A HISTORICAL AND STYLISTIC ANALYSIS
OF THE
SONATA, OP. 31, NO. 2, IN D MINOR OF
BEETHOVEN

THESIS

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By

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CHAPTER I

THE PERIOD OF BEETHOVEN IN MUSIC HISTORY

General Historical Background

The period in musical history which includes the last few years of the eighteenth century and the first years of the nineteenth century was a decided turning point in the evolution of the art of music. It is just at this time that Beethoven comes onto the musical horizon to lead or point the way to the new possibilities inherent in music when it is freed from the rigid rules that had bound it.

This period in general history is the period of the French Revolution, the Napoleonic Wars, and the American Revolution. It is the period that shows the slow rise of the lower and middle classes in a democratic spirit which pointed to greater freedom and liberty in all spheres of human activity.

The leaven which had caused the French Revolution and other upheavals of the people to secure greater freedom of thought and action appears to have been working in the field of music also. The last half of the eighteenth century and the early years of the nineteenth century is that period
known in musical history as the Classical Period. It is not important that we set definite dates to mark its beginning and ending. It is, however, important to know the trend of musical thought during that period. The music of this period is characterized as objective, showing emotional restraint, polished, refined, having mastery of form, and possessing clarity of phrasing. Its harmony shows remarkable simplicity. Many passages of instrumental works consisted almost solely of the primary triads. Seventh chords were used sparingly and ninth chords scarcely at all. On the whole the harmonic content of the works of the Classical Period is much less complex than the harmonic material used in the works of J. S. Bach. The melody of this music is also markedly simple and often folk-like in its clarity. In regard to form, the majority of instrumental works were cast in the sonata form.

In the main the entire range of instrumental music of this period is bound by the rules and conventions which had grown up around the forms in use so that one could expect that the first subject in a sonata-allegro movement would be in the tonic key, and the second subject would be in the dominant key or in the relative minor. Everything was restrained and conventionalized so that no freedom was given to the imagination of the composer. His thoughts were expected to conform to the patterns then in use.
It is at the end of the eighteenth century that we see this leaven of unrest and desire for freedom of ideas made manifest for the first time in music. It is then that the first seeds of the Romantic Movement begin to spring into life. As in the other arts of literature and painting, the Romantic Movement in music possessed a spirit of discontent for the artistic formulae and conventions of the immediate past. Composers felt a need for and demanded more freedom of thought and ideas. They called for new forms in which to express the ideas that clamored for expression in their souls. Music for them must express personal feelings; it must be subjective; it must not be shackled by useless rules concerning its form, content, and phraseology. In order to express more fully their own individuality they must be given free reign to compose how and what they liked. They must search out new harmonic and tonal possibilities.

It is just at this turning point in the stream of musical history that Beethoven comes on the stage of action. He comes at the time when the transition from the Classical to the Romantic Period takes place. It is neither possible to catalog his works as belonging to the Classical Period, nor to the Romantic Period. With respect to the forms used, Beethoven could be considered a classicist because he made great use of the sonata form as a vehicle of expression for his thoughts. It is the way in which Beethoven uses the
sonata form that makes him, to some degree at least, a romanticist. In any case, it was Beethoven who paved the way for the flowering of Romanticism by the composers immediately following him. It was he who first put imaginative content and soul into music. In fact his early works in the field of programme music are quite notable.

A Consideration of Some Contemporaries

In order to understand to the fullest degree the compositions of any composer, it is always well to consider the works of contemporary composers. By so doing, one may see things in their proper perspective and not be tempted to over or underestimate the worth of the composition or compositions under consideration.

Franz Joseph Haydn (1732-1809) and Wolfgang Amadeus Mozart (1756-1791).--The two composers of this period who have won undying fame for writing great music are Haydn and Mozart. It is not because of the sonatas for piano of either man, however, that their reputation was established. The sonatas of both Haydn and Mozart are works that are not too definitely written in the piano idiom. They could have just as well been written for the harpsichord.

While it is true that the early sonatas of Beethoven are reminiscent of the sonatas of Haydn, it is also true that the sonatas of Haydn are not compositions that can be very favorably compared to those of Beethoven. The Sonata
in D major of Haydn has many dynamic changes and heavy accents which make it to some extent comparable to the Beethoven sonatas. It is in other fields, such as the symphony and chamber music, that Haydn is at his best.

Mozart is not at his greatest in his sonatas for the piano. He wrote some nineteen of them, of which the Sonatas in C minor, K.V. 457; in A major, K.V. 331; in D major, K.V. 576; and in D major, K.V. 284 are among the greatest. Mozart is known, however, more for his symphonic works, his chamber music, and his piano concertos than for his piano sonatas.

It was then neither Haydn nor Mozart who really developed the first truly piano style. It is to the two composers to be discussed next that credit is due to at least a certain degree for the first establishment of a true piano idiom. These two composers, Clementi and Dussek, it will be seen, were known to write excellently for the keyboard. Their works are always pianistic, but they lack the spark of genius, the soul that Beethoven put into his sonatas.

Muzio Clementi (1746-1832).--Clementi wrote some 60 sonatas and many sonatinas which are little known today except as teaching materials, for which they are very well adapted. His sonatas were used by Beethoven himself for that purpose. They possess clear outlines of form, are
well-proportioned, and definitely pianistic. Clementi had every possibility to have written great music for he had studied the sonatas of Scarlatti, Haydn, Mozart and Beethoven. It is of interest to note what Oscar Bie says of Clementi in his book, "A History of the Piano-forte and Pianoforte Players." He says the following concerning the so-called Dido Sonata which is dedicated to Cherubini:

> Even in it the genius is cold. In the other sonatas we see the body of Beethoven without the soul. It is Scarlatti once again--trivial and soul-less; but unlike Scarlatti, who cut short what had short life, it is pretentious in its eternal repetitions.1

In Clementi's Sonata, Op. 40, No. 2, in B minor, we find one of his works which seems a little more highly developed than the others. It starts with a slow introduction in the manner of the Haydn symphonies. In the opening theme of the sonata-allegro movement, there is a motive similar to the motive in the Beethoven Sonata, Op. 31, No. 2, in D minor, in that it is based upon the members of the tonic chord. This passage, as shown in Figure 1, might be favorably compared to measures 21 to 25 of the first movement of the Beethoven Sonata.

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Fig. 1.--Measures 1-7, 1st movement, Sonata, Op. 40, No. 2, Clementi.

The development section of this first movement of the Clementi Sonata is also a little more developed than in Mozart and Haydn Sonatas. It goes through the keys of G major, D minor, C major, A minor, B minor, Eb minor, Eb major, E minor, G minor, A major, C major and then back to B minor for the recapitulation.

The second movement is a largo which leads without interruption to the last movement, allegro. The unusual thing is that the theme of the largo occurs again in the middle of the allegro movement.

Again it is not for his piano sonatas that Clementi is famous as a composer. It is rather for his series of studies, "The Gradus ad Parnassum," a valuable collection of study material for the pianist.

Johann Dussek (1761-1817).--Dussek, who achieved great fame as a pianist, wrote concertos and sonatas for the
piano. They are brilliant and sparkling in style, even if somewhat sentimental. He is noteworthy as one of the first composers to compose almost solely for the piano. His slow movements are sustained and serious. He was very partial to the pedal and was also one of the first to use syncopations effectively.

Johann Cramer (1751-1858).--Cramer wrote 100 piano sonatas which are almost unknown today. His best sonatas are more timid and tame than Clementi's best. He is to be considered as one of the fathers of piano playing but not because of his piano sonatas. His fame rests rather upon his set of 84 studies in two books. A copy of these etudes is found in the Royal Library of Berlin showing Beethoven's comments on them. It is evident that Beethoven valued highly these excellent studies, which are at times highly musical in content.

J. N. Hummel (1778-1837).--Hummel wrote a few sonatas but is better known for his concertos. In his concertos, at any rate, are found his most inspired works. His ideas are old-fashioned, and his music mostly for display. His slow movements are highly elaborate and decorated with shakes, arpeggios, and trills. The technique of the pianist preponderates over the invention of the composer.

From this rather brief study of some of the more important contemporaries of Beethoven who were composers for
the piano, it is felt that Beethoven was far in advance of his day. With special reference to sonatas for the piano, Beethoven's are far superior to those of his contemporaries from the standpoints of musical content, mastery of form, dynamic qualities, and thematic development. His sonatas have stood one of the severest tests for any work of art—the test of time.
CHAPTER II

THE PERIOD OF THIS SONATA IN BEETHOVEN'S CREATIVE ACTIVITY

It is always of interest in the study of any musical composition to notice what other works the composer was writing at the same time and also to find just where in chronological order the particular composition is placed.

