Intentions and Interpretations: Form, Narrativity and Performance Approaches to the 19th-Century Piano Ballade

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PhD in Piano Performance and Related Studies

Abstract

This thesis is concerned with how a performer might engage with the supposed narrative elements in piano ballades of the nineteenth century, and more generally with the performative principles that would be needed to sustain a narrative realisation of music wherever it seemed appropriate. Of course, the presence of narrative elements in music is usually defined not according to the methods employed by performers, but to those familiar from literary, historical, contextual and analytic studies of the music-as-a-text. Therefore a first step is to examine the tensions between methodologies centred on the “work-as-a-text”, and those concerned with the act of performance. Some important distinctions between critical interpretations and performance interpretations are suggested, even if the former sometimes provide an instigating basis for the latter. Out of this comes a need to demonstrate that, in respect to musical “meaning”, performance has a generative as well as reproductive role, and that the processes and decisions embedded in the acts of rehearsal and the “unfolding-through-time” of performances are central to the creation and emergence of such meanings, including narrative meanings. Next, the evidence for the existence of narrative meanings in music is placed in a particular historical context (that concerned with the development of the piano ballade and its conventions), and in the framework of the changing aesthetic attitudes towards programme music in the first half of the nineteenth century – attitudes that played out in radically different ways in relation to those piano works by Chopin, Schumann and Liszt that form part of this study. The focus then turns to possible and actual performances of these works, and questions are asked about how performances, as implicative sonic shapes and gestural events, for example, might be analysed and theorised by employing recent methodologies of the discipline of performance studies. A final step is to develop and test those findings against a series of case studies of performance approaches to particular works – by Kullak, Chopin, and Liszt – the last two of which are included in the recital that accompanies this doctoral investigation.

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1: Introduction

This thesis is concerned with how a performer might engage with the supposed narrative elements in piano ballades of the nineteenth century, and more generally with the performative principles that would be needed to sustain a narrative realisation of music wherever it seemed appropriate. Of course, the presence of narrative elements in music is usually defined not according to the methods employed by performers, but to those familiar from literary, historical, contextual and analytic studies of the music-as-a-text. Therefore a first step will be to examine the tensions between methodologies centred on the "work-as-a-text", and those concerned with the act of performance. Some important distinctions between critical interpretations and performance interpretations will be suggested (even if the former sometimes provide an instigating basis for the latter).[1] Out of this will come a need to demonstrate that, in respect to musical "meaning", performance has a generative as well as reproductive role, and that the processes and decisions embedded in the acts of rehearsal and the "unfolding-through-time" of performances are central to the creation and emergence of such meanings, including narrative meanings. Next, the evidence for the existence of narrative meanings in music will be placed in a particular historical context (that concerned with the development of the piano ballade and its conventions), and in the framework of the changing aesthetic attitudes towards programme music in the first half of the nineteenth century – attitudes that played out in radically different ways in relation to those piano works by Chopin, Schumann and Liszt that form part of this study. The focus will then turn to possible and actual performances of these works, and questions will be asked about how performances (as implicative sonic shapes and gestural events, for example) might be analysed and theorised by employing recent methodologies of the discipline of performance studies. A final step will be to develop and test those findings against a series of case studies of performance approaches to particular works – pieces by Kullak, Chopin, and Liszt – the last two of which are included in the recital that accompanies this doctoral investigation.

Performances of any work will include many factors that contribute to making those performances effective. However, the emphasis here is on those aspects directly concerned with the creation, interpretation and understanding of narration in performance. To be sure,

[1] Significant literature on these distinctions in relation to music began to emerge at least two decades ago. See for example: Jerrold Levinson, "Performative versus Critical Interpretation", in *The Interpretation of Music*, ed. Michael Kraus (Oxford: Oxford University Press, 1993), pp. 33-60; and John Rink, "Translating Musical Meaning: The Nineteenth-Century Performer as Narrator" and Nicholas Cook, "Analysing Performance and Performing Analysis", both in *Rethinking Music*, ed. Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 1999), pp. 217-238 and 239-261 respectively.

effective narrations in performance could not be accomplished without proper control over techniques such as fingering and pedalling, or tone and touch, or degrees of articulation, However, these aspects are concerned with *how* musical understanding is to be displayed or made manifest at a technical level (perhaps after the interpretative decisions have already been made – that is, after "verdicts" have already been reached), not with *what* that understanding consists in or what conditions and structural approaches might allow narration to emerge or be discovered and expressed through performance. The emphasis here will be on the latter set of problems rather than the former.

Again, many factors involved in the act of performance such as body-image schemas, or the pianist's kinaesthetic experiences in relation to the resulting sound, may tell us much about how the performer conceptualises the sonic processes and physical expressions of performance, and manages and paces the event at local and large-scale levels, but they are also not the central concern here. For that reason the next chapter (Chapter Two) on "Methodologies and Practices", focuses only on those approaches that can assist in analysing the construction and conveyance of a particular musical interpretation through performance-related processes. In other words we should understand that a central application of the term "interpretation" in this study is to those perspectives which arise in "real time", in and through performances, as the performances themselves negotiate, supplement, and sometimes transcend features suggested by the written, formal ingredients of the work, or the expressive and representational intentions of the composer as indicated in the score or other kinds of documentation. Naturally there are many different types of meaning attributed to works by audiences, critics (whether historical or contemporary), biographers, historians and theorists of many hues. We should remember though that the particular "meaningfulness" of the sonic, musical experience is of a non-substitutable kind – and it is the production process of this type of sonic experience that this study is attempting to illuminate. Thus we are not directly advocating here an abstract theory of musical meaning as such. Rather we are attempting to shed light upon a process of performance engagement and to articulate the reasons for choices made by the performer in relation to the construction of narrative experiences in and through performance.

However, this does not mean that the goal here is to settle on infallible conditions and techniques for producing particular, unmistakable narrative effects. Ambiguity is a central aspect of the nature of artworks and is often a sustaining factor in relation to the value and

repeatability of particular performance interpretations.[2] Instead the aim is to suggest methodologies and practices that allow narrative aspects and characteristics to emerge from the notated score and its performances. After all, narrations themselves work as dramatic and compelling entities only in so far as certain connections are only gradually and partially revealed and certain outcomes are tentative or held in the balance. Moreover, such narrations retain their potency not so much by suggesting answers, as by raising questions about exactly what kind of journey has been undertaken and what its meanings might be.

This of course is not advocating confusion, but rather points to a need for a performer's implicative control of dramatic effects, the nuanced creation of characters, the inferring of certain connections, and the making of subtle distinctions between searching, loss, dénouement, climax and other attributes in the "emplotment" of the narrative. For the performer it also involves an awareness of exactly which performative, musical and structural features will allow those distinctions and ambiguities to become apparent. It is the various kinds of possible transaction between dramaturgical import, performative ingredients, and the notated features of the work that dictate the investigations in this study. For that reason several chapters of the thesis include an assessment of interview material from pianists who have constructed their own approaches to performing this repertory and to making manifest the programmatic meanings and conventions of the piano ballade.

Since any performer has to work in some way with the conventionalised significations of the score, the assumed or documented intentions of the composer, and historically established performance approaches associated with specific genres, this study needs to confront at an early stage exactly those contexts. Chapter Three "Styles and Ideas: Programme Music and Approaches to Musical Narrativity in the Piano Works of Chopin, Schumann and Liszt" explores how musical expression and interpretation were perceived in nineteenth-century European thought in relation to the aesthetic understanding of leading composer-pianists of the Romantic generation – Chopin, Schumann and Liszt in particular. More specifically, the unravelling of their different attitudes toward programme music will provide a foundation for uncovering how their piano notations clarified their interpretative approaches, as well enabling us to trace (at least embryonically) something of the evolving concept of musical

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[2] The ambiguity of the artwork (long discussed by Theodor Adorno and others) should not be taken as a simple equivalent to a performative "resistance to closure": the latter concept has played a significant role in discussions of postmodern performance in the writings of Lawrence Kramer among others. See for example his analysis of Schubert's *Erster Verlust* (D. 226) in his *Franz Schubert: Sexuality, Subjectivity, Song* (Cambridge: Cambridge University Press, 1998), pp. 14-26, and the further discussion of this work in Jonathan Dunsby, *Making Words Sing* (Cambridge: Cambridge University Press, 2004), pp. 124-132.

narrativity in general in the period. These explorations should assist us in the project of subsequent chapters which is to show how programmatic ideas might: 1) be signified in relation to certain works: and 2) made manifest in, or emerge in relation to, performances of such works. Part of the evidence here includes the approaches to pedagogy and the teaching of pianistic interpretation adopted by Chopin and Liszt, as well the impact of their individual performance styles on the development of pianistic cultures. These historically constructed performance practices, in conjunction with how keyboard programme music was understood at the time, form an important background to the "informed intuition" of today's performers in relation to this repertory.[3]

Aside from the historical development of the notion of narrativity there are also more recent attempts to theorise the concept. Chapter Four, "Theorising Narrativity in Works and Performances", explores some of the complexities of those theories and their implications for performance studies. Part one engages with the literature of the last two decades on concerning whether music can represent a narrative or whether it holds special kinds of narrative possibility of its own. There is a tendency for theorists to explore musical narrativity in relation to literary narrativity, either by using literary theories in an attempt to discern a transposed reflection of literary narrative in music, or by finding a common foundation between the two while understanding each art form through its own manifestation. This thesis focuses on what the term *musical narrativity* implies in relation to understanding the piano ballade as a narrative-like genre, and its performances as narrative-like displays. This in turn invites a broader argument regarding the metaphorical understanding of the nature of musical narrative which suggests a more general connection to the nature of instrumental music; that is, the notion that all music (and musical performances) can have narrative aspects in a similar manner to the way in which language can be said to have musical ones.

Exactly how such ideas might operate and be negotiated in particular cases is crucial to the enquiry of this study, and the following chapters apply these ideas to particular works and their performances. Chapter Five, "Practising Musical Narrativity", undertakes Case Study 1: Theodor Kullak's *Lénore* in relation to Gottfried August Bürger's poetic ballad *Lenore* through a critical view of the work. It examines *what* is presented (a literary ballad) in relation to *how* it is presented (a musical *Ballade*). Thus, Case Study 1 focuses on the relationship between the *rhetoric* of the poetical work and the *content* of the composition and its

[3] By using this term, Rink "recognizes the importance of intuition in the interpretative process but also that considerable knowledge and experience generally lie behind it". See John Rink, "Analysis and (or?) performance", in *Musical Performance: A Guide to Understanding*, ed. John Rink (Cambridge: Cambridge University Press, 2002), p. 36.

performance, and whether such a relationship could constitute or promise the existence of a musical narrative.

In turn Chapter Six "Practising Musical Narrativity – Case Study 2: Chopin's *Ballade* Op. 23", moves toward a performative application of theories on practising musical narrativity. Chopin's work, written in 1831-5, soon encouraged programmatic connotations mainly because of its genre title, and that influenced narrative interpretations by pianists and critics. Part one offers the stylistic and historical context of Chopin's Op. 23 leading to a generalised discussion of the evidence for narrative intent in the genre of the piano ballade. Part two provides a critical overview of selected analyses of Chopin's G minor *Ballade* in relation to performance interpretation. The existing varieties of formal understandings of the work are the result of different types of analytical methodology and their related structural findings. Given the fact that John Rink has already laid out for us snapshots of important analyses during 150 years of the *Ballade's* existence in his "Chopin's Ballades and the Dialectic", the goal here is not to provide yet another summary but to examine whether some assist better than others the *Ballade's* performance, and to consider possible ways forward.[4]

With this in mind, part three of Chapter Six documents my own performative approach in formulating an interpretation that in turn allows a musical narrative to emerge. The discussion reveals how Chopin's music has the potential to be personalised in many unique ways, and to evolve continuously. Here it is argued that it is Chopin's particular aesthetic approach to "poetic" piano performance that produces flexibility in the shaping of the work. Starting with a detailed examination of the work's introduction, the discussion reveals an approach to the entire *Ballade* that moves from performance to analysis, rather than the other way around. Specifically, it focuses on performance-relevant factors which emerged during the preparation, rehearsal and shaping of a performance and in themselves produce narrative implications. These factors include: (1) the shape and timing of a motive within a phrase, a phrase within a section, and a section within the work; (2) a developing sense of "narrative time"; that is, the momentum with which the intensity curve is constructed towards an ultimate point of direction; (3) textual differentiation in relation to thematic characterisation; (4) the varied treatment of repeated material in performance; and (5) what connections to imply or emphasise at what point and why. Another central concern is the identification of intensity curves and the placing of climaxes in relation to the energy-schema of the work. These kinds of aspects may not be viewed as of great importance to the analyst, although they

[4] John Rink, "Chopin's Ballades and the Dialectic: Analysis in Historical Perspective", *Music Analysis* vol. 13, no. 1 (Mar., 1994), pp. 99-115.

could undoubtedly provide vivid material for certain types of analytical investigation of musical works as made manifest in performance.

For a pianist a convincing shaping of Op. 23 can occur primarily during experimental, creative, "redesigning" of the work in practice, rather than through the "translation" or application of a prior analysis. Consequently, the overall goal of Chapter Six is to investigate narrative understanding in relation to Op. 23, by seeking a narrative voice through creative practice. It documents the process of practising a new musical work from day one, and rehearsing its performance. It is stressed that it distinguishes between practising how to perform from the actual act of performance as a public event. Practising and publically performing are treated as two different types of acts that together produce an ongoing evolution of understanding: the first is examined to explore what we might call a "performer's heuristic" in building an interpretation, whereas the second offers an opportunity for the "holistic evaluation" of the total performance effect.[5] It is this constructive preparation of, and "real-time" creation of a narrative display embodied in the total performance that becomes the central focus of Chapter Seven, "Performing Musical Narrativity – Case Study 2: Liszt's *Second Ballade*".

Liszt's *Second Ballade* is longer than any of Chopin's four *Ballades* and poses different challenges for the pianist. This is mainly because Liszt developed further the differentiation of characters, the thematic transformation, the climactic processes and the variety of pianistic approaches employed. He also took forward the structural ambiguity of works and thus placed to a heightened degree important decisions of emphasis in the hands of the performer, and gave him or her the power to evoke a powerful narrative experience out of material that perhaps has only shadowy indications of such an intended meaning. As will be discussed, there is some (inconclusive) evidence that Liszt's *Second Ballade* was influenced by the story of *Hero und Leander*. The suggested performance approach here took its point of departure from the idea that Liszt's compositional and pianistic techniques found in this work were the result of an attempt to preserve and project characteristics of that specific story, but without overtly illustrating it in his music. In other words, the story does not directly provide the content of the work or the performance, but in a subtle but pervasive manner it becomes their subject, the thing upon which they may be made to seem to ruminate via performance. The consequences of this are explored not only for narrative and structural theory, but also for

[5] For more on the term "performer's analysis", see: John Rink, "Analysis and (or?) performance", in *Musical Performance: A Guide to Understanding*, ed. John Rink (Cambridge: Cambridge University Press, 2002), p. 39.

pianistic practice. The results of this kind of understanding are discussed in relation to live performances and recordings of the work (including my own).

The exploratory nature of rehearsal and performance serves to build an emergent (if temporary) identity for the *Ballade* that combines its technical, expressive, musical, and emotional elements. In focusing on this creative process of exploration we can begin to see exactly how narrative understandings can emerge and be sustained. In this regard, the case of Liszt's *Second Ballade* in relation to Liszt as a composer-performer is particularly interesting. It seems that a misleading impression has been cultivated that Liszt's compositions were made principally to exhibit technical prowess (and as a pretext for the display of the performer as a rock-star "personality"), rather than to encourage interest in performance interpretations themselves. However, the creative elements in Liszt's music are not simply an "add on" after technical mastery and display is achieved; on the contrary, it will be argued that technical mastery in the performance of Liszt's *Ballade* can be effective only in so far as it serves the integration of structural and expressive elements in relation to a narrative approach to music. To that end, the discussions will explore a range of strategies for, and approaches to, developing a sense of ownership in my own interpretation of the piece. They will also perhaps suggest that performative meanings are not in opposition to those of the work, but rather help to establish a richer and more creative notion of the "work-concept" – one that needs an equal partnership between performer and composer.[6]

[6] Lydia Goehr, *The Imaginary Museum of Musical Works*, (Oxford: Oxford University Press, 2007); and Michael Talbot, ed., *The Musical Work: Reality or Invention?*, (Liverpool: Liverpool University Press, 2000); Jim Samson, "The musical work and nineteenth-century history", in *The Cambridge History of Nineteenth-Century Music*, ed. Jim Samson, (Cambridge: Cambridge University Press, 2002), pp. 3-28.

2. Researching Performance Interpretation Methodologies and Practices

In recent years technological advancements have created a shift in musicology towards the analysis of detailed performance practices and their meanings as performance. This so-called "performative" move has happened in an attempt to understand the process of the "making of a performance", based as it can be on years of experienced practising, playing, and listening, usually with the hope of producing a valuable "interpretation".[1] Researching musical performance as a process in this way has brought together many diverse disciplines.[2] The AHRC Research Center for Musical Performance as Creative Practice (CMPCP) for example, focuses on performance studies that strive "towards a new understanding of musical performance's creative dimension in live-music making".[3] CHARM's aim on the other hand, is "to promote the study of performance through a specific focus on recordings". Although this new focus is described as a *performative* one, the "findings" are often synthetic displays which attempt to visualise musical experience by illustrating it through graphic representation. However, the analysis and reduction of the ingredients of those processes to "scientific" data raises questions about the ability of such a method to capture fully the complex artistic decisions involved. It also begs the question as to whether we can find a solution to every artistic "problem" simply by observing the surface results of the creative processes as precisely as possible.

Owing to the considerations mentioned above, this chapter treats with some circumspection the investigations in cognitive psychology or neuroscience relating to the physiological causes

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[1] For more on practising, playing and listening, see: Stefan Reid, "Preparing for Performance", in *Musical Performance: A Guide to Understanding*, p. 109; and Mine Doğantan-Dack, "In the Beginning was Gesture: Piano Touch and the Phenomenology of the Performing Body", in *New Perspectives on Music and Gesture*, ed. Anthony Gritten and Elaine King (Ashgate: SEMPRE Studies in The Psychology of Music, 2012), pp. 234-265.

[2] For example, the RMA Study day held on Friday 22 November 2013 by the Faculty of Music at University of Oxford was titled "Researching music as process: methods and approaches." The announcement was as follows: "[The study day] will bring together researchers investigating the creative process in music from diverse disciplines, including sociology, ethnomusicology, psychology and anthropology, with the aim of discussing recent developments in the study of musical action, interaction, dynamism and change. This concern to understand musical workings rather than the musical work – music as verb rather than noun – reflects a broader performative shift in musicology over the past thirty years. With this turn, however, have emerged various epistemological and methodological challenges. How can we make sense of music when there remain many hurdles to our measuring, accounting for and interpreting music and musical experience in its all changeability and flux?"

[3] For more on the research of musical performance and on current performance studies see: http://www.cmpcp.ac.uk/contexts.html, accessed 31 December 2013.

of sound in musical performance. The goal is to recommend methodologies and practices which assist in recognising narrative aspects in the notated score, in deciding how to construct them into a performance so as to communicate something of the suspense and uncertain nature of a narrative, and consequently, in allowing a musical narrative to emerge. This is part of the thesis' overall attempt to study the display of musical experience through, as and in performance.

2.1. Interpretative Approaches to the Piano Ballade

As is well known, a composition can take on different meanings depending on the heuristic methods used to construct interpretations, and the various outcomes of those methods. Performance interpretations, for example, are those that are revealed through the act of performance, whether on stage or in a recording studio. On the other hand, a critical interpretation of a composition is not necessarily fully displayed through the performance though it may form the background to what happens. Rather it is typically a conceptualised account of what are deemed to be the more significant aspects of the content of the work, perhaps in interaction with certain traditions and styles, and it may also involve verdicts about its aesthetic value and its symbolic or contextual significance in the development of the composer or the history of music. There is a distinction between (a) forming a critical view of the work b) producing a view of the work through the unfolding process of performance, a view which rather than being completely calculated is more likely to be spontaneously emergent, and c) being aware of the performance as it unfolds (whether as a self-reflective performer or as a member of an audience) and hearing in it elements that might seem most richly related if collected under a concept such as programmatic, narrative or characterful, and which seems to confirm the sense of the genre title: for example, in the case of the piano ballade the musical elements are likely to be more coherently experienced if perceived in relation to the genre title, which traditionally carries implications of narrative and characterisation. In any case, musical interpretation requires decisions "about the contextual functions of particular musical features and the means of projecting them".[4] These various types of interpretation had emerged fully during the nineteenth century following changes in aesthetic attitude and musical theory which began fully to embrace apparently "abstract" instrumental music in their explanatory systems. There was a move away from seeing instrumental music as something merely diverting, or as a signifier of the "poetic" in a weak, parasitical sense; rather it was now characterised as something that could assert its own meanings in its own way (even if there were superficial parallels with poetic and dramatic

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[4] John Rink, "Analysis and (or) performance", in *Musical Performance*, ed. John Rink (Cambridge: Cambridge University Press, 2006), p. 35.

forms), and as a demanding medium that required thought and understanding for its full appreciation.[5]

The main purpose of many scholarly examinations of piano ballades is to establish a relationship between the instrumental and the poetic ballad based on structural similarities that are taken to be indicative of a common structural archetype between the two. This, however, gives the false impression that any particular piano ballade can be adequately understood with reference to some formal archetype, rather than through a detailed investigation of its individual features. James Parakilas in his *Ballads Without Words* argues that all of Chopin's *Ballades* have a three-stage form which corresponds to a common model of folk and folk-like literary ballad.[6] Parakilas is concerned to investigate the poetic ballad as much as the instrumental ballade through formal analysis. Charles Rosen in his *The Romantic Generation* on the other hand, focuses entirely on a detailed analysis of Chopin's *Ballades* as music, since his main interest is to explore Chopin's transformation of Classical counterpoint into Romantic colour.[7] Perhaps his most pertinent observations centre upon the harmonic ambiguity that characterises the *Ballades*, which he uses as a way of explaining how Chopin moved away from the clear-cut forms of the classical sonata style and towards his own style and approaches to formal problems. Jim Samson in his *Chopin: The Four Ballades* however, examines Chopin's piano *Ballades* from both historical and analytical perspectives.[8] He illustrates on the one hand, how the analytical perspective can tell us about what Chopin and his piano *Ballades* can mean to today's world, and on the other hand, how the historical perspective can explore the relationship between our world and Chopin's world. Samson achieves this through different avenues of investigation such as the social and stylistic history of the *Ballades*, their form and design, and through changing perceptions of the music as observed in different editions, among others.[9]

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[5] Stephen Davies and Stanley Sadie, "Interpretation", http://www.oxfordmusiconline.com/subscriber/article/grove/music/13863, accessed 17 March 2013. See also: Ian Bent, ed., *Music Theory in the Age of Romanticism* (Cambridge: Cambridge University Press, 1996). For a more detailed discussion see in Chapter Three: "Art, Music and the Change in Aesthetic Attitudes in the Early Nineteenth Century".
[6] James Parakilas, *Ballads Without Words: Chopin and the Tradition of the Instrumental Ballade* (Portland, Oregon: Amadeus Press, 1992).
[7] Charles Rosen, "Chopin: Counterpoint and the Narrative Forms", in *The Romantic Generation* (Cambridge, Massachusetts: Harvard University Press, 1995), pp. 279-360.
[8] Jim Samson, *Chopin: The Four Ballades* (Cambridge: Cambridge University Press, 1992).
[9] Similar attempts at analytical readings were developed in relation to Liszt's *Second Ballade* as well. See: Chapters Six and Seven for more detailed examinations and critiques of analytical approaches on Chopin's Op. 23 and Liszt's *Second Ballade*.

The debates surrounding the structural ambiguity of piano ballades are trifling compared to the controversy caused by any attempt to link the insights of musical analysis to musical performance in a prescriptive way. Even though many significant analysts/historians are (and were), professional performers and/or composers as well – such as Rosen and Schoenberg – there is still a general tendency to treat the practices of music performance and of music analysis independently. Samson, Rosen and Parakilas, for example, explore in great detail the structural reading of Chopin's four *Ballades* and his innovative compositional techniques. However, they hesitate to explore the idea of whether (and, if so, how) musical analysis or a possible structural reading could influence musical performance, or more interestingly, how the process of creating musical performance could influence the structural understanding of a work. Rink explores two opposing opinions on the subject: first, that some authors support the idea that a particular kind of analysis is in any case "implicit to what performers do"; and second, that performers *must* engage in a theoretically informed and/or systematic analysis of a work.[10] He explores the idea of the act of analysis as being either intuitive or conscious in relation to performance and he concludes that the insights gained from analysis are only one factor influencing the performer's conception of a work. He also brings out a crucial point: that the success of a performance will not be judged by its analytic rigour but by its musically cogent and coherent synthesis.

Nicholas Cook takes this a step further and argues even more openly that theorists are often "prepared to abandon the attempt to understand what performers do; theory, it seems, is not committed to understanding performers in the way it is to understanding composers."[11] He argues that a structurally informed performance is likely to be a more or less literal sonic analogue of a pre-conceived formal analysis and that such an approach is only one of several optional ways of constructing a performance. His strongest proposition is that "one should make analysis true *through,* rather than true *to*, experience", and this is what he calls the "performative epistemology" of music theory.[12] That is, an analysis should not be seen as a given template for experiences whether through performance or listening or contemplating, but rather as a kind of strategy, a way of seeking out and discovering what experiences actually emerge through the active interfacing of theory and music. Additionally, Joel Lester observes that there is something strikingly missing from the literature surrounding the relationship between musical analysis and musical performance. He asks why it is that theorists often recognise the creative genius of composers but they hesitate to grant a similar

[10] Rink, "Analysis and (or?) performance", in *Musical Performance: a Guide to Understanding,* p. 35.
[11] Nicholas Cook, "Analysing Performance and Performing Analysis", in *Rethinking Music,* eds. Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 1999), p. 241.
[12] *Ibid*., p. 252.

status to performers.[13] In fact, as Lester argues, performers are often treated as intellectual inferiors who needed to learn from theorists rather than as artistic or intellectual equals. He concludes by suggesting that analysts should understand what it is they analyse, especially when the goal of their analysis is to enlighten performers, and by the same token performers need to understand what they play.[14]

Mark Tanner offers an alternative contribution to the relationship between analysis and performance. In his article "The Power of Performance as an Analytical Discourse: The Liszt Sonata in B Minor" he provides a musical analysis of the specific work based on a detailed examination of recorded performances which he then relates to the work's structural ambiguity and programmatic intentions.[15] Specifically, Tanner argues that Liszt factors in ambiguities where they are most likely to influence a performer's conception and therefore, he "forces" the performer to make far-reaching decisions. He also suggests that structural ambiguity could be seen as an opportunity for alternative readings that contributes to the richness of the performances of such works.[16] This raises further questions on how ambiguity leads to richness, and what "richness" is in relation to performance.

The weakness of many analyses is a result of the failure to recognise ambiguity as an empowering tool, an open-ended process. One could take some of the above observations as clear indicators that structural ambiguity was in fact intentional on the composer's part, as part of an attempt to empower performers by providing them with a variety of interpretative possibilities.[17] Moreover, in relation to the repertory under discussion we need to consider what makes a musical work sound like a ballade. According to Chopin's pupil Lenz, Chopin taught his own *Mazurka* Op.33, no. 4 as if a ballade. Specifically, Lenz states that this piece is a ballade in all but name for which Chopin was stressing its narrative character. He recalls Chopin saying that the sudden arrival of the final chords "sweeps away the cohort of ghosts".[18] Liszt's remark on the *Mazurkas* is also revealing. He says, "One often meets in them with bars which might just as well be in another place. But as Chopin puts them perhaps

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[13] Joel Lester, "Performance and Analysis: Interaction and Interpretation", in *The Practice of Performance: Studies in Musical Interpretation,* ed. John Rink (Cambridge: Cambridge University Press, 1995), pp. 197-216.
[14] *Ibid*., p. 214.
[15] Mark Tanner, "The Power of Performance as an Alternative Analytical Discourse: The Liszt Sonata in B Minor", *19th-Century Music* vol. 24, no. 2 (Autumn, 2000), pp. 173-192.
[16] *Ibid*., p. 174.
[17] See: Chapter Four, "Can all Music be Narrative?"
[18] Jean- Jacques Eigeldinger, *Chopin: Pianist and Teacher*, ed. Roy Howat (Cambridge: Cambridge University Press, 2011), p. 75.

nobody could have put them".[19] This begs more questions. For example, what is the narrative effect of the apparently Chopin-sanctioned cut of bars 87-110, in some sources of Op. 33, no. 4?[20] And if Chopin taught his *Mazurka* as if it were a ballade, would it be reasonable to assume that the teaching of a ballade ought to differ from the teaching of a different genre? In turn, does the task of the performer alter according to the genre? Is there an appropriate mood for the performance of a ballade in order to allow a narrative character to emerge? With these questions in mind, the following section suggests aspects of a performative approach to the notated score that are essential in delineating and realising narrative interpretations, through an understanding of the nature of musical performance.

2.2. Allowing Narrative Performances to Emerge

Researchers in the field of both empirical musicology and psychology of music are interested in observing and documenting the musical event and what goes on during performance acts such as practising and interpreting. A central idea in both areas of study is the concept of expression.[21] Seashore, for example, writes that "the artistic expression of feeling in music consists in esthetic deviation from the regular – from pure tone pitch, even dynamics, metronomic time, rigid rhythms, etc."[22] For Clarke, Dibben and Pitts "Expression is the way in which a musician brings a piece to life, perhaps in a way that conveys his or her own personal interpretation of the music by manipulating certain aspects of performance but which nonetheless leaves the piece recognizable and intact."[23] And along the same lines Lehmann, Sloboda, and Woody write that "*Expression* refers to the small-scale variations in timing, loudness, and other parameters that performers insert at specific points in the performance. […] *Interpretation* refers to the way in which many individual expressive acts are chosen and combined across an entire piece to produce a coherent and aesthetically satisfying experience."[24] At this point, a distinction between expression and representation should be noted. Roger Scruton mentions that "Music may be used to express emotion, to heighten a drama, to emphasize the meaning of a ceremony; but it is nevertheless an abstract art, with no

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[19] James Huneker, "Mazurkas: – Dances of the Soul", in *Chopin, The Man and His Music*, (Auckland, New Zealand: The Floating Press, 2008), p. 303.
[20] Eigeldinger, *Chopin: Pianist and Teacher*, p. 150. (Notes to pages 75-78, no. 179).
[21] For a more detailed analysis on the philosophical difficulties surrounding the term expression see: Roger Scruton, "The Nature of Musical Expression", in *The Aesthetic Understanding*, (St. Augustine's Press, 1998), pp. 56-70.
[22] Carl E. Seashore, *Psychology of Music* (New York: Dover Books, 1938), p. 9.
[23] Erik Clarke, Nicolas Dibben and Stephanie Pitts, "Expression and communication in performance", in *Music and Mind in Everyday Life* (New York: Oxford University Press, 2010/2012), p. 35.
[24] Andreas C. Lehmann, John A. Sloboda and Robert H. Woody, "Expression and Interpretation", in *Psychology for Musicians* (New York: Oxford University Press, 2007), p. 89.

power to represent the world."[25] Along the same lines, Eduard Hanslick argues that "The representation of a specific feeling or emotional state is not at all among the characteristic powers of music."[26] Thus, the experience of music in rehearsal and in performance does not automatically involve specific thoughts about and responses in relation to a subject represented. If, then, interpretation derives from and is the result of expression, the performer is the central agent for shaping both through dynamic energetic processes. This automatically differentiates and elevates the status of the performer in relation to that of the composer. Performance culture is indeed a fact and is equally respected as the compositional culture.

2.2.i. On Musical Shape: Energy and Intensity

Rink argues that "performers have a seminal role to play in creating musical structures or their counterpart – musical 'shapes' – in each and every performance".[27] Indeed, several contemporary accounts of Liszt as a player reveal Rink's argument on how performance and thus the performers' decisiveness create musical structures. A description in the *Morning Post* mentions that "he [Liszt] daringly inverted the climax of the passage which led to its further development by a descent of scales rapid and restless as the rushing of a torrent down its steep."[28] But the most important comment is yet to come:

> It is by such readings and versions of the works of other masters that the genius of Liszt will bear to be tested, for they prove how inspiringly the creation of the others can act upon his wild and fiery imagination and with what new warmth and energy they invest a mind already brilliant and untameable in the outpourings of its own spirit.[29]

The idea of "such readings" implying the possibility of more than one reading, or the possibility of a climax to be inverted in our hands as performers implies that the way we choose to portray a musical score is what evidently defines and creates its structure. The poet Moritz Gottlieb Saphir writes about Liszt's playing: "Liszt knows no rules, no forms, no style. He creates his own. With him the bizarre becomes inspired, the strange comes to seem necessary […]."[30] This implies that perceived form and style is created during the process of preparing for performance or during the actual performance rather than during composition,

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[25] Roger Scruton, "Representation in Music", in *The Aesthetic Understanding*, (St. Augustine's Press, 1998), p. 71.
[26] Eduard Hanslick, "The Representation of Feeling is not the Content of Music, in *On the Musically Beautiful*, trans. Geoffrey Payzant (Indianapolis, Indiana: Hackett Publishing Company, 1986), p. 9.
[27] John Rink, Neta Spiro and Nicolas Gold, "Motive, Gesture and the Analysis of Performance", in *New Perspectives on Music and Gesture,* eds. Anthony Gritten and Elaine King (England: Ashgate Publishing, 2012), p. 268.
[28] Walter Beckett, *Liszt* (London: J. M. Dent & Sons, 1968), p. 134.
[29] *Ibid*.
[30] *Ibid*., p. 133.

even when dealing with the compositions of others. The musical work is being recreated rather than just reproduced, in which case almost nothing can be characterised as bizarre or strange because it is part of an inspired necessity that assists in creating an intended and coherent projection of the work. The pianist Clara Wieck mentions in her journal that Liszt "often wounds one's sense of the beautiful by destroying a melody."[31] These practices of reconfiguring melodies, reversing climaxes, and a sometimes studied disregard for the norms of style and form, were for Liszt part of an energising and energy-management process that gave music a sense of shape-in-time. His often spontaneous performances were the result of strong individuality that derived from the essence of conviction.

Sergei Rachmaninoff, one of the most influential performers of his time, explains how the shaping of a piece is constructed based on the point of the climax. Specifically, he states:

> This culmination, depending on the actual piece, may be at the end or in the middle, it may be loud or soft; but the performer must know how to approach it with *absolute calculation*, absolute precision, because if it slips by, then the whole construction crumbles, the piece becomes disjoined and scrappy and does not convey to the listener what must be conveyed.[32]

Rachmaninoff's approach reveals some of our most important considerations during a performance: making sure that the piece does not become disjointed and that the performance is capable of implying something coherent and meaningful to the listener. This is no different from that which Chopin and Liszt often taught their pupils. Chopin, just like Liszt, was known never to have played his own compositions twice alike. Edith Hipkins characteristically states that "to show me the style, he (Chopin) would make me hear it in an entirely different way from the previous time. And yet it was wonderful each time!"[33] Liszt's strong individuality as an interpreter is also evident by the interestingly different performing styles of his pupils, a fact that can be concluded by their own diaries and by their few existing recorded performances. Nonetheless, although Liszt was known never to play the same work alike twice, he stressed at every opportunity the importance for a performer to satisfy the composer by interpreting a work as the composer meant it to be interpreted.[34] Anton Strelezki describes a lesson on Schumann's *Fantasie* Op. 17 for which Liszt states that his own conception of the work had satisfied the composer and could be of help to young, rising pianists.[35] Interestingly, Schumann, whose own style was evidently different to that of Liszt

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[31] *Ibid*.
[32] Geoffrey Norris, *Rachmaninoff* (London: Dent, 1993), p. 78.
[33] Jean-Jacques Eigeldinger, *Chopin: pianist and teacher as seen by his pupils*, ed. Roy Howat (Cambridge: Cambridge University Press, 2011), p. 55.
[34] Beckett, *Liszt*, p. 64.
[35] *Ibid*.

and whom Liszt tried so faithfully to satisfy, writes to Clara: "I have been with Liszt the whole day… How extraordinarily he plays, […] I have never heard the like of it before… Much of it differed from my own conception, but it was always full of genius… the *Novelette*, in D major, particularly delighted me."[36]

At first, Chopin and Liszt's varied performances of the same work seem to contradict Rachmaninoff's idea of absolute calculation. Their seemingly different attitudes call for a number of subsequent questions: does Rachmaninoff's absolute calculation and absolute precision mean that his performances of the same piece were always the same in contrast to Chopin and Liszt's transforming performances? Is it necessary, or is it even possible for the small-scale variations in timing, loudness, articulation, nuances, among others, to be performed in exactly the same way in every performance so as to produce the same interpretation? And can the "shaping" of a piece remain the same if its projection is based on expressive variables such as timing, tension-release schemata, and dynamic processes? If the musical shaping at various local levels in performance provides the enabling basis for the emergent total structure of the musical display then, if those local shapes are sufficiently controlled and rehearsed, one could say that the overall interpretative effect could be calculated by means of that control. In this sense, musical shaping, which inevitably relates to the shaping of interpretation, can also be calculated and can remain the same during performance even by using expressive means that are variable based on the circumstances of a performance.

Rink explains that one of the ways in which performers give music a sense of shape in time is by:

> devising a hierarchy of temporally defined musical gestures from the small to the large scale. While playing, the performer engages in a continual dialogue between the comprehensive architecture and the 'here-and-now', between some sort of goal-directed impulse at the upper most hierarchical level (the piece 'in a nutshell') and subsidiary motions extending down to the beat or sub-beat level, with different parts of the hierarchy activated at different points within the performance.[37]

Indeed, we as performers are engaged in a complicated task while performing because we must think of the work as a whole, when we are simultaneously dealing with the moment as part of the whole. The existence of the moment within the whole serves the continuity of the work through the construction of a central climax. In turn, the central climax is also reinforced by other goal-directed climaxes with each one serving different purposes in the

[36] *Ibid*., p. 66.
[37] Rink, Spiro, and Gold, "Motive, Gesture and the Analysis of Performance", in *New Perspectives on Music and Gesture,* pp. 268-269.

shaping of time and energy. Thus, temporality is critical in the performer's conceptualisation of music.[38] Although Wallace Berry had reached almost the same conclusion as Rink, he accomplished it by moving from analysis to performance in contrast to Rink's approach that moves from performance to analysis. Berry argues that musical structure is "the punctuated shaping of time and "space" into lines of growth, decline, and stasis hierarchically ordered."[39] Cook points out that although it was Berry's book *Musical Structure and Performance* that marked the emergence of analysis and performance, his approach gives more a sense of a summation rather than the opening-up of a field.[40]

When we talk about the shaping of a performance, we usually refer to the phrase structure which is the most widely reported structural characteristic associated with performance expression.[41] In very general terms, the shape or direction of phrases bring together many expressive components such as the shaping of timing, dynamics, and articulation which are relative to the structure of music. Indeed, research in the field of Psychology of Performance shows that the three most important expressive parameters are those of timing, dynamic, and articulation.[42] Although such parameters are usually treated separately from the researchers' perspective in an attempt to gather data during performance, in reality they might well occur together in a complex interaction, depending on the repertory. Their interaction results in a certain energy and a predetermined tension-and-release schema, which underpin the impulse of the moment and the whole. Kurth explains this at the level of linear shaping, what he calls "the phenomenon of a unified melodic phrase".[43] According to Kurth, there is a twofold play of forces in music: "a force that tends toward a chordal consolidation of the tones", and "the energy that underlines linear shaping".[44] But in his theory of counterpoint, Kurth brings out an interesting aspect: although the union of the two forces, their confrontation, is what produces artistic effects in music, at the same time it is completely incorrect to take the union of linear and chordal elements as the goal of performance.[45] By resisting the union the musical activity gains room for experimenting and producing linear polyphony. In Kurth's words, "The crux

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[38] Rink, "Analysis and (or?) performance", in *Musical Performance*, p. 36.
[39] Wallace Berry, *Structural Functions in Music* (New York: Dover Publications, 1987), p. 5.
[40] Nicholas Cook, "Analysing Performance and Performing Analysis", in *Rethinking Music,* p. 239.
[41] For more on shaping see: Clarke, Dibben and Pitts, "Expression and Communication in Performance", in *Music and Mind in Everyday Life*, p. 41.
[42] Eric F. Clarke, "Generative principles in music performance", in *Generative Processes in Music*, ed. John Sloboda (Oxford: Oxford University Press, 2005), pp. 1-26.
[43] Ernst Kurth, *Selected Writings*, ed. and trans., Lee A. Rothfarb, (Cambridge: Cambridge University Press, 2006), p. 44.
[44] *Ibid*.
[45] *Ibid*., p. 45.

of contrapuntal theory is *how two or more lines can unfold simultaneously in the most unhampered melodic development* – not by means of harmonies but *despite* the harmonies."[46]

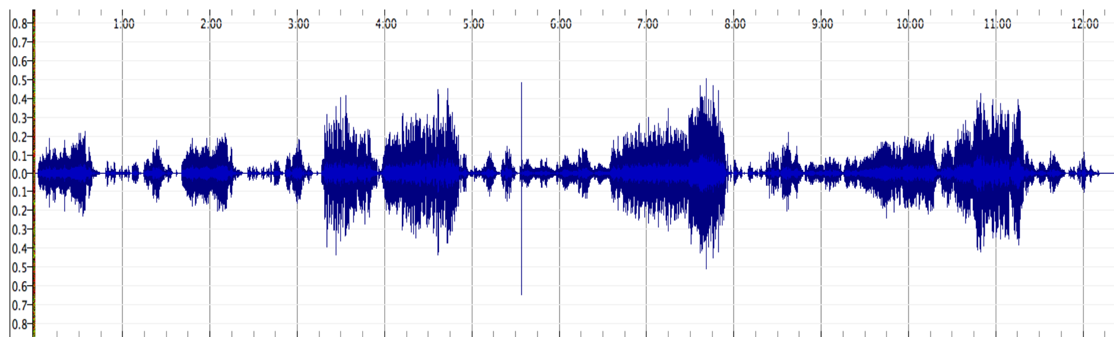
Indeed, if we accept that "the energy of the line as the formative power of structure" can preserve "the horizontal current as the chief determinative current", it might thus create possibilities of multi-dimensional shaping even in linear melodies (because of the ambiguities of implicative tensions, suggested voice-leadings, the open-ended possibilities of significance in relation to longer phrase-spans, and so on).[47] Such energy conveys differentiations in characters, moods and colours, even within single linear phrases. By realising the phrase's contextual purpose within the overall melodic shape of the musical work, it offers our imaginations new possibilities as to how segmented thinking might create coherently linear directions throughout the work's performance. And we might take this a step further by applying the same approach to the harmonic movement which, by shaped articulation, can be made to have an ambiguous but linear significance. This type of musical activity gives room for experimenting and producing linear polyphony as well as harmonic linearity. In turn, such interpretative treatment allows the musical narrative to emerge as will be further illustrated in subsequent chapters. These are important performance skills in relation to the creation and projection of narrativity in music. After all, musical narratives and narrative interpretations require special kinds of performative support in relation to the representation of characters, the sudden shifts in plot, the withholding of information for dramatic effect, the revelations of the dénouement and other factors. Thus, here it is argued that the starting point of coherence for narrative interpretations should be the understanding of fragmentation.

Complex and layered patterns of tension and release, then, are essential ingredients for the generation of narrative effects within the performance, and such patterns operate within monophonic lines as well within the implied or actual polyphony of voice-leading textures and their relation to goal-directed harmonies. Taken together these performance effects allow an internal dynamism to develop fed by their energetic tensions. Often, the tensions emerge from the withholding of information for dramatic effect, or by the diminution of elements that reveal a certain type of energy or character instead of another. Such is the case in the introduction of Chopin's Op. 23, for which a detailed discussion of the effects of various performance approaches is provided in Chapter Six. This results in a kinetic tension that either moves the structure forward or holds it back by creating contrasts. Consequently, the tension-and-release schemata are carefully put together in constructing a goal-directed shape of the overall structure. This is what Berry calls the "intensity curve". According to him the

[46] *Ibid*., p. 47.
[47] *Ibid*., p. 48.

intensity curve is "delineated by groupings and controlled associations of events underlying nearly all composed music".[48] Rink develops the concept further by tracing an intensity curve in Liszt's *Vallée d' Obermann.* For him, intensity curve is "a graphic representation of the music's ebb and flow, its 'contour' in time, determined by all active elements (harmony, melody, rhythm, dynamics, etc.) working either independently, in sync, or out of phase with one another to create the changing degrees of energy and thus the overall shape."[49] For comparative purposes a visual representation of my live-recorded performance of Liszt's *Second Ballade* is provided below.[50] The application used is Sonic Visualiser which helps in viewing and analysing the contents of music audio files.[51] The horizontal axis is calibrated in minutes and seconds representing the duration of the performance, and the vertical axis shows frequency, indicated by a scale in Hz on the left, representing the volume of the performance. A discussion on practising and on displaying musical narrativity in the particular work is provided in Chapter Seven.

Sonic Shape 2.1: Liszt, *Second Ballade*, Andri Hadjiandreou



To conclude, performances are shaped in certain ways because they are expected to convey something and thus, to be experienced not only by the performer but by the listener as well. Although the ways a musical work is experienced can vary between listeners the same way it can vary between performers, the element which can be more easily and more directly communicated to the audiences is its intensity curve. This happens because the intensity curve depends on the work's formal energy in combination to our abilities as performers to create

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[48] Berry, *Structural Functions in Music,* p. 4.

[49] John Rink, "Translating Musical Meaning: The Nineteenth-Century Performer as Narrator", in *Rethinking Music*, eds. Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 2001), p. 234.

[50] This performance was given as part of fulfilling the recital requirements for the MPhil/PhD in Performance Practice and Related Studies, Goldsmith's College, University of London. London: Deptford Town Hall, 13 March 2007.

[51] For more on Sonic Visualiser see: http://www.sonicvisualiser.org/, accessed 31 December 2013.

moods and progressions of performance. And in turn, formal energy requires an appropriate tone production in relation to character and to thematic formation. But listeners' reaction to music will occur regardless of whether they can or cannot follow the synthetic process of performance interpretation, as long as they can recognise or feel the tension-and-release schemata; in other words, the shaping of energy. Consequently, the way music is experienced leads to another aspect that is closely related to and influenced by musical shape; that of gestures.

2.2.ii. On Musical Gestures versus Pianistic Mannerisms

Recent research in the area of musical shapes and of shaping has indicated a close relationship between musical expression and physical gestures, meaning that the way a performance is presented can influence the way music is experienced. Particularly, research in the field of music psychology has shown that what an audience *sees* can heavily influence what it *hears*.[52] Zbikowski for example, argues that musical gesture adds something crucial to communication as it is a reflection of the essential materials of musical expression which form the basis of musical grammar.[53] To this extent, Rosen argues that pianists employ a choreography of gestures in their playing which forms a visual indicator of what the performer is feeling so as to convince the audience and therefore, the gesture becomes part of the interpretation.[54] Here I add that even more crucial is the issue of fingerings, since they subtly inflect the range of possible physical gestures that underpin the musical ones – including phrasing. Although fingering is part of a pianist's practical activity, it is concerned with thinking about what the music means as much as getting the correct notes. Therefore, the choice of fingering – which is itself the most rudimentary form of choreography – often, reflects the way a performer chooses to shape a specific phrase in a specific context.

Along the same lines as Rosen, Davidson argues the possibility that pianists developed specific gestures for particular musical expression, a gestural movement repertoire.[55] She comments on Gellrich's conclusions, which suggest that specifically learned movements and gestures furnish a performance with expressive intention. Such gestures can provide the

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[52] Andreas C. Lehmann, John A. Sloboda, and Robert H. Woody, "The Performer", in *Psychology for Musicians*, (Oxford: Oxford University Press, 2007), p. 166.
[53] Lawrence M. Zbikowski, "Musical Gesture and Musical Grammar: A Cognitive Approach", in *New Perspectives on Music and Gesture*, eds. Anthony Gritten and Elaine King (England: Ashgate Publishing, 2012), pp. 83-84.
[54] Charles Rosen, "Body and Mind", in *Piano notes: The World of the Pianist* (New York: Free Press, 1994), pp. 30-31.
[55] Jane Davidson, "Communicating with the body in performance", in *Musical Performance: A Guide to Understanding*, ed. John Rink (Cambridge: Cambridge University Press, 2006), p. 149.

observer with information which assists in understanding the performance because they can clarify meaning.[56] The specific idea seems timeless in comprising persuasive performance especially before the era of recorded music. Because of the visual dimension, a performer's ability to communicate an interpretation to the audience takes a different meaning during live performances. The focusing on the performative meaning of the performer's body that persuades the audience to "read" the "metaphors" of music in one way rather than another influences the way one hears and, therefore, the way one perceives a performance. This partly explains the growing necessity that the relationship of performer and audience, and to this extent the crucial importance of auditory perception, had to be taught. C. P. E. Bach mentions that "Those who maintain all of this [referring to aspects of constantly varying the passions] can be accomplished without gesture will retract their words, when owing to their own sensibility, they find themselves obliged to sit like a statue before their instrument."[57] He explains that fitting expressions help the listener to understand the performer's meaning of the work. Years later, the same was taught by Liszt. Carl Lachmund in his diary notes describes a lesson given by Liszt to Klahre in 1884, on Liszt's *Second Ballade*, where he quotes him saying: "Sit still; and hold your head up erect. This opening period of the Ballade should be played in a broad and majestic manner – and one should sit accordingly."[58] Thus, for Liszt the gestural code for depicting a broad and majestic manner during performance is to sit still and look up – or, at least, he believed such a posture would engender in the performer the appropriate physical and emotive empathies and identifications that would lend conviction to the portrayal of such states.

Liszt's performing attitudes and pianistic mannerisms are a particularly interesting example because they created a cultural memory for contemporary audiences. They also revealed a necessity for putting together a show in an attempt to promote the beginning of solo performance culture. Schumann characteristically comments: "If Liszt played behind the scenes, a great deal of poetry would be lost."[59] This means that the way Liszt was presenting his performances added expressive elements in support of his interpretations, in an attempt to be convincing and communicative with the audience. The way he visually displayed himself while performing was such a strong mark of his individuality and identity as performer that it

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[56] *Ibid*., p. 148.
[57] C. P. E. Bach, "Performance", in *Essay on the True Art of Playing Keyboard Instruments*, ed. and trans. William J. Mitchell (New York: W. W. Norton & Company, 1948), p. 152.
[58] Alan Walker, *Living with Liszt: From the Diary of Carl Lachmund, an American Pupil of Liszt*, *1882-1884* (Pendragon Press, 2010), p. 308.
[59] Robert Schumann, *On Music and Musicians*, ed. Conrad Wolff, trans. Paul Rosenfeld (1946; reprint New York: W. W. Norton & Company), p. 156. Translation modified by Lawrence Kramer in his *Musical Meaning* (USA: University of California Press, 2002), p. 71.

turned him into one of the most sketched and cartooned artists of the nineteenth century.[60] The Boissier diary mentions Liszt's insisting that "the body be straight and the head pushed more backward rather than bent forward; this he demands categorically […]".[61] However, several pictures illustrate him either with his head pushed backward away from or leaning forward extremely near to the keyboard.[62] Therefore, the fact that Liszt's performing style often contradicted his own teachings on the matter shows that gestures are also evoked impulsively based on the mood and circumstances of a particular performance. This also calls for the question: if pianists such as Chopin and Liszt had the ability to record their performances, would they have inevitably altered their teachings? In other words, would they have commented on the elements that constitute effective recorded performances, and on the different factors that should be taken into consideration between live-recorded and studio-recorded performances?

