

Beethoven's Op. 28 Piano Sonata: The Pastoral and the Enlightenment

by

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B.Mus., University of Victoria, 2004

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Abstract

This thesis examines Beethoven's Op. 28 *Pastoral* Sonata as a musical work that is dominated by the pastoral topic, and, through its use of this topic, refers to certain ideals of the Enlightenment. The first chapter presents an overview of the sonata and its relative neglect by modern musicologists, followed by a brief history of the pastoral topic in music and literature. The second chapter examines, and provides examples of, the pastoral signifiers that occur in the Op. 28 sonata: drone bass, compound meter, subdominant emphasis, simple harmonies, lyrical melodies and the weathered storm. The third chapter summarizes aspects of the Enlightenment that influenced Beethoven, and his use of the pastoral topic to communicate these ideals. The primary arguments put forward are: the Op. 28 Sonata demonstrates aspects of reconciliation between the urban and the rural as a metaphor for the reconciliation between man and God; Beethoven uses dance as symbol of both pastoral and of fraternity in the sonata; and the Enlightenment concept of interconnectedness between all things is reflected in the musical motives and structure of the composition. The thesis concludes by suggesting that the sonata's message may have been obscured over time because of changes in Beethoven reception history, the gendering of his repertoire, and the shifting perception of what nature signifies as the Romantic Era developed.

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— *Per aspera ad astra* —

Introduction

In 1801, Beethoven composed the Piano Sonatas Opp. 26, 27 and 28 during one of the most prolific bursts of creativity he would experience in his lifetime. By October of 1802, the month of the famous Heiligenstadt Testament that marked a dramatic personal change, he had also composed the three Op. 31 sonatas, the first piano works of the so-called Heroic Period. Thus, in this short but significant portion of his life, not even a full two years in duration, Beethoven produced some of his most celebrated piano compositions. Today, Op. 26 is recognized as the only Beethoven sonata that uses a theme and variations in the opening movement, and the funeral march movement is considered a precursor to the funeral march of the Eroica Symphony. The Op. 27 pair includes the *Moonlight* Sonata, a crowd favourite almost immediately after its publication. Op. 31 contains the D minor *Tempest* Sonata, a monumental work that has entire volumes of scholarship devoted to it alone.

Among these much-loved and much-played sonatas quietly rests the Op. 28 *Pastoral* Sonata, a moniker provided by an English publishing firm in 1805 that has endured for over two hundred years. The *Pastoral* Sonata¹ is strikingly different from the aforementioned sonatas: it does not make use of unexpected musical forms, nor does it possess the haunting melancholy or the simmering intensity of the *Moonlight* and *Tempest* Sonatas. A narrative of Beethoven as a brooding, world-weary composer-hero permeates generations of scholarship and reception history²; reconciling the tranquility and lyricism of Op. 28 with this narrative is rather difficult. After all, one does not expect a veritable force of nature whose music, to quote E.T.A. Hoffmann, "... moves the lever controlling horror, fear, dread, pain and awakens that infinite longing..." to have composed such an optimistic work, particularly during a period of intense emotional upheaval.³

¹ Throughout this thesis, uppercase and italicized *Pastoral* refers specifically to Op. 28 while lower-case "pastoral" refers to the general term as it applies to music and literature.

² Scott Burnham, "The Four Ages of Beethoven: Critical Reception and the Canonic Composer," in *The Cambridge Companion to Beethoven* (New York: Cambridge University Press, 2000), 272-291.

³ Cited in Jan Swafford, *Beethoven: Anguish and Triumph* (New York: Houghton Mifflin Harcourt Publishing Company, 2015), 541-42.

Many scholars move past the Op. 28 Sonata with few words or ignore it completely in their rush to get to the more 'significant' sonatas. An example of this occurs in Timothy Jones's *Beethoven, the Moonlight and Other Sonatas*, in which the author focuses on the 1800-1802 period of sonata composition but avoids any discussion of the *Pastoral* Sonata. This (almost comically) underscores the lack of attention that the *Pastoral* Sonata has received compared to the other sonatas such as Op. 27 and Op. 31. There are few articles devoted to the *Pastoral* Sonata and when it is mentioned in other texts it is typically identified as part of an experimental period of compositions—tests from which Beethoven refined the alchemical skills used to distill later masterpieces.

It is my belief, however, that the *Pastoral* Sonata is a unique work in its own right. A particularly striking aspect of the sonata is Beethoven's use of gestures that are widely acknowledged as pastoral to articulate a distinct spiritual and philosophical statement. The philosophies to which Beethoven was exposed from a young age shaped his outlook on both life and music; for Beethoven, nature and the pastoral were deeply connected to the ideas of the Enlightenment, and the Op. 28 sonata seems to be a reflection of those beliefs. The goal of this thesis is to offer a possible interpretation of Beethoven's philosophical statement in this sonata and to identify the pastoral devices he uses to express this message.

Chapter One: The Op. 28 Sonata and the History of the Pastoral

The Op. 28 Piano Sonata was likely composed sometime between August and October of 1801, immediately following Op. 26 and Op. 27 Nos. 1-2, which were composed in the spring and summer of the same year. As mentioned earlier, this was a time of great productivity and success for Beethoven in many areas of composition, not just piano music. In a July 1801 letter to his friend Franz Wegeler, Beethoven happily boasted, “My compositions bring me in a good deal; and I may say that I am offered more commissions than it is possible for me to carry out. Moreover for every composition I can count on six or seven publishers... People no longer come to an arrangement with me, I state my price and they pay.”⁴ Although he goes on to mention his poor health and concern for his hearing, the initial portion of the letter indicates that Beethoven was well aware that his creative potency was very high and that his celebrity was growing as a result. It is perhaps owing to this self-assurance that Beethoven produced such a variety of sonatas in such a short span; he was confident that he could take artistic risks without them becoming financial ones.

It is a noteworthy oddity that Beethoven dedicated the *Pastoral* Sonata to Baron Joseph von Sonnenfels, a professor of political science, who championed many ideals of the Enlightenment.⁵ Beethoven typically dedicated works to significant members of the nobility or composed on commission. This was certainly true of the sonatas he composed a few months before: Op. 26 was dedicated to Prince Karl Lichnowsky, Op. 27 No. 1 to Princess Josephine von Liechtenstein and Op. 27 No. 2 to Countess Julie Guicciardi. Each of these dedicatees had serious potential for future support or was directly connected to someone of influence. There is no evidence that Sonnenfels commissioned the Op. 28 Sonata, nor is there anything to suggest that Beethoven’s ingratiating himself toward Sonnenfels would bear financial fruit.

⁴ Swafford, *Beethoven*, 276.

⁵ Barry Cooper, *Beethoven: The 35 Piano Sonatas*, Vol. 2 (London: Associate Board of the Royal Schools of Music, 2007), 25.

Sonnenfels, however, did have significant connections: he was “closely acquainted with Beethoven’s friend Baron Gottfried van Swieten, and was also related to Johann Melchior von Birkenstock, whose daughter Antonie Brentano became a close friend of Beethoven’s in later years”⁶ Furthermore, Sonnenfels and van Swieten were both associated with the Order of Illuminati, a branch of Masonic intellectuals interested in enlightened reform. Given the links between Op. 28 and ideas of enlightenment (to be discussed below), Beethoven’s dedication of the *Pastoral* Sonata to a great thinker, Illuminist and champion of the Enlightenment is logical. Whether the sonata was commissioned by Sonnenfels or was simply dedicated to him as a gesture of respect, the message of the *Pastoral* Sonata seems specifically tailored to appeal to the beliefs of the dedicatee.

The *Pastoral* is a four-movement composition in D Major. The first movement is an *Allegro* that is sunny and pleasant in character. The second movement, an *Andante* in D minor, is somewhat open to interpretation as either a more serious ‘dark’ movement that contrasts with the light of the first, or as a sort of mysterious, puckish fantasy. According to Charles Rosen, touches of the grotesque are used throughout the movement (except during the more lighthearted central section).⁷ The ending of the movement is notably bleak. The third movement is a scherzo and trio marked *Allegro vivace*. It is compact, brisk and full of humour. The fourth movement, a Rondo marked *Allegro ma non troppo*, is the most rustic in character and has a tone of celebration.

There is evidence that Beethoven held the work in high regard. In an autograph of the sonata, he referred to it as “Grand Sonata,” a title he had reserved for other sonatas (Opp. 7, 13, 22 and 26) that he felt were substantial enough to merit stand-alone publication. Through Czerny, student and friend of Beethoven, we know that Beethoven was pleased with the second movement and enjoyed playing it.⁸ There is less evidence of the public reception of the composition. In one review, in the *Allgemeine musikalische Zeitung* (AMZ) December 1802, an anonymous critic states that “... [Op.28]

⁶ Ibid., 25.

⁷ Charles Rosen, *Beethoven’s Piano Sonatas: A Short Companion* (New Haven: Yale University Press, 2002), 161.

⁸ Carl Czerny, *On the Proper Performance of all Beethoven’s Works for the Piano* (Vienna: Universal Edition, 1970), 51.

is on a very large scale and is peculiar to the extent of being strange and adventurous, particularly the first and third movements (the sonata has four)."⁹ The reviewer does not specify what he found to be "strange and adventurous"; the comment may refer to elements like the gentle character of the opening theme and the harmonic surprises of the third movement, both of which were unconventional at the time.¹⁰ Although the *AMZ* was initially quite critical of Beethoven's works, at this point in time the journal had begun to assign more progressive reviewers to his new compositions. It is therefore reasonable to assume that the reviewer's comments were earnest and reflected how others in Viennese society would have responded to a first hearing of the work.

Modern commentators have a different view of the *Pastoral* Sonata. Where contemporaries referred to it as "strange and adventurous," musicologists now see it as a charming work that is ultimately less remarkable than the compositions that come immediately before and after it. This is especially true of writings that summarize Beethoven's life and the body of his works. Barry Cooper, for example, characterizes the Op. 28 Sonata as a sort of mirror opposite of the dramatic *Moonlight* Sonata, Op. 27 No. 2. He describes the *Pastoral* as "lengthy, relaxed, totally unheroic, and pastoral in mood, especially in the first and last movements..."¹¹ Cooper writes little more, and completely neglects both the second and third movements. However, given the care he takes in pointing out the particularly innovative features of the Op. 27 No. 2 Sonata (and even the Op. 26 Sonata), he implies that, at least relative to these other works, Op. 28 is not particularly noteworthy.

Maynard Solomon represents the Op. 28 Sonata as more traditional than the daring sonatas that preceded and followed it: "Like so many of Beethoven's works that follow hard upon a dramatic achievement [Op. 27], opus 28 celebrates the peace that comes from the fulfillment of a difficult creative effort and withdraws to a relative traditionalism, from which Beethoven will gain strength

⁹ Wayne Senner et al., *The Critical Reception of Beethoven's Compositions by His German Contemporaries*, Vol. 1 (Lincoln: University of Nebraska Press, 1999), 180-181.

¹⁰ *Ibid.*

¹¹ Barry Cooper, *Beethoven* (Oxford: Oxford University Press, 2000), 116.

for a new creative surge.”¹² In this statement, we see the seed for the ideas of Kinderman’s “consolidation” works and Lockwood’s “experimental” works; both terms act as alternative categories applying to pieces outside the group of works that support the dramatic Beethoven narrative.

Solomon is silent about the Op. 28 Sonata’s unique qualities, and its status as a pastoral work.

Lewis Lockwood acknowledges the pastoral signifiers in the sonata: “The pastoral connection of Opus 28 springs from figures and effects whose roots lie far back in the Baroque....”¹³ Furthermore, he comes closer than most other scholars to recognizing Op. 28 as a special work, citing the “special expressive aura as well as subtle connections of material between movements” as examples of Beethoven forging his new path. Despite these insights, however, Lockwood still considers Op. 28, along with the Op. 22, 26 and 27 Sonatas, to be an experimental work from Beethoven’s “laboratory for innovation that he could deploy in other, more public genres.”¹⁴

William Kinderman describes the Op. 28 Sonata as “highly individual and polished work” whose nickname is “not unfitting,” as one can “find pedal points in the first and last movements and occasional bagpipe fifths,” both of which are musical gestures that signify the pastoral topic.¹⁵ However, Kinderman also comments that aspects of the first, second and third movements are more “rustic” than explicitly pastoral. Ultimately, Kinderman relegates the sonata to the status of an experimental work, stating that “impressive as they are, these sonatas [Op. 28 and the Op. 30 Sonata for Piano and Violin] may be regarded as works of consolidation.”¹⁶

To be clear, it is not my intention to imply that these prominent Beethoven scholars assign no value to the *Pastoral* Sonata. When providing context for all of Beethoven’s creative output, authors will inevitably examine some pieces more closely than others, particularly while establishing a specific narrative. What I am indicating is that while there is general agreement that Op. 28 possesses pastoral

¹² Maynard Solomon, *Beethoven* (New York: Schirmer, 1998), 139.