The Sonata, Op. 31, No. 2, in D minor was written in 1802, which was a very productive year in Beethoven's musical activity. It first appeared without opus number along with the Sonata, Op. 31, No. 1, in G major in the fifth volume of Naegeli's collection, Répertoire des Clavecinistes, in 1803. The two sonatas were published again the same year by Simrock in Bonn as Opus 31, Edition très correcte. They were also published a little later by W. Cappi of Vienna, erroneously as Opus 29.1

The important works which Beethoven composed before this time were:

16 Piano Sonatas, Op. 2 to Op. 31, No. 1
1 Symphony, Op. 21

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1 Gustav Nottebohm, Ludwig van Beethoven Thematisches Verzeichnis, p. 35.
As Beethoven came to the year of 1802, the year of the composition of this particular sonata, he was becoming progressively deaf. It was during the summer of 1802 that Beethoven, while at Heiligenstadt for a health rest, wrote what is now known as the Heiligenstadt Testament, which is an attempt to explain his anti-social trends in the light of his deafness. This document begins as follows:

For my brothers Carl and Beethoven.
O ye men who think or say that I am malevolent, stubborn or misanthropic, how greatly do ye wrong me, you do not know the secret causes of my seeming, from childhood my heart and mind were disposed to the gentle feeling of good will, I was even eager to accomplish great deeds, but reflect now that for 6 years I have been in a hopeless case, aggravated by senseless physicians, cheated year after year in the hope of improvement, finally compelled to face the prospect of a lasting malady (whose cure will take years or, perhaps, be impossible), born with an ardent and lively temperament, even susceptible to the diversions of society, I was compelled early to isolate myself, to live in loneliness, when I at times tried to forget all this, O how harshly was I repulsed by the doubly sad experience of my bad hearing, and yet it was impossible for me to say to men to speak louder, shout, for I am deaf, Oh how could I possibly admit an infirmity in the one sense which should have been more perfect in me than in others, a sense which I once possessed in highest perfection, a perfection such as few surely in my profession enjoy or have enjoyed.2

It is very possible that Beethoven's deafness was a great asset to future generations of musicians and

music-lovers. It made it necessary that he should withdraw more and more from performance as a pianist; and in thus withdrawing from public appearances, his thoughts were turned to greater efforts in composition. This malady also changed to some extent the character of the compositions which he wrote for the piano. There was no longer the incentive to write compositions which he could use to display his ability as a virtuoso-pianist.

In spite of Beethoven's condition, both physical and mental, the year 1802 was one of great musical activity.

The works that were published during 1802 were:

- Serenade, Op. 25, for flute, violin, and viola.
- Septet, Op. 20, in E flat for violin, viola, horn, clarinet, bassoon, violoncello, and contrabass.
- Quintet, Op. 29, for 2 violins, 2 violas, and violoncello.
- Variations for Violoncello and Piano on "Bei Männern welche Liebe fühlen."
- Six Contradances for 2 violins and bass.
- Six Rustic Dances for 2 violins and violoncello.3

According to Thayer, the works that were developed that year were:

- Two Piano Sonatas, Op. 31, Nos. 1 and 2.
- Two sets of Variations for piano, Op. 34, and Op. 35.
- The Second Symphony, Op. 36.4

3 Ibid., p. 364. 4 Ibid., p. 364.
Nottebohm, who has made a study of the sketchbooks of Beethoven, tells what compositions were being worked on, or at least those whose themes Beethoven wrote down at this time. The important works from the sketchbook which covers the period from the fall of 1801 to the spring of 1802 are:

Three of the Contradances.
Last movement of the Second Symphony.
Five of the Rustic Dances.
Last movement of the Piano and Violin Sonata, Op. 47.
First movement of Piano Sonata in D minor, Op. 31, No. 2. (The first sketch only)
Sonata for Piano and Violin in G major, Op. 30, No. 3.
Variations for Piano in E flat major, Op. 35.
Variations for Piano in F major, Op. 34.
Sonata for Piano in G major, Op. 31, No. 1.5

We have from Carl Czerny an interesting statement of Beethoven's opinion of the works he had composed before this time. Bekker refers to this statement as follows:

"I am by no means satisfied with my works hitherto, and I intend to make a fresh start from today," said Beethoven, according to Carl Czerny's account, to his friend Wenzel Krumpholz, the violin teacher. Czerny believes that remark was made shortly before the appearance of Op. 31, "in which," he says, "one can trace the partial fulfillment of his new resolution."6

5Ibid., pp. 364, 365.
6Paul Bekker, Beethoven, p. 115.
It is true that these sonatas, and especially Op. 31, No. 2, do show some important new changes from those that had gone before. These departures from former practices will be studied in more detail later as the detailed analysis of the work is considered.

There are several Beethoven authorities, however, who seem to think that the Variations, Opus 34 and Opus 35, more nearly set a new style of writing. They form their opinions very likely from the comments which Beethoven made concerning these variations when they were sent to the publishers.

He says, in a letter to Breitkopf and Haertel, dated October 18, 1802:

I have made two sets of Variations of which the first may be said to number 8, the second 30; both are written in a really entirely new style and each in quite a different way. I should very much like to have them published by you but under the one condition that the honorarium be about 50 florins for the two sets--do not let me make this offer in vain, for I assure you you will never regret the two works. Each theme in them is treated independently and in a wholly different manner. As a rule I only hear of it through others when I have new ideas, since I never know it myself; but this time I can assure you myself that the style of both works is new to me.\(^7\)

He even considers these works so radical a departure from former methods of composition that he asked that the following preface be printed with the variations:

Inasmuch as these V. differ materially from my earlier ones I have, instead of designating them

\(^7\)Thayer, op. cit., p. 368.
merely by number, 1, 2, 3, etc., included them in the list of my greater musical works, and this also for the further reason that the themes are original. The author.

It has been of interest to notice that Beethoven struck out on new paths in his piano works before he did in his larger symphonic works. Evans, in discussing the first movement of the First Symphony, gives the following explanation for this fact:

It is safe to hold that its limited presentation of the Beethoven individuality is not due to underdeveloped power at the period of its composition but to the composer's hesitation to trust himself too far ahead of his compeers.

It may also be noted that this condition existed through all the years of Beethoven's creative activity. His keyboard works seem to show more clearly a style more advanced than do his symphonic works. Willi Apel gives the following explanation:

It is interesting to notice that Beethoven's late style is much more clearly indicated in his piano sonatas and string quartets than in his symphonies, the three last of which belong chronologically to his late period. Probably the explanation is found in the fact that the orchestra, with its large and varied resources, compelled him to retain that attitude of an organizer and strategist which he abandoned in his works for the pianoforte and the string quartet.

8 Ibid., p. 369.


10 Willi Apel, Masters of the Keyboard, pp. 219, 220.
From the examination of the works written before 1802, it is considered that a change of style is indeed felt at the period in which this sonata was written. In many discussions of Beethoven's works, they are divided into three periods, the period of imitation and formation to about 1802, the period of mature works to about 1820, and the period of abstraction to 1827. Whether the division of Beethoven's works into three periods is valid or not, it is not the object of this paper to discuss. If these divisions are made, this sonata would most logically come at the beginning of the second period.
CHAPTER III

THE PIANO OF BEETHOVEN'S DAY AND ITS INFLUENCE ON THIS SONATA

Introduction

It seems advisable in the study of any musical composition to ascertain if possible the mechanical and physical condition of the instrument in use at the time the work was composed. It is of course impossible to determine how a composition sounded on the instrument in use at the time the work was written unless recordings are available; yet if one knows the mechanical construction of the instrument, he may come to some conclusions that may help him to understand more fully the work under consideration.

A study of the piano in use at the beginning of the nineteenth century, the time of the composition of the Piano Sonata Op. 31, No. 2, will show us in some respects both how Beethoven intended this work to sound and also how these intentions were realized in performance. This study may also be of value to those who are to interpret this sonata on the grand piano in use today.

There is a great deal of difference between the grand pianos of the early part of the nineteenth century and the
modern concert grand. So great is the difference with special reference to sonority and volume that Beethoven would be greatly amazed if he could hear one of his compositions played on one of our modern concert grand pianos.

Range

The range of the piano of that period was much smaller than that of our modern concert grand. Up until 1791, the range had been five octaves—FF to f³. (Due to the fact that there are various methods of indicating pitch notation, the system used in this thesis is indicated in Figure 2.)

![Fig. 2.—System of pitch notation used in this thesis.](image)

At that time it was extended up to c⁴. In 1794, John Broadwood (1732-1812), an English piano maker, made the first piano of six octaves, extending the earlier range down to CC.¹ It was extended still further at Beethoven's request in 1816.

