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A HISTORY OF CONCERT WALTZES FOR PIANO (LECTURE-RECITAL)
TOGETHER WITH THREE RECITALS OF SELECTED WORKS BY
RACHMANINOV, STRAVINSKY, SCHUBERT, J.S. BACH,
REGER, ADAMS, COVINO, CHOPIN, SCHÖNBERG,
IVES, AND BEETHOVEN

DISSERTATION

Presented to the Graduate Council of the
North Texas State University in Partial
Fulfillment of the Requirements
for the Degree

DOCTOR OF MUSICAL ARTS

By

William Lloyd Adams Jr.

Denton, Texas

May 1978

L. B. -

Adams, William Lloyd Jr.: A History of Concert Waltzes for Piano (Lecture-Recital) Together with Three Recitals of Selected Works by Rachmaninov, Stravinsky, Schubert, J. S. Bach, Reger, Adams, Covino, Chopin, Schönberg, Ives, and Beethoven. Doctor of Musical Arts (Piano). May, 1978. 55 p.; 34 illustrations; 24 titles.

The first three recitals contained solely performances of piano music. The first one consisted of an Etude-Tableau by Rachmaninov, the Capriccio by Stravinsky (the chamber-ensemble accompaniment arranged for second piano), and the great Sonata in A minor by Schubert.

The second recital contained a Prelude and Fugue by J. S. Bach, Reger's Variations and Fugue on a Theme by Bach, a Romance by the performer, Peter Covino's Toccata Op. 4 No. 8, and Chopin's Nocturne Op. 55 No. 2 and Scherzo in E.

The third recital consisted of Schönberg's Sechs Kleine Klavierstücke, Ives's Some South-Paw Pitching, and the Sonata Op. 106 ("Hammerklavier") by Beethoven.

The fourth recital featured a lecture which surveyed the piano waltz throughout its history. Several complete examples, namely Weber's Invitation to the Dance, Chopin's Waltz in A minor, and La Valse by Ravel, and incomplete examples including a Ländler by the performer, several of Schubert's waltzes, Chopin's Waltz Op. 42, and Man Lebt Nur Einmal! by Strauss-Tausig interspersed the lecture.

All four recitals, tape-recorded, and the lecture, typewritten, are filed together in the Graduate Office of the North Texas State University.

PREFACE

This dissertation, comprising four programs, features piano music, a piece for chamber group, and a lecture-recital tracing the waltz from its dawning to its culmination. For each recital I chose works contrasted in mood, length, key, texture, fame, and original date.

The first recital began with the Etude-Tableau Op. 39 No. 5, in E^b minor, by Rachmaninov, whose emotional melodies and harmonies have always captivated me. Next followed the Capriccio (1929, rev. 1949) by Stravinsky, for piano accompanied by small orchestra. This piece, and later those by Reger, Ives, and Weber, continued my tradition of including on every degree-recital a composer whose music I had never played before. Schubert's Sonata Op. 42 (D. 845) in A minor, the only significant piece here included that I had performed previously, was chosen for the purpose of comparing my interpretation with the insights of my teacher.

The second recital opened with the Prelude and Fugue in F major from Bach's Well-Tempered Clavier, Book 2; then followed Reger's huge Variations and Fugue on a Theme by J. S. Bach. This juxtaposition both unified (through concepts of Bach and fugue) and diversified (through key and size) the first half of the program. Since B is the second letter, A

the first, etc., numerically BACH is 2 1 3 8; and Reger's fourteen variations divide into four sets of two, one, three, then eight variations when tempi, tonalities, thematic concinnity, and pauses between variations are compared. I chose this piece, and later those by Schönberg and Ives, to celebrate their composers' birth-centennials. I composed the Spring Romance in D^b in 1971; its melodies develop two soggetti cavati, one from a serial number, the other from a personal name; the overall form was suggested by many of Debussy's short pieces. Peter Covino, composer of the Toccatina, a 1½-minute frolic featuring long, rapid arm motions, was at the time of this recital a doctoral student of composition at the North Texas State University. The last two pieces, by Chopin and bearing consecutive opus numbers, diverge in key and mood. The barcarollesque Nocturne Op. 55 No. 2, in E^b major, features incommensurate rhythmic figures. The Scherzo Op. 54, in E major, the only separate scherzo by Chopin in a major key, is also the only one in which laughter predominates in conformity with the title.

Schönberg's Sechs Kleine Klavierstücke, Op. 19, predating his serial technique, seem to epitomize the greatest possible variety of moods in the realm of Expressionism. Some South-Paw Pitching, by Ives, depicts the boisterous, convivial atmosphere of a baseball game. Beethoven's Grosse Sonate für das Hammer-Klavier Op. 106, in B^b major, famous for over a

century as one of the five or ten most hallowed piano compositions because of its depth of conception, sublimity, length, and difficulty, was chosen for its wealth of beauty and excitement.

"A History of Concert Waltzes for Piano" features four important or typical works:

a. Weber's Invitation to the Dance, the first full-length piano waltz;

b. The waltzes of Chopin, the earliest idiomatically mature waltzes for piano and the first set of piano pieces to interest me as a child;

c. Tausig's Man Lebt Nur Einmal!, arranged from Strauss in the late-nineteenth-century virtuosic style; and

d. Ravel's La Valse, exemplifying Impressionism, and one of the pinnacles of waltz music.

THE NORTH TEXAS STATE UNIVERSITY

SCHOOL OF MUSIC

PRESENTS

WILLIAM L. ADAMS JR., PIANIST

PROGRAM

Etude-Tableau in E^b minor, Op. 39 No. 5 Sergei Rachmaninov

Capriccio for Piano and Orchestra* Igor Stravinsky

Presto; Doppio movimento
Andante rapsodico
Allegro capriccioso ma tempo giusto

Sonata in A minor, D. 845

Franz Schubert

Moderato
Andante, poco mosso
Scherzo: Allegro vivace
Rondo: Allegro vivace

4 p.m., Monday, 16. April 1973

RECITAL HALL

In partial fulfillment of the requirements
for the degree Doctor of Musical Arts

*The accompaniment, arranged for second piano by
the composer, is performed by Dr. Stefan Bardas.

THE NORTH TEXAS STATE UNIVERSITY

SCHOOL OF MUSIC

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WILLIAM L. ADAMS JR., PIANIST

PROGRAM

Prelude and Fugue in F major (WTC, Vol. 2) J.S. Bach

Variations and Fugue, Op. 81, on a Theme by J.S. Bach*
Max Reger

Theme: Andante

- | | |
|---------------------------|-----------------------|
| 1: Andante | 7: Adagio |
| 2: Andante | 8: Vivace |
| | 9: Grave, espressivo |
| 3: Grave assai | 10: Poco vivace |
| | 11: Allegro agitato |
| 4: Vivace | 12: Andante sostenuto |
| 5: Vivace | 13: Vivace |
| 6: Allegro moderato | 14: Con moto |
| Fugue: Sostenuto—Più moto | |

Intermission

Spring Romance in D^b Wm. L. Adams Jr.