I take this a step forward and I argue that there are instances where a musical score almost requires a physical gesture to ensure that a particular musical meaning will emerge. Such is the case in the introduction of Chopin's *Ballade* Op. 23. While practising it, I came across a "peculiar" moment. It was the *crescendo* which starts on G in bar 6 continuing through the sustained chord in bar 7 (see Example 2.1).

Example 2.1: Chopin, *Ballade* Op. 23, bars 1-10.[63]

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[60] Kramer, *Musical Meaning*, p. 71.
[61] Derek Watson, *Liszt*, ed. Stanley Sadie (Oxford: Oxford University Press, 2000), p. 178.
[62] Kramer, *Musical Meaning*, p. 88.
[63] Frédéric Chopin, *Balladen: Ballades,* ed. Ewald Zimmermann (Munich, Germany: G. Henle Verlag, 1976), pp. 5-19.

Since keyboard instruments can only decrease the sound of sustained notes, such a direction could only be perceived as a-moving-forward thought toward *Moderato* rather than an increase in the volume. It seemed apparent that the only way to evoke a *crescendo* was as a metaphor; that is, through a mental procedure which was starting to show intuitively on my body gesture in order to allow meaning to emerge. It felt like an intense moment which was closely related to internal energy and which had translated into a body gesture of leaning forward into the piano in an attempt to create the illusion of a *crescendo*.

Along the same lines, Rosen moves away from the listener and suggests that the choreography has a purpose for the performer as well. It becomes a way of conducting the music or a kind of self-encouragement.[64] During the process in which a performer discovers or invents a narrative, either an emotional or a musical one, such a narrative may also have to be conveyed through a gestural grammar. But even in these instances, such a pre-calculated choreography does not consequently mean that the performer's physical engagement with the music will produce definitive or objective projections of their musical ideas for the receptive listener/observer. Krystian Zimerman for example, in a live performance of Chopin's *Ballade* Op. 23 chooses to portray the characteristic F♯ of the introduction in a way that shows a predetermined choreography with the purpose to evoke a certain narrative character; that is, a very unsure or reluctant hand gesture. A subjective account of the specific gesture is that it is part of the performer's attempt to mirror music's structural uncertainty onto a physical gesture, creating a feel as if something is about to change unexpectedly.[65] On the other hand, the Russian Vladimir Horowitz in his televised concert at Carnegie Hall appears with a much steadier posture and chooses to perform the beginning of the introduction with a harsher, plainer sound, indicating perhaps a more distant approach than the one imposed by Zimerman.[66]

Although I recognise the significance of physical gestures, I distinguish them from musical gestures. The reason being is that performers often develop physical gestures into pianistic mannerisms which need to be treated with circumspection especially when such gestures are no longer serving a specific hand-choreography through which musical shaping is achieved. In such instances they can interfere with expressive elements and in turn, they can wound an interpretation. Alfred Brendel for example, states that when he first saw himself on television, he realised that he had developed all kinds of gestures and grimaces that contradicted what he

[64] Rosen, "Body and Mind", in *Piano notes*, p. 31.
[65] Krystian Zimerman, "Chopin's ballade Op. 23 in G minor", http://youtu.be/RP7eUSFsn28, accessed 1 December 2011.
[66] Vladimir Horowitz, "Television Concert at Carnegie Hall", http://youtu.be/XhnRluGZ_dc, accessed 1 December 2011.

meant to communicate musically.[67] He then placed a standing mirror beside his piano that enabled him to observe what he was actually doing during performance and to readjust it to what he wanted to suggest through his interpretations. At the same time Brendel argues that there is a musical function in the gestures a performer makes that draws attention to certain moments in the music. Brendel's realisation reveals that no matter how certain moments of importance are bodily illustrated and therefore interpreted and characterised by observers, the point is that those certain moments are in fact chosen to be experienced in a particular way as if part of something. Thus, it is not the body movements *per se* that are of importance. It is the actual chosen moments that reveal something of essence in the music's shaping. Therefore, here I argue that those certain moments are what can be described as *musical* gestures.

Musical gestures then are inevitably present in either live or recorded performances whereas body gestures can only interfere with musical meaning during live performances.[68] This means that musical gestures are exclusively connected to the overall shape of the performance. Thus, they are not unavoidably related to body gestures although they can be displayed through them, based on the individuality of the performer and on a number of other psychological factors and performance circumstances not relevant to this study. On the contrary, body gestures and pianistic mannerisms can be more easily readjusted to overcome the circumstances of a performance, rather than to support or act upon the musical content of a particular work. This can be observed in the cases of modern performers such as Valentina Lisitsa, who chooses to perform on out-of-tune upright pianos, in subways and central squares, often talking to strangers while playing, or smiling when the train arrives during Liszt's *Totentanz.*

Therefore the project here is to separate (for the purposes of investigation) musical gestures from their common association with physical gestures, and to ask what a purely musical narration might sound like and how it might be achieved through performance.[69] The sound

[67] Brendel, *On Music*, p. 369. To this extent, even in the case of performers such as Leslie Howard who choose minimal physically involvement to support the projection of expressive meaning, such choice still influences the listeners' experience to the performance one way or the other. He states that he tries not to be too facially and bodily expressive during performances because such gestures will inevitably interfere with the music. Thus, he prefers to use only certain gestures that accommodate muscle relaxation. Andri Hadjiandreou, *Leslie Howard: Interview on Performing Liszt,* Goldsmiths College: University of London, 23 March 2013.

[68] Rink refers to the musical gestures which emerge from analysing performances. See: John Rink, Neta Spiro and Nicholas Gold, "Motive, Gesture and the Analysis of Performance", in *New Perspectives on Music and Gesture*, pp. 267-292.

[69] Rolf Inge Godøy and Marc Leman, eds., *Musical Gestures: Sound, Movement and Meaning* (New York and London: Routledge, 2010); Robert Hatten, *Interpreting Musical Gestures,*

should be shaped through an understanding of how climaxes are chosen, how they are constructed independently, and how they are interwoven with each other so as to create gestural energy. Thus, I also argue that gestural energy is a fundamental aspect in evoking narrative performances. In the chapters that follow, the gestural energy of particular pieces will be displayed as visual representations of both studio-recorded as well as live-recorded performances (using Sonic Visualiser). A secondary task will be to assess the distinction between the narrative and programmatic associations that a work might have (if not in content, then as its instigating subject matter), and the audible features of the performance itself. In other words, to suggest ways in which an audience might not only, in the performance event, assess the "meanings" of the work, but also the "meanings" of the performance.

To conclude, it is not a coincidence that the Romantic piano repertoire is characterised by a richness of information in the scores serving a new overtness in the need to emphasise a goal-directed energy in performance. Of course, not all of these goal-directed instructions were concerned with narrative, because narration is a special kind of goal-directed activity. It involves not only tension and release (which may be varied, but fairly abstract), but also identifiable protagonists or character-type features that can act as narrational agents, and events that cohere in such a way as to suggest a "plot" – that is to provide some continuous, reasoned sequence of events that raises "questions" and provides "answers", or at least resolutions or reflective states of mind. Important figures such as Chopin, Schumann, and Liszt provided specific indications in terms of pedalling, dynamics, phrasing and expressive markings. This was part of an attempt to describe a particular mood or manner of performance, and to create textural variety rather than harness the performer to a particular interpretation of the music. It resulted partly from the fact that musical expression and expressive playing in particular became important concepts especially after the 1800.[70] It also coincided with the fact that the early nineteenth century marked the beginning of the distinction between performance and compositional cultures. There was a new interest in being faithful to the composer's intentions which instigated the production of Urtext (original text) editions, from which today's performers can benefit. At the same time, however, the essence of Romantic piano performance was not to create literalist performers that would reproduce what a composer might have considered his final or preferred version of a work, that is, a literal translation of musical thoughts and structures. Rather it was to leave all other

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Topics and Tropes: Mozart, Beethoven, Schubert (Bloomington and Indianapolis: Indiana University Press, 2004).

[70] Nancy Kovaleff Baker, et al. "Expression", http://www.oxfordmusiconline.com/subscriber/article/grove/music/09138, accessed 17 March 2013.

interpretational choices to the performer's discretion in the process of shaping a performance. This created originality and spontaneity of spirit. Such characteristics were the basis for developing individuality in performers which cultivated even further the ideas of how performers choose to give music a sense of shape and coherence.

This partly explains why significant changes relating to the notated score itself are observed especially during the second half of the nineteenth century. It was editors who added recommendations, sometimes even titles, with a highly personal view of the text (that often derived from students' notes or from the performing habits of contemporary performers) in an attempt to give the impression that a "living link" was being maintained with the composer.[71] In some instances *tempi* were determined based on the editor's realisation of the score which were not necessarily in agreement with the composer's own approach, but instead revealed the trends of a "modern performing style".[72] However, even on those occasions when such indications are considered aids to creating a proper interpretation of the piece, one must remain cautious when trying, for example, to play Chopin's *Etudes* at the marked metronome *tempi*, when those specific markings were intended for instruments of the 1830's which had a much lighter action than the modern piano. The attitude of fidelity to the notated score leads directly to aspects of musical content in performance. Therefore, what follows is an attempt to understand how the performer's "informed intuition", to use Rink's words, helps in shaping performance interpretation by exploring styles and ideas through pianistic approaches to programme music.[73]

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[71] Jim Samson, preface to Fryderyk Chopin, *The Complete Chopin: A New Critical Edition. Ballades*. (London: Edition Peters, 2006), pp. iv-v.
[72] Sandra P. Rosenblum, *Performance Practices in Classic Piano Music* (Bloomington and Indianapolis: Indiana University Press, 1991), p. 18.
[73] John Rink, "Analysis and (or?) Performance", in *Musical Performance: A Guide to Understanding*, p. 36. See also: Eric Clarke's discussion on Shaffer, "Understanding the psychology of performance", in *Musical Performance: A Guide to Understanding*, pp. 59-72.

3. Styles and Ideas: Programme Music and Approaches to Musical Narrativity in the Piano Works of Chopin, Schumann and Liszt

3.1 Programmatic mechanisms and the role of the Performer

The development and acceptance of the piano ballade as a major genre in the nineteenth century rested partly on the supporting context of the increasing centrality of programme music. However, this was not simply a matter of linking music to scenes, stories, events and human characterisation and gestures. All of these things had been done before the nineteenth century, and so far as the keyboard repertoire is concerned, they were already firmly established by 1700.

Johann Kuhnau's *Biblical Sonatas* for keyboard provides a famous example with its six movements all prefaced by a specific reference from the Old Testament, and with its individual sections of music being provided with further descriptions.[1] Of more significance is the fact that these pieces demonstrate just how varied the devices we group together under the description "programmatic" can be. In Sonata no. 1 (David and Goliath), for example, they range from an imitative replication of the jangling clashes of combat, to the presentation of an actual dance movement for the rejoicing of the Israelites (to which, presumably, we are invited to imagine them dancing), to a brisk, running fugato which metaphorically represents the flight of the Philistines. Elsewhere Kuhnau's music seems to invite us to hear the opening of Sonata 4 as Hezekiah's lament, or perhaps perform the gestures and slow harmonic rhythms and tensions of Sonata no. 5 as suitable "mood music" for the performer personally reflecting upon, and conveying to the audience, the emotive meanings of the tomb of Jacob. The kaleidoscopic parade of devices even within one piece cannot easily be reduced to a simple list of rhetorical figures, or some kind of "word painting", or the employment of imitative devices, or an evocation of the notion of *Affekt* – even if contemporary theorists fell back upon such taxonomic explanations with confidence.

Equally complex "meaning mechanisms" can be found among the immensely popular "battle" pieces of the late eighteenth century such as Franz Kotzwara's (František Kocžwara) *Battle of Prague* (c1788) and J. B. Vanhal's programmatic keyboard sonata *Le combat naval de*

[1] See Johann Kuhnau, *Biblische Sonate Nr. 1*, ed. Lothar Hoffmann-Erbrecht (New York: C. F. Peters, 1964). Programmatic approaches continued to appear in the piano repertoire throughout the eighteenth century. François Couperin's Twenty-fifth Order of his fourth book for clavecin (1730) carry suggestive titles such as *La Visionaire* (The Dreamer), *La Misterieuse* (The Mysterious One), and *La Muse Victorieuse* (The Victorious Muse), among others.

Trafalgar et la mort de Nelson (c1806). According to Paul Harris, Kotzwara's *Battle of Prague*, which is based on the 1757 conflict between Prussia and Austria, "was one of the most often played and popular of all concert pieces. Audiences were much more likely to hear it than a sonata by Mozart, Beethoven or Schubert", although it was not a work of a particular musical genius.[2] The sonic replication of real-life devices such as trumpet calls, cavalry signals, fanfares of victory, and the use of *God Save the Queen* before the *Finale*, make the piece easier, if not to understand, then to associate with particular events, times and nations. The fact that (apparently) it did not need to be explained made it attractive to the contemporary audience, even if a taxonomic list of the devices employed could neither fully reveal nor guarantee the value (or otherwise) of the work in musical or social terms.

A related kind of extra-musical significance can be found in works which attempt to deck themselves out with the gestures and tensions of emotions, and centre themselves upon character portrayal through a mosaic of attributes and mimicked events. Jan Ladislav Dussek's *The Sufferings of the Queen of France* Op. 23 (1793) is of this type, and it carries out its project within a single movement work comprising a number of titled episodes. It claims to portray the feelings of Marie Antoinette during her imprisonment at the Temple Prison in 1792, where she was convicted for treason and executed on October 13, 1793.[3] A characteristic gesture showing some sort of mirroring of the story in the music is the drop of the guillotine during the ninth movement, which is illustrated by a sudden and *fortissimo* glissando that marks Marie Antoinette's death. The Kipnis edition refers to the piece as a fine example of programme music of the time in ten movements, but Frederick Niecks describes it as "scrappy, uninspired, and not in the least convincing as regards painting and expression".[4] It is possible that the work's awkwardness rests in its lack of continuity, its plethora of self-contained sections, and this gives us a clue to its difficulties. Like much early so-called programme music it is music *for* a programme (i.e., written as a suitable accompaniment to an already stipulated scenario), but it does not concomitantly operate in musical terms *as* a programme (i.e., providing its own momentum, direction and coherence – attributes which we associate more readily with nineteenth-century programme music).

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[2] Paul Harris, "The strange and most extraordinary tale of The Battle of Prague" [2009], preface to Franz Kotzwara, *The Battle of Prague* (London: Queen's Temple Publications, 2009), p. 2.

[3] Igor Kipnis, preface to Jan Ladislav Dussek, *The Sufferings of the Queen of France, Op. 23* (New York: Alfred Publishing Co., 1975), p. 2. The first edition was published by Corri and Co and a possible second publication according to Igor Kipnis, the Pleyel edition, was printed between 1796-97 in Paris carrying the title *Le mort de Marie Antoinette*. The Kuntze edition printed in Amsterdam probably between 1796-99 and the Müller edition printed in Sweden between 1819-23 are the ones to follow.

[4] Frederick Niecks, *Programme Music in the Last Four Centuries: A Contribution to the History of Musical Expression* (Florida: HardPress Publishing, 2013), pp. 105-106.

A different kind of contribution to the concept of programme music can be found in the *empfindsamer Stil* works of C.P.E. Bach. Of course there is again the attempt to convey the gestures and intensities of passions, especially in his fantasias (derived in part from rhetorical devices found in the free-rhythm French preludes of the previous generation), but these are now allied to new expressive and formal devices. In relation to the expressive in particular we have the notion of *Empfindsamkeit*, an attitude of "sensibility" rather than of any direct kind of emotivism. This is an important development because it not only requires the composer to write a particular kind of music, but the performer also needs to have a particular kind of attitude – perhaps of sustained poise and an almost abstract restrained delicacy – that will evince from the sometimes spare and simple melodic ideas the most telling aesthetic impact. In other words this is not a matter of overlaying the music with personal emotions, but rather of creating through concentrated skill and alert continuity of vision a sense of direction and purpose throughout the performance – skills that lie at the heart of performative narrativity as we shall discover later. In his *Essay on the True Art of playing Keyboard Instruments* (*Versuch über die wahre Art das Clavier zu spielen*, 1753) C.P.E. Bach makes several attempts to describe this necessary performative attitude, especially in Part I, Chapter 3.[5] He says firstly, that to move the affections the performer must "play out of the Soul/Spirit";[6] secondly, that performers must employ gestures and expressions to "help the listener to understand our meaning" (and we note here that "our" refers to the performer's meaning, not the composer's);[7] and thirdly, that if music is played by "a person of delicate, sensitive insight who knows the meaning of good performance … the composer will learn to his astonishment that there is more in his music than he had ever known or believed. Good performance can, in fact, improve and gain praise for even an average composition."[8]

There is clearly the implication here that there is another dimension to musical meaning provided by the performer, and that that extra dimension is not simply a dispensable supplement. Also the references to the required "delicate and sensitive" attitude, and playing out of one's "spirit" suggest that the effectiveness of these works cannot be fully explained by stock references to rhetoric, or by constructing a lexicon of "Affects", or by simply distinguishing expression from representation in the music. Rather, C.P.E. Bach implies, the effectiveness is produced by a self-reflexive observational regard for continuity on the part of the performer. He says that if the performer is to handle the constantly varying passions in a piece in a musical manner, it is vital that "he [or she] will barely quiet one before he [or she]

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[5] C.P.E. Bach, *Essay on the True Art of Playing Keyboard Instruments* (Berlin: Christian Friedrich Henning, 1753, New York: W. W. Norton & Company, 1949).
[6] *Ibid*., pp. 149-150.
[7] *Ibid*., pp. 152-153.
[8] *Ibid*.

rouses another".[9] Moreover, because this requires critical insight and understanding "it is only rarely possible to reveal the true content and effect of a piece on its first reading".[10] In other words, rehearsal is an essential part of the process of constructing the performative meaning of music, a point to which we shall return later.

The invention of the term "programme music" is usually attributed to Liszt who seems to have first used the term in 1855, though he was not of course (at this relatively late date) initiating its practices either in his own output or in relation to history of musical composition.[11] Again, Liszt's first solo piano recital in London in 1840 may not have been the earliest such event ever, but it seems to have established the piano concert as a solo event without supporting musicians, thus allowing the pianist to display him-or herself as a lone, questing, creative individual in keeping with Romantic notions of the artist.[12] Although Liszt was both a performer as well as a composer, his recitals changed the role and importance of the performer to such a degree that his compositions became the result of his performances. A letter to Liszt by the French critic and litterateur Ernest Legouvé in 1840 supports this. In this letter Legouvé states:

> I believe Chopin to be complete; performance and composition, everything in him is in harmony and of equal value...Chopin has reached the realization of his ideal. You, on the contrary, and I have heard you say this, are only half-way in your development...the pianist has arrived, but the composer is perhaps delayed...I tell you this, and I sincerely believe it, the day when inward Liszt comes out, the day when the amazing power of execution has its counterpart and its complement equally in composition) and that day is perhaps not far off, for men like you grow), on that day you will not be called the first pianist of Europe; you will be called by another name![13]

Because he was greatly preoccupied with the experience of music, the act of performance itself, and thus with the importance of the role of the performer, Liszt's aesthetic understanding toward performance was the starting point for his compositional creations. This means that he was moving from performance to composition rather than from composition to performance, which created a distinction between performance and compositional cultures

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[9] *Ibid*.
[10] *Ibid*., pp. 147-148.
[11] For a recent detailed account of the context of this event see: Mark Evan Bonds, *Absolute Music: The History of an Idea* (Oxford and New York: Oxford University Press, 2013), Chapter 10, "Liszt's 'Program' Music".
[12] According to Joseph Horowitz, "Though it was not the first time that he dispensed with supporting artists, Liszt's June 9, 1840, solo concert in London's Hanover Square Rooms marked the first time the term "recital" was used and is generally cited as a landmark progenitor of the piano recital format." Joseph Horowitz, *Arrau on Music and Performance* (New York: Dover Publications, 1982), p. 131.
[13] Edward N. Waters, "Chopin by Liszt", *The Musical Quarterly* 47, no. 2 (April, 1961), p. 175.

that in turn allowed the pursuit of different interpretations and methods by which musical works were to be conveyed. Moreover, this (in some ways subtle) shift in balance led also to new approaches to compositional structuring and performer guidance within the score, as we shall see later in this study. Suffice it to say here that nineteenth-century music of the programmatic type moved from being a string of disconnected ideas appropriate to a given programme, to being music that, through its own structural devices (and its often suggestive or open-ended indications to the performer), energised and shaped the contrived, localised references into a goal-driven project shared between the composer and performer.

As we saw earlier, to understand the new developments of the nineteenth century we need first to distinguish between: 1) non-structural allusion, where isolated or juxtaposed programmatic ideas of one kind or another are simply referenced at the local level; and 2) goal-governing programmes, which allow situations (fictive or real) external to the music to influence the internal development of the musical material and its large-scale organisation of contrasts through time. The music arising from goal-governing programmes can sometimes be indistinguishable (to the performer and listener for example) from 3) non-programmatic dramatised music with vivid or affective contrasts of character, and patterns of tension and release – which is where most sceptics as to the relevance of knowledge of programmes to our musical experiences begin their objections (particularly, as we shall see, since some composers seem to have gone to some trouble to hide their instigating programmes from the world). However, one distinguishing feature between music based on a goal-governing programme, and music that is simply in some sense "dramatic", is that the latter can at best only illustrate the outlines of a "plot-type" rather than an actual plot with its detailed, particularised mechanisms of development and its individual twists and deviations justified by external causes of a literary or life-event kind. The criteria for comprehensibility and coherence in dramatised music are typically (in some senses) more limited than those for programme music, since compositions of the former kind tend to gain acceptance and acclaim through their ingenious modifications of conventional genres and "formal types" (which the performer can interact with in terms of style-awareness and emphasis), rather than any vivid depiction of a unique drama "off-stage" as it were.

In fact it is unlikely that much programme music would fail completely if its instigating ideas were hidden, since on the whole human listeners are ingenious in their ability to construct coherent experiences from fragmentary materials – the resultant aesthetic objects often have a coherence not fully supported by the material objects that give rise to them. However, there frequently are distinctions between dramatised music (our type 3) and another type, type 4), which is music-intended-as-narrative – distinctions which impinge upon the range of

acceptable "coherence devices" in the structures of the latter, as well as the task of the performer-as-narrator. In dramatised music the performer has at least to take on a role akin to that of an actor, where the "appropriate" types of expression and articulation, and patterns of emphasis, must serve the "script" provided by the composer and not obscure its quasi-autonomous structures. In properly narrational music the musical events may not primarily be balanced or integrated according to musical criteria, and so the narrator-performer must operate (one might say) more as a director than an actor, governing which events need spotlighting, which sections require to be persuasively sustained beyond the tensions inherent in the musical material, which moments of premature resolution must be subverted, which characteristics must be intensely captured or reflected upon, and so on. In short, the depicted story, scene or event does not simply need to be displayed by the performer in accordance with the written notes; rather the performer must negotiate between our tendency to expect musical sounds to be self-sufficient, and the fact that sometimes they may not be if intensity curves and sectional lengths deviate from the expected grammars of musical balance. To do this the performer must also sometimes convey through gesture, poise and performance demeanour that there is a vision, a governing principle beyond the notes that will justify any disjunctions, inconsistencies of mood or apparent momentary stagnations.

Such a vision might be conveyed by a performer implying that he or she is not only executing the piece but, at the same time, standing back and checking the performance's fidelity to a certain imagined "spirit" or narrative thread, or coherent pictured scene. In these circumstances the coherence and continuity are conjured up as much by the performer's ability to persuade the audience to participate in a particular, objectified, imagined perspective, as by the notes themselves. In other words the performer needs to draw the audience into a sense of continuity and coherence that cannot be constructed from contemplation of the notes alone. Of course, the performer does not need to approach such a task entirely in isolation. The listening culture itself supports such expectations, as do the aesthetic beliefs associated with particular repertories and times. We shall shortly look at those nineteenth-century aesthetic belief systems (in transcendence, "spirit", the profound, the ineffable, the absolute, and so on) that made acceptance in meanings beyond the notes, or beyond any mimicry of occurrences in the world, a commonplace of the reception of music. Even fragmentary and episodic music could be heard as an adumbration of coherence and import effected at a much deeper (or loftier) level, and performers, critics and composers became adept at implying the presence of such numinous meanings at various levels of abstraction. Music was seen and heard not only as *organisationally* different from mere sound, but also as somehow *mysteriously* different from sound.

Before we leave this introductory survey of the tasks of the performer in relation to programme music, we should note that, as narrativity and drama became routinely associated with music, this in turn opened the way for performances themselves, in ways supplementary to the exact content of compositions, to ape the characteristics and contours of narratives. Moreover, this occurred not necessarily by some kind of deduction arising from a critical understanding of the work, but from a momentum achieved through the spontaneously unfolding energy and import of the performance itself. The resulting "shapings" and "intensity curves" were loosely related to the gestures implied by the composition, but not completely governed by them, and these dramatic performance unfoldings were not simply illustrating narratives embodied in the music (programmatic or otherwise) but allowing a particular kind of performative "narrative" to emerge in real time through the force of its own energy and direction. Since these sonic, performance-emergent journeys are not mirroring pre-determined stories, they are "narratives" only in the metaphorical sense – it is *as if* they are something we know (in literal terms) they are not, and yet the manner of performance persuades us to hear them as if they are. These metaphorical, performative narratives constitute type 5 in our list of programmatic musical approaches, and more on this phenomenon will follow later in the study since it lies at the heart of narrativity, not for the composer, but for the performer.

3.2. Art, Music and the Change in Aesthetic Attitudes in the Early Nineteenth Century

Aside from the developing practices within programme music (of which more soon) there was also at the turn of the eighteenth century an important shift taking place in aesthetic accounts of music and the arts in general. The earliest theories of art (in Plato and Aristotle) explained its meanings in terms of the imitation of things in the world. However, once sophisticated questions began to be asked about the range of things that might be imitated (involving, for example, not only objects such as trees or people, but feelings, or tragic or comic events) then the imitation theory began to elide into what we would now call an expression theory of art. Similarly, when the passage of emotional expressions through time was considered, then (from the point of view of communication and rhetoric) language theories of art emerged, and (from the perspective of linguistic syntax and structural design) more abstract formal theories were developed. This was, in the briefest possible outline, the situation before the theories of Immanuel Kant (1724-1804) – music, as seen before1800, gained its meaning though the imitation of nature, or the inflections of speech, or the emotions.[14]

[14] See: Nancy Kovaleff Baker, et al., "Expression", http://www.oxfordmusiconline.com/subscriber/article/grove/music/09138, accessed 19 May 2013; and Frederick Niecks, *Programme Music in the Last Four Centuries: A Contribution to the History of Musical Expression* (Florida: HardPress Publishing, 2013), pp. 1-6.

It was Kant who moved the notion of aesthetic meaning and beauty away from a list of contributing attributes (the coherence of symmetry and proportion, the correspondence of art to pleasing things in the world, etc.), and towards an interrogation of the aesthetic experience itself. For him the "judgment of taste" arose from the free play of the imagination and understanding. Moreover, since aesthetic experience is "incapable of becoming an element of cognition", it cannot be encompassed by mere description or conceptual categorisation, it can only be accessed through direct experience and feeling.[15] For this reason the notion of "Feeling" in the nineteenth century is not simply a matter of emotionalism (though that aspect in relation to the meaning of music was attacked by Hanslick in his *On the Musically Beautiful*); it was also, importantly, a sensitivity beyond the rational that gave the only possible access to aesthetic and spiritual Ideas. Moreover the tendency for those "Ideas" to be ineffable and beyond words opened the door on theories of (for example) Absolute Music, that allowed for it to symbolise, or conjure up involvement in, those spiritual and profound ideas without needing to resort to prosaic, "earth-bound", signification. What music "expresses" (which, in this case, means "stands for") is not just emotion but a realm beyond conceptualisation under the sway of the spirit of Nature (Schelling), or of Geist (Hegel) or of Absolute Will (Schopenhauer).[16]

These ideas in turn led composers, performers and listeners to believe that there might be new dimensions to music of spiritual or transcendent or profoundly inward kinds – dimensions that needed to be captured in notes or communicated through the rapt attentiveness and continuity of vision of the performer and listener. Moreover, this attempt to capture in words these new agendas in music led to much early-Romantic discussion of the "poetic" in music (of which programme music was sometimes taken to a vivid exemplar, though often at a rather simplistic level). In terms of the performers, of course, it was inevitable that they would take on the mantle of "spiritual intermediaries", who had special access to these literally "unspeakable" realms, and whose apparent continuity of vision of something beyond the notes throughout their performances was something that ought to be trusted. And in relation to this study and narrativity, such intimations of the silent connectives behind the notes aided greatly the ability of musicians to experience even fragmentary, intermittent or disjointed sections of music as contributing to a story, or the culminative construction of a coherent scene or portrait of a character. Not only were the production tools of programme music in place by c1830, but so too were the reception conditions.

[15] Andrew Bowie, "Music and the rise of aesthetics", in *The Cambridge History of Nineteenth-Century Music*, ed. Jim Samson (Cambridge: Cambridge University Press, 2002), pp. 37-9.

[16] Bojan Bujić, "aesthetics of music", http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e90, accessed 17 March 2013.

3.2.i. Chopin, Schumann, and Liszt: Pianistic Approaches to Programme Music

Although Chopin, Schumann, and Liszt were considered three of the leading composers of the "poetic piano", they had distinctly different approaches towards programme music. Chopin, for example, seems never to have employed directly programmatic titles as such, though the term "ballade" is at least evocative of literary associations as we shall see later. More problematic are those scattered remarks by his contemporaries and pupils which suggest at least some kind of programmatic context for a handful of works, though the exact purposes of the supposed programmes (if they ever existed) are difficult to discern. This is so even for the famous case of the Nocturne in G minor, Op. 15 no. 3, which Chopin is reported (by his pupil, Kleczyński), to have intended to call "After a Representation of the Tragedy of *Hamlet*", but later said "let them guess for themselves".[17] Are we to take this report (if true) to mean that it is based on a production of the play, or a picture of the character? More importantly is it "after" the representation in the sense that the play initially inspired Chopin to compose (which might not be of particular interest to a performer), or in relation to the possibility that it provides a blueprint for the content of the work (which would)? Also would such a programmatic idea sit uneasily with the nocturne genre and how should any such unease be negotiated?[18] On other occasions Chopin is known to have described certain works as either having a narrative character (Mazurka Op. 33 no. 4, for example), or mirroring a particular story (Etude Op. 25 no. 1, which apparently involves a lonely shepherd before an approaching storm)[19] – though the latter may have been an ad hoc pedagogical device, after the fact as it were, for conveying to a particular student the appropriate changes of mood within the work.[20] Despite these examples it remains true that plots and adventures have very little place in Chopin's compositions, even if appropriate mood and character do, and even if his contemporaries conceived his music in poetic terms which occasionally they did not hesitate rather prosaically to put into words.[21] In fact, Chopin is often considered a "poetic" composer mainly because his music is associated with lyrical, *bel canto* influences, and because their expressive devices often allow the performer to create a mood of sustained reverie – perhaps even an attempt to capture the ineffable and numinous as we have seen. In a manner typical of the later nineteenth-century Niecks explains that in some of Chopin's compositions, "we

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[17] Jean-Jacques Eigeldinger, *Chopin: pianist and teacher as seen by his pupils*, ed. Roy Howat (Cambridge: Cambridge University Press, 2011), p. 79

[18] See the discussion of this work in Jeffrey Kallberg, *Chopin at the Boundaries: Sex, History, and Musical Genre* (Cambridge, Massachusetts: Harvard University Press, 1996), Chapter 1.

[19] Eigeldinger, *Chopin: pianist and teacher as seen by his pupils*, p. 65.

[20] Some of Chopin's works attracted titles which were added by publishers, for example *The Raindrop Prelude*. This reveals a nineteenth-century trend to think in terms of imitative or programmatic connotations.

[21] See for example the reaction of Mendelssohn to Chopin's Andante spianato, Op. 22 as reported in Eigeldinger, *Chopin: pianist and teacher as seen by his pupils,* p. 65.

follow trains of thought, hear passionate monologues, and witness sympathetically realized scenes."[22] He distinguishes the *Scherzi* and the *Ballades* from the rest of Chopin's works with the second being notable for a certain narrative tone, whereas the *Preludes* evoke "ideas, moods, pictures and apparitions" and in the Polonaises "Chopin becomes epic and dramatic".[23] Interesting though this is from the point of view of the history of performance practice (and attitudes to performance) it tells us little about Chopin's intentions, programmatic or otherwise.

Schumann's attitude to programmatic ideas is very different. This is partly because he tends to draw his inspiration from characters, events (some from his own life) and lyric forms. Also his programmatic ideas often form the initiating subjects upon which he muses in musical terms, rather than operating as templates which dictate blatantly the inner content and structure of the music. It seems, too, that his method of composing militated against his being guided by any kind of external plot as such, since he almost always composed at the keyboard and many of his shorter pieces have a fragmentary, aphoristic quality arising from semi-improvised attempts by the fingers to capture a particular mood or feeling. He writes to Clara on March 17, 1838: "Romanticism is not a question of figures and forms, but of the composer's being a poet or not." He continues, "At the pianoforte and with some *Kinderscenen* I would show you all this much better…".[24] Often these procedures resulted in a complex liaison between musical and programmatic ideas, that obscured the causal relationships between texts and musical ideas – an obscurity made even more opaque by his tendency to structure his piano pieces out of earlier fragments of dances and scraps of song as, for example, was the case with his Intermezzo Op. 4 no. 4 (based on ideas from three earlier songs: *An Anna* [setting II], *Im Herbst* and *Hirtenknabe*), and also with *Papillons* which we will examine shortly. Most significantly these practices give the programmatic ideas associated with his works an allusive quality – not overtly structural, not consistently depictive, and not necessarily causal in musical terms – and seem to require instead that the performer holds the allusions in his or her head so as to meld them together through a continuity of vision and performance energy.

Many of these difficulties can be illustrated in relation to Schumann's *Papillons*, Op. 2 (1829-31), a collection of twelve short pieces prefaced by a very brief six-bar introduction. We know from references in the composer's letters, from annotations in his sketchbooks, and

[22] Niecks, *Programme Music in the Last Four Centuries*, p. 215.
[23] *Ibid.*
[24] Frederick Niecks, *Robert Schumann*, ed. Christina Niecks (London: J. M. Dent & Sons, 1925), pp. 185-186.

from jottings in his own copy of Jean Paul's novel *Flegeljahre* (*Years of Indiscretion*) that his composition is strongly related to Jean Paul's work.[25] In a letter to his mother, sisters-in-law, and brothers, Schumann writes: "…beg them to read the last scene of Jean Paul's *Flegeljahre* as soon as possible, and tell them that in *Papillons* I have tried to turn this masked ball into music. Then ask them if they do not find faithfully reflected in the *Papillons* something of Wina's angelic love, of Walt's poetic nature, and of Vult's swift-flashing soul..." (Jean Paul's novel is based on a love-triangle between these three characters, and culminates in a masked ball).[26] It is less than helpful, then, that there is no reference to the novel in the score and the piece was published with what, at first glance, seems to be the unrelated title of "Butterflies" – a circumstance that has almost certainly led to many performance misunderstandings of the nature of the work. Moreover, in a letter to Henriette Voigt (22nd August 1834) Schumann writes that he "set the words to the music, not the music to the words,"[27] which seems to contradict other documentary evidence, and creates a dilemma for any would-be interpreter of the music.

The solution to these difficulties illustrates perfectly the complex relationship between programmatic ideas and Schumann's musical imagination. When he read Jean Paul's novel in the 1820s (before he conceived *Papillons*) Schumann was moved to write two piano movements which reflected on what might have happened after the masked ball, and therefore after the conclusion of the novel – though still alluding musically to the characters of Walt and Vult. In that sense, since he extended the conclusion of the novel, he could claim (with items 11 and 12 of *Papillons* in mind) that he had not set "the music to the words", even though those pieces were based on two of its characters, and their depicted motivations sprang out of those already established in the novel. He then decided to expand his composition "backwards", as it were, into the novel, by depicting events described by Jean Paul in what are now the first ten movements of *Papillons*. But to do this he used many fragments of dance music he had already composed – notably Waltzes from an early sketchbook (which formed the basis of items 1, 6, 7 and 9) and three polonaises for 4 hands, WoO 20 (which were modified to become part of items 5 and 11). Hence this is another sense in which he could claim that his musical material arose separately from the novel, though the early fragments were clearly refashioned with the novel firmly in mind, and so it seems that the novel's characters and moods ought to be relevant in some way to a performer's conception of the work, even if the references are opaque and fleeting.

[25] See: Robert Jacobs, "Schumann and Jean Paul", *Music and Letters* vol. XXX, no. 3 (1949), pp. 250-258; and Eric Frederick Jensen, "Explicating Jean Paul: Robert Schumann's Program for Papillons, op. 2", *19th-Century Music*, vol. XXII, no. 2 (Fall, 1998), pp. 127-143.
[26] Niecks, *Robert Schumann*, pp. 136-137.
[27] Niecks, *Programme Music in the Last Four Centuries*, p. 194.

We know that allusions and reminiscences were important to Schumann and that he sometimes tried to capture a sense of "half-remembrance" in his music (and probably his playing). There is a remarkable instance of this in his *Carnaval*, Op. 9 (1833-5, published in 1837). In the sixth movement, "Florestan", Schumann has written over bar 19 in his own hand against a waltz-like figure "[Papillons?]". This musical figure is certainly a direct quotation from the first four bars of *Papillons* no. 1, but curiously when Schumann quotes it he marks just those four isolated bars "Adagio" in *Carnaval*, though they appear under the metronome marking of crotchet = 120 in *Papillons*. This seems to be an attempt to get the performer of *Carnaval* to somehow portray this as a moment of distracted remembrance – not necessarily of *Papillons* itself, but of some previous experience of Florestan's hearing or dancing a waltz which the quoted music conjures up. This opaque emergence of the thought is also suggested by the way in which the actual quotation can also be heard as an extension of a fragmentary melody first displayed in b. 9 of "Florestan", as though the full citation took a while to form in Florestan's mind, and as though the b. 19 melody had a musically different genesis from its actual origin in *Papillons.*[28] We perhaps need to know this kind of thing in order to play the music with the richest possible allusions, but the problem is that the "programme" that the tune represents is one that, in a detached way, illuminates a sudden thought of the portrayed character, rather than contributing to the overall mood of the movement in a coherent manner. These apparently hierarchic levels of allusion in Schumann create difficulties for the performer, and sometimes for the listener. We should not be surprised that, regarding *Papillons*, Niecks argues (based on Schumann's correspondence) that although Schumann had something specific in his mind, which he struggled to express, he "does not succeed in his self-revelation".[29]

Another difficulty here is that there is a problematic distinction between the intermittent programmatic allusions in Schumann's music (embedded in short, episodic forms) and the performative narrative flow that we hope to hear in the live event of its musical presentation.[30] Schumann's *Papillons* signals a transformational step in his compositional approach which, in turn, seems to signal a development in the way he thinks of the performer. He writes that compositions such as *Kleisleriana*, *Fantasiestücke*, *Novelletten*, and *Romances*, as well as some of his earlier ones, give a picture of his character. He admits, however, that the reason

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[28] For further discussion of this reminiscence and its significance see: Lawrence Kramer, *Musical Meaning: Toward a Critical History* (Berkeley and Los Angeles: University of California Press, 2002), p. 112; and Charles Rosen, *The Romantic Generation* (Cambridge, Massachusetts: Harvard University Press, 1995), p. 100.
[29] Niecks, *Robert Schumann*, pp. 136-137.
[30] See for example Joseph Weingarten's discussion of this in: Alan Walker, ed. *Robert Schumann: The Man and his Music* (London: Barrie and Jenkins, 1972), pp. 101ff.

they were still little known was partly because of the intrinsic difficulty of form and content.[31] Liszt also refers to these problems relating to form and content when he writes a criticism of Schumann's *Sonata*, Op. 11. Liszt states: "…however logical the course of the main ideas, and in spite of the rapture of the peroration, the general effect of this piece is often broken up, interrupted. Perhaps the length of the developments contributes to the uncertainty of the whole. Perhaps, too, there is a need for an indication of the poetic import…"[32] Moscheles' criticisms of the same work emphasises its emotional content and its ambiguous nature, but he also senses its importance for a new kind of aesthetic (and performative?) approach. He writes: "This work is a genuine sign of the newly-awakened and spreading Romanticism of our day…".[33]

These words seem to suggest that formal ambiguity and difficulties relating to clarity of content, have in some senses become spurs to creating an overriding "poetic" spirit in relation to certain Romantic works, a spirit that provides a scaffolding for interpretative flexibility and the coherence of musical ideas. Lawrence Kramer characterises this issue at a more general level when he states: "The work, like the performance, appears for an interval in and as the disappearance of the score."[34] What Kramer seems to mean by this is that what the work is not embodied in the score, but rather emerges in time as the performer's direct awareness of that written background falls away and transformed through the new identity of the performance. Just how such a transformative negotiation might take place between programme, score and performative creation we can explore in relation to the fifth movement of *Papillons* (See Example 3.1).

From Schumann's annotations in his own copy of Jean Paul's novel we know that the associated programmatic scene for the fifth movement is one where, at the masked ball, Walt dances with Wina (for whose affections he is competing with Vult). They do not encounter each other openly since they are wearing masks, though they do converse (in Polish) and, as their eyes meet, there is a recognition of their love for each other. Schumann, in his copy of the novel highlighted the following passage in relation to *Papillons* no. 5: "Like foreign spirits from two distant cosmic evenings they looked at each other behind their dark masks, and as stars are made visible by the eclipse of the sun, each soul saw the other far off".[35] What

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[31] Niecks, *Robert Schumann,* p. 182.
[32] *Ibid*., p. 180.
[33] *Ibid*., p. 179.
[34] Lawrence Kramer, *Interpreting Music* (California: University of California Press, 2011), p. 263.
[35] Quoted in Jensen, "Explicating Jean Paul: Robert Schumann's Program for Papillons, op. 2", p. 138.

is of further significance here is that "butterflies" occur in some of Jean Paul's works as symbols of the souls, and Schumann, in a letter to Henriette Voigt, provides further insight into the symbolic use of the "butterfly" indicating that she should not simply take the word to represent something fleeting and delicate.[36] He says that butterflies should be viewed as: "...the psyche floating above the body turned to dust."[37] This is a suggestive thought that we might take firstly as a guide to Schumann's conception of the persona of a character; something that consistently remains amidst the changing kaleidoscopic events of their lives – and, perhaps, something continuous that the performer needs to capture among all the programmatic turns of fortune. Secondly, however, we might see it as an injunction for the performer to be in touch with the over-arching mood of a scene, drawing on a poetic and spiritual sensibility to add coherence to a movement that otherwise will have "turned to dust" – a phrase which, in more poetic terms, seems also to echo Kramer's notion of the "disappearance of the score". In this sense, then, the programmatic ideas serve not only as a guide to the depicted characters and specific events, but to the required encompassing and persuasive attitudes of the performer in the face of fragmentary structures.

In *Papillons* no. 5 many aspects of the event in the novel are in fact directly mirrored in musical terms and provide challenges of understanding and depiction. The idea of a masked ball, of course, is revealed by the work's dancing rhythms and melodies, and the discerning performer will recognise the dance-type as a Polonaise, which not only "represents" the fact that Walt and Wina talk in Polish, but also invites the performer to display appropriately its characteristic exuberant melodies, its repetitions of material, its feminine endings and its semi-quaver flourishes. On the other hand the structure of this short movement (26 bars) is not that of a Polonaise. It falls into five sections: 1) the opening polonaise theme (bb. 1-8, repeated); 2) a brief bridge passage (bb. 9-11) made up of three *sforzando* descending diminished chords, as the mood is interrupted and Walt is suddenly unsettled by his closeness to Wina; 3) a passage (bb. 12-18) of chromatic modulation held together by the intensely repetitive pitches first of B-flat and then of G, as the protagonists look penetratingly into each other's eyes; then 4) a resumption in their consciousness of the public dance (bb. 19-22) this time with the tune emphasised by octave doubling (perhaps signifying that Walt and Wina are now as one); and finally 5), (bb. 23-26) an echo of the dance theme in the lower register, and marked *pp*, as the ball continues on in the background and the two lovers come to terms with their altered state.

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[36] Eric Frederick Jensen, "Explicating Jean Paul: Robert Schumann's Program for Papillons, op. 2", *19th-Century Music*, vol. XXII, no. 2 (Fall, 1998), p.135.
[37] *Ibid*.

Quite apart from the programme this music presents a number of challenges for the performer. First there is the kind of speed and energy that one ought to put into the movement. It begins with a recognisable dance type, and the metronome marking crotchet = 80 was provided in the Breitkopf & Härtel edition in 1887, for which Clara Schumann was the editor, and allows the characteristic rhythms and accents of the polonaise to emerge.[38] Beyond that, there are numerous difficulties of goal-direction and intensity management. Dynamic markings are sparse (three *sforzando* indications and one *pianissimo*), and the *crescendo/diminuendo* moments are generally limited to two or three beats – they never extend to a whole phrase, and thus operate entirely at the local level. Owing to the programmatic "suspended moment" between Walt and Wina, the three diminished chords, bb. 9-11, interrupt the flow and the performer has to compensate for the lack of drive at this point (though the *sforzando* markings help). Next there are many irregularities of phrasing which have to be negotiated in relation to overall direction. For example, the opening two bars might imply, despite the 3/4 signature, a division into a two-beat anacrusis followed by a five beat descending figure. Also the opening long melody is fragmented into shorter gasps in bars 6-7, and ends with a cadence on the tonic chord on the final beat of the bar. This strongly punctuated cadence is then immediately followed by the disruptive *sforzando* chords mentioned above, giving us not a four-bar phrase but a three-bar one, then leading to eight chromatic bars before the main theme returns. If one lingers too much on those eight bars (which represent the look between Walt and Wina) then the sudden burst of the main theme at b. 19 can seem musically unmotivated.

There is also the question of how much one should strive to depict the character types of Wina and Walt. At one level their various moods and stages of togetherness are written into the music. In the opening polonaise Wina glides away in the top register (we might say) whereas the somewhat incompetent steps of Walt are indicated in bass phrase lengths which are contrary to Wina's, and yet at the same time his singing heart is suggested by the unusual stipulation "*Basso cantando*". Combining these thoughts into one pianistic display is something to be accomplished performatively. Later, when they are dancing together in octaves (bb. 19 ff.) the bass line takes on a primarily cadential role in musical terms, rather than one of characterisation, and the performance problem then is how to grade the repeated low B-flats, bb. 19-23, which are in danger of creating too long a coda effect for such a short piece. Finally of course the performer must create the impression that, in spite of these obstacles to continuity and integration, what we are witnessing is one continuous thought,

[38] Robert Schumann, *Papillons Op. 2*, ed. Clara Schumann (Leipzig: Breitkopf & Härtel, 1887). See also Brian Schlotel's chapter, "Schumann and the Metronome" in Alan Walker, ed. *Robert Schuman: The Man and his Music* (London: Barrie and Jenkins, 1972), pp. 109-19.

both musical and programmatic – and it is the revelation of this integrating thought that, in the end, creates the "work" as a coherent experience. We also need to present/perform each movement in a manner that does not take away characteristics of its individuality, but still allows it to make a contribution to the sense of the music as a whole, to *Papillons* as a series of evolving events that fleeting occur and then disappear in the unfolding time and energy of the performance.

Example 3.1: Robert Schumann, *Papillons* Op. 2, no. 5 [39]

[39] Robert Schumann, *Papillons, Op. 2*, ed. Clara Schumann (New York: Dover Publication, 1972), pp. 11-20; Robert Schumann, *Papillons Op. 2*, ed. Clara Schumann (Leibzig: Breitkopf & Härtel, 1887).

When we turn to the music of Liszt we find a rather different case from that of Schumann. Programme music as understood by Liszt was instrumental music associated with poetic, descriptive or even narrative subject matter with the goal to absorb and transmit the literary subject into music. Franz Brendel's extensive journalism and musical criticism on subjects such as the newly invented Lisztian symphonic poem and how it came to be understood at the time outlines the critical debate on programme music between the 1850's and 1860's, which indicates the extent to which the specific concept had developed and had interfered with musical thought.[40] He states:

> […] it is the unity of the poetic-musical, and the progress to a new consciousness of this unity, that deserves to be called essential novelty in the artistic creations under discussion [Liszt's symphonic poems]. In earlier phases, but especially with Beethoven, the conscious thought – the preponderance of poetic idea – emerges only along with a soaring of ideals and a gravity of contents, as the end result; but here [with Liszt] these factors constitute a point of departure, a foundation of the whole creation. Hence, this conscious side now has a commanding significance. In Liszt's works we see that earlier process concluded; the summit of thinking toward which everything strives, has been achieved with precision, and thereby the preponderance of idea has been elevated to governing principle.[41]

We understand then, that programmes are not exclusively the governing principle of Liszt's structures, and neither is their association with music always effective since a more abstract type of poetic idea takes on this role. This is also evidenced by Liszt when he refers to problems of content relating to Schumann's Sonata Op. 11, where he argues the importance of a poetic import beyond the signification of programme or musical notes (an argument that would apparently not have been prompted had the genre of the work not been a sonata). To oversimplify, programme music for Liszt was the influence a reading had on the composer's imagination, but with the detailed plot being much less important than the generalised subject or setting, turning literature into a vehicle, or even better, into a "means for establishing the dignity of instrumental music".[42] For him, the poetic impulse of a piece explained its actual and unique musical structure, and the musical spirit created its physical technique of playing, a technique that was closely related to the mental technique of understanding and creating the right ambiance of implication in the performance.[43] Here I add, that the fact that Liszt was such an advanced performer in terms of technique in conjunction with his understanding of

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[40] Franz Brendel was also known for his critical and historical writings on Berlioz and Wagner. For a discussion on Brendel see: Thomas S. Grey, "Brendel, Karl Franz", http://www.oxfordmusiconline.com/subscriber/article/grove/music/03929, accessed 17 March 2013.

[41] Franz Brendel, *Geschichte der Music*, 4th edn, 1867, quoted in Carl Dahlhaus, "Program music", in *Esthetics of Music*, trans. William Austin (Cambridge: Cambridge University Press, 1999), p. 57.

