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## FROM SONATA AND FANTASY TO SONATA-FANTASY: CHARTING A MUSICAL EVOLUTION

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ABSTRACT OF D.M.A. PROJECT

Mami Hayashida

The Graduate School  
University of Kentucky

2007

FROM SONATA AND FANTASY TO SONATA-FANTASY:  
CHARTING A MUSICAL EVOLUTION

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ABSTRACT OF D.M.A. PROJECT

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A dissertation submitted in partial fulfillment of the  
requirements for the degree of Doctor of Musical Arts in the  
College of Fine Arts  
at the University of Kentucky

By  
Mami Hayashida

Lexington, Kentucky

Co-Directors: Dr. Lance Brunner, Professor of Musicology  
and Dr. Irina Voro, Professor of Piano

Lexington, Kentucky

2007

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## ABSTRACT OF D.M.A. PROJECT

### FROM SONATA AND FANTASY TO SONATA-FANTASY: CHARTING A MUSICAL EVOLUTION

Part One of this project examines a group of piano pieces that bear the title sonata-fantasy or fantasy-sonata. While much has been written about quasi-sonata fantasies and quasi-fantasies of the Romantic period, the sonata/fantasy hybrid works of the following era have largely been a neglected area in music research. The purpose of this document is to fill this void and provide an introductory study of these works.

The introductory chapter includes a list of sonata-fantasies and fantasy-sonatas I have found in U.S. libraries. The next two chapters outline the history of the fantasy as a genre and its relationship to the sonata up to the mid-nineteenth century: while the two were generally viewed as two contrasting genres in the eighteenth century, their boundaries gradually began to disappear in the early nineteenth century.

Six works selected for detailed analysis in this project are Joachim Raff's *Fantasie-Sonate*, op.168; Alexander Scriabin's *Sonate Fantaisie*, op.posth. and Sonata No.2 (*Sonate-Fantaisie*), op.19; Joaquin Turina's *Sonata Fantasia*, op.59; Anatoly Nikolayevich Aleksandrov's Piano Sonata No.11 "*Sonata Fantasia*," op.81; and George Rochberg's *Sonata-Fantasia*.

The final chapter summarizes the analyses of the selected works and explores explanations for the emergence of pieces bearing the sonata/fantasy compound titles.

Part Two of this project consists of program notes for the repertoire used in fulfilling the performance requirements of the D.M.A. degree. The following works are individually discussed in this section: Piano Trio No. 28 in D Major, Hob. XV: 16 by Franz Joseph Haydn; Piano Trio in D Major, No. 70 no. 1, "*Ghost*" by Ludwig van Beethoven; Piano Trio No. 2 in C Minor, op.66 by Felix Mendelssohn; Prelude in D Major, BWV925 by Wilhelm Friedmann Bach(?); Sonata in G Major, op.78 (D.894) by Franz Schubert; *Klavierstücke*, op.118 by Johannes Brahms; *Rain Tree Sketch for piano* (1982) by Toru Takemitsu; *Los Requiémbros* by Enrique Granados; and Concerto in G Major for Piano and Orchestra by Maurice Ravel.

KEYWORDS: Sonata Fantasy, Fantasy, Piano, Compound Title, Hybrid Genre

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June 26, 2007

FROM SONATA AND FANTASY TO SONATA-FANTASY:  
CHARTING A MUSICAL EVOLUTION

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2007



*To my grandfather, Norio Ogata*

FROM SONATA AND FANTASY TO SONATA-FANTASY:  
CHARTING A MUSICAL EVOLUTION

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D.M.A. PROJECT

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A dissertation submitted in partial fulfillment of the  
requirements for the degree of Doctor of Musical Arts in the  
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2007

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## Chapter 1

### Introduction

Toward the end of the nineteenth century piano works began to appear with new compound titles: sonata-fantasies and fantasy-sonatas. The first among them is likely Joachim Raff's *Fantasie-Sonate* in D Minor, op.168, written in 1871. Fifteen years later, a fourteen-year old Russian composer Alexander Scriabin wrote his first *Sonate-Fantasie* in G# Minor (op.posth.).<sup>1</sup> But it was his second and far more successful work with the same title *Sonate-Fantasie*, op.19 (Piano Sonata No.2), published in 1897, that ignited interest among composers and inspired them to write pieces titled “sonata-fantasy” or “fantasy-sonata.”

As the following table of sonata-fantasies found in U.S. libraries illustrates, by the mid-twentieth century the use of the compound title had become a practice that transcended national and stylistic boundaries.

Table 1: Pieces titled “sonata-fantasy” or “fantasy-sonata” found in US libraries

Composer	Title	Country	Composed	Published
Raff, Joachim (1822-1882)	Fantasie-Sonate, op.168	Germany	1871	1871
Heidrich, Maximilian (1864 – 1909)	Phantasie-Sonate für Pianoforte, op.70	Austrian	unknown	1914?
Scriabin, Alexander (1872-1915)	Sonate Fantasie in G#, op. poth	Russia	1886	1940
Scriabin, Alexander	Sonate-fantasie, op.19	Russia	1892-97	1897
Akimenko, Fedir Stepanovich (1876-1945)	Sonata-fantasie, op.44	Ukraine	1910	unknown

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<sup>1</sup> *Phanatasie-Sonate für Pianoforte*, op.70 by Austrian composer Maximilian Heidrich (1864-1909), may have been written between Raff's work and Scriabin's *Sonate-Fantasie* (1886). The date of composition is not indicated anywhere in the score or in the modern library catalog and remains unknown. William Newman assigns 1914 as the publication date in his *Sonatas Since Beethoven*. See William Newman, *Sonata Since Beethoven: The Third and Final Volume of a History of the Sonata Idea*, 2<sup>nd</sup> ed. (New York: W.W. Norton & Co. Inc., 1972) 447.

Akimenko, Fedor Stepanovich	Sonata-fantasia no.2 pour piano, op.60	Ukraine	unknown	unclear (1900-1968)
Blumenfeld, Felix (1863-1931)	Sonata-fantaisie, op.46	Ukraine	1913	1996
Langgaard, Rued (1893-1952)	Fantasi-sonate	Denmark	1916	unpublished (manuscript copy at SUNY Buffalo)
Chavez, Carlos (1899-1978)	Sonata fantasia (sonata no.1)	Mexico	1917	unpublished (sketches at NYC Pub. Lib.)
Cotapos, Acario (1889-1969)	Sonata fantasia	Chile	1911	unpublished (manuscript copy at IU Bloomington )
Agnew, Roy (1891-1944)	Fantaisie sonata	Australia	1927	1927
Turina, Joaquin (1882-1949)	Sonata Fantasia	Spain	1930	1931
Guarino, Carmine (1893-1965)	Sonata Fantasia per pianoforte	Italy	unknown	1933
Dring, Madeleine (1923-77)	Fantasy sonata	Britain	1938	1948
Aleksandrov, Anatolii (Anatoly) Nikolayevich (1888-1982)	Sonata-fantasia (Sonata no.11) dlia forte p'iano. Soch 81.	USSR	1955	1957
Rochberg, George (1918-2005)	Sonata-Fantasia	USA	1956	1958
Bolcom, William (1938- )	Fantasy-Sonata	USA	1961-62	1990s
Ugoletti, Paolo (1956- )	Sonata fantasia	Italy	1982/3	1983
Kapustin, Nikolai (1937-)	Sonate-Fantaisie	Ukraine	1984	1990
Boykan, Martin (1931-)	Fantasy-Sonata	USA	1987	1992
Schuller, Gunther (1925-)	Sonata-fantasia	USA	1992	1993

## Scope of the study

This document serves as an introduction to the works called sonata-fantasies and fantasy-sonatas. I have adopted a “semantic approach”<sup>2</sup> in limiting the repertoire discussed in this document: in other words, only those works with a combination of the two nouns, ‘sonata’ and ‘fantasy,’ with or without a hyphen, are considered for detailed examination. While there are many more compositions that have similar and closely related titles such as “*sonata quasi una fantasia*” or “*sonata fantastique*,” I have focused primarily on works with titles “sonata(-)fantasy” or “fantasy(-)sonata” or their foreign-language equivalents. Only in the second and third chapters, in which selected fantasies and sonatas up to the mid-nineteenth century are surveyed as precursors of sonata-fantasies and fantasy-sonatas, do I expand the boundaries. The repertoire is also limited to works for solo piano, except for the first part of Chapter 2, where I briefly discuss the fantasies in the Renaissance and Baroque eras.

I have selected six works, one fantasy-sonata and five sonata-fantasies, for close examination in this document. These works have been chosen for the wide variety of pianistic and compositional styles they represent as well as for their geographical diversity. While it may appear imbalanced to include only one fantasy-sonata, as opposed to five sonata-fantasies, my preliminary research on some twenty sonata-fantasies and fantasy-sonatas have found no clear distinction between the pieces that bear the title “sonata-fantasy” and those titled “fantasy-sonata.” For this reason, I valued the quality and style of compositions more than the mere word order in selecting these works. While examination of six works is by no means a comprehensive study on the

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<sup>2</sup> This term comes from William Newman’s three volumes of “A History of Sonata Idea.” (bibliographical information at the end of the document).

sonata/fantasy compound title, the document may serve as the starting point for further studies of the subject.

### State of research

While much has been written on keyboard fantasies from the Renaissance, Baroque, Classical, and early Romantic eras, surprisingly little has been written about piano fantasies from subsequent periods. At this point, there seems to be no book, dissertation, or even article that makes more than a brief remark about the use of the sonata/fantasy compound title. Furthermore, the existing information on sonata-fantasies and fantasy-sonatas is limited to peripheral comments within a larger treatment of a composer's biography or compositional output. To the best of my knowledge, this project may be the first to focus on works with the sonata/fantasy compound titles.

Catherine Coppola provides a comprehensive overview of the fantasy as a genre, including an in-depth study of the changing definitions and characterizations of the term "fantasy" in her article "The Elusive Fantasy: Genre, Form, and Program in Tchaikovsky's *Francesca da Rimini*"<sup>3</sup> and in her Ph.D. dissertation, *Form and fantasy, 1870-1920*.<sup>4</sup> The main focus of her dissertation is the analysis of orchestral fantasies.

Another comprehensive source on the fantasy since 1700 is Peter Schleuning's *The Fantasia II*, translated by A.C. Howie.<sup>5</sup> The work's primary focus is keyboard fantasies. Though there is an undeniable gravitation toward the Austro-German

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<sup>3</sup> Catherine Coppola, "The Elusive Fantasy; Genre, Form, and Program in Tchaikovsky's *Francesca da Rimini*," *19<sup>th</sup>-century Music* XXII/2 (Fall 1998): 169-189.

<sup>4</sup> Coppola, "Form and Fantasy; 1870-1920" diss., City University of New York, 1998.

<sup>5</sup> Peter Schleuning, *The Fantasia II: Eighteenth to Twentieth Centuries*, trans. A. C. Howie (Cologne: Arno Volk Verlag Hans Gerig KG, 1971).

repertoire and writings, it is a very useful source for tracing the development of the genre in the last three hundred years.

In addition, there are three dissertations specifically on eighteenth- and nineteenth-century piano fantasies:

Gudrun Fydrich's Ph.D. dissertation *Fantasien für Klavier nach 1800*<sup>6</sup> offers detailed analyses of Beethoven's op.27 Sonatas and *Fantasy*, op.77; and the Fantasies by Schubert, Schumann, Chopin, as well as Liszt's Sonata in B Minor. Also discussed extensively are Hegel's and Adorno's views on the term "fantasy," as well as those of eighteenth- and nineteenth- century music theorists and composers.

The title of Jackson Yi-Sun Leung's D.M.A. dissertation, *A Selective Study of Sonata-Fantasies in the First Half of the Nineteenth Century*<sup>7</sup>, is misleading. None of the pieces discussed in this document actually bears the title "Sonata-Fantasy". Nonetheless, his analyses of Beethoven's op.27 sonatas and the fantasies of Mendelssohn, Schumann, and Liszt are useful introductory sources for understanding the close relationship between the fantasy and sonata genres in the early nineteenth century.

What sets apart Jesse Parker's Ph.D. dissertation, *The Clavier Fantasy From Mozart to Liszt: a Study in Style and Content*<sup>8</sup>, from the dissertations of Fydrich and Leung is its inclusion of relatively unknown fantasies such as Daniel Steibelt's *Die Zerstörung von Moskwa: Eine grosse Fantasie für das Pianoforte*; Johann Nepomuk Hummel's *Fantasie*, op.18; Freidrich Kalkbrenner's *Grande Fantaisie "Effusio Musica,"*

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<sup>6</sup> Gudrun Fydrich, "Fantasien für Klavier nach 1800," diss., Johann Wolfgang Goethe-Universität, Frankfurt am Main, 1990.

<sup>7</sup> Jackson Yi-Shun Leung, "A selective study of sonata-fantasies in the first half of the nineteenth century," diss. Univ. of Cincinnati, 1990.

<sup>8</sup> Jesse Parker, "The Clavier Fantasy From Mozart to Liszt: A Study in Style and Content," diss. Stanford University, 1974.

*op.68*, to name a few. Consequently, it provides valuable information about ‘inferior’ fantasies of the nineteenth century, which are rarely discussed in modern articles and dissertations.<sup>9</sup>

### Chapter overview

After a brief historical overview of the fantasy genre through the Baroque period, Chapter Two focuses on the keyboard fantasies of both Carl Phillip Emanuel Bach, whose “Free Fantasia” style is regarded as the paradigm of fantasy writing, and those of Mozart. These works illustrate that the sonata and the fantasy were regarded as two contrasting genres in the late eighteenth century, the former representing ‘order,’ the latter ‘disorder.’

Chapter Three is a discussion of the development of the fantasy in the nineteenth century, with a particular focus on amalgamation of the fantasy and the sonata genres. While Raff’s work appears to be the first example to use the compound title sonata/fantasy, the history of a close relationship between the two genres goes back to Beethoven’s works, especially his Op.27 sonatas, both of which bear the subtitle “*Sonate quasi una fantasia.*” The practice of combining ‘fantasy’ and ‘sonata’ elements was followed by virtually all the successful piano music composers of the Romantic era in their fantasies, including Schubert, Mendelssohn, Chopin, Schumann, and Liszt. In addition, there is a short section on ‘salon’ fantasies of the nineteenth century, a repertoire that possibly forced the use of the compound title.

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<sup>9</sup> For the explanation of ‘inferior’ fantasies of the nineteenth century, consult the section on salon fantasies in Chapter 3.

Six works titled sonata-fantasy or fantasy-sonata are examined in Chapter Four: Joachim Raff's *Fantasie Sonate*, op.169; Alexander Scriabin's *Sonate-Fantaisie*, op.posth. and Sonata No.2 (*Sonate-Fantaisie*), op.19; Joaquín Turina's *Sonata Fantasia*, op.59; Anatoly Nikolayevich Aleksandrov's *Sonata Fantasia* (Piano Sonata No.11), op.81; George Rochberg's *Sonata Fantasia*. The focus of the analysis is to determine how the two genres, the sonata and the fantasy, are represented in each work. The list of generic characteristics of the fantasy as seen in the fantasies from those of C.P.E. Bach to late nineteenth century is provided at the beginning of the chapter as a guide.

Chapter Five provides a summary and the conclusion of the study. I will also explore possible reasons for the emergence of pieces bearing the sonata/fantasy compound titles in the late-nineteenth century.

