect.⁴³ That Beethoven notated any expressive markings whatsoever during the sketch process, whether dynamics or articulation, is, in itself, worthy of comment. The stroke marks here strengthen the connection between the short sketch in ink and the corresponding passage in the A flat sonata.

An interesting aspect of the earlier but obviously related sketches is the relative difficulty in determining whether they are for the first or the third movement of the sonata. The entries do not require categorization as such, but this is, nonetheless, an important point.

During all stages of the compositional process, the thematic elements of the first movement, in particular the opening measures, are linked with the fugue subject of the third movement. The basic premise is a series of ascending fourths outlining the interval of a sixth, from the pitch A flat to F, before sinking back to the third scale degree, C. This underlying connection between the outer movements of the

⁴³Another instance where this particular articulation marking is employed by Beethoven in a similar manner occurs in the second movement of the Op. 111 piano sonata: the music ascends from a low, oscillating bass with syncopated chords in the right hand, to the upper register at measure 72. The right hand thirty-second notes are then combined with sixteenth notes in the left hand that are marked with strokes in an otherwise leggiermente and pianissimo texture. Although modern editions of the Beethoven Sonatas (e.g. G. Henle Verlag) replace Beethoven's stroke markings with a staccato, these articulations are not interchangeable. Komma, in his commentary volume to the facsimile, and Schenker, in his edition of the sonatas, do, however, retain the stroke markings as they are indicated in the Urschrift.

sonata is enhanced in the final version. Another aspect of this intermovement relation involves the return, near the close of the finale, of the rapid texture of arpeggios first heard at the transition in the exposition and then again at the recapitulation and in the coda of the first movement. The closing passage of the finale can therefore be seen as the continuation and goal of material from the first movement, which is unable to achieve satisfactory resolution within the confines of the first movement. Arpeggiated thirty-second notes in the high treble of m. 110 are broken off abruptly and the music falls to F supported by a D flat harmony. The subdominant, D flat, is twice stressed in the space of six measures, with the pitch D flat brought out in the upper voice in the final measures. When the treble closes finally with C above an A flat harmony--recalling the conclusion of m. 4--it is not firmly rooted but poised, ready to be reinterpreted in the context of the F minor scherzo. The first movement thus depends on the finale for resolution.

This relation between the first and third movements played a significant role for Beethoven and, not surprisingly, surfaces in the sketches. It is revealing that in Artaria 197, Beethoven skipped over the intervening scherzo to make sketches for the finale immediately after those for the first movement. The fugue is notated without the introductory recitative and Arioso of the final version: the first Arioso, together with the inversion of the fugue (in A flat!) and its

diminution, appear on page 71 in the form of a movement plan. What follows these entries for the fugue is the draft for portions of the first movement, and it is not until p. 74 that the scherzo appears. That the two outer movements were sketched in close proximity was no accident; their thematic and textural kinship can be seen to evolve in the sketches.

The sketch that most clearly illustrates this motivic overlap occurs on page 45 of Artaria 197. Beethoven designates this entry fuga per il cembalo o organo, which might immediately link it to the fugue of the third movement. The sketch warrants close attention (see Example 3). It shows a contrapuntal texture featuring configurations of fourths in both treble and bass. The subject appears in half notes in the uppermost voice, with the bass unfolding in quarter notes. A series of rising fourths passing through the intervals E flat-A flat, F-B flat, and G-C outlines the bass, twice filled in by passing tones. The soprano presents the same configuration in half notes while the middle voice rises by step and is sustained each time into the succeeding measure. This sketch is clearly meant as the continuation of an ongoing passage. It is nevertheless interesting that, as at the beginning of the first movement, Beethoven begins with a descending third preceding the chain of rising fourths.⁴⁴

⁴⁴This was also the case in the sketch from Paris Ms 51/2, p. 1. (See Example 2a, Chapter One.) Although this was cited as an early idea for the fugue, there is a connection to the opening of the first movement with the initial falling third from C-A flat.

Noteworthy, in this connection, is the rhythmic similarity between the sketch and its final form in the opening and closing movements. In each instance it is the upper note of the fourths that receives metrical accentuation. The sketch shown in Example 3 will be discussed in more detail below.

The first movement sketches are, to a remarkable degree, consistent with the final version. Each section of the movement is represented (if only briefly) in the five-odd pages of entries in Artaria 197 pertaining to this movement. That this part of the work offered Beethoven fewer difficulties is evident not only from the sketches, but from the autograph score, which contains few revisions. Both the sketches and autograph do point, however, to one troublesome area for Beethoven: the closing measures of the movement. Two versions for the continuation after m. 111 appear in Artaria 197; yet Beethoven apparently found these unsatisfactory, for a third version surfaces in the autograph score. This was also ultimately unacceptable and local changes were entered directly into the autograph. However, it was not until a good bit of the fugue had been sketched in Paris Ms 51 that a satisfactory conclusion was reached and entered into the autograph.

The earliest sketch for the closing measures of the first movement, which is found on page 64 of Artaria 197, is set apart from each of the subsequent versions by its prolongation

of music in the high register. Instead of abruptly withdrawing from the A flat of the upper register in m. 111 to continue a tenth lower on the pitch F, as in the final version, the music remains in the same octave as m. 110, and the last four measures begin on the F a third lower (see Example 5).

Example 5 (Artaria 197, p. 64)

This is an important difference. Throughout the sonata, the use of the higher registers highlights the relationships between the three movements as well as other significant moments within each movement, creating, in turn, a strong sense of progression among the individual movements of the sonata.⁴⁵ Closing the first movement in this register results in a firmer sense of resolution, reinforced through the presentation of the pitches E flat to A flat in the melody, a cadential formula that the final version does not retain. Moreover, a strong resolution here renders the first

⁴⁵One need only think of the oscillating A flat of mm. 60-61 in the first movement which foreshadows the suspended high A natural in the introduction to the final movement, to cite a single example.

movement self-sufficient; it does not depend upon a continuation of the musical material elsewhere in the sonata, thus weakening the connection between the movements. With further sketching Beethoven strives to deepen these connections; as we will see, the latest sketches are the most meaningful in this respect.

Although the closing measures of this sketch differ from the final version in terms of register, the sketch does share several features with the final version. It intimates, for example, the effect of the withholding of a sought-after climax, which in the final version results in part from the sudden cessation of the thirty-second note configuration of the foreground rhythm at m. 111--a withdrawal that is also suggested in the similar rhythm in the sketch, although the sketch does not include the thirty-second note passage. Also similar to the final version is the melodic descent from the pitch F to C with an emphasis on D flat, both melodically and harmonically. The descent from F to C is present in each of the sketches, although it is only in the last revisions in the autograph score that it occurs fully twice, thereby expanding the original four-measure form to six measures. The expansion also results from the increased weight given to the second D flat in the autograph versions. In both sketches in Artaria 197 (pp. 64 & 72) the D flat appears in m. 112 as a quarter note. However, in the autograph score it occurs in m. 114, initially as a half note, and in the final version the D flat

is maintained for four beats.

The sketch that bears perhaps the least resemblance to the final version of this passage is the second sketch in Artaria 197, written on p. 72. Although it is the second entry for the closing measures of the movement, its simplified rhythmic structure and virtually unembellished melodic descent represent a regression from the first attempt (see Example 6). Example 6 (Artaria 197, p. 72)



In fact, the reduction of this material to its fundamental elements induced skepticism in Komma, who, upon examining this entry, was unsure whether it pertained to the final measures or whether it was a basic sketch for mm. 90-93.⁴⁶ There is certainly an underlying affinity between these sections in the final version: however, the use of a double bar line at the end of the sketch would seem to imply the close of the first movement.

Apart from this entry on p. 72 of Artaria 197, the remaining sketches show a clear evolution towards the six-measure final version. The initial autograph version already employs sixteenth notes in m. 112, this time in the form of an ascending A flat scale that returns to F, combined with the

⁴⁶Karl-Michael Komma, Die Klaviersonate As-Dur Opus 110 von Ludwig van Beethoven, Commentary to the facsimile. (Stuttgart: Ichthys Verlag, 1967), p. 9.

thematic material of the movement's opening presented in the bass clef. As we have mentioned previously, the D flat in the melody of m. 114 is lengthened to a half note before resolving to C, but it is supported instead by the dominant seventh chord above a sustained A flat in the bass (see Examples 7a and b).

Example 7a (Artaria 196, p. 14)

Musical score for Example 7a, K. page 28. The score is in two staves: treble clef (top) and bass clef (bottom). The key signature is two flats (B-flat and E-flat) and the time signature is 3/4. The melody in the treble clef starts with a half note D-flat, which is lengthened to a half note before resolving to C. The bass line features a sustained A-flat in the bass, supporting the dominant seventh chord above it.

Example 7b (Artaria 196, p. 15)

Musical score for Example 7b, K.p. 29. The score is in two staves: treble clef (top) and bass clef (bottom). The key signature is two flats (B-flat and E-flat) and the time signature is 3/4. The melody in the treble clef starts with a half note D-flat, which is lengthened to a half note before resolving to C. The bass line features a sustained A-flat in the bass, supporting the dominant seventh chord above it.

Beethoven was unsatisfied with this ending and immediately revised the last two measures in the autograph score. The last measure is expanded into two through the addition of moving inner voices which outline a D flat harmony and then the diminished seventh, each time above an A flat in

the bass and supporting the pitch D flat in the melody.⁴⁷ Yet another pencil revision cancels the final measure of this last amendment and delays the resolution to the tonic, thus intensifying the dissonant diminished harmony by drawing it out and placing it on a downbeat. This may be the most significant change at a late compositional stage, but it is not the last.⁴⁸

The latest revision made to the final measures of the first movement occurred some time after the other changes to this passage in the autograph score. Following several pages of entries for the first fugue in Paris Ms 51, Beethoven discovered a better alternative to the ascending scale of m. 112, which he notated on Paris Ms 51/5, p. 4 among sketches for the fugue (see Example 8).

⁴⁷The inner voice in the treble also, significantly, prefigures the rising fourths of the fugue. See the beginning of Example 7a.

⁴⁸The addition of this diminished seventh chord in the final measures of the first movement, and especially the pitch F flat, strengthens connections in the sonata as a whole, as well as in this movement alone. This is fundamental to the idea of an underlying progression between the movements. However, the most important link is to the second fugue where this diminished chord is reached in the upper register (m. 207-208) and resolved to A flat in the final measures. The combination of the fugue subject--once again in A flat--with the material from m. 12 of the first movement continues, so to speak, where the music left off in m. 110 of the first movement. The importance of this connection has been discussed previously by William Kinderman, "Integration and Narrative Design in Beethoven's Piano Sonata in A Flat Major, Opus 110" Beethoven Forum I (Lincoln and London:University of Nebraska Press, 1992), p. 133. For a detailed analysis of the F flat in the context of the third movement see Kevin Korsyn, "Integration in Works of Beethoven's Final Period", Ph. D. diss., (Yale University, 1984), pp. 81-83.

measures at m. 100, where the music is devoid of movement and seems suspended. The underlying connection is a melodic and a harmonic one: in each instance there is a descent from F to C, the reverse of the opening of the movement where the emphasized pitches ascend from C to F. However, the sketches highlight other aspects as well. For instance, the addition of the F flat to the penultimate measure relates also to the use of the diminished seventh chord in mm. 91 and 102, although, in the latter instance, it is notated enharmonically with an E natural. Beethoven pursued other connections after alterations were already made in corresponding sections. An early sketch of mm. 101-104, which directly follows the entry for m. 91 (!) on p. 73 of Artaria 197, appears an octave higher than its final form, much like the original version on p. 64 of mm. 110-114. In the autograph score, Beethoven revised this passage so that it occurs in the same register as the closing measures.