[42] Carl Dahlhaus, "Program music", in *Esthetics of Music*, trans. William Austin (Cambridge: Cambridge University Press, 1999), p. 62.

[43] See the brief discussion on the B minor Sonata shortly.

the role of the performer in creating performative interpretations as implied by his 1840-solo recital abovementioned, allowed him to develop his own unique compositional ways of creating and implying the musical spirit and poetic essence of a piece. This enhances my idea suggested earlier that Liszt's identity as a performer, helped him to further develop and crystallise his progressive identity as a composer.

Thus, it is not a coincidence that the adherents of programme music in the nineteenth century were considered to be enthusiasts of progress who argued from the philosophy of history.[44] Based on Liszt's aesthetic understanding of programme music, since content was the determining factor of programme music, the form of every composition must differ from every other. It was therefore natural that absolute music, as understood in the broad sense of music that does not need or use any extra-musical elements or references no matter what those might be, forced a reaction in which composers such as Liszt and critics such as Franz Brendel were greatly involved.[45] Liszt, like Brendel's critique of music criticism, contributed actively to the debate between absolute and programme music, a debate that was underpinned by a modernising agenda regarding the identity of instrumental music.[46] Liszt states:

> In the so-called classical music the return and thematic development of the themes are determined by express rules, which are considered inviolable, although the composers who originated them had no other precept for them than their own imagination, and themselves made the formal dispositions which people wish now to set up as a law. In programme music, on the other hand, the return, change, modification, and modulation of the motives are conditioned by their relation to a poetic idea. Here one theme does not, according to the law, call forth a second theme; here the motives are not the consequence of stereotyped approximations and does not condition the grouping of the ideas. All exclusively musical considerations, though they should not be neglected, have to be subordinated to the action to the given subject. […] The artist who prefers this kind of art work enjoys the advantage of connecting with a poetic idea all the affections which the orchestra expresses with so much power.[47]

It was thus inevitable that literature and the spirit of Romanticism would have an impact on Liszt's keyboard works as well while still a young artist, and also on the role and importance of the performer as a re-creator rather than a reproducer of a musical score.[48] For instance, his

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[44] Carl Dahlhaus, "Program music", in *Esthetics of Music*, trans. William Austin (Cambridge: Cambridge University Press, 1999), p. 58.
[45] See Roger Scruton, "Absolute music", http://www.oxfordmusiconline.com/subscriber/article/grove/music/00069, accessed 2 May 2013.
[46] Jim Samson, "Suggestion and symbol", in *Virtuosity and the Musical Work: The Transcendental Studies of Liszt* (Cambridge: Cambridge University Press, 2003, 2007), pp. 175-197.
[47] Quoted in Niecks, *Programm Music in the Last Four Centuries,* pp. 280-281.
[48] His love for literature and his connections to the literary circles of his time are documented by Lina Ramann, his student and esteemed biographer. See: Lina Ramann, *Franz Liszt, Artist and Man* (London: W. H. Allen & Co., 1882), pp. 56-74. Ramann wrote a number of books

famous *Petrarch* sonnets were first composed in 1838-1839 as songs and were later changed into piano pieces for his Italian album of *Années de Pelerinage*; *Harmonies poétiques et religieuses* derive their titles from Lamartine's collection of poems and they have also prefixed to them two paragraphs from the poet's *avertissement*;[49] *Après une Lecture du Dante* tales its title from a poem by Victor Hugo, and according to Paul Merrick his famous B minor sonata is based on the story of God, Christ and Man and their triumph over Satan.[50] In fact, the revisions and the renaming of the *Etudes* before they came to be finalised as *Études d'exécution transendante (Transcendental Etudes),* reveal a continuous evolution of the composer not only as a pianist but as an artist. Liszt was constantly being exposed to the Romantic ideology and was adding titles to the specific works that were borrowed by poets, novelists and writers such as Victor Hugo and Johann Wolfgang von Goethe.[51] Interestingly, the *Vallée d' Obermann* is prefaced with three quotations, two from the novel *Obermann* by Etienne Pivert de Sénancour (Lettre 53 and 4) and one from Lord Byron's *Childe Harold*.[52] In particular, the quotation by Lord Byron is as follows:

> Could I embody and unbosom now
> That which is most within me, – could I wreak
> My thoughts upon expression, and thus throw
> Soul, heart, mind, passions, feelings, strong or weak,
> All that I would have sought, and all I seek,
> Bear, know, feel, and yet breath – into one word,
> And that one word were Lightning, I would speak ;
> But as it is, I live and die unheard,

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about music and especially about Liszt. Her observations include writings on Liszt's *Christus Oratorio* (1874), *Franz Liszt als Künstler und Mensch* (1880), and accounts of Liszt as a Pedagogue: *Liszt Pädagogium*, *Lisztiana* (pub.1983), and Liszt's biography. She was taught music by the wife of Franz Brendel who was the editor of the Neue Zeitschrift für Musik. It was not a coincidence that Ramann became familiar with Liszt from a young age. See also: Alan Walker, "Ramann, Lina", http://www.oxfordmusiconline.com/subscriber/article/grove/music/22830, accessed 17 March 2013.

[49] Niecks, *Programme Music in the Last Four Centuries*, p. 290.

[50] Paul Merrick, *Revolution and Religion in the Music of Liszt*, (Cambridge: Cambridge University Press, 1987), pp. 283-295. See also: Mark Tanner, "The Power of Performance as an Alternative Analytical Discourse: The Liszt Sonata in B Minor", *19th-Century Music*, vol. 24, no. 2 (Autumn, 2000), pp. 173-192, in which Tanner explores the sonata's structural ambiguities through extra-musical narrative associations.

[51] Mária Eckhardt, preface to Franz Liszt, *Études d'exécution transendante*, (Germany: G. Henle Verlag, 2004), pp. vi-vii.

[52] Franz Liszt, *Années de Pèlerinage: Première Année – Suisse*, ed. Ernst Herttrich (Munich: G. Henle Verlag, 1978), p. 32; John Gillespie, *Five Centuries of Keyboard Music* (New York: Dover Publications, 1965), p. 241. See also John Rink's detailed analysis of the work in his "Translating Musical Meaning: The Nineteenth-Century Performer as Narrator", in *Rethinking Music*, eds. Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 2001), pp. 217-238.

With the most voiceless thought, sheathing it as a sword.[53]

One might wonder what interpretative reason "forced" Liszt to choose three quotations from two different literary works to be displayed as part of this preface, but perhaps the last two sentences of Lord Byron's quotation reveal Liszt's deep aesthetic understanding of the purpose of musical expression. That is, music begins where words are no longer capable of expressing, communicating or narrating his thoughts, thus all literary works could simultaneously contribute to the content of that specific musical work, each one through its own ways. Samson rightfully suggests the opposite as well: that "just as a poetic idea may influence how we read a musical form, so too a musical form can influence our reading of a poetic idea."[54] Adding to this, Scruton explains that because of Liszt's new ideal of forging narrative associations with music into a principle of composition, programme music came to be applied not only to music with a story but also to music that described a character or a specific phenomenon (although Liszt originally defined a programme as a "preface added to a piece of instrumental music, by means of which the composer intends to guard the listener against a wrong poetical interpretation, and to direct his attention to the poetical idea of the whole or to a particular part of it").[55] Thus, Liszt's musical ideas were the ingredients of a precisely designated instrumental work which would serve his "poetic" imagination.

Indeed, Liszt's "poetic" imagination seems to have interfered with the performer's imagination as well. Alfred Brendel mentions that "According to Miss Ramann, Liszt should be taken as a lyrical tone poet – as a rhetorician, rhapsodist, and mime", which reveals an expressive habit that has been transmitted to modern performance interpretation.[56] More specifically, Brendel states that "Those who conceive music as 'absolute' and autonomous should find plenty to admire in Liszt's B minor Sonata, the one major work that makes do without any programme or motto." But even in this case, "Without its poetic core, Liszt's music easily degenerates into a vehicle of *Effekt*, which, in its German sense, has been defined as 'effect without cause' by Wagner."[57] In other words this phrase (which comes from Wagner's criticisms of Meyerbeer's *Le Prophète* in his *Opera and Drama* of 1851) in Brendel's hands seems to be signaling that without a sensibility to the instigating and infusing poetic ideas in Liszt's music, his music (and its performances) will become a mere "show art"

[53] Franz Liszt, *Années de Pèlerinage: Première Année – Suisse*, ed. Ernst Herttrich (Munich: G. Henle Verlag, 1978), p. 32.
[54] Jim Samson, "Suggestion and symbol", in *Virtuosity and the Musical Work: The Transcendental Studies of Liszt*, p. 191.
[55] Scruton, "Programme Music", in *The Aesthetic Understanding*, pp. 47-50.
[56] Alfred Brendel, *On Music* (USA: A Cappella Books, 2001), pp. 245-246.
[57] Brendel, *On Music*, pp. 246-7.

in which its mechanical aspects are turned into its essence.[58] It is up to the pianist to allow the poetic idea to intervene and feed into the performative means by which a string of localised moments of intensity on the "composed page" transform into a meaningful coherent experience.

The notion of a narrative in the B minor sonata can be seen as operating on these principles. The notated implied narratives of thematic transformations leave us to some extent with a suggestive, implied form which allows only a poetic impulse and understanding on the part of the performer to govern and contextualise it. However, Liszt has a tendency to provide multiple climactic moments one after the other which might well destroy their own effects with their own overbearing energy if the pianist lacks a strategy for dealing with them. There is such a passage in the recapitulation of the Sonata at the beginning of the *più mosso* section, bars 555-582. This particular passage obscures the grand climactic return of the b minor tonality at bar 533 by escalating the tension towards the *Presto* section at bar 673. *Più mosso* appears in a place where the listener expects a completely different musical material since the emergence of the recapitulation usually implies the repetition of a pre-stated material familiar to the ear. Thus, it forces the performer to react in a manner that will avoid falling into an interpretative dead-end but an increase of the tension which will also constitute the *cantando* material starting in bar 600 to be a natural release of tension. Liszt's indication of *più mosso*, signals the performer to reinforce the fact that this passage is a sudden and unexpected interruption of a thought from which something even more aggressive in character begins to evolve. This means that after the *sf* chord at the beginning of bar 555, the sound should immediately change colour and character, giving room to the subsequent musical gestures to grow and diminish in short periods of time, the same way the hands need to change directions quickly while executing those gestures across the different registers of the piano.

It is plausible to assume then that the aesthetic understanding of programme music and approaches as seen in the piano repertoire of Chopin, Schumann, and Liszt possibly had an impact on performance traditions and pedagogical methodologies of the nineteenth-century performance practice. More specifically, the unravelling of their different attitudes toward programme music provided a foundation for uncovering how their piano notations clarified their interpretative approaches, as well enabling us to trace (at least embryonically) something of the evolving concept of musical narrativity in general in the period. These explorations should assist us in the project of subsequent chapters which is to show how programmatic ideas might: 1) be signified in relation to certain works: and 2) made manifest in, or emerge in

[58] Richard Wagner, *Opera and Drama*, trans. William Ashton Ellis (London: Kegan Paul, Trench, Trübner and Co., 1893), pp. 95-99.

relation to, performances of such works. At this point this instigates a discussion, even briefly, on Chopin and Liszt's teachings and performance styles that could cast light on the genre of the piano ballade in relation to the developing programmatic idea and on the tasks of the performer in relation to programme music. Part of the evidence here includes the approaches to pedagogy and the teaching of pianistic interpretation adopted by Chopin and Liszt, as well the impact of their individual performance styles on the development of pianistic cultures.

3.2.ii. The Case of the Piano Ballade

"In the realm of the musically poetic, poetry is not confined to verbal communication organized in verses […]. Poetry is conceived more widely, as the direction of imaginative experience beyond the perceptible limits of the (musical) communication itself."[59] The idea that the "poetic" in music is something more of an experience rather than a direct link to poetry was, according to Rushton, a way of elevating the status of instrumental music free of text or programme to complete independence. We also know from earlier discussion that the instrumental developments witnessed mainly during the nineteenth century also arose from a synthesis of the arts. The genre titles that are often borrowed from literature or poetry such as *Noveletten*, or the newly-created genre titles such as the symphonic poem encouraged the notion that music itself can be evocative. Kivy argues that, "once the composer gives his work a title, even one as vague as *Tragic Overture,* it licenses us to search the work for representational aspects."[60]

The suggestion here is that if we consider that genre title is a substantial reason to make the assumption of a programmatic or literal intention on the composer's part, then we may also invite the idea of approaching the work in a manner that unfolds a story, especially in the case of the piano ballade whose genre title invites us to approach it in a narrative way. The understanding of "absolute music" as an aesthetic problem that needed to be solved, and the continuous development of the concepts of expression and of content in relation to form, created conditions that instigated an understanding of what musical narrative might be, an understanding that is closely related to musical performance as discussed earlier and as it will be illustrated in subsequent chapters. Thus, the correlation between music and literature, but more importantly the aesthetic "problems" between the two, created more formal possibilities and interpretative intentions. Therefore, suggestive genre titles such as the piano ballade,

[59] Julian Rushton, "Music and the Poetic", in *Nineteenth Century Music*, ed. Jim Samson, (Cambridge: Cambridge University Press, 2002), p. 153.
[60] Peter Kivy, *Introduction to a Philosophy of Music* (Oxford: Oxford University Press, 2002), p. 193.

which was first used in piano music by Chopin, are particularly interesting as they imply some sort of narrative or descriptive meaning by nature. Contemporary composers had also admired the new genre. Schumann, in a letter to Dorn, mentions that when he heard a new *Ballade*, probably meaning a version of Op. 38, he thought of it as his most ingenious composition.[61] Samson argues that, "By describing Op. 23 as 'ballade', Chopin also made a gesture in the direction of contemporary literature."[62] However, the claims commonly made that Chopin's inspiration came from the ballads of the Polish romantic poet Adam Mickiewicz rest only on circumstantial evidence.[63] But it is clear that the choice of the genre title is, at the least, pointing toward the direction of a narrative conception, and the tendency of contemporary audiences to relate Chopin's *Ballades* to Mickiewicz's poetic ballads reveals the need for national connotations in music.

It would be expected that if not Chopin, Liszt especially, who was adding descriptive titles to the majority of his work even after a composition was finished or revisited in some instances, would have done the same for his two piano *Ballades*. There is indeed a subtitle to the *First Ballade, Chant du Croisé,* according to the 1849 Meissonnier edition in Paris and the *Neue Liszt-Ausgabe* of 1981. However, this was deleted as there was no indication whether this title was supplied by Liszt or by the French publisher, quite a common practice for publishers of the time. No title was given to his *Second Ballade* either but according to Claudio Arrau, one of the most esteemed Lisztian performers and a student of Martin Krause who himself was a student of Liszt, it was well known in Liszt's circle that the *Second Ballade* follows the myth of *Hero und Leander*.[64] It is possible then that Liszt did not provide any title to his *Ballades* as a tribute to Chopin's *Ballades*, or even for the same reasons Chopin might have avoided doing so – that is, to instigate a poetic idea in the performer's imagination but without imposing a specific programme. Their goal was to emphasise the musical experience by evoking a performative/listening strategy, in which the different expressive elements are performed/heard as if part of a narrative. This means that in the case of the piano ballade, music may *suggest* a narrative, or it may be appropriate to a narrative idea without following the details of a specific narrative. The "appropriateness" of a narrative idea does not necessarily mean that it entails representation but rather that such works are approached with a specific interpretative, listening, and performative strategy that encourages the concept of

[61] Eigeldinger, *Chopin: pianist and teacher as seen by his pupils*, p. 269.
[62] Samson, preface to Fryderyk Chopin, *The Complete Chopin: A New Critical Edition. Ballades*, pp. iv-v.
[63] See: Chapter Six for references on circumstantial evidence on the influence between Chopin's piano *Ballades* and Adam Mickiewicz's poetic ballads.
[64] Joseph Horowitz, *Arrau on Music and Performance* (New York: Dover Publications, 2011), pp. 142-146.

music *as if* a narrative. The music is made to respond to the narrative without necessarily portraying it. Thus, it has structures it would otherwise not have, but does not, of itself, have a narrative. The sequence in which the ballade's different musical events or episodes unfold as well as their modification, in combination with the crucial aspect of the manner in which they are presented by the performer are important elements for the listener's construction of a narrative, and thus to the construction of performative narratives.[65]

With this in mind, the teachings of pianist-composers as documented by their pupils could indeed enhance the informed intuition of modern performers on how to construct such performative narratives.[66] For example, such teachings outline the composers' aesthetic beliefs and their conception of how the instrument serves or how it reflects their own understanding of musical works. Students' diaries on class lessons are usually considered reliable sources of information, especially when published as original documents expressing their master's teachings as objectively as possible, and without any personal interference.[67] One of the most well known paradigms is Beethoven's student Carl Czerny, who in his *On the Proper Performance of all Beethoven's Works for the Piano* suggests that one who wishes to perform Beethoven's piano works should be a good and cultivated pianist, and "should have acquired that degree of facility which results from a good School, and from the study of the best works of Clementi, Mozart, Dussek, Cramer, Hummel and even of the modern composers."[68] This reveals the importance of knowing the composers' suggestions of influence, the generational chains of apprenticeship and pedagogy and the stylistic genealogies, to use Samson's words.[69] Czerny, as well as Moscheles and Kalkbrenner among

[65] See: Chapter Four for more on theorising narrativity.
[66] By the early nineteenth century, the reinvention of stylistic traditions through different means of expression created the need to establish systems and standards of performance teaching. This also led to the creation of a new-style conservatoire in Paris where ideas and methods quickly spread to Prague, Vienna, Milan, Brussels, London, and The Hague, and later to Russia and America. Performer-teachers who were not affiliated to institutions were also greatly influential such as Czerny, Hummel and Moscheles. Czerny in particular, distinguished six schools of piano playing which he associated with specific composers: 1. Clementi, 2. Cramer and Dussek, 3. Mozart, 4. Beethoven, 5. Hummel, Kalkbrenner and Moscheles, and 6. Thalberg, Chopin and Liszt. See: Janet Ritterman, "On teaching performance", in *Musical Performance: A Guide to Understanding*, pp. 78-79.
[67] Some writings could be considered more reliable than others based on the kind of relationship a given student might have had with their master, as it can be assumed by an exchange of letters between them, or as it might have been documented by their contemporaries.
[68] Carl Czerny, *On the Proper Performance of All Beethoven's Works for the Piano,* ed. Karl Heinz Füssl and H. C. Robbins Landon, (Wiener Urtext Ausgabe), p. 21.
[69] Jim Samson, *Virtuosity and the Musical Work: The Transcendental Studies of Liszt* (Cambridge: Cambridge University Press, 2007). Interestingly, Beethoven never dedicated a composition to Czerny, a common practice at the time, which makes their alleged strong relationship a questionable one.

others, were great pedagogues especially in relation to the mechanics of technique, whereas Beethoven, Weber and Schubert put emphasis on a more Romantic approach to piano music in terms of sound production and expression, although they were still composing for the fortepiano. Particularly, Samson explains that Clementi, Cramer and Beethoven seemed to have promoted a more *legato* touch. But it is Chopin and Liszt who "crystallized the essential relation between medium and style that so clearly set the Romantic piano apart from Classical and post-classical antecedents."[70]

Indeed, Chopin and Liszt changed the definition of technique and of sound quality and touch to serve their own agenda of musical aesthetic understanding in relation to interpretation, although in very different ways.[71] Their performance style was rather different, yet both masters were distinguished from the rest among the circle of pianists. Jean-Jacques Eigeldinger and Kenneth Hamilton point out an important difference between Chopin's and Liszt's approach to the piano, which also explains to a certain degree the difference in their aesthetic understanding: Chopin was more of a pianist *da camera* whereas Liszt was a stage performer.[72] In fact, Chopin rarely performed in public as he found pleasure in teaching, in contrast to Liszt who stopped performing for money around his forties. Chopin brought to the piano the art of *bel canto* and expanded piano technique by developing a new dependence on fingering, on phrasing, and on pedal. Hamilton states that "pauses for breath" were added to his students' scores by him, as well as vocal embellishments to the *Nocturne* Op. 9, no. 2.[73] Eigeldinger's collection of the remarks and comments of Chopin's students on technique and interpretation shows an attempt to imitate human breathing, but also a great interest in broad *cantabile* style, on intense *legato*, on giving a sense of line and phrasing, on fullness of sound

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[70] Samson, "Ecology by numbers", in *Virtuosity and the Musical Work*, pp. 18-19.
[71] In Romantic performance practice, one of the biggest concerns was the promotion of tonal beauty and variety relating to a singing tone, which resulted in the evolution of pianistic techniques and stylistic changes regarding interpretation: the dislocation of the hands, the unmarked arpeggiation of the chords, the staggering of melodic entries, the pedal effects, and later the different types of *rubato* that emerged, were only the means by which romantic performers were enabled to "sing" at the piano. The evolution of piano technique was not the result of the differentiation between Baroque, Classical, and Romantic performance practice issues but rather a consequence of an aesthetic change that occurred parallel to the development of keyboard instruments and to the rise of the performer-interpreter. *Cantabile* playing in keyboard instruments for example, was not a discovery of the Romantics. On the contrary, it was greatly adapted and developed in Chopin's compositions as evidenced in the structure of his melodic phrasing which often resembles that of J. S. Bach's vocal phrasing and ornamentation. See: Kenneth Hamilton, "A Singing Tone", in *After the Golden Age: Romantic Pianism and Modern Performance* (Oxford: Oxford University Press, 2008), p. 142.
[72] Hamilton, "Chopin pianist and teacher", in *After the Golden Age*, p. 20.
[73] Hamilton, "A Singing Tone", in *After the Golden Age*, p. 140.

and on tone quality.[74] Liszt, although greatly influenced by Chopin and by Czerny, the second being his first and most important teacher, turned the piano into an orchestra and gave it a symphonic character that required the use of the whole arm and the active participation of shoulders and back.[75] Nonetheless, the admiration Chopin and Liszt had for each other is apparent by their conversations, letters, essays, the biography Liszt wrote of Chopin after his death, the dedication of the second volume of the *Grandes Etudes* to Chopin in the Ricordi edition (and the first volume to Czerny), and Chopin's dedication of his *Etude* Op. 10 to Liszt.[76]

According to Samson, the polarity in Chopin's and Liszt's approach to the piano in terms of temperament, technique, style, and aesthetic, marks a "historical moment".[77] Simply put, Samson clarifies that their polarity lies within the idea that they used the piano to achieve a different kind of expressive potential. For Chopin, it was achieved through a unique blend of the Classical and the post-Classical, using a brilliant style, whose components were transformed through the agencies of Bach and Mozart. Liszt wrote of Chopin as a Romantic "poet of the piano", when it was he who "elevated and transformed the ingredients of popular pianism by infusing them totally by Romantic ideology. […] he conflated them with a poetic idea, […] by associating them with high-prestige literary or philosophical ideas."[78] Indeed, Liszt in his teachings is not concerned with pedagogical matters, which he thought of with suspicion. On the contrary, he believed that the age of specialisation that was taking place in the conservatories of the time was a dangerous development because it did not make artists more musical. For him, a well-educated piano student should study composition and be able to develop a personality as a performer.[79] Thus, the historical moment in the development of Romantic piano resulted in an expressive potential that encouraged composers to behave more in keeping with the identity of pianist-interpreters. This created circumstances in which composers became more specific about their intentions and of identifying on the notated score how their works were expected to be performed.

[74] Eigeldinger, *Chopin: pianist and teacher.* pp. 42-64.
[75] A more in depth examination of how such aesthetic understandings are of significance for the performer in forming an "appropriate" mood and expressive potential of performance is illustrated in detail in subsequent chapters.
[76] See: Arthur Friedheim, "Liszt the Pianist", in *Life & Liszt*, ed. Theodore L. Bullock (New York: Dover Publications, 2012), p. 157; Henryk Opieński, *Chopin's Letters*, trans. E. L. Voynich (New York: Dover Publications, 1988); Franz Liszt, *Letters of Franz Liszt*, vol. 1 (USA: Indy Publish, 2002); and Samson, "Ecology by numbers", in *Virtuosity and the Musical Work*, pp. 8-28. Also, according to Arthur Friedheim, everything by Chopin found permanent favour with Liszt during his class lessons, particularly the *Preludes*. See: Friedheim, "Liszt the Teacher", in *Life & Liszt*, p. 47.
[77] Samson, "Ecology by numbers", in *Virtuosity and the Musical Work*, p. 19.
[78] *Ibid.*, pp. 19-21.
[79] Alan Walker, *Reflections of Liszt* (New York: Cornell University Press, 2005), pp. 54-55.

Consequently, it is not a coincidence that piano techniques developed further in the hands of Liszt, whose aesthetic understanding of the instrument elevated the performance styles and the role of the performer-interpreter. His tremendous technique was used as a means of creating interpretations and was the result of experimenting with new sonorities and qualities of tone. This is in fact documented by Friedheim. He writes that although Liszt had a very strict conservative training in his youth by Czerny, he "was too imaginative not to fall under the spell of the Romantic writers, poets, painters, and musicians with whom he associated. […] In his playing he soon cast off rule and tradition in favor of unshackled imagination and freedom of expression."[80] Liszt revolutionised piano playing and technique to reflect his interpretations to such a degree that piano manufacturers were under the pressure of improving even more quickly the instrument's capacities in order to accommodate his dramatic style, his richness of sonorities and his variety of tone quality.[81] As a result there was a misunderstanding concerning his teaching methods; it was assumed that his only rule for a successful performance was that one's technique should be perfectly assimilated and under control. On the contrary, Liszt never taught only one method of piano playing, which was in fact the way he had been taught by Czerny.[82] He expected his students to have already become acquainted with all the abilities of keyboard playing by the time they came to him. For him, interpretation was the key thing, and all technical aspects that derived from his teachings directly served and reflected an interpretative purpose.

Adding to this, Friedheim mentions that, "In his later years, particularly, Liszt was the most objective of pianists, merging his entire individuality into that of the composer he was interpreting."[83] He quotes his master explaining the role of the performer in relation to the musical score, which also extends to Liszt's general notion and purpose of performance interpretation:

> The virtuoso is not a mason who chisel in hand, faithfully and conscientiously whittles stone after the design of an architect. He is not a passive tool reproducing feeling and thought and adding nothing of himself. He is not the more or less experienced reader of works which have no margins for his notes, which allow for no paragraphing between the lines. Spiritedly-written musical works are in reality, for the virtuoso, only the tragic and moving *mis-en-scène* for feelings. He is called upon to make emotion speak, and weep, and sing, and sigh – to bring it to life in his consciousness. He creates as the composer himself created, for he himself must live the passions he will call to light in all their brilliance. He breathes life into the lethargic body, infuses it with fire, enlivens it with the pulse of grace and charm. He changes the earthy form into the spark which Prometheus snatched from Jupiter's flesh. He must send the form he has

[80] Friedheim, "Liszt the Pianist", in *Life & Liszt*, p. 156.
[81] *Ibid*.
[82] Watson, *Liszt*, p. 174.
[83] Friedheim, "Liszt the Pianist", in *Life & Liszt*, p. 51.

> created soaring into transparent ether; he must arm it with a thousand winged weapons; he must call up scent and blossom, and breathe the breath of life.[84]

Liszt invites us to think that the elements of a musical performance that depend on personal response and which vary between different interpretations are as important as the composition itself. The performer creates as the composer himself had created with the goal of communicating an interpretation to the receptive listener as convincingly as possible. Lina Ramann mentions that "none of our masters are so dependent on performances that make sense of their compositions".[85] His strong individuality as a performer often overruled his identity as a composer. That is, he did not just compose works that meant to be performed but rather, he was creating performances that needed to be composed. His individuality as a performer is also partly the reason why Liszt moves away from conventional forms in an attempt to create coherent and energetic performance. Form becomes a flexible, easily-shaped and often-manipulated performative tool that is only a departing vehicle to musical expression and to musical experience.

Unfortunately, Liszt does not mention anything about his *Ballades* in his *Pädagogium* but Göllerich and Lachmund's diary notes on the *Second Ballade* reveal Liszt's consistency between his teachings of the opening of the *Ballade* and other pieces in his *Pädagogium*. The *Pädagogium* refers to the main theme of *Funérailles*, saying that it should not be rhythmical. According to Carl Lachmund, Liszt altered the performance of rhythmic figures depending on the mood of the music. In *Funérailles*, for example, the opening LH-*ostinato* was to be doubled in length with the RH entering when it was ready, following the mood of the music as well as the mood of the performance.[86] A similar attitude occurs in the teachings of the *Second Ballade*, where LH-*ostinato* is part of an opening accompaniment figure. In his diary notes Lachmund describes a lesson given to Klahre in 1884. He quotes Liszt saying: "This opening period of the *Ballade* should be played in a broad and majestic manner."[87] Lachmund then clarifies that "The running passages in the bass he wished played with a crescendo, but not regularly at every measure, and contrary to the expression of the melody in the right hand, which makes an original effect."[88] Klahre, in his attempt to perform "tempestuoso" having Liszt's directions in mind, sounded too loud and noisy for Liszt's taste, who pointed out to him that "you play it like a cyclone, instead of giving it the effect of thunder in the

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[84] *Ibid*., p. 52
[85] Brendel, *On Music*, p. 24. Lina Ramann was also the founder of a music school in Nuremberg which she handed over to Liszt's student Göllerich.
[86] Hamilton, "Performing Liszt's piano music" in *Liszt*, pp. 184-5.
[87] Carl Lachmund, *Living with Liszt*, ed. Alan Walker (Pendragon Press, 2010), p. 308.
[88] *Ibid*.

distance."[89] According to Lachmund, when Liszt performed the opening, he lifted his right hand up in the air up to a foot above the keyboard before striking each note.[90] The opening seemed to be quite important for Liszt in establishing the appropriate mood of the *Ballade* as he spent a lot of time explaining it and performing it in front of his students. In his diary notes on the piano master-classes of Liszt, Göllerich describes a lesson given on Friday, June 13, 1884 to Miss Krause. He mentions: "Liszt played the beginning himself and said, "Not too fast"; at that, he played the passage in the left hand very broadly and thunderously with a lot of sound and pedal, not as a "brilliant" run as it is usually done".[91] While Hamilton argues that Liszt was generally inconsistent with the use of pedal even during the Weimar period pieces, Liszt's teachings on the *Second Ballade* seem to reinforce his markings on the score.[92] There are absolutely no pedal indications in the first *Ballade*. In the *Second Ballade*, however, Liszt provides a pedal marking on bar 1 which he holds until bar 18. This confirms Göllerich's abovementioned remarks that he played the passage with a lot of pedal. Liszt marks almost the same pedalling in the repetition of the theme, bars 36-55. The difference is that he changes the pedal for each bar, 50, 51 and 52, perhaps in an attempt to emphasise the melody more. The fact that the theme is repeated a half-step lower might have been a determining reason to change the pedal more often in order to clean up the sound as it is usually recommended for lower registers, and to create differentiation between the theme and its repetition.

But, although Lachmund explains that Liszt altered the performance of rhythmic figures depending on the mood of the music, Liszt's approach to pedalling would vary according to the acoustics of the performance. This reveals that pianistic approaches were used not only to accommodate the mood of the music but more importantly the mood of the performance. It also partly clarifies why the *Pädagogium* refers to different types of pedalling such as half-pedal or tremolo pedal which are hard to indicate in a score.[93] Amy Fay mentions that "His [Liszt's] touch and peculiar use of the pedal are two secrets of his playing…".[94] Stradal also writes that "To produce this beautiful singing tone he demanded an artistic use of the pedal going into the smallest detail…".[95] All these, in relation to the fact that during the Weimar

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[89] *Ibid*.
[90] Kenneth Hamilton, "Performing Liszt's piano music", in *The Cambridge Companion to Liszt*, ed. Kenneth Hamilton (Cambridge: Cambridge University Press, 2005), p. 189.
[91] August Göllerich, *The Piano Master Classes of Franz Liszt 1884-1886*, ed. Wilhelm Jerger, trans. Richard Louis Zimdars (Indiana: Indiana University Press, 2010), p. 39.
[92] Hamilton, "Performing Liszt's piano music", in *The Cambridge Companion to Liszt*, pp. 185-186.
[93] *Ibid*., p. 187.
[94] Watson, *Liszt*, p. 173.
[95] *Ibid*.

years Liszt was composing on his Erard and on two Viennese instruments, shows that Liszt's pedalling of the *Second Ballade* cannot be applied on today's grand pianos. Sustaining the pedal for eighteen bars on a modern piano would produce a muddy sound that would swamp rather than support the melody. Something like this would contradict Liszt's general teaching, in which he "demanded [...] cleanliness and clarity in a performance, and required the pupil to sing on the keys", to use Stradal's words.[96]

Thus, pedalling was meant to accommodate the mood and colour of the moment. According to Stradal the same applies for the *una corda*. Liszt preferred it "to be employed only in exceptional cases, preferring a greater *pianissimo* to be produced without it...".[97] Yet in the *Second Ballade* he specifically writes *una corda* in three instances: in bar 22, which is part of *Lento assai*, in bar 57 which is the repetition of the *Lento assai* transposed, and in bar 305 where the *Andantino* starts. All three indications occur during crucial moments, that is, after a long energetic section that comes to a stop unexpectedly and suddenly. *Lento assai* is a transitional chorale passage that lasts for four bars in both appearances. The chords of the first two bars repeat exactly the same, only an octave higher in the RH and two octaves higher in the LH. It is during the higher register that the *una corda* is marked. The fact that *tre corde* does not appear until bar 35 with the return of theme, does not necessarily mean that the *una corda* must be used during the *Allegretto* section as well, but that it must definitely be used where indicated. Something similar occurs with the repetition of *Lento assai*. However, the fact that the *una corda* is applied in the last *Andantino*, which uses the material of the *Allegretto*, creates a link between these three moments. A link that is found crucial in the construction of a narrative such as the *una corda* creates a certain thin colour and a feel of distance.[98]

To conclude, this short overview of the different meanings of programme music, the programmatic approaches to the piano works of Chopin, Schumann, and Liszt and how those were reflected on and translated into teaching methodologies – that were in turn revealing aspects of nineteenth-century performance traditions – have been the main focus of this chapter as part of enriching the process of informed performance interpretation. In other words as Rink very well puts it, this was done "in an effort to capture the 'spirit' of a work as a prelude to live performance."[99] Thus, the goal of this chapter was to supplement the

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[96] *Ibid*.
[97] *Ibid.*
[98] Chapter Seven provides a detailed narrative approach to Liszt's *Second Ballade* in relation to how such teachings affected my own interpretations of the work.
[99] Rink, "Translating Musical Meaning: The Nineteenth-Century Performer as Narrator", p. 217.

understanding of informed performance interpretation: that is, to provide crucial historical, analytical, and conceptual evidence in an attempt to supplement the nineteenth-century keyboard performance practice. This was done by concentrating on issues of how pianist-composers conveyed "meaning" in solo piano works, and in turn on how such issues become vehicles for the performers in creating narrative understandings and therefore, narrative-like performances of musical works. With this in mind, what follows is an understanding of the term *narrativity* and how it came to be adapted in particular works and performances, through a discussion of and reflection on relevant theories. This will also contribute to the goal of subsequent chapters, that is, to examine how today's performers can "bring the score to life as a narrator of the expressive message inherent therein" through the construction of performatively narrative processes.[100]

[100] *Ibid*.

4. Theorising Narrativity in Works and Performances

This chapter explores the complexity surrounding the concept of musical narrativity. It engages with the literature of the last two decades on the ongoing debate of whether music can present a narrative or whether it holds narrative possibilities of its own. Both opponents and supporters explore the aspect of musical narrativity in relation to literary narrativity, either by using literary theories in an attempt to discern a transposed reflection of literary narrative in music, or by finding a common foundation between the two but at the same time understanding each one through their own manifestation. It seems, though, that when the idea of narrative is rejected, it is generally because the conclusions are focused on music's specific limitations: the lack of a narrator, of text, of past, future or conditional tenses, and its inability to carry propositions of its own. Researchers such as Jean-Jacques Nattiez, Edward T. Cone, Eero Tarasti, Fred Maus, Carolyn Abbate, Byron Almén, Anthony Newcomb, Lawrence Kramer and a number of others have provided significant work toward an understanding of what musical narrative might be. The following pages focus on investigating what the term musical narrativity implies in relation to understanding the piano ballade as a narrative-like genre. In turn, this raises issues in terms of performance interpretation, and how should or could the narrative impulse influence the conceptualisation, composition, analysis, practice, and performative display of such works.

4.1. Music as if a Narrative

The branch of musical criticism called musical narratology is a fairly new discipline in musical studies. It is misleadingly considered problematic because the term narrativity is by nature related to literature, and because this gives a restrictive impression that narrative requires some sort of verbal expression or clue before music can take on such a character. Jean-Jacques Nattiez argued that, "it is at once because the concept of narrative was born with literature, oral and written, and because there is a clear ontological difference between literary narrative and musical 'narrative', that we cannot tackle the question of narrativity in music without taking literary narrative as a point of reference."[1] The lack of text in instrumental music put musical narrativity in a complex situation right from its creation, although a complex situation is not necessarily a limiting one. Fred Everett Maus' definition of narrative on the other hand tries to circumvent some obvious problems. He argues that "Narrativity is the quality of some artefact that makes it an example of narrative or, in some usages, a quality

[1] Jean-Jacques Nattiez, "Can One Speak of Narrativity in Music?" *Journal of the Royal Musical Association,* vol. 115, no. 2 (1990), p. 242.

that creates a resemblance to narrative."[2] Here the given philosophical sense of the word "quality" in Maus' definition implies that narrativity is the attribute of some artefact that creates some sort of resemblance to narrative. The question then remains the same: what are those elements that evoke a certain kind of narrative character in instrumental works? Are such elements found in the notated score, are they dependent on the interpretative and performative abilities of the performer, or do they involve a listening tactic, therefore do they exist only during performances and only when listeners decide so? The quest for answers resulted in two main schools of thought: 1) the "Formalists", who assert that music has no narrative capacity by any accepted definition of the term (Abbate and Nattiez), and 2) the "Radical Narrativists", who assert that musical narrative can be explored only through the juxtaposition of structure and meaning (Maus, Newcomb, Kinderman, Treitler).[3] Those who attempted to examine musical narrativity through the most literal sense of what constitutes a true narrative did so by comparing musical processes with verbal communication. Those, however, who explored the aspect of "narrative content" or of "narrative elements" in music argued that musical narrativity is related to meaning and that formal and expressive interpretation are two complementary ways of understanding a work which works together in producing the connected intensities of a plot through time.

Carolyn Abbate and Jean-Jacques Nattiez deny that music on its own has a narrative capacity. However, Abbate claims that "music mimes a drama" and Nattiez examines the construction of narrativity through a tripartition comprising of the novelist, the work (novel) and the reader.[4] Abbate is also in agreement with Edward T. Cone's idea of "virtual agents", imaginary personas, which act as the narrating presence in an instrumental drama. [5] Cone explores further the concept of musical narrative by metaphor and analogy. Along the same lines as Kivy, he argues that by using suggestive titles such as *Funeral March*, *Ballade*, and *Nocturne*, among others, composers imply vague programmes. In this way, they give a conceptual and not a verbal context to a musical work. The virtuality of these concepts allows

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[2] Fred Everett Maus, "Narratology, narrativity", http://www.oxfordmusiconline.com/subscriber/article/grove/music/40607, accessed 29 October 2008.

[3] See also the discussion in Gregory Karl's, "Structuralism and Musical Plot", *Music Theory Spectrum*, vol. 19, (1997), pp. 13-34.

[4] See: Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century*, Princeton 1991 and "What the Sorcerer Said", *19th-Century Music,* vol. XII, no. 3 (Spring, 1989), pp. 221-230; and Jean-Jacques Nattiez, "Can One Speak of Narrativity in Music?" *Journal of the Royal Association,* vol. 115, no. 2 (1990).

[5] Edward T. Cone, *The Composer's Voice* (Berkley, Los Angeles and London: University of California Press, 1974).

the listener to read the interaction of the different themes as, in Samson's words, "proponents of a drama".[6]

Nattiez argues that "any description of formal structures in terms of narrativity is nothing but superfluous metaphor" and that "In a narrative there exists simultaneously a linear dimension – events happen at different moments in time – and relations of cause and effect between these two events.[7] His most interesting analogy between literary and musical narrative is the gap-filler of the *narrative void*. In the case of the literary narrative there exists the tripartition of the novelist, the work (novel) and the reader. Accordingly, in the case of the musical narrative there exists the tripartition of the composer, the work (musical score) and the listener. Both the novelist and the composer leave a "trace" of their intentions – the published text or musical score – from which the reader and the listener construct their own causal relations, which may or may not correspond to those conceived by the novelist or the composer. Therefore, "[…] the imagination of the reader fills the narrative void which exists between two images. It is exactly this process which operates when we hear music in a more or less spontaneously narrative mode of listening."[8] However, more crucially for music, here it is argued that the causal relations are created primarily by the performer rather than the listener. Nattiez failed to recognise that it is the imagination of the performer that fills the narrative void. This process exists primarily when we perform music in a narrative mode of performing rather than because we hear it in a narrative mode of listening, as it will be further examined in subsequent chapters.[9]

Perhaps the most constructive criticism against Abbate and Nattiez was given by Gregory Karl and Leo Treitler, which also finds Matthew McDonald in agreement: that it is not always important or possible to find the right word to describe a musical process or a musical quality that can be associated with narrative. Karl argues that the fact that some have borrowed "critical techniques, analytical tools, and terminology from the field of narratology does not

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[6] Jim Samson, *Chopin: The Four Ballades* (Cambridge: Cambridge University Press, 1992), p. 84.
[7] Nattiez, "Can One Speak of Narrativity in Music?", pp. 242 and 257. Therefore, there is the distinction between two levels of the narrative's existence: in literature, one does not need a title in order to realise that he/she is dealing with a narrative. The different series of events along with the relations of cause and effect make the literary narrative easy to recognise. By contrast, in music one needs to know that he/she is dealing with a symphonic poem or some such work in order to approach it with a particular listening strategy and therefore, construct a narrative from it. As a result, music cannot *be* a narrative to the extent that language can, as it cannot directly speak to us.
[8] *Ibid*., p. 243.
[9] See also Chapter Three for a discussion on performative narratives and the task of the performer in creating a narrative mode in performance.

entail a commitment to a narrative view of musical structure." He also argues that limiting narrative to extra-musical reference seems a naive understanding both of what a narrative is and of what claims people make when they hear music as narrative.[10]

Anthony Newcomb examines the aesthetic activity of "following a story" through compositional strategies that constitute a "narrative impulse" to a work, analogous to that of the literary narrative. He focuses on matters of narrative plot structure, which he examines through the narrative strategies in Schumann's works.[11] In his article "Schumann and Late Eighteenth-Century Narrative Strategies", Newcomb suggests that much Classical and Romantic music depends on the musical analogue of what he calls a "plot archetype" or "paradigmatic plot", which is "a standard series of functional events in a prescribed order".[12] He argues that one of the main causes of the increasingly important narrative aspect in nineteenth-century music is "The problematization of Classical form at the hands of late Beethoven, Schumann, Liszt, Wagner, Mahler, and the like…".[13] Influenced by the structural studies of paradigmatic plot in verbal narrative by Propp and Levi-Strauss, Newcomb suggests that when a plot archetype is applied to a musical work, it can help in following a story in relation to formal successions. His research explores how musical organisation can help in recognising a plot archetype.[14] His narratological approach is based on a general analogy of "paradigmatic or conventional narrative successions in literature and history on the one hand, and formal types in music on the other."[15] In a second article, "Once more "Between Absolute and Program Music": Schumann's Second Symphony", Newcomb recognises a plot archetype which constitutes the basis of some symphonies, that of suffering followed by healing or redemption. According to him, this evolving pattern of mental states is analogous to plot archetypes that constitute the basis of novels and tales.[16] Newcomb

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[10] Karl, "Structuralism and Musical Plot", pp. 13-14. See also Leo Treitler's "Language and the Interpretation of Music", in *Music and Meaning,* ed. Jenefer Robinson, (New York: Cornell University Press, 1997), pp. 51 and 54.

[11] Anthony Newcomb, "Schumann and Late Eighteenth-Century Strategies", *19th-Century Music,* vol. 11, no. 2 (Autumn, 1987), pp. 164-174.

[12] *Ibid*., p. 165.

[13] *Ibid*., p. 174.

[14] Anthony Newcomb, "Once More "Between Absolute and Program Music": Schumann's Second Symphony", *19th-Century Music* vol. 7, no. 3 (Apr. 3, 1984).

[15] Newcomb, "Schumann and Late Eighteenth-Century Strategies", pp. 164-174.

[16] Newcomb, "Once More "Between Absolute and Program Music": Schumann's Second Symphony", p. 234. Another narrative device that Newcomb explores is called *Witz*. The term *Witz* was used by the Romantic novelists and describes "the faculty by which subtle underlying connections are discovered (or revealed) in a surface of apparent incoherence and extreme discontinuity". (Newcomb, "Schumann and Late Eighteenth-Century Strategies", p. 169.) He uses Schumann's *Carnaval*, a work that is based on strategically-grouped small pieces to imply some sort of larger narrative, in order to illustrate how *Witz* can be applied to a musical work as a narrative device.

succeeded in showing that paradigmatic plots can be observed in textless music and that the narrative devices or strategies associated with them can also be applied in music. This leads to the following conclusion: that there is already something in the music that will be inevitably discovered or revealed through established techniques and their competent use. Yet again, such techniques focus only on theoretical matters and avoid recognising a crucial point: that the performer's imagination and engagement with the music contributes in allowing an emergent essence of the musical work to be revealed. Here it is argued that narrativity fails to uncover its qualities when the composition itself is considered the final product. On the contrary, narrativity is the result of a musical work destined to be a public product of performance. Thus, it is the experience of the composition's actual performance that allows such concepts to emerge.

This conclusion leads us to Byron Almén and Ero Tarasti, who have made some significant observations in relation to musical performance. They are not mainly concerned with the theoretical aspect of musical narrativity but rather with understanding the different cues, elements, and their relations that establish a narrative in a given musical work. Since there is no agreed definition of what musical narrative might actually be, Almén suggests that a better understanding of its characteristics, strengths, and limitations might lead to a better sense of direction with respect to research and analysis. In his "Narrative Archetypes: A Critique, Theory, and Method of Narrative Analysis", Almén presents a case against some of Nattiez's and Newcomb's most significant arguments.[17] More specifically, one of his main arguments against Nattiez is that the presence of a narrator is not really necessary or crucial in order to have a narrative.[18] Also, his critique of Abbate's conclusion that music cannot possess narrative because it does not have a past tense is made by using fiction as an example, which creates its own tense-system without relation to a narrator or an external reality.[19] He reaches the conclusion that the integration of musical meaning and significations with analysis should be achieved by using narrative elements as a primary tool in the theorist's arsenal.[20] Indeed, it is the differentiation of characters that emerges through understanding the different musical cues and elements that create a musical narrative. The treatment of such musical cues and elements by the performer evokes appropriateness in performance interpretation, an appropriateness that is underpinned by a narrative drive.

[17] Byron Almén, "Narrative Archetypes: A Critique, Theory, and Method of Narrative Analysis", *Journal of Musical Theory*, vol. 47, no. 1(Spring 2003), pp. 1-39.
[18] *Ibid*., p. 7.
[19] *Ibid*., p. 9.
[20] *Ibid*., p. 32.

Along the same lines Tarasti argues that musical narrative should not be based on the elements comprising narrative in literature.[21] His observations about musical narration include: (1) musical narrativity should be investigated on the level of musical performance (for example, what is the ability to perform a musical work in a narrative way and what is a narrative touch or sound that characterises a performance); (2) a musical work has a narrative movement with different levels of tension between beginning and end, "the arch of tension", which is observed at a purely structural level; and (3) narrativity can be understood as "a competency that involves putting temporal events into a certain order, a syntagmatic continuum." [22] Therefore, his conceptualisation of what a musical narrative is suggests its examination through the juxtaposition of structural analysis and musical performance. Furthermore, in his *Signs of Music* Tarasti explains how "new musical semiotics" enhance the discovery of a work's individuality rather than a slavish and rote-like syntagmatic analysis. He provides a different type of analysis, one in which music "already appears as a certain *situation* rather than as a fixed object".[23] In Tarasti's words, a musical situation is the crossroads of signification and communication in which communication is replaced by a model of narrative action. This means that musical situation is the place where the physical/implied author and the physical/implied listener meet. Consequently, this means that in a work there is a musical narrator who organises musical events according to a certain kind of logic, and which takes a possible audience into account. The narrator, in this case the composer, arranges the events into a plot that could be "decoded" correctly by the audience.

Thus, his philosophical understanding of what constitutes narrative music reveals a model constructed by three degrees of agents/patients and it is presented in a simplified form as follows:

composer → implied composer → message ← implied listener ← listener

The "message", in this case the musical work, is infused with signs, symbols, events, and actions by the composer. This gives an organic sense to music with the goal to be transmitted and understood by the audience in a specific way. Indeed, this is the problem with Tarasti's approach: that although he argues that he is greatly concerned with the act of musical performance, the result of his semiotic approach creates such a dense and complex type of analysis that it is difficult even to decode on paper. One then wonders how such an analysis

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[21] Eero Tarasti, *A Theory of Musical Semiotics* (Bloomington and Indianapolis: Indiana University Press, 1994).
[22] *Ibid.,* p. 24. Tarasti's "syntagmatic continuum" can be compared to Anthony Newcomb's "plot archetype" in his "Schumann and Late Eighteenth-Century Strategies", *19th-Century Music,* vol. 11, no. 2 (Autumn, 1987), pp. 164-174.
[23] Eero Tarasti, *Signs of Music*, (Berlin, New York: Mounton de Gruyter, 2002), pp. 65-87.

would be realised in performance even to a certain degree. But even more crucially, he argues that narrativity is a competency that involves putting temporal events into a certain order but he fails to recognise that those events *should* be treated in *a certain way* in order to reveal a narrative. It is noted that "should" and "a certain way" are intriguing in respect of the aims of this thesis. Tarasti considers the narrator to be the person who arranges the events into a plot – the composer – but not the person who presents them in a certain manner so as to evoke a plot – the performer. He argues that the goal is that the plot could be decoded by the audience, but the absence of the performer is striking. Musical narrativity emerges from the struggle-to-reveal process of critical rehearsal and by the manner with which the different cues, elements, and episodes are presented. Thus, it is the performer's engagement with such a process that leaves its trace on the public product, the performance.