¹Philip James, *Early Keyboard Instruments*, p. 54.
In that year Nanette Stein Streicher (1769-1835), a Viennese piano maker, built for Beethoven a piano with a compass of six and one half octaves. This was considered quite an accomplishment.

From an examination of the works for piano written by Beethoven, it is found that at the period that this sonata was written (1802), Beethoven wrote his works for performance on a 5-octave piano. He did not exceed this range until 1804.

**Action**

The action of the piano of that period was much lighter and softer than that of the modern piano. In making this statement, differentiation must be made between the English piano and the Viennese piano. The English piano had a more forceful attack produced by a "jack" action. It produced a more percussive tone. The Viennese action was more elastic and produced, according to Dolge, a more sympathetic tone—reminding one of the clavichord tone. This tone was produced as the hammer in striking grazed along the string to a certain extent.

Johann Reichardt (1752-1814), music critic and composer, tells us that in 1809, Streicher made the actions of his pianos harder. Reichardt says:

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3 Ibid., pp. 59-61.
Streichers abandoned the soft and too easily yielding touch of the other Viennese instruments and at Beethoven's advice and request produced a touch of greater resistance and more elasticity, so that a good performer had increased control over the sustenance and joining of the tones, and could obtain more delicate touch and repetition. He puts a better and more complicated instrument into the hands of the virtuoso who aimed at something beyond mere light brilliance of style.4

The average weight required to depress a key of the piano of the early nineteenth century was approximately one ounce. When this is compared to the average weight of two and one half ounces required to depress a key of the modern piano, it can be readily seen how much easier was the action of the pianos then in use.5

Tension

Closely related to the action in its effect upon the sound produced by the piano is the amount of tension of the strings, as well as the size of the strings. The Vienna firm, Wachtl and Bleyer, boasted in 1808, that the total tension of the strings in their grand piano equaled 9,000 pounds. Compare that to the enormous tension of the strings on the modern concert grand pianos, whose total tension is from 35,000 to 40,000 pounds.6 This lower tension, of course, meant that the sonority and resonance of the

4Paul Bekker, Beethoven, p. 85.
5Ernest Closson, History of the Piano, p. 87.
6Dolge, op. cit., p. 69.
instrument must have been much less, as well as to a greater degree the volume must have been considerably less than that of the modern concert grand. The tension could not have been much greater until the all-metal frame was introduced. Because the tension could not be any greater, the range of the instrument was of necessity limited because the wooden frame could not support more strings. Another factor which limited the volume of tone which could be produced was the thinner wire which had to be used until the all-metal frame was developed.

It can be seen how these different factors influenced each other in such a way that the tones produced by the piano of that period were far from the powerful tones which may be obtained from our present-day pianos.

Pedals

The pedals on the piano of Beethoven's time were only two, the damper pedal and the soft pedal. The soft pedal at first had been merely a strip of soft material which came between the hammers and the strings, causing a deadening, softening effect upon the tones. In 1787, Humphrey Walton, an English piano maker, patented a soft pedal with shifting action so that the hammers would strike one, two, or three strings. In 1789, Johann A. Stein (1728-1792), a Viennese
piano builder, introduced the shifting action soft pedal on his pianos.7

The damper pedal produced the same effect as that of the present-day damper pedal.

In the pianos of the early part of this period, the pedals were operated by the knees. They were called *genouillères*, the name originating from the French word, *genou*, meaning *knee*. John Broadwood, an English piano builder, replaced the knee pedals by foot pedals in 1783. He was copied the same year by the French piano builder, Sebastian Erard. In Vienna, Johann A. Stein replaced the knee pedals by foot pedals in 1789.8

How the Piano of Beethoven's Time Affected this Sonata

As any modern composition is written in such a way that it can be performed on the instruments in use now, just so this sonata was written so that it could be performed on the instrument that Beethoven had available to him. As composers today feel the necessity of better instruments to express their ideas and influence the manufacture of better constructed and more mechanically perfect instruments, so Beethoven, in his day, because he had ideas which could not be adequately

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7James, *op. cit.*, p. 54.
8Closson, *op. cit.*, pp. 87, 95.
expressed upon the instruments of his time, had a great influence upon the manufacture of a piano of greater sonority, range, volume, and expressiveness.

As has been stated earlier, the compositions which Beethoven wrote up until 1804 were written for a piano having a range of only five octaves. Although the range had been extended by certain piano makers to six octaves at the time of the composition of this sonata, Beethoven doubtless did not deem it advisable to exceed the range of five octaves due to the fact that pianos with the extended range were not yet in popular use.

It is nevertheless true that Beethoven was continually striving to achieve new tonal possibilities and would gladly have welcomed the more complete range of the modern piano. Alfredo Casella, in the preface to his edition of the Beethoven Sonatas, very aptly expresses it this way:

During Beethoven's life-time it [the range] was extended little by little at both extremities, but always in a rather hesitant and timid manner. The daring and imperious genius of Beethoven suffered much from this material insufficiency, and in his Sonatas we constantly see his robust and rugged hands, eager for new tones, knocking against the conservative barriers—hands which a romantic musicologist would not have failed to call "the paws of a furious lion."\(^9\)

In this sonata Beethoven can easily be imagined to be knocking at these barriers as he again and again goes up to

the highest and down to the lowest notes he had at his command. There are a number of passages which in all probability would have been written differently had Beethoven had at his command the extended range of the piano of today.

In the first ending of the first movement (Bar 92), Beethoven would doubtless have continued the bass in octaves, had he had the possibility of using these additional tones. This passage is shown in Figure 3.

Fig. 3.--Bars 92-93, 1st movement of Sonata Op. 31, No. 2 of Beethoven.

Also in the first movement in the re-statement of the second group in the recapitulation, measures 179-185, the right hand passage is one octave lower than in the corresponding passage in the exposition. In measure 184, the left hand part is also one octave lower than in the corresponding place in the exposition. Reason would show that he would
have made both passages the same, except for transposition, if it had been possible.

In measures 189-192, the upper voice in the right hand is modified, making a harmonic relationship to the second voice, whereas, in the corresponding place in the exposition, this passage is in bare octaves. In order that this may be more easily seen, Figure 4 shows this passage as it appears in the exposition (Bars 59-62), and Figure 5 shows it as modified in the recapitulation (Bars 189-192).

![Figure 4](image)

**Fig. 4.**--Bars 59-63, 1st movement, Sonata Op. 31, No. 2, Beethoven.

Had Beethoven written this passage as the corresponding passage in the exposition, this would have resulted in the loss of some very beautiful harmonies, so that it is felt that one should not alter this passage even when it is being performed on the more extended piano of today.

![Figure 5](image)

**Fig. 5.**--Bars 189-192, 1st movement, Sonata Op. 31, No. 2, Beethoven.
In the third movement, there are several places in the left hand where only a single bass note is given, but from which we can easily infer an octave from passages of similar nature. In measures 43, 246, and 262, such passages are found. By comparing measures 42-43 with measures 270-271, it can easily be seen that Beethoven would probably have used this octave in measure 43 as he did in measure 271 if he had had the extended range. Measures 246 and 262 come in a group of musical sequences where they are the only two left hand passages which do not have the octave in the bass. In these passages the intention is so obvious that editors have often supplied the lower tone.

Also in the third movement the upper part is modified in measures 307-313, to create again, as in the first movement, a harmonic relationship to the second part; whereas, again in the corresponding passage in the exposition, only bare octaves are found. Figure 6 shows measures 307-313, as altered in the recapitulation, and Figure 7 shows measures 79-85, as they appear in the exposition.

Fig. 6.—Bars 307-313, 3rd movement, Sonata Op. 31, No. 2, Beethoven.
Tovey has this to say about the passage:

It is by no means certain that the change in bars 307-314 was necessitated by the 5-octave pianoforte. An immediate jump to a higher octave at 307 would be awkward, and the present effect of an entry of another voice is beautiful.  

Fig. 7.—Bars 79-85, 3rd movement, Sonata Op. 31, No. 2, Beethoven.