The Second Movement

Unlike the sketches for the first movement, which appear almost exclusively in the desk sketchbook, Artaria 197, the sketches for the second movement occur in more than one source: Paris Ms 51/3, Paris Ms 80 and Artaria 197. In the case of the second movement each manuscript represents a particular stage in the sketch process. The earliest entries

for the scherzo movement were made in Paris Ms 80, while Artaria 197 was reserved for a near complete draft.⁵⁰ No other sketches for the scherzo appear in the desk sketchbook.

The transcription and assessment of these Paris leaves, that is Ms 51/3 and 80, are as crucial to the discussion of the second movement as is Ms 51 to an understanding of the many layers of revision of the fugue in the autograph score. The sketches contained in these manuscripts reveal that the scherzo movement underwent a more involved process of evolution than the first movement; early versions of the scherzo theme bear only a slight resemblance to its final form. Because the Paris leaves were unknown to earlier scholars, who would have been familiar only with the impressive draft of the scherzo in Artaria 197, the genesis of the second movement, in particular, has been misrepresented. For instance, Schenker writes: "The sketch leaves (page 74) show that Beethoven seized the Scherzo in a single stroke. One can still see the first storm of inspiration, as it were, raging through the lines of music."⁵¹ There may be something raging in the music, but it is certainly not the first storm

⁵⁰The second movement is clearly a scherzo and accompanying trio, although the designation is simply Allegro molto.

⁵¹The original text is as follows. "Die Skizzenblaetter (Blatt 74) lehren, dass Beethoven das Scherzo in einem einzigen Zuge erhascht hat. Noch sieht man foermlich den ersten Sturm der Inspiration durch die Notenzeilen brausen...". Heinrich Schenker, Die letzten Sonaten: Sonate As Dur Op. 110 (Wien: 1972), p. 51.

Example 9b (Paris Ms 80, p. 21, line 10)



Except for the rests that appear on the second beat in mm. 4 and 8, replaced by half notes in later sketches, this sketch for the opening of the scherzo has the same rhythmic configuration as the final version. The phrase structure is articulated in 4-measure units, each initiated by a melodic descent. A later sketch on the last page of Ms 80 (p. 24), part of an early attempt to notate the entire melody for the scherzo section, contains the theme as we know it, although much remains to be worked out after m. 16.⁵³ The thematic material was initially not clearly defined, quite unlike the genesis of the first movement.

This point raises a critical issue. It has been acknowledged in the literature that two folk songs were absorbed into the material for this movement: "Unsa Kaetz haed Katzln g'habt" and "Ich bin luederlich, du bist

⁵³This is the only draft of the first part of the movement that appears before the complete draft of the entire movement in Artaria 197. The structure is essentially consistent with the final version, although the melodic details are not. Following this draft, there are two short sketches for the passage at m. 16, as well as a revision of mm. 9-20 on p. 19 of Ms 51/3 before Beethoven wrote out the draft in Artaria 197.

luederlich".⁵⁴ In view of this, we might expect the thematic material of the opening phrase to be more sharply defined than it appears originally, especially since it need only adhere to the basic tonic to dominant alternation. Yet the actual melodic contour took shape only gradually and gained clarity with successive sketching. This implies that Beethoven recognized the relation between the opening phrase and the first song only after some sketches had been made and that the song could not have been a strict compositional model. Even the passage after m. 16, which correlates to "Ich bin luederlich", did not initially draw its material from the song. Although the melody corresponds in both the song and the sonata, entries for this passage from the scherzo in Ms 80, p. 24 and Ms 51/3, p. 19 reveal that this two-measure unit was sketched originally with a half note at the opening instead of a repeated quarter note. Had Beethoven intended the relationship from the outset, he would surely have employed the quarter note rhythm, "Ich bin", that appears in the final version of the scherzo. Beethoven also contemplated placing the melody in various registers, and only in the draft in Artaria 197 does the register correspond to those employed in the song (see Example 10). It seems, therefore, that the

⁵⁴This was observed initially by A. B. Marx, Ludwig van Beethoven. Leben und Schaffen (1859; 5th edn. Berlin:Otto Janke, 1901), p. 416 and Martin Cooper, Beethoven: The Last Decade 1817-1827 (London:Oxford University Press, 1970), pp. 190-91. (The song titles translate as "Our cat has had kittens" and "I'm a draggle-tail, you're a draggle-tail.")

Example 10 (Paris Ms 51/3, p. 19, line 7)



(Paris Ms 51/3, p. 19, line 1)

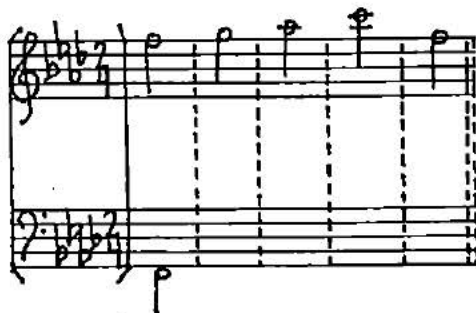


(Paris Ms 80, p. 21, line 1)



relation between the scherzo and both folk-songs was established during the writing process and that quotation was not originally intended.

As with the first movement, Beethoven was concerned with the manner in which the scherzo leads into the third movement. Two sketches for the coda appear on pp. 22 and 23 in Ms 80, each offering a rather different solution to the problem at hand. The first sketch on lines 12 and 13 closes the movement firmly in F minor (see Example 11). The harmonies implied by Example 11 (Paris Ms 80, p. 22, lines 12-13)



the melody are those of tonic in alternation with dominant; ascending half notes outline the tonic triad in the upper voice, with the third, F-A, filled in with a passing note. After reaching the highest note, C, the melody drops a fifth to close on the tonic, F. While this sketch may melodically approximate the final version of the coda, it does not yet incorporate the measures of rests that serve to slow the rhythm before the opening of the third movement. Most importantly, however, it does not anticipate the modulation to B flat minor in the following movement. The next entry for the coda, on the other hand, clearly suggests Beethoven's intention of composing out an 'introduction' or transition to the Introduction proper of the third movement (see Example 12).

Example 12 (Paris Ms 80, p. 23, lines 4-7)



Not only is there an appearance of the B flat minor harmony which foreshadows the key of the ensuing Adagio ma non troppo, but instead of closing in F minor, the music turns to the tonic major, which, as the dominant of B flat minor, leads

into the following Adagio.⁵⁵ This is resolved on the downbeat of the third movement. Although this sketch contains these important features of the final version, it is undeveloped in other aspects. In fact, the melody--if one can call it that, since it appears to function strictly harmonically in this sketch--is even simpler than that of the initial sketch, but it includes the bass line as well. Furthermore, the measures of rests are still not present; however, something of Beethoven's rhythmical intent may be indicated by the inscription of adagio and the number "4" included in the sketch, since it might imply a broadening of the rhythm. Finally, both early sketches affirm the tonic in the melody of the last measure. In the final version, Beethoven avoids a strong resolution in F minor through this broadening in rhythm, and by including the Picardy Third and asserting the pitch C in the uppermost voice--not once, but three times. This passage evokes the impression of openness, conveying the sense of a musical threshold.⁵⁶ Thus, it is

⁵⁵The B flat minor of the Coda foreshadows not only the Adagio ma non troppo, but also a passage of the last movement: B flat minor is brought back briefly, in this particular registral spacing, in the first fugue at m. 80. As in the scherzo, the D flat is the highest pitch--except in the trio--and, in the case of the first fugue, remains unsurpassed even in the climax of the fugue at m. 108.

⁵⁶Beethoven's method of emerging from the lament of the second Arioso into the second fugue is comparable to the coda of the scherzo, even if the overall effect is somewhat different. Both passages employ rhythmically syncopated chords whose disruptive influence is still felt in the final measures, juxtaposed with raising arpeggios, through the use of the sustain pedal. Each passage leads, in turn, to

evident from the sketches for both the scherzo movement and the first movement that Beethoven took steps to "blur the edges", so to speak, thereby creating an overall continuity spanning the breadth of the entire composition.

Following the initial sketching in the Paris leaves, Beethoven notated a melodic draft, with much of the bass, for the entire movement on pp. 74-75 in Artaria 197. This ink draft is atypical in that it already contains both dynamic and articulation markings, markings that were most commonly neglected until the autograph stage. The most striking feature of the draft, however, is what appears to be an eight-bar introduction leading directly into the second movement that is not carried into the final version (see Example 13). Example 13 (Artaria 197, p. 74)

The image shows a handwritten musical score for Example 13, consisting of two systems of music. Each system has two staves: a treble clef staff on top and a bass clef staff on the bottom. The key signature is B-flat major (two flats). The first system shows a melodic line in the treble staff and a bass line in the bass staff. The second system continues the melodic and bass lines, with a dynamic marking 'p:' and an articulation marking '[etc.]' at the end.

material of a different nature.

Surprisingly, this draft for what may initially have been intended as an introduction receives no mention by Schenker, Nottebohm or Komma.⁵⁷

The opening measures of the draft are rather peculiar; the first four measures are in 3/4, while the following four measures are in 4/4. (And the scherzo itself is in 2/4!) Nevertheless, several factors indicate that the passage was probably to serve as an introduction. As shown by the appearance of the ink and by the handwriting, the draft on pp. 74 and 75 was, without question, written during one session, including the opening eight measures. Moreover, Beethoven notated the key signature only when beginning a new work (and not necessarily then) or when he attempted to write out a larger draft version. For example, the draft of the exposition of the first movement on page 65 in Artaria 197 does, indeed, include the four-flat key signature. In the case of the scherzo, the F minor signature does not appear at the beginning of the scherzo as might be expected: it is placed fully at the top of the page directly before the eight-measure introduction. Further proof lies in the actual musical content, which melodically and intervallically prefigures the structure of the scherzo. A descending fourth

⁵⁷There is only one other passage in the movement to which these eight measures could possibly refer; that is, the return to the scherzo after the trio. Scant sketches for this passage do exist in Paris Ms 80. However, they show that Beethoven had already devised an early version of the transition.

outlining C flat to G is presented initially and is immediately followed by a sequence of this material a tone lower. Beethoven visually enforces the connection between the opening of these eight measures and the opening of the scherzo by indicating a two-measure phrase marking above both passages. The succeeding measures appear transitional, twice repeating the same material before returning to the material of the opening measure, this time an octave lower and somewhat altered. The descent begins again on C, but the music descends, without accompaniment, through an entire octave setting up the opening of the scherzo. Although the rhythm of the eight measure introduction seems conflicting with its use of two different time signatures and a change in the basic pulse, there are relations between the first four measures and the following material. There is a sense of diminution in m. 5; in both passages the bass interpolates an attack during the stepwise descent, first at a quarter note pulse and then at an eighth note pulse.

The relationship of this eight-measure introduction to the end of the first movement is unclear. The introduction appears to be a metrical transition, beginning with the meter of the first movement and modulating to the meter of the second. Furthermore, since Beethoven was particularly concerned with register in the late period works, it seems unusual that the introduction to the second movement would begin in a high register when the first movement closes an

octave lower, as the sketch on p. 72 of Artaria 197 indicates. It is interesting therefore, that the first sketch for the close of the first movement would have been directly linked to the introduction, with both passages employing the upper register. In fact, the decision not to preserve this introduction in the final version, and the revisions to the final measures of the first movement may be closely tied. The result is a more subtle link between the movements than would be achieved through a direct introduction. Ultimately, the internal network of connections and the underlying progressive nature of the sonata is a goal that Beethoven strove to attain in the last stages of the compositional process.