Of all the people who have tried to tackle the question of musical narrativity, Lawrence Kramer has made some telling observations that help in unifying all of the above researchers' conclusions despite their distinctly different approaches. In his "As if a Voice Were in Them" he explains that,

> In principle, at least three distinct types of subject-position may operate within any literary narrative: that of the narrator(s), that of the person(s) whose experience or point of view focuses the narrative, and that of the fictive or projected author, who seeks (not always successfully) to integrate and interpret the others.[24]

In music, however, he argues from the point of "narrative time", one of his most crucial observations.[25] As he explains, his understanding of narrative time differs from Paul Ricoeur's "in the weight and openness accorded to the promise of meaning."[26] Kramer's crucial point is that "Narrative time arises when the promise of meaning elicits deep attention; it culminates in the disclosure of a meaning that we may or may not grasp as a whole but to which we find ourselves given as participants".[27] Thus, narrative time is the actual experience of musical performance. His approach reveals that Classical music, meaning Western music, asks us to hear something in the process of its performance, rather than every single thing. Even in the case of Tarasti who puts performance at the core of exploring narrativity, the quest to pinpoint everything through a performative approach is yet problematic for this very reason. Hearing something in the music implies participation, thus, recognition and

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[24] Lawrence Kramer, "As if a Voice Were in Them", in *Music as Cultural Practice* (California: University of California Press, 1990), p. 186. See also Newcomb's *Music and Poetry: The Nineteenth Century and After,* (Berkley and Los Angeles, 1984), pp. 4-23.
[25] Kramer, "Classical", in *Interpreting Music* (University of California Press, 2011), pp. 204-219.
[26] *Ibid*., p. 307.
[27] *Ibid*.

interpretation of the actual process. Indeed, Kramer argues that narrative time requires two fundamental properties: the first is that the music must be composed to be followed, not simply heard. It has to promise meaning.[28] This leads to the second property, that music conceived in this way must have an authoritative score. This implies that the performance of the score is the actual event, the process through which narrative time – that is, the experience of time during performance – can occur, and not the events *per se* that constitute the musical score.[29] In this sense, it is not so much the chain of events that matters but the way one follows the course of events, the performance itself, which brings up an important consideration: that musical narrativity is fundamentally constructed on narrative time and since it can be realised only as an occurring event, a performance, it is necessarily an open-ended process. To take this a step further, it is not only the way in which one follows the events that evokes a narrative, but also the way in which performers construct the actual performance. More significantly, it is the process that emerges from critical rehearsal that is creative in itself. Therefore, all music can be narrative because it is realised and revealed only through the course of time, an idea that will be explored in more detail shortly. In turn, it is also argued that if all music can be narrative, the narrative impulse can be primarily revealed through pedagogical approaches that deserve as much attention as the theoretical ones. This idea will be further illustrated in Chapters Six and Seven.

4.2. Can all Music be Narrative?

Samson suggests that sonata form is the essential reference point to all of Chopin's four *Ballades*.[30] The same has been argued for Liszt's *Second Ballade* by Louis Kentner and Gunther Wagner, although each of them provides a version of sonata form-analysis of the piece quite different from each other.[31] But if Chopin was experimenting with reinventing a genre that was originally associated with vocal repertoire with the goal of turning it into a purely instrumental one, why would he choose to have done so by portraying a narrative-based conception through the principles of an already existing form? Perhaps the answer can be found in Arnold Salop's very condensed explanation of how a narrative composer works:

> First, he organizes some particular musical elements (like harmony, melodic line, or interest) into an easily perceived and reasonably simple pattern of trends. Second, some time after the initial trend gets under way, he may introduce either a reversal of its direction, or an abrupt change to a quality quite different from that which has been reached. Either of these would be introduced, furthermore, before the trend has gone so far as to acquire a sense of contrived,

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[28] *Ibid*., p. 211.
[29] *Ibid*., p. 212.
[30] Samson, preface to Fryderyk Chopin, *The Complete Chopin: A New Critical Edition. Ballades*, pp. iv-v. See also Samson's *Chopin: The Four Ballades* (Cambridge: Cambridge University Press, 1992).
[31] A more detailed discussion on the specific analyses is provided in Chapter Seven.

mechanical motion. Third, the composer would continue and culminate the program to which his choice of digression has committed him. I do not mean to imply that these should be considered rigid commitments; there are many fine shadings of timings concerning what is to follow. In addition, there are many situations where several different moves would seem equally plausible. Nevertheless, there is a range of possibilities beyond which the composer could not well go without causing the narrative sense to break down […]. By proceeding through a process of this kind it is possible to get some idea of how much he depended upon it to produce appeal. Knowledge of this kind can reveal something of the intellectual substance behind a style, as well as provide some valuable information concerning interpretation.[32]

Salop's second stage is crucial: the reversal of its [the work's] direction and the change of quality imply some sort of deformation or deconstruction. Salop was not the only one to spot such an aesthetic necessity in narrative works. Along the same lines Kramer supports the idea that instrumental music seeks narrative as a strategy of deconstruction, and Tarasti argues that "narrative structures can emerge particularly when, as a stylistic device, syntactical structures are deliberately broken."[33] Indeed, James Hepokoski and Warren Darcy explain that sonata deformation "became an increasingly attractive option in the hands of nineteenth-century composers who, for one reason or another, wished to suggest the inadequacy of the Enlightenment-grounded solutions provided generic sonata practice. Deformation of form became identical with deformation of expressive content".[34] This did not mean that deformation needs to be perceived as something negative, but rather, a creative gesture in the process of reinvention. In fact, Ferruccio Busoni in his *Entwurf einer neuen Aesthetik der Tonkunst* (1916) characteristically states that,

[…] 'Program music' is a play with forms without poetic program, whereby form gives up its central role. Yet it is precisely form, which works against an absolute music, which has adopted the godlike advantage of being free from material conditions […] Is it not peculiar that originality is required above all from a composer and that he is offered it just in form? What a wonder that when he then is really original, he is accused of formlessness.[35]

Formal ambiguity is the reason why performers often turn to extra-musical narratives in search for a better understanding of such works, despite the composer's silence on the subject. This raises the important question of whether there is a discernible link between one's perception of structure and one's perception of a programme.

[32] Quoted in Eero Tarasti's, "In Search of a Theory", in *A Theory of Musical Semiotics* (Bloomington and Indianapolis: Indiana University Press, 1994), p. 24.
[33] Kramer, "As if a Voice Were in Them", p. 189; Tarasti, *A Theory of Musical Semiotics*, p. 31.
[34] James Hepokoski and Warren Darcy, *Elements of Sonata Theory* (Oxford: Oxford University Press, 2011), p. 254.
[35] Quoted in Eero Tarasti's, "In Search of a Theory", in *A Theory of Musical Semiotics* (Bloomington and Indianapolis: Indiana University Press, 1994), p. 25.

Hepokoski and Darcy argue that narrative implications in sonata forms are possible even without any intended extra-musical associations. In their *Elements of Sonata Theory,* they make a case in which they support that the genre of the sonata can be viewed as a metaphor of human action, and it invites an interpretation as a musically narrative genre.[36]

> A sonata is a linear journey of tonal realization, onto which might be mapped any number of concrete metaphors of human experience. […] A sonata dramatizes a purely musical plot that has a beginning (P, the place where it sets out with a specific tonal-rhetorical aim in mind), a middle (including a set of diverse musical adventures), and a generic conclusion of resolution and confirmation (the ESC and subsequent music). It is in the nature of the sonata to set up a quest narrative.[37]

For them, a sonata is a metaphorical representation or implication of a narrative "action", not because it appeals to non-musical motivations but because it is by nature suggestive as it drives through a sequence of events towards a clearly determined goal. In the case that no sufficient evidence is at hand, "the structural shape of any given sonata can respond to any number of extramusical parallels that listeners might wish to interweave into, provided that the narrative is governed by the same expressive shape as the music in all of its details".[38] In the case of a sonata that is accompanied by a verbal clue which could guide the listener towards a specific or intended extra-musical implication, then it is indeed in the nature of that specific sonata to "set up a quest narrative". Such is the case of Muzio Clementi's two piano sonatas: Op. 17 in D major, titled *La Chasse* (p.1787) and his last piano sonata in G minor op. 50, no. 3, known as *Didone Abbandonata*, Dido's Abandonment (c1821).[39] Clementi borrowed the subtitle from the secular drama of Pietro Metastasio (1698-1782) which describes Dido's abandonment by the Trojan hero Aeneas. In Virgil's original "Aeneid", Dido, who was the queen of Carthage, killed herself when Aeneas deserted her after the destruction of Troy. The particular story had influenced a number of composers during the eighteenth and early nineteenth century but the most well-known example is Henry Purcell's *Dido and Aeneas* composed in 1688. According to Paul Miles, Clementi did not attempt to provide in music the poetical idea of the legend but to depict Dido's emotions in three movements that follow strictly the structure of a classical sonata, which also explains the

[36] Hepokoski and Darcy, *Elements of Sonata Theory*, p. 251.
[37] *Ibid*., p. 252.
[38] *Ibid*., pp. 252-253.
[39] Paul Miles, preface to Muzio Clementi, *Sonate Op. 50 Nr. 3, Didone Abbandonata* (Munich: G. Henle Verlag, 1957/1985), p. 2. The three sonatas op. 50 were dedicated to Luigi Cherubini; they were composed in 1821 and during the same year they were simultaneously published in Paris, Leipzig, Offenbach, Milan and in London by Clementi's own firm.

numerous and sometimes unusual directions.[40] Niecks describes *Didone Abbandonata* as a fine example of a sonata and of programme music that belongs in the Beethoven period.[41]

Along the same lines, Niecks describes Beethoven as the "chief founder and the greatest cultivator" of programme music, although from his thirty-two piano sonatas only one of them has a given title, Op. 13 *Sonate Pathétique*.[42] He argues that Beethoven's widening and strengthening of instrumental forms are the off-springs of his poetic ideas, thus of his programme.[43] In addition, Niecks states that "whenever the composer ceases to write purely formal music, he passes from the domain of absolute music into that of programme music.[44] This coincides with Schindler's remark that Beethoven often avoided traditional forms because the idea by which he was driven demanded a different treatment.[45] Indeed, it is the composer's idea that "forces" performers to seek for something more. The idea seems to call for something more to make sense. Janet Levy points out that often performers find help in "programmatic connotations or even specific narratives that seem applicable to the work in question, even when no such suggestions or explicit programs are provided by the composer. The more unusual and puzzling the musical relationships, the more likely the search for extra-musical meaning seems to be."[46] So when composers reinterpret or renovate a genre, they do it in an attempt to make it more spontaneous and less predictable. Such is the case in Chopin's sonatas as well, for which Leikin mentions a crucial point. Romantic composers often use a mixing of forms striving "to depart from the predetermination of the traditional sonata mould. As a result the principles of different forms coexist in a single composition, overlapping, intertwining and even at times suppressing each other.[47]

Something similar occurs in Chopin's piano *Ballades*, for which Samson describes the musical features characterising the specific genre as a kind of cross between fantasy and a sonata – between the traditions of post-classical popular concert music and those of the classical sonata. He suggests that "Sonata-based formal functions play a major role in all four ballades, but they are significantly reinterpreted."[48] Leikin mentions another intriguing point

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[40] *Ibid.*
[41] Niecks, *Programme Music in the Last Four Centuries*, p. 105.
[42] *Ibid.*, p. 137.
[43] *Ibid.*, p. 135.
[44] *Ibid.*, p. iv.
[45] *Ibid.*, p. 136.
[46] Janet M. Levy, "The Power of the Performer: Interpreting Beethoven", *The Journal of Musicology*, vol. 18, no. 1 (Winter, 2001), p. 52.
[47] Anatole Leikin, "The sonatas", in *The Cambridge Companion to Chopin*, ed. Jim Samson (Cambridge: Cambridge University Press, 2004), p. 161.
[48] Samson, preface to Fryderyk Chopin, *The Complete Chopin: A New Critical Edition. Ballades*, pp. iv-v.

that also applies to the *Ballades*: that the aesthetic of the Classical sonata wants the hero and the heroine to be apart at first but to be happily united at last, whereas the Romantic aesthetic favoured the sort of love relationship in which the hero and the heroine could not be together and thus suffer a painful separation.[49] It is this type of literary analogy found in Chopin's sonatas and *Ballades* that allows the separation of themes and sections rather than their unification. The same is applied to Liszt's *Second Ballade* as well as it will be further discussed in Chapter Seven. It is not the theme *per se* but what is done with it by the composer, and more crucially by the performer, in order for a narrative to emerge. Thus, the need for significant formal reinterpretation was the result of musical content. Structure is only a medium and true structural power comes with an aesthetic understanding of narrative performance as metaphor.

Consequently, the following argument is the outcome of the discussion so far: the metaphorical understanding of the sonata's narrative nature invites a more generic understanding of the nature of instrumental music: that all music can be narrative as long as it consists of a beginning, a middle, and a generic conclusion of resolution. Tarasti portrays a similar position through his definition of a syntagmatic continuum. Such a continuum consists of a beginning, development and end, and the order created in this way is called, under given circumstances, a narration.[50] Therefore, all music that establishes some sort of narrative flow or continuity can be "programmatic" in a metaphorical sense. I take this a step further by arguing that musical narrative is in essence the meeting point, or the link between absolute and programme music, and the *solution* between aesthetic problems and debates regarding these controversial terms if it is understood as and through performative experiences. This should not be misinterpreted as an attempt to narrate a specific content onto a musical work as this approach "involves a misunderstanding about its mode of existence" to use Dahlhaus's words.[51] However, this reveals that regardless of whether music is identified as absolute or programme, musical experience is the agent through which all music can be approached as if a narrative. Musical experience includes both performing as well as practising: the act of performance as portrayed in the relationship between performer and listener, and the act of practising as portrayed in the relationship between teacher and student.[52]

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[49] Leikin, "The sonata", in The Cambridge Companion to Chopin, p. 166.
[50] Tarasti, "In Search of a Theory", in *A Theory of Musical Semiotics*, p. 24.
[51] Dahlhaus, "Program Music", in *Esthetics of Music*, p. 59. The arguments which are being introduced here will be explored in subsequent chapters in relation to performer's analysis and to musical shaping.
[52] It is not a coincidence that the idea of narrative intent or depiction becomes a central point in Liszt's teaching methods. The fact that his conception of what programme music is kept evolving is also cross-related.

To conclude, by reviving and examining the existing narrative theories, this chapter has addressed the debate on musical narrativity. It has suggested that if narrativity is understood in a broad sense, then narrative texture does not need definite meanings or rhetorical comparisons to be understood. Thus, all music, programme or absolute, can be narrative in character as long as it is "freed from its restricted sense which was bound with the figurative forms of narration".[53] But the extreme importance of poetry in the artistic sensibility of the time (which was not thought of as involving stories alone) gave incentives for creating a musical language that evoked a variety of interpretative possibilities and approaches that are especially observed in the genre of the piano ballade. Such a musical language includes rhythmic vigour, sectionalised forms, a fusion of characters and events, a cyclic thematic and harmonic development of the form, a variety in articulation and phrasing that imply a certain character instead of another, a different type of goal-directed climaxes, rhythmic and textural contrasts that imply motion (narration) versus rest (narrator), an episodic presentation of themes and their transformations, and the appearance of new material very near the end creating a different type of final climax that is often characterised as *apotheosis*.[54] Thus, there is a distinction between how the rhetoric works in poetry and how in music. In the case of the poetic ballad, continuity and drive is underpinned with mere rhyme scheme and emphatic repetition, which carries the drama across the rich, descriptive contemplation of character. In the case of the piano ballade, continuity and drive is underpinned by a synthesis of the above-mentioned musical elements.

Most crucial in the construction of a narrative impulse is that in nineteenth-century music there is on one hand "a drive towards the unification of thematic material, and on the other towards its individualization".[55] It is suggested that, it is the process of bringing these two together that results in different kinds of narratives which consequently "cause" a strong narrative "spirit". Individualisation of episodes, of phrases, or even of single melodies is essential in creating continuity despite how contradictory this might sound. To this extent, a multidimensional or polyphonic treatment of monophonic melodies is considered an essential ingredient. What follows is a critical view of Theodor Kullak's *Lénore* in relation to Gottfried August Bürger's poetic ballad *Lenore*. This is part of an attempt to examine the reconstruction of a musical work through an understanding of *what* is presented (a literary ballad) in relation to *how* it is presented (a musical ballade) in terms of notation. Thus, Case Study 1 focuses on

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[53] Greimas, quoted by Tarasti in "In Search of a Theory", in *A theory of Musical Semiotics*, p. 27.
[54] Edward T. Cone, *Musical Form and Musical Performance* (New York: W. W. Norton & Company, 1968), p. 84.
[55] Jim Samson, "Forms and reforms", in *Virtuosity and the Musical Work* (Cambridge: Cambridge University Press, 2007), p. 146.

applying musical narrativity, based on the relationship between the rhetoric of the poetical work and the content of the composition, and on examining whether such a relationship can promise the emergence of a narrative understanding.

5. Practising Musical Narrativity

Case Study 1: *Lénore* – A Critical View

The term *ballad,* a genre borrowed from poetry, ultimately derives from the Latin *ballare,* to dance, and it was a term used throughout Europe from the Middle Ages onwards describing short popular dance-songs such as the *carole*.[1] According to Gordon Gerould's definition:

> A ballad is a folk-song that tells a story with stress on the crucial situation, tells it by letting the action unfold itself in event and speech, and tells it objectively with little comment or intrusion of personal bias.[2]

It is important to distinguish the difference between the term *ballad* and the term *ballade,* the second being used for instrumental pieces whereas the first describes the German Lied. The eighteenth- and nineteenth-century German ballads refer to fairly long poems that contain both narrative and dialogue which were developed in imitation of the popular ballads of England and Scotland.[3] Herder introduced this genre to the German public by translating British texts and other folk ballads into German and, as a result, important Romantic poets of the time such as Bürger, Goethe and Schiller were influenced. European balladry continued to flourish throughout the eighteenth and nineteenth centuries, as evidenced, for example, by the ballads of the Polish poet Adam Mickiewicz (1798-1855), which were translated into German and set to music by Carl Loewe (1796-1869).[4] Such settings include *Erlkönig, Edward, and Tom der Reimer.* Even though Loewe is considered one of the most important ballad composers, the leading and perhaps the most influential German composer who excelled in this new type of lied was Johann Rudolf Zumsteeg. His collections *Kleine Balladen und Lieder*, i-vii, date from 1800 to 1805 and include around 170 works. Loewe's ballads as well as those by Schubert and Schumann are considered examples of narrative instead of lyric songs. The distinction between a lyric poem that typically explores emotions and a poetic ballad that tells a story by depicting unfolding events is crucial. The second, in combination with the romantic composer's need to create a type of coherence that moves away from thematic routines, results in extended instrumental forms, or even in the reformation of

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[1] James Porter, et al. "Ballad" http://www.oxfordmusiconline.com/subscriber/article/grove/music/01879, accessed 29 September 2008.

[2] Gordon H. Gerould, *The Ballad of Tradition* (Oxford: Oxford University Press, 1932), p. 11.

[3] Donald Jay Grout and Claude V. Palisca, *A History of Western Music* (New York: W. W. Norton & Company, 1996), p. 614.

[4] James Parakilas, *Ballads Without Words: Chopin and the Tradition of Instrumental Ballade* (Pregon: Amadeus Press, 1992), p. 20.

Classical archetypes, which give room for exploring music *as if* a narrative or in allusion to narrative and not as *being* narrative.

Referring to the narrative intent of the piano ballade does not necessarily mean referring to an intent that is solely understood through literature and poetry, but also through an understanding of what constitutes a musical narrative "spirit" in musical terms. There is something in the music that seems to demand a *story*. At the same time though, attempting to tackle the aspect of narrativity in the piano ballade solely on musical terms does not promise an objective "solution" to what evokes a narrative character. A plausible connection to a specific narrative can be found in Theodor Kullak's piano *Ballade* Op. 81 titled *Lénore* (1853) after Gottfried August Bürger's ballad *Lenore*. Possibly one of the most well-known German ballads of the eighteenth and nineteenth centuries, Bürger's *Lenore* (1774) has been an inspiring subject for painters as well as composers including Zumsteeg, Loewe, Schubert, Liszt, Rubinstein, Raff, Klughardt and Duparc.[5] Marjorie Wing Hirsch in her *Schubert's Dramatic Lieder* places *Lenore* under the category of dramatic ballad tradition and states that, "The earliest throughcomposed German ballad was a setting of "Lenore" composed in 1775 by Johann Andre".[6] Kullak (1818-1882) was the first to compose a piano ballade with the title *Lénore* and the epigraph *"Hurrah! die Todten reiten schnell! Graut Liebchen auch vor Todten?"* from Bürger's *Lenore*.[7]

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[5] See the settings of *Lenore* in *Balladen von Gottfried August Bürger,* in *Music gesetzt von Andre, Kunzen, Zumsteeg, Tomaschek und Reichardt*, ed. Dietrich Manicke, vols. 45-46 of Das Erbe deutcher Musik (Mainz: Schott, 1970).

[6] Marjorie Wing Hirsch, *Schubert's Dramatic Lieder* (Cambridge University Press, 1993), p. 68. Lenore's musical settings range from songs to symphonies; Zumsteeg's throughcomposed ballad *Lenore* for voice and piano (1797), Tomaschek's *Lenore* also for voice and piano (1805 or 1806), Liszt's melodrama *Lenore* for speaker and piano (1860), Rubinstein's *Ballade: Lenore de Bürger Op. 93* (1873), Raff's *Lenore: Symphonie No.5 Op. 177,* and Duparc's *Poeme Symphonique d'apres la ballade de Bürger* are only a few examples.

[7] Born in Poland in 1818, Kullak completed his musical education in Vienna under Czerny, Sechter and Nicolai. He worked as a music teacher in Berlin and in 1846 he was appointed pianist to the Prussian court. He founded the Stern Conservatory in Berlin with Stern and Marx, from where he withdrew as director in 1855. He then founded the Neue Akademie der Tonkunst, which specialised in the training of pianists and soon became the largest private institute for musical education in Germany. Kullak's most important contribution to piano music was his studies and his *Schule des Oktavenspiels*, which still provides a firm foundation for many students especially in Eastern Europe. According to Leuchtmann towards the end of Kullak's life the Academy numbered 100 teachers and 1100 students such as Hans Bischoff, Moritz Moszkowski and Xaver and Philipp Scharwenka. For more on Kullak see: Horst Leuchtmann. "Kullak", http://www.oxfordmusiconline.com/subscriber/article/grove/music/15656pg1, accessed 29 October 2008.

Other examples of poetic connections within the genre of the piano ballade include Johannes Brahms' *Ballade Edward* Op. 10, no. 1 (1854) which is the only one out of the four pieces comprising opus 10 that borrows a title by a specific poetic source. It is said that Herder's translation of *Edward* was the basis for the opening piano *Ballade*, which, according to Raymond Knapp, Brahms used in an attempt to recast the poetic ballad in programmatic terms.[8] In addition, Knapp suggests that the four pieces comprising this *Ballade* cycle, which was composed in 1854 and published in 1856, were intended to be performed together, as evidenced from various musical connections between them.[9] Lastly, Carl Tausig composed his ballade *Des Geisterschiff* (The Ghost Ship) in 1860. Its title indicates a poem by Moritz Strachwitz from a collection called *Out of the Northlands*.[10]

It is interesting to note the strong connections between Tausig, Kullak and Liszt. Tausig was the only child prodigy Liszt accepted at his home. Kullak and Liszt were both considered as two of the most important piano teachers of the nineteenth century and it is believed that they were also on friendly terms.[11] According to a letter by Liszt to Hans von Bülow dated 12 May 1853, Liszt finished composing both the *Second Ballade* in B minor and the B minor sonata at the same time in Weimar but the *Ballade* was not published until 1854. Kullak's *Lénore* was published in 1853.[12] However, Liszt gave Karl Klindworth, one of his students, the manuscript of the *Second Ballade* as a present in Weimar in 1853.[13] Therefore, even though Liszt's *Ballade* was published after Kullak's, and even though there is no evidence of a direct influence of Liszt on Kullak, there is a slight possibility that a version of Liszt's *Ballade* could have been available or discussed among pianists well before its publication. Also intriguing is the fact that Kullak was the editor of Chopin's ballades for the G. Schirmer edition (1881) for which he writes: "Since the narrative in tones is developed in accordance with other laws than those of the Doctrine of Form, we have divided in strophes, and in showing their articulation, have avoided the use of musico-technical terms."[14] He adds what

[8] Raymond Knapp, "Miscellaneous Works for Piano", in *The Complete Brahms: A guide to the Musical Works of Johannes Brahms*, ed. Leon Botstein (New York and London: W. W. Norton & Company, 1999), pp. 177-180.
[9] *Ibid*., p. 178.
[10] Alan Walker, *Reflections on Liszt* (USA: Cornell University Press, 2011), p. 71. In this particular *Ballade* Tausig provided his famous *glissando* on white keys for the RH and simultaneously on black keys for the LH, which gave Liszt some trouble before he was able to play it.
[11] *Ibid*.
[12] Rena Charnin Mueller and Ernst-Gunter Heinemann, preface to Liszt, *Balladen* (New York and Munich: G. Henle Verlag, Summer, 1996), pp. iv-v.
[13] *Ibid*.
[14] Frederick Chopin, *Ballads*, ed. Theodore Kullak (New York: G. Schirmer, 1881, 1882), p. 2.

seems to be his general approach to the genre of the ballade and his understanding of how a musical narrative is constructed, as it will be further illustrated in this chapter:

> The G-minor Ballad is the genial improvisation of an unrestrained, roaming fancy, which creates a series of pictures in glowing colors – "in unsystematic succession" we must say from the standpoint of musical form, yet not illogically, for their connection is supplied by the ideas and occurrences which suggested the composition of each strophe. This is precisely the nature of a narrative in tones [...].[15]

It had been established that during the nineteenth century, having knowledge of the impact literature had on music in general or on the impact specific literary sources had on specific musical works became essential in forming an understanding of the work's creation and interpretation, or, to use Kullak's words, of its "unsystematic succession" of events. At the time, knowing the actual story of Bürger's *Lenore*, for example, could be considered a significant source of inspiration toward a better-informed interpretation of Kullak's *Lénore*. And this so happened especially because during the mid-nineteenth century the correct and incorrect reading of musical scores and the composer's noted intentions became a subject well discussed by historians, analysts and performers alike, with the interest growing even more during the twentieth century. This chapter investigates whether a mirroring of the poetic structure onto the musical structure can assist in the understanding of what a musical narrative is or if it creates further difficulties in understanding the music as music. One of the biggest challenges is to distinguish the difference between what is presented in a musical work (the *content*), and how it is presented (the *rhetoric*). Therefore, the case of *Lénore* investigates two levels of exploring musical narrativity: 1) the rhetoric of poem or programme and 2) the rhetoric of the composition. The purpose is not only to "get the story", but to make musical connections in the most telling, integrated way, especially since the succession of events was chosen by the composer to make maximum sense from a particular point of view. Thus, the investigation starts with a structural analysis of Bürger's *Lenore* which is used as the basis for understanding Kullak's *Lénore*, in an attempt to conceptualise musical narrative as and through the reconstruction of a specific story.

5.1. Structural Analysis of Bürger's Lenore

Lenore tells the story of a young woman, Lenore, who waits for her beloved to return from a battle in Prague. When his fellow-soldiers return and he, Wilhelm, is not among them, Lenore desperately starts looking for him but he is nowhere to be found. Around midnight, Wilhelm appears on his horse and convinces her to join him for a ride to their bridal bed, without her realising that she is riding with Wilhelm's ghost. They arrive at an open grave in a churchyard

[15] *Ibid*., p. 3.

and at that moment Wilhelm's ghost turns into a skeleton, his horse dissolves into air and Lenore falls dead to the ground, as her soul is no longer in her body.[16] Bürger's original poem in German is made up of thirty two verses, each one consisting of 8 lines. As mentioned previously, the eighteenth and nineteenth-century German ballads refer to fairly long poems that contain both narrative and dialogue.[17] Therefore, I propose a structural approach based on a *Narrative/Dialogue* scheme which results in a five-scene reading (see Table 5.1). *N* indicates *Narrative* and *D* indicates *Dialogue*.

Table 5.1: Bürger/*Lenore,* Structural Analysis

Section #	**Scene: 1**	**Scene: 2**	**Scene: 3**	**Scene: 4**	**Scene: 5**
Verse #	1-4	5-11	12-13	14-18	19-32
Narrative/ Dialogue	N1	D1	N2	D2	N3
Context	The return of the soldiers	Lenore with her mother	Lenore's despair and the sound of Wilhelm's return	Wilhelm and Lenore	The ride and the arrival at the churchyard

Some of the available translations do follow the thirty-two verse structure, such as those by John Murray (1847), W.R. Spencer (1796) and Henry James Pye (1796), and others take more liberties and expand the length of the poem such as the translation by J.T. Stanley (1796), which is 44 verses long, 6 lines each.[18] Parakilas, in his anthology *The Nineteenth Century Piano Ballade,* chooses to provide an adaptation of the poem to accompany Kullak's *Lénore* by Sir Walter Scott, titled "William and Helen".[19] According to John Murray, this is one of the two better-known translations (along with William Taylor's translation), which he describes much more as imitations rather than translations of the original poem. He argues that: "[…] the writers [Taylor and Scott] have been led to make very large changes in the geography of the story" which appear to him "[…] to disguise and deform the features of Bürger's poem."[20] The freedom found in the specific adaptation is noticed instantly by the change of the title from *Lenore* to *William and Helen*. Even though the name Helen is very closely related to Lenore (Eleanor, Leonora,) the change of the title implies an equal importance of both characters, whereas the main character of Bürger's ballad is Lenore. All

[16] See Appendix for Bürger's original ballad in German as well as a translation by John Murray, pp. 169-174.
[17] Donald Jay Grout and Claude V. Palisca, *A History of Western Music* (New York: W. W. Norton & Company, 1996), p. 614.
[18] See: John Murray, *Verse Translations* (Cambridge: Cambridge University Press, 1947), pp. 1-10; and Johann Christian Dietrich, *Lenore: Ballade von Bürger* (Fiedler Collection: Tayler Institution, 1797), pp. 19-33, 34-46 and 47-60.
[19] James Parakilas, "The Nineteenth-Century Piano Ballade: An Anthology", in *Recent Researches in the Music of Nineteenth and Early Twentieth Centuries*, ed. James Parakilas (Madison, MI: A-R Editions, 1990), vol. 9, pp. 12-14.
[20] John Murray, *Verse Translations*, p. 65.

the scenes of the ballad, whether in the form of narrative or in the form of dialogue, place Lenore as the main focus and everything takes place in relation to her character: Lenore's scene with her mother, Lenore's despair when she realises that Wilhelm is not among the soldiers, Lenore's scene with Wilhelm and their ride to the churchyard, and finally, Lenore's death, perhaps the most dramatic and breathtaking scene of the entire ballad.

Parakilas is basing his argument only on the broad narrative structure of Scott' adaptation of the poem, and does not rely upon a close reading of individual words. It is possible, then, that Parakilas' choice to provide an adaptation of the poem rather than a slightly free translation was intentional in order to accommodate his structural understanding of the musical work. Particularly, the freedom found in the adaptation as well as its overall structure suits Parakilas' structural reading of the musical work which he then uses to explain his interpretation of the piece. He argues that: 1) Kullak's *Ballade* corresponds to the three episodes of Bürger's poem: Lenore's scene with her mother, Wilhelm's return, and the ride, and that 2) Kullak gives such emphasis to the so-called "love theme" that he "has made Lenore's brief moment of fulfilment the heart of the story."[21] Parakilas not only takes for granted a specific episodic reading of the literary ballad, which he then tries to adapt for the structural reading of Kullak's *Ballade*, he also portrays a false interpretation of Lenore's character and emotional state, that of being fulfilled after her discussion with Wilhelm. Bürger, however, presents a character who can be described more of as confused or troubled rather than fulfilled: confused about Wilhelm's very late arrival and about his urge to ride with her at midnight. In other words, Lenore was in a way manipulated by Wilhelm in following him to their bridal bed, so the whole set up of this scene evokes a rather negative or, say, a gloomy and uncomfortable mood instead of an emotionally fulfilled character. In addition, Parakilas' choice to provide Scott's adaptation suits his own structural understanding of the musical work, as in this adaptation Lenore's scene with Wilhelm is slightly expanded just like the so-called expanded love-theme in his structural analysis. Lastly, perhaps the most important reason why Parakilas' choice is problematic is the epigraph provided by Kullak right below the title of the work:

Hurrah! Die Todten reiten schnell!	Hurrah! the dead ride fast by night!
Graut Liebchen auch vor Todten?	Dost fear the dead? – not thou ![22]

[21] Parakilas, "The Nineteenth-Century Piano Ballade", pp. x-xi.
[22] Murray, *Verse Translations*, p. 6.

Wilhelm's most crucial question to Lenore appears three times in the original poem: in verses 20, 24 and 27 whereas in Scott's adaptation it appears only twice. This is the most dramatic question of the entire ballad as Lenore is not aware that she is riding with a ghost. Also, the repetition of this question helps in building the tension towards the final and most important climax of both the literary and the musical works, as it will be illustrated in the musical analysis of the work that follows. It should be noted that although Murray's poetic translation is sometimes slightly free, yet it conveys the narrative progression of Bürger's *Lenore*.[23]

5.2. Structural Analysis of Kullak's Lénore

This part of the chapter offers an alternative structural approach of Kullak's *Lénore*, an approach that derives from one of the poem's strongest characteristics and which distinguishes the narrative from the lyrical ballad. That is, the interplay between narrative and dialogue. As mentioned previously, the *Narrative/Dialogue* scheme of the poem reveals a story that is constructed on five scenes. At first, Kullak seems to follow the five-scene structure in his *Lénore* as well, as five sections are clearly indicated by the use of double bar-lines and by the fact that each section appears in different tonality and *tempo* marking (see Table 5.2). One could come to the assumption that each one of Kullak's five sections corresponds to Bürger's five scenes. But the result is quite different when the structural analysis of Kullak's *Lénore* also derives from an understanding of how a *Narrative/Dialogue* scheme can be constructed in musical terms. For this purpose, Section 1, bars 1-118 in D minor, will be analysed in detail in order to illustrate how a *narrative-motive* (NM) can be realised or distinguished from a *character-motive* (CM).[24]

Table 5.2: Kullak/*Lénore*, Structural Analysis

Section #	**Section: 1**	**Section: 2**	**Section: 3**	**Section: 4**	**Section: 5**
Bar #	1-118	119-153	154-174	175-234	235-308
Key	D minor	Bb major	D minor/ D major	D major	D major
Tempo	Allegro agitato in 4/4	Andantino in 6/8	Allegro agitato in 4/4	Moderato e maestoso in ¾	Allegro molto in 4/4

Kullak's Section 1 begins with establishing interplay between the opening three-note rhythmic motive and the *parlando* motive right from the first four bars (see Example 5.1, bars

[23] For example, the line "*Graut Liebchen auch vor Todten?"* could also be rendered as "Is my darling also scared of the dead?" instead of "Dost fear the dead? – not thou!"

[24] See Appendix for the score of Kullak's *Lénore*, pp. 173-180. It can also be found in: "The Nineteenth-Century Piano Ballade", in Recent *Researches in the Music of Nineteenth and Early Twentieth Centuries*, ed. Rufus Hallmark and D. Kern Holoman (Madison: A-R Editions, 1990), vol. 9, pp. 15-29. Permission to reproduce this piano ballade as part of the thesis has been granted by James L. Zychowicz, A-R Editions, Inc.

1-4). The opening motive will become one of the main ingredients in creating unity. The minor 2nd interval along with the *pianissimo* rhythm in quavers immediately set up the mood of a mysterious and agitated atmosphere, as described by the marking *Allegro agitato.* The operatic *parlando*-motive in *recitative* style ends with a fermata on the quaver rest, and it brings to mind the motive in Chopin's *Ballade*, bars 6-7, which also has a fermata-like moment implied by the tied Bb across bars 7-8 (see Example 5.2).

Example 5.1: Kullak, *Lénore*, bars 1-4.[25]

Example 5.2: Chopin, *Ballade* Op. 23, bars 5-10.[26]

Kullak's use of *parlando* is similar to Zumsteeg's use of *recitative*, which he carefully applied to his vocal ballades. The interplay between the two motives is not coincidental. It is similar to the interplay between the narrative voice and the character voice in Bürger's *Lenore*. The *parlando* motive is affiliated with Lenore, not only because of the range of the voice which indicates a feminine character, but also because in the first four verses which constitute N1, the only place where an operatic voice is heard is in the third line of the first verse: "*Bist untreu, Wilhelm, oder tot?*". Lenore wakes up from her dreams at the dawn of day and wonders whether Wilhelm is alive or dead. Kullak uses the same technique for the opening of the *Ballade* by introducing the main character in the third bar, similarly to Bürger's introducing Lenore in the third line of his poem. Here are the opening four lines of the first verse, which correspond to the first four bars of the opening provided above:

[25] Theodor Kullak, *Lénore*, ed. Rufus Hallmark and D. Kern Holoman (Madison: A-R Editions, 1990).
[26] Frédéric Chopin, *Balladen: Ballades,* ed. Ewald Zimmermann (Munich, Germany: G. Henle Verlag, 1976), pp. 5-19.

Lenore fuhr ums Morgentrot
Empor aus schweren Träumen :
»Bist untreu, Wilhelm, oder tot?
Wie lange willst du säumen?«

From heavy dreams, sprung from her bed
Leonore at break of day
"Oh, Wilhelm! art thou false or dead?
Thou bid'st so long away."[27]

At this point it is important to explore in detail Kullak's compositional narrative technique and its implications as evidenced in the introduction of *Lénore.* Right from the beginning Kullak sets into place a fundamental idea on how to read the structural form of this work; that is, through the understanding of the existence of two levels of the *Ballade* which are more closely related to musical interpretation and performance rather than to musical analysis. The first level is constructed by the use of *narrative motives*. These motives can be described as passive and continuous, whose purpose is to create the initial scene, mood, or even to depict the problem-situation of the work and to provide linear direction and coherence through their constant appearance (see Example 5.1, bars 1-2). The second level is constructed by the use of *character voices*. These can be described as active voices of *real* characters or *personas* that have a more operatic, lyrical, *cantabile* or *espressivo* nature, and whose purpose is to appear sporadically and interrupt the narrative linearity. One could argue that the character voices are corresponding to the use of dialogue in the literary narrative. This is the point where the poet zooms in on a specific dialogue, something which pauses the narrative linearity and enhances the present situation in a present tense.

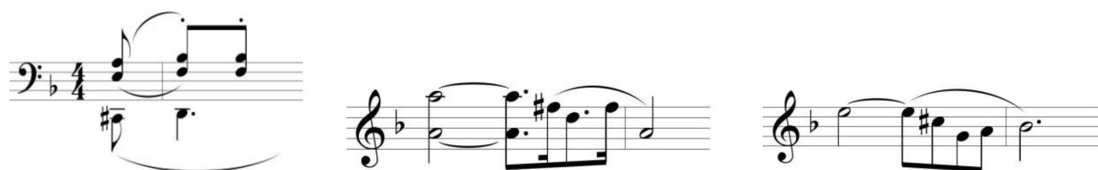
New material is introduced in bar 21, the martial theme, with the marking *tempo misurato quasi marcia,* very rhythmic like a march (see Example 5.3, bars 21-13). The rhythmic motive of bar 21 will also be a driving force of direction and coherence, just like the opening motive, and therefore it can also be described as a *narrative-motive*. So far there are two *narrative-motives* (NM), NM1= bar 1 and, NM2= bars 21-22, and one *character-motive* (CM), CM1=bars 3-4. It is worth noticing that NM2 actually derives from Lenore's motive, CM1 (see Example 5.4).

Example 5.3: Kullak, *Lénore*, bars 21-13.[28]

[27] *Ibid.*, verse 1, p. 1.
[28] Theodor Kullak, *Lénore*, ed. Rufus Hallmark and D. Kern Holoman (Madison: A-R Editions, 1990).

Example 5.4.[29]

Narrative Motive 1 (NM1)   Narrative Motive 2 (NM2)   Character Motive 1 (CM1)



The martial theme is first introduced in D major and is partly repeated in D minor in bar 29. The major mode could indicate the joy of the women and children as they welcome the soldiers (verse 3):

»Gottlob !« rief Kind und Gattin laut,	“Thank God !” – the wives, the children cried ;
»Willkommen !« manche frohe Braut.	“Welcome !” – sobb’d many a happy bride :[30]

This comes in contrast to the immediate shift to the minor mode indicating Lenore’s disappointment when Wilhelm is nowhere to be found (verse 3):

Ach ! aber für Lenoren	But ah ! for hapless Leonore
War Gruß und Kuß verloren.	Nor kiss nor bliss was there in store.[31]

The *poco rallentando* interruption of the march-like rhythm in bars 33-32 leads to the now *forte* return of NM1 and once again to the interplay and development of NM1 and CM1. The difference between the *pianissimo* NM1 and CM1 of the opening and their *forte*, more agitated, and more developed return in bars 34-52 implies an understanding of the problem situation introduced in bars 1-20 in the present tense. The *pp* of the opening motives gives a sense of distance or absence, whereas the *f* of the returning motives gives a sense of a more present situation, which prepares the introduction of the first extended vocal theme of the *Ballade* in bars 52-68 (see Example 5.5). If this new vocal theme resembles the first dialogue of Bürger’s *Lenore*, D1 (verses 5-11), then this is the dialogue between Lenore and her mother starting in verse 5. Therefore, bars 52-68 correspond to verses 1-4. The use of the NM1 as the background accompaniment of the vocal parts in bars 52-68 is a recollection of the agitated character of the opening (see Example 5.5). The sudden return of the martial theme in bar 69 is emphasised by the use of *ff* (see Example 5.6).

[29] *Ibid*.
[30] *Ibid*., verse 3, p. 2.
[31] *Ibid*.

Example 5.5: Kullak, *Lénore*, bars 30-53.[32]

[32] Theodor Kullak, *Lénore*, ed. Rufus Hallmark and D. Kern Holoman (Madison: A-R Editions, 1990).

Example 5.6: Kullak, *Lénore*, bars 69-73.[33]

This is the first climax of the work, which could be connected to Lenore's despair when she realises the consequences of Wilhelm's absence from her life. She runs away until she finally falls asleep with the memory of his face (verse 12). Kullak does a remarkable job in balancing the emotional tension of this entire first section. There is a cyclic motion, or an "arch of tension" to use Tarasti's words, between emphasised themes and immediate tension release, just as in bars 69-118. After the return of the *ff* martial theme in bar 69, there is once again the reappearance of the opening scene in *pp* and the interplay between NM1 and CM1 in D minor. This indicates the return to a narrative section of Bürger's Lenore (N2: verses 12-13). It seems, though, that what makes this moment important is not only the return of the minor mode in *pp* but also the use of fermatas after each CM1, whose purpose is to decrease the level of dynamics and of tension. Each time, the fermata appears on a longer rest (bars 88 and 92) with the last time ending on a full-bar rest (bar 106). This is the longest and most sudden pause of the work so far, which releases the tension entirely. What follows is even more remarkable. It is a long and unexpected harp-like passage, bars 107-118, based on the V7 of Bb major. This is a transitional passage to the relative major Bb, a tonality that appears only once throughout the work, which corresponds to Lenore's falling asleep in verse 12 (see Example 5.7).

To sum up, Kullak's first section of *Lénore* (bars 1-118) corresponds to the first three sections of Bürger's *Lenore* (verses 1-13: N1-D1-N2). Table 5.3 illustrates the structural reading of both Kullak's and Bürger's *Lenore* as examined so far.

Table 5.3: Bürger, Section 1, Structural Analysis

Bar #	1-52	52-68	69-118
Verse #	1-4	5-11	12-13
Key areas	D-/D+/V7 of F+	F/various key areas	D-/V7 of Bb+
Narr./Dial.	N1	D1	N2

[33] *Ibid.*

Example 5.7: Kullak, *Lénore*, bars 85-110.[34]

Kullak's Section 2, bars 118-153, introduces a new theme in Bb major. The new tempo marking *Andantino* in iambic rhythm (6/8) together with the *pp* dynamic marking create a very different scene than the previous ones (see Example 5.8). The fact that Kullak decides to provide the specific section right after the *quasi arpa*-passage, which indicates Lenore's falling asleep, could lead to the assumption that this *dolce espressivo*-theme is the memory of Wilhelm in Lenore's mind. This is not an extended love-scene as Parakilas claims. This is an extended dream-like scene in which Lenore has a nostalgic remembrance of Wilhelm. The embellished vocal line of Lenore and the thicker texture of the accompaniment along with the

[34] *Ibid*.

dolce espressivo marking create a much warmer atmosphere, and the dynamic marking *pp* once again gives the impression of a distance or absence. In other words, this is not an actual dialogue between Wilhelm and Lenore. On the contrary, this section is still in narrative style, with which Kullak succeeds in giving the impression of moving in the past. This will be the single time the Bb relative major is used. Kullak's choice to do so and to present the dream-like scene at this specific point of the work gives a specific meaning to the chronological order in which each scene occurs with the purpose of constructing a musical narrative in relation to an understanding of time as past and present.

Example 5.8: Kullak, *Lénore*, bars 118-124.[35]

The dream-like scene is interrupted in bar 154 by the return of *Allegro agitato* in 4/4, and by a gallop-like new narrative motive, NM3 (see Example 5.9). This section is only 20 bars long and it is based on the three narrative motives NM1, NM2, and NM3. The texture is now much lighter than the previous scene and the *marcato* marking in bar 165 emphasises NM2 of the martial theme. This short section is also based on the interplay between D major and D minor and it can be related to verse 13 in which Wilhelm returns alone on his horse given the certain emphasis on the new galloping rhythm. The use of fermatas in bars 157, 161 and 174 increases the level of intensity and creates a big contrast to the *ff* return of the love-theme in bar 175.

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[35] Theodor Kullak, *Lénore*, ed. Rufus Hallmark and D. Kern Holoman (Madison: A-R Editions, 1990).

Example 5.9: Kullak, *Lénore*, bars 154-157.[36]

Section five, bars 235-308, begins with the galloping motive NM3 in 4/4 and the marking *Allegro molto*. This last section is characterised by the sudden changes between *f* and *p*, the quick shifts from high to low registers through the use of scale-like passages, and the constant rhythmic activity based mainly on the galloping motive. This is probably the most crucial section in Bürger's *Lenore* as the tension keeps increasing through the repetition of the same question: *Dost fear the dead?* One could suggest that the specific question along with its repetitions are illustrated in bars 251-258, with the use of tremolos in the treble clef and the ascending chromatic scales in the bass clef, resembling Wilhelm's voice (see Example 5.10). Question 1 occurs in bars 251-253, question 2 in bars 254-255 and question 3 in bars 256-258 with Lenore's response in the treble clef, bars 259 and 261. The galloping motives that accompany the questions are based on the diminished 7th chord of A, which emphasises the dominant of D major. The emphatic D major chord appears at the end of the third question, bar 258 and the next emphasised D major chord occurs in bar 273, which is prepared by chromatic ascending chords in both hands. A possible interpretation is that this could be the point which illustrates Wilhelm's turning into a skeleton (verse 30), which is followed by perhaps the most tragic moment of the final section in bars 281-287: Lenore's death (see Example 5.11). The D minor mode is used for the last time and the sudden decrease of rhythmic activity in bars 285-286 marks Lenore's death (verse 31).

The entire coda of the piece is based on the galloping motive and on a tremolo in the bass clef with a constant decrease of dynamics to *ppp*. The absence of characters and of vocal lines reveals a moment of realisation of the entire work, perhaps something similar to the closing verse 32:

»Geduld, Geduld ! Wenns Herz auch bricht !
Mit Gott im Himmel hadre nicht !

"Learn patience, learn ! whate'er betide,
Blame not thy God, nor with Him chide !

[36] *Ibid*.

With reference to the structure of Bürger's *Lenore* in relation to that of Kullak's (see Table 5.4), sections 4 and 5 are the only ones that clearly correspond to the poem without any change; that is, the scene between Wilhelm and Lenore and the ride. However, Kullak manages to construct a musical narrative where five sections are clearly shown as indicated on the score, with an extended Section 2 which interrupts the *Allegro agitato* or in other words, the first and second narrative (N1 and N2). Chronologically, section 2 is the way in which Kullak manages to take the listener back in time as he places the characters in the ideal conditions of a dream world. The fact that this is the only section in the relative major Bb, although the dream-like theme reappears only this time in D major, could imply some sort of different conditions in which the characters interact this time. This is justified by the way in which the work evolves; that is, by a more dramatic and agitated development that eventually leads to Lenore's death.

Example 5.10: Kullak, *Lénore*, bars 251-262.[37]

[37] *Ibid*.

Example 5.11: Kullak, *Lénore*, bars 280-289.[38]

Table 5.4: Bürger's *Lenore* & Kullak's *Lénore*, Related Structural Analyses

	Bar	Verse	Key	Narr/Dialog.	Tempo	Context
Section 1	1-118	1-4	D minor	N1	Allegro agitato in 4/4	The return of the soldiers
Section 2	119-153	5-11	Bb major	D1	Adantino in 6/8	Lenore with her mother
Section 3	154-174	12-13	D minor / D major	N2	Allegro agitato in 4/4	Lenore's despair and the sound of Wilhelm's return
Section 4	175-234	14-18	D major	D2	Moderato e maestoso in ¾	Wilhelm and Lenore
Section 5	235-308	19-32	D major	N3	Allegro molto in 4/4	The ride and the arrival at the churchyard

[38] *Ibid*.

The general compositional characteristics of Kullak's *Lénore* reveal a close similarity to Zumsteeg's vocal ballades in which: (1) individual sections are set apart by key, tempo, or meter (2) sections are held together by means of rhythmic and melodic motifs (3) frequent meter changes, five to be exact (4) use of mediant key relations (D-/ Bb+/ D-/+/ F#+/ D+), (5) enharmonic progressions, and (6) use of directions such as *parlando* that seem equivalent to Zumsteeg's use of *recitative*. The most crucial similarity is the interplay between narrative and dialogue that constructs a musical narrative.

To conclude, as established in previous chapters, the goal of nineteenth-century performance practice was the creation of a unifying thread across the musical work that involves giving music a sense of shape based on the unfolding of time-dependent events that form a narration.[39] In this sense, Kullak achieved in meeting this aspect of narrativity through a metaphorical approach of creating musical connections which in turn evoked an illusion of the passing of time, based primarily on the reconstruction of a specific literary story. But the most intriguing observation about Kullak's musical narrative, however, is the fact that although he achieved making musical connections in the most telling, integrated way, based on a specific order of events that was chosen to make maximum sense from a particular point of view, yet the piece stands as a compositional exercise of mirroring a poetic structure onto a musical one. It went from the direction of *what* is presented, the literary ballad, to *how* it is presented, the notated score. This reveals that in Kullak's approach, the notated score is considered the finished product; in this sense, the absence of the performer in the creating process is striking. Thus, although musical narrativity in the case of Kullak's *Lénore* was successful at a compositional level in terms of evoking a narrative reading, this does not promise its emergence or its successful projection during performance.