## Chapter 2

### The Fantasy Up to the Eighteenth Century

#### The Fantasy up to 1750

The earliest known appearance of the term "fantasy" or its equivalent in other languages in a musical context seems to be an undated, textless, three-part imitative composition by Josquin des Prez titled *Ile Fantasie de Joskin* (I-Rc 2856, c1480-85; ed. In New Josquin Edition, 27.15).<sup>1</sup> The work consists of five fantasies, set off from one another by staggered rests in all three voices.<sup>2</sup> Most scholars agree, however, that the title had no generic significance at this point, but was intended to emphasize the freely invented, rather than borrowed, nature of the motivic material.<sup>3</sup> The earliest datable use of the term known to us today is in Hans Kotter's *Organ Tablature* (1513), followed by another organ tablature by Leonhard Kleber (c.1495 – 1556). The use of the term as a title became ubiquitous during the first few decades of the sixteenth century, and by 1536 fantasies had appeared in printed tablatures originating as far apart as Valencia, Milan, and Nuremberg.

The only consistent meaning of fantasy as a title throughout its history is the association with improvisation and freedom. The Renaissance fantasies are often pieces for lute, written in sophisticated polyphonic style, apparently lacking any 'sense of freedom' in modern terms. For the musicians of the sixteenth century, however, the freedom of the genre lay in the absence of words; the musician was free "to employ

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<sup>1</sup> Probable date range of composition according to the *Grove Music Online*. The MGG 2<sup>nd</sup> edition published in 1994 gives 1485-90. (Bibliographical information at the end of the document)

<sup>2</sup> Gregory G. Buttler, "The Fantasia as Musical Image," *Musical Quarterly*, IX (1974): 602.

<sup>3</sup> Christopher D.S. Field, 'Fantasia, §1(i): To 1700: Terminology,' *Grove Music Online*, ed. L. Macy (accessed 31 May 2006), <<http://www.grovemusic.com>>.



whatever inspiration comes to him, without expressing the passion of any text.”<sup>4</sup> The term fantasy was used interchangeably with other generic names for instrumental music such as prelude and ricercare from the outset, and in later times with tentos, voluntary, capriccio, toccata, canzona, fugue, impromptu, rhapsody, and poëm, among others. Nevertheless, fantasies from the late sixteenth-century Italy often exhibit compositional devices quite similar to those found in fantasies written two or three hundred years later: recurrence of a subject giving unity to a series of fugal sections; an entire movement spawned from a single subject; and themes modified by inversion, augmentation, and rhythmic transformation.<sup>5</sup>

In the seventeenth century, the geographical center of the genre shifted; while the fantasy virtually disappeared in Italy after about 1620, it was starting to become central to the keyboard and chamber music of England, Netherlands and Germany. Even though fantasies of this period still tended to be in imitative style, elements of improvisation were beginning to become more apparent in some keyboard fantasies by Charles Guillet (c1584-1654), the English virginalist, and Jan Pieterszoon Sweelinck (1562-1621). Their fantasies often begin with imitation or with an ostinato, followed by a contrasting dance-like section, and end with a virtuosic toccata-like section.<sup>6</sup> Central European Baroque composers such as Samuel Scheidt (1587-1654), Johann Jacob Froberger (1616-67), Johann Pachelbel (1653-1706), and Gottlieb Muffat (1690-1770), followed the Sweelinck

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<sup>4</sup> M.Mersenne’s *Harmonie universelle* (1636-7, Paris) quoted in: Christopher D.S. Field, 'Fantasia, §1(i): To 1700: Terminology,' *Grove Music Online*.

<sup>5</sup> Field, 'Fantasia, §1(i): To 1700: Terminology,' *Grove Music Online*.

<sup>6</sup> "Fantasia," *The Harvard Dictionary of Music*, 4<sup>th</sup> ed, Don Michael Randel ed., 2003.

tradition and brought elements of the concerto, solo and trio sonatas, and French overture into their fantasies.<sup>7</sup>

By 1700, the number of fantasies written for instrumental ensembles had virtually disappeared; but the fantasy for keyboard was to remain important in the eighteenth century, mainly in Germany. Just as in the sixteenth and seventeenth centuries, many of the fantasies of the early eighteenth century took on the forms and styles of other contemporary genres such as the dance movement, the prelude, the capriccio, the invention, the variation, the toccata and the sonata movement.<sup>8</sup> Despite such a wide variety of compositional styles represented among pieces titled fantasy, fantasies of the eighteenth century generally exhibited even less strict-counterpoint, featuring instead more improvisatory passages, including imitations of vocal recitative. This shift took place just as the fugue was fully developing into a purely contrapuntal form, with the fantasy gradually becoming a contrasting style.

### Fantasies of C.P.E. Bach

Carl Phillip Emanuel Bach (1714-1788) is generally regarded as the first important figure in the history of the fantasy in the common-practice era. His fantasies, which he called Free Fantasias, brought together all the elements of compositional freedom and strictly excluded imitative writing.<sup>9</sup> For the foremost exponent of the *Empfindsamer Stil* the fantasy was an ideal genre for expressing feelings through a subjective and emotional use of the musical vocabulary. Almost all of his fantasies were

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<sup>7</sup> "Fantasia," *The Harvard Dictionary of Music*, 1944 ed.

<sup>8</sup> Eugene Helm, "Fantasia, §2: Eighteenth Century." *Grove Music Online*, <<http://www.grovemusic.com>>

<sup>9</sup> Peter Schleuning, *The Fantasia II: 18<sup>th</sup> to 20<sup>th</sup> Centuries*, trans. A.C. Howie (Cologne: Arno Volk Verlag Hans Gerig KG, 1971) 6.

published during his lifetime and were esteemed by his contemporaries and following generation. With the appearance of these works, the fantasy gained the status of an independent genre that was neither part of a sonata or a suite nor attached to a fugue.

C.P.E. Bach's own description of the genre is found in his *Versuch über die wahre Art das Clavier zu spielen* (1753):

A Fantasia is said to be free when it is unmeasured and moves through more keys than is customary in other pieces, which are composed or improvised in metre... A free fantasia consists of varied harmonic progressions which can be exposed in all manner of figuration and motives. A key in which to begin and end must be established. Although no bar lines are employed, the ear demands a definite relationship in the succession and duration of the chords themselves... In a free fantasia modulation may be made to closely related, remote, and all other keys...<sup>10</sup>

In a later chapter, he discusses the genre's expressive potential:

It is principally in improvisations or fantasias that the keyboardist can best master the feelings of his audience.... It is especially in fantasias, those expressive not of memorized or plagiarized passages, but rather of true, musical creativeness, that the keyboardist more than any other executant can practice the declamatory style, and move audaciously from one affect to another... Unbarred free fantasias seem especially adept at the expression of affects, for each meter carries a kind of compulsion within itself.<sup>11</sup>

Of his twenty-three fantasies, most of which were printed during his lifetime, thirteen of them are wholly or partly unmeasured. It is in the unbarred works that we find the representative features of the genre: abrupt changes of affect, tempi, and dynamics; rhapsodic and improvisatory character; recitative-like passages; and frequent use of deceptive cadences, enharmonic interpretations, chromaticism, and diminished-seventh harmonies. Despite these 'improvisatory' qualities, C.P.E. Bach's fantasies, both barred

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<sup>10</sup> Carl Phillip Emanuel Bach, *Essay on the True Art of Playing Keyboard Instruments*, trans. and ed. William J. Mitchell (NY: W.W. Norton and Co., 1949) 430, 434.

<sup>11</sup> C.P.E. Bach 152-3.

and unbarred, tended to follow clear formal structures, most commonly modified versions of the sonata form, rondo-form, and tripartite.<sup>12</sup> This presentation of improvisatory style within a framework of a standard formal structure was to become the revered model for fantasies by nineteenth- and twentieth- century composers.

Other examples of the early Free Fantasias include the keyboard fantasies of Johann Pachelbel (1653-1706), Georg Friedlich Kaufmann (1679-1735), and the Chromatic Fantasia and Fugue (BWV903, composed before 1723) of Johann Sebastian Bach. In these works we find examples of brilliant opening scales and arpeggios, toccata-style figurations, virtuosic and declamatory passage-work, all to impress the listener, as well as melancholic, recitative-like melodies, daring modulations, and a sectional structure.

### Fantasies of Wolfgang Amadeus Mozart

All of Mozart's fantasies for piano known to us today were composed during a rather short period of time, between 1782 and 1785. This coincides with the period during which Mozart developed a new admiration for the music of Bach, Handel, and other masters of the early eighteenth century, perhaps due to his association with Baron Gottfried van Swieten, the Habsburg Court Librarian and musical amateur who had developed a taste for the “contrapuntal glories of German music while serving as ambassador to the Prussian court at Berlin.”<sup>13</sup> Perhaps for this reason, his fantasies reveal a strong influence of not only the Free Fantasias of C.P.E. Bach, but also of fantasies by the late Baroque masters.

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<sup>12</sup> Helm, 'Fantasia, §2: Eighteenth Century.' *Grove Music Online*.

<sup>13</sup> Richard E. Rodda, program notes, *Fantasia in C Minor*, K.296 (K.385f), perf. Alfred Brendel, Zellerbach Hall, California, 11 April, 2004.

The first piece of the two-piece work that is often called the *Fantasy und Fugue*, K.394 (1782) is really a prelude, and was so named by Mozart himself. Its compositional approach is related much more closely to Baroque harpsichord writing than to C.P.E. Bach's music for fortepiano. The *Fantasy* (or *Prelude*) gives the player an opportunity to display his technical facility, but has little musical substance.

The *Fantasy in C Minor*, K.396, is another work which originally did not bear the title *Fantasy*. Mozart began it in 1782 as the opening movement of a sonata for piano and violin, completing the exposition, including a sketchy violin line which first enters five measures before the end of the section, but then abandoned the piece. After Mozart's death, the noted composer and historian of Austrian music Abbé Maximilian Stadler (1748-1833) finished the work, as well as several other fragmentary pieces, with the consent of Constanze Mozart. Given the clear predominance of the piano on Mozart's sketch, Stadler made an obvious choice of completing the work as a piano composition and named the piece *Fantasy*. The authorship of the stormy development section is unclear; it has not been determined whether Stadler had Mozart's sketch for this section which has since been lost or it was completely his own creation. Whether or not Mozart ever intended to write this work in the style of the fantasy, its emphasis on both virtuosic and expressive elements reveal influence of C.P.E. Bach's *Empfindsamer Stil*.

The *Fantasy in D Minor*, K. 397, too, was left unfinished and not published until after Mozart's death. The date of composition has not been determined: it may have been composed in 1782, the same year as K.394 and K.396, or possibly just before the *Fantasy in C Minor*, K.475, of 1785. The last ten bars of the version known today were missing in the first edition published in 1804. The edition bears the heading "*Fantaise*

*d'Introduction pour le Piano forte etc.*," which suggests that Mozart may have deliberately ended on the dominant-seventh chord in order to use it as an introduction of a sonata or as a movement preceding a fugue.<sup>14</sup> Among Mozart's four fantasies, this work, with its abrupt changes of mood, texture, and style and wide range of expressions from solemn and melancholy to bright and carefree, shows the closest resemblance to the Free Fantasias of C.P.E. Bach.<sup>15</sup> The unbarred virtuosic passageworks, that interrupt the Adagio section no fewer than three times, add a sense of freedom and spontaneity.

The *Fantasy in C Minor*, K.475, is a masterwork. Composed in 1785, it was published with the Sonata in C Minor, K.457, as "*Fantaisie et Sonate pour le Fortepiano*." Strikingly different from the three Mozart fantasies discussed so far, K.475 reflects the aesthetic of the mature Classical period rather than the *Empfindsamkeit* character of C.P.E. Bach's Free Fantasias: the work is barred throughout, and the thematic return near the end is "prepared and emphasized in a true Classical fashion."<sup>16</sup> When compared to the Sonata, K.457, however, its fantasy characteristics become more apparent; while the harmonic scheme of the Sonata follows the standard sonata form model, a succession of modulations begins to unfold even before the tonic key of C Minor is fully established in the *Fantasy*. In fact, the tonic key remains ambiguous in so many places throughout the piece that Mozart chose not to use any key signature for the piece except for the short Adagio section in the middle. Unlike sections in a standard sonata movement, individual episodes in the *Fantasy* are all inconclusive: neither the sense of arrival nor the transition to the next one is heard. For these reasons, scholars

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<sup>14</sup> Dennis Pajot, "K397 "Fantasie d'Introduction pour le Piano forte" in d-Minor," *Mozart Forum* 20 June 2006 <<http://www.mozartforum.com/Lore/article.php?id=196>>.

<sup>15</sup> Leung 15.

<sup>16</sup> Helm, 'Fantasia, §2: eighteenth century,' *Grove Music Online*.

have argued over the decades whether this piece fits into the sonata form or should rather be analyzed as sectional form, comprised of five or six individual sections. Charles Rosen, who takes the sectional form approach for instance, writes that this work is "truly abnormal by classical standards."<sup>17</sup> What everyone seems to agree on is that the work demonstrates a perfect balance of order (restraint) and disorder (freedom). The delicate balance between the order and disorder in the fantasy became central to the development of the genre.

### Summary

By the mid-eighteenth century, the imitative fantasies, that had dominated the genre for almost three hundred years, had virtually disappeared and were gradually replaced by a free improvisatory style similar to that of the toccata or the prelude. During the second half of the eighteenth century, the fantasy could be treated either as a discrete form, to be performed by itself as an independent piece of music, or as a prelude, preceding a sonata or a fugue. There was, however, little overlap of characteristics of the sonata and the fantasy before 1800. There were certainly individual instances, as we saw with Mozart K.475, in which composers adapted sonata form concepts into their fantasies, or used fantasy-like elements in sonatas, examples of which are found in C.P.E. Bach's sonatas.<sup>18</sup> Nevertheless, the expressive immediacy of the fantasy and the structural coherence of the sonata were generally regarded as opposing styles that could not be reconciled. A comparison of Mozart's *Fantasy in C Minor*, K.475 and its companion, *Sonata in C Minor*, K. 457, aptly illustrates this point. The following chart by

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<sup>17</sup> Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (NY: W.W. Norton & Co. Inc., 1972) 92.

<sup>18</sup> Leung 15.

Timothy Jones compares sonata and fantasy characteristics, as described by eighteenth-century theorists<sup>19</sup>:

Table 2: Comparison of sonata and fantasy characteristics (T. Jones)

<b>Sonata</b>	<b>Fantasy</b>
Premeditated	Improvised
Multi-movement	Single Movement
Relative formal constraint	Relative formal freedom
Limited modulation permissible	Free modulation permissible
Unified affective character	Varied affective character
Clearly structured themes	Ideas may be loosely structured
Strong continuity ensures comprehensibility	Ideas may be weakly connected; disjunctions are characteristic.

How these two genres with seemingly opposing characters begin to merge in works of Beethoven and the Romantics is the central theme of the next chapter.

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<sup>19</sup> Timothy Jones, *Beethoven: The 'Moonlight' and other Sonatas Op.27 and Op.31* (Cambridge, UK: Cambridge Univ. Press, 1999) 58.



## Chapter 3

### The Fantasy and the Sonata in the Nineteenth Century: The Interplay of the Two Genres

As discussed in the last chapter, during the last half of the eighteenth century the fantasy and the sonata were considered to be two contrasting genres, the former often being free and less prescriptive, the latter adhering to formal conventions. The *Musikalisches Lexikon* by Heinrich Christoph Koch, published in Frankfurt in 1802, defines the term 'fantasie' as a musical genre that stands opposite to fixed-form genres: "so must the written-down Fantasy have the appearance of a free inspiration, to differentiate the fantasy from compositions with fixed forms."<sup>1</sup> Meanwhile the sonata had replaced the fugue as the predominant genre in fixed musical form. Of course, since the situation with music is never so simple, sonata-like elements were sometimes found in fantasies of C.P.E. Bach and Mozart as briefly discussed in the previous chapter, and C.P.E. Bach's sonatas often included passages that were fantasy-like. Nevertheless, even for those creative minds, the fantasy and the sonata existed as two contrasting genres. It took a much stronger musical personality, Beethoven, to challenge this notion: he broke the barrier between the two genres, opening a new phase in the history of the fantasy. The most highly regarded fantasies of the Romantic era are all quasi-sonata works, as discussed later in this chapter.<sup>2</sup>

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<sup>1</sup> "Fantasie," *Musikalisches Lexikon, Reprografischer Nachdruck der Ausgabe Frankfurt 1802* Heinrich Koch ed., (Hildesheim: Georg Olms Verlagsbuchhandlung, 1964), 554-5. (translated by Jesse Parker in his dissertation *The Clavier Fantasy from Mozart to Liszt*, 6.)