Toccatina, Op. 4 No. 8 Peter Covino Jr.

Nocturne No. 16 in E^b major, Op. 55 No. 2 Frédéric Chopin

Scherzo No. 4 in E major, Op. 54

8:15 p.m., Tuesday, 16. April 1974

RECITAL HALL

In partial fulfillment of the requirements
for the degree Doctor of Musical Arts

*First Denton performance

THE NORTH TEXAS STATE UNIVERSITY

SCHOOL OF MUSIC

PRESENTS

WILLIAM L. ADAMS JR., PIANIST

PROGRAM

Sechs Kleine Klavierstücke Schönberg

Leicht, zart

Langsam

Sehr langsame ↓

Rasch, aber leicht

Etwas rasch

Sehr langsam

Some South-Paw Pitching

Ives

Sonata in B^b Major, Op. 106 ("Hammerklavier")

Beethoven

Allegro

Scherzo: Assai vivace

Adagio sostenuto

Largo—Allegro—Prestissimo—Allegro risoluto (Fuga)

8:15 p.m., Monday, 14. April 1975

RECITAL HALL

In partial fulfillment of the requirements
for the degree Doctor of Musical Arts

THE NORTH TEXAS STATE UNIVERSITY

SCHOOL OF MUSIC

PRESENTS

WILLIAM LLOYD ADAMS JR.

in a

LECTURE-RECITAL

A HISTORY OF CONCERT WALTZES FOR PIANO

Featuring

Invitation to the Dance Weber

Valse Brillante in A minor, Op. 34 No. 2 Chopin

Valse in A^b major, Op. 42

Man Lebt Nur Einmal! Strauss-Tausig

Intermission

Valse Oubliée No. 1 Liszt

Bagatelle No. 14: "Ma mie qui danse..." Bartók

La Valse Ravel

8:15 p.m., Monday, 9. August 1976

RECITAL HALL

Presented in partial fulfillment of the
requirements for the degree
Doctor of Musical Arts

Features and Background of the Waltz

The word waltz (Ger. Walzer; Fr. valse; It. valzer; Hung. keringő) originally came from the Latin volvere (rotate).

Up to the early eighteenth century the waltz and the minuet exemplified opposite social strata. For example, in Mozart's Don Giovanni, ". . . the aristocrats . . . dance a minuet, Don Giovanni and Marcellina [Zerlina apparently intended] a contre-danse, a kind of compromise between the nobility and the common people, while Leporello and Masetto, standing as they do on the bottom rung of the social ladder, amuse themselves with a waltz."¹

The names of some of the waltz's ancestors reveal traits which the waltz itself later adopted: the Dreher (a turning dance), Weller (surging), Spinner (spinning), Schleifer (gliding). Other names told places of origin: the Steirer (from Steiermark, or Styria, an Austrian province), and most importantly the Ländler (literally, a rural dance, but specifically from the Land ob der Enns, a region in northern Austria).² Some of these dances existed as early as the fourteenth century; all were round dances of single couples in close embrace, as opposed to rows facing each other, and most were in triple meter.

¹Mosco Carner, The Waltz (London, 1948), p. 14.

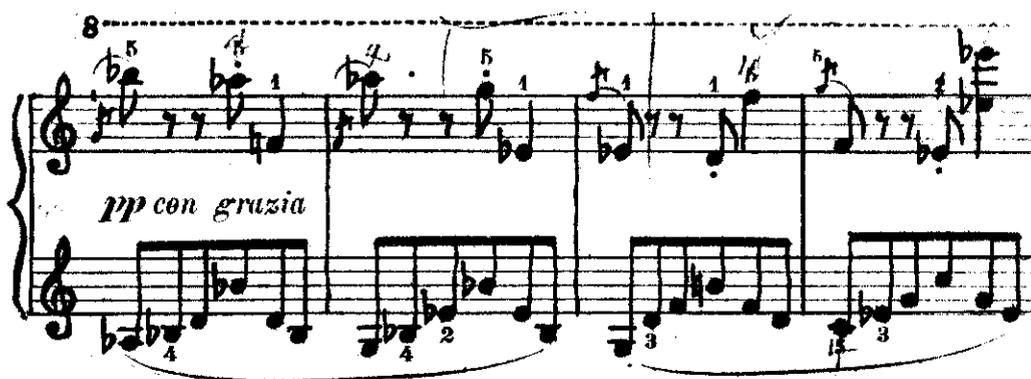
²Carner, p. 12.

Much of the waltz's appeal must have stemmed from the physical closeness of the partners. As in all ages, the upper classes at first denounced such dances as lascivious and obscene because of their closeness and tossing motions, but soon they were participating also. The already incipient blurring of class distinctions typical of eighteenth-century society was thus furthered as people of all types mingled in dance halls. In Austria and southern Germany, where the nobility and peasantry were close, the waltz became prominent. It remained fairly confined to this area until the last generation of the eighteenth century.

In classical Vienna no distinction was made between "serious" and "entertainment" music; serious music was entertaining, and entertainment music was taken seriously. Tunes started finding their way from the operatic stage to the dance hall, and vice versa; in 1787 Mozart observed "with whole-hearted pleasure how people jumped around with sincere enjoyment to the music of my Figaro which had been turned into all kinds of Contres and Teutsche."³ Josef Lanner, a violinist and the first waltz specialist, wrote a waltz incorporating tunes from Don Giovanni and The Magic Flute; Johann Strauss, Sr. wrote one on fragments from Beethoven's "Kreutzer" Sonata. The yodel also served often as a melodic

³Carner, p. 17.

element. According to Reeser,⁴ the upward skip of a seventh was so derived; Nettl cites An der Schönen, Blauen Donau⁵ as an example, from its octave-skips; most convincing, however, are skips of greater than an octave, such as those in Man Lebt Nur Einmal! by Johann Strauss, Jr.



Ex. 1—Johann Strauss, Jr. (arr. Carl Tausig): Man Lebt Nur Einmal!: m. 92-95.

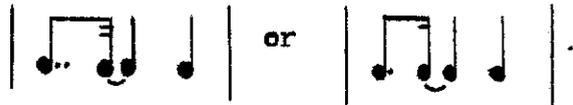
The Ländler was a slow-to-moderate dance in three beats with accents on each, and the steps included hopping and leaping; it was accompanied by especially alluring melodies. With its spread into cities the pace became quicker, so that the accentuation came to fall on the first beat, with the third beat becoming especially light, and gliding steps replacing stamping. In this connection an especially pianistic device (which, however, started on the guitar) arose in Upper

⁴Eduard Reeser, The History of the Waltz (Stockholm, 1949), p. 36.

⁵Paul Nettl, The Story of Dance Music (New York, 1947), p. 256.