Performative narrativity, then, should emphasise the manner in which the organising principle of the whole discourse is treated as a process. Consequently, it is established that only when the performer decides to link and present the succession of sound events in a certain manner that relates to energy management and intensity curves and directions does the musical work emerge as a narrative. During such processes the performer attempts to achieve communication with the listener in the most persuasive way. Thus, since the narrative's existence depends on (a) the content (*what* is presented in a work) and (b) the rhetoric (*how* it is presented), the following case study focuses on the relationship between the musical work and the musical experience. Chapter Six then, provides a discussion of the narrative evidence

[39] John Rink, "Translating Musical Meaning: The Nineteenth-Century Performer as Narrator", in *Rethinking Music*, ed. Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 2001), p. 218.

in Chopin's G minor *Ballade* Op. 23 and a reflection on the different analytical approaches of the work from the performer's point of view. Lastly, it offers a discussion on how musical narrativity is achieved during the process of critical rehearsal, which in turn leaves its trace on the final public product, the performance.

6. Practising Musical Narrativity

Case Study 2: Chopin's *Ballade* Op. 23

Although many have tried to reveal something of the "intellectual substance" behind musical narrativity in relation to Chopin's piano *Ballades*, by understanding compositional techniques and by providing different types of analytical approaches, only a few have attempted to tackle it with an in-depth investigation of its operations through time. And even among those who have attempted this such as James Parakilas, Jim Samson and Charles Rosen, there is a void in explaining those operations through the act of performance.[1] For example, Parakilas investigates the history of the poetic ballad in relation to the instrumental ballade and he focuses on how composers evoked a narrative structure only by musical means. He does so mainly by focusing on the structural similarities of the two and, even though he very frequently refers to the narrative significance or the narrative form or character of the instrumental ballade, he never explains the implications of such a statement for performance as a process. Samson's fourth chapter in his *Chopin: The Four Ballades* is particularly interesting as it focuses on the emergence of the genre and Chopin's general process of stylistic evolution. Even though he touches on the aspect of narrativity by conjecturing a link between Adam Mickiewicz's poetic ballads and Chopin's piano *Ballades* for compelling reasons, he speaks of narrative as a metaphor.[2] He remains faithful to the idea of narrative as a metaphor while briefly exploring the narrative theories of Newcomb, Nattiez, Tarasti, Abbate and others, mostly for informative purposes. However, he does not attempt to examine the implications of the term "metaphor" which could even enhance the idea of what constitutes a musical narrative. For example, Black argues that metaphors are "creative", which means that, instead of focusing on already existing similarities, we "create" a new one in order to interpret a word. Ricoeur examines the metaphorical process through cognition, imagination and feeling, among others.[3] Given this perspective, Samson's understanding of narrativity as a metaphor leaves further room for investigating musical narrative as a creative experience through its unfolding in real time.

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[1] See: James Parakilas, *Ballads Without Words,* (Portland, Oregon: Amadeus Press, 1992); Jim Samson, *Chopin: The Four Ballades,* (Cambridge: Cambridge University Press, 1992); and Charles Rosen, *The Romantic Generation,* (Cambridge, Massachusetts: Harvard University Press, 1995).

[2] Jim Samson, *Chopin: The Four Ballades,* (Cambridge: Cambridge University Press, 1992), pp. 81-87.

[3] Roger Fowler, "metaphor", *A Dictionary of Modern Critical Terms*, (London: Routledge & Kegan Paul, 1987), pp. 145-146.

Lastly, Rosen in his *The Romantic Generation*, mentions that even though the *Ballades* have been said to be based on poems by Mickiewicz, it is very doubtful and in any case would be no longer relevant to their understanding.[4] He explains that Chopin's decision to use the title *Ballade* was only a solution in his attempt to avoid the problems accompanying the Romantic programme music that Schumann, Liszt and Berlioz "fretted over".[5] The fact that Rosen does not go into any literary theories of narrativity reinforces his argument that it is not essential for one to know the actual relevance between a musical and a literary work but the structural ambiguity which characterises the *Ballades* is what creates a sense of narrative flow. Therefore, narrative flow can be understood through musical structure. Although he points more toward the direction of the irrelevance of the origins of the composer's idea which later on develops into a musical work, at the same time he stresses the seriousness of the title.[6] Samson, like Rosen, does not find the idea of exploring a literary ballad very stimulating in a quest for a narrative impulse because Chopin's compositional works in general are not related to programmes that were neither their subject nor their content. Of course, this does not entitle anyone to argue that the music making surrounding Chopin did not influence his work either consciously or subconsciously. In fact, Samson suggests a possible "plot archetype", to use Newcomb's term, for Chopin's four piano *Ballades* which is comparable to the poetic ballad. According to him, "the 'plot' of the Chopin *Ballades* invariably culminates in a moment of shattering climactic tension before any resolution is possible".[7] Similarly, Witten relates this process to "Friedman's account of the final stages of the folk ballad, where 'a phrase is repeated several times with a slight but significant substitution, until at last the final revelatory substitution bursts the patter, achieving a climax and with it a release of powerful tensions'."[8]

6.1. Chopin's Op. 23: The Stylistic and Historical Context

The title "Ballade" in relation to piano music appears for the first time in 1836 with the publication of Chopin's Op. 23. In the early 1830's Chopin abandoned the concert platform, which coincided with his withdrawal from composing popular concert music such as rondos, variations and concertos.[9] Instead, he was preoccupied with creating new genres such as the *Nocturne*, *Etude* and *Mazurkas*, with redefining others such as the *Scherzo*, *Impromptu* and

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[4] Charles Rosen, *The Romantic Generation,* (Cambridge, Massachusetts: Harvard University Press, 1995), p. 322.
[5] *Ibid*., p. 322.
[6] *Ibid*., p. 323.
[7] Samson, "Genre: Narratives", in *Chopin, The Four Ballades,* pp. 81-87.
[8] Neil Witten, "The Chopin "Ballades": An Analytical Study", (Unpublished diss., Boston University, 1974), pp. 371-390.
[9] Samson, preface to Fryderyk Chopin, *The Complete Chopin: A New Critical Edition. Ballades*, pp. iv-v.

Polonaise, and in the case of the *Ballade* with adopting and reinventing a title exclusively for vocal music and literature into solo instrumental music. Schumann, although greatly involved with the *Lied*, composed a number of song ballads but not a piano ballade despite his admiration of Chopin's Op. 23, as it has been documented in statements such as: "On 9 September Schumann spent an 'unforgettable' day with Chopin whose G minor Ballade Op.23 struck him as the composer-pianist's 'most original if not most ingenious work'."[10] Schumann's solitary attempt to compose in the style of a ballade appears in his *Davidsbündlertänze* in 1837.

The scattered statements implying that Chopin composed the G minor *Ballade* under the influence of the work of Adam Mickiewicz marked the beginning of a debate which in turn raised questions regarding the so-called narrative understanding of the piano *Ballades* and its influence on performance interpretation. Some of those are provided below, only to reinforce the idea of mere speculations:

> No connection between the First Ballade and *Pan Tadeusz* is necessary (and to my knowledge none was ever made) for Chopin's musical idiom to echo Mickeiwicz's poetic voice, or vice versa. The two artists were paired constantly in Polish writings, though in this latter day attempts to connect their aesthetics will have to remain speculative.[11]
>
> The first, *Ballade Opus 23*, elicited praise from both Schumann and Liszt, who singled out its savage feeling. According to some writers, there is a connection (this seems extremely tenuous) between this *Ballade* and Mickiewicz's poem *Konrad Wallenrod*, […]. Chopin dedicated the second *Ballade* to Schumann, and this too was supposedly inspired by a Mickiewicz poem titled *Switz* […].[12]
>
> […] They [Chopin's ballades] were said to have been inspired by the ballad poetry of his compatriot Adam Mickiewicz, particularly by his Switeź and Switezianka, poems concerning a lake near Nowogródek and a nymph of the lake; but Chopin himself provided no evidence whatever for that belief and probably had no specific ballad or story in mind.[13]

There is, however, an apparent discrepancy since Schumann mentions that, following a performance of the second *Ballade* in F major by Chopin, the composer himself said that he

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[10] John Daverio and Eric Sams, "Schumann, Robert", http://www.oxfordmusiconline.com/subscriber/article/grove/music/40704#S40704, accessed 2 April 2011.

[11] Jonathan D. Bellmann, *Chopin's Polish Ballade*, (Oxford: Oxford University Press, 2010), p. 61.

[12] John Gillespie, *Five Centuries of Keyboard Music,* (USA: Dover Publications, 1972), p. 233.

[13] Maurice J.E. Brown. "Ballade (ii)", http://www.oxfordmusiconline.com/subscriber/article/grove/music/01885, accessed 29 September 2008.

was inspired to write his *Ballades* by the poems of Mickiewicz.[14] Perhaps Bellman rightfully points out that, "[…] "Speculative" does not, mean "baseless and untrue," and the fact that many Polish contemporaries perceived a strong affinity between the two counts for a good deal."[15] Despite the fact that no specific ballad titles accompany his piano *Ballades*, Chopin's friendship with his compatriot poet Adam Mickiewicz has prompted work on his literary intentions in the *Ballades*.[16] Nonetheless, although a possible relation between the two is based on mere speculations, the possible relation between a literary and a musical work deserves further investigation, particularly when dealing with extended musical forms that derive from the deformation of classically-archetyped genres.

Another piece of evidence of the genre's flexibility and its variety in textures and moods is the solitary influence of art on Enrique Granados' piano *Ballade* titled *El Amor y La Muerte*, Love and Death. It is part of his famous suite *Goyescas – Los majos enamorados*, meaning in the style of Goya, published in 1914.[17] Granados evidently showed great appreciation of the work of Fransisco de Goya (1746-1828), a painter from Fuendetodos, since he composed a number of works that were inspired by his paintings. Specifically, he was fascinated with Goya's *Caprichos*. *El amor y la muerte* is one of Goya's most well known paintings, and possibly the finest work of Granados' *Goyescas – Los majos enamorados,* as it is very rich and intense emotionally. *El amor y la muerte* was published under the title *Balada* with its literary connotations, though there is a more direct connection to Goya's painting than to any generic literary form. In one of his letters to Durand, regarding his *En blanc et noir* for two pianos, Debussy also compares the second movement of the work – the *Ballade* – to a painting rather than directly to Villon's Ballad, parts of which he provides on the score. He comments that he had changed slightly the colour of the second *Caprice*, meaning the second movement of the work, because it was too sober and almost as tragic as a *Caprice* of Goya. In a letter to his friend Robert Godet he states that "These pieces intend drawing their color, their emotion from the simple piano, such as the 'greys' of Valesquez".[18] But, either in the case of poetry or painting being a direct influence on the composer's imagination, the approach in understanding such works is common. As Rushton explains, "words themselves suggest a

[14] Robert Schumann, *Schumann on Music: A Selection from the Writings*, trans. and ed. Henry Pleasants (New York: Dover Publications, 1965), p.179.
[15] Bellman, *Chopin's Polish Ballade*, p. 61.
[16] Similar hypotheses of literary connections have also been made for Liszt's *Second Ballade*. See: James Parakilas, *Ballads Without Words*, (Portland and Oregon: Amadeus Press, 1992), p. 112, and Leslie Howard, notes to Franz Liszt, *Ballades, Legends and Polonaises* (1993), CD, Hyperion, CDA66301.
[17] The strong connection between Granados' *Goyescas* and his opera with the same name as well as his *Tonadillas* for voice and piano deserve further investigation.
[18] Noël Lee, forward to Claude Debussy, *En blanc et noir* (Paris: Durand, 2008).

poetry which aspires to the condition of Romantic music: intelligible through the sound rather than the intellect, just as a painting might be appreciated by its pictorial […] values, rather than for allegory, instruction or representational exactness."[19] Thus, the structural freedom in the genre of the piano ballade distinguishes between the "appropriate" in musical response and the directly "representational". For example, the fact that the piano ballade remains a one-movement piece to this day shows that its form did not evolve into something with a clear-cut structure in a quest to directly represent something onto the structure of the genre. On the contrary, structural freedom was sustained in an attempt to instigate "appropriate" musical responses to the listener as well as to the performer in relation to the expressive meaning of the genre. An indicative example is Liszt's *Second Ballade* in B minor. It is longer than any of Chopin's four piano *Ballades* and its structural ambiguity evoking a narrative intent has been the research focus of musicologists and performers over the years, as it will be discussed in Chapter Seven. This brief overview of the ongoing lifespan of the genre of the piano ballade, not to mention those works composed by Grieg, Franck, Fauré, and other less important ones, indicates that the specific genre is constantly evolving with certain flexibility in terms of style and form. Table 6.1 provides a list of important piano ballades.

Table 6.1: Important Piano Ballades

Composer	Work and Date of Publication in Chronological Order[20]
Chopin, Fryderyk	Ballade Op. 23 (1836)
Wieck, Clara	"Ballade", *Soirées musicales*, Op. 6, No. 2 (1836)
Schumann, Robert	"Balladenmässig", *Davidsbündlertänze*, Op. 6, No. 10 (1837 or 1838)
Chopin, Fryderyk	Ballade Op. 38 (1840), Ballade Op. 47 (1841), Ballade Op. 52 (1843)
Frank, César	Ballade Op. 9 (1844)
Liszt, Franz	Ballade in D flat (1849)
Kullak, Theodor	Ballade Op. 81, "Lenore" (1853)
Liszt, Franz	*2me Ballade* (1854)
Brahms, Johannes	*Vier Balladen*, Op. 10 (1856)
Grieg, Edvard	*Ballade in Form von Variationen über eine norwegische Melodie*, Op. 24 (1876)
Fauré, Gabriel	Ballade Op. 19, version for solo piano (1880)
Debussy, Claude	"Ballade slave", *Pièces pour piano* (1891)
Brahms, Johannes	"Ballade", *Klavierstücke* (1893)
Scriabin, Alexander	"Alla balata", Twelve Etudes, Op. 8, No. 9 (1895)
Granados, Enrique	"Balada", *Goyescas: Los Majos enamorados* (1912-13)
Barber, Samuel	Ballade op. 46 (1977)
Nordgren, Pehr Henrik	Ten ballades on *Kwaidan* (1979)

[19] Julian Rushton, "Music and the Poetic", in *Nineteenth-Century Music*, ed. Jim Samson (Cambridge: Cambridge University Press, 2002), p. 176.
[20] For a detailed chronological list of *Ballades* in the solo as well as in the broader repertory, see: James Parakilas, *Ballads Without Words*, (Portland and Oregon: Amadeus Press, 1992), pp. 325-337.

6.2. Formal Synopsis of Chopin's G minor Ballade, Op. 23

Rink provides an overview of the analyses concerning all four *Ballades* written by 1994 in an attempt to show the wide range of analytical approaches that these works have attracted and to draw conclusions about how analysis has evolved as a discipline since the *Ballades* were written.[21] This part of the chapter focuses only on analyses concerning Chopin's Op. 23 such as those by Heinrich Schenker (1979), Serge Gut (1989), Ero Tarasti (1989), Jim Samson (1992), and James Parakilas (1992), and explores additional ones by Charles Rosen (1995), Karol Berger (1996), Michael Klein (2004), Jonathan Bellman (2010) and Alan Rusbridger (2013). They are presented in chronological order but the special focus is those analyses that serve toward a comprehensive performance interpretation of Op. 23, and that communicate something to the audience through and in performance. Therefore, the critical overview explores whether and how such analyses coexist with the performer's interpretative considerations.

6.2.i. Analyses before 1994

Schenker's middleground graph in his *Free Composition* is considered to be the first alternative analysis and one of the most comprehensive ones as well. In Schenker's words, Op. 23 is "a very extended three-part form, boldly derived from a neighbouring note, yet unfolding in a single broad sweep".[22] The specific analysis has inspired a great number of writers, initiating a debate in exploring the genre of the ballade and whether it follows the functions of sonata form or if it represents a different adaptation of sonata form (see Graph 6.1).[23] According to Samson, "Schenker's directional view of the structure is strengthened by a consideration of the intensity curve of the work as a whole."[24] He explains that Schenker's intensity curve "builds through the development section to a major pinnacle at bar 124, subsides again with the waltz, rebuilds to a subsidiary peak with the reprise of II and reaches its maximum intensity point with the cumulative closing section."[25] Therefore, Schenker's analysis places the most important climax at the end of the work.

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[21] *Ibid*., p. 99.
[22] H. Schenker, *Free Composition*, trans. and ed. E. Oster (New York: Longman, 1979), p. 132.
[23] *Ibid*.
[24] Samson, *Chopin: The Four Ballades*, p. 48.
[25] *Ibid*., p. 48.

Graph 6.1: Chopin, *Ballade* Op. 23, Schenker's Analysis

Gut's structural reading on the other hand, focuses on different styles from the literary ballad such as narrative, lyric, and epic in combination with the structure of the work based on themes and tonalities (see Graph 6.2).[26] Although Gut's effort to explore how principles from the literary ballad can be adopted into piano idioms is an admirable one, it also creates interpretative problems as he reaches to conclusions based on subjective criteria. His terminology and methodology are more indicative of the interpretative verdicts one might reach after the performance is finished, rather than those that govern the decisions a performer makes during and for performance. For example, he refers to a narrative, a lyric and an epic style. In some instances the combination of styles raises performative considerations in the differentiation/blending of tone quality between styles.

Tarasti applies a similar approach through his semiotic analysis, in which he separates the *Ballade* into thirteen "Isotopes" that are defined based on different "Modalities": "be/do", "will", "know", "can", "must" and "believe" (see Graph 6.3).[27] Tarasti's characterisation of each "Isotope" is also based on subjective criteria that describe fixed psychological states. Such condensed and fixed approach to emotional structure is by nature oxymoronic, and it is difficult to marry it to a straightforward and convincing performance projection. To a certain degree, Tarasti's analysis defeats its own purpose which is to move from performance to analysis. In fact, his approach evokes a fragmentary interpretation that is rather difficult even to decode from paper. Although interesting and innovative, both Gut's and Tarasti's analyses can be better applied to describe the listener's reaction to the finished "product", rather than the performer's processes in creating coherent interpretations.

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[26] In Rink, p. 109: S. Gut, "Interférences entre la langage et la structure dans la Ballade en sol mineur opus 23", 1989. Paper read at Symposium on Chopin's Nocturnes, Scherzos and Ballades, Warsaw.
[27] *Ibid.*

Graph 6.2: Chopin, *Ballade* Op. 23, Gut's Analysis

Section	Intro.	I A			II A′	
Subsection		1	2	3	4	5
Bars	1–7	8–35	36–67	68–93	94–105	106–25
Number of bars	7	28	32	26	12	20
			86		32	
Musical content	figuration	Th. I	'bridge'	Th. II	Th. I	Th. II
Tonality	g	g	g	E♭	a	A
Style	narrative	narrative	narrative/ lyric	lyric	narrative/ epic	lyric/ epic

Section	III B			IV A"		Coda=V C
Subsection	6	7	8	9	10	11
Bars	126–37	138–49	150–65	166–93	194–207	208–64
Number of bars	12	12	16	28	14	57
		40		42		–
Musical content	.... pianistic figurations			Th. II	Th. I	figuration
Tonality	E♭	E♭	E♭	E♭	g	g
Style	.... dramatic .... virtuosity			lyric	narrative/ epic	dramatic

Graph 6.3: Chopin, *Ballade* Op. 23, Tarasti's Analysis

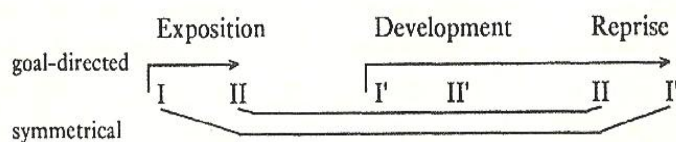
	be/do	will	know	can	must	believe
I	not to do	+	+	0	0	$\bar{a}b$
II	to be	0	+	0 → +	+	$ma\bar{b}$
III	to do	++	–	+ → ++ →	+ → 0	$mab–\bar{m}a\bar{b}$
IV	not to do	0	+	0	+	$\bar{m}ab$
V	not to be trans–	–	0	0	0	$\bar{m}ab+$
VI	not to be trans+	+ → ++	–	0	–	$\bar{m}a\bar{b}–m+ab$
VII	to appear to do	++	+ → –	+ → ++	0	$\bar{m}+a\bar{b}$
VIII	not to be trans+	+	+ → –	++	0	$\bar{m}+\bar{a}\bar{b}–ma\bar{b}$
IX	to appear to be	– → 0	0	++	–	$ma\bar{b}$
X	to be	0 → +	– –	–	++	$\bar{m}+ab$
XI	not to be trans+	+→ ++	– –	– –	+	$\bar{m}+a\bar{b}–mab$
XII	to do	++	+ → 0	– – → ++	–	m+ab
XIII	to do= to be	++ → 0	+ → ++	++	0	mab

a = appear
b = be
m = make

As already mentioned, Samson suggests a possible "plot archetype" on how to construct climactic schemata that are similar to that of the poetic ballad ("the 'plot' of Chopin's *Ballades* invariably culminates in a moment of shattering climactic tension before any resolution is possible").[28] Samson's stylistic-historical observation reveals how Chopin's aesthetic understanding of a musical narrative is reflected onto Op. 23. It evokes an understanding from the performer's point of view which emphasises tension-and-release schemata and how to treat them differently as part of a linear dynamic process. This stresses the idea that the way in which the climactic direction is manifested is evidently a matter of the performer's own style and philosophy on how to treat climactic processes, in conjunction with an informed understanding of Chopin's aesthetical approach of the matter as well.

But Samson also focuses on the sonata procedures that according to him can be found in all four *Ballades*.[29] His first diagram of Op. 23 shows a very symmetrical structure based on two main themes, and it is constructed on classical functions that include an Exposition, a Development and a Reprise section (see Graph 6.4).[30]

Graph 6.4: Chopin, *Ballade* Op. 23, Samson's First Diagram

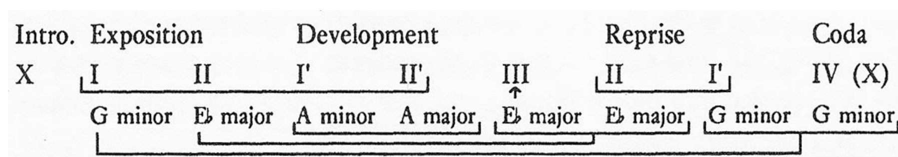


In Samson's first diagram the new *scherzando* material in bars 138-165 is absent. This can be problematic for two reasons: (1) it points toward the sonata form and its tonal and thematic functional implications, which are not necessarily an advantage in creating a coherent interpretation in terms of intensity, a type of intensity that is constructed in different ways in a ballade rather than in a sonata and (2) it fails to bring out the fact that the third theme appears half way through the piece and prepares the last appearance of both the first and second themes. The preparation of the themes' reappearance is crucial in creating appropriate circumstances rather than the themes themselves, and it inevitably interferes with the overall shaping. Samson' second diagram however, which is based on the foreground tonalities, reveals a far more interesting structural character, as the symmetrical scheme which is also

[28] Samson, *Chopin: The Four Ballades,* pp. 86-87. The characteristics of such "plot archetypes" of the poetic ballad can also be observed in Liszt's *Second Ballade*, as it will be discussed in Chapter Seven.
[29] *Ibid*., p. 46.
[30] *Ibid*.

present in the tonal structure of the work, does not function parallel to or is not similar to the thematic symmetry (see Graph 6.5).[31]

Graph 6.5: Chopin, *Ballade* Op. 23, Samson's Second Diagram



Samson's second structural reading places Theme III of the waltz as the peak of the thematic arch. This raises the question of whether the thematic peak of a work is equally important to its directional/intensity peak or whether they function in different ways. It also draws attention to the *coda's* thematic disassociation and its purpose within the work. The new material of Theme III with its *scherzando* and *leggiermente* character is a short break between the interplay of the first and second themes. Chopin allows briefly the textures, moods and melodies to breathe. The performer as well as the audience needs a moment of relaxation and of tension relief before the last and very intense return of both themes that marks the conclusion of the work. This very pleasant moment quickly vanishes by the grand return of the second theme as if it brings the audience back to reality and creates a very dramatic effect for Theme I to appear for the last time. Thus, the light and pleasant character of the thematic peak seems to be necessary, as part of a process which prepares a greater scale of contrasts and dynamic levels towards the ultimate directional/intensity peak of the work. In contrast, the new thematic material of the *coda* creates an explosive character with a thick texture, complicated hand choreography, difficult and awkward pedalling, and technically demanding passage work.

Moreover, in Samson's second structural reading of Op. 23 we can see that the opening tonality of G minor does not reoccur before the very end of the work with the last reappearance of Theme I and an emphasised cadence in bars 206-7 leading to the *coda*, which provides a clue that perhaps the *coda* itself is a crucial climax. Therefore, an idea would be that the intensity curve between all the climaxes is to be constructed in a way that leads toward a great outburst at the very end of the work, an idea that contradicts the existence of an innate curve as found in a typical sonata-allegro form. In addition, the fact that Chopin chooses to use *recitative* idioms to conclude the *coda* that recalls the *recitative* character of the introduction, is an opportunity to create the allusion that the reappearance of the recitative

[31] *Ibid*., p. 47.

idiom marks the end of a musical narrative by complete deconstruction. This would also enhance the idea that the *coda's* thematic disassociation in relation to Samson's loose correlation to the *Ballade's* sonata idioms, reveals the necessity for sonata deconstruction to serve aesthetically Chopin's poetic idea of a narrative, a narrative that is more clearly articulated and more easily emergent through performance.

Parakilas' analysis in his *Ballades Without Words* is also an inspiring one and it is based on the musical progression of three musical events: the statement of themes, the transformation of themes and the resolution of themes (see Graph 6.6).[32]

Graph 6.6: Chopin, *Ballade* Op. 23, Parakilas' Three-stage Analysis

	STAGE 1					STAGE 2							STAGE 3
	Scene 1			Scene 2		Scene 1		Scene 2		Scene 3			
m. 1 Intro. →	8 Primary Theme	36 1st Precipitating Theme	44 Passagework	68 Secondary Theme	94 Primary Theme →	106 Secondary Theme	124 Passagework	138 2nd Precipitating Theme	154 Passagework	166 Secondary Theme	194 Primary Theme →		208–64 Reckoning (Passagework)

He argues that based on the overall rhythms, this *Ballade* should be performed as a single, uninterrupted work and not as a set of movements, sections or episodes. He chooses not to use terminologies that imply a sonata form which might not be applicable because of the *Ballade's* narrative idioms. According to Parakilas, the introduction is the "pre-narrative" material which is followed by a three-part musical form that is manifested by the structure of the narrative voice in the work. He argues that the narrative voice is expressed in the first stage by utterance of the theme, but he does not clarify if he is referring to the primary or secondary theme. His choice to exclude the primary theme from stages 2 and 3 and to present it in a separate section draws special attention to it. It creates a different substance and a certain distance from the rest of the work. It leads to the assumption that the narrative voice is disguised in the primary theme and is expressed through its thinner texture.

Parakilas' performance considerations such as the understanding of the *Ballade's* rhythms in relation to its volume are further investigated through the overall structure of Op. 23 (see Graph 6.7). One of the great climaxes of the work occurs in bar 124, which divides the *Ballade* at its essential midpoint.[33] The *Ballade* can be viewed as a bi-structural work that

[32] Parakilas, *Ballades Without Words,* pp. 72-73.
[33] *Ibid*., p. 74.

consists of a three-part outline based on its themes and at the same time is underpinned by a two-part outline based on its climaxes. One could argue however, that if the first passagework in bars 44-67 preceding the first appearance of Theme II in Eb major is also understood as a climax based on its intense character, on its thicker texture, on the dramatic and quick changes of the register, and on the composer's direction *sempre più mosso* that portray a certain tension, then the three-stage structure of the themes and their transformation could also apply to a three-stage structure of the climaxes. The *Ballade's* ambiguous character and what that means to the performer is explored in detail shortly.

Graph 6.7: Chopin, *Ballade* Op. 23, Parakilas' "Counterpoint" Structures

1st EPISODE		**2nd EPISODE**		**3rd EPISODE**			
m. 1 *Allegro moderato* 6/4	24 *Allegretto* 4/4	36 *Allegro moderato* 6/4	59 *Allegretto* 4/4	70 *Allegro deciso* 4/4	113 —— ——	135 *A piacere* ——	143 *Allegretto* ——
B minor	F-sharp major	B-flat minor	F major	V/D minor: F-sharp minor	F-sharp minor	D major	D major: G major
Theme	Co-theme	Theme	Co-theme	Introduction to Theme	Theme (Transformed)	*A piacere* Melody	Co-theme

4th EPISODE				**5th EPISODE**			
162 —— ——	207 —— ——	225 *Rubato* ——	234 *Allegretto* ——	254 *Allegro moderato* 6/4	269 *Un poco più mosso* 4/4	284 *Allegro moderato* 6/4	305 *Andantino* 4/4
G-sharp minor: C minor	(vii$^{\circ 7}$/b)	B major	B major: E-flat major: V/B major →	B major	V/B major →	B major	B major
Theme (Transformed)	Climax	*A piacere* Melody	Co-theme	Theme (Transformed)	*A piacere* Melody	Theme (Transformed: *Grandioso*)	Co-theme

6.2.ii. Analyses after 1994

Karol Berger in his "The Form of Chopin's "Ballade", Op. 23", focuses on the application of narrative understanding to the performance of Op. 23. He explains the difference between a narrative (or temporal) and lyrical (or atemporal) form in an attempt to pint-point the two

factors constituting the narrative continuity of the work.[34] He refers to Paul Ricoeur's term of *configuration* in which the composer's phrases or ideas are presented *one-because-of-the-other* as opposed to *one-after-the other*, which constitutes the main difference between the narrative and the lyrical form.[35] This means that in a narrative form, the order in which the different parts succeed one another is predetermined in a way that the relationships created between them are caused or prepared by something that happened earlier. In Berger's words, "The relationships of causing and resulting are the main means of achieving narrative continuity."[36] Based on this understanding, if one assumes that X is the result of Y then by definition Y caused X. Therefore, if Y was slightly different it would result in a slightly different X as well. This is a compelling idea that to some extent could apply to music as well, especially in the understanding of what a musical narrative might be. It is important however, to distinguish between musical phrases that appropriately follow one another because they have some musical resemblance or a relevant development or contrast from what we find in language and logic; that is, statement or proposition A necessarily entails statement or proposition B. If music were logic, then B would always seem a convincing consequence of A, no matter how it is played. But in music, we as performers must provide the conviction which means that we play a crucial role in the construction and depiction of the narrative and its form.

Berger however, presents a narrative analysis based on two factors that according to him comprise the narrative continuity of the *Ballade*, that do not truly correspond to his causing and resulting theory (see Graph 6.8). Those are: (1) the use of sighs throughout the work and (2) the obsessive focusing on a single pitch, C, which as he explains is the most striking feature of the introduction.[37] The sigh is a very commonly used gesture in musical language that portrays sadness and depicts the mood in a very direct and recognisable way. Indeed, it is spotted and felt throughout the work. The idea that the introduction is focused on C though is not necessarily what comes across to the ear. Pedalling would have to be applied accordingly to accommodate a predetermined shape. But Chopin provides a neutral melody in terms of shaping. It could either start and end on C (beats one and three), or the tension could be released on Ab in which case the sigh effect would be emphasised. Despite the initial C, the melody has the tendency to move quickly away from it. The *Ballade* starts on a low C octave, with a convincing and *pesante* character in bar 1 only to reach to a descending third, C-Ab, on the downbeat of bar 2.

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[34] Karol Berger, "The Form of Chopin's "Ballade", Op. 23", *19th-Century Music*, Vol. 20, No. 1 (Summer, 1996), pp. 46-71.
[35] *Ibid*., p. 46.
[36] *Ibid*., p. 47.
[37] *Ibid*., p. 57.

Graph 6.8: Chopin, *Ballade* Op. 23, Berger's Analysis

Measure:	1	9	36	45	49	56		68	83	91	95	106	126	138
Theme/motif:	a	A	a1	a2	a3	x		B	b	"b"	"A"	"B"	y	C
								I		→	(V)	♮♭"V♭"→	(V)	I
Key:	(V)	i				→		"VI"/VI						VI
Punctuation:		Ie	(+ I/)	(+I/)	(+ Ie)			I/	(+I/)	V/	(+Ve)	Ve	(+V/)	
Section:	Intro.	First period: phrase 1					Transition	phrase 2		Transition: part 1		part 2		Episode

Measure:	166	181	189	195	207	209	250
Theme/motif:	B	b	"b"	"A"	z	D	"A"
Key:			→	(V)		i	
Punctuation:	I/	(+I/)	V/	(+V/)	(+I/)	Ie	(+I)
Section:	Last period: phrase 2		Transition: part 1			Coda	

There are two more attempts of ascent in bar 2 that also result on a descent on F# temporarily, which marks the end of the first phrase. The character immediately comes to a short stop and becomes unstable and mysterious as F# is the main focus for a brief moment. The end of the second phrase in bar 5 is also marked by a second interruption of the melodic idea. The *pesante* character of the opening in the low register quickly turns into a vulnerable and unstable melody in the higher register that eventually ends as an outburst in bars 6-7. Even in this instance that the C is emphasised by a hairpin, the *crescendo* in bars 6-7 reveals that the direction moves towards B. The third pause of the introduction creates a feeling of uncertainty as the tonic key of G minor is prolonged for 8 bars. Berger describes these three brief stops "as if the speaker were short of breath or, better, still turning in his mind the subject of the about-to-be-opened- story;" (see Example 6.1).[38]

This rather simple approach of the introduction is enough to show that Berger's approach is not necessarily what comes across during performance. Based on the gestural direction of the introductory melodies, it is argued that the descending 3rd between C-Ab (bar 2) could be of the same importance as the descending 3rd between Bb-G (bar 8-9), therefore, the main pitch lingering above the introduction could be Ab and instead of C. Consequently, the pitch relationship that could be emphasised would not be the subdominant C resulting to the tonic G, but the lowered supertonic resulting on the tonic G. This also supports the idea of the more generic importance of the sigh both melodically as well as harmonically, and more interestingly, it brings out the Neapolitan quality of the Ab major triad in preparation for Theme I.

[38] *Ibid*., p. 48.

Example 6.1: Chopin, *Ballade* Op. 23, bars 1-10.[39]

Michael Klein's analysis in his "Chopin's Fourth Ballade as Musical Narrative", is also based on a narrative understanding of the work and gives interesting insights from the perspective of the performer-interpreter criticism. He adopts a method of examining Op. 23, which proves Adorno's theory (quoted by Klein) that, "It is not that music wants to narrate, but that the composer wants to make music in the way that others narrate."[40] He gives a better understanding of what musical present and past could be in musical terms, and he provides an explanation of the difference between how the presence of a narrator is presented by musical means verses the presence of a story. According to Klein's analysis, one should try to find a common ground between what is presented with how it is presented. As a result, he argues that "A musical persona can act as a narrating presence, separating the teller of the tale from the tale itself."[41] Finding a way to establish an understanding of a past tense and of a narrator through musical means is Klein's main focus as well, as these factors were originally thought to be two of the main limitations of musical narrative in past years. It has been established in previous chapters however, that if the requirements of a narrator and a past tense are met through musical means, the existence of a musical narrative is not assured automatically, mainly because the musical narrative does not function in the same ways the poetic narrative does. The musical narrative exists because the performer inevitably portrays both the teller and the tale, by finding performative ways in differentiating between the two.

[39] Frédéric Chopin, *Balladen: Ballades,* ed. Ewald Zimmermann (Munich, Germany: G. Henle Verlag, 1976), pp. 5-19.
[40] Michael Klein, "Chopin's Fourth Ballade as Musical Narrative", *Music Theory Spectrum*, vol. 26 (2004), p. 23.
[41] *Ibid*., p. 35.

Still, Klein's understanding of the introduction is far more interesting than that of Berger. His theory of the presence of a narrator found in the introduction shows that although an argument can be formed based on the melodic and harmonic progression of this passage, it shows that this type of narrator does not carry the characteristics of a narrator as expressed in a poetic ballad. As Klein correctly points out, "Traditionally the narrator of a poetic ballade is emotionally uninvolved in the story being told."[42] He then continues by stating:

> I read the harmonic clarity of mm. 1-2 and 6-8 in opposition to the uncertainty of mm. 3-5 as correlative to emotional detachment followed by involvement on the part of the narrator. The narrator begins with a composure that flows from detachment, but the tragedy of the tale to be told soon becomes overwhelming; the narrator is lost in the chromatic passage of mm. 4-5, regaining composure only in the silence that precedes the entrance of the iv6 chord. The intrusion of the dissonant Eb3 intro the cadencial 6/4 of m. 7 indicates that the regaining composure falls short of complete objectivity.[43]

Indeed, there would be a difference in how a narrator presents the following sentences: "The story begins…" and "The mysterious story begins…". They are both introductory but there is something in the second phrase that depicts its mood and calls for a different narrative approach. Something similar occurs in the introduction. The emotional turmoil is overwhelming, and what is presented takes a different meaning based on how it is actually presented. The emergence of a narrative mood is portrayed instantly by the quality of sound and character of the first tone C. It is often argued however, that the actual *story-telling* departs with the first appearance of G minor in 6/8 (b.8).

Lastly, Jonathan Bellman in his *Chopin's Polish Ballade* shares to some extent Berger's idea that this work seems to be composed almost entirely of sighs.[44] Unlike Berger however, who explores the narrative nature of Op. 23 only through musical means, Bellman provides a detailed analysis in correlation to Adam Mickiewicz's Ballad *Konrad Wallenrod*, which according to him could very well constitute not only the source of inspiration for Chopin but also a possible structural model of imitation. Bellman's argument is partly based on the idea that the first theme is unquestionably a song, which could also explain the sigh argument.[45] He also supports that the transition from the first to the second theme in Eb, which he also thinks of as a song, is established "via some faraway, echoing horn calls" that for the Polish listener bring to mind a "general affinity between Chopin and Mickiewicz", as if a simple

[42] *Ibid*., p. 37.
[43] *Ibid*.
[44] Jonathan Bellman, *Chopin's Polish Ballade*, (Oxford: Oxford University Press, 2009), p. 59.
[45] *Ibid*.

horn call portrays exclusively a characteristic of Polish music.[46] Lastly, he explains how the closing section is a krakowiak, that is, a Polish dance in quick and highly syncopated double-meter.[47]

For Bellman, Chopin was not just a pianist. He was rather a Polish pianist whose musical idiom echoes Mickiewicz's poetic voice. Despite the conflicting statements about Mickiewicz's influence on Chopin, Bellman is very much guided by Huneker's phrase "after *Konrad Wallenrod*". He then constructs a hypothesis in an attempt to show the deeply-rooted Polish character of Op. 23 in relation to Mickiewicz's *Konrad Wallenrod*.[48] Bellman's approach reveals a necessity to understand Chopin through Mickiewicz in order to be able to conceptualise and perform Op. 23. Thus for him, the story of *Konrad Wallenrod* is not just a source of inspiration, a starting point in the composer's and the performer's creative processes but it becomes a prerequisite to the *Ballade's* proper conceptualisation. In his attempt to emphasise the importance of the awareness of historical style, Bellman creates some kind of *appropriateness* in understanding that draws more attention to the literary work. He then tries to understand the actual musical work, as if Chopin's Op. 23 was composed with the purpose to accommodate Mickiewicz's ballad. All these is part of an attempt to bring to one's attention the fact that "narrative structure, dramatic trajectory, and the indication of specific matter through the use of musical topics and styles are far more likely strategies for a work titled "Ballade" than a received musical form with another generic title…".[49]

Op. 23 however, was composed neither to accompany nor resemble a story, nor was it accompanied by one. This correlation reveals more the contemporary audiences' need to connect with music through nationalistic connotations for a number of sociopolitical, historical and psychological reasons. But this was not necessarily what Chopin as a composer was expressing through his music. He was aesthetically in tune with a new musical agenda that gave his music the potential of becoming deeply personalised through unique ways of expression. Nonetheless, although the piece can easily stand on its own the genre title calls for a creative strategy while practising and rehearsing, one that allows a performative narrative to emerge.

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[46] *Ibid*., p. 61.
[47] *Ibid*., p. 64.
[48] James Huneker, *Chopin: The Man and His Music* (1900), (New York: Dover Publications, 1966), p. 156.
[49] Bellman, *Chopin's Polish Ballade,* p. 84.

6.3. Discovering the Elements of Performative Narrativity in Relation to Op. 23 in Practice and Rehearsal

Given the questions and considerations the previous analyses have stimulated in relation to the *Ballade's* performance interpretation, it is argued that it is Chopin's aesthetic approach to "poetic" piano performance that produces flexibility in structural readings. Taking this a step forward, the flexibility extends into a variety of performance approaches, that is, the performers' interpretative considerations while formulating performances, as the subsequent discussion will help to elucidate. It is stressed that the nature of Chopin's works is such that there can be no definitive version, especially because Chopin remains neutral when it comes to communicating meaning by using conventional techniques and clear-cut phrase structures, and also because multiple versions of whole works were produced during his lifetime. This reveals Chopin's tendency to change his scores not because there were right and wrong versions of them, but simply because his imagination was constantly evolving with new ideas emerging relentlessly.[50] It is this exact aesthetic idea that Chopin passed on in his compositions, which creates such a variety in performance interpretations. His music has the potential to be personalised in many unique ways, to evolve continuously and to *speak* to us even today.

Therefore, the outcomes of the discussion so far formed the basis for my performative approach that stressed musical shape rather than musical structure. It has been established in previous chapters that music's shape does not refer to one particular necessary shape, but to the shape of the music as it might variously emerge through different performative approaches as well as performances. In this case, the shaping of Op. 23 occurred primarily during its "redesigning" while I was critically and creatively practising and rehearsing rather than publicly performing. This is not to say that the acts of practising and rehearsing dominate the act of performance as this would threaten the performer's musical freedom. On the contrary, although it inevitably influences the performance of Op. 23 in various ways, it does not deny the fact that new discoveries can occur during its actual performance. This part of the chapter however, documents the different stages of practising a new musical interpretation including the rehearsing of its performance. It is stressed that it distinguishes between rehearsing how to perform from the actual act of performance as a public event. Rehearsing how to perform and publically performing are treated as two different types of acts that develop through repetition in a linked evolutionary process: the first requires a performer's analysis in formulating an interpretation whereas the second requires interpretation and evaluation of the actual performance. The second will be explored in more detail in the

[50] For more on Chopin's editions and on multiple versions of his works see http://www.ocve.org.uk/jsp/browse.jsp, accessed 18 November 2013.

chapter that follows, by evaluating performances of Liszt's *Second Ballade*, including my own.

It should be noted that my performative approach was influenced by Rink's definition of what constitutes "performer's analysis" that also emphasises musical shape rather than structure, and which entails possibly five principles:

> (1) Temporality lies at the heart of performance and is therefore fundamental to 'performer's analysis'
> (2) Its primary goal is to discover the music's 'shape', as opposed to structure, as well as the means of projecting it.
> (3) The score is not 'the music'; 'the music' is not confined to the score.
> (4) Any analytical element that impinges on performance will ideally be incorporated within a larger synthesis influenced by considerations of style (broadly defined), genre, performance tradition, technique, instrument and so on, as well as the performer's individual artistic prerogative. In other words, analytically determined decisions should not be systematically prioritized.
> (5) 'Informed intuition' guides, or at least influences, the process of 'performer's analysis', although a more deliberate analytical approach can also be useful.[51]

In turn, the discussion that follows took the abovementioned principles into consideration as part of an attempt to articulate and to document what was happening in the music and how I, as a performer, reacted to it. The first section focused on the practice and performance of the introduction as a musical narrative: its three phrases as made obvious by the legato articulation in relation to dynamics, pedalling, and the interpretation of accents and hairpins. The second section moved a step forward and developed an argument on how the introduction itself evoked narrative interpretations in relation to the work's coherent performance. To this extent, a three-stage performative approach was documented that includes my reflections on the creative process of practising Op. 23. Those stages were: (1) routine realisation of notation (2) three close readings of the score, each one addressing different purposes, and (3) the role of problem/ambiguity in constructing a musical narrative. Other performers' views on the challenges of practising and performing Op. 23 were also assessed with the goal to establish narrative habits in performance that could be generically applied in various genres.

6.3.i. The Introduction

Practising the introduction evoked a feeling of being expressively exposed mainly because of the underlying tension created by the pauses and the rhythmic diminution already discussed. The awkwardness emerged from the thin texture, the irregular phrases, the openness in the pedalling and the fragmentary gestural melodies that suggested a sense of uncertainty. This

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[51] Rink, "Analysis and (or?) Performance", in *Musical Performance: A Guide to Understanding*, p. 39.

type of tension is precisely based on the diminution of energy and on the absence of rich harmonies that Chopin so often uses in adding to the colour and to the intensity. All the "clues" with which Chopin provides the performer, create an introduction whose appropriateness reflects the performative approach to the overall work. Emanuel Ax suggests that "The beginning is like how 'The Rime of the Ancient Mariner' starts. He stops one in three, he grabs the guy by his shirt and says, 'You're going to listen to this story.' For me, that's the same thing when he hits that C. It means 'stop and listen to what I'm about to tell you'."[52] His interpretation suggests that the narrative begins on C and the *pesante* character creates a certain image that guides him toward a specific type of story.

But for Murray Perahia the story demonstrates emotional turmoil or emotional mood. It informs his playing thus it does not have to be specific. It only needs to have the basics that help in shaping the form. For him, the story is about Poland and it is split into three basic parts: "a sense of enslavement, present exile, future rebirth".[53] Perahia also points out the sigh element of the introduction which seems to be the starting point in establishing an emotional mood.[54] He considers it very important to the rest of the piece as it constitutes a very obvious melodic gesture that "tells you something about the emotional mood, the sadness."[55] Noriko Ogawa on the other hand, emphasises the difficulty in playing the opening bars in a way that her teacher found satisfactory.[56] She says characteristically, "As a person I'm pretty realistic, not very dreamy, so my first seven bars sounded very strong. I just wanted to get on with it but my teacher wouldn't let me so we got stuck". Although Ogawa had studied Op. 23 her entire life, she never performed it in public because "there's something powerful and intimidating about it". Out of the four *Ballades*, she finds the first to be the most difficult "to shape it nicely, to play it convincingly".[57] Interestingly, I thought of the first seven bars as moving from strong to uncertain. Dreamy had not crossed my mind precisely because of the absent of the abovementioned elements. Dreamy would require a completely different approach to pedalling, a different tone colour and perhaps a degree of freedom in terms of tempo fluctuations that would probably not accommodate the *pesante* indication. In fact, Alfred Cortot who was not only an esteemed pianist known for his insight in the Romantic piano music of Chopin and Schumann in particular, but was also the editor of the *Ballades* for Éditions Salabert (1929) who considered extra-musical narrative interpretative strategies to be

[52] Alan Rusbridger, *Play it Again*, (London: Jonathan Cape, 2013), p. 357. Ax refers to a lyrical ballad written in 1797-98 by the British poet Samuel Taylor Coleridge.
[53] *Ibid.*, pp. 166-169.
[54] *Ibid.*, p. 357.
[55] *Ibid*.
[56] *Ibid.*, p. 153.
[57] *Ibid.*, pp. 152-154.

the norm, comments on the introduction and casts light on the term *pesante*. [58] He suggests that the narrative impulse of the opening bars should be displayed in the absence of grandeur or freedom ("sans grandeur ou sans liberté"), a performative approach that (apparently) derives from Chopin's indications of a *pesante* character.[59]

Indeed, trying to decide the dialectic of the introduction and its mood and purpose within the piece was especially difficult. It is perhaps for this reason that Ogawa referred to her teacher's interpretation instead of her own, as if there was something in the music causing her some sort of inability to interpret it in a personalised and convincing way. From early stages of practising the introduction and in the process of routine realisation, I pinpointed a number of elements that were generically used and interwoven throughout the piece, which revealed a complex character: open-ended phrases (bars 1-3, 4-5, and 6-7), irresolute cadences, the absence of pedalling, and a harmonic organisation that lacks central gravity. The fragmentary gestural melodies instantly gave an impression of a *recitative*-like character, as if someone was beginning to tell a story by creating an appropriate mood. While working on shaping the melodies I also revealed the fact that the beginning and ending pitches of each melody comprised the main motive of Theme I in bar 8: C/D/F#/Bb. In addition, I also spotted the fact that the fragmentary gestural character of the first phrase (that is, (a) the ascending line from the low C towards the high C in bar 3 and (b) the sigh towards F# at the end of bar 3), was also adopted in the character of Theme I whose shape combines both musical gestures. More specifically, the *legato* markings in bars 8-10 portrayed a fragmentary understanding based on two musical gestures rather than a continuous melody. It started on the middle C and was interrupted by the sigh on C but an octave higher. Intriguingly, the motive in bar 10 started on middle C and ended on F#, which showed that the combination of the first four-bar phrase portrayed a pitch summary, a notational reduction of the introduction's first phrase: C (middle) - C - C - F#. Therefore, the interweaving between practising, analysing and shaping the introduction established a generic and complex character of the piece as a whole right from its start, and in a very short period of time.

It could be argued that all kinds of musical codes could be detected by intelligent musicians in deconstructing and in performatively recreating the introduction, the same way any literary story could be treated as to be applied onto a given musical work. Here it is argued that it is Chopin's aesthetic approach to performance that produced this sort of awkwardness, or even better, openness in dialectic. This is reflected in the energy and the flexibility in shaping the micro and macro structure; that is, a *recitative*-like or improvisatory introduction through a

[58] Frédéric Chopin, *Ballades*, ed. Alfred Cortot (Paris: Éditions Salabert, 1929).
[59] *Ibid*., p. 4.

highly organised pitch structure, whose notational reduction produces the opening motive of Theme I: C/D/F#/Bb/A/G. On the one hand, there is the element of improvisation that emerges from the ambiguity in the shaping, the openness of the pedalling, and the *legato* markings portraying irregular, light-textured, speech-like phrasings. On the other, there is a highly organised pitch structure. Specifically, the tone quality and length of the first note C give the first clue to the introduction's mood and internal rhythmic activity. If C is realised as the starting point of interpretation, the phrase structure that is constructed based on its semibreve-length reveals a very specific compression. The first phrase is constructed of three bars, and therefore, it is made of six semibreve-patterns. The first four give away a rhythmic characteristic from the low C toward the high C at the beginning of the third bar, whereas the last two portray the popular sigh element which ends on F#. The second phrase picks up from the F# with a general descending line toward D, which is the last note of the phrase. The use of *piano* gives the impression of a rhythmic echo of the opening phrase, which lasts only for four semibreves instead of six. The last phrase starts on C, ends on Bb, and its length is only three semibreves long. Therefore, the note compression of the phrases in semibreves is as follows: 6 × semibreve ┃ 4 × semibreve ┃ 3 × semibreve.