<sup>2</sup> For further information on the amalgamation of the two genres, consult Jackson Yi-Shun Leung's dissertation 'A Selective Study of Sonata-fantasies in the First Half of the Nineteenth Century.' (bibliographical information at the end of the document.)

## Beethoven's Fantasies

Beethoven's two op.27 sonatas, both of which bear the description "*Sonata quasi una fantasia*," were published in 1802. This was presumably the first instance in which a musical composition was given a title that explicitly suggests an amalgamation of the two genres: the fantasy and the sonata.

Of the two, it is the first sonata in E-flat Major that is more indebted to the free fantasy tradition of his predecessors. None of the movements in this work is in sonata form and all the movements are to be performed continuously, creating an illusion of one continuous work.<sup>3</sup> The unique formal structure of the first movement combines elements of various conventional forms such as rondo, variations, and ternary.<sup>4</sup> In the middle of this otherwise lyrical and idyllic movement, there is an abrupt interruption by an 'Allegro' section, written in *Deutsche* (German Dance) style which was regarded as low and rough. The second movement is a monothematic scherzo/trio movement. The following 'Adagio con espressione' section is analyzed by some scholars as an independent movement, while others consider it an introduction to the final 'Allegro vivace' movement. As if to balance the first movement interruption, the *perpetuum mobile* motion of the final movement is suddenly interrupted near the end by the reappearance of the 'Adagio con espressione' theme. The use of the same or related

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<sup>3</sup> This is certainly not the first sonata from the Classical Era that diverts from the standard form. Beethoven's Sonata in A-flat Major, op.26 has no movements in sonata form at all, either: first movement is a variation set, second a scherzo, third a funeral march, fourth a rondo. Two of Mozart's sonatas, K.282 and K.331, eschew an opening sonata Allegro, beginning instead with slow movements. Haydn's A Major Sonata, Hob. XVI: 30, consists of three movements that play continuously, sharing motives and structural features. Similarly, the second and third movements of his D Major Sonata from 1780, Hob. XVI: 37, are to be performed without a break. For further information, see the chapter titled "Quasi una fantasia?" in Timothy Jones's *Beethoven: The 'Moonlight' and Other Sonatas, Op.27 and Op.31*.

<sup>4</sup> Jones 67.

materials in more than one movement, called cyclic (or cyclical) design, becomes one of the most widely used features in the fantasies of the Romantics.<sup>5</sup>

Compared to its companion sonata op.27 no.1, the writing of the so-called 'Moonlight' Sonata, op.27 no.2, adheres more to the traditional notion of the sonata form. The essential fantasy characteristic in this sonata is undoubtedly the sonority of the first movement. Beethoven indicates that the movement is to be played *senza sordino*, coinciding with C.P.E Bach's preference for undamped sound for improvisation: he wrote in his *Versuch über die wahre Art das Clavier zu spielen* that "the undamped register of the pianoforte is the most pleasing and, once the performer learns to observe the necessary precautions in the face of its reverberation, the most delightful for improvisation."<sup>6</sup> While only the last movement is to be performed 'attaca', the sense of unity is strengthened by the shared tonic: the first and the last movements are in C# Minor, the scherzo in Db Major. Another quasi-fantasia feature of the work is the use of a cadenza-like passage near the end of the final movement, a design similar to the last movement of the E-flat Major sonata.

While Beethoven's op.27 sonatas had a colossal influence on the nineteenth-century piano fantasy, these works were not fantasies, but sonatas. The two works of Beethoven that genuinely belong to the fantasy genre are his *Fantasy for piano, chorus and orchestra*, op.80 (1808), generally known as the *Choral Fantasy*, and *Fantasy*, op.77 (1809). These works illustrate Beethoven's two quite different approaches to the genre. In the forward-looking *Choral Fantasy*, Beethoven combines a free, improvisatory introduction by solo piano with a huge finale consisting of four connected movements:

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<sup>5</sup> Leung 36.

<sup>6</sup> C.P.E. Bach 431.

*Allegro, Adagio ma non troppo; Marcia, assai vivace; Allegretto*. The finale as a whole is also a series of five variations, which, along with its cyclical design, gives the impression that it is one long variation movement. Thus, the fantasy-techniques we observe here, as in his op.27 sonatas, include not only obvious improvisatory elements but also the expansion of the hitherto accepted form. The *Fantasy*, op.77, on the other hand, shows the composer's more traditional side. Clearly influenced by C.P.E. Bach's Free Fantasy style, the single-movement work is saturated with changes of keys, tempi, dynamics, and moods. With no fewer than six themes, this piece fits Czerny's description of one of various improvising methods of Beethoven: "one idea following another like a potpourri."<sup>7</sup> While the work has long since disappeared from the mainstream concert repertoire, it is a valuable source for understanding the influence of C.P.E. Bach on the early nineteenth-century fantasies.

#### The gradual disappearance of clear distinction between the fantasy and the sonata

With Beethoven, the fantasy entered a new era. The clear distinction between the fantasy and the sonata began to disappear in his works. While the innovation of the title "*Sonata quasi una Fantasia*" was notable, historically more significant was the emergence of large, multi-movement fantasies, which in many ways resembled a sonata. Equally important was the disintegration of the genre boundaries of the sonata. Frequent in Beethoven's sonatas from his middle and late periods are fantasy-like features such as disproportionately long and important development sections, avoidance of modulation to expected keys, irregular theme structure, and long interpolated recitative-like passages.

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<sup>7</sup>Willi Kahl, "Fantasie," *Die Musikgeschichte und Gegenwart*. Ed. Friedrich Blume. Kassel: Bärenreiter, 1954 (translation by M. Hayashida).

The erosion of the distinction between the two genres was already noticed by his contemporaries. Ernst Ludwig Gerber, a conservative musical scholar, complained in 1817:

Finally, it appears to me as if the fantasia, like a despot, has seized absolute power over music. Music without fantasy is inconceivable, of course; but it must be governed judiciously by taste and reason. At present, however, one can no longer perceive either any definite musical forms or any limits to the influence of the fantasia. Everything goes in all directions but to no fixed destination; the madder, the better! The wilder and stranger, all the more novel and effective; this is an endless straining after distant keys and modulations, enharmonic deviations, ear-splitting dissonances and chromatic progressions, and incessant process and without respite for the listener. In such a way we hear and play nothing but fantasias. Our sonatas are fantasias, our overtures are fantasias and even our symphonies, at least those of Beethoven and his like, are fantasias.<sup>8</sup>

In 1815 the Leipzig critic Amadeus Wendt also accused Beethoven of "great complications," as the composer had attempted to "transfer the sins against form and order." He further wrote that "many works of Beethoven, such as several of his symphonies and sonatas, can only be comprehended as devaluated as musical fantasias." As a result, "his originality is lost in oddness and caprice."<sup>9</sup>

Meanwhile others were lamenting the disappearance of the Free Fantasia. The following is from an anonymous article from *Allgemeine Musikalische Zeitung* in 1813:

What we have received under the title 'Fantasia' in the last decade is, almost without exceptions, only a freer type of sonata, however. When one considers how the art today, pianoforte music in particular, derives its chief pleasure from perfection in the compositional process—completely antithetical, therefore, to the ingenious sketching of original ideas—it is not difficult to understand why there is an almost complete dearth of really

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<sup>8</sup> Letter to Christian Heinrich Rinck, exact date unknown. Published in: Freidrich Noack, "Eine Briefsammlung aus der ersten Hälfte des 19. Jahrhunderts." *Archiv für Musikwissenschaft* 10 (1953): 326. (English translation by A.C. Howie).

<sup>9</sup> Amadeus Wendt, "Gedanken über die neueste Tonkunst, und van Beethovens Musik, namentlich dessen Fidelio," *Allgemeine Musikalische Zeitung* XVII, (1815). (translation by A.C. Howie, modified by M. Hayashida).

free fantasias and also why, in the face of a new change of taste, the free fantasia genre will experience difficulty in remaining in existence.<sup>10</sup>

Despite criticisms from conservative scholars, the fusion of sonata and fantasia principles to form a mixed style is displayed in all the important large fantasies composed in the first half of the century, such as those of Franz Schubert, Frederic Chopin, Felix Mendelssohn, Robert Schumann, and Franz Liszt.<sup>11</sup> While all of these works are worthy of close study, I have chosen three works that best illustrate the interplay of the sonata and fantasy genres for a brief survey: Schubert's "*Wanderer*" *Fantasy*, D.760; Schumann's *Fantasie*, op.17; Liszt's *Dante Sonata*.

Schubert: *Fantasia in C Major "Wanderer," D.760 (op.15) (1822)*

Known as the "*Wanderer*" *Fantasy*, the *Fantasia in C Major, D.760* was composed in November 1822, shortly after Schubert had abandoned work on the "*Unfinished*" *Symphony*. The work consists of four interlinked movements, which some theorists refer to as sections: *Allegro con fuoco ma non troppo*, *Adagio*, *Presto*, and *Allegro*. According to William Drabkin, this work, along with Schubert's three other fantasies ('*Graz*' *Fantasia* for piano solo, the *Fantasia in F Minor* for piano duet, and the *Fantasia in C* for violin and piano) was "the first to integrate fully the three- or four-movement form of a sonata into a single movement."<sup>12</sup> The integration is achieved here not only by the linking passages found between movements, but also by Schubert's use of a unifying theme, upon which all the movements are based. The theme comes from

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<sup>10</sup> (anon.) "Mittheilungen aus dem Tagebuch eines Tonkünstlers," *Allgemeine Musikalishche Zeitung* XV, (1813). (translation by A.C. Howie, modified by M. Hayashida).

<sup>11</sup> Schleuning 16.

<sup>12</sup> William Drabkin, "Fantasia:3. 19<sup>th</sup> and 20<sup>th</sup> centuries," *Grove Music Online* <<http://www.grovemusic.com>>.

Schubert's own *Lied, Der Wanderer* (1816), depicting the traveler journeying alone through a cold and empty world. The reference to the theme is immediately heard at the opening of the piece, in the use of the characteristic rhythm of the theme. The lyrical section in the same movement, too, is derived from the same rhythmic idea. A fragment from the song appears as the theme for a set of virtuosic variations in the second movement. While the "*Wanderer*" theme appears in a slightly disguised dotted theme in the Presto movement, the final fugue is built on the original rhythmic motif.

It is important to note that Beethoven first experimented with the cyclical design and continuous movements in his op.27 pieces subtitled '*sonata una quasi fantasia*'; Schubert also chose fantasies rather than sonatas to experiment with the double-function sonata organization, a structure in which the exposition, development, and recapitulation sections of a single movement sonata form are represented by a sequence of interconnected movements.

Schumann: *Fantasie in C*, op.17 (1836-8)

The *Fantasie*, op.17, started as a sonata in Schumann's mind. At the outset of nearly three years of work on the music, he titled it, "*Obolen auf Beethovens Monument—Ruinen, Trophaen, Palmen--; Grosse Sonate für das Pianoforte; für Beethovens Denkmal.*"<sup>13</sup> Over those three years, however, Schumann continued to revise the title of the work and of each individual movement as well as the music itself.

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<sup>13</sup> William S. Newman, *The Sonata since Beethoven*, 3<sup>rd</sup> ed. (New York: W.W. Norton & Co., Inc., 1983) 275.

Eventually all the imaginative movement titles were discarded, and Schumann simply called the work "Fantasie."<sup>14</sup>

While the resemblance of the formal structure of this three-movement work to that of the sonata is obvious, the *Fantasie* differs from Schumann's three piano sonatas in the number, order, and types of its movements and in the freedom and sectional division of its first movement.<sup>15</sup>

Marked "Durchaus phantastisch und leidenschaftlich vorzutragen," the first movement is perhaps the finest example of 'fantasy' writing in the framework of sonata form.

Schumann wrote in his letter to Clara in March 1838: I think the first movement is more impassioned than anything I have ever written—a deep lament for you."<sup>16</sup> It opens with a dramatic bass note G immediately followed by a swirling sixteenth-note figure spelling out the dominant-ninth chord. The expected resolution, the tonic chord, does not follow; in fact it is not heard until the Coda of the movement, some three hundred measures later.<sup>17</sup> Such an extreme delay of a tonic resolution is achieved first in the exposition through a modulation to E-flat Major before resolving the opening dominant harmony, followed by further modulations to D Minor, and eventually to F major. The recapitulation, where the return of the tonic key seems necessary, is in C Minor and E-flat Major, effectively countering the necessity for the use of C Major harmony until the Coda. While the avoidance of cadence has been a frequently used feature in the fantasy tradition, no other composer has taken the concept so far. The movement is generally analyzed as modified sonata form, though its harmonic scheme noticeably differs from

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<sup>14</sup> Newman, *Sonata since Beethoven*, 275.

<sup>15</sup> Newman, *Sonata since Beethoven*, 276.

<sup>16</sup> Tim Dowley, *Schumann* (London: Omnibus Press, 1984) 56.

<sup>17</sup> Fydrich 195.



the textbook sonata form. Another deviation from the standard sonata form model is the large interruption, marked “Im Legendenton,” replacing the usual development section. While Schumann wrote sonata movements with interruptions similar to this, no other movement has such an extensive interruption.<sup>18</sup> Aside from these large-scale features, the writing style of this movement includes countless examples of “fantasy” features: unresolved chords at phrase endings; frequent use of extended rests; frequent tempo changes. One other feature of this movement to be mentioned is Schumann’s adaptation of Beethoven’s Lied, “So nimm sie hin denn, diese Lieder, die ich dir, Geliebte sang” from Beethoven’s song cycle *An die ferne Geliebte*, op.98.<sup>19</sup> This work and Schubert’s *Wanderer Fantasy* are the two most successful examples of adaptation of exiting themes into works called fantasy.

The second movement is a march similar to the *Alla Marcia* movement of Beethoven’s Sonata, op.101. It is generally analyzed as a ternary scherzo/trio form. Except for the middle section marked “Etwas langsamer” and the fiendishly difficult Coda marked “viel bewegter,” the movement has few tempo changes and relatively little variation in character. This perhaps serves to counterbalance the freedom of the first movement.

The last movement is a glorious reverie. Though Schumann abandoned his initial idea of bringing back the coda of the first movement at the end of this movement, subtle hints of cyclical design are heard throughout in passages referring back to the first

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<sup>18</sup> Joel Lester, "Robert Schumann and Sonata Forms," *Nineteenth-century Music* vol. 18 no. 3 (spring, 1995): 209

<sup>19</sup> While this is a well-known observation by now, Frydrich credits Hermann Abert as the first to point this out. Herman Abert’s book is included in the bibliographical section of this document.

movement.<sup>20</sup> It is important to note that the last movement of this work is a slow movement. None of Schumann's works titled sonatas ends with a slow movement.

Schumann wrote that every good fantasy must have its "inner thread, which should also shine through the fantastic disorder if it wishes to be otherwise acknowledged in the realm of art."<sup>21</sup> This is certainly one such work.