There are two passages which should be discussed because the effect which they produce when played on the piano of Beethoven's time differs so greatly from the effect which they produce when played on the modern grand piano. The passages are the recitative sections in measures 143-148 and 153-158 of the first movement. In both of these passages Beethoven has the pedal marked to be sustained without changing it throughout the entire passage. According to

10 Donald F. Tovey, A Companion to Beethoven's Pianoforte Sonatas, p. 136.
evidence of Czerny, Beethoven wanted the melody of this recitative to be heard as from far away and wrapped up in a sort of sonorous mist.\footnote{Casella, \textit{op. cit.}, p. 102.}

What with the softer, lighter action, the reduced tension, and the greatly decreased volume and sonority of the piano then in use, and what with the possibility of using a soft pedal capable of causing the hammers to strike only one string (a true \textit{una corda} pedal), it is very probable that it was comparatively easy to obtain this effect. On the modern concert grand piano, this effect is not so easily obtained. If one will examine these two passages, it will be seen that they are built primarily upon the dominant chords of D minor and F minor respectively up until the last measure of each passage. It is not, therefore, to be considered so extreme to use one pedal through the whole of each passage, or at least up until the last measure of each passage. This marvelous conception can be obtained, however, only upon the condition that the \textit{una corda} pedal be used and that the melody be played with as soft a touch as is possible in each case. It seems that a little better effect is produced also if the pedal is raised on the last measure of each passage at the point where the dominant harmonies change to tonic. With the increased sonority and volume of the modern pianos, unless great care is taken to play these passages just as
softly as possible, the result will not be a sonorous mist but rather a muddy, displeasing effect.

It is because of these two recitative passages that this sonata is sometimes called the Recitative Sonata, a name which, of course, was not suggested or even inferred by Beethoven.
CHAPTER IV

GENERAL ASPECTS OF STYLE

Mood or Character

Anyone who sets out to determine the mood or who tries to establish a programme for any composition must realize that he is treading on dangerous territory unless he has sufficient evidence from the composer himself to validate his conclusions.

There is one statement from Beethoven himself concerning this sonata which has led to its being called the Tempest Sonata. At one time when Anton Schindler was making an attempt to understand the meaning of this sonata and of the Sonata in F minor, Op. 57, he asked Beethoven for an explanation of them. Beethoven answered curtly: "Read Shakespeare's Tempest!"\(^1\)

It is a well known fact that Beethoven read Shakespeare's works, but it is quite a different thing to say that the Tempest of Shakespeare is the programme for either of these two sonatas. Schindler has been ridiculed and derided for making this statement, which has, nevertheless, been

established by later investigations. Reinhold Zimmerman has recently devoted an article to Beethoven entitled "Anton Schindler, ein Leben für Beethoven," in the Beethoven Almanach der Deutschen Musikblüherei auf das Jahr 1927. He shows that Schindler has been proved right in the end in the eyes of modern scientific criticism.²

Some writers have denounced in no uncertain terms the idea that there is any connection between the Beethoven Sonatas and the Shakespearean play. They say that Beethoven was too great an artist to need a programme for his masterpieces. How they harmonize their statements with the fact that Beethoven himself gave programme notes to his Sixth Symphony, it is not necessary to discuss.

One of these, Behrend, who refuses to see any connection between these two works of art, does, however, make at least a partial programme for this work when he relates it to the Heiligenstadt Testament:

If one looks for the deeper relation between the Master's work and the events of his life, one will involuntarily find the text of this tone poem in the well-known "Heiligenstadt Testament."³

If one should search diligently in this sonata and compare it with the Tempest, it is not hard to suppose that similarities of mood could be found, so that one might even

²Romain Holland, Beethoven The Creator, pp. 381-382.
³William Behrend, Ludwig van Beethoven's Pianoforte Sonatas, p. 88.
find certain passages suggesting definite characters in the
drama. The great problem is to prove that what one has
suggested is what Beethoven had in mind when he wrote the
sonata.

Romain Rolland seems to have caught the right spirit
when he says that the mood and atmosphere are essentially
the same. He says:

What then is the general Stimmung of the Tempest?
The unchaining of elementary forces, passions,
madnesses of man and of the Elements; also the domi-
nation of the Spirit—the magician who at his will can
assemble and dissipate illusion.
But is not this also precisely the definition of
the art of Beethoven at this stage of his maturity,
and particularly in the first Largo allegro of Op. 31,
No. 2, and in the whole of the Appassionata? . . .
The torrent of a wild implacable Force; the sovereignty
of thought, that soars above it all.  

In any case, it appears evident from the hearing of the
first movement of the sonata that it is highly dramatic in
color and tragic in mood. The alternation of piano and
forte, of largo and allegro create the effect of dramatic
action, as does also the recitative section. The other two
movements are not so highly dramatic.

Tempo

The consideration of the tempo of a musical work is
always important. Most modern composers have given their

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4 Rolland, op. cit., p. 192.
own tempo indications on their compositions which in a precise way by means of metronome markings convey their intentions.

The metronome, which was invented by Johann Nepomuk Maelzel, made its appearance during Beethoven's lifetime, so that metronome markings by Beethoven himself are available for some of his works. Care must be taken, however, in saying that only one definite speed is proper and right for any composition because the resonance of the instrument and the acoustics of the hall have much to do with the speed at which a composition will sound most clearly.

At one time Beethoven told Mosel that from then on he was planning to use only metronome markings instead of the Italian terms, allegro, largo, etc., because he considered these terms too vague and indefinite. He never did carry out this idea, although he did give metronome markings for many of his compositions in addition to the Italian terms.\footnote{Frederick Dorian, \textit{The History of Music in Performance}, p. 199.}

The following excerpt from a letter to the publisher Schott, dated December 18, 1826, shows the importance that Beethoven attributed to correct tempi:

\begin{quote}
The metronomic indications (for the Missa Solemnis) will follow shortly. Wait for them. In our century, they are certainly needed; and I have letters from Berlin saying that the first performance of the symphony (Ninth) went off with
\end{quote}
great success, which I attribute in large part to the metronome markings. We can hardly have any tempi ordinari any more, now that we must follow our free inspiration.6

Another quotation from Beethoven which was published in the Wiener Vaterlaendische Blaetter of October 13, 1813, also shows his regard for correct tempi:

I look upon the invention of the metronome as a welcome means of assuring the performance of my compositions everywhere in the tempi conceived by me, which to my regret have so often been misunderstood.7

It has commonly been objected that the metronome marks given by Beethoven did not really convey his intentions, and furthermore that the speeds indicated were at times unplayable. The above quotation seems to indicate that the metronome markings really do convey Beethoven's intentions and that they are also playable by the performers of today.

Rudolf Kolisch, by a study and comparison of Beethoven's works, has provided tempo marks for all of them. In doing this, he studied the character and figuration of the movement, the Italian musical term, the meter signature, and the relation between the metric unit and the tempo unit. By comparing works of similar nature and meter, Kolisch determined metronomic markings for compositions not having them from those which did have them.

7Ibid., p. 177.
The only piano sonata for which Beethoven gave metronome marks is the Sonata, Op. 106, in B flat major. Beethoven's metronome markings are not available, therefore, for this sonata under consideration. From the study described above, Kolisch gives the markings for the first movement of this sonata as: $\mathfrak{J} = 120$. He compares this movement to movements from the string quartets, Op. 18, No. 3; Op. 127; Op. 131; and Op. 135; and to the Violin Sonata, Op. 30, No. 2; and to the Piano Sonata, Op. 81a, by saying:

The allegro alla breve is characterized by the sharp juxtaposition of the two contrasting elements: energetic half-notes and soft, espressivo, legato quarters.8

The second movement of this sonata is compared to the slow movements of the Piano Sonatas Op. 2, No. 1; Op. 2, No. 2; and Op. 7. The tempo indication given is: $(\mathfrak{J} = 30-44)$.9 In the opinion of the writer, this indication is somewhat slow.

The third movement he compared to a movement from the string quartet Op. 18, No. 6, to which it is very similar in character. The marking for this movement is: $(\mathfrak{J} = 88)$.10

The tempo indications given by the various important editions of the Beethoven sonatas follow for reference.

The Kalmus Urtext Edition and the Breitkopf and Haertel Urtext Edition brought out by Carl Krebs, as might be

8Ibid., XXIX (July 1943), p. 293. 9Ibid., p. 309. 10Ibid., XXIX (April 1943), p. 185.
expected, give no tempo markings since Beethoven gave none in his manuscript.

The Schirmer's Library Edition of the Sonatas edited by Bülow-Lebert gives the following tempo indications:

1st Movement **Largo** (♩ = 44)  
**Allegro** (♩ = 108)  
2nd Movement **Adagio** (♩ = 50)  
3rd Movement **Allegretto** (♩ = 80)

The Ricordi Edition, under the editorship of Alfredo Casella, gives these indications:

1st Movement **Largo** (♩ = 48)  
**Allegro** (♩ = 116)  
2nd Movement **Adagio** (♩ = 60)  
3rd Movement **Allegretto** (♩ = 84)

Artur Schnabel in his edition of the Beethoven Sonatas gives the following tempi:

1st Movement **Largo** (♩ = 60)  
**Allegro** (♩ = 120)  
2nd Movement **Adagio** (♩ = 44)  
3rd Movement **Allegretto** (♩ = 69)

There is, it is to be noticed, a slight variation in the markings given in the various editions of the sonata, but they do agree at least in principle.
Dynamics

Beethoven was one of the early composers to indicate in his music directions for the dynamic interpretation of his works. This does not in any way indicate that earlier composers did not wish their music to be performed with due regard for the varying shades of dynamic intensity. It merely indicates that it was at this period that the use of letters to indicate dynamics became common.