The openness of the introduction became more obvious in bars 6-7, while trying to understand the meaning of hairpins and accents. Such expressive markings inevitably interfered with the shaping of the phrase. The pianist Roberto Poli argues that especially in the music of Chopin, hairpins "proposed an increase in intensity when one would expect the phrase to end; in others, a closing hairpin was placed in the middle of a phrase apparently to indicate a decrease in sound, just when one would anticipate an opening gesture."[60] Indeed, bars 6-7 evoked this kind of peculiar moment. The G. Henle Verlag Edition (1976) provides an accent on top of the right hand C whereas the Peters New Critical Edition (2012) provides a hairpin in the form of a *diminuendo*.[61] At the same time there is a *crescendo* in the middle of the staffs. Samson explains that accents "pose a major problem in Chopin's editing", thus a contextual one when trying to find a musically practical solution in dealing with their various sizes.[62] Long accents in the form of *diminuendo* "are best thought of as a 'surge', versus the dynamic retraction implied by a visually similar diminuendo sign".[63] The hairpin on C then, points forward towards *Moderato*. Something similar is revealed by the *crescendo* which starts on G

[60] Roberto Poli, *The Secret Life of Musical Notation*, (USA: Amadeus Press, 2010), p. 6.
[61] Frédéric Chopin, *Balladen: Ballades,* ed. Ewald Zimmermann (Munich, Germany: G. Henle Verlag, 1976), p. 5; and Fryderyk Chopin, *The Complete Chopin: Ballades*, ed. Jim Samson (London: Peters Edition, 2006, 2012), p. 1.
[62] Jim Samson, *The Complete Chopin: A New Critical Edition. Ballades* (London: Edition Peters, 2006), p. 59.
[63] *Ibid*., p. 60.

in bar 6 and continuous through the sustained chord in bar 7. Since keyboard instruments can only decrease the sound of sustained notes, such a direction could only be perceived as a-moving-forward thought toward *Moderato* rather than an increase in the volume.

6.3.ii. Routine realisation

As in sight reading, the main focus of the routine realisation was to read the notes, observe the dynamic, tempo, and articulation markings. This kind of mental work focused mainly on technical aspects and on getting the feel for the music. It would eventually develop into a choreography which would reflect and accommodate the synthetic process of formulating an interpretation. Thus, my initial attempt in familiarising myself with the score of Op. 23 was to understand the thematic material parallel to their tonalities, rhythms, expressive markings and dynamics at every turn of the music. This procedure resulted in Diagram 6.1 which illustrates the above elements by avoiding any reference to a specific form or any terminologies associated to a form (see Diagram 6.1). The purpose was to approach the work through a personal performative process as if Op. 23 was being prepared for a premier performance. Diagram 6.1 shows that *Ballade* Op. 23 is built on an opening section (Introduction), 8 thematic sections and a closing section (*Coda*).

The thematic sections include the main Themes I and II along with their transformations, as well as Themes III and IV. This is only a plain representation of each section based on what the ear recognised to be the beginning of a new section after an indication that the preceding material had concluded or had transformed into something else through a transitional technique. The idea seemed similar to Samson's second diagram mentioned previously, where he clearly indicates the presence of Themes III and IV as well. The main difference however, between my alternative approach and the previous analyses is that they all place the *coda* in bar 208. This approach indicates Theme IV to occur in bars 208-249, and therefore, the closing section (*Coda*) occurs in bars 250-264. Placing the most important climax during a new Theme rather than during the *Coda* inevitably interfered with the overall shape of the work. It revealed the idea that the new Theme had to be treated as a necessity to the construction of a musical narrative that called for a performative and therefore, a structural equilibrium between the opening and closing sections. The thematic disassociation of the final climax was seen as a solution to an aesthetical *problem*, as part of Chopin's *poetic* idea. Thus, Diagram 6.1 offered a starting point on how the shaping of themes and climaxes would get done in relation to the overall intensity direction of the work. What followed were three close readings of the score, each one serving different purposes.

Diagram 6.1: Chopin, G minor *Ballade* Op. 23

Opening Section			**Thematic Section 1**		
Opening Statement	Development	Transitional Passage	Theme I	Development of Theme I	Transitional Passage
1-3	3-5	6-8	8-35	36-43	44-67
NII6/G min.	G min.		G min.		
f – dim.	*p*	*cresc.*	*p*	*f*	*f – dim.*
Pesante				*Agitato*	*sempre più mosso, calando, smorzando*
Largo in 4/4			*Moderato in 6/8*	*a tempo*	

Thematic Section 2			**Thematic Section 3**	
Theme II	Development of Theme II	Transitional passage	Theme I'	Transitional passage
68-81	82-90	91-93	94-100	101-105
Eb maj.			A min.	
pp	*sempre pp*	*sempre dim.*	*pp*	*f – cresc.*
meno mosso				
sotto voce		*rallentando*	*a tempo*	

Thematic Section 4			**Thematic Section 5**		
Theme II'	Development of Theme II	Transitional passage	Theme III	Development of Theme III	Transitional passage
106-116	117-123	124-137	138-145	146-157	158-166
A maj.			Eb maj.		
ff	*fff*	*dim.-cresc.-f*		*cresc.-ff-sf*	*p-cresc.-ff*
		più animato, più vivo	*Scherzando*		*leggiermente*

Thematic Section 6			**Thematic Section 7**		
Theme II'	Development of Theme II'	Transitional passage	Theme I	Development of Theme I	Transitional Passage
167-179	180-189	190-193	194-200	201-205	206-207
Eb maj.			G min.		
ff			*sempre pp*	*p-f-cresc.*	*il più forte possible*
	con forza, sempre f	*dim.*	*sotto voce*		*Appassionato*
		ritenuto, rallentando	*meno mosso*		*poco rit.*

Thematic Section 8:			**Closing Section**		
Theme IV	Development of Theme IV	Transitional passage	Statement	Development	Conclusion
208-215	216-241	242-249	250-253	253-257	257-264
G min.			G min.		
			f-p	*f-p*	*f-ff*
presto con fuoco in cut time			*accel – rit.*	*accel – rit.*	*accel. – poco rit. – accel.*

6.3.iii. Close readings of the score

Close reading 1: Technical problems of execution

The purpose of the first close reading was threefold:

1. To spot and rehearse the passages which are particularly difficult to play and to find solutions in dealing with them.
2. To form a view of appropriate articulation for different local melodic styles.
3. To work out: fingering, ornamental melodies, and hand coordination in technically demanding places.

This reading excludes Theme IV, known to be the most technically demanding section of the work, for which a detailed discussion is provided in close reading 3. The first noticeable moment was the ornamental melody in bar 33. It posed problems with hand coordination in the second part of the bar, where eighteen notes had to be split in three groups. The difficulty was to decide where to place the LH-chords so as to create a natural flow of the RH-passage. I found this to be a very emotional and *cantabile* melody rather than a brilliant passage, mainly because of the material that had preceded. Thus, I did not apply a strict approach of dividing the RH-melody in three equal groups, placing six notes with each LH-chord in exact time. I first experimented by working on that specific bar alone and then by connecting it with the previous phrase to feel the flow of the moment. The *ritenuto* in bar 31 created the necessity of smoothly re-establishing the *tempo* in bar 32. In turn this created a moving-forward intention toward bar 33. Therefore, I decided to keep a rather steady *tempo* in the LH-chords of bar 33, and to apply a bit of *rubato* in the RH in an attempt to evoke a *recitative*-like melody. However, I was very careful to make the LH sound metrical. Its *legato* marking indicated that it still had to be played as if part of the melody. Thus, what was crucial for my understanding of the momentum was to place the last LH-chord with the last four RH-notes. In this way, I could create the illusion of stretching the time during those last four notes, when I was in fact playing in time. Consequently, the phrase direction would end on C♯ in bar 34 as indicated by the *legato* marking, and the energy would resolve on the second beat of bar 34. C♯ was an up-lifting moment where time froze for a mere second to emphasise the short rest. The arrival on D on the second beat felt like exhaling, a moment of tension release although the phrase had not ended. The cadence on G minor was delayed until bar 36, which translated into the idea that the *tempo* had to be picked-up once again and be carried through the melody just a bit longer.

As I was moving on with the work, I realised that it took me much longer to deal with moments where I found myself to be expressively exposed rather than technically troubled. For example, places like bars 48-65 were only a matter of figuring out the most suitable

fingerings which would create a comfortable choreography. Similar places were: the RH-octaves in bars 118-124, the RH-fingering in bars 146-154, and the placing of the RH-quintuplets against the LH-sextuplets in bars 170-172. The *meno mosso* however, in bars 67-94 posed different difficulties. This was the first *pp* of the piece. The *sotto voce* indication in combination with the wave-like accompaniment and the major mode evoked a very personal and soothing moment. Pedalling indications however, were troubling. For example, bar 69 was expressively ambiguous because in the RH, there was the ending of one phrase and the beginning of another, whereas the LH-ascending arpeggio was accompanied by a full-bar pedalling suggesting a continuous melody. Such difficulties led to considerations regarding the appropriateness of time and momentum in understanding Chopin's expressive display, that is, the ways in which Chopin's music needs to be presented and projected in order for an interpretation to be communicated in the most telling manner.

Close reading 2: Chopin's clarifications of expressive display

The purpose of the second close reading was to understand the composer's expressive displays as part of a greater musical narrative. Such considerations included:

1. Speed and momentum: what do the *tempo* descriptions mean in the nineteenth century.
2. Clear changes of harmonic colouring: what do they mean in the characterisation of music.
3. Dynamic markings: what their precise purpose is given their place within the work.
4. Phrase lengths: problems, ambiguities versus liberties, expressive potentials.

The momentum of the introduction was intrinsic to the general momentum of the work. Its performance needed to establish the flow and a sense of direction for Theme I which would either continue the interrogative nature of the introduction or provide a contrast. The difficulty with Theme I was to sustain the constant shaping of the flow and energy. The phrasing markings were fragmentary by nature using constant repetitions of the main motive, and the sigh effect created underpinned reluctance that could easily interrupt both the flow and energy. It was also taken into consideration that Theme I appears three times throughout the work as part of a more generic musical narrative with a specific predetermined point of direction. This also applied to the way the Theme I-motive was treated through its repetitions within the *Moderato* section. Its character became very circular and introverted, it failed to open up. Hudson mentions that Chopin uses *rubato* to emphasise repetition or expressive

notes, and in some instances the intent is for a particular mood.[64] One would expect that because of all the repetitions here, Chopin would mark *rubato* at some point in the music. But unlike *ritenuto* and *rallentando*, not once does Chopin mark *rubato*. Liszt mentions that when Chopin was being played "The *rubatos* had to be done with exquisite restraint and only when Chopin had marked them, never *ad libitum*."[65] Indeed, it felt very uncomfortable when trying to differentiate between repeated material by applying *rubato*. It put the flow of the work in a very risky situation because the music sounded too fragmentary even when applying the type of *rubato* where the pulse of the LH remains steady and the RH elaborates with the melody. I preferred to keep a simpler approach to rhythm and to create differentiations and contrasts in the tone colours, the dynamics, and the voicing instead.

Theme II was always presented in a major tonality. Its dynamic curve and the material preceding it indicated quite clearly its character and context within the work. The first appearance of Theme II had all the indications that portray a song-like melody with accompaniment. A much lighter, airy and atmospheric left hand in contrast to the accompaniment of its second and third appearance, a feminine-like melody with operatic openings in a range that was very comfortable to sing, and a *meno mosso tempo* change that left room for breathing. Lastly, the *pp* and *sotto voce* indications gave an impression of distance that led easily and naturally into Theme I in bar 94. In contrast, the *ff* indication and the richer and more decisive harmonies of the second and third appearances of Theme II portrayed a different character full of presence. It was as if its third appearance in Section 6 was a continuation of the climax which had started earlier during its second appearance in Section 4. This led to the following ideas: Theme III could constitute a smoother and lighter transition between the A-Eb tonalities of Theme II, or it could be thought as a playful interruption of Theme II (see Table 6.2).

Close reading 3: Descriptive grasp of formal design

The purpose of the third close reading was twofold. The aim was to understand:

1. How the *Ballade* is designed in terms of intensity.
2. Where the climaxes are placed, and why.

[64] Richard Hudson, *Stolen Time: The History of Tempo Rubato*, (Oxford: Clarendon Press, 2004), p. 230.
[65] Margaret Terry, *Roman Spring,* (Boston: Brown, Little, & Company, 1934), p. 85, in Hudson, *Stolen Time*, p. 236.

Table 6.2: Chopin, *Ballade* Op. 23, The Function of Theme II

Theme II	**Material preceding Theme II**	**Tonality**	**Dynamic Level of Theme II**
Thematic Section 2, Bars: 67-93	Theme I, Transitional passage: *Agitato - sempre piu mosso – calando –smorzando* *(f – dim.)*	Eb major	*pp*
Thematic Section 4, Bars: 106-25	Theme I, Transitional passage: *f - cresc.*	A major	*ff*
Thematic Section 6, Bars: 166-93	Theme III: *scherzando – leggiermente* *(p – cresc. – ff)*	Eb major	*ff*, with a *sf* on Bb in bar 166

I considered the idea that an important climax did occur in Theme II and it was indeed interrupted by Theme III. If a climax is the place or places within a work where all the emotional tension is focused, then it is usually made obvious by its volume in combination to a fuller and thicker texture and an increased rhythmic activity. Thus, based on Diagram 6.1 of Op. 23 there were three important climaxes: the first one in Section 1, the second in Section 4 and the third in Section 8. This led to the possibility of the following interpretative idea: if each climax constituted a different emotional stage of the entire work that builds towards the last and most important one, then by excluding the opening and closing sections there are three stages comprising the main body of Op. 23 (see Diagram 6.2.i).

But although the continuation of the second climax in a different tonality could be an interesting idea in theory, in practice it proved to be problematic for two reasons: (1) Theme III, which comprised its interruption, was so long that it was impossible for the ear to follow a climactic line between the A major-Theme II and the Eb major-Theme II; (2) Only the first appearance of Theme II could be considered as a climax because (i) the only triple forte (*fff*) occurs in bar 124 and (ii) by looking to the overall emotional peaks of the work, a climax was more effective when Theme I was preceding it. Therefore, it seemed that the second climax of Op. 23 occurred only during the second appearance of Theme II which resulted in a different three-stage form. This meant that its construction required a different evolving momentum toward the intensity peacks (see Diagram 6.2.ii).

Diagram 6.2.i: Chopin, G minor Ballade Op. 23, Three-stage form i

Stage: 1

Thematic Section 1		**Climax: 1**	**Thematic Section 2**			**Thematic Section 3**	
Theme I	Development of Theme I	Transitional passage	Theme II	Development of Theme II	Transitional Passage	Theme I'	Transitional Passage
8-35	36-43	44-67	68-81	82-90	91-93	94-100	101-105
G min.			Eb maj.			A min.	
p	*f*	*f – dim.*	*pp*	*sempre pp*	*sempre dim.*	*pp*	*f – cresc.*
	Agitato	*sempre più mosso, calando, smorzando*	*meno mosso*				
Moderato in 6/8	*a tempo*		*sotto voce*		*rallentando*	*a tempo*	

Stage: 2

Thematic Section 4: Climax 2			**Thematic Section 5**		
Theme II'	Development of Theme II	Transitional passage	Theme III	Development of Theme III	Transitional passage
106-116	117-123	124-137	138-145	146-157	158-166
A maj.			Eb maj.		
ff	*fff*	*dim.-cresc.-f*		*cresc.-ff-sf*	*p-cresc.-ff*
		più animato, più vivo	*scherzando*		*leggiermente*

Thematic Section 6	**Continuation of Climax 2**	
Theme II'	Development of Theme II'	Transitional passage
167-179	180-189	190-193
Eb maj.		
ff		
	con forza, sempre f	*dim.*
		ritenuto, rallentando

Stage: 3

Thematic Section 7			**Thematic Section 8:**	**Climax 3**	
Theme I	Development of Theme I	Transitional Passage	Theme IV	Development of Theme IV	Transitional Passage
194-200	201-205	206-207	208-215	216-241	242-249
G min.			G min.		
sempre pp	*p-f-cresc.*	*il più forte possibile*			
sotto voce		*apassionato*			
meno mosso		*poco rit.*	*presto con fuoco in cut time*		

Diagram 6.2.ii: Chopin, G minor Ballade Op. 23, Three-stage form ii

Stage: 1

Thematic Section 1		**Climax: 1**	**Thematic Section 2**		
Theme I	Development of Theme I	Transitional Passage	Theme II	Development of Theme II	Transitional Passage
8-35	36-43	44-67	68-81	82-90	91-93
G min.			Eb maj.		
p	*f*	*f – dim.*	*pp*	*sempre pp*	*sempre dim.*
	Agitato	*sempre più mosso, calando, smorzando*	*meno mosso*		
Moderato in 6/8	*a tempo*		*sotto voce*		*Rallentando*

Stage: 2

Thematic Section 3		**Thematic Section 4: Climax 2**		
Theme I'	Transitional passage	Theme II'	Development of Theme II	Transitional passage
94-100	101-105	106-116	117-123	124-137
A min.		A maj.		
pp	*f – cresc.*	*ff*	*fff*	*dim.-cresc.-f*
				più animato, più vivo
a tempo				

Thematic Section 5		
Theme III	Development of Theme III	Transitional passage
138-145	146-157	158-166
Eb maj.		
	cresc.-ff-sf	*p-cresc.-ff*
Scherzando		*Leggiermente*

Stage: 3

Thematic Section 6	**Continuation of Climax 2**		**Thematic Section 7**		
Theme II'	Development of Theme II'	Transitional passage	Theme I	Development of Theme I	Transitional Passage
167-179	180-189	190-193	194-200	201-205	206-207
Eb maj.			G min.		
ff			*sempre pp*	*p-f-cresc.*	*il più forte possible*
	con forza, sempre f	*dim.*	*sotto voce*		*appassionato*
		ritenuto, rallentando	*meno mosso*		*poco rit.*

Thematic Section 8:	**Climax 3**	
Theme IV	Development of Theme IV	Transitional Passage
208-215	216-241	242-249
G min.		
presto con fuoco in cut time		

This process revealed that it was not so much the way each ingredient was treated separately to create energy but the way I as a performer was connecting with energy. In the *Ballade* there is always a certain struggle to open up and move higher both musically as well as physically. The energy was always released through the sigh element. Something similar occurred in bars 101-106 and 201-206 which comprised the transitional passages to Themes II and IV respectively: both times led to important climaxes. The resolution of tension which was building up within the material preceding the climaxes, created more effective contrasts and bigger emotional outbursts. The tension escalated in bars 206-207. Chopin called for a different approach with the marking: *appassionato* and *il più forte possibile*. The element of struggle was now turning into a necessity for the *Ballade's* conceptualisation. This led to the problem of Theme IV, also known as the *Coda*.

Theme IV is simply difficult for every pianist.[66] One of the hardest moments was the huge leaps in the LH in relation to the pedalling markings. What I found confusing was the fact that the bass note was placed on the weak beats which created an automatised response to pedalling. Usually, we apply pedalling together with the bass to keep the harmonies clean. But Chopin indicates the pedalling on the offbeat-chords. This came in contrast with hand co-ordination which resulted in three different types of movements at the same time (RH/LH/Ped). Suddenly everything felt upside-down, as if the LH was oddly misplaced. I was rarely able to play Theme IV accurately and one of the reasons was because I became really scared of it right from the beginning. The first several times I attempted to rehearse its performance without stopping I would take a deep breath and hope for the best. But as this section was becoming more mature and I would let go of some of the technical fears, I realised that what was extremely helpful was to think of it in four instead of in two. An indicative example is the RH-leaps down the octave in bars 216-229 in relation to the LH-movements. Here a very precise choreography was absolutely necessary. Thinking in four instead of in two gave me more time for mental breathing. It kept me focused and in control of *tempo* which most of the times had the tendency to accelerate.

By bar 230 the hand co-ordination became much easier to handle, but the RH was already extremely exhausted. The *legato* indication in bars 230-237 could not be taken literally. It was too demanding physically at this point. *Legato* had to do with the phrase direction. The short rest in the downbeat of bar 236 was absolutely necessary for the wrist to loosen and relax while moving upwards away from the piano. The wrist had to remain loose for another reason: so that the weight of the hand dropped completely on the thumb each time the hand

[66] See comments by Hough, Ogawa, Perahia, Ax, Rosen and O' Hora, in Rusbridger, Play it Again, pp. 381-385.

would return from the octave-leaps. The accents on the thumb indicated that the melodic line was split either down or up the octaves. The extreme dramatic and technical contrasts were terrifying. The attack on the lowest G in bar 250 was a very explosive moment of the violent and eager character which had preceded.

The scales which followed posed a risk of becoming too loud, too soon. Here I decided to start each scale on the remaining sound of the previous bar. Also, I applied less pedalling on the lower register during the beginning of the scales, whereas I was adding more as the scales were rising to the top. I must admit however, that it was the endings of the scales that troubled me most. Not because of the technical difficulty that both hands had to be played extremely fast and end absolutely together, but because of the way the last notes had to be projected. There was the question of whether hands and pedalling should be released immediately upon arrival on the top notes with a *staccatissimo* effect, or whether they could be sustained for a mere second to emphasise the actual arrival on those notes. The more I kept reworking them, the more it became a spontaneous reaction to the moment's energy, although I had the tendency to hold a bit longer the first arrival on G in bar 251, because of the *fz* indication. I also found particularly interesting the chords in between the scales, in bars 251 and 256. The top notes of those chords created an ascending-third-relationship, Bb-D. This allowed the energy to resolve naturally in the final two chords of the *Ballade*, where the top notes emphasised the descending-third-relationship between Bb-G.

6.3.iv. The Role of Problem/Ambiguity in Constructing a Musical Narrative

I reached the point where I had to start rehearsing the performance of Op. 23. Practising the work was something different from rehearsing its performance before an actual onstage public event would take place. There were no opportunities for stopping and fixing, for readjusting, for altering pedalling or finger-work according to the action and responsiveness of a particular keyboard. For example, pedalling is almost always readjusted based on the acoustic of the room and on the action of the keys. *Tempo* might change as well. Sometimes a slower *tempo* might help for a cleaner sound with keyboards that suffer from unresponsive keys, or a faster *tempo* might help for sustaining and projecting melodies in a dry hall. All these considerations were being taken care of during dress rehearsal. At this point I was recording myself and evaluating my performances, thus my mind was no longer preoccupied with the technicalities and practicalities one comes across while practising. On the contrary, the more I was rehearsing how to perform the more I found myself to be strongly preoccupied with a very distinctive characteristic of the *Ballade's* conception as a whole; that was, the contrasts and sudden changes of moods and pianistic approaches in short periods of time as revealed by the dual identity in the character of Op. 23. Even more important was the fact that

Chopin constructed his melodies in ways that gave room to the performer in deciding where they end or how they are interwoven with each other. Their textures and harmonic colours were so rich with expressive ambiguities and potentials that they were being constantly reworked through each performance. The ear and brain were never searching for the note reduction, the simplification of the score, but with the shape of the phrases and their effect in the moment's energy in relation to the whole. Ultimately, the tension and energy was emerging from the phrases' textures with which I needed to connect in order for the release to come naturally. Therefore, the interwoven interpretative choices, the mood and tone colour, the appropriateness of the pedalling in relation to the phrasing, the *tempo* fluctuations and the interpretation of expressive markings were being constantly re-evaluated.

To summarise, dealing the identification of problematic and ambiguous features of the work emerged from the following interpretative considerations:

(a) How to establish an integrated, dynamic grasp of musical structure based on points of climax, to spot potentially vulnerable or weak episodes in the design, to form an integrated view of significant changes in harmony and harmonic rhythm, to locate the problematic processes of transition and transformation of themes, and to decide whether the aim would be the "closure" or irresolution.

(b) Problems of repetition and contrast tension between the different elements comprising the *Ballade*, how are repeated episodes to be played, and why and in what sense are there contrasting themes in this work.

(c) What is the commitment to and coherence of style and character: were these things implied by the music, and if so, were they implied to be coherent and *stable*? If they are not coherent and stable, how were they to be displayed with conviction?

The consideration of all of the above led to the conclusion that the *Ballade* potentially had multiple identities in relation to its conceptualization and performance interpretation, and that these identities did not necessarily need to be resolved into just one for an effective performance to take place. Some of the ambiguities of Op. 23 have been discussed by analysts who have focused directly on structural aspects of the work. However, performers are aware of other types of interpretative challenge presented by the processes of creating an emergent performance in relation to the written composition:

> The G minor Ballade uses so many difficult techniques, […] the leaps, the continuous movements, the soft pedaling, the loud pedaling, the chords […] so that you are constantly bombarded with new difficulties and no time to prepare for them because they are suddenly

> there and you are not there for it. You just know that you've to play *filigree*, you know, quietly, […] then you suddenly have to play the big chords.[67]

For Daniel Barenboim it is the technical difficulties connecting to the sudden interchanges of musical elements. For Stephen Hough the *Ballade* is the epitome of the duality between the brain and the soul. This duality turns it into a particularly exciting piece to play or listen to, as "everyone who plays it really plays it differently, at least you hope they do…"[68] Lastly, Ronan O'Hora explains that the key in performing Op. 23 is to find the balance in the piece's dual identity, what he calls "the calm sophistication versus the elemental outbursts".[69] O'Hora also points out the complexity of the structure, keys and proportions of the harmonic language. "…with Chopin the big difference is the harmony. Even Chopin's melodies, when you take away the harmony, are not so extraordinary. It's the harmony which provokes a lot of the emotion in the music."[70] Thus, he finds it essential that while studying the *Ballade* one must work out which key they are in at any point.

Indeed, O'Hora points out an important aspect of Chopin's Op. 23. Performers need to have an integrated, dynamic grasp of musical structure that will point out the climaxes and the potentially vulnerable or weak episodes in the design. We also need to have an integrated view of significant changes in harmony and harmonic rhythm, and to locate the *problematic* processes of transition and transformation of themes. In Chopin's music the aim is not always the closure but the lack of a clear resolution. This emerged from problems of repetition and contrast between repeated episodes which called for a different performative approach every time they reappeared. Lastly, we as performers also need to decide whether the music implies a commitment to style and character, and in turn how a performance can be displayed with conviction. This is all part of the process of creating an interpretative ownership of the work that develops from the music's potential to be personalised through a variety of possibilities.

6.4. From Practising to Teaching Musical Narrativity: Some Afterthoughts

The choices performers make in order to construct a performance that is underpinned by a narrative understanding is ultimately based on how one realises the piece as a whole, on how one defines or distinguishes the narrative elements based purely on musical means, and on one's ability to build an uninterrupted momentum that can be curried through the different sections comprising a complete work. The ways one chooses to achieve this is also based on the performer's aesthetic understanding of how to construct a coherent musical idea based on

[67] Rusbridger, *Play it Again*, p. 211.
[68] *Ibid.*, p. 332.
[69] *Ibid.*, p. 120.
[70] *Ibid.*, p. 121.

considerations that include a notion of timing and momentum. Zimerman in his performance of Op. 23 for example, keeps a quite steady *tempo* during the more emphatic moments of climaxes, whereas in the more *espressivo* moments he takes more liberties with *tempo* fluctuations.[71] Horowitz, on the other hand, is very reluctant with moving forward in terms of *tempo* and intensity during the more relaxed moments as well as when preparing a climax.[72] But the first thing noticeable in Horowitz's 1965 recording of the same work, however, is that music moves forward without hesitation in the intense moments whereas there is a freer approach and a more relaxed quality of sound in the more *cantabile* moments. He remains faithful however, to some musical gestures in specific places, such as the very playful way he prepares and begins the *scherzando* theme or the lighter character with which he chooses to treat the *coda*.[73]

The necessity to cultivate the ability of articulating the performative behaviours encoded in the shaping of Op. 23 was also born to a great degree because of teaching rather than only while practising and rehearsing. After receiving years of professional training in Western classical music as a performer, I had to find ways of explaining a variety of processes which combine the world of the composer, to that of the performer, the teacher, and the student. The *explaining* of the nature of Op. 23 to my more mature students as well as the nature of what would I consider an appropriate performance of it, included an impression of my personal emotional turmoil which emerged from the practice of the piece and which entailed a large body of knowledge. It was difficult to disconnect, to keep a distance and to try to simply describe what has happening in the piece without engaging with it. Even while sitting away from the piano, my body was behaving as if I was actually performing. Hands moving in choreography, feet changing the pedals, breathing accelerating, sweating during technically demanding parts. It was an implied performance. I became a mime. When words were not enough, which was mainly the case, singing and conducting melodies and ideas came in to do the job. But the harmony was absent. So I had to translate each episode into a psychological state based on its place within the work. I did it in a way which made it absolutely clear that the last climax at the end of the *Ballade* would inevitably occur. The last outburst was a natural consequence of everything that had proceeded. This was my musical narrative that I so desperately was trying to display through my performance. Not for a minute I had to think of a specific story. On the contrary, I felt that the *Ballade* was now clearly calling for a

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[71] Krystian Zimerman, "Chopin's ballade Op. 23 in G minor", http://youtu.be/RP7eUSFsn28, accessed 01 December 2011.
[72] Vladimir Horowitz, "Television Concert at Carnegie Hall", http://youtu.be/XhnRluGZ_dc, accessed 01 December 2011.
[73] Vladimir Horowitz, "Chopin's Ballade Op. 23 in G minor", http://youtu.be/eG1Olvh7vCU (1965), accessed 01 December 2011.

narrator with which, I as a performer had to connect in order to recreate an appropriate energy that would reflect an evolving musical narrative.

It is certainly a different experience to explain a work after you have practised it yourself. You never truly understand a piece unless you have practiced it. In turn, it never truly reveals *itself* unless you have performed it and have communicated with it onstage. The attempt to teach a musical work without grasping the difficulties or the possibilities which emerge from creatively and critically rehearsing will be proven a poor experience for the student. Chopin's dialectic now made more sense and yet it remained rich in possibilities in colours, gestures and nuances. It was the combination of an operatic/recitative style that added to the dramatic character of the protagonist, in relation to an intimate, personal style of me as a performer that emerged because of Chopin's notations and aesthetic understanding of expression. Even during the fanfare episodes of the waltz, the melodies remain strong convincing their operatic character. The *scherzando* episode was something different. It was full of gestural melodies evoking more of a ballet-type of music, of gestural images. The narrative style of the *Ballade's* nature as a genre often emerged with a degree of delicate sentimentalism and with several changes of moods, colours, and pianistic techniques in very short periods of time. The thematic disassociation of the final climax was the "clue" that had drawn my attention to the idea that such a thematic disassociation was the result of, and thus a necessity to, Chopin's approach to a *poetic* idea. It revealed Chopin's aesthetic approach to how music can imply the different regions of a narrative. This became obvious only while practising the music and in the process of deciding how to treat the overall energy through a series of escalating climaxes. Music and narrative completed each other during the practice of performance when the score of Op. 23 was eventually turning into a living event in real time.. Thus, the existence of a musical narrative became possible only through musical experiences that included both the acts of learning and performing, the same way that musical experiences relied on the existence of a narrative in order to make sense.

7. Performing Musical Narrativity

Case Study 3: Liszt's *Second Ballade*

Franz Liszt finished composing his *Second Ballade* in B minor in the spring of 1853 while he was living in Weimar. It is considered to be one of his most important contributions to the piano repertory, not only for its pianistic virtuosity, but also for its complexity in terms of understanding its ambiguous harmonic structure. According to the *New Liszt Edition* (*NLE*) and based on what Liszt noted on the autograph, the *Ballade* was dedicated to Count Karoly Leiningen and was first published in 1854 by Kistner in Leipzig. The source used by the *NLE* was Kistner's first edition.[1] The idea that Schiller's *Hero und Leander* could have been Liszt's source of inspiration is indeed attractive. This so happens not only because of the programmatic implications the genre-title *Ballade* carries, but also because *Hero und Leander* (1801) belongs in the category of longer narrative ballads that include both narrative and dialogue without a clear-cut structure. It tells the story of Hero who lived in a tower in Sestos, and of Leander, a young man from Abydos who lived across the Hellespont from Hero. The two fell in love and Leander would swim across the Hellespont every night for an entire summer as Hero would light a lamp at the top of her tower to lead his way. One stormy night the winds blew off the lamp, Leander lost his way in the waves and drowned. When Hero saw Leander's body as it washed on the shore by the sea, she threw herself from her tower in the waters of the Hellespont so that the two could be together in death. [2]

As already discussed, there is some evidence that Liszt's *Second Ballade* was influenced by the story of *Hero und Leander*. The following discussion took its point of departure from the idea that Liszt's compositional as well as pianistic techniques found in the work were the consequence of an attempt to preserve and project characteristics of that specific story but without illustrating a detailed sequence of events in his music. Chapter Six argued that we need to understand musical narrativity as something that reveals its qualities primarily in the engagement and the struggle-to-reveal process of critical practice and rehearsal which leaves its trace on that public product. That is why the pedagogical approaches to narrativity deserve as much attention as the theoretical ones. But at the same time it was noted that the act of rehearsing does not dominate the act of performance, as this would threaten the performer's musical freedom. On the contrary, although it inevitably influences the performance of a work

[1] Imre Sulyok and Imre Mezo, [1978], preface to Ferenc Liszt, *New Edition of the Complete Works: Series I Works for Piano Solo* (Budapest: Editio Musica, 1981), vol. 9. All musical examples are taken from the same edition.

[2] See Appendix for Schiller's ballad in German and an English translation by Daniel Platt, pp. 183-188.

in various ways, it is not denied that new discoveries can occur during its actual performance. Thus, this chapter not only identifies creative processes of exploring narrative practice, pinpoints problems and offers possible solutions, but it also evaluates recordings of the specific work, including my own.

The review of performances serves to clarify expressive intentions and to build a conceptual representation of an emergent identity for the *Ballade,* which brings together technical, expressive, musical, and emotional elements. It examines the *Ballade's* episodes in relation to its narrative thread but most importantly, it also examines the creative episodes of the actual performance. The goal is to encourage the conceptualisation of practice and of performance as a creative process that can be further improved through interpretative understandings. For this reason, the case of Liszt's *Second Ballade* and of Liszt as a composer-performer is particularly interesting. This happens because a misleading impression was cultivated that Liszt's compositions were made to promote technical showcases on stage (the performer as a rock star) rather than to encourage meaning in performance interpretations.[3] However, the creative elements in Liszt's music are not simply an "add on" after technical mastery is achieved. On the contrary, it is argued that technical mastery in the performance of Liszt's works can be better achieved when it emerges from the integration of musical and expressive elements that are meant to accommodate a narrative approach to music. This is in itself a creative process. The discussion that follows reveals a range of strategies and approaches in developing a sense of ownership in my personal interpretation of the piece. It proceeds on the basis that all music can be narrative in the same fundamental way that language is by nature musical.

7.1. Creative Processes of Exploring Narrative Practice

As will be illustrated shortly, in the case of Liszt's *Second Ballade* the existence of both a narrative (narrator) and of dialogue (actors) is established through contrasting textures (orchestral vs. operatic), *recitative*-like motives, and of sudden changes of mood and of rhythmic activity. Also, the sudden changes of the harmonic colours, and the intensity levels along with the use of numerous theme-transformations, establish different settings in which a story evolves. The examination that follows is a brief experimental exploration of how Liszt's musical notation allows the emergence of a narrative. It should be noted though that the proposed narrative reading is not based on a structural reading of the literary ballad nor is it an attempt to mirror one onto the other. On the contrary, the goal is to show how *Hero und Leander* could be the emergent subject of Liszt's *Ballade* rather than its content. This is part

[3] Lawrence Kramer, "Franz Liszt and the Virtuoso Public Sphere", in *Musical Meaning: Toward a Critical History* (California: University of California Press, 2002), p. 92.

of an attempt to examine how such readings produce alternative understandings of the musical work, which in turn enhances the *visualisation* of the performance for the performer while practising. Such a visualisation assists with memory and with shaping a performance as it includes a variety of considerations like the conceptual distinction between the ballade's different scenes, and hand choreography in relation to mood, colour and character among others.

7.1.i. Identifying Narrative Elements in the Relations of Key and Theme

Liszt's "peculiarities" of composing and notating his music were considered determining elements in evoking possible "readings" of the score, in forming an understanding of Liszt's intentions more accurately and in allowing a narrative interpretation to emerge. The following discussion documents how such indications instigated my imagination in creating a narrative understanding of the work. Specifically, it presents selected examples of where such "peculiarities" occur, explores their possible meanings and what their purpose might be in evoking a certain mood in the place where they appear. Based on the preface of the *NLE*:

1. …he [Liszt] makes clear in his piano works of a more orchestral character the movement of the parts within a stave by the use of upward-pointing tails for the upper part and of downward-pointing tails for the lower parts…
2. The length of the applicability of agogic signs (*rit., accel.* etc.) is shown by means of dotted lines; the end of such a line denotes *a tempo*;
3. Liszt employs the application *stringendo* to cover not only tempo but also the rather lively character of certain shorter or longer passages.
4. *Ritenuto* also refers to character (a regular though rather slower metre in comparison with the basic tempo), whereas *ritardando* implies a steady slowing down.
5. …marking the direction *dolce* or *dolcissimo* may be taken as indicating also piano or pianissimo.
6. The sign ^ denotes a rather sharp accent that affects the character, whereas the sign > merely affects dynamic emphasis.[4]

Also, in order to explore the relations of key and theme without any interpretative presuppositions, I avoided thinking of fixed terminologies implying any kind of form during the early stages of my practice, although I could read "clues" as I was going through it.[5] The *Second Ballade* contains the following thematic elements, which were first explored separately and later in combination to each other: (1) *Allegro moderato* (2) *Lento assai* (3) *Allegretto* (4) *Allegro deciso* and (5) *a piacere*

[4] Zoltan Gardonyi and Istvan Szelenyi, [1969], preface to Ferenc Liszt, *New Edition of the Complete Works: Series I Works for Piano Solo*, vol. 9. (Budapest: Editio Musica, 1981), pp. VIII-IX.

[5] The implications of formal readings in performance interpretation are discussed in a separate section, namely "On the Performance of Formal Readings".

(1)Allegro moderato: Is it *Allegro* or is it *moderato*? This was inevitably the first consideration, as the mood of the opening LH-accompaniment was already being shaped through an understanding of speed. The unfolding of mood and character was being filtered and revealed through *tempo* experimentation. Questions were being born: Was this a pleasant (*allegro*) moment performed in a medium (*moderato*) speed or something entirely different that would emerge from notation and expressive markings? Was this an implication of a somewhat *allegro* and a somewhat *moderato* approach, a choice in between, or an alteration between the two according to the moment? The notation of *Allegro moderato* revealed three different levels in terms of voicing: the theme as the foreground, the bass accompaniment as the background and the inner voices in 3rds as the reinforcing driving energy. The theme was marked ^ with the direction *marcato*. According to the *NLE* this articulation marking affects the character rather than the dynamic. This meant that I had to experiment with producing a *marcato* tone, one that would truly grasp the dramatic trajectory of the work. The two-bar chromatic pattern in the LH however, did not share the same marking. On the contrary, its gestural shape begged to resemble the stormy waters of the Hellespont. It placed the tonic and dominant discreetly in the strong beats of the bar. Its linear and rhythmically busy character came in contrast to the theme's direction which moved slowly and heavily in the key of B melodic minor (see Example 7.1).

Example 7.1: Liszt, *Second Ballade*, bars 1-8.[6]

[6] Ferenc Liszt, *New Edition of the Complete Works: Series I Works for Piano Solo*, vol. 9. (Budapest: Editio Musica, 1981).

Pedalling markings also raised questions. Liszt's indication was to separate clearly the opening dominant from the tonic, as his pedalling starts on the downbeat of bar 1. This revealed the possibility of whether a similar approach should be applied throughout this section. The following considerations regarding the treatment of the LH-accompaniment were formed: (a) should it accommodate the volume and direction of the RH-melody (b) should it create a contrast, which was technically far more demanding and complicated, or (c) were there instances that both approaches could be applied. Even though this gestural accompaniment was very active chromatically as well as rhythmically, the harmonic motion was quite static because of the absence of a leading tone and harmonies other than the tonic B minor. This evoked a feeling of continuous struggle in overcoming the practicalities of the LH-accompaniment that resembled the way the melody was refusing to open up. This feeling suddenly came to an end in bar 17. The upward-pointing tails of the bass evoked a tenor voice emerging from the bass accompaniment. Thus, the tone and the mood of this *recitative*-like melody were calling for an immediate change from what the introverted mood of the accompaniment suggested. This was a very explosive and revelatory moment in terms of energy. The orchestral writing was transformed into an operatic character within seconds.

<u>(2) Lento Assai:</u> The melody led into the *Lento Assai* in 4/4. It became obvious that the purpose of the broad chords was to emphasise the rhythmic diminution and to summarise the theme, which now appeared in the five ascending octaves of the bass (see Example 7.2). The *una corda* marking for the repetition of this passage in a higher octave, was a rare moment for Liszt's notation. It has been explored in previous chapters that according to the *Pädagogium* Liszt did not indicate the *una corda* very often. Its application instantly differentiated the colour and it created a feel of a distant memory calling for a different voice balancing. I experimented with bringing out the theme of the bass line during the first time. During the second time however, such an emphasis was not really necessary, as the theme had already been established. Certainly, it would come across because the ear would recognise it in an automotised response. Therefore, I became more aware of the inner voices that would inevitably resolve into a quite contrasting character of what was about to follow. The mood of the F♯-chord in bar 24 which marks the beginning of the *Allegretto* called for a different colour that would offer some kind of resolution or closure. This was the first moment the major mode appeared and thus, it required a different treatment than what had already preceded. The *Allegretto* melody was born in the key of the dominant F♯ in the form of a chorale (see Example 7.2).

Example 7.2: Liszt, *Second Ballade*, bars 17-37.[7]

<u>(3) Allegretto:</u> The *dolce* character of this chorale was the key element in differentiating the mood of this moment. My first reaction was to release the *una corda so* as to change the colour. But then I noticed that *tre corde* appears in bar 35 with the return of Theme I. Also based on the *NLE*, marking the direction *dolce* or *dolcissimo* may be taken as indicating piano or pianissimo. Therefore, I had to experiment in deciding whether the *dolce* marking implied that the *una corda* would be more appropriately used throughout the *Allegretto* or not. This meant that I also had to decide what the purpose of the chorale was in the general context of

[7] *Ibid*.

the work. It seemed that this pleasant moment could portray the emergence of a female character and the duet between the two protagonists. Thus, the higher voice of the chorale with the tails pointing upward was treated as a female character, which resulted in bringing out the soprano melody and in sustaining the *una corda*. This created a more lyrical colour and a vulnerable character. For the repetition in the lower octave I decided to emphasise the tenor melody and to release the *una corda* during the *crescendo*. I did however reapply it during the *smorzando* indication in order to achieve a change in colour. In this way, I was implying that this brief moment of pleasure had concluded and it soon became a distant memory. This approach emphasised even more the colour of the *tre corde*, which Liszt so persistently marked on the score, and the change of mood for the return of Theme I (see Example 7.2). It should be noted that this marking was not included in a working manuscript that can be found in the Juilliard Manuscript Collection.[8] This manuscript contains extensive revisions by Liszt, and a *Presto* section (pages 15-17) not in the first edition. The addition of *una corda* in later versions shows its significance to the conception of the moment.

The constant mood transformations and contrasting events were now established as essential ingredients of the narrative idea: (1) Theme I created the dramatic trajectory through orchestral writing. It then transformed into an operatic recitative that revealed a male presence; (2) the transitional passage of *Lento Assai* summarised Theme I and evolved into a lyrical chorale; (3) in turn, the chorale allowed a female character to emerge and the *dolce* atmosphere evoked a duet between the two protagonists. At this moment, Liszt repeats everything almost exactly the same, but a semitone lower. The only difference occurs in the second half of bar 47. The problem here remained the same as with every repetition of almost identical material: to make it sound interesting instead of repetitious. In this particular moment the combination or alteration of LH-accompaniment techniques took place as discussed earlier, in order to create variety of colours and intensification of the phrase directions.

<u>(4) Allegro deciso</u>: Bar 70 was the beginning of the *Allegro deciso* (bars 70-134), which as the composer's directions suggest, was very decisive and entirely different in character from everything that had proceeded so far (see Example 7.3). The march-like rhythm suited the *deciso* character and it was the third rhythmic element to be presented (*Allegro moderato* in 6/4, *Lento Assai/Allegretto* in 4/4 and *Allegro deciso* 4/4). I decided to apply a very strict approach to rhythm to evoke the *deciso* character. I experimented with producing a very sharp sound by attacking each chord with the tip of the fingers throughout this section, but at the

[8] See: The Juilliard Manuscript Collection,
http://www.juilliardmanuscriptcollection.org/composers.php#/hires/LISZ/LISZ_BAL2

same time applying enough weight from the arms so that the sound would have enough depth and volume to be carried through a concert hall. The quick and technically demanding RH-passages felt like a premonition of the violence and struggle that was about to follow. Almost the complete range of the piano was being used with sudden registral changes evoking a very stormy character (see Example 7.4).

The constant use of triplets emphasising the C# of the bass increased the rhythmic activity and thus the energy and intensity especially in bars 85-92 (see Example 7.5). The decrease in rhythmic activity along with the augmentation of the values in the bars that followed created the illusion of a very brief moment of tranquillity. Liszt's writing at this moment created a natural physical tension-release as well (see Example 7.5, bars 92-95). The feeling was unsettling: the two-bar phrases of the right hand (B-A-G-F#E# and D-A-G-F#-E#) lingered on E#, which turned into the leading tone in the bass (bar 95) and resulted in the tonic F# minor; the bass moved in contrasting motion using fragments of the opening theme (G-A-B) suggesting the key of B melodic minor. Something was about to happen. All the clues were there: although the harmonic progression from B minor to F# minor was not unusual, the decrease of rhythmic activity along with the augmentation of values, the lighter texture and the lingering on E# created a moment of hidden tension, as if something was momentarily interrupted and something else was about to happen. The tone quality and mood had to be appropriately adjusted: the *decrescendo* was maximised and applied until the very last moment of bar 95. This was a moment where the use of *una corda* would be necessary in most modern pianos although it was not notated in the score. Its purpose would not be so much to reduce the sound but to change the colour.

Indeed, bar 96 marked the beginning of the *agitato*, a technically demanding and physically tiring section. Here I found myself preoccupied with being able to play the octaves in a way that would resemble not a technical study, but rather a gesture that would evoke an agitated character (see Example 7.6). Liszt's notation of the RH was particularly interesting. The lower pitches, which were written as quaver notes, were a clue that those notes should be projected more and sustained longer. This created a very dramatic effect in bar 97, when the descending chromatic line was doubled by the LH, although in augmented rhythm. The same type of notation was repeated in the LH, when in turn it took over the broken octaves.

Example 7.3: Liszt, *Second Ballade*, bars 70-73.[9]

Example 7.4: Liszt, *Second Ballade*, bars 111-116.[10]

Example 7.5: Liszt, *Second Ballade*, bars 86-95.[11]

[9] Ferenc Liszt, *New Edition of the Complete Works: Series I Works for Piano Solo*, vol. 9. (Budapest: Editio Musica, 1981).
[10] *Ibid*.
[11] *Ibid*.

Example 7.6: Liszt, *Second Ballade*, bars 96-98.[12]

(5) A piacere: The *a piacere*-melody was introduced in bar 135 in the key of D. This was the first time the relative major was presented. This *cantando* aria was accompanied by a harp-like gestural pattern, which allowed a romantic mood to emerge (see Example 7.7). This was a solo moment for the soprano. Once again the unresolved endings created a feel of reluctance and vulnerability. This gave room for some experimentation with *tempo* fluctuations.

Example 7.7: Liszt, *Second Ballade*, bars 135-142.[13]

7.1.ii. Transformation of Themes and their Role in Preserving a Narrative Thread

This section presents the place in the work where the transformations of each of the above five elements occur, in order to contextualise their purpose in the place they appear. The first transformation of the *Allegro moderato* occurs in bar 113 through 129 with the semiquaver/ quaver rhythmic pattern in the bass borrowed from bars 70-71. This is followed by the transformation of the transitional passage *Lento assai* in bars 135-142. It leads first into the new *a piacere*-melody in D major and then into the transformation of the *Allegretto* theme in bars 143-161.

[12] *Ibid*.
[13] *Ibid*.

The second transformation of the *Allegro moderato* occurs in bar 161 of the *Allegro deciso* section and, even though it returns in 4/4, the underlying character remains the same. It moves from G# minor to C minor in bar 181, with more agitated tendencies, as the chromatic rising-and-falling accompaniment is now a longer two-bar pattern. With directions like *agitato* and *tempestuoso* the work becomes much more violent using the entire range of the keyboard. By bar 203 the work reaches the highest G of the keyboard and within four bars it drops to the lowest one. Bars 203-206 emphasise the motion from G to C# on the strong beats of the bar which prepares the most significant climax so far (bars 207-215). The tritone is reinforced with the *fff* half-note octaves at the bottom of the keyboard (see Example 7.8).

Example 7.8: Liszt, *Second Ballade*, bars 205-216.[14]

The second transformation of the *Allegro moderato* is followed by the second transformation of the transitional passage *Lento assai* in bars 215-224, and by a second transformation of the *a piacere*-melody in bars 225-233. Liszt is using the same order in which he transforms the different themes. By this moment a second transformation of the *Allegretto* theme seems like a natural development of the thematic material. The transformed *Allegretto* theme in bars 233-253, now *appassionato* and *rubato*, moves through different key areas with pedal points that summarise the overall harmonic structure of the work up until bar 134. All the key areas are in major modes preparing the return of the opening theme to appear in B major for the first time. The table below represents the general harmonic direction of bars 1-134, without the minor transpositions to other key areas, in comparison to the pedal points of the *Allegretto*, bars 234-253 (see Table 7.1).

[14] *Ibid*.

Table 7.1: Liszt, *Second Ballade*, bars 1-134 & 234-253.

Sections	Theme - Lento Assai-Allegretto: bb.1-34	Theme - Lento Assai-Allegretto: bb.35-69	Allegro deciso: bb. 70-134
Key Areas	B minor (- F# major)	Bb minor (- F major)	F# minor
Pedal point	B (bb. 234-241)	Bb (bb. 242-249)	F# (bb. 250-253)

The third transformation of the *Allegro moderato* in B major (bar 254) is now in 6/4 time just like the opening, something that gives a sense of relief and stability. The melody moves faster with the accompaniment in the inner voice deriving from the *Allegretto* theme. The third transformation of the *a piacere*-melody follows in 4/4, bars 269-279, with the accompaniment in the inner voice also deriving from the *Allegretto* theme. Liszt is building up the momentum once again as he moves from one statement to another without a pause and by increasing the rhythmic activity, only to restate and transform for the fourth time the now *grandioso* opening theme in 6/4, bars 284-291. The accompaniment in the inner voice, which again derives from the *Allegretto* theme, becomes more emphatic.

Finally, the fifth and last transformation of the *Allegro moderato* in B major is marked *ff* rising to *fff* and *grandioso*, bar 292. Liszt gives two possible transformations of this apotheosis, which are both impressive, even though most recording artists prefer the version with scales. The version with the scales is a nice continuation of the previous statement of the theme, whereas the version with the chords brings to mind the rhythmic character of the *Allegro deciso*. A sudden interruption occurs in bars 297-98 which marks the last transformation of the transitional passage *Lento assai*, only to lead into the *Allegretto* theme in B major (bar 302) instead of the *a piacere*-melody. Liszt chooses to end the last moments of the work with a brief summary of the structure of the opening; that is, Opening theme/*Allegro moderato* (pause) – Transitional passage/*Lento assai* – *Allegretto* theme. The work ends with a very brief reminiscence of the *a piacere*-melody, in bar 312.