Liszt: *Après une lecture de Dante, Fantasia quasi sonata* (1839?, rev. 1849)

As early as 1839, Liszt had performed a piece called *Fragment nach Dante* in Vienna; this was almost certainly a preliminary version of *Après une lecture de Dante, Fantasia quasi sonata*, which apparently reached its final form about ten years later. During those ten years, the title and the contents of the work went through numerous changes. Today the work is generally known as the "Dante Sonata" although "Dante Fantasy," used only by a handful of writers so far, would be a more appropriate abbreviation since the phrase "Fantasia quasi sonata" indicates that the work is a fantasia in the style of a sonata and not vice versa.<sup>22</sup>

With this work, along with Schumann's *Fantasia*, the integration of the fantasy and sonata genres that had begun in Beethoven's works, has reached its full maturity.

Russell Sherman wrote that "the manner of deploying these themes, serving the interests

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<sup>20</sup> Frydich, 214-5. The manuscript owned by Széchényi Bibliothek in Budapest shows the original version of the last movement with a Coda that is identical to the Coda of the first movement.

<sup>21</sup> Robert Schumann, *Gesammelte Schriften über Musik und Musiker*, 5<sup>th</sup> ed., vol.1, (Leipzig: Breitkopf und Härtel, 1914), 405. (Translated by Jesse Parker in *The Claveir Fantasy from Mozart to Liszt: A Study in Style and Content*, 45.)

<sup>22</sup> William A. Lipke, "Liszt's Dante Fantasia: An Historical and Musical Study," Diss. D.M.A. Univ. of Cincinnati, 1990, 2. Coppla laments this in her dissertation and mentions a dissertation by William Lipke to be the only source she had encountered in which the abbreviated title Dante Fantasia is used. I have found that Klaus Walter uses the term Dante Fantasy in his *Handbuch der Klavierliteratur zu zwei Händen* (bibliographical information at the end of the document).

of both fantasy (free imagery) and sonata (tight argument), is exquisitely balanced as befitting the work's title, '*Fantasia quasi Sonata*.'"<sup>23</sup>

Reflecting this dual nature, there are generally two contrasting approaches to the formal analysis of this work: i) to emphasize the "sonata" features and cast it in sonata-form, or often, 'double-function sonata' form; ii) to analyze it as a free form, emphasizing its "fantasy" character. The former group, which includes Carl Dahlhaus and Charles Rosen, identifies in this piece three sections that correspond to the tripartite structure of a sonata form movement, while associating the various tempi and character with connected movements of a sonata cycle: fast-slow-scherzo-finale.<sup>24</sup> Others find the attempt to fit this piece into sonata related form counterintuitive and artificial. Catherine Coppla proposes chain form, a reading that emphasizes the 'free' character of the fantasy tradition.<sup>25</sup> Lipke takes a middle of the road position by favoring a sonata form interpretation while acknowledging that is only one side of the story: "If heard simply as a fantasia, the form of the *Dante Fantasia* seems to consist of a rhapsodic arrangement of three primary themes and several episodes."<sup>26</sup>

Perhaps Lipke's inclusion of both pro-fantasy and pro-sonata approaches reflects this work most faithfully. The presence of fantasy tradition is clear throughout the piece: seemingly but not actually formless structure consisting of sections sewn together in a complex manner, improvisatory character, variation and transformation of main themes, frequent change of tempi and character, and frequent and unpredictable modulations. At

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<sup>23</sup> Russell Sherman, *Liszt: Transcendental Etudes, "Dante" sonata, Les jeux d'Eaux à la Villa d'Este*, LP Jacket notes (Vanguard Classics SRV.354/55SD)

<sup>24</sup> Leung 123.

<sup>25</sup> Coppla, "Form and Fantasy;1870-1920," 99.

<sup>26</sup> Lipke 80.

the same time the resemblance of its large-scale structure to the sonata form makes this piece “quasi sonata.”

### Salon and opera fantasies

While the most highly regarded fantasies of the nineteenth century were sonata-like works of serious nature, the term fantasy was most frequently used for virtuoso pieces that were immensely popular among the growing middle-class audience. These fantasies, which are often based on an existing theme or group of themes, are generally called salon (or potpourri, especially when multiple tunes are present) fantasies. While the piano was still the instrument of choice for most salon fantasy composers, there is a sizable repertoire of this kind written for piano duet, for solo instrument such as flute accompanied by piano, or even for small salon orchestra. A typical salon fantasia consists of an introduction followed by a set of variations or loose sequence of thematic transformations based on a popular tune from a well-known work, often an opera, ending with an elaborate finale. As these pieces were written for a mass audience, they had to be, first and foremost, accessible and impressive. Inevitably the result was a great number of fantasies of poor quality. This prompted Schumann to confess his "marked distress" at the prevalence of this "secondary[...]type of composition, improvising on someone else's theme," always a reflection of "the lack of productiveness." He added, "the Classical age will not be restored now by means of patchwork compositions."<sup>27</sup> The composers of these 'lower type' of fantasies included Ignaz Moscheles, Johann Peter Pixis, Johann Baptist Cramer, Ludwig Schuberth, Johann Friedrich Horzalka, Henri Herz, and Friedrich Kalkbrenner.

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<sup>27</sup> Schumann, quoted in Schleuning, 18.

This is not to say, however, all the virtuoso fantasies of this era were empty show pieces. Opera fantasies of Liszt, and Thalberg to a certain extent, were considered salon fantasies of higher quality. Busoni, the last great composer of this type of fantasy, commented on Liszt's opera fantasies: "Liszt's aristocratic opera fantasia differs from the plebeian potpourri in deliberate selection, in a schematic disposition of form and of contrasts and in the attempt to expand and develop the motives which have been adopted[...]Ornamental display, which has a quality of sumptuousness resulting from Liszt's majestic command of all keyboard possibilities, is rarely used as an end in itself; it is employed for descriptive purposes in most cases."<sup>28</sup> Even Schumann acknowledged the success of Thalberg's *Phantasie über Themas aus Rossinis 'Moses'* on one occasion: "The Fantasia is written in a pleasing salon manner and gives the virtuoso every opportunity of taking his public by storm."<sup>29</sup>

Despite these positive comments by renowned composers of the time, the virtuoso fantasy was always the inferior cousin of the 'serious' fantasies based on sonata form. This point will be further discussed in the concluding chapter along with the state of the fantasy genre from the second half the nineteenth century into early twentieth century.

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<sup>28</sup> Ferruccio Busoni quoted in Schleuning, 19.

<sup>29</sup> Thomas Schipperges and Dagmar Teepe, "Fantasie," *MGG*. 1994 ed.

## Chapter 4

### Sonata-Fantasies and Fantasy-Sonatas: Analyses of Six Selected Works

#### Introduction

I have so far traced the historical development of the fantasy and of its relationship to the sonata through mid-nineteenth century. In this chapter, one fantasy-sonata and five sonata-fantasies written between 1871 and 1958 are analyzed individually. As most of the composers represented in this chapter, with the exception of Scriabin, are relatively unknown, a brief biographical sketch of the composer precedes each analysis. In the analysis part I will examine the formal and stylistic features of each piece, with a particular focus on the features that had been historically associated with the sonata and the fantasy genres. It is not the purpose of this document to provide a highly detailed analysis of each work; rather, the analyses of this chapter are limited to the features that are crucial in understanding the nature of the sonata/fantasy hybrid works.

#### The sonata characteristics

It would be far beyond the scope of this document to discuss the complex history of the sonata.<sup>1</sup> The most recent edition of *Grove Dictionary of Music and Musicians* begins the description of the term “sonata” as follows:

A term used to denote a piece of music usually but not necessarily consisting of several movements, almost invariably instrumental and designed to be performed by a soloist or a small ensemble. The solo and duet sonatas of the Classical and Romantic periods with which it is now most frequently associated generally incorporate a movement or

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<sup>1</sup> For further information, consult Charles Rosen’s *Sonata Forms*, Newman’s three volumes on “a history of sonata ideas.” (Bibliographical information at the end of the document.)

movements in what has misleadingly come to be called Sonata form (or ‘first-movement form’), but in its actual usage over more than five centuries the title ‘sonata’ has been applied with much broader formal and stylistic connotations than that.<sup>2</sup>

The writer of this article was obviously careful not to make an over-generalization. For the purpose of this document, however, I am going to adapt the narrower and relatively recent description of the term, characterized by the multi-movement structure and the incorporation of sonata form. This notion may seem too simplistic, but is practical and well supported by descriptions and definitions of the term found in other sources.

*Harvard Concise Dictionary* published in 1978, for instance, even spells out the ‘standard’ movement scheme for a sonata:

The normal scheme for the movements of a sonata [...] is Allegro-Adagio-Scherzo (or Minuet)-Allegro. [...] The first movement (Allegro) is almost always in the so-called sonata form; the second (Adagio) is often in sonata form or ternary form but may be in binary or variation form; the third movement is normally in ternary form, Minuet (Scherzo)-Trio-Minuet (Scherzo); the last movement (Allegro, Presto) is in sonata form or rondo form (occasionally in variation form).<sup>3</sup>

This is not to say that the composers discussed in this chapter felt it necessary to follow these guidelines in writing sonatas. Yet, composers must be aware of how each musical term is understood and interpreted in the era they live in. The list below summarizes the characteristics that were generally associated with the sonata in the late nineteenth century:

- Typically consisting of three or four movements
- At least one movement (tends to be the first) in sonata form
- Typical movement scheme: Allegro – Adagio – Scherzo (or Menuet) – Allegro
- Tends to be a ‘serious’ work

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<sup>2</sup> “Sonata,” *Grove Music Online* <www.grovemusic.com>

<sup>3</sup> “Sonata,” *Harvard Concise Dictionary of Music*. compiled by Randel, Don Michael. (Cambridge, MA: The Belknap Press of Harvard Univ. Press, 1978).

## The fantasy characteristics

Unlike the sonata, the fantasy is an “elusive genre,” often described as formless and boundary-less.<sup>4</sup> Nevertheless, there are certain features that are often found in works called ‘fantasy,’ which are used to define the character of the genre, despite the tautological nature of this practice. The list below summarizes these characteristics and tendencies that had been associated with the fantasy in the common-practice era. Though the list is my original work, it is based not only on the observations I made in a survey of piano fantasies written between the time of C.P.E. Bach and Liszt, but also on the information I collected through consultations with modern and historical writings on the subject.<sup>5</sup> It must also be noted that many features that are identified as independent categories are intertwined with one another, and are different manifestations of the same concept.

- One movement originally; multi-movement works tend to be continuous and/or cyclical.
  - Single movement works:  
C.P.E. Bach: *Fantasies*  
Schubert: “*Grazer*” *Fantasy* in C
  - Multi-movement works:  
Beethoven: *Choral Fantasy*, op.80  
Mendelssohn: *Fantasie*, op.28
- One unifying theme or a very small number of themes
  - Thematic transformation technique (juxtaposition, combination, fragmentation etc.)  
Schubert: ‘*Wanderer*’ *Fantasie*, D.760
  - Theme and variations technique  
Beethoven: *Choral Fantasy*, op.80

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<sup>4</sup> Coppla, “The Elusive Fantasy: Genre, Form, and Programs in Tchaikovsky’s *Fancesca da Rimini*,” 169.

<sup>5</sup> All the resources consulted for compilation of this list are included in the bibliography at the end of the document.



Steibelt: *Die Zerstörung von Moskwa: Eine grosse Fantasie für das Pianoforte*

- Adaptation of a theme/themes from another source
  - Schubert: 'Wanderer' *Fantasie*, D.760
  - Thalberg: *Fantaisie sur des themes de Moise en Egypte (Rossini)*, op.33
- Improvisatory character (planned disorder)
  - Interruption
    - Sectional (episodic) interruption—an unexpected insertion of a section
      - Chopin: *Fantasie*, op.49
      - Schumann: *Fantasie*, op.17
    - Local interruption—fermatas, rests, fragmented phrases
      - Beethoven: *Fantasie*, op.77
      - Mozart: *Fantasy in D Minor*, K.397
  - Meandering (aimless) harmonic progression
    - Mozart: *Fantasy in C Minor*, K.475
    - Chopin: *Polonaise-Fantasie*, op.61
  - Avoidance of cadences (unresolved chords at phrase endings)
    - Mozart: *Fantasy in C Minor*, K.475
    - Schumann: *Fantasie*, op. 17
  - Unexpected modulation often via enharmonic interpretation
    - C.P.E. Bach: *Fantasia in A Major*, H.278
    - Beethoven: *Fantasie*, op.77
  - Frequent changes of tempo
    - Steibelt: *Die Zerstörung von Moskwa: Eine grosse Fantasie für das Pianoforte*
    - Beethoven: *Fantasie*, op.77
  - Unbarred recitative- or cadenza-like section
    - Chopin: *Polonaise-Fantasie*, op.61
    - Johann Ernst Bach: *Fantasy*
- Virtuoso style
  - Sweeping arpeggio
    - Beethoven: *Choral Fantasy*, op. 80
    - Thalberg: *Fantaisie sur des themes de Moise en Egypte (Rossini)*, op.33
  - Rapid passagework

Hummel: *Fantaisie*, op.18  
Schubert: “Grazer” *Fantaisie* in C Major

- Toccata-style figuration (*perpetuum mobile*)  
Hummel: *Fantaisie*, op.18  
Mozart: *Fantasy* in C Minor, K.457
- *Patetico* (great emotion) style
  - Frequent use of the diminished-seventh harmony  
Mozart: *Fantasy* in C Minor, K396  
Schubert: *Fantasia* in C Minor, D.993
  - Funeral march  
Steibelt: *Die Zerstörung von Moskwa: Eine grosse Fantasie für das Pianoforte*  
Chopin: *Fantaisie*, op.49
  - Chromatic descending (lament) line  
C.P.E. Bach: *Fantasia* in C Minor (1753?)  
Schubert: *Fantasia* in C Minor, D.993
  - Seufzer (sigh) figure  
Mozart: *Fantasy* in D Minor, K. 397  
C.P.E. Bach: *Fantasia* (1770)

Joachim Raff: *Fantasie-Sonate für Klavier d-moll*, Op.168

Biography<sup>6</sup>

Born in Lachen, Switzerland, in 1822, Joachim Raff received basic education from his father, a teacher and organist who had fled Germany to avoid compulsory conscription into Napoleon's army. Though Raff took his first job as a primary school teacher near his hometown in 1840, he soon became more interested in musical composition. In 1843, he sent his earliest piano pieces to Felix Mendelssohn for advice. Mendelssohn praised the works and recommended them to his publisher Breitkopf & Härtel. Encouraged by a favorable review of these pieces, published as opp.2-6, received in the the *Neue Zeitschrift für Musik*, Raff resigned from his teaching job in 1844, and, with the help from Franz Abt, a young composer and Zürich Kapellmeister, moved to Zürich to begin a career as a composer. A year later, he met Franz Liszt who helped the poor aspiring composer find employment in Cologne selling pianos and music scores. During his two-year Cologne period, Raff met Mendelssohn and remained in contact with Liszt. Though he seriously considered studying with Mendelssohn in Leipzig, Mendelssohn died in November 1847 before Raff's wish was realized. Raff then spent a short period of time in Stuttgart, where he met Hans von Bülow who became a lifelong friend, and in 1848 he moved, this time to Hamburg, where he found employment, again through Liszt at the publisher Schuberth as an arranger. Finally in 1849 Raff decided to accept Liszt's invitation to come to Weimar and began working as Liszt's musical assistant and secretary. Raff continued to work as composer under Liszt's supervision,

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<sup>6</sup> Following are the two main sources for this section: (1) James Danville, "Raff, (Joseph) Joachim," *Grove Music Online*, <<http://www.grovemusic.com>>; (2) Joachim Raff Society Website: Life, <[www.raff.org/bio](http://www.raff.org/bio)>.

and made the acquaintance of Brahms and Joseph Joachim, as well as his future wife Doris Genast, an actress and daughter of the Weimar theatre director Eduard Genast. Despite all the benefits of being with Liszt in Weimar, Raff felt oppressed by the commanding figure of Liszt. He also became disenchanted with the Liszt/Wagner New German School, a view expressed in his book *Die Wagnerfrage* (1854), and began to regard his mission as combining the best of their prescription for the future of music with a more academic regard for the forms and traditions of the past such as counterpoint, fugue and sonata form. Raff left Weimar in 1856 to follow his fiancé Doris to Wiesbaden. During the next twenty-six years in Wiesbaden Raff produced the majority of his numbered compositions and achieved his first broad public recognition. In the 1870s he was one of the most frequently played German composers and was appointed director of the newly established Hoch Conservatory in Frankfurt in 1878. He died of a heart attack at age sixty in June 1882.