The following quotation from Ferdinand Ries (1784-1838), a pupil of Beethoven, shows not only how important Beethoven considered the interpretation of a composition with the proper dynamics and expression, but it also gives an interesting insight into a side of Beethoven's character often overlooked:

When Beethoven gave me a lesson I must say that contrary to his nature he was particularly patient. I was compelled to attribute this and his friendly disposition, which was seldom interrupted, chiefly to his great affection and love for my father. Thus, some times, he would permit me to repeat a thing ten times, or even oftener. . . . If I made a mistake in passages or missed notes and leaps which he frequently wanted emphasized he seldom said anything; but if I was faulty in expression, in crescendos, etc., or in the character of the music, he grew angry because, as he said, the former was accidental while the latter disclosed lack of knowledge, feeling, or attentiveness. The former slips very frequently happened to him even when he was playing in public.11

11 Thayer, op. cit., p. 314.
In this particular sonata the most important use of dynamic marks is that of the piano subito following a forte or a crescendo, a device which is very characteristic of all of Beethoven's music. He uses this device nine times in the first movement, seventeen times in the second, and nineteen times in the third movement.

Beethoven was also very partial to the sforzando. This sudden explosive accent is used fifty-six times in the first movement, fourteen times in the second movement, and forty-three times in the third movement.

Ornamentation

There are only three types of ornaments used in this sonata, but it seems advisable that they should be discussed because of the variance of opinion concerning their execution.

In the first movement the only ornament used is the turn, and here it creates no particular difficulty. It appears twice on the same note in measures 6 and 156, and should be played as shown in Figure 8.

Fig. 8.—Bar 6, 1st movement, Sonata, Op. 31, No. 2, Beethoven.
The trills in the second movement present no particular difficulty because they all have the ending of the trill with the Nachschlag written out. There has been, however, a controversy over the question of the note with which the trill should begin. The question seems to be one of those which cannot be solved with any degree of certainty. Casella has come to the conclusion that in Beethoven the trill should begin with the principal note, because of the fact that when Beethoven desires the trill to begin with the upper auxiliary, he almost always indicates the beginning of the trill with an appoggiatura on the upper note. The trills in this movement should begin on the principal according to modern editors.

The turns in the second movement are not realized in the same way in the modern editions. All the turns in this movement, with the exception of the one in bar 20, are of the same nature. In the Urtext, the turn is shown to be over an eighth-note tied to a dotted sixteenth-note which is followed by a thirty-second-note. Casella does not show the tie between the eighth-note and the dotted sixteenth-note, so that his realization of the turn places the auxiliary notes between the eighth and the dotted sixteenth-notes as shown at a in Figure 8. The turn realized in this

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12 Casella, op. cit., pp. 9, 10.
manner would seem to imply that the rhythm of the original motive were \( \frac{3}{4} \) rather than \( \frac{1}{4} \).

The Bülow-Lebert edition shows the tie and begins the turn immediately after the beginning of the tied dotted sixteenth-note, as shown at \( b \) in Figure 9. This seems to be more in harmony with the principal motive, of which this turn is an embellishment.

Fig. 9.--Turns from 2nd movement of Sonata Op. 31, No. 2, Beethoven, as realized by Casella (a), and Bülow-Lebert (b).

The turn from measure 29 presents no particular difficulty. It consists of four notes played after the tied \( c^1 \), as shown in Figure 10.

Fig. 10.--Turn from Bar 20, 2nd movement, Sonata Op. 31, No. 2, Beethoven, realized by Bülow-Lebert.
The only ornament in the last movement is the inverted mordent or Schneller. Here the question to decide is whether the inverted mordent should come before or on the beat. Casella thinks that in Beethoven all inverted mordents should come before the beat and denounces strongly those who cheapen the music by placing them on the beat. The writer is inclined to agree with this idea, and plays the inverted mordents before the beat.

Variants in the Text

In the Schirmer Library Edition of this sonata edited by Bülow and Lebert, the time signature for the first movement is shown as $\frac{2}{4}$, rather than $\frac{3}{4}$ as shown in the Urtext Edition of Breitkopf and Haertel. The alla breve signature of the Urtext is certainly more in harmony with the character of the movement. Most editions show the signature as in the Urtext.

In measure 37 of the first movement according to the Urtext, the bass motive appears as c-a-c. In order to make this bass motive conform to the others which it follows by sequence, it would have to be c-e-a. Casella, in the Ricordi Edition, changes the motive to c-e-a, evidently to conform to the rest of the passage, but gives no explanation of this change. It cannot be determined whether this is actually a slip made by Beethoven or whether he intentionally changed the motive.
In the first movement, some editions show ties connecting the three bass notes of measure 19 to those of measure 20. These ties do not appear in the original edition. A greater climax is felt at this place if the ties are not observed.

Piano Idiom

It seems advisable that thought should be given to the manner in which the music of this sonata is adapted to the keyboard; that is, whether it is pianistic. In spite of the fact that Beethoven himself was a pianist and probably the greatest pianist of his time, he thought badly for the piano to such an extent that many passages in his works are very awkward to play and very difficult to finger. One can appreciate this fact perhaps a little better if he will make a comparison of the way Chopin's music seems to fit the hand of the performer and seems to fall from his fingers, while the music in many passages of Beethoven's works seems to elude the grasp of the fingers, seems to be written even to be performed on some other instrument.

There are several cases in this particular sonata which are notable examples of awkward passages for the pianist's hand. In the second movement especially are several such passages where very awkward crossings of the hands are indicated. In measures 23-29, there is such a passage, which, as originally written, is most awkward. Klindworth deserves
credit for a new pianistic arrangement of this passage and of the similar passage of measures 65-72. It appears in the Casella edition. Rather than cross hands, Klindworth divides the melody so that the player exchanges hands on it as well as the accompaniment figure. Figure 11 shows measures 23 and 24 as arranged by Klindworth. From these two measures, the performer can easily see how the rest of the passage and the similar passage in bars 65-72 should be performed.

Fig. 11.--Bars 23-24, 2nd movement, Sonata Op. 31, No. 2, Beethoven, as arranged by Klindworth.

Henselt has made a pianistic arrangement of the passage in bars 51-55 of the second movement, which as originally arranged was very unpianistic because of awkward hand crossings. In this arrangement, bars 52 and 54 are
played as written, but bars 51, 53, and 55 are so arranged that the melody and the accompanying broken chord figure are divided between the hands so that hand crossing is not necessary. Figure 12 shows how measure 51 is played in this arrangement. From it the player can deduce the manner of playing measures 53 and 55.

![Musical notation]

X-L.H. takes note without restricting

Fig. 12.--Bar 51, 2nd movement, Sonata Op. 31, No. 2, Beethoven, as arranged by Henselt.

There are several passages in the first movement which, while not particularly awkward to perform, are much easier to play if they are divided between the hands instead of being played all by one hand.

The passage in measures 13-16 of the first movement is much easier if divided between the two hands as shown in Fig. 13.
The arpeggios in measures 97 to 102 are made simpler for performance if they are divided between the hands as shown in Figure 14.

The first note in the bass clef of measure 119 of the first movement is much easier to play if taken with the right hand. This leaves the left hand in the same position as in the previous measure so that it can continue the triplet figure uninterruptedly.
The playing of the arpeggio figures in measures 161-162, 165-166, and 169-170 is made much easier if divided between the hands. Figure 15 will show bars 161-162 from which the pianist may deduce the method of performing the other two passages.

Fig. 15.—Bars 161-162, 1st movement, Sonata, Op. 31, No. 2, Beethoven.

In measures 21-40 of the first movement is an example of a case where the crossing of the hands is to be advised. The left hand will play all the notes of melodic importance on both the bass and treble staves while the right hand is free to play the triplet figures throughout. This manner of performance is indicated by Beethoven himself in the parallel passage in the development. Greater force may be secured in the bass motives of this whole passage if each note is played by the thumb and third finger together. The tied whole notes of measures 22-24 and 26-28 may be sustained for the proper duration even with change of pedal if
they are played by both hands but sustained only by the thumb of the right hand. The left hand plays the note to give it sufficient force. The right hand plays the note at the same time in order to sustain it while the left hand plays the answering melodic figure in the soprano.

In the third movement the passage in measures 201-207 is greatly simplified for performance if the first note of measures 201, 203, 205, and 207 is played by the left hand instead of playing the whole passage with the right hand.