The understanding of how theme transformations evolved suggested the following ideas. The unfolding of the first 69 bars comprises Scene I of a musical narrative that is constructed in two parts: bars 1-34 and 35-69. The purpose of the *Allegro moderato* section is twofold; (1) it sets up the scene using the LH-accompaniment as a gesture to illustrate the waves of the Hellespont and, therefore, Leander's repeated journey every night and (2) it establishes the existence of a narrator with a slow and settled, moving melody in the RH (bars 1-17). This section ends with Leander's motive, bars17-20, as he rises from the waves with the LH-accompaniment turning into a *recitative*-like melody marked *rinforzando molto* and *molto ritenuto*. The fermata in bar 20, the lighter texture and the diminution of the rhythmic activity

in Leander's motive are clues which contradict the opening characteristics that mark the existence of a persona rather than a narrator. It also creates an impression of a journey coming to an end with Leander pausing for a moment as he reaches to the shore. *Lento assai* is a bridge passage connecting Leander's motive to Hero's motive. The *Allegretto* starting in bar 24 with Hero's *dolce* three-bar melody acts as a response to Leander's call. The sudden change of character, of register, of harmonic texture and of tonality gives the impression of a different persona. It is also interesting to notice how Leander's motive ends with a descending minor 2nd on C#. On the other hand, Hero's motive and its development end with an ascending minor 2nd on C#. It is constructed on an F# major chord which brings out the *dolce* character of this melody. The *Allegretto* evolves into a duet and concludes with *diminuendo molto* and *smorzando* as if something is coming to an end. However, the use of the F# major chord in bar 34 enables this last thought to slowly fade away creating irresolution instead. Indeed, what follows is the chromatic transposition of the opening section of bars 1-34, evoking the passing of time and the emergence of the idea that this process is repeated every night. The uncertainty of the ending in bar 34 suggests the temporary separation of Hero and Leander and their uncertain reunion.

In turn, Scene II begins with the *Allegro deciso* in bar 70 and ends in bar 253, comprising the longest part of the work, and it includes numerous transformations and transpositions of the main thematic ideas. Similarly to Scene I, it is divided into two parts. The first focuses on the development of the storm and on Leander's death (bars 70-224), whereas the second focuses on the *a piacere*-love theme and on Hero's death (bars 225-253). More specifically, the first part shows interplay between the orchestral texture and the chorale. The orchestral section uses the entire range of the keyboard, illustrating the beginning and development of a storm as described by Schiller, whereas the chorale (bars 143-158) illustrates Hero's praying to the Gods to guide Leander through his journey. Bars 70-131 of the *Allegro deciso* evoke a small range storm analogous to the climax occurring in bars 113-128, or a premonition of the fatal one that is about to happen in bars 199-215. Both climaxes are interrupted by Leander's motive in bars 129 and 215. Liszt is very consistent with the use of Leander's motive. Similar to Scene I, it always appears briefly after the presentation of the Hellespont. It is intriguing, however, that in Scene II both presentations occur in the range of Hero, which gives the impression of Leander's vague or uncertain existence. It is as if someone else, Hero, is referring to him. This approach suggested that Liszt used this musical device to evoke the idea that the focus of this scene was Hero's despair while watching the storm praying for Leander, rather than Leander himself. In fact, Hero's despair was also Schiller's focus between verses 11-25, which comprise the longest part of the poem.

The second part of Scene II begins with the *a piacere*-love theme. Its first brief appearance in bars 135-142 was only a glimpse of its major reappearance in bar 225. This is another moment of premonition as the reappearance in bar 225 is marked *rubato* and *appassionato* which evokes a duet between the two main characters. Similar to Schiller's ballad, the actual meeting of the two heroes is not the main focus of the story. On the contrary, it is the illustration of the stormy Hellespont and of Hero's despair that increase the dramatisation of the work. The reason that makes the second appearance of the love theme more significant is because it extends to a descending passage resembling a glissando. This gesture is also marked *delicatamente*, which could be associated with Hero's fall from the tower. This is followed by another transformation of Hero's motive as her body descends to the bottom of the sea. Liszt constructed a way of moving back and forth into time as if he were directing a film: that is, he interrupts the process of developing a storm by introducing a new melody unexpectedly, and by using that same melody at the end of this process. In this way, he was able to remind the listener of what had happened in the past and to provide a glimpse of what is inevitably going to happen in the future.

The return of the *Allegro moderato* in bar 254 is therefore the beginning of Scene III marked by the return of the narrator as well. The transposition of the narrator's theme with the *cantabile* character in B major along with the settle accompaniment ends in bar 269. The more orchestral writing takes over once again leading to the final climax in bars 284-297. Liszt's final choice of the ending starting in bar 302 suits Schiller's ending of the ballad, verse 26, well. In this one, Hero's motive slowly fates away but it never clearly ends, as the final chord with the dominant in the melody gives the impression of an ongoing thought. This evokes a feeling similar to Schiller's last phrase: "the Current, that forever flows". Table 7.2 illustrates the structure of Liszt's *Second Ballade* as it emerged from this narrative understanding.

Table 7.2: Liszt, *Second Ballade*, Narrative Structure

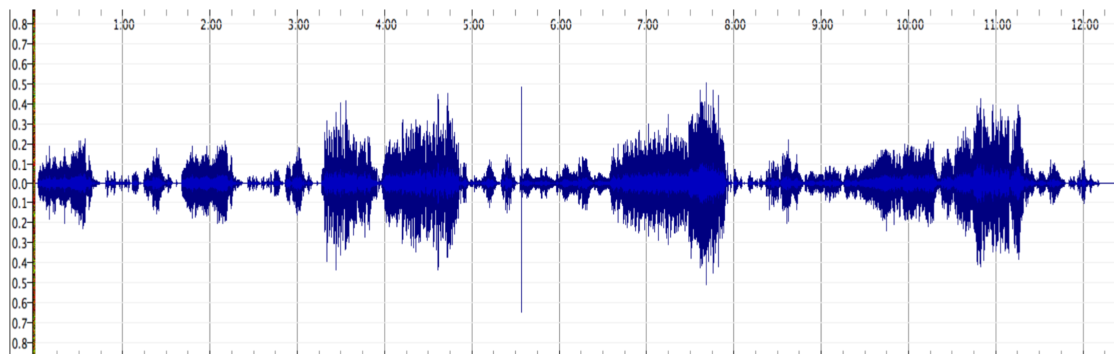
Scene I		**Scene II**		**Scene III**
Part 1: bb. 1-34	Part 2: bb. 35-69	Part 1: bb. 70-224	Part 2: bb. 225-253	bb. 254-END

7.2. On Performing a Musical Narrative

The challenge of a narrative performance was not so much to find those characteristics that evoke a musical narrative but the fact that I as a performer had to find ways to portray the different regions of narration, as I understood them, to emerge from Liszt's notation. My narrative approach to the musical work enabled me to recreate and evoke a musical narrative

by combining a variety of technical and expressive elements and by finding appropriate ways of differentiating between characters and thematic material. Below is a visual representation of the shape of my performance in terms of energy. The application used was Sonic Visualiser. The horizontal axis is calibrated in minutes and seconds representing the duration of the performance, and the vertical axis shows frequency, indicated by a scale in Hz on the left, representing the volume of the performance.

Sonic Shape 7.1: Liszt, *Second Ballade*, Andri Hadjiandreou



This was my first attempt at a public performance of Liszt's *Second Ballade*. Listening back to the recording, I had noticed that although I had a very precise interpretative conception of the work, I was not satisfied with timing and with distinctly separating the different episodes of the narration.[15] The *Ballade* had to breathe more, to relax more often and to have more tone colours and dynamic differentiation especially in the softer and more *espressivo* melodies. This was partly the result of the anxiety of performing a new work. It also had to do with the fact that the right pedal of the specific keyboard did not have the ability to produce a variety of levels resulting in a mostly loud performance. Passagework was often rushed which in relation to a generally loud instrument tended to obscure the narrative logic I was attempting to project. Owing to a tendency to rush, my general approach to clearly delineate the sectional boundaries of the *Ballade* so as to evoke the different regions of narration did not come through. Adding to this, my attempt to a more relaxed approach in *cantabile* moments so as to allow the music's charm and lyricism to emerge, sometimes resulted in obscuring of the underlying pulse, especially in the *a piacere* melodies. I had to go back and apply a different type of practice. I had to record myself on regular basis and critically evaluate my performances. Also, one of the most productive ways to improve my performance skills was to practise how to perform but away from the instrument and the score. Mentally performing

[15] This performance was given as part of fulfilling the recital requirements for the MPhil/PhD in Performance Practice and Related Studies, Goldsmith's College, University of London. London: Deptford Town Hall, 13 March 2007.

a musical work was not an easy task. It had to do with imagining the score and with trying to go through a performance from beginning to end without interrupting as if it were a real event. By the end of this procedure, I was mentally and physically exhausted. I had noticed that many of the abovementioned considerations were evolving more naturally in my attempt to record my performance after such a process. I was more in control of the moment but at the same time more aware of the whole. This enabled me to become more expressive and apply a more relaxed approach to performance, something that would otherwise not have been my natural response to the musical score. The dramatic trajectory of Hero and Leander's story was translated into emotional outbursts without hesitation or any restrictions relating to the technicalities and anxieties of the performance. It soon took over my creative processes of imagining the music's shape, mood, and character. I was creating the unfolding of the actual performance by constantly attempting to produce a spacious performance, which was resulting in a more coherent and effective performative narrative. This in turn, diminished gradually some memory considerations.

Claudio Arrau was also among the pianists who admitted to having used the story of *Hero und Leander* as a source of inspiration. Although his narrative understanding of the myth was filtered through the music slightly differently from mine, we shared the same generic understanding of struggle and transfiguration and of where Leander's death occurred. In his interview with Joseph Horowitz he stated: "It was well known in Liszt's circle (the fact that Liszt was influenced by the specific story). As far as I can remember, the music follows the original myth. Leander swam the Hellespont to visit Hero every night, and swam back the next morning. In the music you can actually hear that it becomes more difficult each time. The fourth night he drowns. Then the very last pages are a transfiguration."[16] Arrau's alternative narrative understanding of the *Second Ballade* was as follows:

> This first time [meaning the first time the opening theme occurs] nothing happens, really. It's not a stormy sea – yet. Then you have Hero's theme [bar 24]. The music for the second night [measure 36] should be played in a stormier way, and the right-hand theme should be more threatening. The third night [measure 70], a terrific storm begins. These of course are big waves; they must not sound like an exercise in broken octaves [bar 96]. But Leander still manages to reach the other side, gasping for breath [bar 135]. […] Hero confronts Leander, caressing him, and realizing how close she came to losing him. Then there is the fourth night, and the biggest storm [measure 162]. This is the final struggle [bar 207]. Leander is absolutely desperate. And this is where he drowns [bar 214]. In this appassionato section [bar 225] the love theme also represents Hero's anxiety, or sadness – subconsciously she probably senses that Leander is dead. Later, there are funeral bells [bar 237]. Here Hero's theme must be played in a completely different way – disembodied. Now, perhaps, she consciously realizes what has happened. And then comes the transfiguration – the *Verklärung* [bar 254]. This has to be really sensuous. But it

[16] Joseph Horowitz, *Arrau on Music and Performance*, (New York: Dover Publications, 1999), p. 143.

> must also have the quality of remembrance. One has to feel a certain struggle with the water. Whereas here, in the *Verklärung,* it is like a vision.[17]

Indeed, both of his live performances in 1971 and 1984 grasp well his narrative understanding the way he described it.[18] They were also constructed on the idea of clearly defining the sections of the work. Thus, in both recordings his treatment of thematic transformations and textural differentiations was such as to emphasise their role in that specific moment. Arrau also pointed out that in bar 292 he preferred the version of the scales because they developed better the idea of the water, and they led much better to the final climax. In terms of interpretation he argued that the scales must be played expressively and almost melodic, otherwise they would sound trite. As far as the *coda* starting in bar 302, he never used the first one as the revised version suited better his narrative understanding. Specifically, he stated that "Here Hero's theme [measure 305] should be played in a completely new way – confronting death. She gives up the struggle and says farewell to Leander."[19]

Leslie Howard on the other hand, suggested that the *Second Ballade* was inspired by Bürger's ballad *Lenore*.[20] He acknowledges the fact that much of Liszt's music has an underlying narrative structure behind the musical one, which as he suggests, is probably the reason why there is a subtitle to the *First Ballade* in the Paris edition of 1849 and the *Neue Liszt-Ausgabe* of 1981.[21] In an interview that took place for the purposes of this thesis, I specifically asked whether he had found evidence supporting his reference to *Lenore* from Humphrey Searle's book *The Music of Liszt*, where Searle mentions that Liszt set the specific poem of Bürger's into music as a melodrama although it happened much later in 1858, but he denied it by saying that he could not recall what his source was.[22] He insisted however, that he certainly did not just come up with it.[23] In terms of the programmatic feel in Liszt's music, Howard said that "it is easier to see why Liszt does what he does when he gives a clue of a narrative or of a programmatic idea". He refers to the tremolos at the end of the *Dante* sonata as an example.

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[17] *Ibid*., pp. 143-146.
[18] Claudio Arrau, live recordings of *Liszt's Second Ballade*, http://www.youtube.com/watch?v=kjnPKUcAIYE, and http://www.youtube.com/watch?v=4bRTrDbPw8s, accessed 01 May 2013.
[19] *Ibid*.
[20] Leslie Howard, notes to Leslie Howard, *Liszt: Ballades, Legends and Polonaises* (1988), CD, Hyperion CDA6630.
[21] *Ibid*., p. 2.
[22] Humphrey Searle, *The Music of Liszt* (New York: Dover Publications, 2012), p. 96. Searle (1915-1982) was an English composer and pianist known for his admiration of Liszt at a time when relatively little was understood about the importance of his works in music history.
[23] Andri Hadjiandreou, *Leslie Howard: Interview on Performing Liszt,* Goldsmiths College: University of London, 23 March 2013.

Our discussion revealed many common considerations on the practice and performance of the *Second Ballade.* I referred to the B minor sonata and the *Second Ballade* and asked what he thought of the idea of their simultaneous conception. He agreed by saying that "the daringness of the transformation of themes is greater in these two works than it is in anything Liszt had composed before". To this extent, he explained that for this reason it is difficult for students to grasp the elements of structure and it could get confusing. "It is not that you cannot find these techniques in late Beethoven for example, but Liszt turned this into his own method, especially during the Weimar period". The conversation led to the fact that Liszt does not use something unless he is completely sure of its place within a work, even in the instances where he is using a simple musical gesture like the opening LH-accompaniment of the *Second Ballade.* That is how specific Liszt is with his material. Taking this a step further, I referred to the principles of sonata form and whether they apply or should apply in the conceptualisation of the work. Howard identified the first and second themes and he acknowledged the fact that Liszt preferred to re-write the repetition instead of using double bars. He pointed out that this was a technique that was greatly used by Dohnányi as well. During repetitions, Liszt transforms to a different key and adds very few changes that might not be noticeable by the listener. "That is why these kinds of tiny changes must be played out". Howard referred to bar 47 explaining that Liszt not only adds new notes in but he also puts a little hairpin to emphasise them. "Playing the same material in a different way is very hard work". In general though, Howard does not understand "why people make such fuss" about identifying whether a sonata form would be appropriate for the *Second Ballade*. He adds: "The first theme is marked *marcato* only for the RH. There is no marking for the LH and only one pedal marking in the style of Schumann, which means that there is no star to end it. So you have to find a way to work around these things. Liszt had a piano with seven pedals and he used all of them but he is not really helpful with identifying the way he did it. The second theme is also very difficult to play, not only because of voicing but also because it is difficult to play all the chords *legato*".

I then referred to the process of learning a new work such as the *Second Ballade*. Howard said that the first time he plays through a piece he becomes familiar with the score, so he does not start by analysing although he gets the clues as he goes along. "The second time the consideration of structure is already there. It helps with the memory and with how to shape the performance. Then you have to decide whether there is a reason for the manner the notation is being written and in what ways". Particularly, he referred to the stems of broken octaves starting in bar 96, and how they evoke a *quasi-legato* feeling. He works around it with his thumbs and by an accommodating pedalling. He mentioned that "it is very easy to miss stuff like this if you do not study the score very carefully". In relation to *tempo*

considerations I referred to the climax in bars 207-215. I suggested that if a steady *tempo* is used the result is much more effective, especially in bar 215 where a quaver rest appears after the low E octave. Howard agreed and added that "this would also bring out the tritone relation between E and Bb because there is nothing accidental about Liszt's tritones". In the transformation of the *a piacere* melody in bar 225, Howard argued that "you have to have a clear pulse although this time it is marked *rubato* and *appassionato*. The second half of the bar especially has to be dead in time otherwise it does not work out". He does not like performances that take quite a lot of liberties in terms of *tempo*. "*Rubato* only works when you know what has been stolen from where." He prefers Chopin's *rubato* where the LH plays in time.

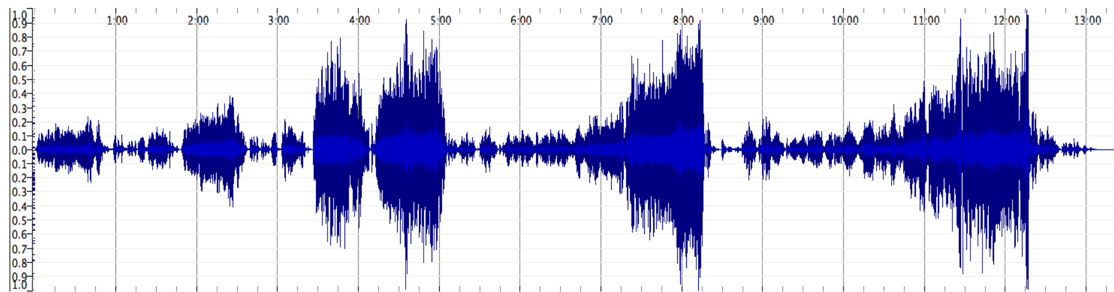
Lastly, I asked if he could identify habits of the Lisztian style in a performance. His response was that "if you try to turn Liszt into a vehicle to show off you will play badly. And the worst, people will say that he is a bad composer. But if you approach Liszt the way you approach a Beethoven sonata, with truly paying attention to what is written on the page exactly to the letter, amazingly it comes out very intelligently. That is because Liszt said what he wanted exactly the way he wanted it". He referred to the *stringendo* in bar 199 to give an example. He argued that the *stringendo* has to stop in bar 207 where the big chords start otherwise they do not belong in the same idea. There is always a chance of a small deviation of *tempo*, of some liberties, but it needs to be treated the same way as in Beethoven. "We have to keep everything equilibrated especially in terms of tempo. If you take one page at a time instead of the piece as a whole it is difficult to make sense of it. The same applies to the relation between a Bach's Prelude and Fugue. There is a ratio between the two that feels natural, it makes sense".

Indeed, Howard's recording portrayed a *quasi*-calculated approach of the work in general. He recorded the first version of the coda as well (see recording analyses below).[24] The last part of the sonic shapes below shows the difference in the length, the energy and overall shape of the two codas. The horizontal axis is calibrated in minutes and seconds representing the duration of the performance, and the vertical axis shows frequency, indicated by a scale in Hz on the left, representing the volume of the performance. By listening to Howard's recordings it becomes obvious that his goal was to study the musical score as carefully and precisely as possible. The listening experience itself revealed that for Howard, meaning was mostly confined to the score: "Liszt said what he wanted exactly the way he wanted it". He invested

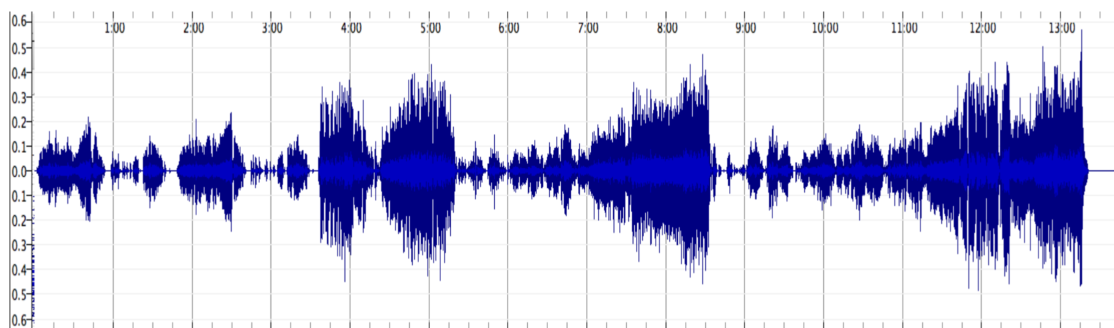
[24] Leslie Howard, *Liszt: Ballades, Legends and Polonaises* (1988), CD, Hyperion CDA6630**;** Leslie Howard, *Liszt: Gaudeamus igitur – Piéces d'occasion* (1996), CD, Hyperion CDA67034.

in a rather steadier *tempo* and in the simplicity of even the more lyrical and expressive moments.

Sonic Shape 7.2: Liszt, *Second Ballade* (final version), Leslie Howard



Sonic Shape 7.3: Liszt, *Second Ballade* (first version), Leslie Howard



His way of moving forward through each transformation of the themes was established based on a growing intensity in terms of dynamics, and by taking advantage of the fuller textures for accomplishing a more down-to-earth sound. His interpretation also had the tendency of moving toward a significant moment or a climax. This might have been the result of the fact that for Howard everything happened with ease in terms of technique, which might have subconsciously influenced his performance interpretation as well. There are moments in performances where interpretative choices are made to cover technical difficulties. But this was not the case for Howard. Everything sounded simple and straightforward, as if he was refusing to experiment or take risks. There was almost a lack of imagination in creating bigger variety in the nuances and in the differentiation of moods, colours and characters. Perhaps part of this also lies in the nature of recorded performances. Too many stops and rewrites can often damage the spontaneity which is experienced during an actual public performance.

7.3. On the Performance of Formal Readings

7.3.i. Episodic Form

James Parakilas' structural analysis of the *Second Ballade* suggests an episodic nature of the work, where "Each new episode is marked off from the last by a combination of thematic, harmonic, and rhythmic changes."[25] His argument is supported by the idea that the entire work is constructed on the interaction between the theme (*Allegro moderato*) and the co-theme (*Allegretto*).[26] Based on this "thematic complex", Parakilas divides the work into five episodes that "all enact nearly the same thematic progression" (see Diagram 7.1).[27]

Diagram 7.1: Liszt, *Second Ballade*, Parakilas' Episodic Form

1st EPISODE		2nd EPISODE		3rd EPISODE			
m. 1 *Allegro moderato* 6/4	24 *Allegretto* 4/4	36 *Allegro moderato* 6/4	59 *Allegretto* 4/4	70 *Allegro deciso* 4/4	113 — —	135 *A piacere* —	143 *Allegretto* —
B minor	F-sharp major	B-flat minor	F major	V/D minor: F-sharp minor	F-sharp minor	D major	D major: G major
Theme	Co-theme	Theme	Co-theme	Introduction to Theme	Theme (Transformed)	*A piacere* Melody	Co-theme

4th EPISODE				5th EPISODE			
162 — —	207 — —	225 *Rubato* —	234 *Allegretto* —	254 *Allegro moderato* 6/4	269 *Un poco più mosso* 4/4	284 *Allegro moderato* 6/4	305 *Andantino* 4/4
G-sharp minor: C minor	(vii$^{\circ7}$/b)	B major	B major: E-flat major: V/B major →	B major	V/B major →	B major	B major
Theme (Transformed)	Climax	*A piacere* Melody	Co-theme	Theme (Transformed)	*A piacere* Melody	Theme (Transformed: *Grandioso*)	Co-theme

Diagram 4-1. Episodic form of Liszt's Second Ballade.

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[25] James Parakilas, *Ballads Without Words: Chopin and the Tradition of the Instrumental Ballade* (Portland, Oregon: Amadeus Press, 1992), p. 112.

[26] *Ibid.*, p. 112. In his study, Parakilas mentions Marta Grabocz's structural-semiotic analysis which also describes the *Allegro moderato* melody and *Allegretto* melody as theme and co-theme that constitute a "thematic complex" (p. 113).

[27] *Ibid.*, pp. 110-11.

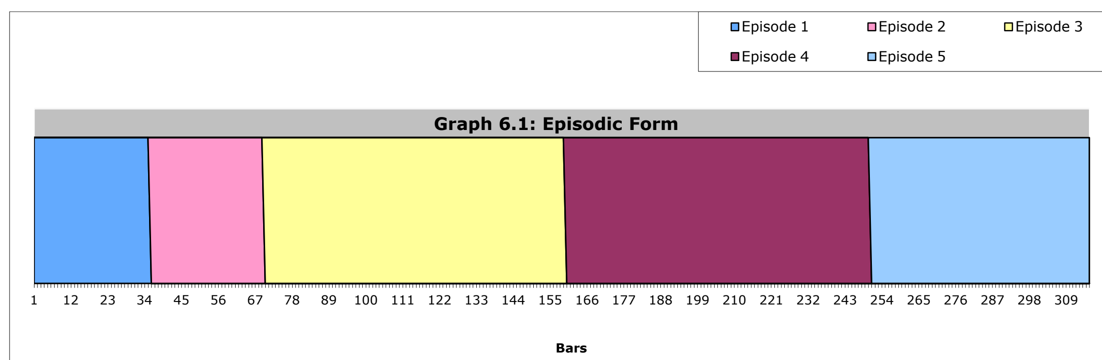
Parakilas mentions that between theme and co-theme "…there is not so much a conflict as a perpetual engagement, a fixed progression. The progression has no continuation; it breaks off and starts again. The abrupt chromatic transposition at the first of these moments of discontinuity dramatises the structure: it shows how fixed the progression is."[28] On the one hand, part of this idea was indeed crucial in terms of performance interpretation: the dramatisation of the structure was not just a result of a fixed progression but also a result of the repetition itself. It has been already discussed that such a repetition is in a sense problematic in the same way it would have been for the repetition in a sonata exposition. But at the same time it forces the performer to think of alternative ways to present the repeated material precisely so that it does not sound repetitive. For example, certain harmonies could have a different colour, more or less pedalling could be applied in different places, a more involved LH-accompaniment could dramatise further the character, dynamics could take on a different meaning and could therefore be subtly different. On the other hand, there was something intriguing about Parakilas' analysis that emerged while practising each episode separately: there was a growing instability between the theme and co-theme. After the first two episodes it became hard to follow this fixed progression because the pause at the end of each episode disappears. Also, during the third and fourth episodes there was so much harmonic variety along with the appearance of new material and a number of theme transformations that it became difficult to grasp truly where each episode began and ended so as to treat them differently. A similar *confusion* occurred between episodes four and five.

In addition, although Parakilas' approach clearly indicates a climax during the fourth episode, it fails to mention additional climactic moments in the piece. Even though this is justified by the dynamic peak *fff* specified by the composer, there are two other dynamic peaks in the fifth episode also marked *fff* by the composer (bars 284 and 294) and one in the third marked *ff* (bar 113). Thus, their significance to the construction of the work's overall intensity structure remains unexplored. The problem with identifying only one climax throughout the work instead of a series of climaxes of different importance and character places the main climax somewhat too soon in the piece. This is not to argue that bar 207 is not an important climax as the notation of the composer makes it quite clear. But a climax does not simply stand out on its own. It needs certain energetic processes which build the preceding material appropriately, so the resolution of tension occurs naturally. Although Parakilas' episodic reading could be theoretically justified, it fails to recognise the existence of a series of climaxes, which is necessary for the performer's conceptualisation and projection of a performance. The failure to recognise the importance of the work's evolving energy and the ways in which it can be

[28] *Ibid*., p. 103.

constructed, creates interpretative disadvantages. To this extent, Parakilas' approach creates interpretative disadvantages for the listener as well, given that the most direct element a listener experiences during a performance is the process in which the different climaxes develop.

Graph 7.1: Liszt, *Second Ballade*, Parakilas' Episodic Form



7.3.ii. Sonata Form

According to Kenneth Hamilton, the *Ballade* was composed as "a significant afterthought to the Sonata" which Liszt composed in the same year.[29] This is also mentioned in the preface of the Henle Verlag edition, based on the findings in the autograph.[30] Specifically, Hamilton states:

> The opening pages contrast two subjects after the manner of sonata form, a nobly troubled theme in B minor, followed by a gently winsome melody in the dominant. This whole exposition is repeated, but unusually transposed a semitone lower. The ensuing development is so extensive that one begins to re-evaluate the exposition as perhaps having been only an introduction, but the structure is successfully balanced by a weighty recapitulation and coda, marked by a particularly beautiful, expiatory transformation of the opening melody. As with the Sonata, Liszt had originally supplied the Ballade with an extrovert, virtuoso coda, before deciding that a subtly restrained conclusion was more in keeping with the emotional complexity of the piece.[31]

Hamilton's decision to re-evaluate where the development begins derived from a generic understanding of sonata form in conjunction with balancing the length of each section. Gunther Wagner also describes the entire *Allegro deciso* section (bars 70-253) as the development section (see Table 7.3 & Graph 7.2).[32] Therefore, the recapitulation starts in bar 254 with the transformation of the theme in the final tonic key of B major.

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[29] Kenneth Hamilton, "Liszt's early and Weimar piano works", in *The Cambridge Companion to Liszt,* ed. K. Hamilton (Cambridge: Cambridge University Press, 2005), p. 79.
[30] Rena C. Mueller and Ernst-Gunter Heinemann, [1854], preface to Franz Liszt, *Balladen* (New York, Munich: G. Henle Verlag, 1996), p. iv.
[31] *Ibid*., p. 80.
[32] Parakilas, *Ballade Without Words*, pp. 103-104

Table 7.3: Liszt, *Second Ballade*, Wagner's Sonata Form Analysis

Exposition	**Development**	**Recapitulation**
Bars 1-69	Bars 70-253	Bars 254-316
B min. – V & Bb min. – V	F# min. - different key areas - V /B major	B major

Incidentally, Wagner's analysis resembles my narrative understanding that emerged from the transformation of themes and their role in preserving a narrative thread (see Table 7.2). Louis Kentner on the other hand, places the recapitulation in bar 225 (see Table 7.4 & Graph 7.3). He refers to the entire passage of bars 1-69 as "making an unusually long first subject, in which the germs of the coming conflict are presented as in a prologue."[33] However, long first subjects are not unusual. Something similar is observed in Chopin's Op. 23 as well. Kentner's idea implies that the first 69 bars include a theme and a co-theme, each one serving a different purpose in the development and transformation of musical ideas within the entire musical narrative.

Table 7.4: Liszt, *Second Ballade*, Kentner's Sonata Form Analysis

Exposition: Bars 1-161

1st Subject	**1st Subject**	**Transition**	**2nd Subject**
Theme/Co-theme	Theme/Co-theme	*Allegro deciso*	*a piacere*
b. 1 / b. 24	b. 35 / b. 59	b. 70	b. 135
B minor – V/F#	Bb minor – V/F	F# minor	D major

Development: Bars 162-224

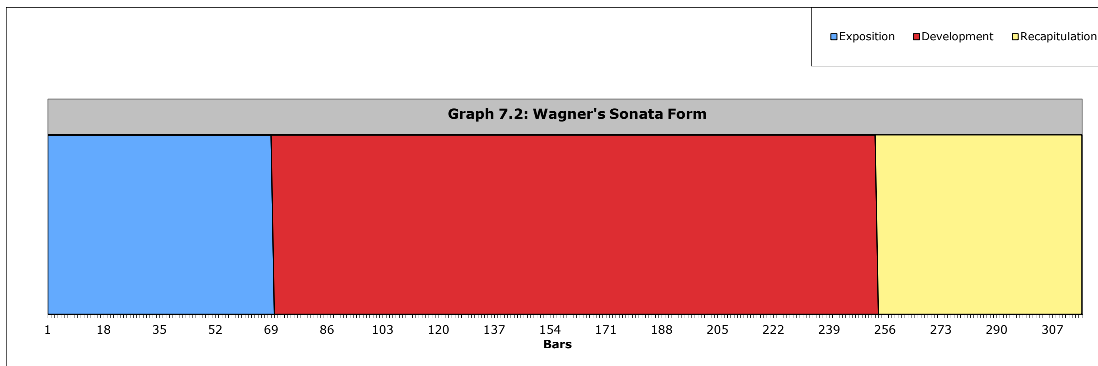
1st Subject: theme	**Climax**
b. 162	b. 207
G# minor – C minor	Vii°7/b

Recapitulation: Bars 225-316

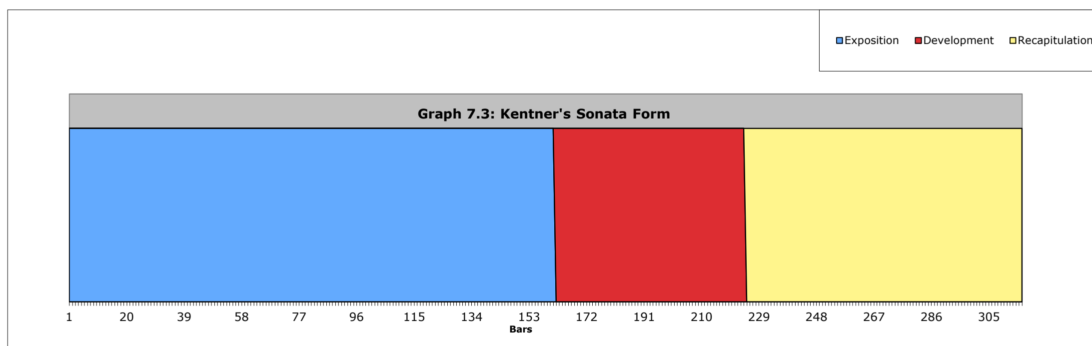
2nd Subject	**1st Subject**	**2nd Subject**	**Coda**
A piacere	Co-theme/Theme	Theme & Co-theme	Co-theme
b. 225	b. 235 / b. 254	b. 284	b. 302
B major	B maj.-Eb maj.-V/B –B major	B major	B major

[33] *Ibid*.

Graph 7.2: Liszt, *Second Ballade*, Wagner's Sonata Form



Graph 7.3: Liszt, *Second Ballade*, Kentner's Sonata Form



Although at first the consideration of each section's length appeared to be too statistical, in reality it was closely related to how performances were shaped in terms of intensity and of narrative time. In an attempt to seek insights on how the so-called Lisztian performers dealt with style, with the musical score, and with shaping I referred to Kentner's own recording, which was also first recording of Liszt's *Second Ballade* (1938).[34] Kentner studied piano with Arnold Székely at the Budapest Academy who was a student of one of Liszt' most favored students, István Thomán.[35] This is not to argue that Kentner was a direct descendant of Liszt's aesthetic approach to performance. It would be somewhat inappropriate given that Liszt's students were known for the variety in their performance styles as Liszt was always promoting and encouraging originality. However, Kentner's pedagogical descent and artistic influences could reveal the performing philosophy of his contemporaries that in turn, could have derived from Liszt. According to Bryan Crimp, Kentner's way of approaching and

[34] Bryan Crimp, notes to Louis Kentner, *The pioneering Liszt recordings* (1996), CD, Appian Publications and Recordings, APR 5514, pp. 4-5. Kentner's contribution to the *Lisztian* pianists was also accredited by Constant Lambert, another well-known committed *Lisztian* pianist of the time, who thought of Kentner's playing as of exceptional quality and full of remarkable intelligence and musical instinct.
[35] *Ibid*., pp. 4-10. Kentner (1905-1987) also studied with important musical personalities such as Leó Wiener, Hans Koessler and Zoltán Kodály. In 1932 he took fifth place in the International Chopin Competition in Warsaw, and in 1933 he was awarded third prize in the first Liszt Competition in Budapest.

interpreting a musical work can be understood through his musical philosophy: "it was his passionate belief that the pianist should be the dedicated mouthpiece of the composer. The idea of imposing his personality upon the music was anathema to him."[36]

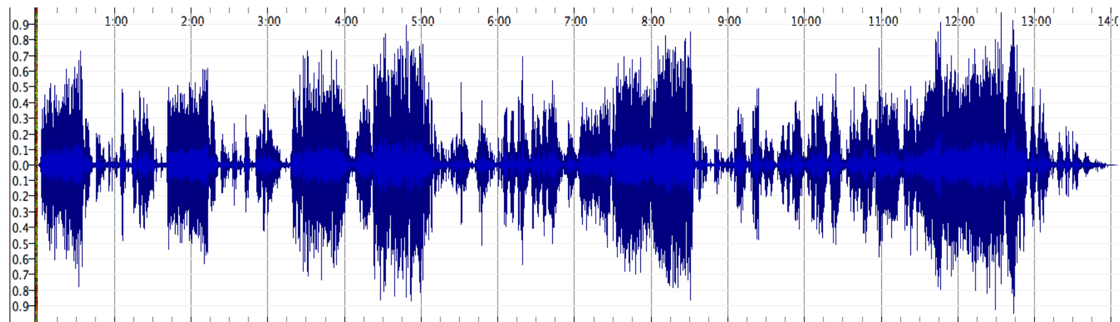
Indeed, Kentner's recording revealed persistence in remaining faithful to the directions and expressive markings of Liszt, as well as to pedalling, to phrasing and to dynamics. Right from the start there was a very specific approach to pedalling as to separate the dominant from the tonic. The inner voice was not always projected. However, the variety in colours evoked appropriateness of character in relation to register and texture. The mood and character were also greatly reflected on and translated into liberties in regards to *tempo*. Kentner's understanding of how *tempo* corresponded to the work was established from the beginning as evidenced by the contrasting treatment of character of the *Allegro-moderato* opening theme and the *Allegretto* theme. During the repetition of the first 34 bars Kentner slightly stretches the rhythm in bar 47 to emphasise the distinct difference in the melody. In general though, the treatment of thematic material was almost identical. *Allegro deciso* was very precise in *tempo*. This created a nice contrast between the *Allegretto* which had just concluded. Following, there was a very distinct difference between the *agitato* and *tempestuoso* broken octaves. *Tempestuoso* was much more aggressive in character in preparation of the first climax. The climax was constructed on very broad chords with emphasis on sudden phrase endings as Liszt implied by providing rests. A very contrasting approach was then followed for *a piacere*: much more relaxed with quite a few liberties in regards to *tempo*. The chorale was even freer both in *tempo* and in spirit. Now each transformation of *Allegro-moderato* was becoming more dramatic evoking a growing struggle, by experimenting with different colours and quality of sound, by applying more pedal in various places, by projecting even more the significant moments, by involving the LH-accompaniment in certain places instead of other, and by emphasising the sudden endings. The *Allegretto* chorale, on the other hand, remained much freer and with certain rhythmic flexibility, full of lightness and sensitivity. In particular, during the chorale Kentner moved the phrase direction forward whereas he had the tendency to stretch the time during significant moments or climaxes.

Below is a visual representation of Kentner's recorded performance. The horizontal axis is calibrated in minutes and seconds representing the duration of the performance, and the vertical axis shows frequency, indicated by a scale in Hz on the left, representing the volume of the performance. The listening experience of Kentner's performance of the *Ballade* revealed that his attempt to unfold a story was filtered through an understanding of how

[36] *Ibid*., p. 5.

tempo considerations worked in conjunction to performance related matters that would reveal differentiation of moods and characters. In turn, dynamics took a different meaning and were subtly different each time there was a repetition or a transformation of thematic material, or when a new theme appeared. The appearance of *Allegro-moderato* in B major for example, had a much more majestic approach, down-to-earth realisation, and brighter sound. Thus, dynamics, pedalling, and articulation were adjusted accordingly.

Sonic Shape 7.4: Liszt, *Second Ballade*, Louis Kentner



7.3.iii. Arch Form

An alternative reading is also suggested based on the relationship of the first and second subjects, on the tonal structure of the work, but most importantly on how narrative time is spaced out during performance (see Table 7.5). It is worth noticing the minor 3rd relationship in this form based on the key area each section begins (sections A and B: B-D, sections A and C: B-G#, sections C and B: G#-B and sections C and A: G#-B). As already discussed the tritone relationship between sections B and C, D-G#, was not an unusual technique for Liszt like for example in the opening theme of his Apres *une lecture de Dante.* Based on the Arch form, the preparation of the climax starting in bar 199 led to the climax in bar 207 based on a tritone relationship. Liszt applied the Arch or Cyclic form in a number of other works. The general preface of the *NLE* points out that the *NLE* presents all of Liszt's musical works "…in a form which will satisfy all musicological and practical requirements."[37] The *Second Ballade* can be found in Series I – works for solo piano, Volume 9 – Various Cyclical Works. This includes: *Huit variations, Apparitions, Harmonies poetiques et religieuses, Consolations* and the first *Ballade.* Therefore, this is an additional clue to Liszt's intention to give the *Ballade* an Arch or a Cyclic form.

[37] Gardonyi and Szelenyi, preface to Ferenc Liszt, *New Edition of the Complete Works: Series I Works for Piano Solo,* vol. 9, p. VII.

Table 7.5: Liszt, *Second Ballade*, Arch Form

A	**B**	**C**	**B**	**A**
1st Subject: theme & co-theme / transition (*allegro deciso*)	2nd Subject: *a piacere* / co-theme	Development: theme – climax	2nd subject: *a piacere* / co-theme	1st Subject: theme & co-theme
bb. 1-134	bb. 135-161	bb. 162-224	bb. 225-253	bb. 254-316
Starting on B minor	Starting on D	Starting of G# min. - different key areas - V/B	B major	B major

Here it is argued that the Arch form serves well the intensity direction of the piece and the understanding of narrative time in constructing a musical narrative. August Göllerich in his diary of Liszt's master classes mentions that Liszt asked for the sextuplets in bar 207 to be played very broad and therefore to emphasise the tritone. In contrast, he had asked to take the *grandioso* theme in bar 184 very rapidly.[38] This suggests that Liszt thought of the second climax as the most dramatic one, whereas the last one was conceived more as a realisation of everything that had proceeded. The fact that the last climax is the only one marked 6/4 just like the opening theme also calls for a different treatment. Based on the dynamic peaks shown in Table 7.6 below, the first climax occurs in the first transformation of the theme in F# minor (bar 113). This is the end of section A which according to Liszt's directions the performer is expected to drop the dynamic level from *ff* to *p* at the beginning of the *a piacere* melody (bar 135). This happens only within the few bars of the transitional passage marked *espressivo*. The second climax occurs in bar 207, which is based on the tritone and is marked *fff.* This is the end of section C in which Liszt also expects the performer to drop the dynamic level from *fff* to *p*. Once again this occurs only within the few bars of the transitional passage, before the start of the second subject marked *rubato* and *appassionato.* The last climax occurs in the last transformation of the theme marked *grandioso*, it starts *ff* in bar 284 and rises to a *fff* in bar 292. During this last time the performer is expected to drop the dynamic level to a *pp* and end the piece. The dynamic markings of bar 302 make the task of the performer even more difficult as after the *sf* on the F# octave, there are only three bars within which the performer is expected to change to a *dolce espressivo* character and use the *una corda* as well. In addition, Liszt uses a method of cyclic rhythmic motion for every dynamic peak that contributes to building up the momentum; that is, he builds up to a full rhythmic activity and within a few bars he drops to almost nothing. Therefore, the cyclic motion of the dynamics, of

[38] August Göllerich, *The piano master classes of Franz Liszt, 1884-1886: diary notes of August Göllerich*, trans. Richard Louis Zimdars, ed. Wilhelm Jerger (Indiana: Indiana University Press, 2010), pp. 39-40.

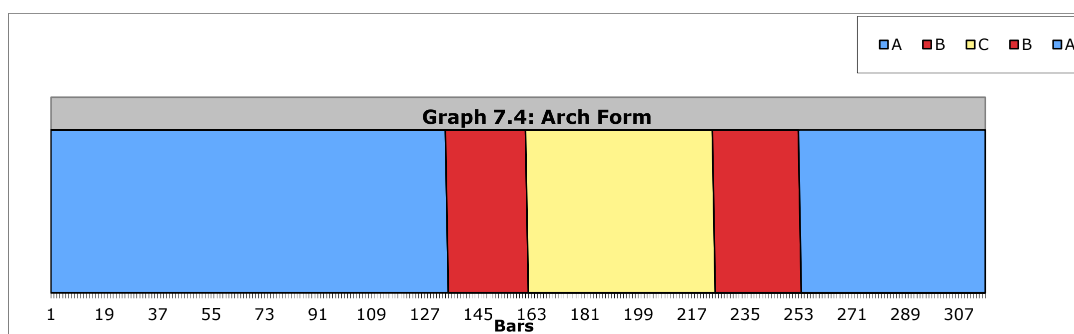
the rhythmic activity and of the texture in combination with the general arch form could suggest that the Arch or Cyclic form was indeed intentional.

Table 7.6: Liszt, *Second Ballade*, Arch-shaped Climaxes

Dynamic	*p*	*ff*	*p*	*p*	*fff*	*p*	*p*	*ff/fff*	*pp*
Bar Number	1	113	134	135	207	224	225	284	END
Time Signature		4/4			4/4			6/4	

The last piece of evidence supporting the proposition that the Arch form was intentional is Liszt's choice of ending for the piece. The preface of the G. Henle Verlag edition (1996) mentions that, Liszt wrote three closing sections for the piece starting in bar 301.[39] The first two endings are simply a *fortissimo* continuation of the last climax whereas the third and "official" ending of the work is once again a sudden drop of dynamic and rhythmic activity only within three bars.[40] This ending is much shorter than the rest and ends *pianissimo*. Liszt's final ending changes completely the compositional conception and thus, the shaping of the work. Not only does it suit the intensity structure found in each section, but it also creates a feel of redemption in contrast to a more *grandioso* ending that gives a sense of triumph.[41]

Graph 7.4: Liszt, *Second Ballade*, Hadjiandreou's Arch Form



[39]Rena C. Mueller and Ernst-Gunter Heinemann, [1854], preface to Franz Liszt, *Balladen* (New York, Munich: G. Henle Verlag, 1996), p. v.

[40] A manuscript of Liszt's *Second Ballade* including the second ending and all of Liszt's corrections are available online in the Julliard Manuscript Collection: http://www.juilliardmanuscriptcollection.org/composers.php#/hires/LISZ/LISZ_BAL2

[41] The complete *Second Ballade* including the first two endings can be found in: Franz Liszt, *Balladen*, ed. Rena Charnin Mueller and Ernst-Gunter Heinemann (New York and Munich: G. Henle Verlag, 1996), pp. 14-41.

To conclude, a broader concept of practice that goes beyond the time spent in physical engagement relating to the practicalities of keyboard technique was encouraged. The discussion of my narrative interpretation of the work emerged from a generative understanding that performance interpretation creates rather than reproduces musical structures. Part of this chapter has also been to reflect on formal understandings provided by pioneer performers of Liszt's *Second Ballade* and to examine whether their interpretational ownership can be projected through their performances, in the cases where performances were available. It also examined whether their structural interpretations, that is, the interpretation of their predetermined structures of the piece, were passed on through their performances, or whether structure can only inform the actual performance. At a theoretical level, the results of Chapters Six and Seven could reveal a faulty conclusion: that Chopin's Op. 23 and Liszt's *Second Ballade* share a common structural idea that derives from an understanding of intensity and climactic processes. The shape of performances as shown in their sonic representations revealed that the specific narrative is based on a linear evolution of three climactic processes, which point toward the final one. However, the actual practice and performance of the works as made obvious by the composer's notations and textures revealed a narrative thread which unfolded through the mood and character of each climax rather than its significance as an individual temporal event. This evoked the idea that Chopin's directional goal was toward the third climax whereas Liszt's was toward the second one. The dramatic trajectory of Liszt's second climax was also made obvious by the development of thematic transformation and their role in preserving and in projecting the narrative thread. On the other hand, the dramatic trajectory of Chopin's third climax was not only made obvious by its perpetual texture but more importantly by the fact that new material was being introduced only moments before the work's conclusion. Table 7.7 presents the general harmonic structure of the work and the different sections as marked in the score, based on rhythmic and tempo changes as well as on double bar-lines implying a change of key. It also includes all formal types that were explored in section 7.3.

Table 7.7: Liszt, *Second Ballade*, Possible Structural Readings

Measure:	**1**	**20**	**24**	**36**	**55**	**59**	**70**	**96**
Liszt's sectionalizations:	Allegro moderato	Lento assai (transitional passage)	Allegretto	Tempo I	Lento assai	Allegretto	Allegro deciso	
Key:	B min.		F# maj.	Bb min		F maj.	D min.	F# min.
Time signature:	6/4	4/4	4/4	6/4	4/4	4/4	4/4	4/4
Dynamic peaks:							b. 82-91 *f* – piu cresc.	*ff* (b.113) *ff* (b.119)
Expressive markings:	Marcato, rinforz. molto		Dolce, smorzando			Dolce	Marcato, rinforz.	Agitato, tempestuoso
Episodic Form **Sonata Form: A** **Sonata Form: B** **Arch Form**	**Episode 1** **Exposition: A** **Exposition: B** **A**			**Episode 2**			**Episode 3** **Development: B**	

Measure:	**129**	**135**	**143**	**162**	**181**	**225**	**234**
Liszt's sectionalizations:	(Transitional passage)	A piacere	Allegretto	(Theme transformed: mf)	(Theme transformed: f)	(a piacere melody)	Allegretto
Key:		D maj.	D maj.	G# min.	C min.	B maj.	B maj.
Time signature:	4/4	4/4	4/4	4/4	4/4	4/4	4/4
Dynamic peaks:					*fff* (b.207)		
Expressive markings:	Espressivo	Cantando	Dolce	Agitato	Tempestuoso, stringendo	Appassionato, delicatemente, smorzando	Dolce placido
Episodic Form **Sonata Form: A** **Sonata Form: B** **Arch Form**		 **B**		**Episode 4** **Development: A** **C**		 **Recapitulation: A** **B**	

Measure:	**242**	**250**	**254**	**268**	**284**	**298**	**298**	**305**
Liszt's sectionalizations:	(allegretto melody)	(allegretto melody)	Allegro moderato	Un poco piu mosso	A tempo (allegro moderato)			Andantino
Key:	Eb maj.	V/B maj.	B maj.	V/B maj.	B maj.			
Time signature:	4/4	4/4	6/4	4/4	6/4	4/4		B maj.
							4/4	4/4
Dynamic peaks:					*ff* (b.284) *fff* (b.292)	*sf* (b.302)		
Expressive markings:			Cantabile	Precipitato, rinforzando	grandioso		Dolce espressivo, smorzando	
Episodic Form **Sonata Form: A** **Sonata Form: B** **Arch Form**			**Episode 5** **Recapitulation: B** **A**					 **Coda**

8. Reflections on Conclusions

The aim of this thesis has been to define and defend the particular, non-substitutable ways in which the performer shapes musical works through time (and "in the moment") so as to generate, as well as elucidate, interpretations. It has attempted to uncover them through the interrogation of theories, through specific music examples, through interviews with pianists, and through the detailed analysis of particular performances and rehearsal processes, showing just how complex transactions between critical interpretations and emergent performative interpretations can be. These insights have themselves been further tested against the repertoire of the piano ballade, a genre that, as its title implies, is infused with the notion of narrative import and offers important performance challenges of revelation, construal and persuasion.