Raff's music is largely forgotten today. Historians have blamed Raff's uncritical production of too many pieces of inconsistent qualities for this. Klaus Wolters writes in his *Handbuch der Klaveirliteratur zu zwei Händen*, "Had he not written so much and uncritically published everything, we may have held his best works in high regard."<sup>7</sup>

### *Fantasie-Sonate, op.168*

Raff wrote his *Fantasie-Sonate* in Wiesbaden during the first weeks of autumn in 1871 and dedicated it to his esteemed colleague Camille Saint-Saëns. Though it was published by C.F. W. Siegel half a year later, the work seems to have elicited little

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<sup>7</sup> Klaus Walters, *Handbuch der Klaveirliteratur zu zwei Händen 4<sup>th</sup> ed.* (Zürich: Atlantis Musikbuch-Verlag, 1994) 413. (translation by M. Hayashida)

attention; it is not mentioned at all by Helene Raff's biography of her father, and no performance is recorded by Schäfer in his 1888 catalogue of Raff's works. It received its first public performance in modern times (and perhaps ever) at a Joachim Raff Society piano recital in 1998.<sup>8</sup>

The work combines the straightforwardness of many of Mendelssohn's piano compositions with Liszt's virtuoso style. Harmonically, rhythmically, and texturally, it follows conventional compositional practices of the mid-nineteenth century. The writing is quite idiomatic to the instrument. Considering that the sonata/fantasy generic mixture had been practiced by earlier Romantics as discussed in the previous chapter, the only truly remarkable feature of this work may be the unprecedented use of the compound title: *Fantasie-Sonate*.

The work consists of three sections which loosely correspond to the exposition, development, and recapitulation sections of sonata form. At the same time, the tempo relationship of the three sections, fast-slow-fast, as well as the sonata-form organization of the first section, suggests a three-movement sonata layout. In other words, this piece is in 'double-function sonata form', which was most famously used by Liszt in his Sonata in B minor.<sup>9</sup>

The structure of this piece seen as one-movement sonata form and as a three-movement sonata is shown in the diagrams below. Neither model may adequately address the issues associated with fully appreciating the form. The one-movement model results in a development section whose tempo is completely different from the rest of the piece. The section is also unusually tranquil and diatonic to be labeled development.

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<sup>8</sup> Joachim Raff Society Website: "Fantasie-Sonata," (accessed 5 June 2005)  
<<http://www.raff.org/fantasy.htm>>

<sup>9</sup> Newman, *Sonatas Since Beethoven*, 373.

Moreover, the material that is being developed in this section is not drawn from the exposition, but from the short improvisatory introduction. In contrast to the largely diatonic development section, the tonality of the end of the exposition (i.e. the episode: mm.113-186) of this work, when analyzed as a one-movement sonata, is oddly unstable; the secondary key of F Major is abandoned immediately, and heard instead are a series of tonalities, including the original tonic key of D Minor to an unusual degree. While the three-movement scheme apparently solves these problems, it yields a last movement that introduces no new materials, as the two main themes in the last movement are both adapted from the first movement, and the Codas I and II are based on the second and first movement themes, respectively.



Below are the fantasy characteristics found in this piece.

- Small number of themes

The recurrent use of a small number of themes has been a notable characteristic of the fantasy tradition. In this piece, there are essentially only three themes, labeled A, B, and C in the diagrams, upon which almost the entire piece is based: A corresponds to the primary theme in the exposition, appearing first in m. 33. B corresponds to the secondary theme first seen in m. 83. C corresponds to the Largo theme (m.186), a fragment of which is used in the opening measures of the piece.

Figure 2. Raff: *Fantasie-Sonate*, op.168, mm.31-34, Theme A (beginning)

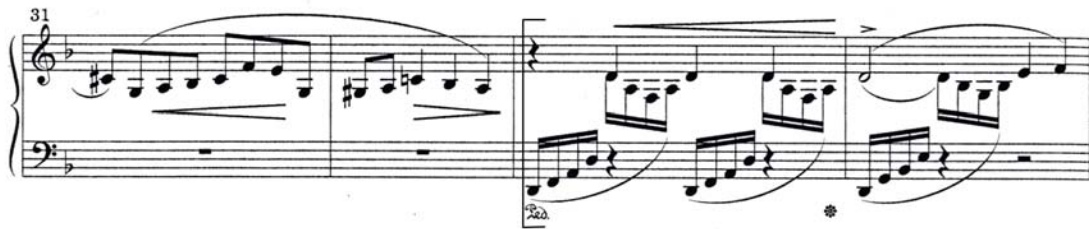


Figure 3. Raff: *Fantasie-Sonate*, op.168, mm.83-91, Theme B (beginning)

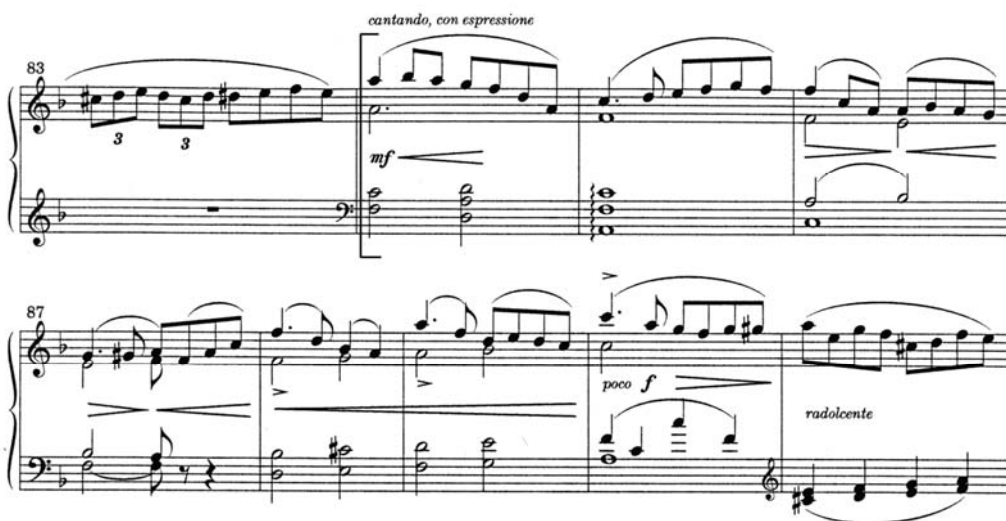




Figure 4. Raff: *Fantasie-Sonate*, op.168, mm.186-192, Theme C (beginning)



Raff spins such a limited number of themes into an entire piece by two techniques: theme and variations and thematic transformation. The former is obvious. The Largo section begins with Theme C followed by four variations. The thematic transformation examples are scattered throughout the piece. Below are a few instances where modified or fragmented versions of Themes A, B, C are found:

Figure 5. Raff: *Fantasie-Sonate*, op.168, mm.122-126, Theme A transformed



Figure 6. Raff: *Fantasie-Sonate*, op.168, mm.157-162, Theme A transformed

Musical score for measures 157-162 of Raff's *Fantasie-Sonate*, op.168. The score is in 3/4 time and features a transformed Theme A. It consists of two systems of piano accompaniment. The first system (measures 157-159) includes a dynamic marking of *f sempre*. The second system (measures 160-162) continues the accompaniment. The music is characterized by dense chordal textures and rhythmic patterns.

Figure 7. Raff: *Fantasie-Sonate*, op.168, mm.422-427, Theme A transformed

Musical score for measures 422-427 of Raff's *Fantasie-Sonate*, op.168. The score is in 6/8 time and features a transformed Theme A. It consists of two systems of piano accompaniment. The first system (measures 422-424) includes a tempo marking of *Presto* and a metronome marking of  $\text{♩} = 100$ . The second system (measures 425-427) continues the accompaniment. The music is characterized by a driving, rhythmic pattern in the right hand and a steady accompaniment in the left hand.

Figure 8. Raff: *Fantasie-Sonate*, op.168, mm.1-3, Theme C transformed

Musical score for measures 1-3 of Raff's *Fantasie-Sonate*, op.168. The score is in 3/4 time and features a transformed Theme C. It consists of two systems of piano accompaniment. The first system (measures 1-2) includes a tempo marking of *Allegro patetico* and a metronome marking of  $\text{♩} = 132$ , and a subtitle *A Capriccio*. The second system (measure 3) continues the accompaniment. The music is characterized by a dramatic, expressive style with a prominent melodic line in the right hand and a supporting accompaniment in the left hand.

Figure 9. Raff: *Fantasie-Sonate*, op.168, mm.393-401, Theme C transformed

The image displays two systems of musical notation for a piano piece. The first system, labeled with measure 393, shows a complex texture with multiple voices. It includes a treble clef staff with a melodic line and a bass clef staff with a dense accompaniment. A dynamic marking of *ff* (fortissimo) is present. The second system, labeled with measure 398, continues the piece with similar complexity, featuring a treble clef staff with a melodic line and a bass clef staff with a dense accompaniment. The music is in 3/2 time and features complex textures with triplets and a forte dynamic marking.

- Improvisatory Character

Catherine Coppla lists the use of interruptions as one of the most important generic features of the fantasy.<sup>10</sup> Interruptions of all levels are found throughout the piece. When the piece is analyzed as a one-movement work, the Largo section itself can be seen as a sectional interruption, similar to the *Legendenton* section of the first movement of Schumann's *Fantasie*, op.17. An example of a phrasal interruption is found in mm. 249 – 253, a short link between the third and the fourth variations in the Largo section.

<sup>10</sup> Coppla, "The Elusive Fantasy: Genre, Form, and Program in Tchaikovsky's *Fancesca da Rimini*," 171.

Figure 10. Raff: *Fantasie-Sonate*, op.168, mm.248-253, link between the third and fourth variations in the Largo section

(End of Var. 3)

248

Link (interruption)

*f*

(From Theme A)

250

*p* *f* (From Theme A) *mf*

252

*p* *pp* (followed by Var.4)

The inclusion of a motif derived from Theme A (D-D-D-D-E-natural-F#) in this interruption serves as a reminder of the cyclic nature of the piece. The fragmented phrases that make up the introduction are examples of local interruptions.

Aside from such interruptions, the improvisatory character of this piece is restricted mostly to the introductory section. It begins with a bare octave six-note motif that later turns out to be the beginning of the theme used in the major-key middle section as shown above. The mood here, however, is enigmatic and weighty, vaguely resembling the bare octave opening of the Mozart *Fantasy* in C Minor, K. 475. The motif is followed by a cadenza-like un-metered measure in which a diminished 7<sup>th</sup> chord arpeggio shoots up four octaves. The phrase is interrupted without a resolution. After an extended

rest the same motif and an arpeggio are heard again, but this time a half-step higher. This is followed by a chain of diminished-seventh chords and their resolutions, effectively repudiating the tonal center vaguely suggested at the beginning.

- Virtuoso style

While Raff does give the performer an opportunity to show off dynamic octaves and rapid finger work, mostly in the two codas at the end of the piece, the virtuosic element here is less spectacular, especially compared to operatic and salon fantasies from the same era.

This piece, which seems to be the first work to bear a sonata/fantasy compound title, is a direct descendent of the esteemed Romantic Fantasies of Mendelssohn, Chopin, Schumann, and Liszt. As in some of those works, the overall structure is rather straightforward double-function sonata form, and the free, improvisatory character is restricted to a few sections. In that sense, this work leans more toward the sonata than fantasy. The main ‘fantasy’ elements in this work are the limited number of themes used throughout the piece and the improvisatory introduction.

Alexander Scriabin: *Sonate-Fantaisie* (1886); Sonata No.2 (*Sonate-Fantaisie*), op.19

### Biography

Alexander Nikolayevich Scriabin was born into an aristocratic family on Christmas Day 1871. His mother Lyubov Petrovna Shchetinina, a pianist and composer who had studied with Theodore Leschetizky, died soon after Alexander's birth. His father Alexander Nikolayevich moved to Constantinople, leaving the boy with his grandmothers and his aunt, Lyubov Aleksandrovna, an amateur musician who became his first teacher. A nervous and precocious child who improvised on the piano at the age of five, Scriabin studied music from an early age and became a pupil of the famed teacher Nikolay Zverev, who taught a group of highly talented students, including Sergei Rachmaninoff. Despite Zverev's attempt to dissuade Scriabin from composition, he wrote his first significant work, the Etude in C# minor (published as op.2 no.1) in 1886. Scriabin later studied at the Moscow Conservatory with Vasily Ilych Safonov, Anton Arensky, and Sergei Taneyev. Despite his small hands with a span of barely over an octave, he became one of the conservatory's foremost piano students, and graduated with a Small Gold Medal, as opposed to Rachmaninoff's Great Gold Medal.

In August 1897 Scriabin married a pianist, Vera Ivanova Isakovich. The following year he was given a piano professorship at the Moscow Conservatory. Neither his marriage and his career as a conservatory professor did lasted long, however. In 1903 Scriabin resigned from his post at the Moscow Conservatory. The same year he began an extramarital affair with Tatiana Fyodoravna, a young niece of a friend, which resulted in Vera leaving Scriabin the following year. Scriabin's interest in philosophy, especially that of Nietzsche, and religion, which had manifested from earlier years, became

increasingly more significant. Scriabin spent the next four years abroad with his mistress, performing, composing, and reading more philosophy and theosophy.

Scriabin's return to Russia in January 1909 was widely celebrated. Though he continued to perform for financial reasons, his main interest by this time was composition. Most of the compositional output from his last five years was for piano, including Sonatas Nos. 6 – 10. During the last few years of his life, he was also planning a multi-media work titled *Mysteriya* to be performed in the Himalayas, that would transform humanity to achieve a new level of consciousness, and to foster “the celebration of a collective joy.”<sup>11</sup> The project was never realized. Scriabin died of blood poisoning on 14 April 1915, with the manuscript containing sketches for the *Mysteriya* open on his piano.

Most of Scriabin's works are for the piano. His early works show strong influence of Chopin, reflected even by the titles, such as the etude, the mazurka, and the prelude. Clearly tonal overall, these pieces hardly foreshadow the adventurous style of his later years. After the turn of the century, the tonal center in his music becomes increasingly ambiguous and the use of chromaticism reaches a level exceeded only by the Second Viennese School composers at that time. After 1908 Scriabin “devoted himself with almost demonic single-mindedness to the exploration of the compositional possibilities contained within the ‘mystic chord’.”<sup>12</sup> His compositions from these years show no reference to traditional tonality and tertian harmony. Interestingly, Scriabin continued to make use of traditional formal types even in his late years, especially sonata

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<sup>11</sup> Robert P. Morgan, *Twentieth-Century Music* (NY: W.W. Norton & Co., 1991) 61.