¹³ Lewis Lockwood, *Beethoven: The Music and the Life*. (New York: Norton, 2003), 135-136.

¹⁴ *Ibid.*

¹⁵ William Kinderman, *Beethoven* (Oxford: Oxford University Press), 82.

¹⁶ Cooper, *Beethoven*, 83.

features, the reasons why Beethoven employed those features remain open to further discussion. Now that background on the Op. 28 Sonata has been provided, the next step in that discussion is to consider what the term 'pastoral' itself means.

The History of the Pastoral

The word 'pastoral' is commonly defined as the portrayal of country life in an idealized manner.¹⁷ However, this simple definition belies the term's long and complex trajectory through history.¹⁸ The earliest examples of the idea of pastoral can be found in the concept of the *locus amoenus* in works of Hesiod and Homer. A *locus amoenus* (Latin for "pleasant place") was typically an idyllic nature scene that drew attention to the trees, grass and water. Literature that utilized a *locus amoenus* could be termed proto-pastoral—a 'proto' because the word 'pastoral' comes from the Latin for shepherd (*pastor*) and a *locus amoenus* did not necessarily include a shepherd. The term *pastoral* became associated with serene country-life because of the shepherds that inhabited a particularly picturesque part of ancient Greece called Arcadia; thus, the term merged a real-world *locus amoenus* with its rustic inhabitants. The earliest examples of the pastoral in this sense are found in the *Idylls* of Theocritus, in which shepherds from Sicily take part in singing competitions with one another, and in which the death of Daphnis, who was both a shepherd and a personification of nature itself, is lamented. The poet Virgil expanded the pastoral theme further in his *Eclogues* by making "the shepherd's typical state one of lost love, ... his laments echoed by the cattle, lizards and cicadas, his sadness expressed in the music of a seven-pipe syrinx."¹⁹ Thus, Virgil established the piping shepherd and futile yearning as key characteristics of the pastoral. It was

¹⁷ Judy Pearsall, *Oxford Concise English Dictionary* (New York: Oxford University Press, 2003), 1043.

¹⁸ The historical summary that follows is greatly simplified for the purposes of brevity since a complete account is not required to understand the arguments of this thesis. For a very thorough examination of the pastoral topic, see Raymond Monelle's *The Musical Topic*, 185-273.

¹⁹ Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Indiana: Indiana University Press, 2006), 186.

also Virgil who first wrote of Arcadia and elevated it to a mythical utopia indicative of an existential Golden Age.

Pastoralism was therefore well established, with its own distinct conventions, in classical antiquity, long before it proliferated throughout all of European culture. Little is known about the development of the pastoral during the Middle Ages, but aspects of pastoral do appear in *pastourelles* of the medieval trouvères and troubadours, which represent the first recorded instances of pastoral themes in music. These pieces are generally in the form of a dialogue between a noble knight and a shepherdess (*pastourelle*) whom the knight desires.²⁰ Themes of love and sexuality are ubiquitous, relating thematically to the yearning and love themes found in the pastoral works of Virgil. Pastoral themes also appear in *Jeu de Robin et Marion*, a thirteenth century play (with music) by Adam de la Halle. This work, in which Marion repeatedly resists the pursuits of Robin, is therefore considered a parody of the *pastourelle* tradition. Nevertheless, themes of nature and idealized life in Sherwood Forest are presented without irony.²¹

During the Renaissance, new characteristics were added to the pastoral genre. Pastoral scenes grew to include creatures of myth and demigods interacting with shepherds. These creatures included nymphs and satyrs, beings that are today considered staples of numerous pastoral works. Orpheus, a musician of such skill that his playing charmed the creatures, trees and even rocks, became a prominent pastoral figure. The story in which he attempts to rescue his wife, Eurydice, from the underworld (after she dies at the hands of a satyr) grew in popularity at this time and would go on to become a frequent source for musical dramas and early opera (notably, Monteverdi's *Orfeo*). Mythology and the supernatural therefore became entangled with the pastoral and added complexity to its meaning. Monelle summarizes:

²⁰ Frank Dobbins, "Pastourelle," *Grove Music Online*, (<http://www.oxfordmusiconline.com>, accessed 25 June 2018).

²¹ Robert Falck, "Adam de la Halle," *Grove Music Online*, (<http://www.oxfordmusiconline.com>, accessed 25 June 2018).

Along with shepherds and shepherdesses, we now encounter the satyrs and fauns of the classical satyr-play, and even Apollo, Proserpina and other veritable deities. There may be tension, conflict, and denouement. But the centrality of lyricism—the constant reversion to timeless lyrics—is still evident and the suggestion of melancholy, of lament, which we found in Virgil has become a pervasive feeling, even though shepherds are still said to live in a state of innocence and happiness in a perpetual springtime countryside. There is a delicate investigation of feelings ... [that indicates] pastoralism has approached the condition of music. It is at this point that the origin of opera supervenes.²²

It is also worth noting that the connections between Christianity and the pastoral developed during the Renaissance. In many ways this was to be expected; after all, even in modern society Christ is commonly referred to as the Good Shepherd and in many churches there are ministers with the title of *pastor*. Just as the shepherd watches over his sheep, so does the Christian *pastor* watch over the flock of church members. Furthermore, the Nativity scene is itself a pastoral one with the angel's announcement to the shepherds and baby Jesus in the manger with the animals looking on. In Renaissance Italy, shepherds would come to Rome at Christmas and play music at the services for the Nativity, reenacting the biblical shepherds' celebration and glorification at the birth of Christ. It is thought that stylistic elements of their music may represent the origin of a number of pastoral musical signifiers.²³

In France the pastoral took a different course than in Italy. In place of Arcadia, French writers and poets spoke of actual locations in France with such realism that their descriptions captivated not only the masses but also the nobility, who saw themselves in the shepherds and mythological creatures. Great ladies, courtiers and clergymen felt an affinity to nymphs, shepherds, and Druids, respec-

²² Monelle, *The Musical Topic*, 189.

²³ *Ibid.*, 198.

tively.²⁴ It is an unfortunate historical irony that the nobility played at being peasants while the real ones struggled to survive, but the contradiction punctuated the escapism that pastoralism had come to represent for many. This opposition of the ideal with the real would expand to include the relationship between the natural world and city life, the rural versus the urban.²⁵

As industrialization and overpopulation of major cities increased, so too did the glorification of nature. The landscapes of the pastoral had always been idealized, but by the end of the eighteenth century they were imagined with reverence; nature itself began to be viewed as sacred. Authors such as James Thomson, whose poem *The Seasons* was the basis for the libretto of Haydn's oratorio of that name, and Christoph Christian Sturm, a Lutheran pastor whose writings were admired by many including Beethoven, frequently addressed the natural world in their writings. Thomson's perspective was primarily scientific as he was fascinated "with the symmetries and consistencies of the natural world."²⁶ Sturm on the other hand saw the divine in nature and "found God in the landscape itself."²⁷ The combination of these two perspectives, scientific and religious surely appealed to thinkers of the Enlightenment who valued reason and reductionism while maintaining a spiritual identity. Thus, as Monelle points out, "pastoralism, therefore, lost its lightness and charm and gathered a kind of moral tension" during the Age of Enlightenment.²⁸

At the turn of the century, as a consequence of the French Revolution, nobility across Europe feared that they too could experience an uprising if intellectuals were permitted to gather and share ideas. The masses of peasants, tradespeople and thinkers were unsure how to proceed after rationality and democracy had proven fallible, with the deaths of thousands only leading back to another power-

²⁴ Ibid., 190.

²⁵ Geoffrey Chew and Owen Jander, "Pastoral," *Grove Music Online* (<http://www.oxfordmusiconline.com>, accessed 25 June 2018).

²⁶ Monelle, *The Musical Topic*, 203.

²⁷ Ibid., 202.

²⁸ Ibid.

hungry monarch—Napoleon.²⁹ Distrust and paranoia, enemies of reason, bred amongst the populace and it became easier to cope with the complexities of society by attributing hardship to the sublime mysteries of all creation rather than the failings of man.

Though a gross simplification of history, this account characterizes the shift of world view that occurred—and the pastoral changed along with it. Where the Enlightened pastoral revered the rational beauty of nature and all creation, the “...mysterious discovery of the the divine in the commonplace, the infinite of the local, would inspire a whole new age” of Romantic pastoralism.³⁰ In his pastoral poems, Wordsworth did not create idealized *loci amoeni* but rather explored a specific place with observations that implied “... seeing through the surface of reality to a spiritual dimension.”³¹ In this type of pastoral, nature is not always picturesque; it can be wild, dangerous and terrifying. As Monelle puts it, “the subject is no longer God, but the poet himself, and the landscape, far from being a mere portrayal, becomes an experience.”³² The inhabitants of this landscape are not innocent shepherds who yearn for requited love; they are the romantic wanderers who long for spiritual fulfillment.

In many ways, the evolution of the pastoral ended with Romanticism. Though the pastoral continued to exist in literature and music in the modern era, it did so primarily by revisiting established pastoral traditions. Debussy, for example, famously revisited the mythological pastoral in *l'Après-midi d'un faune*. The rustic aspects of the pastoral can be found in the interest taken in folk songs of composers like Bartók. The pastoral nostalgia for better days can be said to exist in the intertextual references of Charles Ives's music. An argument could even be made that a sort of anti-pastoral topic exists in modern music that takes industry and globalization as its subject. The bustle of city life or the momentum of a rail train are often depicted with inversions of traditional pastoral symbols; instead of lyricism there is mechanism and instead of timeless space there is perpetual motion.

²⁹ Jonathan Israel, *Enlightenment Contested: Philosophical Modernity, and the Emancipation of Man* (Oxford: Oxford University Press, 2008), 13.

³⁰ Monelle, *The Musical Topic*, 204.

³¹ *Ibid.*

³² *Ibid.*, 206.

Though brief, the above historical summary demonstrates that there are many nuances to the term pastoral that extend beyond simply idealizing country life. In fact, the pastoral has been a prevalent concept across many periods of history and has demonstrated remarkable flexibility in meaning while still retaining key themes such as the evocation of a golden age; the opposition between the rural and the urban, and the infusing of landscapes with a religious dimension. For the purposes of examining Beethoven's Op. 28 Sonata, I will focus primarily on these three pastoral themes. According to Monelle, "Beethoven is bound to employ the old pastoral signifiers, the musical habits that once brought to mind piping shepherds and their flocks, in his evocation of a new vision, the mysticism of nature as an experience of the soul."³³

³³ Monelle, *The Musical Topic*, 206.

Chapter Two: Pastoral Signifiers in the Op. 28 Sonata

Most of the nicknames associated with Beethoven's works were not assigned by the composer himself and must therefore be carefully considered before too much is inferred from them. The *Tempest* Sonata is perhaps the best example. Musicians and musicologists have grappled with Anton Schindler's claim that Beethoven told him to read Shakespeare's *Tempest* to understand this work (Schindler, of course, was famous for making up facts and anecdotes about Beethoven after the composer died). Others have focused on the stormy qualities of the opening and closing movements, sometimes comparing it to the inner turmoil that Beethoven suffered at the time of its composition. As interesting as this can be, it is easy to argue that other works are equally tempestuous. If the nicknames of the *Tempest* and the *Appassionata* Sonatas were exchanged, would it matter? Like the above examples, Beethoven did not assign the name "Pastoral" to Op. 28. Since my primary arguments about the Op. 28 Sonata assume that the nickname *Pastoral* is appropriate, it is prudent to confirm its accuracy.