Since narrative elements in music have different connotations according to the background historical unfolding of the relationship between Ideas and Music, the evidence for the development of the piano ballade and the meanings of its narrative conventions and structural ambiguities have been placed in the framework of the changing aesthetic attitudes towards programme music in the first half of the nineteenth century. It has been established that not only did the genre of the piano ballade constantly evolve during that period, but its tendency to play with structural ambiguity, and to be associated with poetic and literary forms, encouraged a special kind of partnership with the performer, one that created strong opportunities for a range of individualistic, vivid and virtuosic performances – performances that were virtuosic not just in terms of technique but also in relation to emotive display and characterisation.

Structural ambiguity and its possible meanings as understood in nineteenth-century music-making were central aspects that lent freedoms to the act of performative interpretation. This revealed the idea that it is the composer's expressive ambiguity which extends into and reflects onto the harmony and treatment of thematic material. It also exposed how such attitudes played out in radically different ways in relation to piano works by Chopin, Schumann and Liszt that formed part of this study and which are also included in the recital that accompanies this thesis. Out of this came the idea that musical narrativity was the product of a new agenda of musical aesthetics in European thought which enabled the performer to make far-reaching decisions relating to performance interpretation. The sheer range of performative interpretations that are made possible through the structural and expressive ambiguities of the piano ballade, is precisely what has made the study of Chopin

and Liszt's teaching and performing traditions important for this investigation.[42] The impact of teaching genealogies, of generational chains of apprenticeship, of an understanding of the aesthetic influences on the composers' general work and style, and of how that in turn defined their artistic tendencies, was part of examining the kind of creative knowledge that assists today's performers in forming interpretations. These considerations moved on the basis that the process of the "making of a performer" acts upon the "making of interpretations" either consciously or subconsciously, through years of experienced practising, playing and listening, and they brought to the surface many factors that contribute to turning those interpretations into effective performances. Thus, observing and documenting the ways in which interpretations emerged during critical practice and performance explained some intuitive as well as creative responses to the musical score. It also clarified aspects of how performances could be analysed and theorised by employing recent methodologies of the discipline of performance studies. The final step was to develop and test those findings against a series of case studies of performance approaches to particular works by Kullak, Chopin, and Liszt.

Therefore, the idea of investigating what evokes a narrative impulse has been explored on three levels: on theorising (Chapter Four), on practising (Chapters Five and Six), and on performing musical narrativity (Chapter Seven). Kullak's *Lénore*, Chopin's Op. 23, and Liszt's *Second Ballade* were the main case studies which were examined, each one from a different perspective. This established characteristics of musical narrativity, it examined whether their existence promises the projection of an unfolding story, and it moved forward by suggesting possible ways through which a narrative impulse may be achieved during performance processes. The general mood of a work, the large-scale tonal relationships, the interplay and transformation of themes, the uneven phrasing and the variety in the expressive markings, the variety in articulation that imply a certain character instead of another, the general direction of climaxes, the rhythmic contrasts that could imply narrative versus dialogue, and the understanding of rhythm, meter and pulse, were only some of the elements of musical language and expression that were revealed during the quest of what allows a musical narrative to emerge.

In particular, the investigation of Kullak's *Lénore* exposed common elements that were also observed in Chopin's Op. 23 and in Liszt's *Second Ballade*. Such elements included the contrasting thematic material and its repetitions, the textual differentiation, and the uneven phrasings. But although a critical view did establish some kind of a relationship between the structural functions of Bürger's *Lenore*, which in turn revealed a narrative logic in the

[42] See: Chapter Three, pp. 52-61.

composition of Kullak's *Lénore*, it was determined that such an approach could not promise a narrative impulse in performance in the absence of the performer. In other words, the narrative techniques which were suggested to have influenced Kullak's conception of *Lénore* could not be effectively displayed in the absence of a performer. This led to the study of Chopin's Op. 23 and of Liszt's *Second Ballade* by promoting a possible understanding of musical narrative as and in performance. This brought to the surface the possible ways thematic material should be treated differently given their specific place within the work, how textual differentiation is achieved and the choices performers make in determining which elements need to be emphasised at what point and why, and what do the composer's notation and expressive markings mean for today's performers. All these decisions operated in combination to act upon performance-relevant matters, which in turn allowed a narrative character to come forward. Such matters included the shape and timing of a motive within a phrase, a phrase within a section and a section within the work, and the momentum with which the intensity curve is constructed towards an ultimate point of direction. This was based on the presupposition that the purpose of musical performance is the projection and communication of an unfolding musical experience to the audience. Therefore, this established a distinction between critical views on how a musical narrative is expressed within the notated score, from how a musical narrative comes out of performance processes, in other words, as human experiences.

Thus, so far I have outlined the emergent findings of this thesis and how those findings developed further my argument about how a performer might engage with the supposed narrative elements of specific piano ballades so as to sustain a narrative realisation of music. The conclusions were filtered through an established central idea that performative principles contribute to the shaping of effective performances and performative interpretations. But what was the reason that instigated a special research interest in understanding what musical narrativity might be at this particular moment? The answer can be found in my broader argument regarding the metaphorical understanding of the nature of musical narrative which suggests a more general connection to the nature of instrumental music; that is, the notion that all music, but most importantly musical performances and performative interpretations, can have narrative aspects in a similar manner to the way in which language can be said to have musical ones. Here I offer a new aesthetic understanding of what musical narrative might be, an understanding which coincides with questions that arise from the discipline of performance studies, and from what today's performers actually do while forming interpretations and shaping performances. It is my argument that performance studies can be better understood as a discipline driven by and based on human experience in the same way musical narrativity exists through and because of performance-related processes. Specifically, the past several

decades have witnessed an explosion of interest in narrative in a wide range of disciplines and research contexts.[43] This sudden narrative turn inevitably had an influence on various aspects of music as well, particularly because literature and music move parallel to or with similar aesthetic developments, although they do not share common avenues for expressing "meaning". To this end, a similar explosion of interest has been noted in performance studies in recent years. Thus, my broader argument is that both narrative as well as performance studies were born out of a common need to understand foundational terms, concepts, and approaches through human experiences that unfold based on time-dependent processes. In respect to musical meaning, such experiences are achieved through performative methods that have a generative, reproductive but most importantly, re-creative role in the shaping of performances.

The difficulty with a narrative approach to musical works such as the ballades, which already have enough narrative import, was not to prove whether a specific story fits the musical narrative or not but rather, to explain how a musical narrative is better achieved and communicated. As it has been established, the composers' aesthetic perception of what musical performance is and what purposes it serves, was embodied in their musical notations and this in turn revealed the idea that their musical language was infused with a narrative logic that could be better realised during the practice and performance of the works in question. It was this particular approach that enabled me as a performer to think in creative ways of treating the musical material so as to evoke a musical narrative. But it is one thing to talk or think about music and its possible meanings and another to experience it, to describe the ways in which it is experienced, or to express how musical meaning is communicated from the performer's viewpoint. It is stressed that, although one of the main goals of this thesis was to document and explain how music is experienced while creatively and critically practising or performing, musical perception does not follow the logic structures of verbal realisation. Inevitably, the verbal expression of musical considerations could never fully satisfy the curiosity nor the expectations of the reader. This is in fact intriguingly significant in relation to/concerning musical performance; that the listener need not read about it and form a detailed understanding on how it is achieved in order for the experience to take place. Musical experience requires, but at the same time invites, critical and creative involvement, which in turn creates responsive behaviours both for the performer as well as for the listener. Especially in the case of performers, it is often hard or almost impossible to listen to a musical work without critically evaluating an interpretation, thus without participating in this

[43] See: David Herman, *The Cambridge Companion to Narrative* (Cambridge: Cambridge University Press, 2010), pp. 3-21.

perplexing experience. Consequently, the unfolding of a musical work as a musical narrative becomes the unfolding of the musical experience.

Then, what is musical narrative about after all? Herman suggests that in literature, narrative definitions should be concerned with: 1) problem solving, 2) conflict, 3) interpersonal relations, 4) human experience, and 5) temporality of existence. "Narrative, in other words, is a basic human strategy for coming to terms with time, process, and change – a strategy that contrasts with, but is in no way inferior to, "scientific" modes of explanation that characterize the phenomena as instances of general covering laws."[44] In respect to music, I have argued that in order for a musical narrative to be revealed more effectively, it should be explored as a practice and performance-related experience so that its possible meanings can be understood in relevance to the methods employed by performers while shaping interpretations. As a result, a combination of preconditions should take place for musical narrative to exist so as to promote meaning in performance interpretations. Specifically, there should be a conflict of thematic material which in turn should evoke a need for the performer for problem solving. Such problem solving is implied by thematic relations, tensions and developments that form some of the necessary ingredients for the construction of an "emplotment", that is, of a compositional strategy by which situations and events are linked together to produce a plot. And based on those ingredients, ambiguity in structure, in expression, and thus in performance interpretations, create circumstances by which performers experience critical practice and creative performance so as to evoke musical narratives through performative principles.

Therefore, my arguments about the performer's contribution to the understanding of musical narrativity through the shaping of interpretations, especially in the cases of Chopin and Liszt, were centred mostly on the idea that narrativity is an attribute of on-going development; as if telling a story or developing a theme, but not necessarily involving "story/thematic content". Thus, narration became the act of story-telling or of presenting a sequenced argument, through the processes of practice and performance. The case of Kullak's *Lénore* entailed a contrasting approach to begin with, in an attempt to test whether a musical narrative could exist at a purely theoretical level. This so happened because part of my argument was to illustrate that the story of Bürger's *Lenore* was in fact the content of Kullak's *Lénore*, which in turn revealed the composer's initial attempt to re-enact and translate that specific story into the score rather than through its performance. Out of this came the idea and the need to

[44] Herman, *The Cambridge Companion to Narrative*, p. 3.

explore the performers' contributions to possible narrative realisations of the work's performances.

Certainly, performers do not seek scientific explanations while formulating understandings of musical works or while perceptually engaging with performance processes relating to the experiencing of music. New questions are constantly being born which were also addressed throughout the thesis. Such questions were: 1) do we need pinned-down definitions to understand musical narrative? 2) to what extent should definitions rely on implicit elements? 3) how important is a definition in the understanding of musical narrative? 4) are the conditions of existence of narrativity more essential in the creation of performance interpretations rather than definitions? 5) are those conditions understood only through the ways we as performers experience and shape musical performances and therefore, are performative experiences a presupposition for the existence of a musical narrative?

To conclude, the ways in which we have traditionally anchored our views of musical interpretation in a linear model moving from the intentions of the composer to the understanding of the listener, through the (almost) neutral conduit of the performance have greatly undersold the creative and constructive aspects of performance. Moreover, recent developments in theory have tended to privilege performative meanings in relation to understanding the performance as an event, or the performer as a unique bodily presence, or the performance as a physiological or phenomenological experience, rather than in relation to its role in the creation and emergence of the specifically musical content. By exploring the distinct musical meanings of performative narrativity, this study invites further nuanced investigations into how musical narrativity is felt and constructed by performers in ensembles and through rehearsals, as well as how it might affect the experience of music in other cultural contexts and musical traditions. After all, for all human beings musical performance is a type of experience, which is itself time-dependent and usually goal-directed. During such experiences the narrative impulse will always be strong, and the sonic and somatic aspects of its revelation will always be difficult to keep apart.

Appendix

LEONORE[1]
Gottfried August Bürger

1.From heavy dreams, sprung from her bed
Leonore at break of day —
"Oh, Wilhelm ! art thou false or dead ?
Thou bid'st so long away."
He went with Frederick's battle-might
To Prague, into that dreadful fight;
And news came none how he had fared,
Struck by a soldier's fate, or spared.

2. The Kaiser's Consort and the King,
With weary battling worn.
To thoughts of rest their hearts did bring,-
Bade times of peace return.
The hosts, with song and joyous hum,
With blare of trump and beat of drum,
Crowned with green boughs so gay,
Stream'd to their homes away.

3. And all abroad, all far and near,
On every road and lane,
Rushed old and young with cries of cheer,
To greet the homeward train.
"Thank God I" —the wives, the children cried ;
"Welcome !" — sobb'd many a happy bride :
But ah! for hapless Leonore
Nor kiss nor bliss was there in store.

4. Along the marching line she sought
For every name she knew,
Yet none was there who tidings brought
Of all that moving crew.
And when the fruitless task was o'er,
In wo her raven hair she tore,
And flung her earthwards there
With gestures of despair.

5. Then to her ran her mother pale;
" Have mercy, God I" she cried, —
"My darling child, what dost thou ail?"
And strain'd her to her side.
" Oh mother, mother, wo is wo I
The world and all it holds may go!
God has no mercy, none —
All that I prize is gone."

6. "O help, God ! help, nor quit us quite :
Child, straightway say thy prayer ;
What God does, that is always right :
O God, in mercy spare!"
"O mother, idly argue ye ;
He has not rightly done by me :
What would my prayer avail ?
It cures not what I ail."

7. "O God, my child ! He helps *his* child —
Our Father there in heav'n ;
And grief to soothe, however wild,
His sacrament is given."
"Mother, no sacrament can heal
The bitter sorrow that I feel ;
No sacrament can gain
The dead to life again."

8. "But, child, what if thy Wilhelm now
In far off Hungary
Have cast aside his plighted vow
For a new wedding tie ?
Then let, child, — let his false heart go ;
He never will be happy so :
When soul and body part
He'll rue his perjur'd heart."

9. "O mother, mother, wo is wo,
And lost is lost for ever !
By death comes peace, and only so ;
O born had I been never !
Go out, go out, my bootless light !
Die, sink in black and endless night !
God has no mercy, none —
All that I prize is gone."

10. "O help, God ! spare her — judge her not !
Mild on thy daughter look !
She utters wild she knows not what :
Write it not in thy book.
O child, forget thy earthly love,
And think on God and bliss above ;
And Heav'n shall crown thy vows
With that celestial spouse."

[1] John Murray, *Verse Translations*, (Cambridge University Press, 1947), pp. 1-10.

11. "O mother, what is bliss above ?
O mother, what is hell?
'Tis bliss to be with him I love,
To want him is my hell.
Go out, go out, my bootless light !
Die, sink in black and endless night !
Without him, all below—
And all above —is wo."

12. "So through her brain, through heart and vein,
Despair ran raging high ;
She chid and strove with Providence,
And in His face did fly.
She wrung her hands, she beat her breast,
Until the sun was gone to rest,
And all the starry eyes
Lookt from the solemn skies.

13. And hark without ! 'tis trot, trot, trot;
A horse-hoof clatters there,
And rattling off the horseman got,
Just at the outer stair.
And hark! and hark! the entrance-bell
Bings ting, ting, ting, — she knows it well ;
And through the door's thick boards
Come plain and clear the words :

14. "Holla ! holla ! my love, undo !
What! are you wake or sleeping ?
Do you love me as I love you ?
And are you glad or weeping?"
"Ah ! Wilhelm, thou ! so late at night :
O, I have watcht and wept outright,
Tortured beyond my strength:
Whence comest thou at length?"

15. "*We* saddle hard on midnight's sound,
And from Bohemia's plain
I started late, and I am bound
To take thee back again."
"Ah, Wilhelm! first come hither in ;
The wind whirrs through the hawthorn keen ;
My arms with loving fold
Shall warm thee from the cold."

16. "Let keen wind through the hawthorn whirr —
Whirr, child! as whirr it may,
My charger paws, and clanks my spur,
And here I may not stay.
Come, busk and bind, and spring behind, —
Here on my steed good room you'll find ;
A hundred miles to-night I fly.
To reach the bed where we must lie."

17. "What, still a hundred miles to run
Before our bed is found?
And hark I the eleven already gone,
I hear the lingering sound."
"Tut! look abroad — the moon shines bright ;
We and the dead ride fast by night,
I bet my life our bed is won .
Before to-day is past and gone."

18. "But say, where is thy chamber, say.
And what is the make of thy bed ?"
"Small, still, ,and cool, — ^far, far away, —
Six boards, and a foot and a head."
" Will it hold me ?" " Room, room, thou'lt find.
Come, busk and bind, and spring behind ;
The guests our coming wait.
And open is the gate."

19. She has girt her close, and up she hied
Upon that steed behind,
And about her darling trooper's side
Her white arms she did wind :
And away, and away! with tramp and clang.
In a headlong gallop along they sprang ;
And horse and rider blew.
And sparks and splinters flew.

20. To the right and the left, as she might see,
All fast as they could go,
Flew back road-side and hedge and tree.
And each bridge rang hollow below.
"Do you fear, my dear? the moon shines bright
Hurrah ! the dead ride fast by night :
Dost fear the dead ? — not thou !"
"No — but name them gently now."

21. But what is the noise of metal and voice,
And of ravens over head?
'Tis the bell's ding dong; 'tis the funeral song —
"To the dead we give the dead."
And now the burial train past by,
And bier and coffin they bore on high :
The song was not like men,
But the croakers of the fen.

22. "Ye can bury your dead with your wonted rite,
When the midnight hour is o'er ;
But I bear my young wife home to-night,
Come on to my chamber-door ;
Come, Sexton, come ; come. Choir, along,
And tune your throats to my bridal song :
Sir Priest, let* the blessing be said,
When we lay us down in our bed."

23. Still'd was the song- — the bier was gone,
And round the black train wheels ;
And all came hurrying, hurrying on,
Close to the horse's heels :
And away, and away ! with tramp and clang,
In headlong gallop they onward sprang ;
And horse and rider blew,
And sparks and splinters flew.

24. On the left and right, to the dazzled sight,
Flew hill and dale and flood, —
Flew right and left, and left and right,
Village and town and wood.
"Dost fear, my dear ? the moon shines bright :
Hurrah ! the dead ride fast by night :
Dost fear the dead ? — not thou !"
"Ah, name them gently now !"

25. But see, see there! — 'tis the place of doom,
And round the grisly wheel
A rabble rout in the moonlight loom,
And in airy circles reel.
"Thou rabble rout that there I see !
Come, wheel about and follow me :
Dance us a dance at our wedding,
When we come to the time of the bedding."

26. And whish, whish, whish, — the rabble rout
Come rustling close behind,
As when the dry leaves rustle about,
Whirl'd by the wintry wind.
And away, and away, with the clattering steed,
In headlong gallop along they speed ;
And horse and rider blew,
And sparks and splinters flew.

27. And all that lay in the moonlight blue,
Just seen, was instant far;
And over head fast backward flew
The vault and every star.
"Dost fear, my dear ? the moon shines bright :
Hurrah! the dead ride fast by night:
Dost fear the dead? — not thou!"
"O name them gently now !"

28. "List! list! is that the cock's crow there ?
Our sand is run e'en now :
Uft ! uft ! I scent the morning air; —
Down from the saddle, thou I
Our race is run, our work is sped,
And here we find our wedding bed :
The dead ride fast by night —
WeVe reacht the place aright."

29. Lo ! an iron gate ! and against its grate
With undrawn rein went they ;
He toucht it with his whip, and straight
Both bolts and bars gave way.
With griding jar it entrance gave,
And the way led on o'er many a grave ;
In the moonshine o'er the ground
The grave-stones gleam'd around.

30. Ho ! see him in an instant straight
A horrid sight display, —
His harness moulders plate by plate,
Like tinder-rags, away ;
Before, behind, his locks are gone,
His head's a skull of naked bone ;
A skeleton in every limb,
He glares with scythe and hour-glass grim.

31. The steed rear'd high, and snorted out,
And breath'd with flaming breath,
And quick! 'twas vanisht into nought,
Its rider's form beneath :
A howling came upon the gale,
And from below a dismal wail ;
Leonore, with heart and breath,
Gasp'd between life and death.

32. And now beneath the moon's pale glance,
Careering roimd and round,
The spectres wove, their grisly dance,
And howl'd their dismal sound :
"Learn patience, learn ! whate'er betide,
Blame not thy God, nor with Him chide !
Thou art freed from thy body's thrall,
On thy soul may mercy fall!"

LENORE[2]
Gottfried August Bürger

1. Lenore fuhr ums Morgenrot
Empor aus schweren Träumen :
"Bist untreu, Wilhelm, oder tot ?
Wie lange willst du säumen" –
Er war mit König Friedrichs Macht
Gezogen in die Prager Schlacht
Und hatte nicht geschrieben,
Ob er gesund geblieben.

2. Der König und die Kaiserin,
Des langen Haders müde,
Erweichten ihren harten Sinn
Und machten endlich Friede ;
Und jedes Heer, mit Sing und Sang,
Mit Paukenschlag und Kling und Klang,
Geschmückt mit grünen Reisern,
Zog heim nach seinen Häusern.

3. Und überall, allüberall,
Auf Wegen und auf Stegen,
Zog alt und jung dem Jubelschall
Der Kommenden entgegen.
"Gottlob" rief Kind und Gattin laut,
"Willkommen!" manche frohe Braut.
Ach! aber für Lenoren
War Gruß und Kuß verloren.

4. Sie frug den Zug wohl auf und ab
Und frug nach allen Namen ;
Doch keiner war, der Kundschaft gab,
Von allen, so da kamen.
Als nun das Heer vorüber war,
Zerraufte sie ihr Rabenhaar
Und warf sich hin zur Erde
Mit wütiger Gebärde.

5. Die Mutter lief wohl hin zu ihr :
"Ach, daß sich Gott erbarme !
Du liebes Kind! was ist mit dir?"
Und schloß sie in die Arme. –
"O Mutter! Mutter! hin ist hin !
Nun fahre Welt und alles hin !
Bei Gott ist kein Erbarmen.
O weh, o weh mir Armen!" –

6. "Hilf Gott! hilf! Sieh uns gnädig an !
Kind, bet ein Vaterunser !
Was Gott tut, das ist wohlgetan,
Gott, Gott erbarm sich unser!" - .
"O Mutter, Mutter ! eitler Wahn !
Gott hat an mir nicht wohlgetan !
Was half, was half mein Beten?
Nun ists nicht mehr vonnöten." –

7. "Hilf Gott, hilf ! Wer den Vater kennt,
Der weiß, er hilft den Kindern.
Das hochgelobte Sakrament
Wird deinen Jammer lindern." –
"O Mutter, Mutter, was mich brennt,
Das lindert mir kein Sakrament,
Kein Sakrament mag Leben
Den Toten wiedergeben." –

8. "Hör, Kind ! Wie, wenn der falsche Mann
Im fernen Ungerlande
Sich seines Glaubens abgetan
Zum neuen Ehebande?
Laß fahren, Kind, sein Herz dahin!
Er hat es nimmermehr Gewinn !
Wann Seel und Leib sich trennen,
Wird ihn sein Meineid brennen!" –

9. "O Mutter, Mutter ! hin ist hin !
Verloren ist verloren !
Der Tod, der Tod ist mein Gewinn !
O wär ich nie geboren !
Lisch aus, mein Licht, auf ewig aus !
Stirb hin, stirb hin in Nacht und Graus !
Bei Gott ist kein Erbarmen ;
O weh, o weh mir Armen !" –

10. "Hilf Gott, hilf! Geh nicht ins Gericht
Mit deinem armen Kinde !
Sie weiß nicht, was die Zunge spricht ;
Behalt ihr nicht die Sünde !
Ach, Kind, vergiß dein irdisch Leid
Und denk an Gott und Seligkeit,
So wird doch deiner Seelen
Der Bräutigam nicht fehlen." –

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[2] Gottfried August Bürger, "Lenore", in *Deutsche Balladen*, (Germany: Carl Hanser Verlag, 1981), pp. 37-45.

11. "O Mutter ! was ist Seligkeit?
O Mutter ! was ist Hölle?
Bei ihm, bei ihm ist Seligkeit,
Und ohne Wilhelm, Hölle! –
Lisch aus, mein Licht ! auf ewig aus !
Stirb hin! stirb hin ! in Nacht und Graus !
Ohn ihn mag ich auf Erden,
Mag dort nicht selig werden." –

12. So wütete Verzweifelung
Ihr in Gehirn und Adern.
Sie fuhr mit Gottes Vorsehung
Vermessen fort zu hadern,
Zerschlug den Busen und zerrang
Die Hand bis Sonnenuntergang,
Bis auf am Himmelsbogen
Die goldnen Sterne zogen.

13. Und außen, horch, gings trap trap trap,
Als wie von Rosseshufen,
Und klirrend stieg ein Reiter ab
An des Geländers Stufen.
Und horch! und horch! den Pfortenring
Ganz lose, leise klinglingling !
Dann kamen durch die Pforte
Vernehmlich diese Worte :

14. "Holla, holla ! Tu auf, mein Kind !
Schläfst, Liebchen, oder wachst du?
Wie bist noch gegen mich gesinnt?
Und weinest oder lachst du?" –
"Ach, Wilhelm, du? - So spät bei Nacht?
Geweinet hab ich und gewacht ;
Ach, großes Leid erlitten !
Wo kommst du her geritten?" –

15. "Wir satteln nur um Mitternacht.
Weit ritt ich her von Böhmen.
Ich habe spät mich aufgemacht
Und will dich mit mir nehmen." –
"Ach, Wilhelm, 'rein, herein geschwind !
Den Hagedorn durchsaust der Wind,
Herein, in meinen Armen,
Herzliebster, zu erwarmen !" –

16. "Laß sausen durch den Hagedorn;
Laß sausen, Kind, laß sausen !
Der Rappe scharrt; es klirrt der Sporn.
Ich darf allhier nicht hausen!
Komm, schürze, spring und schwinge dich
Auf meinen Rappen hinter mich!
Muß heut noch hundert Meilen
Mit dir ins Brautbett eilen." –

17. "Ach, wolltest hundert Meilen noch
Mich heut ins Brautbett tragen?
Und horch! es brummt die Glocke noch,
Die elf schon angeschlagen" –
"Herzliebchen! komm! der Mond scheint hell.
Wir und die Toten reiten schnell.
Ich bringe dich, zur Wette,
Noch heut ins Hochzeitsbette." –

18. "Sag an ! wo ist dein Kämmerlein?
Wo? wie dein Hochzeitsbettchen?" –
"Weit, weit von hier!... Still, kühl und klein!...
Sechs Bretter und zwei Brettchen!" –
"Hats Raum für mich?" – "Für dich und mich !
Komm, schürze, spring und schwinge dich !
Die Hochzeitsgäste hoffen ;
Die Kammer steht uns offen."

19. Schön Liebchen schürzte, sprang und schwang
Sich auf das Roß behende ;
Wohl um den trauten Reiter schlang
Sie ihre Lilienhände ;
Und als sie saßen, hopp hopp hopp !
Gings fort im sausenden Galopp,
Daß Roß und Reiter schnoben
Und Kies und Funken stoben.

20. Zur rechten und zur linken Hand,
Vorbei vor ihren Blicken,
Wie flogen Anger, Heid und Land !
Wie donnerten die Brücken !
"Graut Liebchen auch? ... Der Mond scheint hell!
Hurra ! Die Toten reiten schnell !
Graut Liebchen auch vor Toten?" –
"Ach nein ! ... Doch laß die Toten!" –

21. Was klang dort für Gesang und Klang?
Was flatterten die Raben? ...
Horch Glockenklang ! Horch Totensang :
"Laßt uns den Leib begraben !"
Und näher zog ein Leichenzug,
Der Sarg und Totenbahre trug.
Das Lied war zu vergleichen
Dem Unkenruf in Teichen.

22. "Nach Mitternacht begrabt den Leib
Mit Klang und Sang und Klage !
Jetzt führ ich heim mein junges Weib ;
Mit, mit zum Brautgelage ! ...
Komm, Küster, hier ! komm mit dem Chor
Und gurgle mir das Brautlied vor !
Komm, Pfaff, und sprich den Segen,
Eh wir zu Bett uns legen!"

23. Still Klang und Sang… Die Bahre schwand…
Gehorsam seinem Rufen,
Kams hurre hurre ! nachgerannt
Hart hinter's Rappen Hufen.
Und immer weiter, hopp hopp hopp !
Gings fort im sausenden Galopp,
Daß Roß und Reiter schnoben
Und Kies und Funken stoben.

24. Wie flogen rechts. wie flogen links
Gebirge, Bäum und Hecken !
Wie flogen links und rechts und links
Die Dörfer, Städt und Flecken! –
"Graut Liebchen auch? … Der Mond scheint hell !
Hurra! Die Toten reiten schnell!
Graut Liebchen auch vor Toten?" –
"Ach. laß sie ruhn, die Toten." –

25. Sieh da ! sieh da ! Am Hochgericht
Tanzt, um des Rades Spindel,
Halb sichtbarlich. bei Mondenlicht,
Ein luftiges Gesindel.
"Sasa ! Gesindel, hier ! Komm hier !
Gesindel, komm und folge mir !
Tanz uns den Hochzeitsreigen,
Wann wir das Bett besteigen !" –

26. Und das Gesindel, husch husch husch !
Kam hinten nachgeprasselt,
Wie Wirbelwind am Haselbusch
Durch dürre Blätter rasselt.
Und weiter, weiter, hopp hopp hopp !
Gings fort im sausenden Galopp,
Daß Roß und Reiter schnoben
Und Kies und Funken stoben.

27. Wie flog, was rund der Mond beschien,
Wie flog es in die Ferne !
Wie flogen oben überhin
Der Himmel und die Sterne! –
"Graut Liebchen auch? … Der Mond scheint hell !
Hurra ! Die Toten reiten schnell ! –
Graut Liebchen auch vor Toten?" –
"O weh! laß ruhn die Toten !" – – –

28. "Rapp! Rapp! Mich dünkt, der Hahn schon ruft
Bald wird der Sand verrinnen…
Rapp! Rapp! ich wittre Morgenluft…
Rapp ! tummle dich von hinnen !
Vollbracht, vollbracht ist unser Lauf !
Das Hochzeitsbette tut sich auf !
Die Toten reiten schnelle !
Wir sind, wir sind zur Stelle." –

29. Rasch auf ein eisern Gittertor
Gings mit verhängtem Zügel ;
Mit schwanker Gert ein Schlag davor
Zersprengte Schloß und Riegel.
Die Flügel flogen klirrend auf,
Und über Gräber ging der Lauf ;
Es blinkten Leichensteine
Ringsum im Mondenscheine.

30. Ha sieh ! Ha sieh ! im Augenblick,
Huhu! ein gräßlich Wunder !
Des Reiters Koller, Stück für Stück,
Fiel ab, wie mürber Zunder.
Zum Schädel ohne Zopf und Schopf,
Zum nackten Schädel ward sein Kopf,
Sein Körper zum Gerippe
Mit Stundenglas und Hippe.

31. Hoch bäumte sich, wild schnob der Rapp
Und sprühte Feuerfunken ;
Und hui ! wars unter ihr hinab
Verschwunden und versunken.
Geheul! Geheul ! aus hoher Luft,
Gewinsel kam aus tiefer Gruft.
Lenorens Herz mit Beben
Rang zwischen Tod und Leben.

32. Nun tanzten wohl bei Mondenglanz
Rundum herum im Kreise
Die Geister einen Kettentanz
Und heulten diese Weise :
"Geduld ! Geduld ! wenns Herz auch bricht !
Mit Gott im Himmel hadre nicht !
Des Leibes bist du ledig ;
Gott sei der Seele gnädig !"

Lénore
Theodor Kullak[3]

[3] Theodor Kullak, *Lénore, op.81*, "The Nineteenth-Century Piano Ballade: An Anthology", in *Recent Researches in the Music of Nineteenth and Early Twentieth Centuries*, ed. James Parakilas (Madison, MI: A-R Editions, 1990), vol. 9, pp. 12-14. Permission to reproduce this piano ballade as part of the thesis has been granted by James L. Zychowicz, A-R Editions, Inc.

HERO UND LEANDER[4]
(1801)

Friedrich Schiller
(Translation: Daniel Platt)

1.See ye there the ancient graying
Castles, 'cross the straits surveying,
Sunny gilded citadels,
Where the Hellespont is rolling
Waves between the high patrolling
Portals of the Dardanelles?
Hear ye how the stormy billows
Break upon the cliffs above?
Asia they have torn from Europe,
Yet they do not frighten Love.

2. Hearts of Hero and Leander,
Made by Cupid's arrow fonder,
Aching from of his holy pow'r.
Hero, fine as Hebe blooming,
He, through mountains gladly roaming,
Hearty in the huntsman's bow'r.
Yet the fathers' opposition
Drove apart the couple's bliss,
And the sweet fruit of affection
Hung upon the precipice.

3. There, on Sestos' rocky towers,
Battered by the foaming powers
Of the Hellespont's mad swells,
Sat the lonely maiden, gazing
Toward Anydos' coast so pleasing,
Where the hot-belovéd dwells.
Ah, to that most distant shoreline
Doth no humble footbridge sway,
From the strand no craft emerges
And yet Love did find a way.

4. From the Labyrinth it guides you,
With the thread that it provides you,
Makes the fool a wise man now.
Savage beasts it bends to harness,
Yokes the bull, its breath a furnace,
To the diamond-sparkling plow.
Not the Styx's nine-fold current
Can prevent all-daring Love;
Pluto forfeits the belovéd,
Stolen to the world above.

5. Also through the watery surges,
Love, with fiery yearning, urges
on Leander's courage now.
When the day's resplendent glimmer
Fades, then the audacious swimmer
Plunges in the flood below,
Parts the waves with arms untiring,
Striving toward that dearest strand,
Where, upon the lofty platform,
Flickers now the burning brand.

6. In the soft arms of his lover
May the happy one recover
From the journey's heavy trial,
'Twas for this that Love should save him,
This reward the gods all gave him
In this blissful domicile,
'Til the bordering Aurora
Wakes him from his ecstacy,
Frights him from Love's dreamy bosom
To the cold bed of the sea.

7. Thirty suns did take their measures
Swiftly, as the stolen pleasures
That the happy pair had seen,
Like the wedding night's sweet blisses,
Envied by the gods, these kisses,
Ever young and evergreen.
He has never tasted rapture,
He who never, at the verge,
Plucked the pilfered fruit of heaven
From the hellish watery scourge.

8. Hesper and Aurora taking
Turns, as sundown and day breaking,
Yet the lovers saw it not,
Not the hues of fall appearing,
Not the angry winter nearing
That the icy North begot.
Happily they watched the days grow
Shorter, shorter; for the use
Made of longer, longer nights, they
Offered up their thanks to Zeus.

[4] Daniel Platt, "Hero und Leander", www.schillerinstitute.org, accessed 31 December 2008.

9. Soon enough the scales stood even,
Days and nights divided heaven.
Hero stood upon the heights,
Watching as Apollo's horses
Fled along their solar courses
Where the ocean joins the nights.
And the sea lay still and placid,
Like a mirror, smooth and clean,
Not a breeze's gentle weaving
Moved the crystal-perfect scene.

10. Merry dolphin-troops cavorted,
In the silver-clear they sported,
All along the placid coast,
And in grey processions wending,
From the ocean's floor ascending,
Tethys' multicolored host.
These and these alone had witnessed
Stolen trysts beside the sea;
Hecate, from out her darkness,
Sealed their lips eternally.

11. Hero, gladdened by the ocean,
Spoke with coaxing, mild emotion
To the lovely element:
"Beauteous god, couldst thou betray me?
No! They lie that do portray thee
Faithless, mean and fraudulent.
False is Man, and cruel a father's
Heart, that could my love disdain;
Ah, but thou art mild and gracious,
And art moved by lovers' pain."

12. "In these barren walls of sorrows
I should spend my sad tomorrows
Withering amongst these stones;
Yet upon thy back thou bearest
With no bridge nor boat, a dearest
Friend that I may call mine own.
Fearsome are thy depths, thy frightful
Flood of churning waves and foam,
Ah, but Love compels thy mercy,
Thou'rt by courage overcome."

13. "And to thee, the god of oceans,
Eros' bow brought strong emotions,
As when golden Aries flew,
Helle, borne upon her brother,
Bloomed in beauty like no other,
High above thy sea below.
Captured by her charms, thou'st quickly
Snatched the prize that Aries bore,
To thy dark abyss thou'st swept her,
Down upon the ocean floor."

14. "Goddess and inamorato
In the deepest water grotto,
Now she lives eternally;
Helpful in her haunted fashion,
Now she tames thy savage passion,
Guides the sailor home from sea.
Lovely Helle, noble goddess,
Blessèd one, may I implore,
Bring my love across the channel,
Lead him safely to my door!"

15. And then soon the torrent darkened,
From her porch the maiden hearkened
As she lit the signal flare.
With the trusted sign providing
Light through empty realms, and guiding,
It should lead her lover there.
From afar it starts to rustle,
Foam appears upon the sea,
Stars begin to wink and vanish,
Storm approaches, dreadfully.

16. Night descends upon the surface
Of the vast and roiling Pontus,
Water plunges from the clouds;
From their ghastly, rocky niches
Storms emerge, and lightning twitches
Through the mist that all enshrouds.
Churning, now, the great abysses,
Each more monstrous than before,
Yawning, like a hellish vengeance,
Opens up the ocean's floor.

17. "Woe is me!" the maid lamented,
"Mercy, Zeus!" and so repented,
"Ah, what have I dared to crave!
If the gods have heard my praying,
If my love the price is paying
In the travails of the waves!"
All the birds that know the ocean
Head for home in hasty flight,
All the tempest-tested vessels
Safer harbors seek tonight.

18. "Yes, he gave himself to daring,
For it is a proud, unsparing
God that spurs him on to swim.
When he last did stand before me,
Love's most holy oath he swore me,
Only death releases him.
Now the angry sea surrounds him
With the ocean's nemesis,
Ah! This very moment, it shall
Hurl him down to the abyss!"

19. “Pontus, thy deceitful silence
Hid thy treachery and violence,
Like a mirror before mine eyes;
Calm thy ripples, mild thy season,
'Til he’s captured by thy treason
In thy faithless realm of lies.
In the middle of thy torrent,
Now the pathway back is closed,
Now unto the poor betrayed one
All thy terrors are exposed!”

20. Furious, the storm is rending,
High as mountaintops ascending
Swells the sea, the billows break
Foaming in the awful suction;
Sturdy ships of oak construction
No such voyage undertake.
And the winds have quenched the beacon
That would guide the swimmer through;
Terror beckons in the waters,
Terror at the landing too.

21. And she prays to Aphrodite,
Begs her to appease the mighty
Waves, the ocean tempest-torn,
And, to calm the wind’s vexation,
Offers up for immolation
Now, a bull with golden horn.
All the goddesses below us!
All the gods that dwell on high!
Hero bids them, pour some soothing
Oil upon the storming sea.

22. “Listen to my cry resounding,
Rise up from thy green surroundings,
Blessed Leukothea, please!
When the sailor shakes with fear, then
Oftentimes dost thou appear, and
Save him from the angry seas.
Reach to him thy mystic garment,
Reach to him thy sacred veil,
Lift him, unafflicted, from a
Murky grave beneath the gale!”

23. And the savage winds are ending,
Eos’ flashing steed ascending
Up the heavens’ thoroughfare.
In its bed, with tranquil motion,
Mirror-smooth becomes the ocean,
Brightly smile the sea and air.
Now the waves are gently breaking
Up against the craggy land,
And the peaceful, playful ripples
Wash a corpse up on the sand.

24. Yes, 'tis he, though he be broken,
Honored is the vow last spoken!
Swiftly doth she recognize.
Such a silence is she keeping,
No lamenting and no weeping,
Stares with cold, despairing eyes.
Down into the barren depths she
Gazes, in the Aether’s glow,
And a lofty, noble fire
Reddens her pale visage now.

25. “Yes, I know ye, awful beings!
Stringently your rights decreeing,
Horrifying and malign.
Though my fate, I can't postpone it,
Happiness supreme, I've known it,
And the sweetest lot was mine.
While I lived I served thy temple,
Thine own priestess have I been,
Now I sacrifice me gladly,
Noble Venus, mighty Queen!”

26. And with all her garments flying,
Hero leaps the tower, hying
Down into the foaming waves.
There resides the ocean god, he
Tumbles high her holy body,
And the sea becomes her grave.
Satisfied with this, his plunder,
Smiling, gladly forth he goes,
Pouring from his endless urn the
Current, that forever flows.

HERO UND LEANDER[5]
(1801)

Friedrich Schiller

1.Seht ihr dort die altergrauen
Schlösser sich entgegenschauen,
Leuchtend in der Sonne Gold,
Wo der Hellespont die Wellen
Brausend durch der Dardanellen
Hohe Felsenpforte rollt?
Hört ihr jene Brandung stürmen,
Die sich an den Felsen bricht?
Asien riß sie von Europen,
Doch die Liebe schreckt sie nicht.

2. Heros und Leanders Herzen
Rührte mit dem Pfeil der Schmerzen
Amors heil'ge Göttermacht.
Hero, schön wie Hebe blühend,
Er, durch die Gebirge ziehend
Rüstig, im Geräusch der Jagd.
Doch der Väter feindlich Zürnen
Trennte das verbundne Paar,
Und die süße Frucht der Liebe
Hing am Abgrund der Gefahr.

3. Dort auf Sestos' Felsenturme,
Den mit ew'gem Wogensturme
Schäumend schlägt der Hellespont,
Saß die Jungfrau, einsam grauend,
Nach Abydos' Küste schauend,
Wo der Heißgeliebte wohnt.
Ach, zu dem entfernten Strande
Baut sich keiner Brücke Steg,
Und kein Fahrzeug stößt vom Ufer;
Doch die Liebe fand den Weg.

4. Aus des Labyrinthes Pfaden
Leitet sie mit sicherm Faden,
Auch den Blöden macht sie klug,
Beugt ins Joch die wilden Tiere,
Spannt die feuersprühnden Stiere
An den diamantnen Pflug.
Selbst der Styx, der neunfach fließet,
Schließt die Wagende nicht aus,
Mächtig raubt sie das Geliebte
Aus des Pluto finsterm Haus.

5. Auch durch des Gewässers Fluten
Mit der Sehnsucht feur'gen Gluten
Stachelt sie Leanders Mut.
Wenn des Tages heller Schimmer
Bleichet, stürzt der kühne Schwimmer
In des Pontus finstre Flut,
Teilt mit starkem Arm die Woge,
Strebend nach dem teuren Strand,
Wo auf hohem Söller leuchtend
Winkt der Fackel heller Brand.

6. Und in weichen Liebesarmen
Darf der Glückliche erwarmen
Von der schwer bestandnen Fahrt
Und den Götterlohn empfangen,
Den in seligem Umfangen
Ihm die Liebe aufgespart,
Bis den Säumenden Aurora
Aus der Wonne Träumen weckt
Und ins kalte Bett des Meeres
Aus dem Schoß der Liebe schreckt.

7. Und so flohen dreißig Sonnen
Schnell, im Raub verstohlner Wonnen,
Dem beglückten Paar dahin,
Wie der Brautnacht süße Freuden,
Die die Götter selbst beneiden,
Ewig jung und ewig grün.
Der hat nie das Glück gekostet,
Der die Frucht des Himmels nicht
Raubend an des Höllenflusses
Schauervollem Rande bricht.

8. Hesper und Aurora zogen
Wechselnd auf dem Himmelsbogen,
Doch die Glücklichen, sie sahn
Nicht den Schmuck der Blätter fallen,
Nicht aus Nords beeisten Hallen
Den ergrimmten Winter nahn;
Freudig sahen sie des Tages
Immer kürzern, kürzern Kreis,
Für das längre Glück der Nächte
Dankten sie betört dem Zeus.

[5] Friedrich Schiller, “Hero und Leander”, in *Gedichte seit 1788* (Germany: Carl Hanser Verlag, 1966), pp. 770-776.

9. Und es gleichte schon die Wage
An dem Himmel Nächt' und Tage,
Und die holde Jungfrau stand
Harrend auf dem Felsenschlosse,
Sah hinab die Sonnenrosse
Fliehen an des Himmels Rand.
Und das Meer lag still und eben,
Einem reinen Spiegel gleich,
Keines Windes leises Weben
Regte das kristallne Reich.

10. Lustige Delphinenscharen
Scherzten in dem silberklaren
Reinen Element umher,
Und in schwärzlicht grauen Zügen
Aus dem Meergrund aufgestiegen
Kam der Tethys buntes Heer.
Sie, die einzigen, bezeugten
Den verstohlnen Liebesbund,
Aber ihnen schloß auf ewig
Hekate den stummen Mund.

11. Und sie freute sich des schönen
Meeres, und mit Schmeicheltönen
Sprach sie zu dem Element:
»Schöner Gott! du solltest trügen!
Nein, den Frevler straf' ich Lügen,
Der dich falsch und treulos nennt.
Falsch ist das Geschlecht der Menschen,
Grausam ist des Vaters Herz,
Aber du bist mild und gütig,
Und dich rührt der Liebe Schmerz.

12. »In den öden Felsenmauern
Müßt' ich freudlos einsam trauern
Und verblühn in ew'gem Harm,
Doch du trägst auf deinem Rücken,
Ohne Nachen, ohne Brücken,
Mir den Freund in meinen Arm.
Grauenvoll ist deine Tiefe,
Furchtbar deiner Wogen Flut,
Aber dich erfleht die Liebe,
Dich bezwingt der Heldenmut.

13. »Denn auch dich, den Gott der Wogen,
Rührte Eros' mächt'ger Bogen,
Als des goldnen Widders Flug
Helle, mit dem Bruder fliehend,
Schön in Jugendfülle blühend,
Über deine Tiefe trug.
Schnell von ihrem Reiz besieget
Griffst du aus dem finstern Schlund,
Zogst sie von des Widders Rücken
Nieder in den Meeresgrund.

14. »Eine Göttin mit dem Gotte,
In der tiefen Wassergrotte
Lebt sie jetzt unsterblich fort,
Hilfreich der verfolgten Liebe
Zähmt sie deine wilden Triebe,
Führt den Schiffer in den Port.
Schöne Helle! Holde Göttin!
Selige, dich fleh' ich an:
Bring' auch heute den Geliebten
Mir auf der gewohnten Bahn!«

15. Und schon dunkelten die Fluten,
Und sie ließ der Fackel Gluten
Von dem hohen Söller wehn,
Leitend in den öden Reichen
Sollte das vertraute Zeichen
Der geliebte Wandrer sehn.
Und es saust und dröhnt von ferne,
Finster kräuselt sich das Meer,
Und es löscht das Licht der Sterne,
Und es naht gewitterschwer.

16. Auf des Pontus weite Fläche
Legt sich Nacht, und Wetterbäche
Stürzen aus der Wolken Schoß,
Blitze zucken in den Lüften,
Und aus ihren Felsengrüften
Werden alle Stürme los,
Wühlen ungeheure Schlünde
In den weiten Wasserschlund,
Gähnend wie ein Höllenrachen
Öffnet sich des Meeres Grund.

17. »Wehe! Weh mir!« ruft die Arme
Jammernd. »Großer Zeus, erbarme!
Ach! Was wagt' ich zu erflehn!
Wenn die Götter mich erhören,
Wenn er sich den falschen Meeren
Preisgab in des Sturmes Wehn!
Alle meergewohnten Vögel
Ziehen heim in eil'ger Flucht,
Alle sturmerprobten Schiffe
Bergen sich in sichrer Bucht.

18. »Ach gewiß, der Unverzagte
Unternahm das oft Gewagte,
Denn ihn trieb ein mächt'ger Gott.
Er gelobte mir's beim Scheiden
Mit der Liebe heil'gen Eiden,
Ihn entbindet nur der Tod.
Ach! in diesem Augenblicke
Ringt er mit des Sturmes Wut,
Und hinab in ihre Schlünde
Reißt ihn die empörte Flut!

19. »Falscher Pontus, deine Stille
War nur des Verrates Hülle,
Einem Spiegel warst du gleich;
Tückisch ruhten deine Wogen,
Bis du ihn heraus betrogen
In dein falsches Lügenreich.
Jetzt in deines Stromes Mitte,
Da die Rückkehr sich verschloß,
Lässest du auf den Verratnen
Alle deine Schrecken los!«

20. Und es wächst des Sturmes Toben,
Hoch zu Bergen aufgehoben
Schwillt das Meer, die Brandung bricht
Schäumend sich am Fuß der Klippen,
Selbst das Schiff mit Eichenrippen
Nahte unzerschmettert nicht.
Und im Wind erlischt die Fackel,
Die des Pfades Leuchte war,
Schrecken bietet das Gewässer,
Schrecken auch die Landung dar.

21. Und sie fleht zur Aphrodite,
Daß sie dem Orkan gebiete,
Sänftige der Wellen Zorn,
Und gelobt den strengen Winden
Reiche Opfer anzuzünden,
Einen Stier mit goldnem Horn.
Alle Göttinnen der Tiefe,
Alle Götter in der Höh'
Fleht sie, lindernd Öl zu gießen
In die sturmbewegte See.

22. »Höre meinen Ruf erschallen,
Steig aus deinen grünen Hallen,
Selige Leukothea!
Die der Schiffer in dem öden
Wellenreich, in Sturmesnöten,
Rettend oft erscheinen sah.
Reich ihm deinen heil'gen Schleier,
Der, geheimnisvoll gewebt,
Die ihn tragen, unverletzlich
Aus dem Grab der Fluten hebt.«

23. Und die wilden Winde schweigen,
Hell an Himmels Rande steigen
Eos' Pferde in die Höh'.
Friedlich in dem alten Bette
Fließt das Meer in Spiegelsglätte,
Heiter lächeln Luft und See.
Sanfter brechen sich die Wellen
An des Ufers Felsenwand,
Und sie schwemmen, ruhig spielend,
Einen Leichnam an den Strand.

24. Ja er ist's, der auch entseelet
Seinem heil'gen Schwur nicht fehlet!
Schnellen Blicks erkennt sie ihn,
Keine Klage läßt sie schallen,
Keine Träne sieht man fallen,
Kalt, verzweifelnd starrt sie hin.
Trostlos in die öde Tiefe
Blickt sie, in des Äthers Licht,
Und ein edles Feuer rötet
Das erbleichte Angesicht.

25. »Ich erkenn' euch, ernste Mächte,
Strenge treibt ihr eure Rechte,
Furchtbar, unerbittlich ein.
Früh schon ist mein Lauf beschlossen,
Doch das Glück hab' ich genossen,
Und das schönste Los war mein.
Lebend hab' ich deinem Tempel
Mich geweiht als Priesterin,
Dir ein freudig Opfer sterb' ich,
Venus, große Königin!«

26. Und mit fliegendem Gewande
Schwingt sie von des Turmes Rande
In die Meerflut sich hinab.
Hoch in seinen Flutenreichen
Wälzt der Gott die heil'gen Leichen,
Und er selber ist ihr Grab.
Und mit seinem Raub zufrieden
Zieht er freudig fort und gießt
Aus der unerschöpften Urne
Seinen Strom, der ewig fließt.

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