<sup>12</sup> Morgan 58.

form and, in shorter pieces, straightforward binary and ternary designs.<sup>13</sup> His influence was immense; he affected the development of nearly every Russian composer of the first half of the twentieth century.<sup>14</sup>

### *Sonate-Fantaisie* (1886)

Scriabin composed the *Sonate-Fantaisie* in G# Minor, not to be confused with Sonata No.2 (*Sonata-Fantaisie*), op.19, also in G# Minor, in August 1886 at the age of fourteen. Still a pupil of Zverev, his other compositions from this period include an astonishing number and variety of pieces: Rondo for Orchestra, Suite for Strings, short piano pieces such as Ballade, *Variations in F minor on a Theme of Egoraova*, Scherzo, Hungarian Rhapsody, a Waltz in D-flat Major, and the well-known Etude in C# minor, op.2 no.1. The *Sonate-Fantaisie*, dedicated to Natalya V. Sekerina, Scriabin's first sweetheart, is considered the first of his completed sonatas. The piece remained unpublished until 1940, more than two decades after his death.

The *Sonate-Fantaisie*, as one would expect from a fourteen-year old composer, is a simple piece consisting of a relatively long introduction followed by a main section in sonata form. As in most other youthful works of Scriabin, Chopin's influence is vivid. Simon Nicholls writes in his program notes for *Alexander Scriabin: The Complete Piano Sonatas*: "this was the time in Scriabin's life when he fell in love with Chopin's music and would go to sleep with a volume of Chopin under his pillow."<sup>15</sup>

The diagram below shows the overall structure of this work:

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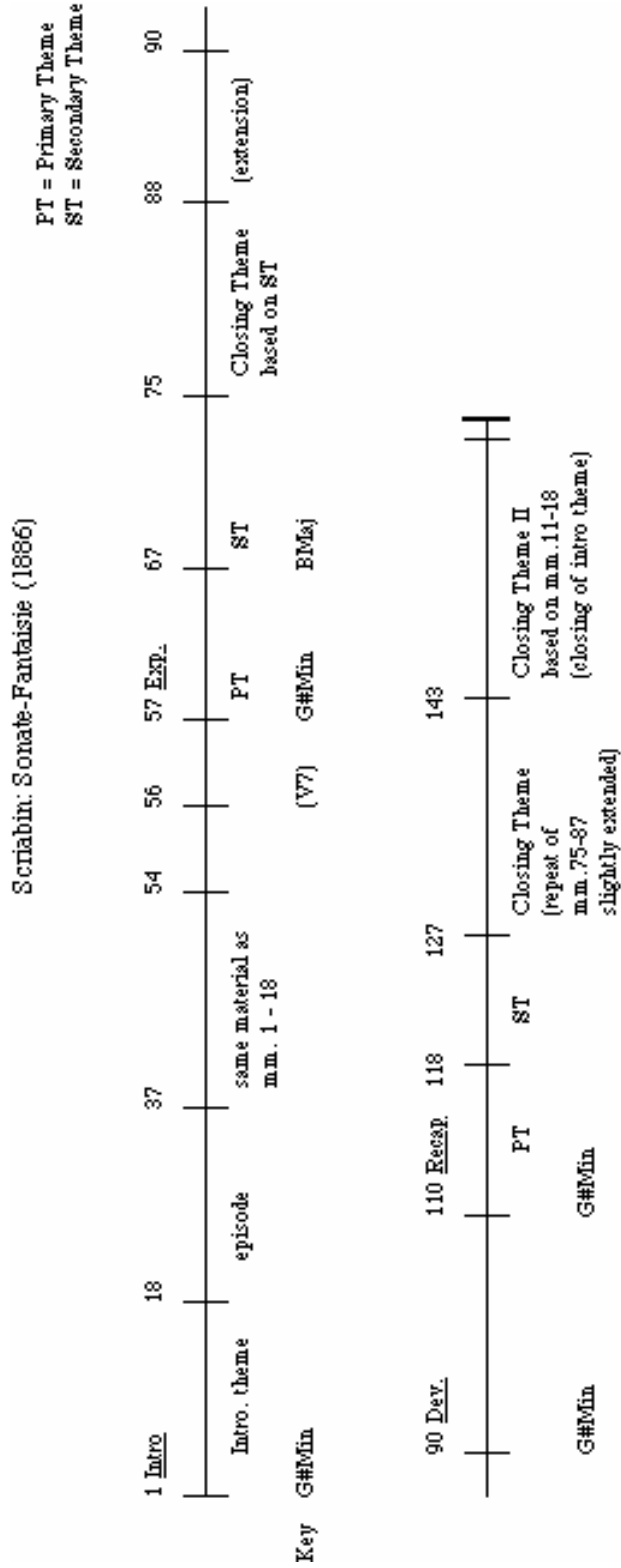
<sup>13</sup> Morgan 60.

<sup>14</sup> Jonathan Powell, "Skryabin, Aleksandr Nikolayevich," *Grove Music Online*, <<http://www.grovemusic.com>>.

<sup>15</sup> Simon Nicholls, *Alexander Scriabin: The Complete Piano Sonatas* (Marc-Andre Hamelin, piano), CD notes. Hyperion Records, 1995.

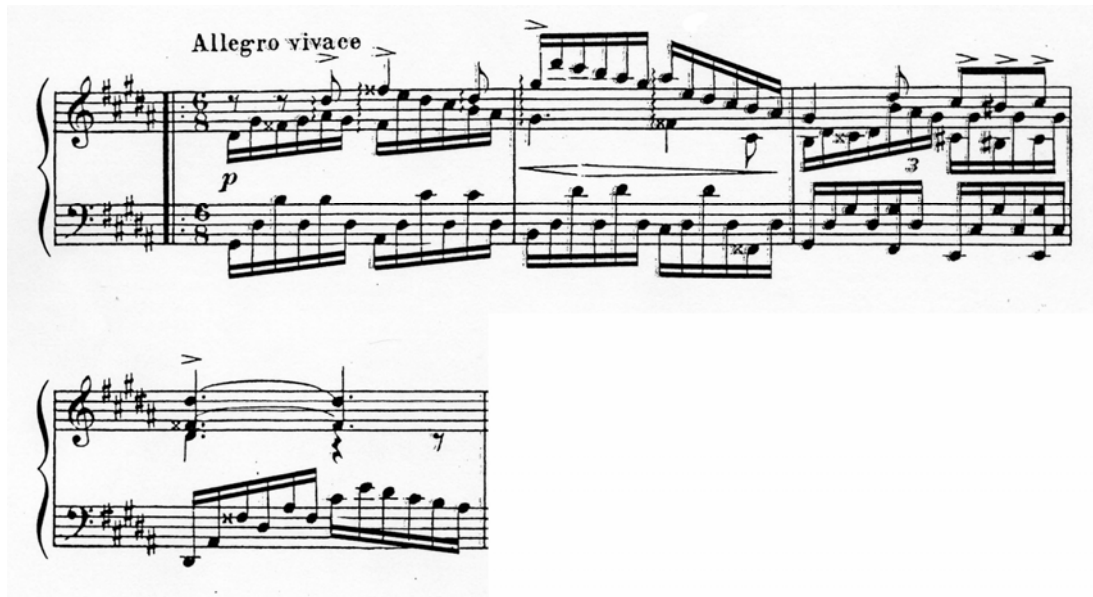


Figure 11. Diagram of Alexander Scriabin's *Sonate-Fantaisie* (1886)



The relatively long introduction, which perhaps foreshadows the two-movement organization of his Second Sonata (*Sonate-Fantaisie*), op.19, and Fourth Sonata, op.30, is straightforward ternary form. The introduction is followed by the main section which faithfully follows the textbook sonata-form model. The primary theme is characterized by an agitated and intertwined two-voice texture:

Figure 12. Scriabin: *Sonate-Fantaisie* (1886), mm.57-60, primary theme



The secondary theme, in contrast, is an elegantly lyrical theme, which is marked *un poco meno vivo*.

Figure 13. Scriabin: *Sonate-Fantaisie* (1886), mm. 66-71, secondary theme

The closing theme that begins at m. 76 has a vague resemblance to the secondary theme, though it is in the more swift and agitated character of the primary theme.

Skillful juxtaposition of primary and secondary themes in the development shows a flash of sophistication.

Figure 14. Scriabin: *Sonate-Fantaisie* (1886), mm. 94-96, development section (beginning)

The recapitulation follows an expected course of events: the return of the primary theme in the original key of G# minor and the secondary theme, this time in the parallel major key of G# Major. The closing theme that begins in m. 127 is the exact transposition of mm. 76 – 83. The reappearance of the materials from mm. 84 – 87

beginning m. 135 is slightly altered. The agitated left hand sixteenth-note accompaniment figure is now replaced by one-measure-long chords, preparing for the final closure of the piece. The piece ends with the return of a cadential passage, repeated once, from the *Andante* section.

Figure 15. Scriabin: *Sonate-Fantaisie* (1886), mm.143-148



While the sonata characteristic of this work, as we have seen so far, is apparent, its ‘fantasy’ side is less obvious. In many ways, one wonders why the young Scriabin named this piece *Sonate-Fantaisie*, rather than simply calling it Sonata. Here are a few generic characteristics of fantasy I have found in this short work:

- One movement work

The vast majority of the sonatas written during the Classical and Romantic eras were three- or four-movement works. In fact, one-movement sonatas like those of Scarlatti were very rare until the early twentieth century. When Scriabin wrote this work in 1886, it may have seemed incomplete to call a sonata-form movement not followed by other movements a sonata. Scriabin’s first completed sonata, *Sonata No.1, op.6*, (1892) consists of four movements. His second and fourth sonatas have two movements, and his third four movements. It was only with his fifth, *op.53* (1907) that Scriabin began writing sonatas in one-movement. This seems to support the speculation that Scriabin in

1886 felt that a one-movement work, despite its form, did not deserve the title sonata and needed a qualifier “fantasy,” which was often a one-movement work.

- Improvisatory character (*Andante* section)

While primitive, the *Andante* section can be seen as a composed improvisation.

The opening upward arpeggio figure is repeated in various forms four times in the first sixteen measures of the piece.

Figure 16. Scriabin: *Sonate-Fantaisie* (1886), mm.1-2



The middle section within the *Andante* section is essentially an improvisation on an upward sweep figure that appears six times over the course of fewer than twenty measures.

Figure 17. Scriabin: *Sonate-Fantaisie* (1886), mm.15-23

Compared to his mature compositions, the improvisatory technique here is naively simple; Scriabin repeats these figures simply in different keys throughout the section.

Another improvisatory feature found in the *Andante* section is the use of local interruptions. In stark contrast to the *Allegro vivace* section, most phrases in this section are barely two measures long, with rests separating them. In fact, the whole *Andante* section seems to consist of a few fragmentary ideas that never become a full-blown long phrase. This is perhaps the reason that the *Andante* section sounds more like an introduction, which by definition, needs to leave more to be said.

Overall, Scriabin's *Sonate-Fantaisie* (1886) is a simple piece by a fourteen-year old boy who is trying to find his own voice as a composer. As with Raff's *Fantaisie-Sonate*, the fantasy elements in this piece are confined to the introductory *Andante* section, making this piece more a small 'sonata' movement than a 'fantasy.' Considering that it is extremely unlikely that the young Scriabin knew of Raff's *Fantaisie-Sonate*, his choice of the hyphenated sonata/fantasy title was perhaps the influence of his idol Chopin's use of such titles: *Polonaise-Fantasy*, op. 61 and *Fantasy-Impromptu*, op.44.

#### Sonata No. 2 (*Sonate-Fantaisie*), op.19

Scriabin began writing the piece in 1892, the year in which he took a trip to Latvia and had his first encounter with the sea. He continued to work on the piece for the next five years, filling in blank measures and revising and rewriting repeatedly what he had written. As late as August 1897, his publisher Balayev was pressuring Scriabin to deliver the composition for printing: "Sasha, you've had the Second Sonata long enough.

Don't fuss with it anymore.”<sup>16</sup> The work, which Scriabin regarded as a “vision of the sea” was sent to Balayev later that year and published as op.19.<sup>17</sup>

Scriabin used to say that it was inspired by the sea. The first movement is a quiet, southern night on the seashore. In the development, a dark, stormy deep sea. The E-major part is the tender moonlight that comes after the dark. The second movement (*Presto*) is an image of the wide, turbulent expanse of the sea.<sup>18</sup>

Scriabin was obviously satisfied with the work, as he performed it frequently and recorded it on a piano roll in 1908. It is still one of the more frequently performed piano works by the composer and by far the best known piece today with a sonata/fantasy compound title.

The piece consists of two movements: *Andante* and *Presto*. While three- and four-movement organization was the norm for the sonata in the nineteenth century, the two-movement design of this sonata was certainly not an innovation. Haydn, Beethoven, and Schubert, among others, wrote two-movement sonatas. The combination of slow and fast movements links this piece to Scriabin's earlier *Sonate-Fantaisie* (1886), which, as discussed above, consists of slow and fast sections. The two movements in this sonata, however, are clearly two independent movements. Of the two movements, it is the *Andante* movement that is thematically, rhythmically, and formally weightier.

The formal structure of the two movements is shown below:

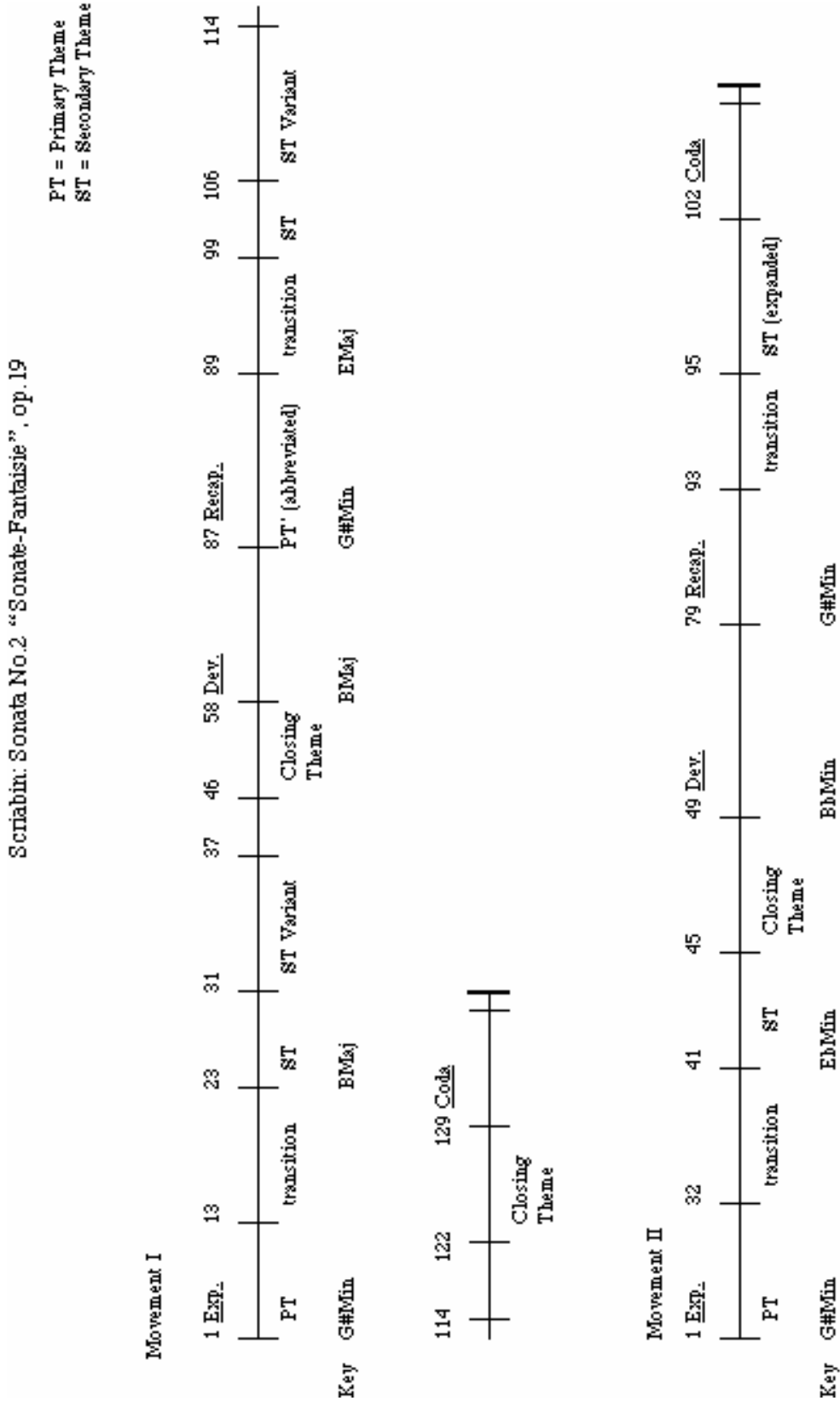
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<sup>16</sup> Letter from Belayev to Scriabin quoted in: Faubion Bowers, *Scriabin: A Biography of the Russian Composer*, vol. 1 (Tokyo: Kodansha International Ltd., 1969) 226.