Austria in the 17th century and passed into orchestral practice: the chords accompanying the melody often extend over a range wider than most hands can reach; therefore a single bass note or octave usually falls on the first beat, and the other notes are repeated on the second and third beats.⁶

According to Viennese custom, the beats are played temporally unevenly: the second beat is anticipated, imparting a swing essential to the performance of a Viennese waltz. Sometimes the rhythm of a waltz accompaniment is even written out



Ländler

Moderato

Wm Adams

mf

sim.

Dec. 1969

Ex. 2—A typical Ländler: first period

⁶Carner, p. 22.

Individual titles for waltzes seem to have started with Lanner and Strauss, Sr. Previously they were called merely "Waltzes" or, before Beethoven, "Deutsche." Schubert especially gave such names as "Grätzer Walzer" to suggest where they were composed. Some of Lanner's and Strauss's descriptive titles honored special persons or places, or commemorated anniversaries or festivals. Lanner wrote Separation Waltz on the occasion of his split with Strauss. Strauss, Sr. wrote Victoria Waltz. Strauss, Jr. wrote An der Schönen, Blauen Donau; Man Lebt Nur Einmal!; Wein, Weib, und Gesang.

Waltz music for keyboard represented no revolutionary novelty. After all, the earliest keyboard music was dance music (estampie, ca. 1300), which kept its rhythmic and formal shape when it evolved from the function of accompanying steps into an art in its own right; also, the juxtaposition of several dances, especially of contrasting mood, continued a pattern set by the sixteenth-century dance suite.

The first waltzes in larger forms were mere groups of usually six short waltzes in binary or ternary form, strung together with no more unity than their common mood. Later the first waltz in the set, and maybe another also, would recur near the end; also a coda, usually nonthematic, would serve to intensify the conclusion.⁷

⁷Carner, p. 26.

Early Waltz Forms

The first distinguishable artistic waltzes were played in ballrooms at the Austrian court around 1660. Before 1700 Johann Heinrich Schmelzer, influenced by Alpine instrumental music, wrote hundreds of waltz-like dances. "One might indeed say that the Viennese Ländler and waltz both have their origin in Schmelzer's dance compositions."⁸

The earliest specific waltz piece known is the "extempore comedy" Der auf das Neue Begeisterte und Belebte Bernardon by Felix von Kurz, a Viennese clown, in 1754; the music is "probably by Joseph Haydn."⁹ The first known piano waltz also is by Haydn, a "Mouvement de Waltze" from a sonatina, in 1766.¹⁰ (The Hoboken Thematic Catalogue lists no such movement for piano; possibly it is a transcription.) His set of twelve Deutsche Tänze contains no real waltzes, but several German Ländler, the longest 44 bars; a 75-bar coda indicates that they are intended to be played together. Clementi, Mozart, and Beethoven wrote early piano waltzes, including some especially for masked balls in the Redoutensaal in Vienna.¹¹ Before 1800 the waltz had spread to France and England.

⁸Carner, p. 143. ⁹Reeser, p. 36. ¹⁰Carner, p. 28.

¹¹Kathleen Dale, Nineteenth-Century Piano Music: a Handbook for Pianists (London, 1954), p. 251. Viz.: (Clementi) Op. 38 and 39, both with tambourine and triangle; (Mozart) K. 509, 536, 567, 571, 586, 600, 602, 605, and 611 comprise forty-nine "deutsche Tänze"; K. 606 is a set of six "Ländlerische"; (Beethoven) WoO 84 and 85; Anh. 14, 15, and 16, which are spurious, include the well-known Abschied vom Klavier.

Johann Nepomuk Hummel's Tänze für die Apollo Säle (1808) was the first suite of purely concert waltz-like pieces for keyboard. They are still Ländler, accenting every beat. The early nineteenth-century waltz usually consisted of two eight-bar periods, and the only musical continuity resulted from stringing together several of these small waltzes. Toward 1815 the characteristic "oom-pa-pa" accompaniment, found only sporadically in previous ages, gained wide usage. Friedrich H. Himmel produced in 1810 a suite, Sechs Grosse Walzer für Liebhaber des Pianoforte, containing both binary and ternary forms. The first, third, fourth, and sixth dances are in C; the second in G; the fifth in F. Thus tonal unity results from the motion in each half of the suite to a key a perfect fifth away. The suite ends in a coda.

From Himmel and Hummel onward, the waltz continued to expand in both its internal construction and the combination of its themes, and culminated a half century later in such works as Liszt's first Mephisto Waltz.

Waltzes of the Early Romantic Era

Franz Schubert's dance pieces, exhibiting poignant harmonies, infectious rhythms, and melodies inspired, as his usually were, by long-breathed phrasing and beauty of shape, exerted a tremendous influence on the music of Lanner, Strauss, and their associates.¹² Like Haydn, Mozart, and

¹²Dale, p. 252.

Beethoven, but unlike Hummel, Schubert wrote his early piano dances to accompany actual dancing; his later and longer sets serve more appropriately as pure piano music. Schubert's waltzes, like Beethoven's and Hummel's, exemplified the early nineteenth-century Viennese style: relatively slow, steady tempi; still some stress on each beat (but the first beat began to dominate); melodic flow in even quarters and eighths; no syncopation or cross-rhythm as found in the later Viennese style. Many of these Ländler-like pieces comprise two eight-bar sections; later ones often have ternary form (Op. 67) or contain a trio (Op. 127). To illustrate the extreme brevity of these dances, the set Op. 9 fits neatly on twelve pages—and contains thirty-six pieces. Some of Schubert's waltzes exhibit minor tonality, a characteristic foreign to Lanner and Strauss.

The characteristic accompaniment figure appears noticeably more often in the works of Schubert than in earlier music; twice he uses this figure by itself as an introductory measure before starting the melody.



Ex. 3a—Franz Schubert: Waltz Op. 9 No. 34: m. 1-6. Notice also the curious accented third beats in the r.h. over changing harmony.

Other traits also prefigured a later style: the first waltz in Op. 127 contains a rapid upward chordal leap of two octaves (Ex. 3b); the trio of this waltz, and also the ninth waltz of Op. 18, require the right hand to cross over or under the left in the middle of a melody (Ex. 3c); the sixth waltz in this set persistently accents a high f# on the second beat. Occasionally Schubert could also look backward: the harmony of the ninth waltz of Op. 127 is almost completely tonic and dominant, and several of the Op. 9 and of the Grätzer Walzer imitate yodeling.