In many ways, the *Pastoral* is the most accurate among the titles of Beethoven works because he clearly uses devices that indicate the pastoral and its associations (shepherds, rustic life, nature, folk music). These devices are so common and easily recognizable that they are referred to as pastoral topics or signifiers.³⁴ The nickname therefore requires no programmatic interpretation; it is a literal statement of the musical gestures that Beethoven considered axiomatic. The fact that a publisher realized this and added the nickname only reinforces how generally understood the pastoral signifiers were. These signifiers include:

1. Drone bass: a bass note that is sustained or repeats for an extended duration. Drones are believed to invoke rustic bagpipe instruments.

³⁴ Numerous sources from the bibliography for this thesis mention the common pastoral signifiers. However, my primary sources were Robert Hatten, *Interpreting Musical Gestures, Topics and Tropes* (Indiana: Indiana University Press, 2004), 56; and Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Indiana: Indiana University Press, 2006), 207-228.

2. Compound meter: one of the most frequently cited characteristics of pastoral is the use of compound meter (particularly 6/8). The lilting quality of compound meters is frequently associated with dance (and dance with rural life).
3. Subdominant over dominant: avoidance of the dominant (still used but less regularly than usual) and more emphasis on the subdominant is common in pastoral music. A sense of tranquility and reduced tension results.
4. Simple harmonies: simple harmonic motion and the avoidance of dissonance conveys a sense of purity and simplicity that captures the spirit of nostalgic yearning for simpler times.
5. Lyrical melodies: melodies that have flute-like contours capture the image of the shepherd's syrinx (flute). Pastoral melodies can also include vocal lines and passages that resemble yodelling figures. Melodies may also be written in parallel thirds, which creates an effect of sweetness.
6. The weathered storm: many pastoral compositions feature a section that represents a storm that disrupting the initial calm. This storm is then weathered and calm returns.

This list is not exhaustive; the long and complex history of the pastoral topic makes it difficult to provide a definitive list that is true for all cases. However, the above signifiers are some of the most common and, for the purposes of examining the Op. 28 Sonata, the most relevant. Each will now be discussed in greater detail with musical references that confirm their implementation.

Drone Bass

One of the most popular pastoral signifiers is the drone bass, which is thought to imply rustic music-making and folksong because it references folk instruments that featured pedal tones, such as bagpipes. Two types of bagpipes, the French *musette* and the Italian *zampogna*, have particularly strong associations with pastoral music-making, since European shepherds are often portrayed as playing them in both visual art and staged productions. Since bagpipes were not part of traditional in-

strumental ensembles during the common-practice period, the drone effect was often implied through the use of pedal point in suitably low registers.

A striking feature of the Pastoral Sonata is the pedal point that opens the first movement (and, therefore, the entire sonata). Here, the repeated D in the bass creates a stasis against which the lyrical melodic contour stands out, resulting in a pleasant tranquility (Example 2.1).

Example 2.1. Beethoven, Op. 28, first movement, mm. 1-10.
Drone bass on the tonic note at the beginning of the sonata.

The image shows a musical score for the first movement of Beethoven's Pastoral Sonata, Op. 28, measures 1-10. The score is in 3/4 time, D major, and marked 'Allegro'. The bass line features a constant drone on the tonic note (D). The right hand plays a melodic line with various ornaments and fingerings. The piece begins with a piano (p) dynamic.

Beethoven, however, manages something beyond simple rustic charm here: the tonic pedal acts not only as a drone but also like the pedal point of an organ. In conjunction with the tidy part writing of the right hand, the opening of the Pastoral Sonata manages to convey a sacred quality in the manner of a chorale prelude. By combining qualities of the pastoral and the sacred, Beethoven indicates not only a nature theme but also a reverence for that nature.

The pedal point is also used at the climax of the development section. As the tension of the fugato section nears its climax, a drone on a low F# sounds and stays in place as the contrapuntal intensity gives way to repeated F# major triads, sinking from a high to a low register, thereby gradually restoring peace and tranquility (Example 2.2).

In the second movement, Beethoven again uses a drone bass. This time the drone's function is one of intensity rather than tranquility (Example 2.3).³⁵ The pedal tone here does not necessarily give a strong pastoral indication on its own, but since the first movement establishes the device, its reap-

³⁵ Though both the drone 'F#' in the development of the first movement and the drone 'A' in the second movement are dominant pedal points, they each create very different moods. The former occurs over such a long period and repeatedly states F# triads that harmonize with the pedal point. The latter is shorter in duration and has multiple harmonies implied above it that sometimes clash with the pedal point. This results in increased tension.

pearance in the second movement is noteworthy.

Example 2.2. Beethoven, Op. 28, first movement, mm. 235-261.
A long drone on an F# concludes the development section.

This musical score shows three systems of piano music. The first system, starting at measure 235, features a treble clef with a melodic line and a bass clef with a drone accompaniment. The second system, starting at measure 243, includes dynamic markings such as *cresc.* and *p*. The third system, starting at measure 252, includes markings for *decresc.*, *pp*, and *p*, along with fingerings (1, 2, 3) and a *ped.* (pedal) marking. The key signature is one sharp (F#).

Example 2.3. Beethoven, Op. 28, second movement, mm. 9-15.
A drone bass on the dominant.

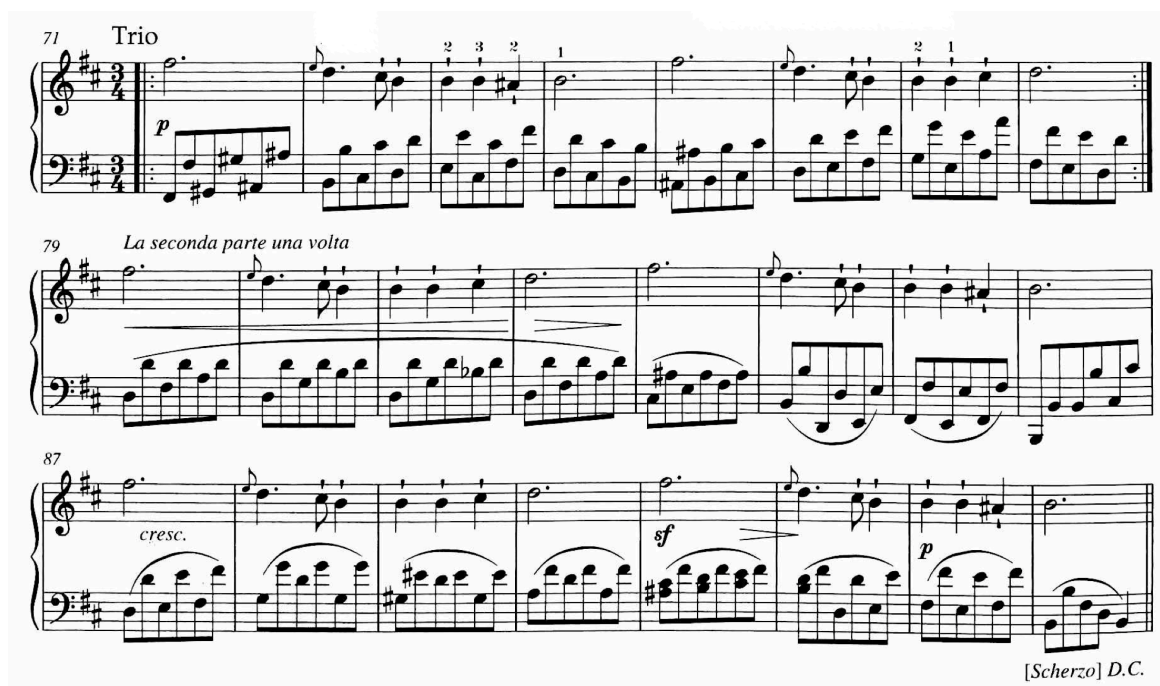
This musical score shows two systems of piano music. The first system, starting at measure 8b, features a treble clef with a melodic line and a bass clef with a drone accompaniment. The second system, starting at measure 12, includes dynamic markings such as *p*, *cresc.*, *sf*, and *p*. The key signature is one flat (Bb). Fingerings (1, 2, 1, 2, 1, 5, 5) are indicated for the bass line.

In the third movement, there is no bass drone, but the repeated notes that start the scherzo hint back at the repeated F#s of the first movement's development section (Example 2.4). These repeated notes then become the primary gesture of the scherzo. Additionally, the trio section is made up of a two-phrase gesture, of which both components descend from an F#, first to a B and then to a D. These phrases are repeated without any change while the left hand continuously reharmonizes them. Beethoven achieves the same combination of stasis and action that a pedal point provides but through the repetition of melody. In a sense, he replaces a harmonic pedal point with a melodic one (Example 2.5).

Example 2.4. Beethoven, Op. 28, third movement, mm. 1-4.
The opening octave leaps recall the drone of the first movement's development section.

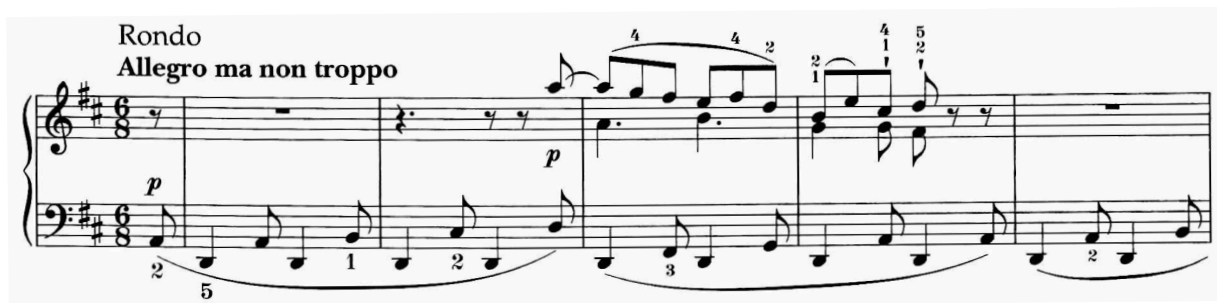


Example 2.5. Beethoven, Op. 28, third movement, mm. 71-94.
A short melodic figure that begins on the F# is used repeatedly and acts much like a pedal point.



The fourth movement begins with an accompaniment figure that imitates the drone of a bagpipe (Example 2.6). It is here that pedal point is used in the most stereotypical pastoral fashion. Over the course of the movement, the accompaniment figure is inverted (mm. 68-78) and toward the end of the piece, the figure dissolves into a long dominant pedal that leads to a dramatic final section based on the bagpipe drone figure, now played in virtuosic left hand octaves (Example 2.7).

Example 2.6. Beethoven, Op. 28, fourth movement, mm. 1-5.
A drone bass on the tonic initiates the fourth movement.



Example 2.7. Beethoven, Op. 28, fourth movement, mm. 193-196.
The same drone bass from the beginning is used in the concluding section, now played in octaves.



Compound Meter

Compound meters are a common feature of pastoral compositions. The lilt of a compound meter can create the impression of lapping water (in the manner of a barcarolle) or provide the sensation of rustic dance (such as a slow gigue). Indeed, the siciliano, a dance commonly in 6/8 or 12/8

time, is considered a pastoral signifier owing to its long association with pastoral opera.³⁶ Compound meter is used in the third movement of Vivaldi's famous "Spring" Concerto, in which the 12/8 time captures the image of nymphs and shepherds dancing with one another to celebrate the arrival of spring, described in the accompanying sonnet. Additionally, in his own *Pastoral* Symphony, Beethoven uses compound meter for both the second movement, to depict the flowing water of the scene by the brook, and the fifth movement, to depict the shepherd's song of celebration after the storm.

In the Pastoral Sonata, Beethoven uses compound meter only in the fourth and final rondo movement. Here the left hand immediately establishes a feeling of dance with a swaying eighth-note figure (see Example 2.6); this figure, in combination with other pastoral signifiers, such as a drone bass and a melodic figure that depicts yodeling, imbues the fourth movement with rustic reverie. Though different textures and moods are explored, the compound-meter lilt is always clearly maintained. At the end of the movement, a virtuosic final section based on the same left-hand figure that started the movement brings the entire sonata to a bacchanalian conclusion. Structurally speaking, the unassuming 6/8 lilt that initiates the movement ends up being the destination of the entire movement (see Example 2.7).