ASPECTS OF THE COMPOSITIONAL PROCESS:

THE FINALE

The dualistic finale of Op. 110 raises the most complex issues of compositional process. As we have seen, Beethoven employed not one, but two autograph manuscripts for this part of the sonata, a circumstance that has misled some commentators. The role of these autographs in Beethoven's compositional process can be assessed most clearly in relation to the pocket sketches held at Paris, sources that have previously received almost no scholarly attention.

The sketches for the finale in these Paris leaves preserve at least four stages of work on this movement. Some of the earliest ideas appear alongside entries for the scherzo movement in the Paris manuscripts 80 and 51/3; later sketches, which precede or even accompany work at the autograph stage, are contained in the bifolia of Paris Ms 51 (parts 2, 5, 1, 4 and 6). Beethoven's most concentrated and detailed efforts are contained in the latter manuscript. After the initial process of defining the fugal entries for the larger part of the first fugue, the final leaves in the first half of this pocket sketchbook preserve Beethoven's repeated attempts at various passages in the first fugue and the transition to the

second Arioso.⁵⁸ These same passages required revisions, subsequently entered into the first autograph after the second autograph had been laid aside.

The Paris sources by themselves do not disclose the stages in the evolution of the finale. Nor do they provide an overview of the sketches for the finale; the overwhelming majority of the sketches are for the first fugue. The Introduction to the third movement and the two Arioso stanzas receive very little attention in the seventeen leaves containing entries for the sonata: the melody of the transition (or Introduction) and the first Arioso are sketched on p. 5 of Paris Ms 51/3 and a similar draft of the second Arioso occurs later on p. 4 of Paris Ms 51/5. Yet much of the basic work on these passages occurs in the larger desk sketchbook, Artaria 197, which Beethoven employed in conjunction with the smaller sketch gatherings. In order to trace particular aspects of the genesis of the third movement, it is necessary to shuttle back and forth between Artaria 197 and the Paris leaves in much the same manner as Beethoven did while composing. At a later point in our discussion, we will assess those leaves in the Paris manuscripts that accompany the autograph stage.

In the preceding chapter, we discussed briefly some of the early fugal ideas in Artaria 197 that reflect the emerging

⁵⁸It will be recalled that the second half of the sketch gathering is devoted to Op. 111.

conception of the related thematic material in both the first and last movements of Op. 110. It is appropriate at this point to return in more depth to the early fugue sketch on page 45 of Artaria 197, since there are several aspects we have not yet considered. (This sketch appeared as Example 3 in Chapter Two.) Not only is the sketch noteworthy for its clear relation to the thematic material in the outer movements of the sonata, but the broader context in which it appears is interesting and significant.

During this period Beethoven's compositional energies were focussed primarily on the Missa solemnis, a massive project that took him several years--and a number of sketchbooks--to complete. The last two piano sonatas, Opp. 110 and 111, represent a temporary hiatus in the composition of the Mass. Not surprisingly, entries for these compositions often appear juxtaposed with entries for the Missa solemnis, and there are relatively few instances where sketches for the Mass and other works are kept physically separate in the sketch sources, as in Paris Ms 80. The early fugue sketch on page 45 of Artaria 197 is but one example showing an intersection between the composition of the Mass and what is to become the Op. 110 Piano Sonata.

On pages 43 and 44 of Artaria 197, Beethoven was preoccupied with sketches for the Agnus Dei and the Dona, and, in particular, with the setting of the word "pacem". This "plea for peace" is also inscribed repeatedly on page 45, and

entries for the Dona continue on page 46. Beethoven's notations were not restricted to the Mass. On page 45 he drifted into doodling, and settled upon the notion of a fuga per il cembalo o organo. The inscription implies that the music in the sketch was not intended originally for piano: the music itself gives the impression that an organ might be a suitable instrument of performance. As previously noted, the entry shows a three-part, stretto-like version, based on a chain of ascending fourths which combines the subject in augmentation in the uppermost voice with the subject partially filled in by passing eighth notes in the lowest voice. The middle voice climbs gradually by step and is sustained into the following measure. These initial ideas are developed in subsequent sketches where the music turns to 6/4 meter, corresponding to the 6/8 of the Dona in the Mass. These entries retain the perfect intervals and sustained tones of the early sketch for "cembalo o organo". In addition, the bass now presents a gently-rocking, broken triadic figure, while trills embellish the final melodic note of every second measure and become increasingly frequent as the music progresses. Near the bottom of this page there is another fugal entry in longer note values with a sustained bass pedal (on A flat!), but this time the sketch is actually designated as a "4 Stimmige Klavier Fuge".

Although only one of these sketches employs the rising fourths eventually to be absorbed into the Op. 110 sonata,

they share a fundamental expressive quality. Various elements, such as the conspicuous use of perfect and consonant intervals or the long and sustained note values, merge to create music of a broad and intensely lyrical nature. It is precisely this special quality which shapes the fugue--in particular, the first fugal section--in Op. 110, thereby fashioning "the smoothest of Beethoven's fugal finales...".⁵⁹ In this respect, the fugue in Op. 110 is unlike most other fugues in late Beethoven, except perhaps the fugal passages in the Dona of the mass.⁶⁰ Much has been said about the thematic connection between these two compositions, yet only recently has attention been devoted to the broader issues of narrative design in multi-movement works, and of an underlying "teleological progression" between the individual movements of a composition, characteristics these works have in common.⁶¹ These aspects are evident already in the sketches and they are

⁵⁹See Maynard Solomon, Beethoven (New York: Schirmer Books, 1977), p. 302.

⁶⁰Some of the late fugues by Beethoven, such as the finales of the Piano Sonatas Opp. 101 and 106, as well as the original finale of the Op. 130 String Quartet (catalogued as the Grosse Fuge, Op. 133), are characterized rather by their use of angular themes and a relentless, driving rhythmic force. However, William Kinderman notes similar, lyrical fugal writing in the D major episode in the finale of the Op. 106 Piano Sonata and in the Fughetta of the Diabelli Variations. See his article, "Integration and Narrative Design in Beethoven's Piano Sonata in A flat Major, Opus 110", Beethoven Forum I (Lincoln and London: University of Nebraska Press, 1992), p. 126.

⁶¹For a detailed discussion of the parallel features in the music of the mass and the piano sonata see William Kinderman, *ibid.*, p. 114.

brought into prominence in the final version of the work.

The sketch on p. 45 of Artaria 197, along with other entries from earlier pages of this sketchbook and the first page of Paris Ms 51/2, represents the earliest stage in the genesis of the finale. At this point, specific musical features such as the time or key signature of the final version had not yet been established, but the seminal thematic material employing fourths and the general character of the music are already in evidence.

The next group of sketches for the finale is juxtaposed with sketches for the scherzo movement. A few jottings of the fugue subject contained in Paris Ms 80 record some modest progress in the composition of the finale. Brief sketches for the first fugue appear notated amid the earliest ideas for the opening of the scherzo. Significant here is the implied establishment of A flat as the key signature and a time signature of 6/8, though it is clear that other basic features had not yet been decided upon and that Beethoven was experimenting with various possibilities. For instance, the sketch at the top of p. 22 in Ms 80 shows the countersubject in sixteenth notes (see Example 14). This idea is not immediately rejected, as a subsequent sketch on p. 23 reveals (see Example 15). In fact, it was not until the very last page of Artaria 197 that Beethoven inscribes the words "nur 8tel" or "only eighth notes" next to the opening of the first fugue, the quicker diminutions of the fugal theme being

Example 14 (Paris Ms 80, p. 22, lines 1-2)



Example 15 (Paris Ms 80, p. 23, lines 9-14)



reserved in the final version for the second fugue. Another interesting aspect of the sketch on p. 23 is the rhythm. Although the fugal entries in the tonic and the dominant in this particular register approximate the opening of the fugue, the rhythm of a quarter note followed by an eighth note oddly prefigures that of the climactic passage at m. 107 and does not appear again in this context. Only one other sketch for the fugue surfaces among the scherzo entries, this time in Paris Ms 51/3 (p. 20), but it blocks out a lengthier passage of the countersubject and does not clearly indicate in what manner the fugue subject unfolds.

Without yet devising the structure of the fugue--at least, on paper--Beethoven turned his attention momentarily to the composition of the first Arioso and the Introduction to the third movement.⁶² On p. 5 of Paris Ms 51/3 Beethoven initially wrote out a melodic draft for this Arioso which he labelled andante ma non troppo followed by a similar draft for the transition into the third movement. The obvious purpose of these two drafts is to define the larger sections, leaving the details to be worked out later in Artaria 197. That Beethoven is now concerned with mapping out lengthier passages is also evident in two entries for the fugue contained in the next sketch gathering, Paris Ms 51/2, p. 2, the second of which provides a two-part version of mm. 31-46.

Undoubtedly the most important landmark in any of the sketch leaves is the movement plan for the finale that appears on pp. 69-71 in Artaria 197, some time after the two entries were made in Ms 51/2, p. 2.⁶³ This movement plan gives us the first real glimpse of the overall shape of the finale by

⁶²As we noted earlier, this is one instance where Beethoven sketched the sections of the movement out of sequence. In this case, both Artaria 197 and the pocket sketchbook present the first fugue before entries for the opening of the movement appears.

⁶³The fact that lengthier entries for the fugue precede the movement plan must be addressed. It would be customary to find such sketches **after** the movement plan had been notated, since the general purpose of intermediate-length sketches is to supplement or elaborate a draft version of the same material or to work out a particular problem. Both sketches are, however, less advanced than the same material that appears in the movement plan and were most likely written prior to it.

sketched only briefly. The first few notes of the Arioso melody are notated in A flat minor (implied) followed by an entry for the second fugue in the key of A flat major. If these entries correspond to the location of the sections within the overall movement, then the key signature of both sketches, not to mention the structure of the entire movement, is more than a little surprising. The order in which the segments of the movements are sketched would imply that the first fugue is interrupted by a statement of the lament in A flat minor, but resumed in a recapitulation of sorts, a structure fundamentally different from that of the final version with its double presentation of paired Arioso and fugue. Yet the nature of this movement plan seems to allow another possible interpretation. Moreover, these sketches were not originally meant for "public viewing" and Beethoven did not necessarily indicate each section of the movement.⁶⁴

Beethoven's original intention could have been to notate, as completely as possible, the entire first fugue. Having accomplished this task, he hastily jotted down thematic fragments from each of the remaining sections, forming what we have designated as a movement plan. Not only does this seem probable, it might also explain why Beethoven did not notate the Introduction to the finale or the first Arioso along with

⁶⁴It may be that there is no indication of the second Arioso in G minor because Beethoven had recently been occupied with the first Arioso and the second Arioso is virtually a rhythmically intensified variation of the first.

the draft of the fugue. These portions of the movement must have been relatively fresh in Beethoven's memory, since he had just sketched them on p. 5 of Paris Ms 51/3.

Beethoven then temporarily abandoned composition of the third movement in order to set to paper an abbreviated pencil draft of the first movement in Artaria 197 (pp. 72-73), as well as a complete draft of the scherzo movement (pp. 74-75), directly following the movement plan of the finale. Predictably, the resumption of work on the finale is a compositional response to aspects of these larger sectional drafts.