Ex. 3b—Franz Schubert: Waltz Op. 127 No. 1: m. 1-8

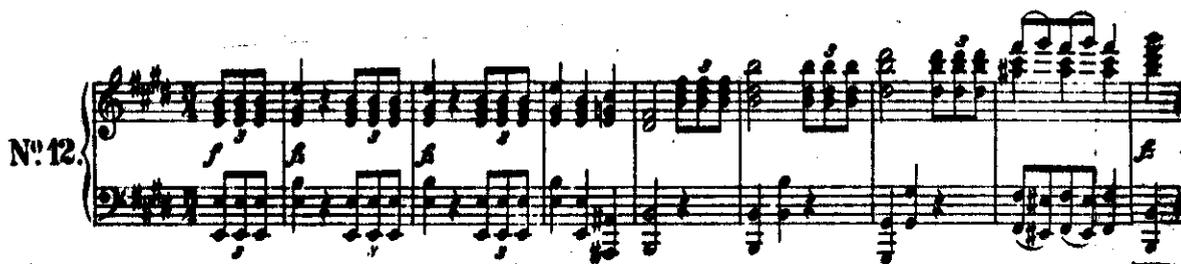


Ex. 3c—Franz Schubert: Waltz Op. 18 No. 9: m. 1-6

Weber subtitled his Invitation to the Dance a "brilliant rondo in the spirit of a waltz" and thus identified the most important feature of waltz music. Tempo, form, harmonic and

melodic patterns, rhythm, and even meter may vary; but its one necessary and sufficient property is its spirit.

On rustic walks during Weber's student days in Darmstadt, he kept alert to glean from the peasants melodies some of which he incorporated into his Rondo.¹³ Several traits mark this Rondo as highly innovative. The form itself, in which one theme recurs several times among various episodes, and another appears in two different keys in turn, is the first such for any dance music. The piano writing is completely idiomatic and virtuosic, in contrast to Schubert's occasional quasi-orchestral textures such as occur in the repeated chords and octaves in Ex. 3d.



Ex. 3d: Franz Schubert: Waltz Op. 18 No. 12: m. 1-8

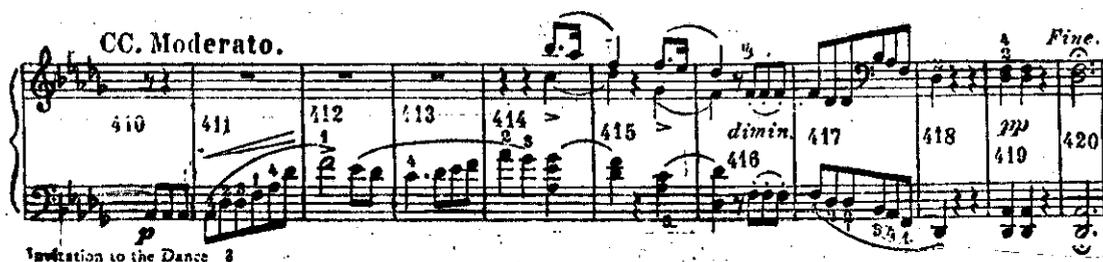
The key of D^b major fits the hand on the keyboard as on no other instrument. The tempo is fast, giving rise to more extended themes, and the first waltz comprises sixty bars. It is the first waltz with a specific program: the usual

¹³John Warrack, Carl Maria von Weber (New York, 1968), p. 87.

introductory phrase has been expanded into a miniature drama almost a page in length.

When Weber had finished the piece in 1819 (it was not published till 1821), he played it to her [his wife], and accompanied the performance with the following commentary: "First approach of the dancer (bars 1-4); the lady's evasive reply (5-8); his pressing invitation (9-12—the short *appoggiatura c* and the *appoggiatura ab* are very significant); her consent (13-16); they enter into conversation—he begins (17-18), she replies (19-20), he speaks with greater warmth (21-22), she sympathetically agrees (23-24). Now for the dance! He addresses her with regard to it (25-26), her answer (27-28), they draw together (29-30), take their places, are waiting for the commencement of the dance (31-34).—The dance.—Conclusion: his thanks, her reply, their retirement. Silence."¹⁴

The introductory material returns in the coda to provide even greater unity (Ex. 4a). The rests in the theme of the second waltz cause suspense, and foreshadowed Lanner and Strauss (Ex. 4b). The original idea of the depiction of noble chivalry by a waltz helped to assure the "Invitation" a permanent place in pianistic repertory.



Ex. 4a—Carl Maria von Weber: Invitation to the Dance: coda

¹⁴Frederick Niecks, Programme Music in the Last Four Centuries (London, 1907), p. 138-139.



Ex. 4b—Carl Maria von Weber: Invitation to the Dance: second theme: beginning.

Weber's Invitation to the Dance may be considered epoch-making, since it was the first composition to embody the waltz in a full-length piece of piano music and was the forerunner of the waltzes of Chopin.¹⁵ It revolutionized the piano concert waltz as much as Der Freischütz did German opera.¹⁶

Chopin

In 1830, when Frédéric Chopin left Poland and went to Vienna—no longer the city of Haydn, Mozart, Beethoven, and Schubert, but of Strauss and Lanner—he wrote disparagingly of waltz music and complained that the Austrians called waltzes "compositions" and Strauss and Lanner "orchestra directors": "Today any organ grinder can play Strauss."¹⁷

¹⁵Dale, p. 255.

¹⁶H. E. Jacob, Johann Strauss, Father and Son: a Century of Light Music, Translated by Wolff (New York, 1939), p. 55.

¹⁷Casimir Wierzynski, Rubinstein Plays Chopin, Program notes for phonograph record (RCA Victor).

Chopin wrote at least fourteen waltzes, reflecting the elegant salons of Paris more than the Viennese dance halls. Most of them are virtuosic like Weber's; others, such as that in A minor, have been termed Valse mélancolique. Like Schubert, whose waltzes Chopin probably never heard, Chopin wrote several waltzes in minor keys. Niecks called them "dance poems."¹⁸ They are "dances of the soul and not of the body." Schumann said that "Dancers of these waltzes should be at least countesses." "There is a high-bred reserve despite their intoxication, and never a hint of the brawling peasants of Beethoven, Grieg, Brahms, Tschaikowsky, and the rest."¹⁹

Chopin's early waltzes are simple, in ternary form, sometimes with an extension or a coda, like those of Schubert or Brahms, some almost Ländler-like. Those that we know today (the first written when Chopin was fifteen) were published posthumously. As worthy as they are, he preferred to suppress them in favor of eight works from his maturity which he published, starting with the Grande Valse Brillante, Op. 18. The Waltz No. 11 is among the earliest pieces of any kind written in G^b.

¹⁸Frederick Niecks, quoted by Casimir Wierzynski, Rubinstein Plays Chopin.

¹⁹James Huneker, Chopin: The Man and His Music (New York, 1927), p. 242-243.