The other movements of the sonata are not in compound meters but still exhibit features of compound organization. The first movement is in 3/4 time, but in order to avoid a languishing tempo, the quarter-note metronome marking would need to be around 200—a much faster marking than is normally associated with allegro. It is far more practical for a performer to view each measure as a single beat and the quarter notes as subdivisions; the listener is likely to perceive it this way because of the harmonic rhythm of a single harmony per bar. In fact, Czerny indicated the tempo marking as the dotted half note = 72 as far back as 1842, so we know that musicians have long viewed the first movement this way. As a result the, 3/4 simple-time marking actually has a compound feel that persists throughout the entire movement. The same is true of the third movement. Also in 3/4, this *alle-*

³⁶ The popular connection between pastoral and the siciliano is often attributed to Alessandro Scarlatti and his use of the siciliano in his operas. However, the history of this connection is not fully understood and Monelle comments on the music of the Abruzzi shepherds in Italy as being a possible inspiration for what became the common rhythmic convention of a siciliano and its pastoral symbolism. See Monelle, *The Musical Topic*, 229.

gro vivace Scherzo is even more brisk than the first movement; here, too, metronome indications use the dotted half note to delineate tempo. The result is that both movements feel much like pieces in a moderate 6/8 time despite their *allegro* 3/4 markings.

In the second movement, an *andante* in 2/4 time, the simple-time metrical structure is immediately made clear by the marching left hand. However, the interior trio section makes use of numerous triplets, differentiating its rhythmic feel from the outer sections of the movement (Example 2.8). This close reading may appear pedantic; after all, not all pastoral works need to be in compound meter. Nevertheless, one cannot completely disregard the overall sense of “three-ness” that finds its way into every movement of the sonata. As Robert Hatten writes regarding the pastoral expressive genre, “a movement or a multi-movement work need not remain exclusively in the pastoral; but if the pastoral acts as a frame, it can be said to govern the expressive genre as a whole.”³⁷ The entire sonata may not have a distinctly pastorally compound lilt, but the frequent implication of triple groupings could be interpreted as such a framing device. At the very least, Beethoven is able to use a sense of compound meter to elicit the related signifier of rustic dance at numerous moments across all four movements.

Example 2.8. Beethoven, Op. 28, second movement, mm. 23-28.
Frequent use of triplets in the central section of the second movement provides a strong sense of compound meter.

The image displays a musical score for the second movement of Beethoven's Op. 28, specifically measures 23 through 28. The score is written for piano and is in G major (one sharp) and 2/4 time. The right hand part is characterized by frequent use of triplets, particularly in measures 23, 24, 25, and 27. The left hand part provides a steady, marching-like accompaniment. The piece begins in measure 23 with a piano (*p*) dynamic. It concludes in measure 28 with a decrescendo (*decresc.*) and a forte (*f*) dynamic. The score includes various musical notations such as slurs, accents, and dynamic markings.

³⁷ Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation and Interpretation* (Indiana: Indiana University Press, 2004), 91-92.

Emphasis on the Subdominant

Since serenity and contentment are the primary moods of pastoral works, the calmer subdominant harmony is often emphasized more frequently than the active dominant harmony. This emphasis may occur within a single movement or in the key choice of a pastoral movement relative to the other movements within a larger work. In *The Classical Style*, Rosen mentions Donald Francis Tovey's idea that "keys have defined characteristics in their relation to C major, unconsciously treated as basic, since that is the first one everyone learns as a child. F major is, therefore, by 'nature' a tonality with a subdominant quality or a release of tension relative to C major, and most pastorals are, indeed, written in F."³⁸ The *Pastoral* Sonata is, of course, in D major rather than F major (though Beethoven's *Pastoral* Symphony is in F Major) but the observation that the subdominant harmony is significant for reduced tension in pastoral works applies to the Sonata.

In the first movement of the sonata, Beethoven immediately tonicizes the subdominant harmony by presenting the tonic D harmony as a V⁷ of G major (Example 2.9). This creates some ambiguity in the opening moments of the piece, as the subdominant momentarily feels like a possible tonic. Initially, this detail appears to be used solely to create a tranquil opening theme. However, the V⁷ of G major returns later in first inversion as a lead-in to the development section, which begins in the subdominant key, G major (rather than the dominant key, much more common at this point of a sonata form). The opening tonicization of the subdominant therefore foreshadows the subdominant emphasis to come. The key then progresses to the parallel G minor and other minor keys before building to the aforementioned long F# pedal point. This pedal tone emphasizes the leading tone of the subdominant, replacing the dominant preparation that concludes a typical sonata development section (Example 2.10).

³⁸ Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: Norton, 1997), 28.

Example 2.9. Beethoven, Op. 28, first movement, mm. 1-3.

The opening measures of the first movement tonicize G major by presenting the first D chord as a dominant 7th.

The image shows the first three measures of the first movement of Beethoven's Op. 28. The tempo is marked 'Allegro'. The key signature is one sharp (F#), and the time signature is 3/4. The piano part (left hand) consists of a continuous eighth-note bass line. The right hand begins with a whole rest in the first measure, followed by a half note D4 in the second measure, and a half note D5 with a fermata and fingerings 4 and 5 in the third measure. The first D chord is presented as a dominant 7th (D-F-A-C).

Example 2.10. Beethoven, Op. 28, first movement, mm. 165-174.

The development section is initiated with G major approached by a dominant 7th chord.

The image shows measures 165-174 of the first movement of Beethoven's Op. 28. The tempo is marked 'Allegro'. The key signature is one sharp (F#), and the time signature is 3/4. The piano part (left hand) consists of a continuous eighth-note bass line. The right hand begins with a half note G4, followed by a half note F#4, and then a half note G4 with a fermata. The first D chord is presented as a dominant 7th (D-F-A-C).

The fourth movement similarly prioritizes the subdominant. The C section of the rondo moves to G Major, using the sonata's opening ploy of modifying the tonic D triad into a V7 of G (Example 2.11). Here, in the subdominant key, one of the most tranquil moments plays out before building up to a dramatic shift to G minor, paralleling the key structure of first movement's development section. Additionally, the coda of the movement begins in the subdominant key (Example 2.12). A series of rests prior to the coda helps to highlight the calm colour that the sudden shift to the subdominant provides. These examples demonstrate that Beethoven consistently uses the colour of the subdominant strategically and deliberately to indicate pastoral tranquility.

Example 2.11. Beethoven, Op. 28, fourth movement, mm. 78-79.

The G Major section in the fourth movement is similarly approached by the D dominant 7th chord.



Example 2.12. Beethoven, Op. 28, fourth movement, mm. 169-174.

A closing codetta is introduced near the end of the fourth movement that highlights the subdominant key of G major.



Slow Harmonic Rhythm and Simple Harmonies

I have already noted that Beethoven employs a slow harmonic rhythm in the first and third movements, but it is characteristic of all four movements of the sonata. Slow harmonic rhythms and simple harmonies likely reference the simplicity of country life, as shepherds and rural musicians would be unfamiliar with the intricacies of learned music-making. Monelle observes that “the quality of simplicity was from the very first associated with pastoral. It was rightly thought that country people expressed themselves in simple words; take away the crudity, the obscenities, the triviality, and you might attain a distilled simplicity from which the cultivated person could learn.”³⁹ This ‘distilled simplicity’ is achieved musically by limiting oneself to primarily diatonic triads that change at a gentle pace.

In Beethoven’s Pastoral Sonata, simple progressions and slow harmonic rhythm are so ubiquitous that specific examples are difficult to choose. Perhaps more noteworthy is how Beethoven man-

³⁹ Monelle, *The Musical Topic*, 220.

ages to generate interest in otherwise basic passages in order to maintain rhetorical purpose in a large-scale pastoral composition. For example, in mm. 10-16 of the second movement, when Beethoven employs a dominant pedal point, the functional harmonies that are used above the pedal are essentially limited to I and vii^{o7} chord (see Example 2.3). He uses foreshortening to generate intrigue without actually creating any new material.⁴⁰ The addition of the *sforzandi* on previously unaccented chords generates enough tension to carry the phrase without needless repetition. Beethoven manages to make a great deal here out of very little.

Another technique Beethoven uses to make harmonically static passages interesting is the addition of rhythmically active flourishes. In the first movement, the second theme reaches a lengthy cadential progression in which a cadential six-four chord is embellished by rapid scale embellishments that give the impression of activity where there is harmonically very little motion (Example 2.13).

Example 2.13. Beethoven, Op. 28, first movement, mm. 104-108.
Embellishments of the melodic line decorate a simple progression.



Similarly, in the second movement Beethoven adds notes to the repetition of the main theme to create a highly active obbligato that adds energy to a simple harmonic phrase (Example 2.14).

⁴⁰ The term “foreshortening” is William Kinderman’s and refers to Beethoven’s process of dividing a phrase into progressively smaller units; see Kinderman, *Beethoven*, 82.

Example 2.14. Beethoven, Op. 28, second movement, mm. 44-50.
 The return of the second movement's main theme is elaborated with thirty-second notes.



Beethoven employs this device again at the end of the sonata during the *Più allegro quasi presto*, embellishing the drone bass line that recurs throughout the movement (Example 2.15).

Example 2.15. Beethoven, Op. 28, fourth movement, mm. 193-196.
 The final movement concludes with a highly decorated right hand over the drone bass figure.



In order to generate variety on a scale larger than the phrase, Beethoven changes texture frequently. The fourth movement contains some of the most distinctive examples; the opening drone bass accompaniment and lyrical melody are followed by rolling arpeggios shared between the hands to create a harp or strum effect. This section is followed by some light imitative counterpoint before changing again to a section of rapid broken octaves moving in parallel with the bass (Example 2.16).

Example 2.16 a-d. Beethoven, Op. 28, fourth movement.
Beethoven disguises the simplicity of the harmonies with frequent changes of texture over a short period of time.

a) mm. 1-4.

Musical score for measures 1-4. The piece is titled "Rondo" and "Allegro ma non troppo". The key signature is one sharp (F#) and the time signature is 6/8. The score is in piano (p). The right hand features a melodic line with slurs and fingerings (4, 4, 2, 2, 1, 1, 2). The left hand has a bass line with slurs and fingerings (2, 5, 1, 2, 3).

b) mm. 17-20.

Musical score for measures 17-20. The tempo is marked "molto legato". The right hand has a melodic line with slurs and fingerings (1 2 4 5, 1, 5, 4, 5). The left hand has a bass line with slurs and fingerings (5, 5 4).

c) mm. 30-34.

Musical score for measures 30-34. The score is in piano (p). The right hand has a melodic line with slurs and fingerings (5, 4 5, 4 5, 1, 3, 5 4 2, 3, 4, 5). The left hand has a bass line with slurs and fingerings (4, 2, 5, 1).

d) mm. 46-50.

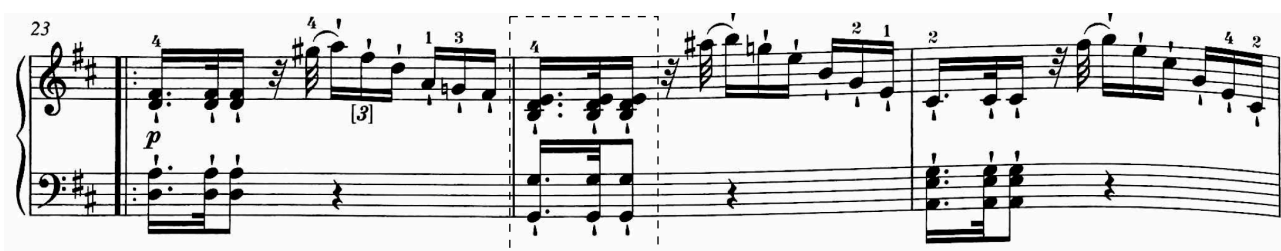
Musical score for measures 46-50. The score is in fortissimo (f). The right hand has a melodic line with slurs and fingerings (5, 3). The left hand has a bass line with slurs and fingerings (5, 3).

These frequent shifts in texture disguise the simplicity of the harmonic progressions, which consist mostly of I and V. Remarkably, Beethoven creates a great many compelling and beautiful moments with extremely basic harmonies.

It is also worth noting that Beethoven employs the $ii_6/5$ chord consistently throughout the sonata. Hatten makes a specific claim that “the sonority of subdominant harmonies such as the $ii_6/5$ may acquire a pastoral connotation, since the mm^7 is a ‘gentler’ harmonic complex”⁴¹ and adds that “a ‘pastoralizing’ of sonority persists into the twentieth century, as exemplified by the arpeggiated mm^7 chord that sets the scene for Debussy’s piano prelude ‘La fille aux cheveux de lin.’”⁴² In the Pastoral Sonata, Beethoven often uses the $ii_6/5$ chord as a replacement for the IV chord, instead saving the literal subdominant for more specific moments and to create a ‘softer’ progression. This can be observed in the second movement during the B section at mm. 25-28, in the third movement at mm. 4-8 (here it is simplified to a ii_6 triad), and in the opening theme of the fourth movement at mm. 3-4 (Example 2.17). Hatten’s theory is therefore consistent with Beethoven’s practices in the *Pastoral* Sonata.