Entries for the Introduction and the first Arioso contained in the last six pages of Artaria 197--passages that have received the least attention thus far in the compositional process--begin this next sketch stage. Beethoven begins on p. 83 with a melodic draft of the Introduction which actually spills over onto the preceding page, p. 82, and is connected through the number "100"--a device Beethoven used occasionally instead of "Vi-De".⁶⁵ This version is even more elaborate in many respects than the draft written earlier in Paris Ms 51/3, revealing a tendency which manifests itself also in the composition of the Arioso and one which Beethoven reversed in the later sketches and the final version. Schenker also noted the florid elaboration of

⁶⁵Pages 82 and 83 face each other and would therefore have been open at the same time in Artaria 197.

the melody and aptly pointed out that it seems to contradict almost completely the intended expression in the Arioso melody.⁶⁶ Yet despite the embellishments and a lack of bar lines, this draft shows more clearly the division of the Introduction into smaller units. For instance, there is a fermata on the note D flat which most likely represents the pause on the E flat seventh chord at the beginning of m. 4. A Recitative ensues and ends conventionally with a falling fourth from A flat to E flat. The next section is characterised by a tremolo B flat major chord in the bass which may correspond roughly to the dwelling on the high A natural of the final version.⁶⁷ It is then followed by a melodic descent to the middle register of the piano where, for

⁶⁶"Auch sehen wir die Melodie noch an ueberfluessigen Melismen wie gleichsam an einer Kinderkrankheit leiden, an Melismen, die, wie die nachfolgenden zeigen (examples shown in text), sich zum intendierten Ausdruck beinahe ganz in Widerspruch stellen." Heinrich Schenker, Die letzten Sonaten: Sonate As Dur Op. 110 (Wien: Universal Edition, 1972), p. 76.

⁶⁷An A natural is indicated, however, in the very first draft of the Arioso in Paris Ms 51/3, p. 5. Beethoven writes there the letter "A" preceded by a natural sign. There is, however, no clear evidence as to how the A is to appear, and in the drafts of this passage on pp. 83 and 88 of Artaria 197 it only occurs on the latter page, where it appears in the middle register and not in a position of prominence. In this instance there is clearly a brief shift to E major, as in the final version, but Beethoven has not fully worked out the method of arriving at this point. Still, the tremolo on B flat major is not uninteresting. Even though the key is different from the final version, it hints at something of the same effect by attempting to dispel the darkness of B flat minor through the introduction of the (local) tonic major. That the repeated high A's appear only in the final version represents yet another instance of the incorporation of far-reaching and structurally important elements at a late stage of the compositional process.

the first time, Beethoven provides a transition into the lament--albeit a rather repetitious one (see Example 17).

Example 17 (Artaria 197, pp. 82-3)

dona nicht andante adagio moderato

The image displays four systems of handwritten musical notation. The first system consists of two staves (treble and bass clef) with a key signature of two flats (B-flat and E-flat). Above the staves, the tempo markings 'dona' and 'nicht andante adagio moderato' are written. The second system also has two staves, with a key signature change to one flat (B-flat). A dynamic marking '100 -> 100 (p. 82)' is written above the treble staff, and a '4p' marking is written below the bass staff. The third system shows a single melodic line on a treble staff with a key signature of one flat and a 'p' dynamic marking. The fourth system shows a piano accompaniment on two staves (treble and bass clef) with a key signature of one flat and a 'p' dynamic marking.

The following sketches focus on the opening of the Arioso as well as the method of arriving there. No less than nine

different entries show the beginning of the Arioso melody, and it seems that Beethoven was testing the potential of various rhythmic configurations as well as incorporating a melodic turn around the pitch B flat at the end of the first measure (see Example 18).

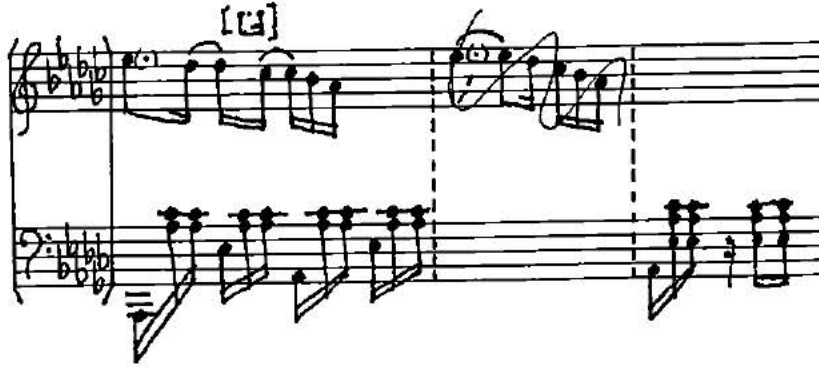
Example 18 (Artaria 197, pp. 83 and 86)

The image displays three systems of handwritten musical notation, likely sketches for a piece. The top system consists of two staves (treble and bass clef) in a key signature of three flats (B-flat major/C minor). The treble staff begins with a melodic line starting on a B-flat, followed by a series of eighth and sixteenth notes. Above the first measure, there is a handwritten annotation 'K. 27' with a bracket. Above the second measure, there is another annotation 'oder Vi=' with a bracket. The system ends with the word 'etc.' written in the right margin. The middle system is a single treble staff with a key signature of three flats. It starts with a melodic line that includes a B-flat, with an annotation 'K. 26 = De' and an arrow pointing to the B-flat. The bottom system consists of two staves (treble and bass clef) in the same key signature. The treble staff shows a melodic line with some rests and a B-flat. The bass staff shows a rhythmic accompaniment with chords and eighth notes. There are some scribbles and corrections in the bass staff.

Several of the sketches show that Beethoven initially envisioned a different bass to accompany the sorrowfully burdened melody and, as Schenker suggested, one has to see this sketch to believe it, for it seems hardly a suitable

accompaniment for a tragic lament (see Example 19).⁶⁸

Example 19 (Artaria 197, p. 87)



Not all of the sketches are for the opening of the Arioso: there are two entries that are concerned with closing the lament. Though different, both of these sketches exhibit several important features of the final version. That is, they stress, for the last time, the semitone F flat to E flat in the melody and end outlining the pitches E flat falling to the lower G natural followed by B flat to A flat (see Example 20). The second of these, which includes an outline of the bass part, even includes the F flat to E flat semitone in the bass, although it is presented in a different location within the measure.

At this point in the compositional process, Beethoven produced a continuity draft of the third movement beginning

⁶⁸"Voruebergehend (Bl. 87) denkt er dabei-saehe man es nicht mit eigenen Augen, man wuerde es kaum glauben-sogar auch an eine Begleitung, wie die folgende: (sketch presented)", Schenker, p. 76.

Example 20 (Artaria 197, p. 83)



with the Introduction and reaching the first fugue where he notates only the opening and the closing statement of the subject. The draft appears incidentally on the very last page of Artaria 197 (p. 88). Notable progress has been made and the sections appear well defined, though both melodic and rhythmic details require further refinement. In fact, only later on this page does Beethoven arrive at the rhythm for the *Arioso* melody that is to be retained in the final version.

For previous scholars, the end of this sketchbook signaled the termination of this stage in the compositional process, and announced simultaneously the onset of a new stage, the writing out of the autograph score. Yet as Nottebohm indicated, there are many aspects of the music that do not correspond to the final version and required further

revision.⁶⁹ The sketches reveal that the larger sections of the movement appear to be in different stages of development. However, even though the first fugue does not materialize on paper in a form close to the final version, we may assume that Beethoven had made at least some progress with it.

A survey of the body of sketches notated thus far in the composition of the sonata exposes an astonishing, and rather glaring, gap--a gap that was passed over by previous scholars: there is not the slightest trace of a second Arioso in G minor. Furthermore, all we have seen of the second fugue are two fleeting presentations of the inverted subject in A flat major--the latter scratched with a dull pencil into p. 88 of Artaria 197--and one idea for the A flat subject in diminution notated on the first page of Paris Ms 51/2.⁷⁰ An entry for the closing section of the second fugue also appears in the sources, both in Artaria 197 and the Paris leaves.⁷¹

⁶⁹"Mit Entwuerfen zur Sonate Op. 110, deren endgueltige Fassung jedoch nicht ganz erreicht wird, schliesst das Heft." Gustav Nottebohm, Zweite Beethoveniana (Leipzig: 1887, repr. New York: 1970), p. 468.

⁷⁰This sketch on Paris Ms 51/2 shows the clearest relation to the fugue subject in diminution that appears in the final version of the second fugue. Other entries show the fugue subject in quicker note values, such as the early sketch on p. 23 of Paris Ms 80, but here the rhythm implies the climax of the first fugue. Another sketch indicating a diminution of sorts appears below the movement plan (pp. 69-71) in Artaria 197.

⁷¹There is also a brief entry on p. 86 of Artaria 197 labelled "2ter Theil", which may be a very early version for the ending of the final movement. The sketch shows a rising thirty-second note configuration much like the sixteenth-note passage at the tempo primo in the second fugue. Its

Sketches on p. 11 of Paris Ms 51/2 show the sixteenth-note configuration juxtaposed with the fugue subject in its original rhythmic form, but as in the earlier sketches for the first fugue Beethoven has not yet established the basic progression of fugal entries. Near the bottom of the page he writes the word "Schluss" above the final statement of the fugue subject. Surprisingly the melody reaches only to the high G flat rather than the tonic A flat, and descends again to close on the pitch E flat.

The absence of sketches for these sections of the movement indicates that Beethoven may have initially conceived the tonal structure of the movement without a restatement of the Arioso in G minor or the return of the fugue beginning in G major, and we have been given no reason to believe otherwise. At the time the movement plan on pp. 69-71 was sketched, there had been no entries in the sketch leaves for an Arioso in G minor. Instead this overview presents a sketch for the Arioso in A flat after the first fugue is broken off. Moreover, both this movement plan and the draft on p. 88 of the sketchbook present a recapitulation of the fugal material, but in the tonic A flat. While a tonal structure fundamentally different from that of the final version would have drastically affected the formal architecture of the finale, the evidence for such a difference is less conclusive;

conclusion is marked fine and consists of an embellished run from middle C to the E flat which ends the later sketch of this passage.

Beethoven often neglected to record certain sections or details in his plans for a movement. However, Beethoven's inscription of the direction "d.c.", or "da capo", on p. 88 of Artaria 197, directly following the pause on the dominant at the close of the first fugue, is noteworthy in this respect. As William Drabkin has pointed out, Beethoven often employed this sign to indicate the structure of a movement by signaling a return to previous material. Typically "da capo" might indicate the recapitulation of a movement in sonata form or the return of a rondo theme.⁷² Although we are not dealing with a movement in sonata form, there was evidently to be a return of at least the second fugue.⁷³

If we now admit those sketches in the Paris leaves to our discussion of the compositional genesis before the autograph stage, the picture changes somewhat. The Paris leaves not only contain several more preliminary entries for the first fugue; they also record one early sketch for the second Arioso in G minor, followed almost immediately by an attempt to write out the transition connecting the end of the first fugue to this passage.

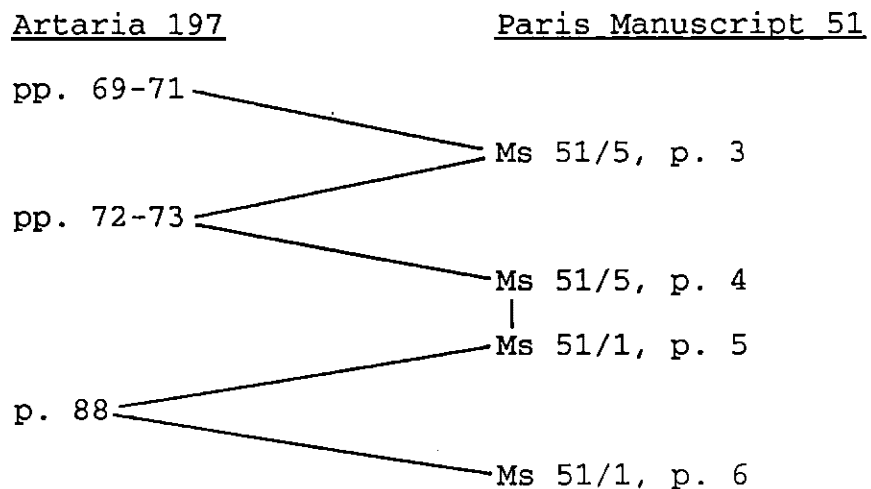
⁷²William Drabkin, "Beethoven's Understanding of 'Sonata Form': The Evidence of the Sketchbooks", in Beethoven's Compositional Process ed. William Kinderman, (Lincoln and London: University of Nebraska Press, 1991), p. 15.