Several of Chopin's waltzes are introduced by a martial fanfare, as if calling attention to the dance about to begin (Ex. 5a). These are stylized; Chopin never wrote programmatic or "functional" dance music. Often a brilliant coda contains virtuosic figurations and an increase in tempo (Ex. 5b). The ending of the Waltz Op. 34 No. 1, described as dithyrambic, influenced the Préambule of Schumann's Carnaval.²⁰ Several have the "dance" form of several pieces strung together, but always with some recurrence near the end for unity. A notable procedure is the use of the "refrain," a section which appears after every other section and serves different purposes. The refrain of Op. 42 occurs six times, the first four essentially identical; the fifth changes, threatens to modulate, and leads to the climax; the sixth begins the coda, preparing to wind up the tempo and wind down the harmony.

Occasional irregularities add to the charm of Chopin's waltzes. The slow episode of Op. 42 contains some asymmetric phrase structures that subtly upset the rhythmic smoothness (but not the spirit); the same effect may result elsewhere from an accent on a weak beat. After the reprise of Op. 64 No. 3 starts as expected and progresses normally through a double period, the theme, still in its usual contour, suddenly shifts from A^b major to E major as the a^b' (g#') in the melody (previous corresponding passages modulated to F minor)

²⁰Huneker, p. 245.

becomes a mediant and the leading tone to the relative minor in the bass assumes tonic (!) function (Ex. 5c: m. 132-133). Such half-enharmonic modulations became typical of Liszt. After eight bars the key of A^b is restored, but simultaneously the theme vanishes forever in favor of a coda built on extraneous material.

Vivace

The image shows two systems of musical notation for piano. The first system is marked 'Vivace' and 'f' (forte). It consists of a grand staff with a treble clef and a bass clef, both with a key signature of one flat (B-flat) and a 3/4 time signature. The music features a series of chords and melodic fragments. The second system continues the piece and includes the lyrics 'cre-scen-do' written under the notes. The notation includes various musical symbols such as accents, slurs, and dynamic markings like 'p' (piano).

Ex. 5a—Frédéric Chopin: Valse Brillante Op. 34 No.3:
m. 1-9.

Ex. 5c—Frédéric Chopin: Valse Op. 64 No. 3: m. 131-141

The Waltz Op. 34 No. 2, in A minor, is the least deserving of the name. Sorrowful, slow, and typically Slavic in rhythm and melody, it received the title Valse Brillante and the highest favor by Chopin. It is the longest one in minutes, although it takes only five pages, and has six themes, which occur in various successions. The form of this waltz bears a slight resemblance to that of the first movement of the Sonata in B^b minor (Op. 35, consecutive to the A-minor waltz) in that the first theme fails to recur where it is expected.

Lento

Ex. 5d—Frédéric Chopin: Valse Brillante Op. 34 No. 2: first theme.

The Waltz Op. 42, in A^b, like few of Chopin's pieces, bears no dedication. It is the first one called simply Valse after four Valses Brillantes but is probably the most brilliant of all. Like the A-minor its form is a near-rondo, but in mood the two are poles apart. Though on paper the longest waltz (10 pages), its Vivace tempo makes it only a little longer in minutes than average for a Chopin waltz.

After an eight-bar introductory trill, the first theme enters: the right hand plays a continuous eighth-note figuration; the melody, always falling on the first and fourth notes, gives the impression of a two-beat (6/8) measure. This celebrated theme has given the piece the nickname 2/4 Waltz. The left hand plays normal waltz-accompaniment figuration, should any doubts remain for the listener. (See Ex. 5e.) The second theme is the one that serves as refrain

or ritornello, one of the squarest sixteen-bar parallel double periods imaginable, yet always graceful, contrasting splendidly with each of the episodic themes like the basic ecru against the colored designs in a tapestry. The next episode seems to begin a bar late, or at least to cause some wonder about which of the bars are "strong" (odd-numbered) and which "weak" (even), reminiscent of the optical illusion of a corner of a cube faced head-on: Does it point toward or away from the viewer?



Ex. 5e—Frédéric Chopin: Valse Op. 42: m. 9-12

The Later Romantics

After Chopin no other composer of the Romantic Era, except possibly Liszt, raised the waltz to a higher level of picturesqueness, virtuosity, and artistry, or even reached the level Chopin achieved. As with the symphony after Beethoven, what greater, deeper species could be evolved?

Robert Schumann's twelve Papillons have the character of waltzes and polonaises, as observed from their rhythms,

though no further titles provide clues. Schumann did not write sets of waltzes, but individual ones appear in various suites. Short binary and ternary structures varying from a heavier German to a gentler romantic style evoke imaginary ballroom scenes. In the Grossvatertanz, built on a seventeenth-century tune, one hears the clock striking and the dancers dispersing. Schumann's trademark, a plethora of syncopation, infuses the Ländler Op. 124 No. 7.



Ex. 6a—Robert Schumann: Ländler Op. 124 No. 7: m. 9-15

The Faschingschwank aus Wien resembles a suite and pays homage to the Viennese waltz. The first dance depicts a masked pageant, including the procession of the prince of the feast, who keeps calling the composer back to the "robust life of reality" from Eusebian states of mercurial dreaming. An allusion to Schubert is clothed in Schumann's style, "a ghostlike apparition to one familiar with Viennese dance tunes, and now the fantastic dream-images whirl around in confusion, waltzing about in a mad masquerade, to the 'Marseillaise' and a (German) dance by Schubert."²¹

²¹Nettl, p. 289-290.

Composit 1839.

I. Allegro.

Sehr lebhaft. $\text{♩} = 76.$

Ex. 6b—Robert Schumann: Faschingschwank aus Wien: beginning.

Taking Schubert as his model, Johannes Brahms produced a series of short movements in an intimate style redolent of the Ländler of Schubert but more diversified in structure. Several are built conventionally from three eight-bar phrases, but the majority avoid rhythmic squareness by means of (1) expansions and contractions in the phrase-lengths and (2) consistent syncopation, a device which Brahms took from Schumann and further elaborated. In some of Brahms's waltzes the opening phrase returns to conclude the movement; in others the material is limited or developed in other keys from the first double-bar on. The last two waltzes differ in

character from the others. Waltz 15, in A^b , likely the most famous of the set, is a miniature rondo with three occurrences of the main theme, the last varied. Waltz 16, in $C^\#$ minor, uses double counterpoint, the upper two voices exchanging roles from the first phrase to the second. It is as if Brahms realized his lack of discipline and decided to conclude with a waltz worthy of two tunes capable of combination and inversion.²² The tonality of the last waltz is curious. Most of the first fifteen waltzes are in E, B, or $g^\#$ (emphasizing the E major triad); then, as if not belonging to the set, the last one moves to $c^\#$ (or in some editions, even more remotely, to d).

Ex. 6c—Johannes Brahms: Waltz No. 16: first theme

²²Horace Dann, Brahms's Waltzes, Program notes for phonograph record (1958).

As in many of his small instrumental pieces, Brahms used many elements of folk melody and folk rhythm in his waltzes. The succession of the waltzes is loose, with no expressive progression or climax.