Example 2.17 a-c. Beethoven, Op. 28.
Beethoven uses the supertonic chord in place of the subdominant.

a) Second movement, mm. 23-25.



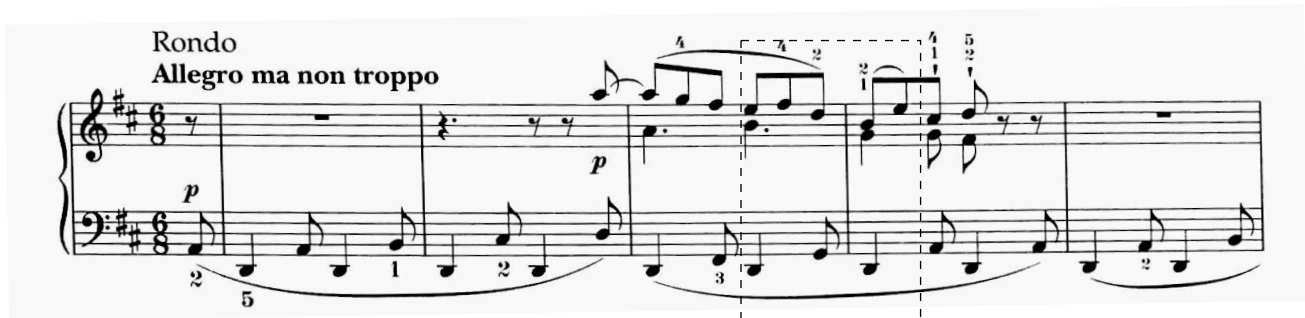
b) Third movement, mm. 1-8.



⁴¹ Hatten, *Musical Meaning in Beethoven*, 56.

⁴² *Ibid.*

c) Fourth movement, mm. 1-5.



Lyrical Melodies and Parallel Thirds

The significance of the relationship between bagpipes and the drone bass has already been mentioned, but another important instrument that is associated with pastoral is the flute. Specifically speaking, it is the Greek *syrinx* (pan-pipes) that was originally associated with shepherds in the pastoral poetry of classical antiquity, and later with satyrs when aspects of mythology were combined with pastoral themes. Certainly the image of the shepherd playing pipes became a standard conceit of the pastoral in literature, art and music. This image was commonly reproduced by the flute in the orchestra since pan-pipes were not a concert instrument. Other wind instruments such as the *aulos* and the *shawm*, also became associated with shepherds over time. These instruments had more in common with the oboe, which is also used in pastoral melodies in concert music. In general, pastoral ‘piping’ came to be represented by lyrical melody lines that have a simple contour and (often) symmetrical phrases.

Each movement of the Pastoral Sonata features a primary melodic figure that descends by step from dominant to the tonic—one of the simplest possible melodic gestures. The first movement begins with this figure and extends it slightly by descending below the tonic before moving back upward. The second movement uses the same figure (but in the parallel minor) after an initial leap up from tonic. In the third movement, Beethoven reserves the gesture for the trio section, where the same descent from dominant to tonic (now in B minor) becomes the repeated melodic phrase for the section. The fourth movement, like the first, begins with the melody entering on the dominant, then descending by

step toward the tonic (Example 2.18). Thus, in each movement of the sonata, Beethoven uses a simple, singable melodic figure that is typical of the pastoral topic.

Parallel thirds (and sixths) are another device that is associated with pastoral music. Hatten states that they often appear in Baroque pastoral works because they are sweet-sounding and imply a sense of simplicity as they negate contrapuntal activity between two voices. He also proposes the possibility that parallel thirds create an “image of a duet between two singers in complete accord.”⁴³ These assessments are consistent with the pastoral sentiments of peacefulness and naiveté. However, Monelle suggests that the popularity of parallel thirds as a pastoral signifier extends back to the Renaissance, when shepherds from Abruzzi would come to Rome and celebrate Christmas by performing music on flutes, shawms and bagpipes at Nativity services.⁴⁴ The music was often performed as a duo between a solo melodic instrument and a bagpipe instrument that would accompany the melody in thirds or sixths.⁴⁵ It is therefore possible that the prevalence of thirds in pastoral music can be traced back to the music of actual Italian shepherds and became stylized in the pastoral music of other musicians over the course of history.

There are numerous instances of parallel thirds in the *Pastoral Sonata*. The opening phrase in the first movement repeatedly draws attention to the interval of a sixth with sighing gestures that resolve from a seventh to a sixth. The second half of the same phrase concludes with parallel thirds (see Example 2.1). The movement ends with a repetition of this final portion of the opening theme, stressing the parallel thirds again and again before concluding with gentle sixths (Example 2.19). This phrase segment is also prominent in the development section (mm. 189ff). In the second movement, the phrase with the dominant pedal point discussed earlier features extensive parallel thirds (see Example 2.3).

⁴³ Ibid., 98.

⁴⁴ Monelle, *The Musical Topic*, 198.

⁴⁵ Ibid., 210.

Example 2.18 a-d. Beethoven, Op. 28.

Beethoven uses a simple melodic gesture, a descent from the dominant to the tonic, in all of the movement's themes.

a) First movement, mm. 1-5.

Allegro
p

b) Second movement, mm. 1-2.

Andante
p

c) Third movement, mm. 71-74.

Trio
p

d) Fourth movement, mm. 1-4.

Rondo
Allegro ma non troppo
p

Example 2.19. Beethoven, Op. 28, first movement, mm. 441-461.
The first movement concludes with a series of parallel thirds and sixths.

The image displays a musical score for the first movement of Beethoven's Op. 28, specifically measures 441 to 461. The score is written for piano and is in G major (one sharp) and 3/4 time. It consists of two systems of music. The first system, starting at measure 441, shows a piano accompaniment with parallel thirds and sixths. The dynamics range from piano (p) to fortissimo (sf), with a crescendo (cresc.) marking. The second system, starting at measure 451, shows a decrescendo (decresc.) from sf to pianissimo (pp), ending with a piano (p) dynamic. The score is presented in a standard musical notation format with a grand staff (treble and bass clefs) and a piano (p) symbol.

The texture of the scherzo movement is thinner than that of the other movements of the sonata, but Beethoven utilizes thirds and sixths at conspicuous moments. After opening the movement with single-note octave leaps between the voices, Beethoven suddenly switches to thirds leaping down by octaves and then sixths by octaves (Example 2.20). In the rondo movement, the counterpoint of the tranquil central section abounds in parallel thirds and sixths, culminating in parallel thirds in each hand (Example 2.21). Finally, as if to check that the listener has been paying attention to the signifier, Beethoven includes a passage that blatantly alternates thirds and sixths for ten straight measures (Example 2.22). There are a number of other instances of parallel thirds throughout the sonata, but the above examples sufficiently demonstrate Beethoven's frequent employment of this device.

Example 2.20. Beethoven, Op. 28, third movement, mm. 13-33.

In the third movement, Beethoven expands the opening octave leaps with parallel thirds and sixths.

The musical score for Example 2.20 consists of two systems of music, measures 13-33. The first system (measures 13-22) shows the piano introduction with a series of octave leaps in the bass line, which are then expanded into parallel thirds and sixths in the treble line. The dynamics range from piano (p) to fortissimo (f). The second system (measures 23-33) continues this pattern, with the treble line featuring parallel thirds and sixths and the bass line featuring octave leaps. The dynamics range from piano (p) to fortissimo (f).

Example 2.21. Beethoven, Op. 28, fourth movement, mm. 88-92.

In the fourth movement, thirds appear frequently at the climax.

The musical score for Example 2.21 consists of a single system of music, measures 88-92. The score is in G major and 3/4 time. It features a piano introduction with a series of thirds and sixths in the treble line, which are then expanded into parallel thirds and sixths in the bass line. The dynamics range from piano (p) to fortissimo (f). The score includes fingerings (1-5) and articulation marks (accents) for the treble line, and a *cresc.* marking for the bass line.

Example 2.22. Beethoven, Op. 28, fourth movement, mm.176-182.

The first measures of an extended passage of alternating thirds and sixths.

The musical score for Example 2.22 consists of a single system of music, measures 176-182. The score is in G major and 3/4 time. It features a piano introduction with a series of alternating thirds and sixths in the treble line, which are then expanded into parallel thirds and sixths in the bass line. The dynamics range from piano (p) to fortissimo (f). The score includes fingerings (1-5) and articulation marks (accents) for the treble line, and a *cresc.* marking for the bass line.

The Weathered Storm

Storm imagery, one of the most popular types of musical depictions, is its own musical topic, with a number of its own signifiers. However, storm imagery can also be a signifier for the pastoral topic. Typically, if a pastoral work has a tempest section, it is short-lived relative to the rest of the composition and is preceded by a period of calm, to which it returns once the storm is over. It can therefore be said that the pastoral storm is one that is weathered by the shepherds and/or rustic folk that are inherent to pastoral scenes.

Well-known examples of the pastoral storm are found in Vivaldi's *Four Seasons* concerti, in Haydn's oratorio *The Seasons* and in Beethoven's own *Pastoral* Symphony. In Vivaldi's *Four Seasons*, the initial *Spring* movement, filled with bird calls and spring breezes, is briefly interrupted by thunderstorms (depicted by swift scales for lightning and rapid tremolos for the thunder) before quickly returning to the celebration of spring. Furthermore, the entirety of the *Summer* concerto is essentially a pastoral storm with musical gestures depicting oppressive heat, thunder, lightning and hail. Even this lengthier storm is weathered though, as the first movement of the following *Autumn* concerto is a peasant celebration and we are reminded that all is good again.

Haydn's pastoral storm from *The Seasons* includes a chorus that represents the shepherd-folk and peasantry lamenting the raging storm and calling to God to save them. The orchestra punctuates the singing with thunderous timpani rolls and throbbing strings. Before long though, the storm breaks and the choir sings of the sun, the birds, the grass, and the frogs—all things in nature restored to contentment.

Beethoven takes perhaps the most dramatic approach of all in his *Pastoral* Symphony's storm section. Designated as its own movement in a five movement symphony, the storm actually intrudes on the traditional four movement structure of the symphony, highlighting the disruptive nature of the pastoral storm on a structural level. Preceded by the third movement, which Beethoven marked *Lustiges Zusammensein der Landleute* (*Happy Gathering of Country-folk*), the storm movement inter-

rupts the joyful gathering with timpani rolls that indicate the thunder. At the height of the storm, the piccolo conjures up the wind, whistling with terrifying ferocity. Even a storm of such magnitude, however, eventually recedes and the fifth movement begins—a beautiful shepherd song of thanks after the storm (*Hirtengesang. Frohe und dankbare Gefühle nach dem Sturm*).

In the *Pastoral Sonata*, Beethoven includes weathered storms in both the first and fourth movement. In the absence of the orchestral palette of timbres, Beethoven uses texture and key relationships to differentiate the storm sections from the surrounding calm in his piano sonata. In the first movement, the pastoral storm occurs in the development section. After stating the first theme in the subdominant key of G major, Beethoven abruptly modulates to G minor and begins a fugato. The contrapuntal texture and the rapid changes of register between the hands create a sensation of wind. There is no piccolo, but Beethoven saves the highest notes (up to this point in the piece) for the whirling fugato subject (mm. 191-194 and mm. 205-206) and the height of the storm's intensity (mm. 213-226) before a *subito piano* indicates the end of the storm (Example 2.23).

Example 2.23. Beethoven, Op. 28, first movement, mm. 193-206.
Whirling figures in the development section signify the storm.

In the central section of the fourth movement rondo, Beethoven uses similar techniques to create a storm section. Again, he begins in the subdominant key of G Major and weaves counterpoint

that is more complex than in the rest of the movement. The counterpoint builds in volume and, once more, the music shifts to the key of G Minor. The storm is confirmed in a *fortissimo* passage that leads to relentless broken octaves over a long dominant pedal (Example 2.24). The storm's energy finally begins to dissipate in a long scale run down the piano. Then, as in the first movement, there is a pause of quiet before a gentle return to the main theme. In both movements, Beethoven uses contrapuntal textures and a 'distortion' of the calm subdominant G Major into its parallel minor to create a pastoral storm that is as effective and distinct as any orchestral soundscape.