Credit is due to the Casella Edition of this sonata for the most of these changes which help to make this sonata more pianistic, and, therefore, easier to perform.
CHAPTER V

ANALYSIS OF FORM

Introduction

This sonata, as has been mentioned in Chapter II, was composed just after Beethoven had said that he intended to strike out on a new road. The three piano sonatas of Op. 31 were written shortly after making this statement, but if one is really looking for a change of style, he will more nearly find it in this D minor Sonata than in the other two of this opus. This sonata consists of three movements, all of which, curiously enough, are cast in sonata-allegro form. This is the only piano sonata by Beethoven all of whose movements are in the sonata-allegro form. The fact that there is strongly contrasted subject-matter in the three movements is a strong testimony of the elasticity of the sonata form in Beethoven's hands. It is certain that no monotony arises from the fact that the three movements are all cast in the same form.

Another unusual thing about the three sonatas of Op. 31 is that none of them bear dedications, in contrast to most of Beethoven's works which were dedicated to friends or patrons.
The First Movement - Largo - Allegro

The first movement of this sonata and that of the Ninth Symphony are the only two opening allegro movements which Beethoven wrote in the key of D minor. These two first movements have two other important features in common. They both start on a chord that is not the tonic chord of the key, and the principal motive of each is based upon the notes of a chord.

The first movement of this work opens with an arpeggiated chord on the dominant in the first inversion in largo tempo. When a sonata-allegro movement begins with a largo, one is led to believe that the beginning is a slow introduction after the type so frequently used in the Haydn symphonies. This opening largo which only lasts for a measure and three-quarters cannot be designated as such. It is rather an integral part of the movement. The notes of this chord form the core of the thematic material for the whole first movement.

The first movement of the so-called Pathetique Sonata, Op. 13, does open with a section in slow tempo which in contrast to this sonata may properly be called a slow introduction, because it does not constitute an important part of the thematic material of the movement, in spite of the fact that it does appear later as a sort of link between the exposition and the development section.
This is not the only occasion when Beethoven began a movement with a chord that was not the tonic chord of the key. The First Symphony, Op. 21, in C major, shocked the critics by beginning with a dominant seventh chord which leads to a tonic chord in the key of F major rather than to a tonic chord in the key of C major, the key of the movement. The Ninth Symphony in D minor, as stated above, opens with a chord on A in such a way that one cannot determine whether it is the chord of A major or A minor.

The basing of the important thematic material of this movement upon the notes of a triad is not an unusual device with Beethoven. It occurs very often in Beethoven's works and especially in those of the middle period. It is used in the first two movements of this sonata and in the following piano sonatas: Op. 2, No. 1; Op. 2, No. 2; Op. 27, No. 2; and Op. 57. It is used in the two middle movements of the F major quartet, Op. 59, No. 1, and in the first movement of the E minor quartet, Op. 59, No. 2. It appears in the finales of the fourth and fifth piano concertos, Op. 58 and 73, and also in the Third, Fifth, and Ninth symphonies.

The first arpeggiated chord is answered by an allegro theme of eighth notes grouped in pairs in descending sequence, still on the dominant, over a bass which always appears to have the tendency to rise. This allegro theme ends in measure 6 with an adagio pause on the dominant.
This pause is followed in measure 7 by another arpeggiated chord in *largo* tempo. This time it is the first inversion of the dominant chord of the key of F major, the mediant of the original key of D minor.

The two-note-group figure returns again over a series of bass notes rising by semitones until the first tonic chord of the key is reached in measure 13, and this is a chord of the six-four. The two-note-group figure continues on this tonic chord until the last half of bar 20, when it is completed by a dominant seventh which goes into the next section.

This next section from bars 21 to 41 is called by most analysts a transition from the first group to the second group of the exposition.

It is in bar 21 that the first fundamental tonic chord occurs, and it is this section that is the most highly developed later in the development section. This has led some to say that the opening measures up to bar 21 are only improvisatory in nature and that the main theme of the first group really begins with the first fundamental tonic chord of the movement in measure 21.

The thematic material beginning at measure 21 is based on the members of the tonic triad in the bass, the source of which is the opening arpeggiated chord from measure 1. This is answered in dialogue fashion in the soprano by two
measures of notes which hover around $a^1$, using a semitone above and below. The bass rises in sequence fashion in measure 25 and is answered again by the same two measures in the soprano. The bass continues to rise in these sequential chord-tone motives answered each time now only by one note in the soprano, until it ends on the dominant chord of A minor (the dominant minor) in bar 41, where the second group begins. It is doubtless because of the rise of the bass through these measures in sequence fashion that this section, bars 21 to 41, is quite properly called a transition. This position is strengthened when it is noticed that there is no suggestion of the material of this section in the recapitulation. It is the opinion of the writer that this section is a transition because of the sequential figures in the bass. From measure 29 on, at any rate, it is a transition.

The second group begins on the dominant of the key of A minor, so that the second group falls into the dominant minor in relation to the key of the movement. In the usual definition of the sonata-allegro form, the second group is defined as falling in the relative major if the key of the movement is minor. It is of interest to note that in the piano sonatas of Beethoven the second group appears more often in the dominant minor than in the relative major. Of the seventeen sonata-allegro movements of the piano sonatas
of Beethoven which are in minor tonality, the second group is in the dominant minor nine times, in the relative major six times, and in the submediant major twice. The second group of the last movement of this sonata is also in the dominant minor.

The first section of the second group consists of a theme, the notes of which are grouped in pairs of eighth notes as in opening allegro in measures 2 to 6. The first four bars of this section are based on the dominant seventh chord; the second four measures are based on the tonic six-four chord; and the next six measures are based on the dominant chord, the theme here descending on the chord of the dominant ninth to the second theme of the second group.

The second theme (measures 55-74) of the second group, which is of the chorale type, consists of the same notes as used in the soprano answer in measures 22-25, with the exception that the order of notes is different and the rhythm is changed. This theme strongly emphasizes the flat supertonic on the third beat of the measure, and both hands play the same chords. This same theme is repeated an octave higher. The second repetition starts another octave higher but is diverted into a rising sequence which finally lands on the tonic in measure 63 with a IV-VI₆-I₄⁰-V-I cadence. This theme is now repeated in the extreme bass in measure 63 with an antiphonal answer in the treble which consists of
dominant-tonic, tonic-dominant chords in syncopated rhythm. The third time this theme is repeated in the bass, the \( GG^\# \) does not come back to the \( AA \) as usual but descends to \( GG \), where it begins a rising sequence of eighth-notes with a piano subito leading back to the key of A minor. Against this rising bass line, the treble descends in two-note groups of double-thirds in quarter-notes with a skip of an octave between each two-note group. This passage leads to the cadence theme.

The cadence theme (Bars 75-87) consists of a two-bar theme in double counterpoint which is based on the tonic six-four chord and the dominant chord of A minor. This two-bar theme is inverted in the next two measures and then the four bars are repeated with syncopated variation. The first two measures of this theme in the syncopated version are repeated again and lead to a close in the tonic after two additional bars. There is then a four-bar melodic link in bare octaves leading back through the first ending to a repetition of the exposition. This link on the repetition consists of bare octaves descending a single step from \( a \) to \( g \) and going on into the development section. (In the numbering of measures, the measures of the first ending are numbered the same as those of the second ending.)

The development section (Bars 93-142) begins with the Largo figure used at the beginning of the movement. There
is first an arpeggiated chord on the first inversion of the D major triad. This is followed by a diminished seventh chord on B#, and then by a chord of F# major in the second inversion.

The movement then changes to allegro. The figure on the tonic chord and its answering soprano figure used in bars 21-24 now is given in the key of F# minor. The bass rises by steps as before and the answering figure is given only twice in the soprano as in the exposition. This passage is treated in the same manner as in the exposition, rising by steps and going through the keys of F# minor, B minor, G major, C major, A major, and D minor. After two measures in D minor, the next two measures lead to a dominant pedal in D minor (Bar 121), over which the second theme of the second group is developed in contracted form, which brings the accents closer together. This section (Bars 125-126) consists of a four-measure phrase which is repeated twice in lower positions and builds up to a dynamic climax. This is followed by five measures still over the dominant pedal and similar in nature to the cadence theme. Four measures in bare octaves follow, similar to the link between the exposition and its repetition. This leads to the recapitulation.

The recapitulation starts just as the opening of the movement with a largo (Bar 143), but this is not followed
immediately by the allegro as before. A recitative of four bars based mainly on the dominant chord of D minor is inserted here between the largo and allegro. The allegro which then follows is identical to that of the exposition. This is followed as in the exposition by the arpeggiated chord in largo tempo on the dominant of F minor. There follows another recitative of four bars based on the dominant chord of F minor.