Johann Strauss Jr. continued his family's tradition of composing and conducting functional dance music in Vienna. Of almost five hundred pieces bearing his name, several hundred are waltzes, many of which have never been surpassed for melodic beauty, elegance, and romance, and most of which are eminently suitable for concert performance as well as for dancing. A typical Strauss waltz consists of at least five smaller waltzes preceded by an often overblown introduction and ending in a coda that is not very long; normally the whole lasts five to ten minutes. The introduction is often quite slow and in some meter other than triple; sometimes the character is that of a march. The sub-waltzes have the usual simple forms with most sections repeated. The first is usually aggressive in character and returns near the end; a second, contrasting dance also may recur. Strauss would juxtapose a vigorous, "masculine" theme with a quieter, passive, "feminine" one for the conscious purpose of representing wooing and acquiescing (compare Ex. 7a and 7b with Ex. 1). The contrast must involve tempo among other factors, and many modern performers unaware of this necessity destroy the intended artistic effect.

²³Jacob, p. 197.

Strauss once stated that dance melodies flowed from him (or even through him) like water. Moreover, he felt as if he did not create waltzes, but that he needed only to cut chunks of "waltz" that was all around like ether, and label or package them.²³

Carl Tausig, born in 1840, studied with Franz Liszt from his middle teens until his early twenties. Though Tausig was at first musically immature and brusque, his facility was nevertheless breathtaking, so that even Liszt had to marvel. Tausig delighted in playing passages, often of his own composition or arrangement, that nobody else (except perhaps Liszt) could handle. His hands could span enormous distances; and he regularly fingered pieces, such as those of Chopin, so as to spread his fingers as wide as possible. His studies with Liszt caused his musicianship to approach the excellence of his technique, and he soon became one of the finest pianists in the world.

Besides performing, Tausig achieved most through his numerous arrangements, rather than original compositions. One of his best-known works in this field is his version of Weber's Invitation to the Dance, a bravura show-stopper. His arrangement of Strauss's Man Lebt Nur Einmal! raised a collection of Ländler to the level of a highly virtuosic

²³Jacob, p. 197.

concert waltz for piano. Especially effective is its treatment of orchestral textures at the keyboard. The two-page introduction resembles a march as much as a 3/4 movement can. A 2/4 meter is simulated by beginning the piece, and a later phrase after a fermata, on an accented second beat (Ex. 7a). The many left-hand stretches required by the tenths are strenuous. The main theme is built on a motive of fivefold quick repetitions of close-spaced chords; however, using the fact that single repetitions are relatively easy, Tausig solved the physical difficulty apparent in this motive by a double-alternation of the hands (Ex. 7b). In the reprise, though, even this will not work, because more notes are added, and the repetition must be accomplished by one hand. But the character of the form dictates that clarity and lightness are no longer primary considerations and also that the tempo may be broadened slightly. The second, "feminine" theme in the main waltz (Ex. 1) and the first theme in the middle section employ yodeling motives. The whole middle section, especially its second and final themes, make Schumann-like consistent use of hemiola (Ex. 7c). Atypically, the introductory theme recurs, serving to conclude both the first main section and the coda.

The image displays two systems of musical notation for piano. The first system consists of two staves, with the upper staff in treble clef and the lower in bass clef. It is marked with the tempo 'legato' and the performance instruction 'appassionato'. The music features a complex, flowing melody with many slurs and ornaments. The second system is a smaller fragment of the same piece, marked with the numbers '2.62' and '278', indicating its position in the original work.

Ex. 7c—Johann Strauss, Jr. (arr. Carl Tausig): Man Lebt Nur Einmal!: middle section: final theme.

Toward the latter part of the 19th century some composers injected nationalistic elements into their waltzes, such as the Russians Tchaikovsky, Liadov, Rubinstein, and Glazunov; the Czechs Smetana and Dvořák; and the Scandinavians Grieg and Sibelius. By far the greatest exponent of Norwegian nationalism in music was Edvard Grieg. His facile waltzes Op. 12 no. 2, in A minor; Op. 35 No. 7, in E minor; and Valse Mélancolique Op. 68 No. 6 show little trace of folk-tune influence. But the Valse-Improptu, Op. 47 No. 1, is midway between the salon-music style of the above three and his distinctly Norwegian style. Its melody, containing intervals typical of folk music, against guitar-like chords which frequently jangle in a different direction, creates an

effect of "harmonic crudity that looks backward to primitive music and forward to modern bi-tonality" (Ex. 8). The combination of styles is unified by a smooth piano texture.²⁴



Ex. 8—Edvard Grieg: Valse-Improptu, Op. 47 No. 1: m. 3-7

The melodies and rhythms of Antonín Dvořák's eight waltzes Op. 54 (1880) show unmistakable Czech influence, such as frequent apparent combinations of 6/8 or 3/2 meter with the basic 3/4, a device reminiscent of Chopin's Waltz Op. 42. Also Chopinesque is the expanded size of the sections and the occasional ritornello procedure. Unlike Chopin, but completely refreshing, is the juxtaposition of different keys for the different sections, more in the manner of Schubert. Colorful effects abound, especially in the code. The subdominant-tonic cadence of the Waltz No. 6, in F, includes a discord $f-b^b-d^b-g^b$ sustained for several bars before resolving to a tonic triad, as if to insinuate that the strongest cadence is one that relaxes the most tension. The Waltz No. 4, in D^b , ends with a recurrent falling leading-tone

²⁴Dale, p. 272.

(Grieg is famous for this) that causes almost as much tension in its motion as in its incidence.

Mahler and Tchaikovsky distorted and parodied dance tunes to symbolize the triviality of life. Their waltzes, though tinged with idioms from their respective fatherlands, contain grotesqueries that anticipate Bartók, Prokofiev, Poulenc, and Ravel.

Franz Liszt became famous both for his original waltz compositions and for his arrangements. The latter were always show-pieces exploiting the virtuosic possibilities to their imaginative utmost, yet his sense of the beautiful in melody and harmony never sagged. He eagerly undertook his fantasy on the waltz from Gounod's Faust, the most popular opera at that time.

The tune of the waltz breaks out of the rumbling and the thunder of the preluding bars. . . . It is possible to hear . . . a sort of epitome . . . of all the slangy waltzes escaping out of the opened doors of theatres. . . . The waltzes of Offenbach are implicit in it. . . . It was to fall, doomed to fall . . . When the waltz comes back, once more and for the last time, it is decked out in devilish and fiendish finery. . . . ²⁵

With this transcription Liszt simultaneously satisfied the taste of his audiences and ridiculed them for enjoying such a frivolity.

²⁵Sacheverell Sitwell, Liszt (Boston, 1934), p. 251.

Walzer

aus der Oper **FAUST** von Gounod.

15. *Allegro molto vivace.*

crescendo

ten.

crescendo

accelerando

sf

sempre ff

più accelerando

Un poco meno vivace.

Ex. 9a—Franz Liszt: Waltz from the Opera Faust by Gounod: introduction.