<sup>17</sup> Bowers 226.

<sup>18</sup> Ye. Rudakova and A.I. Kandinsky, *Scriabin*. trans. By Tatyana Chistyakova, (Neptune City, NJ: Paganini Publications, Inc., 1984) 69. (Original source: J. Engel, “Scriabin: A biographical essay,” *Musical Contemporary*, op.cit., p.21.)

Figure 18. Diagram of Alexander Scriabin's Sonata No. 2 (*Sonate-Fantaisie*), op.19





As shown above, the first movement is in rather straightforward sonata form. The only notable deviation is the permanent modulation to E Major in the recapitulation. The second movement is analyzed here as sonata form, though many elements of the piece, such as texture, rhythm, contour, remain too unvaried for sections to be audibly recognizable. Structurally this piece resembles Beethoven's Sonata in F# Major, op.78: a rather classical sonata form movement followed by a shorter *perpetuum mobile* movement. Considering that Scriabin during his student years tried to learn all the piano sonatas by Beethoven (he stopped at op.14), this resemblance may not be a coincidence.

Fantasy features found in this work are described below:

- Relatively small number of themes

Though it may not be apparent in the diagram above, these two movements contain relatively few themes.

- First movement

In the first movement there are three themes, though the first one, marked PT (Primary Theme) in the diagram above, is actually a motif rather than a melody:

Figure 19. Scriabin: Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement I, mm.1 – 4, primary theme

This motif of wide leaps and repeated notes, which Eaglefield Hull calls “knocks of fate,”<sup>19</sup> is not only used incessantly in the *Andante* movement, but its fragment also appears in the *Presto* movement:

Figure 20. Scriabin: Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement II, m.19, “knocks of fate” motif



In contrast to the fragmentary nature of the primary theme, the lyrical secondary theme extends over eight measures.

Figure 21. Scriabin: Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement I, mm. 23-30, secondary theme



The short closing theme, which is sometimes labeled as the “second” secondary theme, is described by Simon Nicholls as “one of Scriabin’s happiest inspirations, a soaring

<sup>19</sup> Eaglefield Hull, *Scriabin: a Great Russian Tone-Poet* (NY: AMS Press Inc., 1970) 123.

melody placed in the middle of the texture, with glittering figuration around it like sunlight or moonlight playing on dancing waves.”<sup>20</sup>

Figure 22. Scriabin: Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement I, mm.45 – 48, closing theme



With the exception of a few linking and closing passages, the *Andante* movement essentially consists of these three thematic ideas. Even the short transitional theme immediately before the secondary theme (mm.19 – 22) is structurally related to the closing theme, as John A. Gorman points out<sup>21</sup>:

Figure 23. J. Gorman’s comparison between the structure of the transitional theme and the closing theme of Scriabin’s Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement I



<sup>20</sup> Nicholls 9.

<sup>21</sup> John A. Gorman, “An Analysis of Performance Problems in Selected Pianoforte Sonatas of Alexander Scriabin,” diss. Ph.D. New York University, 1979, 51.

- Second movement

The Presto movement is written in *perpetuum mobile* style. It opens with the primary theme, a relentless triplet figure consisting “mainly of leaps with very short stepwise figures, which causes the contour to gradually expand and contract in an up and down oscillation.”<sup>22</sup>

Figure 24. Scriabin: Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement II, mm. 1- 5, primary theme



This figure, which is more a texture than a melody, keeps spinning throughout the movement, frequently serving the role of the accompaniment part. The secondary theme, in contrast, is a slow moving melody with an inverted arc contour.

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<sup>22</sup> Gorman 69.

Figure 25. Scriabin: Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement II, mm. 41-44, secondary theme

The musical score for Scriabin's Sonata No. 2, Movement II, mm. 41-44, secondary theme, is presented in two systems. The first system shows the right hand (treble clef) with a melodic line starting at measure 41, marked *p legato* and *ben marcato il canto*. A triplet figure appears in the right hand at measure 42. The left hand (bass clef) provides accompaniment with a continuous triplet figure. Dynamics include *p*, *cresc.*, and *ff*. The score concludes with a final triplet figure in the left hand.

Notice that the triplet figure originally used as the primary theme is used this time for the accompaniment part. As a result, there is little contrast in character between the primary and secondary thematic areas. In fact, the continuous presence of the triplet figure gives the whole movement one *affekt*, similar to what we generally see in Baroque music.

- Improvisatory Character

In an echo of the structure of his earlier *Sonate-Fantaisie*, the improvisatory character is almost exclusively restricted to the first movement here. The primary thematic area of the exposition of the *Andante* movement in particular is a written-out improvisation on the opening motif. The rhythmic freedom of the first four measures, achieved through the use of two *ritardando* markings, three fermatas, and tied-over downbeats in the right hand, creates an illusion of unbarred writing (see Figure 19 on p. 57). After a short phrase that is a gesture rather than a melody, the “knocks of fate” motifs appear again in mm.11-12, interrupting the flow of the ascending melody.



Figure 26. Scriabin: Sonata No. 2 (*Sonate-Fantaisie*), op.19, Movement I, mm.12-18, “knocks of fate” interruptions



While the rest of the piece moves forward with less frequent interruptions, the irregular rhythmic character of this piece implicitly suggests that the piece is to be played *tempo rubato* throughout. Indeed, Scriabin did write “*tempo rubato*” at three places in what Gorman calls “almost an arbitrary manner”: mm.23, 30, and 97.<sup>23</sup> The combined effect of the irregular rhythmic patterns and *rubato* is an added sense of fluidity in time.

There is also a sense of harmonic instability and ambiguity in these first twelve measures. Although the tonic key of G# minor is implied from the beginning, there is no cadence in the tonic key in the exposition. Even in the relatively diatonic B Major section beginning in m.12, the tonic resolution is saved until m. 30, at the end of the first presentation of the secondary theme.

- Virtuoso writing

The only virtuoso element in this piece is the rapid triplet figure in the second movement similar to that of the toccata. This style of writing allowed the performer to display his/her virtuoso skills during the eighteenth century. For a piece composed in the

<sup>23</sup> Gorman 54.

post-Liszt era, however, the toccata style appears to be a rather subdued example of virtuoso writing.

Overall, it is in the *Andante* movement where we mostly find the features closely associated with the fantasy genre. In this sense it is similar to his earlier *Sonate-Fantaisie*. The 'fantasy' movement of this piece, however, is more sophisticated than the introductory section of the earlier work. What we see here is a sonata-form movement that successfully incorporates freer elements of the fantasy. The improvisatory nature of the first movement is counterbalanced by the *perpetuum mobile* second movement that is characterized by consistency in tempo, texture and character.

## Joaquín Turina: *Sonata Fantasia*, op.59 (1930)

### Biography

Joaquín Turina was born in Seville in 1882 as the son of a painter of Italian descent. He first demonstrated musical talent with the accordion at an early age. Turina began his serious music study with piano lessons from Enrique Rodríguez and compositions lessons from Evaristo García Torres. He soon became well-known in his hometown of Seville both as a composer and as a virtuoso pianist. His regional success at a young age prompted him to go to Madrid, where he studied piano with José Tragó from 1902 to 1905. In 1905, he moved to Paris to study piano with Moritz Moszkowski and composition at the Schola Cantorum under d'Indy. He also became personally acquainted with Debussy, Ravel, and Dukas.

In 1907 Turina performed his Piano Quintet, op.1 in Paris with the Parent Quarte, in a concert attended by his friend Manuel de Falla and by Issac Albéniz. The three composers made a pact to write “musica española con vistas a Europa” (Spanish music with a view toward Europe). Turina graduated from the Schola Cantorum in 1913 and returned to Madrid in 1914. By this time Falla and Turina were considered the leading composers of Spanish contemporary music. Between 1914 and 1926 Turina devoted himself mainly to composing theatrical works. He also remained active as a conductor, critic, author, and educator. Turina was appointed professor of composition at the Madrid Conservatory in 1930, a post he held until his death in 1949.

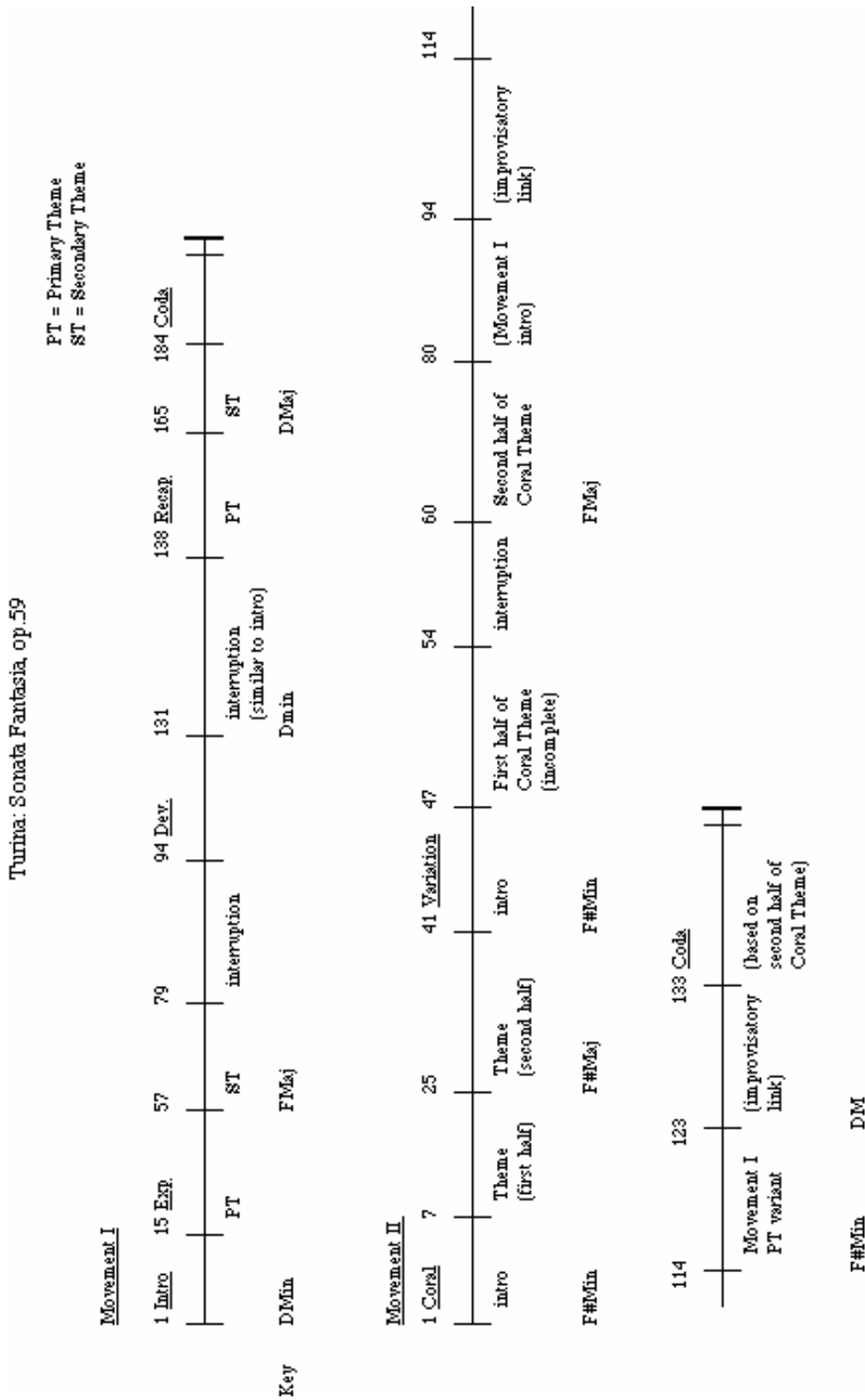
While the Spanish idiom is prevalent in his mature style, his technical equipment is foreign, reflecting his training at the Schola. His fifty-five works for solo piano comprise more than half of his total compositional output.



*Sonata Fantasia, op.59*

*Sonata Fantasia, op.59* was written in 1930 and published by the Unión Musical Española the following year. Turina dedicated it to the musicologist José Subirá. As in most other compositions of Turina, its formal structure derives from the Teutonic music tradition while the melodic, rhythmic and harmonic ideas are obviously inspired by the musical language of his native land. The piece consists of two movements of approximately equal length and weight.

Figure 27. Diagram of Joaquín Turina's *Sonata Fantasia*, op.59



The first movement is a rather straightforward sonata form movement. A short introduction in D-Aeolian mode is followed by the primary theme based on the “habanera” rhythm.<sup>24</sup>

Figure 28. Turina: *Sonata Fantasia*, op.59, Movement I, mm.15-18, primary theme



The only formal element that can be considered somewhat unique in this otherwise conventional movement is the presence of interruptions at the beginning and the end of development section.<sup>25</sup> The rest of the movement unfolds as one would expect in the standard sonata form; exposition materials are presented in the recapitulation in the tonic D minor/major, followed by a short coda.

In contrast, the structural design of the second movement is unconventional; even though Turina subtitled the movement *Coral con variaciones*, only one variation follows the theme. Furthermore, the variation has so many omissions and interruptions that it would more appropriately be called an improvisation on *Coral* rather than a variation. The rest of the movement is a patchwork of recurrent and new materials. Below are features in this piece that are considered characteristic of the ‘fantasy’ genre:

- Cyclical design

The introduction of the first movement returns in its complete and unaltered form in the second movement (mm.80 – 94). The primary theme of the first movement

<sup>24</sup> Barbara Anne Ryland, “The Piano Sonatas of Joaquin Turina,” diss. D.M.A. Univ. of Maryland, 1984, 52.

<sup>25</sup> This point will be discussed further in the “improvisatory character” section on p.69.

appears a little later in the second movement (mm.114 – 124), placed against a sextuplet ostinato bass.

Figure 29. Turina: *Sonata Fantasia*, op.59, Movement II. mm.113 – 118, reappearance of the primary theme of the first movement



- Relatively small number of themes

The first movement consists of the primary ‘habanera’ theme and a sketchy secondary theme. The second movement begins with a short introduction followed by the *Coral*, first half of which (mm.7-24) is in F# minor, the second half (mm.25-41) in F# Major. The *Coral* is followed by just one, rather unusual, variation. Turina then abandons the standard theme and variations model. Instead of a succession of variations, the rest of the movement consists of seemingly unrelated themes: mm.80 – 94 return of the first movement introduction; mm.94 – 113 improvisatory link; mm.114 – 122 adaptation of the primary theme of the first movement; mm.123 – 132 another improvisatory link; mm.133 – 181 coda based on the second half (major key section) of the *Coral* theme. In sum, there are only three themes in this two-movement work, namely the introductory and primary themes of the first movement and the *Coral* theme, and the rest are mere fragments and connecting materials.