Example 2.24. Beethoven, Op. 28, fourth movement, mm. 106-109.
Broken octaves over a dominant pedal at the climax of the storm section.

The image displays a musical score for the fourth movement of Beethoven's Op. 28, measures 106-109. The score is written for piano and features a dramatic storm section. The key signature is G minor (one flat). The music is characterized by relentless broken octaves in the right hand, which are sustained over a long dominant pedal point in the left hand. The dynamic markings are *ff* (fortissimo) and *sf* (sforzando). The score includes triplet and quartet markings in the right hand. The overall texture is dense and powerful, capturing the intensity of a storm.

Chapter Three: The Enlightenment and The *Pastoral* Sonata

From the analysis of the Op. 28 Sonata in the preceding chapter, it is clear that Beethoven was rigorous in his use of pastoral signifiers. The consistent application of such a variety of gestures across all four movements suggests that he was deliberately making a pastoral statement and wanted that statement to be clear to his contemporaries. Without the benefit of a text or even the sound palette of the orchestra, he faced a particular challenge in this goal. In operas and religious works, words were able to communicate pastoral themes, which musical signifiers could then reinforce. The same is true of other well known pastoral works mentioned earlier; Vivaldi's *Four Seasons* concertos included a sonnet for each of the movement, Haydn's oratorio *The Seasons* had a libretto filled with pastoral imagery, and in his *Pastoral* Symphony, Beethoven included titles to clarify the various scenes and events. Although he filled the Op. 28 Sonata with signifiers that had a long association with texts, thus taking advantage of the established implicit relationships, he chose not to include any verbal explanations. In their absence, the wide variety of pastoral signifiers makes it difficult to determine his specific message.

It is unlikely that Beethoven would settle for a lack of precision in his artistic intentions. Owen Jander observes that Beethoven was a "genius in an age of charlatanry," with a unique ability to take musical effects depicting literal ideas (musical painting) and to use them in a greater artistic statement.⁴⁶ Jander focuses on storm music, a topic related to the pastoral, and Beethoven's *Tempest* Sonata. He argues that Beethoven used common storm signifiers in more creative ways than his contemporaries, and that he always used them in the construction of a greater expressive narrative rather than merely for their aesthetic effect.

To illustrate how Beethoven used signifiers more creatively than his contemporaries, Jander points to the English pianist Daniel Steibelt. Steibelt was a showman, dazzling audiences with techni-

⁴⁶ Owen Jander, "Genius in an Arena of Charlatanry," in *Musica Franca: Essays in Honor of Frank D'Accone* (New York: Pendragon, 1996), 585.

cal displays using English pianos on which the damper pedal allowed for rumbling ostinatos and flourishes that were not possible on Viennese instruments. Jander elaborates:

Steibelt was a musician whom Beethoven viewed with utter contempt—at least publicly. Privately, however, Beethoven recognized that the charlatan Steibelt occasionally arrived at certain inspirations which had distinct artistic possibilities. A few of Steibelt's more interesting ideas indeed find echoes in certain Beethoven compositions."⁴⁷

Where Steibelt featured many banal technical displays to capture the fury of a storm, Beethoven showed ingenuity in both the imagery and the methods he used. Jander supports these conclusions with examples such as Beethoven's use of the dominant to open the *Tempest Sonata's* first movement to capture the electricity in the the air that we feel right before a storm, and the use of the Neapolitan sixth chord as a harmonic jolt to simulate the surprise of a bolt of lightning.⁴⁸

Jander goes on to argue that with such innovative gestures, Beethoven was able to construct a larger-scale expressive narrative. In this context, Jander discusses storm paintings, which were quite in vogue at the time. One artist in particular, Joseph Vernet, was a bit of a specialist in tempest depictions. His paintings of storms in the countryside often include human figures expressing their fears. For example, against a background of distant lightning, a peasant falls from his wagon as his horses panic; another drops to the ground in terror and prays; a mother clutches her baby to her chest. Vernet thereby creates a dialogue between nature and the human spirit responding to the storm. Jander shows how Beethoven achieves this same dialogue in the development section of the first movement of the *Tempest Sonata* with the low bass notes portraying the rumble of thunder and the soprano melody suggesting the laments of the peasants. Beethoven achieves something similar in the Op. 28 *Sonata*: he does not simply depict nature and rustic life but also expresses the human reaction to, and

⁴⁷ Ibid., 593.

⁴⁸ Ibid., 612.

interaction with, the pastoral world. Beethoven's intention in doing so may have been to use the pastoral topic as a means of making a statement about ideals of the Enlightenment.

The Enlightenment and Musical Troping in Op. 28

The Enlightenment (*Aufklärung* in German) is a complex topic that cannot be adequately summarized within the confines of this thesis. It is a historical phenomenon that spanned multiple eras and developed differently in various nations of both Europe and America. Even the term "Enlightenment" itself is contentious, as it was popularized by historians of the nineteenth and twentieth centuries who lived well after the Enlightenment Era. What constituted an enlightened thinker was certainly more malleable to contemporaries than to those with the benefit of historical hindsight. Modern scholarship on the Age of Enlightenment often focuses on the polarity between the moderate enlighteners, who incorporated religion into their beliefs and still felt that the monarchy and nobility had a place in the world, and radical enlighteners, who sought more aggressive reform and equality amongst all men and who even embraced atheist philosophies. This dichotomy indicates that the Enlightenment was, in a sense, an organic notion comprising many philosophical ideas and movements that sometimes conflicted with one another, making it difficult to define.⁴⁹

For the purposes of this thesis, however, the Enlightenment can be described as a period in which ideas such as fraternity, tolerance, rationality, the scientific method, social progress and the public sphere were prevalent. Significant thinkers that initiated the Enlightenment included "Bacon, Descartes, Hobbes, Spinoza, Locke, Bayle, and Leibniz—all of whom to a greater or lesser degree shared the 'revolutionary' tendency of all [thinkers of the] Enlightenment to sweep the past aside and lay down new premises."⁵⁰ Also called the Age of Reason, the Enlightenment was a time when many enlightened thinkers sought reductive answers to complex questions that could be supported with experience or inferred from evidence. However, science and religion were not necessarily considered to

⁴⁹ For a detailed examination of the origins and complexities of the Enlightenment, see Israel, *Enlightenment Contested*, 1-16.

⁵⁰ Israel, *Enlightenment Contested*, 9-10.

be at odds with one another. Israel remarks that, “those philosophers who examine nature with the greatest care, Descartes, Leibniz, and Newton... were the most thoroughly persuaded of God’s existence, beneficence, and divine providence.”⁵¹ Some enlightened thinkers sought solutions to existential questions by articulating relationships between the observable world and what they perceived as the divine world. This type of metaphysical Universalism “was one of the quintessential characteristics of the Enlightenment.”⁵² The relationship between Nature and God was one such universal and the author Christoph Christian Sturm articulated it constantly in his writings.⁵³ These writings spoke powerfully to Beethoven (as will be shown in more detail below).

Beethoven was exposed to many *Aufklärung* ideas in Bonn as a child. Christian Neefe, Beethoven’s childhood mentor, was a Freemason who had ambitions to share his philosophies with the whole of society. This desire led Neefe to join the Illuminati—a secret order similar to the Freemasons in ideals but more radical and aggressive in their desire for social reform.⁵⁴ In 1781, an Illuminati lodge was started in Bonn and Neefe was a founding member. Many of the artists and thinkers in the community were members and “all of these currents swirled around the young Beethoven as they swirled around the whole town.”⁵⁵ Neefe proclaimed that the intentions of the order were a “thorough and particular connection of men with God, Nature and themselves.”⁵⁶ As an adult, Beethoven would proclaim similar sentiments. In his diary, Beethoven wrote: “My decree is to remain in the country... My unfortunate hearing does not plague me there. It is as if every tree spoke to me in the country, holy! holy! / Ecstasy in the woods! Who can describe it? If all comes to naught the country itself remains... Sweet stillness of the woods!” Swafford juxtaposes this quotation with another from a letter: “Surely woods, trees and rocks, produce the echo which man desires to hear”; he comments

⁵¹ *Ibid.*, 152.

⁵² *Ibid.*, 5-6.

⁵³ Swafford, *Beethoven*, 510-511.

⁵⁴ *Ibid.*, 74.

⁵⁵ *Ibid.*, 75.

⁵⁶ *Ibid.*

that “[Beethoven] meant an echo of all creation, a yearning for the divine. These yearnings and intuitions rose from the *Aufklärung*, which saw nature as the revelation of the divine and science as the truest scripture.”⁵⁷

Beethoven’s *Aufklärung*-inspired adoration for nature was also reflected in his reading. One of his favourite books was *Reflections on the Works of God and His Providence Through All Nature* by Christoph Christian Sturm. In Sturm’s writings, Beethoven read about various scientific concepts ranging from the small, such as the lives of bees and the forms of plants, to the grand, such as the planets, the Milky Way and the universe itself.⁵⁸ Swafford summarizes:

Sturm’s book amounts to a general education in the sciences..., a high-*Aufklärung* endeavor in practical knowledge. His essential message is the perfection of nature, every part and particle of which is a revelation of God and a reason for rejoicing... Every thing in the universe is connected together, and concurs to the preservation and perfection of the whole.⁵⁹

From the above, it is evident that Beethoven was immersed in the ideals of the Freemasons and Illuminati through his teacher, the community of intellectuals of his hometown and his own studies in adulthood. He never joined either of the orders, as it was not his nature to do so; nevertheless, ideals of the Enlightenment found their way into Beethoven’s thoughts and music throughout his life. The ideas of liberty and fraternity, for example, are key themes of *Fidelio* and the Schiller poetry that Beethoven used in his Ninth Symphony. Neefe’s desire for mankind to form a connection with “God, Nature and themselves” can be found in Beethoven’s reverence of nature in the Sixth Symphony. Let us explore how all of these ideas are touched upon in the Op. 28 Sonata.

⁵⁷ Ibid., 504.

⁵⁸ Swafford, *Beethoven*, 510-511.

⁵⁹ Ibid.

In order to comment on ideals of the Enlightenment in Op. 28, Beethoven utilized *troping*. As Hatten writes, “Troping in music may be defined as the bringing together of two otherwise incompatible style types in a single location to produce a unique expressive meaning from their collision or fusion.”⁶⁰ By troping the pastoral with other topics such as hymn and dance, Beethoven is able to “explore other possibilities for pastoral tropes, since these extend the topical range of musical materials that may be embraced by the pastoral mode.”⁶¹ Beyond its expressive potential, this technique is a useful tactic for large-scale compositions where adhering to a single topic’s conventions would be restrictive.

The opening of the *Pastoral* Sonata immediately employs troping of the pastoral with hymn. The drone bass, gentle harmonies, frequent thirds and sixths, and gentle emphasis on the subdominant are all indicators of the pastoral. However, as mentioned in the earlier examination of drone bass in Op. 28, the initial repeated D’s in the bass are also reminiscent of an organ pedal point. Combined with the four-voice texture and traditional chorale part-writing techniques, the opening theme of the *Pastoral* Sonata immediately establishes a reverence for nature by fusing hymn with pastoral. In doing so, Beethoven indicates the concept of the sacred landscape, the Enlightened pastoral image associated with Sturm’s writings.⁶² It is worth noting that Schubert takes a similar approach in his G Major Sonata, D. 894. The opening theme “displays both familiar and unfamiliar pastoral features. Major mode, compound meter, slow harmonic rhythm with implied pedal, parallel thirds, and a sequential move to the subdominant in m. 3 are familiar markers. The monumental character of the sustained tonic... suggests a more profound vision of the pastoral as *troped*, or creatively merged, with the hymn-like dignity of a sustained sonority.”⁶³ It is possible that Schubert learned something from

⁶⁰ Hatten, *Musical Meaning in Beethoven*, 97-98.

⁶¹ Hatten, *Interpreting Musical Gestures, Topics and Tropes*, 58.

⁶² Monelle, *The Musical Topic*, 204-205.

⁶³ *Ibid.*, 58.

Beethoven's effective use of troping in the the Op. 28 Sonata (Example 3.1).

Example 3.1. Schubert, Op. 78, D. 894, first movement, mm. 1-3.