Whereas Weber and Chopin transported the waltz from the dance hall to the concert hall, Liszt with his four Mephisto Waltzes transported the listener from the concert hall to some ancient, legendary village inn. Whereas with his Faust arrangement he jibed at the audience, with his Mephisto Waltzes he caricatured the dance itself. In form, tempo, variety, and virtuosity, the first Mephisto Waltz is to a Strauss waltz as the latter is to a late-eighteenth-century Ländler. The tempo is so fast that it is written in 3/8. Not only have the second and third beats in the measure lost their accents, but not even every bar gets accented. The piece begins with a bar of rest, the sound commencing in m. 2; Liszt has indicated with numbers how bars are grouped in fours (Ex. 9b). Later measures are written in 2/4, 2/8, etc. (Ex. 9c) and thus lose even the slightest trace of triplicity. Such division of a waltz measure into four equal parts can be traced back at least to Chopin's Minute Waltz (1846-7), Op. 64 No. 1 (Ex. 9d: m. 45, r.h.). The Mephisto Waltz is deceptive tonally as well as rhythmically. The "home" scale has three sharps; and much of the waltz, including the coda, is in A major. But even though the three sharps appear from the beginning, it takes two pages to find A major. The opening gradually builds a chord mostly in perfect fifths from a low E, as if to suggest string instruments tuning. However, the E never functions as a dominant; instead it

remains while the B above it moves to c, producing a C major chord in first inversion.

Allegro vivace (quasi presto.)

5. 1 *mf*

f marcato

p

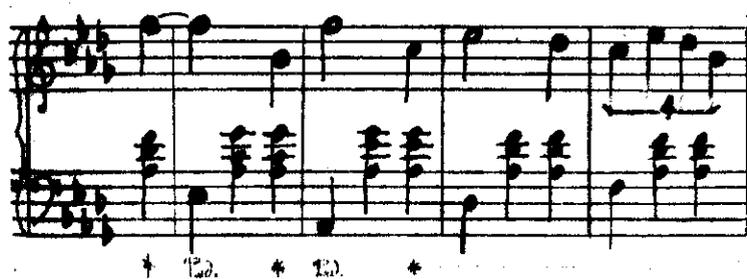
Ex. 9b—Franz Liszt: Mephisto Waltz No. 1: m. 1-29

Poco Allegretto e rubato.
con grazia

p dolce amoroso
quieto

leggero

Ex. 9c—Franz Liszt: Mephisto Waltz No. 1: m. 474-477, m. 487, m. 780.



Ex. 9d—Frédéric Chopin: Waltz Op. 64 No. 1: m. 42-45

Liszt's third and fourth Mephisto Waltzes show how he simplified his style in old age, demanding technically much less, exploiting the brilliant quality of the piano far less than in earlier years, "but by an unusual economy of means producing novel effects in tone-color. By virtue of the elusive tonal basis and subtle rhythm the music is realistically Mephistophelian in character."²⁶

The opening theme of the third Mephisto Waltz is built on rising and falling single, double, and triple arpeggi on c#, e#, a#, d#' (a major third and two perfect fourths), all blended with the pedal. The harmonic vagueness achieved thereby typifies Liszt's late works. Throughout the first half of the piece, the key signature vacillates between six sharps and all naturals. The fourth waltz hovers between major and minor, and between keys a half-step apart (looking backward to Schubert and forward to Bartók). The final cadence in plain octaves aims at no key, and leaves the hearer in suspense.

²⁶Dale, p. 266.

(Komponiert 1838)

Allegro. M. J. = ca.

Ex. 9e—Franz Liszt: Mephisto Waltz No. 3: beginning

The four Valses Oubliées, sardonic, flighty, and extemporaneous-sounding, evoke nostalgic impressions from the past. They are loose in form and tonally vague. The first is introduced by a sequence of diminished-seventh chords. The main theme begins in F# major over dominant harmony in third inversion with double appoggiatura. Its reprise starts on the same pitch (d#'=eb'), which functions the same (submediant) but in a different key (G minor). A short coda spends itself and dies out, on c#, without really ending. The F#-major chord, presumably the tonic, occurs only once in this waltz: at the end of the first phrase of the main theme, and even that once is inverted.

Ex. 9f—Franz Liszt: Valse Oubliée No. 1: m. 10-18

The Waltz in the Twentieth Century

Although Liszt missed this century by fourteen years, his late work certainly adumbrated modern music. He was among the first to move toward thinner sonorities, less functional harmony and less emphasis on tonality, a return to shorter, transparent forms, and a caustic, satirical mood.

The country most associated with early twentieth-century musical satire is France. But Hungary, though not usually considered a prime source of waltzes despite its geographical proximity to Austria, seems to have excelled in waltz-caricature. Béla Bartók did not become famous writing waltzes. But like his compatriot Liszt, he was devoted to his country's folk-music and extremely sensitive to all kinds of unusual effects.

When Bartók showed his Bagatelles to Busoni, the latter remarked, "Endlich etwas wirklich neues." They are mostly short, forthright studies in twentieth-century style, each on a different aspect. The waltz Ma mie qui danse... (Bagatelle No. 14, 1908) is "a somewhat unfeeling, even sardonic piece—a caricature, perhaps of Poldini—duplicating the second of the Two Portraits for orchestra . . ." ²⁷ The Two Portraits present two views of one subject, like a cubist painting. Both use the same germ-motive d-f#-a-c# (rising)

²⁷Halsey Stevens, The Life and Music of Béla Bartók (New York, 1953), p. 112.

(Ex. 10a). The first, the "ideal," treats the subject tenderly; the second, the "ironic," by a fast, brittle waltz. Haraszti comments,

The technique of his Two Portraits is already completely linear. As in painting, which reduces the stereometry of solid bodies to a flat surface, so also in music, dematerialization and abstraction prevail. It is the cubist conception of matter and cubist geometrical rhythmic in sound.²⁸

In the Bagatelle Bartók shows "a Stravinskian awareness of advanced stylistic possibilities before Stravinsky had been heard of."²⁹ One of the Magyar elements present in the Bagatelle is a kind of organum in thirds—parallel major thirds not functioning in a tonality (Ex. 10b).



Ex. 10a—Béla Bartók: Bagatelle No. 14: m. 9-14



Ex. 10b—Béla Bartók: Bagatelle No. 14: m. 109-114

²⁸Emil Haraszti, Béla Bartók: His Life and Works (Paris, 1938), p. 59.

²⁹Stevens, p. 298.

Maurice Ravel composed two monumental waltz-pieces: one a caricature, the other an apotheosis; one a suite of separate waltzes, the other a huge waltz; one during his happy prime, the other after an emotional breakdown eight years later. The Valses Nobles et Sentimentales, consisting of seven waltzes plus an epilogue, date from the earlier, saner period. Both the music and the title were inspired by Schubert.³⁰ They evoke a cold, piquant, intellectual, neo-classic atmosphere. A quotation from the novel Les Rencontres de Monsieur de Bréot, by Henri de Régnier, appears on the score: "The delightful and always novel pleasure of an useless occupation."³¹

³⁰Dale, p. 252.