The use of the recitative is not new in instrumental music. It was used by Karl Philipp Emanuel Bach in the Andante of his first sonata, written in 1742. Beethoven used this device again in the third movement of the piano sonata, Op. 110, part of which movement is distinctly named recitativo and arioso dolente. At the same place in the Fifth Symphony as this recitative of the Sonata Op. 31, No. 2, Beethoven puts an oboe solo which might also be called a recitative.

After the second recitative Beethoven offers another surprise. He does not go back to the transitional material from measures 21-41 of the exposition. This material is not used at all in the recapitulation. Instead of this material, Beethoven uses (Bar 159) four pianissimo staccato repetitions of the first inversion of the chord of G# major, the dominant of F# minor. This is followed by two measures of arpeggios

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1Apel, op. cit., pp. 182-183.
in the key of F# minor. This is repeated in G minor and then again in D minor which brings us to the second group in the tonic key.

The second group in the recapitulation (Bars 171-217) is an exact transposition of the second group of the exposition into the tonic key, and, therefore, needs no comment. This is followed by a short coda consisting solely of the tonic chord which rumbles around in the bass in eighth notes similar in manner to the cadence theme for six measures. The movement ends with two more chords on the tonic, the last of which has a fermata.

Due to the fact that Beethoven used great freedom in the use of themes and in the structure of this movement, it might be conceivably said that it does not really fit into the sonata-allegro form, but rather looks forward to the more free fantasia form used by Beethoven in later sonatas.

In Table 1 will be found a structural diagram of the first movement of this sonata. The table shows how the first movement would be analyzed structurally from the viewpoint of the sonata-allegro form rather than from the viewpoint of the free fantasia form. The three main sections of the movement, the subdivisions of each section, the measures included in each subdivision, and the key of each subdivision are also shown.
TABLE 1

STRUCTURAL DIAGRAM OF THE FIRST MOVEMENT

<table>
<thead>
<tr>
<th>Section</th>
<th>Subdivision</th>
<th>Measures</th>
<th>Key</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exposition</td>
<td>1st Group</td>
<td>1-21</td>
<td>D minor</td>
</tr>
<tr>
<td>Transition</td>
<td></td>
<td>21-41</td>
<td>Modulating</td>
</tr>
<tr>
<td>2nd Group</td>
<td>1st theme</td>
<td>41-55</td>
<td>A minor</td>
</tr>
<tr>
<td></td>
<td>2nd theme</td>
<td>55-74</td>
<td>A minor</td>
</tr>
<tr>
<td></td>
<td>Cadence theme</td>
<td>75-87</td>
<td>A minor</td>
</tr>
<tr>
<td></td>
<td>Link</td>
<td>87-92</td>
<td></td>
</tr>
<tr>
<td>Development</td>
<td></td>
<td>93-142</td>
<td>Various keys</td>
</tr>
<tr>
<td>Recapitulation</td>
<td>1st Group</td>
<td>143-158</td>
<td>D minor</td>
</tr>
<tr>
<td>Transition</td>
<td></td>
<td>159-171</td>
<td>Modulating</td>
</tr>
<tr>
<td>2nd Group</td>
<td>1st theme</td>
<td>171-185</td>
<td>D minor</td>
</tr>
<tr>
<td></td>
<td>2nd theme</td>
<td>185-204</td>
<td>D minor</td>
</tr>
<tr>
<td></td>
<td>Cadence theme</td>
<td>205-217</td>
<td>D minor</td>
</tr>
<tr>
<td></td>
<td>Coda</td>
<td>217-228</td>
<td>D minor</td>
</tr>
</tbody>
</table>

The Second Movement - Adagio

The second movement is in the sonata-allegro form but without the development section, or as it is sometimes called "modified sonata-allegro form." Due to the fact that the theme of the first group is repeated in embellished form before the transition, and to the fact that the theme of the second group is a four-bar theme which repeats itself, it is probable that a development section would have been superfluous and would only have prolonged the movement to the point of monotony.
The second movement opens with an arpeggiated chord as does the first movement. This time it is on the tonic chord of the key, B flat major. At first this appears to be only a preliminary measure, but on the repetition in measure 9 it can be seen that this opening chord is really a part of the theme. The theme seems to be cast in an eight-bar group which is answered by a nine-bar group making a double period. The nine-bar group comes as the result of an extension of the final phrase by going through a deceptive cadence before arriving at the final tonic chord. The melody is of a sequential type based upon the figure shown in Figure 16. It is embellished with turns on its repetition in bars 9 to 17. The dominant minor ninth chord figures largely in this movement.

![Figure 16](image.png)

**Fig. 16.**--Bars 1-3, 2nd movement, *Sonata*, Op. 31, No. 2, Beethoven.

A rhythmic figure which is very characteristic to Beethoven, ![Rhythmic Figure](image2.png), introduces the transition (Bar 17). This figure appears three times as if played by timpani on the tonic chord. The transition brings in a theme which,
like the soprano answer in bars 21-25 of the first movement, hovers around one note with a note a semitone above it and a note a semitone below it. The theme modulates through E major to C major in preparation for the second group in F major. The rhythmic figure continues both above and below the melody as a dominant pedal in F major until C major is reached, when it becomes a tonic pedal.

The figure beginning in the last half of measure 24, which is repeated in sequential fashion twice, appears to the writer to be related to the development section of the first movement (Bars 121-132) where the second theme of the second group is developed. Notice the similarity of the two figures as shown in Figure 17.

![Fig. 17. --Bars 126-128, 1st movement, Sonata, Op. 31, No. 2, at a, and Bars 23-25, 2nd movement, same sonata, at b, Beethoven.](image)

The second group begins with an anacrusis in measure 30 in the key of F major, the dominant major. It is a typical
classical theme of Mozartean character, in spite of the fact that Beethoven had said that he was going to strike out on new paths. This second group is an eight-measure period in decided contrast to the theme of the first group.

The rhythmic timpani figure appears again in the bass at measure 38, and the soprano goes up the chord of the dominant minor ninth for four measures and descends by a florid passage in thirty-second notes forming a link to the recapitulation.

The theme of the first group appears in the recapitulation altered in much the same manner as it was in measures 9-17. The second part of this theme is richly ornamented in bars 51-58 by an accompaniment of broken chord figuration in thirty-second notes both above and below the melody.

The timpani rhythmic figure returns and ushers in the transition to the second group. The transition is slightly altered and modulates to F major in preparation for the second group in the tonic key, B flat major.

The second group of the recapitulation is an exact transposition into the tonic key of the second group of the exposition and needs no comment.

This leads to the coda (Bar 81), the first eight bars of which are after the same pattern as the link between the exposition and the recapitulation. The following nine measures (Bars 89-98) and the first eighth note of the tenth
are based upon the theme of the first group. Measures 98-103 consist of a new theme built on the subdominant over a tonic pedal. This theme is repeated in the bass, still with the tonic pedal, while the soprano uses the figure which appeared in bars 87-89. The movement closes with a dominant-tonic cadence repeated five times in different positions, all over the tonic pedal.

Table 2 shows the formal structure of the second movement.

**TABLE 2**

**STRUCTURAL DIAGRAM OF THE SECOND MOVEMENT**

<table>
<thead>
<tr>
<th>Section</th>
<th>Subdivision</th>
<th>Measures</th>
<th>Key</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exposition</td>
<td>1st Group</td>
<td>1-17</td>
<td>B flat major</td>
</tr>
<tr>
<td></td>
<td>Transition</td>
<td>17-30</td>
<td>Modulating</td>
</tr>
<tr>
<td></td>
<td>2nd Group</td>
<td>31-38</td>
<td>F major</td>
</tr>
<tr>
<td></td>
<td>Link to</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Recapitulation</td>
<td>38-42</td>
<td>B flat major</td>
</tr>
<tr>
<td>Recapitulation</td>
<td>1st Group</td>
<td>43-59</td>
<td>B flat major</td>
</tr>
<tr>
<td></td>
<td>Transition</td>
<td>59-72</td>
<td>Modulating</td>
</tr>
<tr>
<td></td>
<td>2nd Group</td>
<td>73-80</td>
<td>B flat major</td>
</tr>
<tr>
<td></td>
<td>Coda</td>
<td>80-103</td>
<td>B flat major</td>
</tr>
</tbody>
</table>

The Third Movement - Allegretto

The last movement of this sonata is a practically unbroken perpetual motion of sixteenth notes in three-eight
time. This fact, however, is not at once apparent when listening to the movement because of the fact that Beethoven accents unusual beats and puts in syncopations. The movement can be favorably compared to the piano etude which was to be developed later by the romantic composers.