⁷³Another possible interpretation of the "da capo" sign is that it might imply the recapitulation of both Arioso and fugue. Exactly what material, or how much, was to be recapitulated at this point in the movement is unclear in the movement plan. But in view of the final version, it is likely that both Arioso and fugue were to be restated.

The Paris leaves (Ms 51/5, pp. 3-4 and Ms 51/1, pp. 5-6) fit in chronologically with the later entries in Artaria 197. These four pages of sketches follow the stage of development represented by the movement plan for the finale on pp. 69-71, but precede the lengthier draft of the first half of the movement on p. 88 (see Figure 4).⁷⁴

Figure 4

Chronological Overlap in Artaria 197 and Paris Ms 51



Entries for the fugue contained on the first of the pages in the Paris manuscript may have been written immediately after the movement plan; they focus specifically on those aspects of the fugue that were not yet well-defined in the movement plan.

⁷⁴The entries for the climax of the first fugue contained in Paris Ms 51/1, p. 6 may actually follow the draft on p. 88 of Artaria 197 as indicated in Figure 4. Although the Paris sketch incorporates many features of the final version, the chronology in this instance is difficult to establish since little of this passage is notated in the draft.

The next three sketch pages in the Paris source succeed the draft of the first movement contained on pp. 72-73 of Artaria 197. A sketch at the top of p. 4 in Paris Ms 51/5 for a revision near the end of the first movement accompanies the same alteration in the autograph score. Since Beethoven completed the draft of the first movement before he wrote out the autograph score, finale sketches after this entry for the first movement in the Paris leaves must therefore follow p. 73 in Artaria 197. These Paris sketches do not, however, reach the same stage as the partial draft of the finale on p. 88 of Artaria 197. Nonetheless, these entries show definite progress from the movement plan on pp. 69-71.

This progress is evident in the lengthier continuous sketch on p. 3 of Paris Ms 51/5. Beethoven carefully maps out each entry of the fugue subject from m. 40 to the D flat entry at m. 87, concentrating this time on the manner in which each statement closes and proceeds to the next entry. Unlike the earlier draft, this sketch establishes a sequential repetition of the stepwise, descending fourth that closes each subject as a means of linking one statement to the next. The sequential repetition of this material is almost always characterized by the suspension of the upper note in the fourth through the bar line and by the resulting syncopation (see Example 21). But even though Beethoven gets further along in the fugue and the basic continuity is initially more secure, the transitional episode between entries fades away to nothing near the end of

this draft.

As we have noted, Beethoven then prepared the autograph score of the first movement, and possibly even of the second movement.⁷⁵ When he returned to the composition of the finale, it was not the fugue but the two Arioso sections that claimed his attention. Before p. 82 in Artaria 197, Beethoven had sketched very little for the first Arioso and not one entry for the second Arioso.. Repeated entries for the melody appear before the draft on p. 88, but there is only one entry for the second Arioso and the transition from the first fugue. This melodic draft on p. 4 of Paris Ms 51/5 shows the G minor lament at a relatively early stage. Written in the time signature of the final version (12/16), this sketch is littered throughout with sixteenth-note rests, instead of gradually introducing rests and syncopations into the melody-- a means of intensification adopted by the final version.⁷⁶

⁷⁵It seems likely that the autograph of the second movement would have been prepared at the same time. The complete draft of the scherzo movement appears on pp. 74-75 of Artaria 197 directly after the draft of the first movement. Both movements are at an advanced stage in these drafts.

⁷⁶This draft of the second Arioso as well as a sketch for the first Arioso on p. 83 of Artaria 197 employ the time signature of 12/16. Sketches for this passage originally appeared in 2/4. The fact that Beethoven returns to what appears to be a 2/4 time signature in later sketches (ie. p. 88 of Artaria 197) could be a matter of convenience in the writing process. It means that he could dispense with writing the 'dots' after each eighth note--an irritating triviality which he did not often bother about in the fugue sketches. The Introduction to the finale is also notated in 2/4 corresponding both to the end of the scherzo movement and the sketches of the Arioso.

Example 21 (Paris Ms 51/5, p. 3, lines 1-13)

The image displays a handwritten musical score for Example 21, consisting of seven systems of two staves each. The notation is in a historical style, likely from a medieval manuscript. The key signature is three flats (B-flat, E-flat, A-flat), and the time signature is 6/8. The score includes various rhythmic values, including minims, crotchets, and quavers, often grouped with beams. There are several instances of notes with a circled '6' above them, possibly indicating a specific rhythmic value or a mensural sign. The notation is written in black ink on aged paper. The first system shows a melodic line in the upper staff and a bass line in the lower staff. The second system continues the melodic line with some complex rhythmic patterns. The third system features a more active melodic line. The fourth system shows a melodic line with some rests. The fifth system includes a performance marking: "-cont'd later at edge of page" written above the staff. The sixth system features a melodic line with a marking "VI=DE" above it. The seventh system shows a melodic line with a marking "6" above it. The overall structure is a single melodic line with a corresponding bass line.

The melody is also undeveloped and does not contain many of the important features of the later version, such as the leap to the high G in the third measure and again in measure 7. Even the basic phrase structure does not yet seem established, except for the four measure unit comprising mm. 3-6 of the sketch, corresponding roughly to mm. 5-8 of the final version (see Example 22).

Example 22 (Paris Ms 51/5, pp. 4-5, lines 7-16 and 1-2)

The image shows four staves of handwritten musical notation. The first staff begins with a treble clef, a key signature of one flat (B-flat), and a time signature of 12/16. The notation includes various rhythmic values such as eighth and sixteenth notes, and rests. The second and third staves continue the melody with similar rhythmic patterns. The fourth staff shows a transition, with a question mark above a specific measure. An arrow points from the label 'MS 51/1, p. 5' to this measure.

Not surprisingly Beethoven notated the transition into the second Arioso on the subsequent page in the Paris leaves (p. 5). The basic idea is a modulation from the dominant on E flat at the fugue's close, to the G minor of the second statement of the Arioso. This modulation is composed out in ascending and descending arpeggios outlining these harmonies and closing on the pitch D, which opens the lament. As in

earlier sketches for the Arioso melody, the transition appears initially more elaborate. Instead of ending the arpeggios in the bass, and leaving the register in which the melody appears temporarily free, the arpeggiation continues upwards and emerges onto the pitch that opens the lament. These arpeggios encompass fully four octaves, whereas in the final version they span only three, and do not pause a second time on the dominant, E flat, before the shift to G minor. Beethoven closes this sketch with the words "Zweites Arioso", jotting down briefly the rhythm of the triplet sixteenth-notes that dominate the accompanying bass harmonies in the following section (see Example 23).

Example 23 (Paris Ms 51/5, p. 5, lines 12-16)

The image displays two systems of musical notation. The first system consists of two staves: a treble clef staff and a bass clef staff. The treble staff begins with a trill (tr) over a note, followed by a series of notes, including a triplet of sixteenth notes. The bass staff contains a few notes. The second system also has two staves. The treble staff has a few notes. The bass staff has a triplet of sixteenth notes. Between the two systems, the text "Zweites Arioso" is written, with two sharp symbols (#) above it.

Entries on p. 6 of Paris Ms 51/1 for the climax of the first fugue follow those for the Arioso and mark the last

stage of sketching before Beethoven began the autograph of the finale. Both sketches for this passage beginning at m. 104 present the fugue subject in a stretto involving the uppermost voice and the bass in octaves. In the first sketch, Beethoven keeps the subject intact and the music descends a stepwise fourth, from F to C, at the end of the subject, before suddenly leaping a sixth to the tonic A flat (see Example 24).

Example 24 (Paris Ms 51/1, p. 6, lines 1-6)

The image shows two staves of handwritten musical notation. The top staff is in treble clef and the bottom staff is in bass clef. The key signature is three flats (B-flat, E-flat, A-flat) and the time signature is 6/8. The notation includes various notes, rests, and accidentals. A bracket labeled "unclear" is placed over the final notes of the top staff. The bottom staff has a "tr." marking below it.

The arrival on pitch A flat is the logical outcome of all that precedes it, but it sounds ill-prepared and over-hasty in this context. The goal is clear, yet Beethoven had not discovered a convincing way of traversing the octave to reach the high A flat. In fact, this passage turns out to be problematical for Beethoven during the preparation of the autograph score. As in other troublesome sections of the first fugue, Beethoven

did not discover a solution until he had attempted to write out the good copy and was forced to make further sketches.

Although this last group of sketches in the Paris leaves marks the final stage before the autograph score was written out, we still have no evidence of entries for the second fugue, aside from the brief passages for the closing section mentioned during our discussion of the movement plan for the finale. It is somewhat easier, however, to accept a lack of sketches for the second Arioso, than to believe that Beethoven would have written the autograph of the second fugue without any prior sketching--and the autograph of this section is remarkably clean. In the case of the Arioso, the two versions correspond rather closely, and progress made in the evolution of the first Arioso most likely represents a similar development in the second. This cannot be said of the second fugue. Even though the form of the second fugue is less strict than that of the first, the complexity of the contrapuntal texture employing the subject in inversion, diminution and augmentation must have required at least some sketching. The absence of any entries suggests the possibility that there may be several leaves pertaining to the second fugue which have been lost or remain unidentified among leaves held in one of the libraries where Beethoven's manuscripts are preserved.

The last set of sketches in these Paris leaves (Ms 51/4, pp. 1-2 and Ms 51/6, p. 3) that pertain to Op. 110 accompany

the work in the autograph score and therefore record some of the latest revisions made to the sonata. Each entry corresponds to consecutive problems that arose in the autograph score between pp. 36-39, which encompass m. 80 (the interlude before the entry of the fugue subject in D flat) to m. 115 (the restatement of the lament in G minor). In many cases Beethoven began making changes in the autograph before returning to the sketch leaves to work out the details of a specific passage.

Since all but one of these sketches are directly connected with revisions occurring between pp. 36-39, and are therefore superseded by the revised draft on p. 52 in the autograph score, these entries in the Paris leaves were notated before Beethoven began writing out the second autograph. Both Schenker and Kuethen, who have discussed the autograph in some detail, assert correctly that Beethoven must have begun the second copy of the finale after the draft on p. 52.⁷⁷ This draft contains, significantly, a partial statement of the subject in D flat, a statement which had not been included in the earlier version of this passage on p. 36 of the autograph. This important addition of the D flat subject prompted Beethoven to write out the second autograph,

⁷⁷Schenker, p. 92 and Hans-Werner Kuethen, "Die ominöse Stelle um den Orgelpunkt herum", Text- und Quellengeschichtliches zur Fuge in Beethovens Klaviersonate op. 110, Divertimento fuer Hermann J. Abs, ed. Martin Staehelin (Bonn: Verlag des Beethoven-Hauses Bonn, 1981), p. 57.

where he encountered further difficulties with the same passages that had previously been troublesome.