³¹Arbie Orenstein, Ravel: Man and Musician (New York, 1975), p. 176.

Ex. 11a—Maurice Ravel: Valses Nobles et Sentimentales: epilogue. The epilogue recalls fragments from the various waltzes in the set, as shown by the respective Roman numbers. Measure numbers are in boxes.

La Valse, subtitled "Poème Chorégraphique," pays homage to Johann Strauss, Jr.: ". . . the bright sunlight of the Viennese waltz has been split up against a sharp prism into a many-colored spectrum."³² Melodic seventh-leaps (sometimes

³²Carner, p. 66.

sounding more like diminished octaves), oom-pa-pa accompaniments, and glissandi by the strings exemplify the Strauss-like devices.

The two pianists Marcelle Meyer and Ravel performed the work for the first time, at the home of Misia Sert, to whom it is dedicated, in the presence of Diaghilev, Massine, Poulenc, and Stravinsky. Diaghilev called La Valse "a masterpiece . . . but it's not a ballet. It's a portrait of ballet . . . a painting of a ballet." "Stravinsky remained silent. Ravel calmly took his manuscript and walked out. The incident marked a permanent rupture of relations between Ravel and Diaghilev."³³

The working-out of the composition took fourteen years. Ravel has supplied a program:

Through whirling clouds, waltzing couples loom faintly into view. The clouds gradually scatter; one sees at letter "A" an immense hall peopled with a whirling crowd. The scene is gradually illuminated. The light of the chandeliers bursts forth at the fortissimo at letter "B". An imperial court, about 1855.³⁴

³³Orenstein, p. 78.

Ex. 11b—Maurice Ravel: La Valse: m. 64-72

Ex. 11c—Maurice Ravel: La Valse: m. 135-139

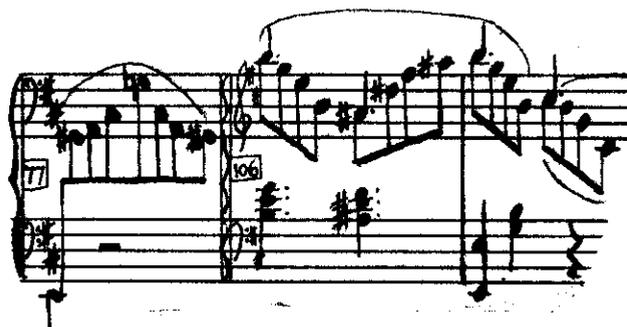
The two main sections of the work run roughly parallel, the last freely restating the first and introducing no new themes. Only the pulse begins, the heartbeat of the waltz. Lost phrases float in, blend together in ever longer units, and slowly emerge as a reminiscence of Vienna. A melody emerges such as Strauss or Lanner might have written; but it gyrates like dancers a bit off-balance, steadies, then whirls on; the dancers swing in wide arcs near the edge of madness. In the second half the themes grow wilder and weirder; a

"fantastic and fatal whirling" builds up to a breaking-point (ex. 11d); and the world ends in a paroxysm of frenzy. This final section was influenced by his emotional breakdown following World War One and the death of his mother.

Ex. 11d—Maurice Ravel: La Valse: m. 579-581, m. 601-605, m. 624-628, m. 645-647.

Basically La Valse is completely tonal, the main key of D major unifying the piece in prominent places. However, as in Liszt's first Mephisto Waltz, the tonality takes two

pages to arrive. When it finally enters, moreover, it sounds tentative, not speaking with authority until the fortissimo at "B". The upward leaps in some of the melodies hereabouts originated in the yodel. Ravel completed the work started by Chopin and continued by Liszt in destroying the stereotyped concept of 3/4 waltz meter: a frequent accompaniment figure consists of eight even, unaccented notes rumbling in the bass or rippling in an inner voice, at times against three quarters in another register (three against eight is one of the most difficult cross-rhythms), occasionally against no other rhythm, and once in a while against two even dotted quarters in the melody (Ex. 11e; also last two m. of Ex. 11b).



Ex. 11e—Maurice Ravel: La Valse: m. 77, m. 106-107

Near the end, a low point is reached from which the "fatal whirling" starts. This section features a counter-melodic line that rises a half-step at each measure for 36 measures, then at each beat for eight bars. Frequent augmented

triads occur throughout for the sake of cloudy color effects. One of Ravel's favorite devices, appearing on the next-to-last page, is two major triads moving in contrary half-steps (Ex. 11f: m. 724). The harmony of La Valse never reaches the complexity of Gaspard de la Nuit, but bears closer kinship to the G-major Concerto.

The first performance of La Valse used four hands. Ravel also arranged the version heard on this recital for piano solo. Many passages require three staves to notate all the parts; and it seems that Ravel purposely wrote more notes than humanly possible to play, so as to give the performer some choice regarding what to leave out. The best approach is to learn two staves well, then add what one can.

Quatuor

30 p

vallées

pp en dehors 24-25 p express.

loco

243

325 *so-m*
326 *soutenu*
p

Alto

391

326

391

353

353

The image displays a musical score for Maurice Ravel's 'La Valse'. It consists of several staves of music. At the top, there is a single staff with a treble clef and a key signature of one sharp (F#), containing a melodic line with various ornaments and slurs. Below this is a grand staff (treble and bass clefs) with a piano accompaniment. The piano part includes a box containing the number '214' and the instruction '- sempre'. To the right of the piano part is a section for the Trompe, with a treble clef and a key signature of one sharp, featuring a melodic line with slurs and a dynamic marking of 'mf'. At the bottom of the page, there is another grand staff with a piano accompaniment, including a box with the number '724' and a key signature of one flat (Bb). The score is densely written with notes, rests, and other musical symbols.

Ex. 11f and 11f'—Maurice Ravel: *La Valse*: m. 50-51, m. 243-244, m. 326-327, m. 391-392, m. 553-555, m. 614-618, m. 724. Ex. 11f is Ravel's arrangement, most of which is impossible for two hands; Ex. 11f' is a practical performing version of the same measures, edited by Wm. L. Adams Jr.

Summary

The story of waltz music has progressed from simple, nonchalant double periods and loose successions of rudimentary forms. From the early nineteenth century, its structure became more integrated through the principle of recurrence, oddly enough, just as most other music began a trend toward greater diversification and, eventually, looseness in form; at the same time, it followed the general trend of music toward virtuosic difficulty and expression. Thence it passed

to the stage of satire, caricature, various distilled essences, and climactically, in Ravel, distilled essence. Whether waltz composition can reach further heights, depths, or other extremes remains for some future genius to discover. That waltz performance will continue to delight musicians, dancers, and listeners appears certain.

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