Hatten observes that Schubert uses troping of the pastoral with hymn in the G Major Sonata.



Another texture that Beethoven tropes with the pastoral in Op. 28 is that of the string quartet. By 1801 the quartets of Haydn and Mozart had elevated the genre to a high position in musical society. Swafford comments that "the quartet had become the chamber medium par excellence for connoisseurs and for fanatics, in a period when the favoured amateur instruments were strings, not yet the piano."⁶⁴ Beethoven took a long time to compose his first actual quartets because he wanted to make a respectable impression. The quality of a composer's quartets was felt by some to be the measure of that composer's craftsmanship and artistry.⁶⁵ Despite his fears, however, Beethoven showed mastery of the genre even in his early Op. 18 Quartets, and his facility often found its way into the textures of his piano compositions.

In the Op. 28 Sonata, there is a particularly frequent use of string quartet texture in all four of the movements. In fact, one could almost directly transcribe the notes to the suitable registers to create an effective string quartet. The fact that the sonata is in the key of D Major, a natural string key, would make this all the easier. By making such frequent use of string textures in conjunction with pastoral markers, Beethoven tropes the string quartet with the pastoral and, in doing so, fuses the refined music of the 'connoisseurs' with the rustic music of the country-folk. Essentially, he reconciles the natural realm with the urban realm and, since many viewed the natural landscape as a manifesta-

⁶⁴ Swafford, *Beethoven*, 250.

⁶⁵ *Ibid.*

tion of God, brings man and God together metaphorically. In the *Pastoral* Sonata, Beethoven therefore demonstrates Neefe's Enlightenment goal of "connecting men with God, Nature and themselves" by subverting the traditional opposition of rural and urban life.

The technical demands of the music itself are used to articulate this same idea, with the rural represented by technical ease and the urban by virtuosity. Overall, the challenges of the Op. 28 Sonata are moderate—but there are bursts of difficulty in each of the movements. In the opening movement, the second theme presents a challenge with its delicate inner-voice ostinato and the rapid scale flourishes at the cadence points (see Example 2.13). In the second movement, Beethoven adds complexity when returning to the A section of the ternary form by decorating the theme with running thirty-second notes (see Example 2.14). The Scherzo of the third movement, technically uncomplicated, is interrupted by rapid broken octaves in the Trio section (see Example 2.5). The fourth movement's *Più allegro quasi presto* section is the most challenging passage of the entire sonata, "an ebullient, virtuosic coda" (see Example 2.7).⁶⁶ The fact that the sonata begins with such serene simplicity and concludes with virtuosic brilliance only articulates the sense of reconciled opposition that is found at multiple levels throughout the piece. Thus, the above Enlightenment message of a connection and reconciliation between God and man is reinforced.

A third important troping in the *Pastoral* Sonata occurs between pastoral and dance. There are frequent dance passages in all movements of Op. 28. The codetta theme of the first movement is waltz-like, with playful syncopations (mm. 135-163). The entire central section of the second movement is a *leggiero* dance (mm. 23-38). The Scherzo of the third movement is a short and humorous dance section (mm. 1-70). Finally, the entire Rondo movement is a slow gigue. Dance is, of course, intrinsically connected with the pastoral, in the form of the compound-meter *siciliano*. It would be difficult to use this particular dance throughout an entire sonata and still maintain interest, and it is therefore not surprising that Beethoven mixes his frequent reference to compound-meter dances with other types. In the case of the *Pastoral* Sonata, it is not the specific dance that really matters but what

⁶⁶ Ibid., 288.

dance represents: just as Vernet includes human elements in his storm paintings, so too does Beethoven include the human in his pastoral scenes by imbuing them with the spirit of dance.

At this point in Beethoven's life and artistic career, dance held a particular significance for him as an indicator of equality amongst all men, a sentiment comparable to the Enlightenment ideal of fraternity. In his ballet *Die Geschöpfe des Prometheus* (Creatures of Prometheus), composed only months before, Beethoven had made a point of using dance to signal an enlightened message. The dance that he selected for the ballet's finale was the *anglaise*, or *englische*—one of the most popular dances at the time. The *englische* was danced as a contradance in which partners mingled and danced together down a line. People of all classes mixed together; a peasant could end up dancing with a nobleman.⁶⁷ As Swafford explains:

In the *englische* each participant was, for the duration of the music at least, an equal citizen of the dance, and for that reason the *englische* acquired a frisson of democracy. In turn, for some thinkers that situation made the *englische* into a symbol of an ideal society.⁶⁸

The symbolic meaning of the *englische* resonated so much with Beethoven that he would use the music of the *Prometheus* ballet's finale in his *Eroica* Symphony and in his *Eroica* Variations for piano. In the *Pastoral* Sonata, Beethoven does not specifically use an *englische*, but it is easy to envision the dance sections through the Op. 28 Sonata performed as contradances (country dances) by pastoral country-folk. Superficially, these dances indicate celebration and a delight in the pastoral, but if they do indeed suggest "a frisson of democracy," then they represent a more profound statement of the pastoral as a realm of equals. This particular statement, along with the others outlined above, would have been valued by thinkers of the Enlightenment that sought to break down the barriers of class division.

⁶⁷ Ibid., 267-268.

⁶⁸ Ibid.

The Interconnection of All Things

The realities of the Enlightenment were of course much more complex than any single philosophical thought or ideal, with many thinkers and people of influence falling on different points in the spectrum between the moderate and radical. Furthermore, the great philosophers of the time didn't work in isolation but were influenced by one other. The Enlightenment therefore unfolded non-linearly, with different thinkers holding varying levels of influence in different regions of Europe at different times. One philosopher who had great impact on the *Aufklärung* and its generations of thinkers was Gottfried Wilhelm Leibniz. One of Leibniz's major concepts was the idea of 'pre-established harmony' in which monads' (Leibniz's term for the most basic units of reality) were arranged by God to work together in a consonance of all creation. It is fitting that Leibniz himself described this in musical terms:

[Pre-established harmony is like] several different bands of musicians or choirs separately playing their parts, and placed in such a way that they do not see and do not even hear each other, though they nevertheless can agree perfectly, each following his notes, so that someone hearing all of them would find a marvellous harmony there.⁶⁹

The notion of a universal harmony overlapped with another of Leibniz's significant concepts. Leibniz postulated the idea that the universe is the best possible one that God could have created, arguing that in His infinite wisdom, God would not create anything that, by His supreme reason, He deemed unnecessary for the harmony of creation.⁷⁰ This concept became known as philosophical optimism and was widely commented upon and challenged, perhaps most famously by Voltaire in his 1759 book *Candide, or Optimism* in which the main character exclaims: "If this is the best of all possible worlds, what on earth are the others like?"⁷¹ Despite such criticisms, Leibniz's ideas influenced

⁶⁹ Anthony Gottlieb, *The Dream of Enlightenment: The Rise of Modern Philosophy* (New York: Liveright Publishing, 2016), 168-169.

⁷⁰ *Ibid.*, 182.

⁷¹ *Ibid.*, 183.

generations of thinkers. It is evident that the concept of the landscape as “a manifestation of the glory of God”⁷² connects neatly with the ideas of pre-established harmony and the idea of pastoral as a Golden Age with aspects of optimism.

The *Pastoral* Sonata exhibits this *Aufklärung* idea of interconnectedness. Numerous connections of ideas, small and large, exist across all the movements. Beethoven is of course famous for creating connections between the movements of his large-scale works, particularly for the cyclical structure of the Fifth Symphony with its short-short-short-long motive in the first and third movements, and for the use of descending thirds throughout the “Hammerklavier” Sonata, Op. 106.⁷³ In Op. 28, however, the connections are more subtle and numerous. As one becomes more aware of them, one feels that everything is indeed arranged with supreme wisdom, as a metaphor for the interconnectedness of all things.

One example of this interconnection was touched upon in the analysis of the pastoral signifiers earlier—the melodic descent from the dominant to the tonic that exists in themes from all four movements (see Example 2.21). Other melodic contours are also repeated throughout the sonata. In the first movement, a version of the right hand-flourish at mm. 104-108 becomes the countersubject during the fugato of the development section (mm. 183-207). Similar gestures are found in climactic moments of the second movement (m. 53, mm. 75-76) and the fourth movement. (Example 3.2).

Example 3.2 a-d. Beethoven, Op. 28.

Beethoven uses a similar melodic contour at various points throughout the sonata.

a) First movement, mm. 104-108.

The image shows a musical score for the first movement of Beethoven's Op. 28, measures 104-108. The score is written in treble clef with a key signature of one sharp (F#). It features a melodic line with triplets and a descending contour, marked with dynamics like *sf* and *f*. A dashed box highlights a specific melodic contour.

⁷² Monelle, *The Musical Topic*, 203.

⁷³ Charles Rosen, *Beethoven's Piano Sonatas: A Short Companion* (New Haven: Yale University Press, 2002), 218-228.

b) First movement, mm. 183-186.

Musical score for the first movement, measures 183-186. The score is in G major and 3/4 time. It features a piano accompaniment with a right hand playing chords and a left hand playing a melodic line with triplets and fingerings (3, 1, 2, 1, 1, 1). A *cresc.* marking is present. The right hand has a triplet of eighth notes in measure 183 and a quarter note in measure 184. The left hand has a triplet of eighth notes in measure 183 and a quarter note in measure 184. The right hand has a quarter note in measure 185 and a quarter note in measure 186. The left hand has a quarter note in measure 185 and a quarter note in measure 186.

c) Second movement, mm. 74-76.

Musical score for the second movement, measures 74-76. The score is in B-flat major and 3/4 time. It features a piano accompaniment with a right hand playing a melodic line with triplets and fingerings (2, 3, 1, 2, 1, 1, 4, 3, 1, 4, 1, 4) and a left hand playing a rhythmic pattern. A *cresc.* marking is present. The right hand has a triplet of eighth notes in measure 74 and a quarter note in measure 75. The left hand has a quarter note in measure 74 and a quarter note in measure 75. The right hand has a quarter note in measure 76 and a quarter note in measure 76. The left hand has a quarter note in measure 76 and a quarter note in measure 76.

d) Fourth movement, mm. 106-110.

Musical score for the fourth movement, measures 106-110. The score is in G major and 3/4 time. It features a piano accompaniment with a right hand playing a melodic line with triplets and fingerings (3, 4, 3) and a left hand playing a rhythmic pattern. A *ff* marking is present. The right hand has a triplet of eighth notes in measure 106 and a quarter note in measure 107. The left hand has a quarter note in measure 106 and a quarter note in measure 107. The right hand has a quarter note in measure 108 and a quarter note in measure 109. The left hand has a quarter note in measure 108 and a quarter note in measure 109. The right hand has a quarter note in measure 110 and a quarter note in measure 110. The left hand has a quarter note in measure 110 and a quarter note in measure 110.

Another example of interconnection can be seen in the left-hand broken octaves that Beethoven introduces at the start of the second movement. This feature defines much of the *Andante* but it also appears in the Trio of the third movement (mm. 71-94) and again in the right hand at three points within the fourth movement (Example 3.3).

Example 3.3 a-c. Beethoven, Op. 28.
Beethoven uses broken octaves throughout a number of movements.

a) Second movement, mm. 1-4.

The musical score for the second movement of Beethoven's Op. 28, measures 1-4, is shown. It is in 2/4 time and marked 'Andante'. The left hand plays a piano (p) accompaniment consisting of a broken octave pattern. The right hand has a melody that begins with a descending octave jump followed by half steps. Dynamics include 'p', 'cresc.', and 'sempre stacc.'.

b) Third movement, mm. 71-75.

The musical score for the third movement of Beethoven's Op. 28, measures 71-75, is shown. It is in 3/4 time and marked 'Trio'. The left hand plays a piano (p) accompaniment consisting of a broken octave pattern. The right hand has a melody that begins with a descending octave jump followed by half steps. Dynamics include 'p'.

c) Fourth movement, mm. 46-49.

The musical score for the fourth movement of Beethoven's Op. 28, measures 46-49, is shown. It is in 2/4 time. The left hand plays a piano (p) accompaniment consisting of a broken octave pattern. The right hand has a melody that begins with a descending octave jump followed by half steps. Dynamics include 'sf' and 'f'.