The first sketch in Paris Ms 51/4, p. 1 corresponds with the A flat entry of the soprano voice at m. 91 in the final version and appears on p. 37 of the autograph. Although this is not the first instance where Beethoven experienced difficulties while writing out the autograph, it is the first time he returned to the pocket leaves in order to work on a particular passage. A comparison of the entry in the Paris leaves with the version in the autograph score indicates that Beethoven moved back and forth at least twice during the composition of these six measures. Two measures within this section are crossed out and the gap is bridged with connecting symbols. The replacement for these two measures appears in the sketch in the Paris leaves and is immediately incorporated into the autograph version. Initially, the bass hovered around middle C and did not descend to the lower register before presenting the fugue subject beginning on A flat. Neither version includes more than the first two notes of the fugue subject and the organ point on E flat is reached four measures too soon.⁷⁸ Beethoven rejected this version

⁷⁸We will not deal in great detail with the various versions of the passage around the organ point that appear in the autograph score. Schenker devotes considerable space in his discussion to this very issue, and Kuethen's entire article focuses on this subject, with particular attention given to a five-measure sketch contained on the sketch leaf known as "A 48". We will, however, return to this passage briefly to comment on a lengthy draft unknown to both scholars.

instantly and arrived at a temporary solution on p. 38.

On the same sketch leaf (Ms 51/4, p.1) there are several entries for the melody at the climax of the first fugue, which appears on p. 39 of the autograph. This passage had been sketched twice prior to the autograph stage in Paris Ms 51/1, p. 6. The first melodic sketch on p. 1 presents the climax at m. 108 almost as it has appeared thus far in the sources: the A flat is reached by leap from below and sustained into the next measure, where it descends and converges with the bass on the dominant seventh of A flat. A few staves later Beethoven sketched the descent from A flat beginning in m. 109, this time employing a stepwise motion and a consistent eighth-note rhythm. This version was connected to the first sketch with a "Vi-De" sign and temporarily reused in the autograph.

There is, however, one other sketch sandwiched between these two entries, but it is not for the climax of the first fugue. Instead, Beethoven jots down the seven measures of the melody from m. 68-73, directly preceding the fortissimo statement of the fugue subject beginning on octave G's (see Example 25). In the final version, the relation between this passage and the climax is clear; both strive upwards to reach the high A flat, but withdraw quickly upon reaching it. The manner in which they arrive on A flat, however, is quite different.

The A flat in the earlier passage is attained through a more lengthy and difficult process. In m. 59 the bass

Example 25 (Paris Ms 51/4, p. 1, lines 5-8)

initiates a descent into the low register, parallel to that of m. 104, and is joined by the soprano statement of the subject in E flat in m. 62. Following the complete presentation of the subject, the descending fourth at the end is sequenced three times. Unlike in every preceding instance where this has occurred, the music takes a surprising turn and the sequence rises, groping upwards to D flat, then to E flat and finally A flat. Each time the music moves upwards, there is again a descent of the fourth which impedes its progress, an element which is built into the fugal subject and appears to counteract any attempt of the music to ascend into the higher register. The music does attain its goal, reaching the high A flat in m. 70, but the arrival is undermined through a supporting harmonic dissonance. With each rising statement of this material, the music presents a diminished seventh chord,

first of F, then followed by G and finally C minor (see Example 26).

Example 26 (final version, mm. 61-72)

The image shows a musical score for two systems of piano music. The first system consists of two staves with a treble clef on the top and a bass clef on the bottom. The key signature has three flats (B-flat, E-flat, A-flat). The music features a rising sequence of notes in the treble staff, with a 'cresc.' marking in the right hand. The second system also consists of two staves with the same clefs and key signature. It features a descending sequence of notes in the treble staff, with a '7b' marking above a note and a 'p' marking below a note. The music concludes with a final chord in the bass staff.

The use of dissonance here, pitted against the rising sequence, is all the more striking because it has been for the most part avoided until this point in the fugue. Instead it resonates with certain similar passages outside the fugue itself, such as the close of the first movement with its incorporation of the dissonant diminished seventh in the final measures. Just as the close of the first movement is transcended or resolved, in the last measures of the second fugue, so, too, is this passage in the first fugue surpassed. A short-lived victory is won by the climax of the first fugue, but the A flat in the treble is not supported by a tonic harmony--nor does the bass climax coincide with that of the melody--and the music plunges a second time into the despairing lament. However, all has not been in vain. Beethoven recaptures this passage in the closing section of the second fugue where the rising sequence attempts to regain

the high A flat, this time with the accompanying tonic harmony. The melody does reach A flat in m. 194, appearing again with the diminished harmony in a similar configuration, but this harmony is resolved two measures later when the music shifts briefly to a first inversion tonic chord. The resolution is not a strong one, and with two further statements of this dissonance in mm. 203 and 206, it is only in the final five measures of A flat arpeggiation that any of the previous dissonances are resolved.

To return to the climax of the first fugue, we can see that the music reaches its goal of A flat within four measures of beginning the entry on A flat in m. 105. Unlike the first 'climax' in m. 70, the descent of a fourth at the end of the fugue subject is dropped so that the music continues in a series of rising fourths, rather than sinking downwards after each subject statement. Beethoven also intensifies the rhythmic drive towards the climax by quickening the pace through decreased note values two measures before the A flat is reached.

The sketches on p. 1 of Ms 51/4 (as well as those in Ms 51/1, p. 6) and the autograph score reveal that the climactic passage at m. 105 was initially much different and, in particular, that Beethoven viewed this section as being parallel to the passage before m. 70. Beethoven encountered several problems with the climax at m. 105 and did not find a solution until after he had written the autograph score. The

sketches and the first draft in the autograph for this passage show the subject in its usual form, with the obvious result that the approach to the climax here was much the same as that at m. 70 (see Examples 24 and 25). Most problematic was the unprepared leap to the high A flat from a sixth below, necessitated by the descent from F to C at the end of the fugue subject, causing the A flat to appear in this case as an "ex machina".⁷⁹ Moreover, the rhythm in steady dotted quarters imparted no sense of propulsion towards the melodic goal.

Beethoven was obviously unsatisfied with this version and turned then to p. 3 of Ms 51/6 where he notated this section beginning with the soprano entry on A flat and continued with the transition into the second Arioso. The sketch shows the fugue subject in the chain of ascending fourths of the final version, but the rhythm required several alterations. The first of these was the incorporation of the pattern of a quarter note followed by an eighth beginning on the pitch F. A second change reduced the length of the sustained high A flat to an eighth note (see Example 27). Beethoven must have had to begin the pattern of quarter/eighth notes earlier in order to make this revision, but this change is only implied by the numbering of the measures that marks the final version of this passage.

Slightly before the revisions to the climax of the first

⁷⁹See Schenker, p. 94.

Example 27 (Paris Ms 51/6, p. 3, lines 1-14)

The image displays three systems of handwritten musical notation. The first system consists of two staves (treble and bass clefs) with a key signature of three flats and a common time signature. It contains measures 1, 2, and 3, with the numbers '1', '2', and '3' written below the staves. The second system also has two staves with the same key signature and contains measures 4, 5, and 6. Measure 4 has the number '4' below it. A trill (tr) is marked above a note in measure 5. The third system has two staves with the same key signature and contains measures 7, 8, and 9. The lyrics 'VI-DE DE' are written below the staves in measures 8 and 9. A fermata is placed over a note in measure 9.

fugue had been made, Beethoven was occupied with changes to the passages around the E flat pedal point. A sketch in Paris Ms 51/4, p. 2 contains a three-voice draft of the passage directly preceding the partial statement of the fugue subject in D flat (m. 83), up to the forte statement, in octaves, of the bass in E flat (m. 101). This entry, written after Beethoven prepared this section in the autograph on p. 37-38, contains several features that the earlier version does not

(see Example 28). One important change is the inclusion of an Example 28 (Paris Ms 51/4, p. 2, lines 3-16)

The image displays three systems of musical notation for piano, arranged vertically. Each system consists of a grand staff with a treble clef on the upper staff and a bass clef on the lower staff. The key signature is two flats (B-flat and E-flat), and the time signature is 3/8. The first system shows a treble staff with a melodic line and a bass staff with a rhythmic accompaniment. The second system continues the piece, showing a more complex texture in the treble staff. The third system shows a further development of the bass line, which becomes more active and melodic, eventually leading to the E-flat subject mentioned in the text.

obligato bass line where the pedal point began in earlier stages. Most interesting is the continuation of this new bass part until the presentation of the E flat subject in the bass and the consequent omission of the pedal point.

Both Schenker and Kuethen pointed out that the passage at the pedal point posed the most significant compositional problems for Beethoven and was the fundamental cause for the

layers of revision in the autograph score. This assertion is primarily correct. However, there are several details that must be reconsidered in view of the draft in Paris Ms 51/4, p.2. First, Schenker attributes the progress on the pedal point to the inclusion of the fugal entry in D flat, which provides a means of expansion and a more effective approach to the E flat pedal.⁸⁰ Schenker, however, did not know of the earlier sketch in the Paris leaves and none of the available evidence in the autograph suggests a logical alternative. While these passages may have evolved concurrently, and therefore appear in the same drafts, the entry on p. 2 also presents the subject in D flat, but there is no trace of the pedal point. Beethoven subsequently wrote most of the bass from this sketch on top of the pre-existing draft on p. 38 of the autograph to form a second layer of sketching, cancelling those measures not to be retained in this second draft. This version was then superseded on p. 52 of the autograph before Beethoven wrote out the second copy.

The second aspect to be addressed concerns the possibility that Beethoven considered abandoning the idea of the pedal point altogether. The absence of the E flat pedal on p. 2 of Ms 51/4 suggests that Beethoven seriously contemplated that option, but changed his mind soon after this version was notated in the autograph. In drafting this version, however, Beethoven was able to clarify his ideas. He

⁸⁰Ibid., p. 92.

not only decided to retain the pedal point, but determined exactly where it would appear in the music. Below this section in the autograph he inscribes "bleibt orgelpunkt", or "the pedal point remains". Several measures later he notates where the pedal would come in by writing "orgelpunkt". Kuethen states that Beethoven most likely wrote these words after he had notated the final version on p. 55 of the autograph, but the sketch on p. 2 indicates that Beethoven probably made a note to himself to keep the pedal point after he had already once rejected it.

An important aspect of the sketch on p. 2 is the decision to present a partial statement of the fugue subject in D flat, before the appearance of the A flat statement in the soprano. The D flat entry was sketched briefly on p. 36 of the autograph and marked "Gut" before Beethoven incorporated it into the draft in the Paris leaves. However, it was not until after Beethoven wrote out the second autograph that he included the complete presentation of the subject in D flat. An entry for this passage does appear in the sketch leaves on p.1 of Paris Ms 51/4. Since this sketch leaf is the very first one to accompany the series of revisions in the autograph score, it is likely that Beethoven entered this sketch later in the space at the bottom of this page after the surrounding leaves were filled.⁸¹ It is set apart from

⁸¹There is also the possibility that Beethoven sketched the statement of the fugue entry in D flat earlier (but after p. 36 in the autograph) but had not discovered a way to

adjoining sketches through the use of dark heavy graphite.

The D flat fugal entry in the first fugue represents yet another example of a significant passage in the final work that evolves rather late in the compositional process. It is this passage in D flat that provides a link to other similar sections throughout the entire sonata. As we have seen, D flat--both as a single pitch and as harmony--assumes a crucial role in the composition, appearing conspicuously, for instance, in the development and the close of the first movement, and dominating the tonal scheme of the Trio. In the first fugue, it is the outcome, in m. 80, of a long struggle upwards, harmonised on this occasion with B flat minor.⁸² The emphasis on D flat becomes something like a structural pillar in the musical architecture of the fugue.

This compositional revision thus points unmistakably to the larger formal context of the sonata for its justification. By absorbing the D flat fugal entry, Beethoven continued to build on a musical context framed by the upper limit of the left-hand octaves on D flat in the preceding passage on the one hand, and the climactic breaking-off of the first fugue on this pitch, on the other. In the process, Beethoven imposed

incorporate a complete statement of it. A fugal entry in D flat did appear in the movement plan of the finale in Artaria 197 as well as on p. 3 of Paris Ms 51/5.