The first theme is built on the rhythmic figure $\frac{7}{8}$, which is very persistent throughout the whole movement. Thayer says the following, concerning this theme:

A circumstance related by Czerny, if accepted as authoritative, proves that two of the three sonatas were completed in the country. "Once when he (Beethoven) saw a rider gallop past his windows in his summer sojourn in Heiligenstadt near Vienna, the regular beat (of the horse's hoofs) gave him the idea for the theme of the Finale of the D minor sonata, Op. 31, No. 2."\(^2\)

The entire first group is built upon this one melodic and rhythmic figure. It falls into regular phrases of four measures, consisting mainly of tonic and dominant harmonies answering each other, with an occasional flat supertonic. The first group ends with a short codetta making use of a descending chromatic figure.

The transition to the second group begins with the first group figure in the bass (Bar 30) in the tonic key, with the dominant of the key of C major substituted in bar 34. This is followed by a four-bar arpeggio on the chord of C major. The first group figure then appears in the bass in that key and goes into the second group by means of a pivot

\(^2\)Thayer, op. cit., p. 368.
chord which is the supertonic of the old key, C major, and the subdominant of the new key, A minor.

The rhythm of the first theme of the second group is really in two-eight meter, so that a cross rhythm effect is produced. It also has the effect of causing one not to realize that the whole movement is practically a perpetual motion. This theme (Bar 43), as shown in Figure 18, consists of six repetitions of a Schneller on f\textsuperscript{2} slurred to e\textsuperscript{2} followed by a descending passage to a cadence on the tonic. This is repeated in broken octave form and is extended by two repetitions of the last four bars of the theme with two different harmonizations.

Fig. 18.--Bars 43-51, 3rd movement, Sonata Op. 31, No. 2, Beethoven.

The second theme of the second group is built upon the tonic chord (Bars 68-79). The first six measures of this theme make use of the rhythm of $\text{\texttt{\textbackslash M\textbackslashtextsuperscript{\textbackslash M}}}$, while the last six
measures change this to \( \frac{3}{4} \), the rhythm of the first group theme.

The cadence theme (Bar 79) might be said to be derived from the last part of the first theme of the second group because it progresses stepwise. It is played first in octaves and then varied on the repetition by the use of broken octaves. This leads to four measures (Bars 87-90) of the tonic chord in A minor to close the exposition. These four measures are rhythmically divided by a figure which would create two-eight meter again, were it not for the accents which Beethoven places on the first beat of each measure. This is followed by a leading-tone seventh chord in the original key, D minor, which by a four-bar link leads to a repetition of the exposition and then on to the development section.

The development section consists almost entirely of the use of the melodic and rhythmic figure of the first group, which progresses through various keys and also appears in inversion.

The development begins with four bars of the leading-tone seventh chord of G minor in piano, followed by four bars on the tonic chord of that key in forte, all making use of the figure of the first group. This same process is repeated in A minor in the next eight measures. In measure 110, the main theme figure appears in the bass with the
accompaniment in the treble in the key of D minor. Beginning in measure 118, the main theme figure appears in inversion in the treble in C minor. In measure 126, it appears again in regular form in the bass in B flat minor. The theme appears in inversion in the treble in E flat minor in measures 134-138, in B flat minor in measures 138-142, in G flat major in measures 142-144; and in A flat major in measures 144-148.

Notice how the lowest bass note of each of these groups continues to rise as it did in the first movement, C, D flat, E flat, F, G flat, G natural, A flat, A natural and B flat in measures 126-151.

In measure 150, the first eight measures of the first group theme appear in the key of B flat minor in regular form. This is followed by a modulatory passage in the same rhythm which leads back to the tonic key, D minor, in measure 173.

Beginning with an anacrusis before measure 174 is a four bar theme in D minor, whose first part seems to be derived from the first group theme and whose last part might be conceivably derived from the last part of the first theme of the second group because it proceeds stepwise. This is repeated in D minor, and the whole eight bars are then given in G minor. The theme is shortened to the last two bars, which appear in D minor and then in G minor, and then again
three times in D minor with sforzandos. This leads to sixteen bars of descent on the dominant ninth of D minor which close in pianissimo to the recapitulation.

The first group theme in bars 215-232 of the recapitulation is an exact repetition of bars 1-18 of the exposition. Suddenly the flat supertonic of D minor becomes the subdominant of B flat major and the theme continues in that key to close in measure 242. The codetta based on the descending chromatic scale passage which appeared here in the exposition is omitted.

The transition begins, as in the exposition, with the first group figure in the bass, this time in B flat minor. The fourth bar introduces the dominant of F minor, and four bars of tonic arpeggios follow in that key. This eight bar group is repeated twice going from F minor to C minor, and then from C minor to G minor. It is started again in G minor in measure 267 and by means of an augmented sixth chord in the tonic key, D minor, it leads to the second group.

The second group (Bars 271-318) of the recapitulation is an exact transposition into the tonic key of the second group of the exposition and needs no comment.

In measure 319, a link leads to the coda beginning with an anacrusis before bar 323.

The coda begins as the development section with four bars on the leading tone seventh chord of G minor in piano,
followed also in piano by four bars of the tonic chord in that key. This eight bar period is repeated in A major which proves to be the dominant key of the movement. The following twelve measures consist of dominant preparation ending pianissimo.

There follows in rather an unusual manner a complete statement of the first group theme in the original key, which begins with a sudden fortissimo and has sforzandos on each of the third beats of the first eight measures. The codetta from the exposition based upon a chromatic descending passage re-appears and is heard three times instead of twice as in the exposition, the last time fortissimo.

This is followed in piano by a four measure phrase of tonic-dominant, dominant-tonic harmony with change of register on each two bars, all based on the first group theme. This phrase is repeated and is followed by seven bars all on the tonic chord to end the movement softly.

Table 3 shows the formal structure of the third movement. From this diagram one can see how this movement falls into the typical sonata-allegro form, as far as its structure is concerned. It is also obvious from the table that the second group in the exposition is in the key of the dominant minor; whereas, ordinarily in the classical sonata-allegro form the second group is in the key of the relative major if the movement as a whole is in a minor tonality.
TABLE 3

STRUCTURAL DIAGRAM OF THE THIRD MOVEMENT

<table>
<thead>
<tr>
<th>Section</th>
<th>Subdivision</th>
<th>Measures</th>
<th>Key</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exposition</td>
<td>1st Group</td>
<td>1-31</td>
<td>D minor</td>
</tr>
<tr>
<td></td>
<td>Transition</td>
<td>31-43</td>
<td>Modulating</td>
</tr>
<tr>
<td></td>
<td>2nd Group</td>
<td>43-79</td>
<td>A minor</td>
</tr>
<tr>
<td></td>
<td>Cadence theme</td>
<td>79-90</td>
<td>A minor</td>
</tr>
<tr>
<td></td>
<td>Link</td>
<td>90-94</td>
<td></td>
</tr>
<tr>
<td>Development</td>
<td></td>
<td>95-214</td>
<td>Various keys</td>
</tr>
<tr>
<td>Recapitulation</td>
<td>1st Group</td>
<td>214-242</td>
<td>D min. ending</td>
</tr>
<tr>
<td></td>
<td>Transition</td>
<td>242-271</td>
<td>in B flat maj.</td>
</tr>
<tr>
<td></td>
<td>2nd Group</td>
<td>271-307</td>
<td>Modulating</td>
</tr>
<tr>
<td></td>
<td>Cadence theme</td>
<td>307-318</td>
<td>D minor</td>
</tr>
<tr>
<td></td>
<td>Link</td>
<td>319-322</td>
<td>D minor</td>
</tr>
<tr>
<td></td>
<td>Coda</td>
<td>323-399</td>
<td>D minor</td>
</tr>
</tbody>
</table>

Conclusion

The three movements of this sonata are very logically united into one whole by the use of the arpeggiated chord at the beginning of the first and second movements, and it might conceivably be said that the bass notes of the beginning of the third movement are a representation of this same arpeggiated chord. The use of the dominant ninth chord occurs at transition passages in all three movements.

The first movement of this sonata is the one in which Beethoven to a greater extent than in the other movements
left the old paths. The connecting of the *largo* and *allegro* tempi into one unified movement is certainly a forward step toward greater freedom in tempo. The use of the recitative and the omission of the transition in the recapitulation point to greater freedom in formal structure.

In the second movement, Beethoven, especially in the theme of the second group, reverts to the classical purity of phrasing, similar to that of Mozart. The fact that this second movement is in modified sonata-allegro form is a change from ordinary procedures, in which the slow movement was usually in one of the song-forms.

The last movement which is developed mainly from one figure and continues in almost perpetual motion for the greater part of the movement, points forward to the piano etude which was developed to a great extent in the Romantic Period.

From these various considerations, this sonata can rightfully be said to have started on new paths not used in the earlier sonatas.
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