Connections between the sonata's dance figures also exist. In the codetta theme of the first movement, the tune of the dance begins with a descending octave jump followed by half steps (mm. 135-140). In the third movement, the scherzo theme is defined by the same gesture of a downward octave leap (mm.1-4), but even more notably in the left hand at mm. 33-48, where it is again followed by a half step (Example 3.4). In both cases, the simple chord accompaniment is essentially the same.

Example 3.4 a-b. Beethoven, Op. 28.

Similar gestures between the dance figures of the first and third movements.

a) First movement, mm. 135-140.



b) Third movement, mm. 33-40.



Harmonic connections are also used between the dances, as outlined in the preceding chapter's discussion about simple harmonies in pastoral music (see Example 2.17).

Perhaps most profound, though, is the way that Beethoven unifies the composition with a single pitch, namely F#. As the third of the sonata's tonic triad and the leading tone of the sub-dominant key, the F# acts as a pivot between the significant keys of D and G major. Throughout all the movements, subtle but recurring emphasis is placed on the F#. In the opening movement, the main theme ends on a tonic D major chord with the F# mediant in the soprano. This is immediately followed by movement from F# to G in the tenor voice and then the same motion in the bass shortly thereafter (Example 3.5). At the start of the development section, the modulation to G major is initiated with repeated F# octaves in the bass at mm. 163-166 (Example 3.6) and then culminates in the aforementioned lengthy F# major pedal point (mm. 219-56—see Example 2.2).

Example 3.5. Beethoven, Op. 28, first movement mm. 1-28.
 Beethoven frequently places F#'s in places that it will be prominently heard. Movement from F# to G is common.

The image shows the first 28 measures of the first movement of Beethoven's Op. 28. The music is in 3/4 time and D major. The tempo is marked 'Allegro'. The score is written for piano. The right hand has a melodic line with various ornaments and fingerings, while the left hand provides a steady bass accompaniment. Dynamics include piano (p) and fortissimo (sf). The score is divided into three systems of eight measures each. The first system starts with a piano (p) dynamic. The second system starts with a piano (p) dynamic. The third system starts with a fortissimo (sf) dynamic and includes a 'cresc.' marking. The score ends with a double bar line and repeat signs.

Example 3.6. Beethoven, Op. 28, first movement, mm. 165-168.
 Repeated F# octaves move to G.

The image shows measures 165-168 of the first movement of Beethoven's Op. 28. The music is in 3/4 time and D major. The score is written for piano. The right hand has a melodic line with a fortissimo (sf) dynamic, and the left hand has a bass line with a piano (p) dynamic. The score is divided into two systems of four measures each. The first system starts with a fortissimo (sf) dynamic. The second system starts with a piano (p) dynamic. The score ends with a double bar line and repeat signs.

In the D major section of the second movement, the tonic triad is repeatedly voiced with an F# in the soprano (Example 3.7). In the third movement, the opening octave leaps are F#'s, (mm. 1-4), but more notable is the Trio section, which is entirely based on a repeated melodic figure that begins on an F# (Example 3.8).

Example 3.7. Beethoven, Op. 28, second movement, mm. 23-28.
 F# is voiced in soprano frequently in the D major section the second movement.

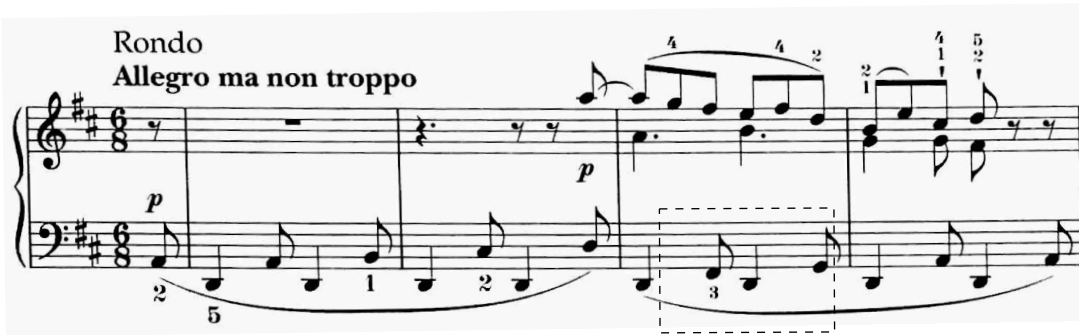
The image shows a musical score for the second movement of Beethoven's Op. 28, measures 23-28. The score is in D major and 3/4 time. It features a piano (p) dynamic and includes various fingerings and articulations. A dashed box highlights the soprano line in measures 23-24, showing the frequent voicing of F#.

Example 3.8. Beethoven, Op. 28, third movement, mm. 79-94.
 The repeated F#'s that start the short melodic figure of the Trio section mark the significance of the pitch.

The image shows a musical score for the third movement of Beethoven's Op. 28, measures 79-94. The score is in D major and 3/4 time. It features a piano (p) dynamic and includes various fingerings and articulations. A dashed box highlights the repeated F# notes in the soprano line, marking the start of the Trio section.

In the fourth movement, the lilting bass line that repeats throughout stresses a movement from F# to G over the tonic pedal point (Example 3.9).

Example 3.9. Beethoven, Op. 28, fourth movement, mm. 1-4.
 The drone bass figure in the fourth movement emphasizes the F# to G relationship.



Finally, the closing cadence of the sonata is an imperfect authentic cadence with the F# again voiced in the soprano (Example 3.10). Additional connections exist but the above are sufficient to show that Beethoven carefully structures the Op. 28 Sonata with multiple recurring ideas operating at various levels of significance.

Example 3.10. Beethoven, Op. 28, fourth movement, mm. 205-210.
 The sonata concludes with an imperfect authentic cadence, emphasizing the F# as the final soprano tone.



Interestingly, Swafford's observations about Beethoven's pastoral inspirations are all made in connection to the *Pastoral* Symphony. As remarkable a work as the symphony is, its programmatic aspect in the form of scenic vignettes aligns it more with the Romantic concept of the pastoral as a realm of localized experience. The *Pastoral* Sonata has no stated program and is not focused on specific scenes; rather, its landscape is that of all creation and it is inhabited by Enlightened shepherds.

The fact that its message is not verbally articulated, and that it is left to the listener to discover it, makes it all the more remarkable and unique as a pastoral work.

Conclusion

It seems sensible to conclude this examination of the *Pastoral* Sonata by considering why its unique meaning has become obscured over time. Some of the ideas in this thesis come from excellent scholarship on the subjects of Beethoven and the pastoral topic. Nevertheless, these ideas have not often been brought together in an illumination of Op. 28. I consider three possible factors to be responsible: the changing opinion of nature and pastoral imagery that coincided with the Romantic Period, the construction of the Beethoven myth after his death, and the nineteenth-century gendering of repertoire.

The transition to the Romantic period marked a change in the personification of nature and pastoral in much nineteenth-century art and music. Nature was not always presented in an idealized, optimistic light. The nostalgic pastoral of Virgil returned, but the yearning, instead of being directed toward a happy, simple past, was directed toward a lost paradise—humankind’s lost Eden.⁷⁴ Nature became an ambivalent entity, often presented as an adversary or psychological representation of earthly hardship. The rational balance of the Op. 28 Sonata would have appeared old-fashioned in a climate that was already turning toward a Romantic fascination with the mysterious and supernatural. This change is best reflected in the famous review of the Fifth Symphony by E.T.A. Hoffmann in 1808. A particularly relevant portion follows:

The magical power of [instrumental] music works like the wondrous elixir of the wise, by means of which various mysterious ingredients make every drink delicious and magnificent. Every passion — love — hate — anger — despair etc., ... is clothed by music in the purple shimmer of Romanticism, and even that which we experience in life leads us out beyond life into the kingdom of the infinite....

⁷⁴ Marjorie Hirsch, *Romantic Lieder and the Search for Lost Paradise* (New York: Cambridge University Press, 2007), 7.

The expression of a childlike, happy soul dominates in Haydn's compositions. His symphonies lead us into a vast, green meadow, into a joyous, colourful crowd of fortunate people. Youths and maidens glide by in round dances; laughing children, listening beneath trees, beneath rose bushes, teasingly throw flowers at each other. A life full of love, full of blessedness, as though before sin, in eternal youth....

Into the depths of the spirit kingdom we are led by Mozart. Fear surrounds us; but, in the absence of torment, it is more a foreboding of the infinite. Love and melancholy sound forth in charming voices, the power of the spirit world ascends in the bright purple shimmer, and we follow along in inexpressible longing behind the beloved forms... flying through the clouds in the eternal dance of the spheres...

In this way, Beethoven's instrumental music also opens up to us the kingdom of the gigantic and the immeasurable. Glowing beams shoot through the kingdom's deep night, and we become aware of gigantic shadows that surge up and down, enclosing us more and more narrowly and annihilating everything within us, leaving only the pain of that infinite longing... Beethoven's music moves the lever controlling horror, fear, dread, pain, and awakens that infinite longing that is the essence of Romanticism.⁷⁵

Here Hoffmann confirms that in 1808 the "infinite longing" of Romanticism was already well understood. Furthermore, we see Hoffmann deliberately crafting a specific image of Beethoven as an oracle whose music "moves the lever controlling horror, fear, dread and pain." Of course, not all of Beethoven's music "shoots glowing beams through the kingdom's deep night," but many of the dramatic works of the heroic period could be said to do so. The Op. 28 Sonata would have occupied a place far away from Hoffmann's version of a heroic Beethoven.

Hoffmann's writings about Beethoven were only the start of what would become the myth of Beethoven—the fabrication of a specific image of the composer as a demigod-like figure. More than

⁷⁵ Cited in Swafford, *Beethoven*, 541-542.

two centuries have passed since Hoffmann's aforementioned comments, and reverence for Beethoven has only continued to increase with time. His deafness and his Heiligenstadt Testament made him a martyr; his lack of social graces made him a defiant force of nature; his forsaking of his own happiness for the glory of art made him a saint.⁷⁶ Built across generations, the myth is impossible to ignore. It influences which works of Beethoven we listen to first, and how we discuss them. A path has been carved through his music, and pieces that don't align with the narrative of the mythical composer-hero are labeled as anomalies or experiments.

The final possible explanation for the obscuring of Op. 28 is the impact of the gendering of Beethoven's oeuvre. In the early Romantic Era, repertoire for female pianists at the Paris Conservatoire included Haydn but not Beethoven; his music was considered uniquely masculine. In the article "Female Pianists and Their Male Critics in Nineteenth-Century Paris," Katherine Ellis observes that Hoffmann contributed to this split by associating Haydn with words like "childlike" and "youths and maidens," thereby denying Haydn "the dignity of full masculinity through... consistent association with two forms of undeveloped humans, women and children."⁷⁷ Conversely, Beethoven's music was "regularly associated ... with the terror of the sublime, itself a masculine category in opposition to the feminine category of beauty."⁷⁸ It is likely that the Op. 28 Sonata was considered feminine owing to its tranquil beauty and lyricism; any sense of sublime terror is certainly absent from the work. If women could not study Beethoven and men only studied the masculine works, then who was left to play the *Pastoral* Sonata? Le

It is likely that all of the above played a role in the meaning of the *Pastoral* Sonata becoming obscured over time. Nevertheless, the music itself contains many signals; combined with an understanding of the pastoral topic, those signals show the sonata to be a thoughtfully crafted work. A year after composing the Op. 28 Sonata, Beethoven wrote in his Heiligenstadt Testament:

⁷⁶ For an excellent examination of Beethoven's reception history see Burnham, "The Four Ages of Beethoven," 272-291.

⁷⁷ Katherine Ellis, "Female Pianists and Their Male Critics in Nineteenth-Century Paris," in *Journal of the American Musicological Society* 50/2, 1997, 365.

⁷⁸ *Ibid.*

What a humiliation for me when someone standing next to me heard a flute in the distance and I heard nothing, or someone heard a shepherd singing and again I heard nothing. Such incidents drove me almost to despair, a little more of that and I would have ended my life.⁷⁹

It was not the symphony, the string quartet or even the piano that he lamented being unable to hear but rather the “flute in the distance” and the “shepherd singing”—two pastoral signifiers. Beethoven clearly valued the pastoral topic and continued to use it in other compositions throughout his life, but never again with the same Enlightenment implications. The Op. 28 sonata is a work that rewards a knowledgeable listener who studies it carefully—a fact that thinkers of the Enlightenment would have greatly appreciated.

⁷⁹ Swafford, *Beethoven*, 303.

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