⁸²It is interesting too, that the B flat minor of this passage was added only later, especially since this key is highlighted in the development of the first movement and, even more importantly, opens the Introduction to the finale.

a tighter coherence on his fugue, bringing to completion that point of the sonata that had posed some of the most significant compositional challenges. A few finishing touches remained to be made, but with this revision of the first fugue, the sonata was complete at least in its basic artistic substance.⁸³

Our investigation of the genesis of Op. 110 thus draws to a close with a revision that points deeply into the aesthetic substance of the completed work, confirming thereby the analytic relevance of the study of compositional genesis. Ultimately, the private, biographical sphere of Beethoven's sketchbooks and the finished work of art are not entirely separable. The study of Beethoven's sketches has the potential to sometimes illuminate aspects of the work that would otherwise remain obscure, thereby enriching the critical context that nourishes our understanding and appreciation of this challenging music.

⁸³Both Nottebohm and Kinderman note the late revision in the Trio of the second movement, although Kinderman views the addition as being somewhat later. Gustav Nottebohm, Zweite Beethoveniana (Leipzig, 1887 and repr. New York, 1970), p. 471-472 and William Kinderman, "Integration and Narrative Design in Beethoven's Piano Sonata in A Flat Major, Opus 110", p. 135.

SELECTIVE BIBLIOGRAPHY

- Anderson, Emily, ed. and trans. The Letters of Beethoven. London: Macmillan, 1961.
- Barford, Philip. "The Sonata-Principle: A Study of Musical Thought in the 18th Century." Musical Review (1952): 255-263.
- Behrend, William. Ludwig van Beethoven's Piano Sonatas. Trans. Ingeborg Lund. London: J. M. Dent, 1927.
- Blom, Eric. Beethoven's Pianoforte Sonatas Discussed. London: J. M. Dent, 1938.
- Blume, Friedrich. Classic and Romantic Music. New York: Norton, 1970.
- Cockshoot, John. The Fugue in Beethoven's Piano Music. London: Routledge and Kegan Paul, 1959.
- Cooper, Barry. Beethoven and the Creative Process. Oxford: Clarendon Press, 1990.
- Cooper, Martin. Beethoven: The Last Decade. London: Oxford University Press, 1970.
- Dahlhaus, Carl. Nineteenth-Century Music. Trans. Bradford Robinson. Berkeley: University of California Press, 1989.
- Drabkin, William. "The Sketches for Beethoven's Sonata in C Minor, Opus 111 (Volumes 1 and 2)." Ph. D. dissertation, Princeton University, 1977.
- . "Some Relationships between the Autographs of Beethoven's sonata in C Minor, Opus 111." Current Musicology no. 13 (1972): 38-48.
- Goldschmidt, Harry. Die Erscheinung Beethoven. Leipzig: VEB Deutscher Verlag fur Musik, 1974.
- Hughes, Rosemary. Beethoven. London: Clive Bingley, 1970.
- Johnson, Douglas. "Beethoven Scholars and Beethoven's Sketches." Nineteenth Century Music. (1978-9): 3.
- . and Alan Tyson. "Reconstructing Beethoven's Sketchbooks." Journal of the American Musicological Society. (1972): 137.

- ed., Alan Tyson and Robert Winter. The Beethoven Sketchbooks: History, Reconstruction, Inventory. Berkeley: University of California Press, 1985.
- Kerman, Joseph. "Beethoven's Early Sketches." Musical Quarterly (1970): 515.
- . The Beethoven Quartets. New York. W. W. Norton and Company, 1966.
- Kerman, Joseph and Alan Tyson. The New Grove Beethoven. New York: W. W. Norton and Company, 1983.
- Kerman, Joseph. "Sketch Studies." Nineteenth Century Music (1982): 174-80.
- Kinderman, William ed. Beethoven's Compositional Process. Lincoln: University of Nebraska Press, 1991.
- . "Integration and Narrative Design in Beethoven's Piano Sonata in A flat Major, Opus 110." Beethoven Forum I. Lincoln: University of Nebraska Press, (1992): 111-147.
- Klein, Hans-Guenther. Beethoven: Autographe und Abschriften. Berlin: Verlag Merseburger, 1975.
- Komma, Karl Michael. Die Klaviersonate As-dur op. 110 von Ludwig van Beethoven. Stuttgart: Ichthys Verlag, 1967.
- Korsyn, Kevin. "Integration in Works of Beethoven's Final Period." Ph. D. dissertation, Yale University, 1984.
- Kunze, Stephan. Ludwig van Beethoven: die Werke im Spiegel seiner Zeit: Gesammelte Konzertberichte und Rezensionen bis 1830. Laaber: Laaber, 1987.
- Kuethen, Hans-Werner. "Die ominose Stelle um den Orgelpunkt herum. Text- und Quellengeschichtliches zur Fuge in Beethovens Klaviersonate op. 110." Divertimento fur Hermann J. Abs. Ed. Martin Staehelin. Bonn: Verlag des Beethoven-Hauses Bonn, 1981: 49-69.
- Levy, Janet M. Beethoven's Compositional Choices: The Two Versions of Opus 18, No. 1, First Movement. Philadelphia: University of Pennsylvania Press, 1982.
- Lockwood, Lewis. "On Beethoven's Sketches and Autographs: some Problems of Definition and Interpretation." Acta musicologica (1970): 32.

- Loyonnet, Paul. Les 32 Sonates Pour Piano. Verdun: Louise Couteau, 1988.
- Mellers, Wilfred. Beethoven and the voice of God. Oxford: Oxford University Press, 1983.
- Meyer, G. E. Untersuchungen zur Sonatensatzform bei Ludwig van Beethoven: die Kopfsaetze der Klaviersonaten Op. 79 und Op. 110. Munich: Fink, 1985.
- Mies, Paul. Beethoven's Sketches; An Analysis of His Style Based on a Study of His Sketchbooks. Trans. Doris L. Mackinnon. London: Oxford University Press, 1929.
- Misch, Ludwig. Beethoven Studies. Norman: University of Oklahoma Press, 1953.
- Nagel, Willibald. Beethoven und seine Klaviersonaten. Langensalza: Hermann Beyer, 1903-5.
- Newman, William S. The Sonata in the Classic Era. New York: W. W. Norton and Company, Inc., 1983.
- Nottebohm, Gustav. Zweite Beethoveniana. Leipzig: 1887. (repr. New York: 1970.)
- Ratner, Leonard G. Classic Music: Expression, Form and Style. New York: Schirmer Books, 1980.
- Riemann, Hugo. Ludwig van Beethoven's samtliche Klaviersonaten. Berlin: Max Hesse, 1917-19.
- Rosenberg, Richard. Die Klaviersonaten Ludwig van Beethovens. Lausanne: Urs Graf-Verlag, 1957.
- Rothstein, William. "Heinrich Schenker as an Interpreter of Beethoven's piano sonatas." Nineteenth Century Music (1984): 3-28.
- Schenker, Heinrich. Die letzten Sonaten: Sonate As Dur Op. 110. Wien: Universal Edition, 1972.
- Shedlock, John S. The Pianoforte Sonata. London: Methuen, 1895. (New York: Da Capo, 1964.)
- Solomon, Maynard. Beethoven. New York: Schirmer Books, 1977.
- "On Beethoven's creative process: a two-part invention." Music and Letters (1980): 61-272+.

- Thayer, Alexander Wheelock. The Life of Ludwig van Beethoven. London: Centaur Press Ltd., 1960.
- Tovey, Donald Francis. A Companion to Beethoven's Pianoforte Sonatas. London: The Associated Board of the Royal Schools of Music, 1948.
- Tyson, Alan. "Notes on Five of Beethoven's Copyists." Journal of the American Musicological Society (1970): 439-71.
- Uhde, Juergen. Beethovens Klaviermusik. Stuttgart: Reclam, 1968.
- , and Renate Wieland. Denken und Spielen. Kassel: Baerenreiter, 1988.
- Wallace, Robin. Beethoven's Critics: Aesthetic dilemmas and Resolutions during the composer's lifetime. Cambridge: Cambridge University Press, 1986.

TRANSCRIPTION OF THE SKETCHES

The sketches transcribed in this section of the thesis present those entries contained in the Paris Manuscripts 80, 51/3 as well as the individual parts in Ms 51.

It should be noted here that it is necessary at times to incorporate editorial markings. All aspects of the transcriptions not contained in the original sketch are indicated by parentheses or by dotted lines. Where a sketch is unreadable or poses problems of interpretation, I have included a question mark to suggest this. Those sketches that include a letter "K." and a number indicate sketches also transcribed by Komma, although in some cases there are differences between transcriptions in the present study and those by Komma.

Paris Ms 80, p. 21

line 1



lines 3-5

eine hand

lines 7-8

line 10

Paris Ms 80, p. 22

lines 1-2

Musical notation for lines 1-2, showing a treble and bass staff with a key signature of three flats and a 2/4 time signature. The music consists of several measures with a melodic line in the treble and a bass line in the bass staff.

lines 3-4

Musical notation for lines 3-4, showing a treble and bass staff with a key signature of three flats and a 2/4 time signature. The music features a melodic line in the treble and a bass line in the bass staff, with a '6' marking above a measure in the bass staff.

line 9

Musical notation for line 9, showing a treble staff with a key signature of three flats and a 2/4 time signature. The music consists of several measures with a melodic line in the treble staff, followed by a bracketed section labeled "several unreadable measures".

lines 12-13

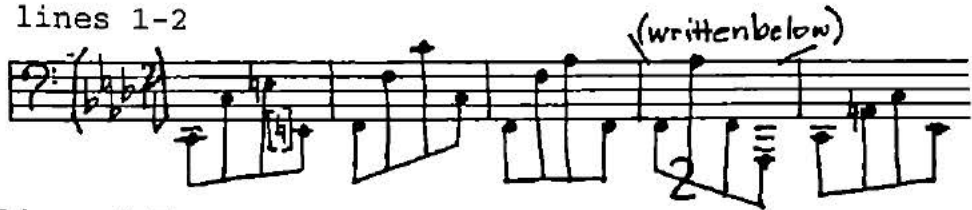
Musical notation for lines 12-13, showing a treble and bass staff with a key signature of three flats and a 2/4 time signature. The music consists of several measures with a melodic line in the treble and a bass line in the bass staff.

line 14,

Musical notation for line 14, showing a treble staff with a key signature of three flats and a 2/4 time signature. The music consists of several measures with a melodic line in the treble staff.

Paris Ms 80, p. 23

lines 1-2

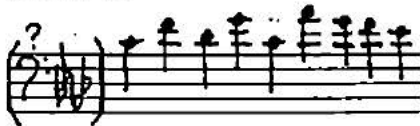


lines 4-7

lines 9-14

Paris Ms 80, p. 24

line 1



line 2



lines 4-10

indie höhe

line 10

Paris Ms 51/3, p. 5

line 5



line 7



line 8



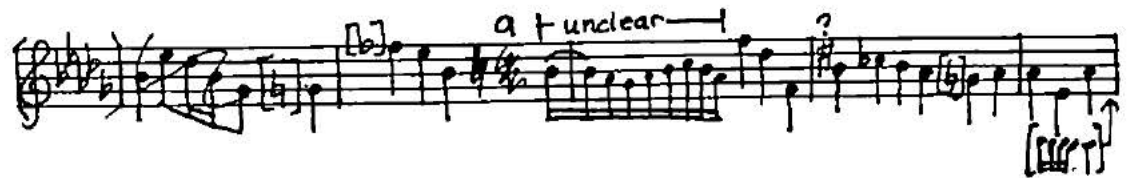
line 9



lines 10-13



lines 14-16



line 1



line 2



lines 3-4



line 15



line 16



Paris Ms 51/3, p. 20
lines 1-14

Handwritten musical notation for the first system, lines 1-2. The top staff is in treble clef with a key signature of two flats (B-flat, E-flat) and a 2/2 time signature. It contains a melodic line of eighth notes. The bottom staff is in bass clef with the same key signature and time signature, containing a bass line of eighth notes.

Handwritten musical notation for the second system, lines 3-4. The top staff continues the melodic line from the first system. The bottom staff contains a series of chords, some with a question mark above them, indicating uncertainty in the transcription.

Handwritten musical notation for the third system, lines 5-6. The top staff continues the melodic line. The bottom staff contains a bass line with some notes marked with a question mark, indicating uncertainty.

Handwritten musical notation for the fourth system, lines 7-8. The top staff contains a series of chords, some with a question mark above them. The bottom staff continues the bass line from the previous system.

Handwritten musical notation for the fifth system, lines 9-14. This system consists of a single staff in bass clef with a key signature of two flats and a 2/2 time signature, containing a continuous melodic line of eighth notes.

Paris Ms 51/2, p. 1

lines 1-2

Musical notation for lines 1-2, showing a treble clef staff with a key signature of two flats and a common time signature. The melody consists of eighth and quarter notes. The bass clef staff contains a few notes, including a whole note and a half note.

lines 3-4

Musical notation for lines 3-4, showing a treble clef staff with a key signature of two flats and a common time signature. The melody is characterized by a series of eighth notes with stems pointing downwards. A bracket above the final two measures is labeled "hard to read".

lines 5-8

Musical notation for lines 5-8, showing a treble clef staff with a key signature of two flats and a common time signature. The melody features a mix of eighth and quarter notes. The bass clef staff contains a few notes, including a whole note and a half note.

lines 9-11

Musical notation for lines 9-11, showing a treble clef staff with a key signature of two flats and a common time signature. The melody consists of a series of eighth notes with stems pointing upwards, many of which are beamed together. A bracket above the first few notes is labeled "e tenore".

lines 12-13

Musical notation for lines 12-13, showing a treble clef staff with a key signature of two flats and a common time signature. The melody consists of a few notes, including a half note and a quarter note.

line 14

Musical notation for line 14, showing a treble clef staff with a key signature of two flats and a common time signature. The melody consists of a few notes, including a half note and a quarter note.

Paris Ms 51/2, p. 2

lines 1-3

Handwritten musical notation for lines 1-3. The first staff contains a melodic line with notes and rests, including a question mark above a note and the word "be." above a note. The second staff continues the melody with notes and rests, including a question mark above a note and a "p" marking below a note. The third staff shows a bass line with notes and rests, including a "p" marking below a note.

lines 8-15

Handwritten musical notation for lines 8-15. The first system consists of two staves. The top staff has the instruction "In 2 tenore forte" above it and "4 5 (timine)" above a note. The bottom staff has a "blurry" marking below it. The second system also consists of two staves, with the top staff containing notes and rests and the bottom staff containing notes and rests.

Paris Ms 51/5, p. 3

lines 1-13

The image displays a handwritten musical score for lines 1-13, consisting of two staves. The notation includes various note values, rests, and articulation marks. The key signature is B-flat major (two flats), and the time signature is 8/8. The score is divided into measures by vertical bar lines. The first staff contains lines 1-4, and the second staff contains lines 5-13. The notation is dense and includes many accidentals and slurs. A handwritten annotation in the fifth measure of the second staff reads: "-cont'd later at edge of page". At the end of the second staff, there is a measure with the Roman numeral "VI=DE" written above it. The handwriting is in black ink on aged paper.

lines 7-8



lines 9-10



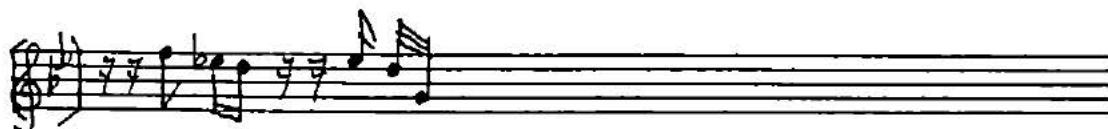
line 15

Paris Ms 51/5, p. 4

line 1



lines 7-16

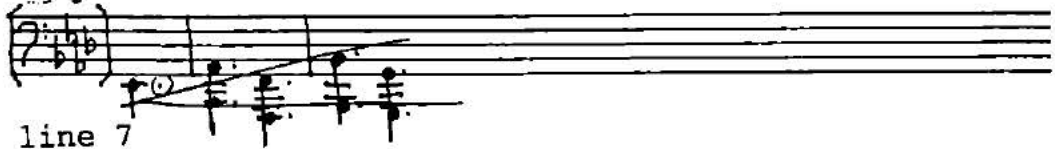


Paris Ms 51/1, p. 5

line 4



lines 5-6



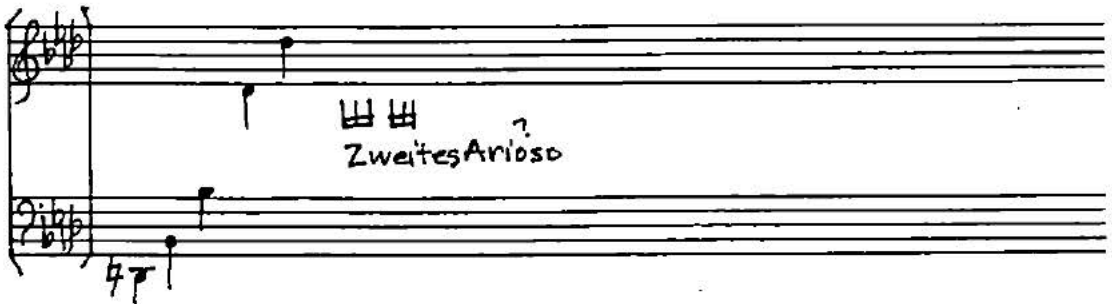
line 7



lines 7-10



lines 12-16



Paris Ms 51/1, p. 6

lines 1-6

Musical notation for lines 1-6, consisting of two staves. The top staff is in treble clef with a key signature of two flats and a 6/8 time signature. The bottom staff is in bass clef with the same key signature and time signature. The notation includes various note values, rests, and accidentals. A bracketed section in the top staff is labeled "unclear".

Musical notation for lines 7-8, consisting of two staves. The top staff has a treble clef and a key signature of two flats. The bottom staff has a bass clef and a key signature of two flats. The notation includes a few notes in the top staff and a "tr." marking in the bottom staff.

lines 8-12

Musical notation for lines 8-12, consisting of two staves. The top staff is in treble clef with a key signature of two flats and a 6/8 time signature. The bottom staff is in bass clef with the same key signature and time signature. The notation includes various note values, rests, and accidentals. A large "E" is written at the end of the bottom staff.

Paris Ms 51/4, p. 1

lines 1-4

Musical notation for lines 1-4, showing two staves with notes and rests.

line 5

Musical notation for line 5, showing a single staff with notes and rests, including a circled note and the annotation "oder V|:".

lines 6-7

Musical notation for lines 6-7, showing two staves with notes and rests, including a circled note and the annotation "ff".

line 8

Musical notation for line 8, showing a single staff with notes and rests, including a circled note and the annotation "=DE".

lines 10-13

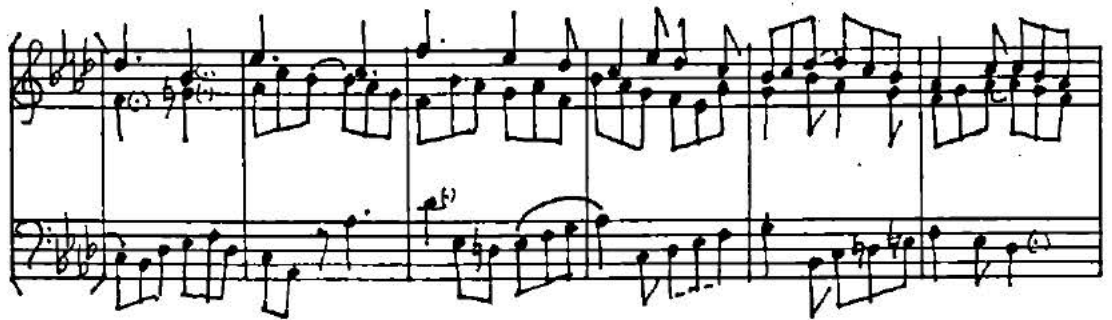
Musical notation for lines 10-13, showing two staves with notes and rests, including a circled note and the annotation "orgue point (bleibt)".

Paris Ms 51/4, p. 2

line 1



lines 3-16



Paris Ms 51/6, p. 3
lines 1-14

Musical notation for lines 1-3. The system consists of two staves. The upper staff is in treble clef with a key signature of three flats (B-flat, E-flat, A-flat) and a 3/4 time signature. It contains three measures of music. The first measure has a circled '1' below it, the second a circled '2', and the third a circled '3'. The lower staff is in bass clef with the same key signature and time signature, but it is empty.

Musical notation for line 4. The system consists of two staves. The upper staff is in treble clef with a key signature of three flats and a 3/4 time signature. It contains four measures of music. The first measure has a circled '4' below it. A trill (tr) is marked above the second measure. The lower staff is in bass clef with the same key signature and time signature, containing four measures of music.

Musical notation for lines 5-14. The system consists of two staves. The upper staff is in treble clef with a key signature of three flats and a 3/4 time signature. It contains four measures of music. The lower staff is in bass clef with the same key signature and time signature, containing four measures of music. The lyrics "VI-DE DE" are written below the lower staff, with "VI-DE" under the first two measures and "DE" under the last two. The music features complex rhythmic patterns and some slurs.

Paris Ms 51/2, p. 11
lines 1-11

Handwritten musical notation for the first system, lines 1-2. The system consists of two staves. The upper staff is in treble clef with a key signature of two flats (B-flat and E-flat) and a 6/8 time signature. It contains a melodic line with eighth and sixteenth notes. The lower staff is in bass clef with the same key signature and time signature, containing a bass line with dotted notes and some accidentals.

Handwritten musical notation for the second system, lines 3-4. The system consists of two staves. The upper staff continues the melodic line from the first system. The lower staff continues the bass line, featuring several chords and dotted rhythms.

Handwritten musical notation for the third system, lines 5-6. The system consists of two staves. The upper staff contains a melodic line with a phrase that ends with a double bar line. Above the staff, the text "fine in 16tel" is written. The lower staff continues the bass line.

Handwritten musical notation for the fourth system, lines 7-8. The system consists of two staves. The upper staff contains a melodic line that concludes with a double bar line. Above the staff, the text "Schluß" is written. The lower staff continues the bass line, ending with a double bar line.

VITA

Surname: Matheson

Given Names: Lynn Marie

Place of Birth: Terrace, B.C. Date of Birth: August 28, 1966

Educational Institutions Attended:

University of Victoria 1984-1993

Degrees Awarded:

B.M. University of Victoria 1989

Honours and Awards:

Horning Memorial Scholarship in Music History 1989
University of Victoria Fellowship 1989-1991
Deutscher Akademischer Austauschdienst 1993-1994

Publications:

PARTIAL COPYRIGHT LICENSE

I hereby grant the right to lend my thesis to users of the University of Victoria Library, and to make single copies only for such users or in response to a request from the library of any other university, or similar institution, on its behalf or for one of its users. I further agree that permission for extensive copying of this thesis for scholarly purposes may be granted by me or a member of the University designated by me. It is understood that copying or publication of this thesis for financial gain shall not be allowed without my written permission.

Title of Thesis: The Genesis of Beethoven's Piano Sonata in
A flat, Op. 110

Author



Lynn Marie Matheson

April 23, 1993

Date