- Improvisatory character

There are two interruptions in the otherwise conventional first movement: mm.79–93 and mm.131 – 137. The first one follows the secondary thematic area, which consists of unassuming melodic fragments in the relative major key of F Major. Marked *poco meno*, it obstructs the flowing character of the movement thus far. Its flat-key harmonies (mainly A-flat and E-flat majors) also lend the section a somewhat foreign air. The other interruption, found at the end of the development section (mm.130-136) immediately before the recapitulation, restates the introduction theme.

On a more local level, there are three instances of one-measure interruptions found in the variation section of the second movement. The first instance of interruption is found after the first two measures (mm.60 – 61), which correspond to mm.25 – 26 in the *Coral*. This measure (m. 62) can be best described as decorative and improvisatory as it has no melodic, harmonic, or thematic significance. It simply interrupts the *Coral* tune in a playful manner.

Figure 30. Turina: *Sonata Fantasia*, op.59, Movement II, mm. 60 – 63, interruption

In the first 8 measures (beginning at m.60 - ) of the variant of the second half of the *Coral* theme, which is now in F Major, there are two more interruptions of this kind, in measures 65 and 68.

While the interruptions may be the only ‘improvisatory’ feature of the first movement, the second movement as a whole can be described as a written-out improvisation. Found in the sole complete variation are not only the interruptions discussed above, but also the omission of the second half of the minor key section of the *Coral* theme. In lieu of the four omitted phrases, there is a prolonged linking passage that includes rapid passagework and arpeggios, similar to the keyboard improvisation technique that flourished in earlier centuries.

Figure 31. Turina: *Sonata Fantasia*, op.59, Movement II, mm. 54 – 59, linking passage displaying improvisatory technique

The musical score for measures 54-59 of Turina's *Sonata Fantasia*, op. 59, Movement II, is presented in three systems. Each system consists of two staves (treble and bass clef). The key signature is one sharp (F major). The first system (measures 54-55) begins with a treble staff containing a melodic line and a bass staff with a bass line. The second system (measures 56-57) features a more complex texture with rapid sixteenth-note passages in the treble and a more active bass line. The third system (measures 58-59) continues the rapid passagework in the treble. The piece concludes with a final chord in the bass staff of the third system. The dynamic marking 'pp' is present in the first system.

This is followed by a sudden modulation to F Major (see m.60 in Figure 30), instead of the expected key of F# Major as in the *Coral*. At the end of the variation, there is another short example of improvisatory style, consisting of rapid arpeggios, a cadence marked *rallentando*, and then a fermata, followed by a mini-cadenza. Also unstructured and whimsical is the medley-like design of the second half of the movement, which includes frequent character and tempo changes.

- Virtuoso style

The work cannot be described as virtuosic. Other than the short improvisatory passages in the second movement with rapid passagework and arpeggios mentioned above, there are only a handful of opportunities for even modest display of virtuosity, such as the sweeping arpeggios in the development section of the first movement (mm. 118 - 121) and the brief triple-forte chordal passages in codas of both movements (I: mm.191 – 200; II: 172 – end).

As in Scriabin's two sonata-fantasies, Turina's *Sonata-Fantasia* consists of two movements, each of which seems to represent the former and latter part of the title, "sonata" and "fantasy." In this work, the separate representations are even clearer than in Scriabin's works. The first movement is a sonata-form movement that shows few fantasy-like features. In spite of its subtitle *Coral con variationes*, the second movement does not follow any formal model, and is best described as improvisatory. The only obvious common denominator that unites the two movements seems to be the return of the first movement materials seen in the second movement. While the work has its own charm, especially in its incorporation of Spanish musical idiom, it must be noted that the

integration of the sonata and fantasy elements is less sophisticated here, as the two genres are simply represented in two separate movements rather than merged and intertwined skillfully throughout the entire piece.



Anatoly Nikolayevich Aleksandrov: *Sonata-Fantasia* (Piano Sonata No.11) in C Major, op.81 (1955)

### Biography

Anatoly Nikolayevich Aleksandrov was born into a musical family in Moscow on May 25 (15 according to the Russian calendar), 1888. His mother Anna Jakovlevna Aleksandrova-Levenson was a pianist and a teacher. His father, a pharmacologist by profession, played violin and had studied with Anton Arensky and Hugo Riemann among others. Aleksandrov began his first piano and composition studies with his mother. From 1908 Taneyev instructed Aleksandrov in counterpoint and composition. He was admitted to the Moscow Conservatory in 1910 to study composition with Sergei Vasilenko and piano with Konstantin Igumnov. After a short service in the Red Army, he came back to the Moscow Conservatory as a composition professor. In 1971 Aleksandrov was awarded the title People's Artist of the USSR. He died in Moscow in 1982.

Aleksandrov's musical style is a direct extension of the late nineteenth-century Russian Romantic traditions. His music generally shows strong influence of Scriabin, Medtner, and Rachmaninoff. Also found in his pieces are impressionistic characteristics and adaptation of Russian folk melodies, especially in his songs. In his autobiographical note of 1977 Aleksandrov analyzes his own compositional style:

My aesthetic ideals were founded by two opposing sources in my youth. The one came from Taneyev, who had very conservative musical convictions, and the other from his student Ziliaev, who introduced me to Scriabin and Debussy and was convinced that contemporary composers must open new paths. [...] But eventually, though my exchanges with Medtner, I found my own ideals, which agreed completely with neither of the two tendencies.<sup>26</sup>

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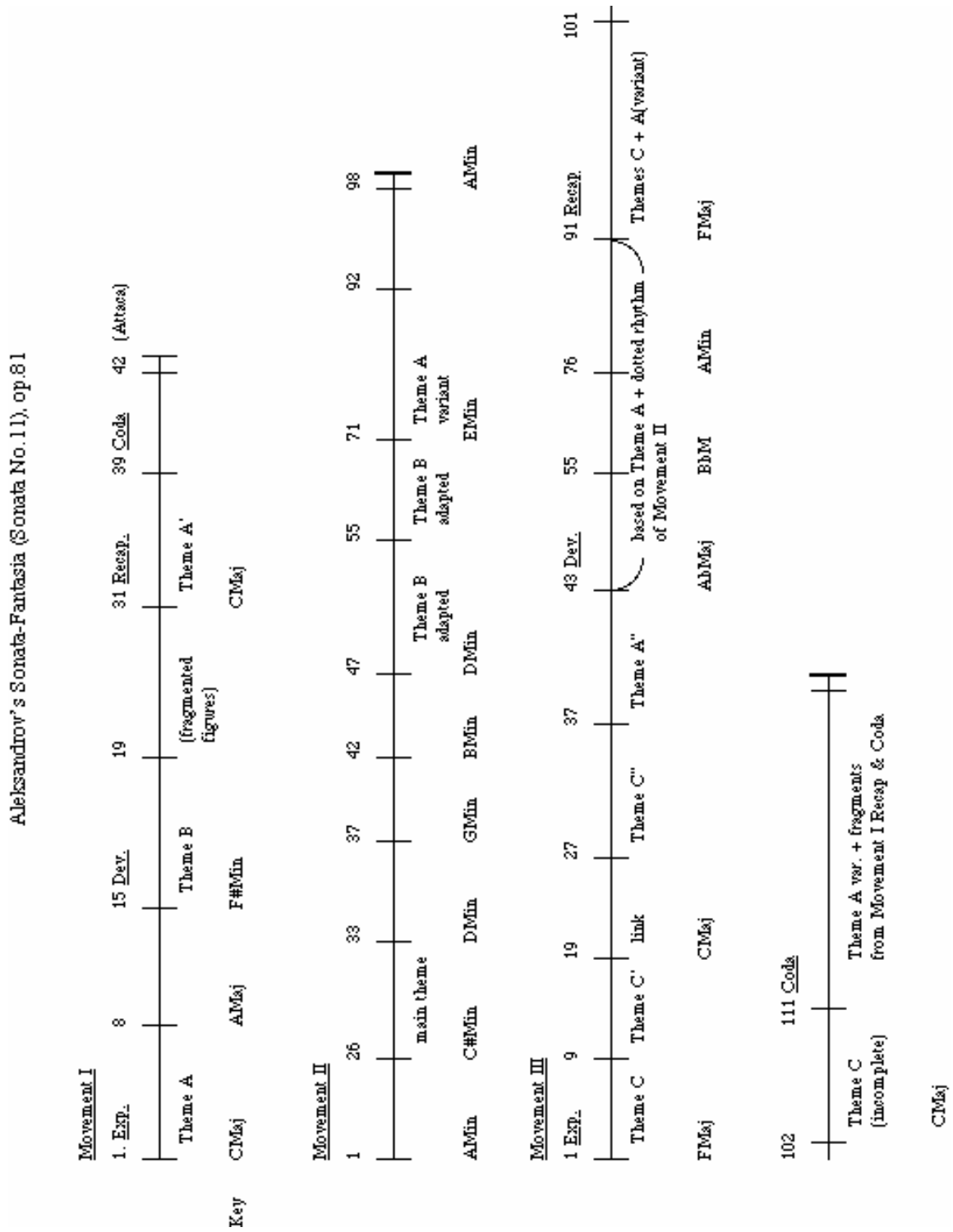
<sup>26</sup> Quoted in: Christoph Flamm, "Aleksandrov, Anatolij Nikolaevic," *Die Musik in Geschichte und Gegenwart*, Ed. Ludwig Finscher, 2<sup>nd</sup> ed., Personenteil 1, (Kassel: Bärenreiter, 1994). (translated by M. Hayashida)

Though he wrote for various instruments and ensemble combinations, he is most known for his songs and piano pieces.

*Sonata-Fantasia* (Sonata No.11), op.81

Written in 1955, Aleksandrov's *Sonata-Fantasia* is a three-movement work that strongly reflects the aesthetics of the late Romanticism that continued to exist through the mid-twentieth century in the Soviet Union. It is tonal in a broad sense, yet the general harmonic language used here is significantly more progressive and innovative than most works by Rachmaninoff and Medtner. The work consists of three movements, the first two of which are to be played continuously. The first and third movements are based on quartal and tertian harmonies, respectively, while the octatonic scale appears to be the main melodic and harmonic sources of the second movement.

Figure 32. Diagram of Anatoly Nikolayevich Aleksandrov's *Sonata-Fantasia* (Sonata No.11), op.81



Marked *Tranquillo, ma con alcuna licenza*, the first is a short introductory movement in abbreviated sonata form. The exposition consists of only one short line (Theme A) played over two chords: C major chord in mm.1 – 6 ; A major chord in mm. 8 –14. There is no secondary theme.

Figure 33. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement I, mm.1-6, Theme A

*Tranquillo, ma con alcuna licenza*      АНАТОЛИЙ АЛЕКСАНДРОВ соч. 81 (1955)

The musical score for Figure 33 consists of three systems of piano notation. The first system shows the beginning of Theme A, marked *pp*. The second system continues the theme, with dynamic markings *m.d.* and *m.s.* appearing. The third system shows the end of the excerpt. The score includes various fingerings and articulations, such as slurs and accents.

Theme B is introduced at the beginning of the development section (m. 15 - ).

Figure 34. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement I, mm.15-18, Theme B

The musical score for Figure 34 shows Theme B, marked *cantabile, poco cresc.*. The score is for piano and includes dynamic markings *mp* and *dim.*. It features a treble and bass clef with various fingerings and articulations, such as slurs and accents.

The rest of the development section consists of fragmentary ideas that flow from one to the next in an unpredictable manner (see Figure 39 on p. 81). The quasi-recapitulation is twelve-measures long, consisting of Theme A played over the tonic C major chord and a modified perfect authentic cadence in mm. 39 – 42.

Even though the first movement is structurally complete, it obviously serves as an introduction to the second movement, which is to be played *attaca*. Continuously present in the second movement is a dotted eighth-note rhythm. It is part of both the introductory compound motif and the main theme of the movement:

Figure 35. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement II, mm.1-2, introductory compound motif



Figure 36. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement II, mm.26-28, main theme



The through-composed movement is based on the introductory compound motif and the main theme shown above (because of their ubiquitousness in the movement, their appearances are not marked on the diagram, Figure 32, on page 75.) The dotted eighth-note figure is used as rhythmic ostinato. Theme B from the first movement is superimposed on the main theme about half way through the movement, and Theme A returns at the climactic section of the movement (see the diagram on page 75).

The last movement is another modified sonata-form movement. It begins with a simple folk-song-like melody (Theme C in the diagram above) in F Major.

Figure 37. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement III, mm.1-8, Theme C

The musical score for Theme C is presented in two systems. The top system shows the piano accompaniment in the bass clef, with a treble clef line above it. The tempo is marked 'Andante cantabile' and the dynamics are 'p'. The bottom system shows the vocal line in the treble clef and the piano accompaniment in the bass clef. The vocal line features a simple folk-song-like melody. The piano accompaniment consists of a bass line with chords and a treble line with chords. The score includes dynamic markings 'p', 'm.s.', and 'm.d.'.

As in the first movement, there is no secondary theme. Instead, a quote from Theme A from the first movement closes the exposition. This is followed by a change in tempo, key, and meter: a 6/8 *Allegro giocoso* section in A-flat Major (flat-III) that combines the Theme A melodic contour with the dotted rhythm of the second movement. The melodic pattern from the middle section continues into the recapitulation and is now used as an accompanying figure in the right hand while Theme C is heard as the middle voice. In a departure from the standard sonata form, the modulation to the dominant key takes place in this recapitulation. The end of the piece returns to the *Tranquillo* character of the opening of the piece. At the close of the piece, melodic ideas of the first movement including Theme A are combined again with the dotted rhythm of the second movement.

The work ends in C Major, the tonic key of the first movement, instead of the last movement's tonic key of F Major.

Following are fantasy-features I have found in this work.

- Cyclical design

As shown in the diagram above, the themes from the first movement (Theme A and B) are used both in the second and the third movements. The signature dotted rhythm of the second movement, too, is used in the last movement development section in conjunction with Theme A melodic contour.

Figure 38. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement III, mm.43-47, Theme A combined with the dotted rhythm of the second movement



Even though the main theme of the third movement (Theme C) is a new material, the presence of both Themes A and B as well as the dotted rhythm (derived from the second movement) in the final movement gives this piece a sense of continuity and oneness.

- Small number of themes

There are only four important themes used in this work—Themes A, B, C and the main theme of the second movement. Aleksandrov's treatment of Themes A and B is an example of thematic transformation, a technique that was commonly used by Romantic composers in their fantasies. Variation technique is used in the last movement, in which Theme C appears in its complete version no fewer than four times, each time with a different accompaniment figure,

- Improvisatory character

In this work there are interruptions mostly on two different levels: the section and the phrase. The former is found in the playful 6/8 meter section, loosely corresponding to the development (mm.43 – 91) in the third movement (see Figure 38 above). This melody is based on Theme A rather than the main theme of the movement, Theme C. While the start of this section at m. 43 is abrupt and unexpected—therefore, this is considered an interruption—the end of the interruption is connected seamlessly back into the recapitulation. Aleksandrov achieves this seamlessness by continuing the *Allegro giocoso* melody into Tempo I in m. 91 and using it as an accompaniment figure for Theme C.

Figure 39. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement III, mm.89-93, retransition - recapitulation

The musical score for Figure 39 is presented in two systems. The first system covers measures 89-91. It begins with a piano part in the left hand and a treble clef part in the right hand. The tempo is marked 'riten. molto' with a '7' above it, indicating a 7/8 meter. The right hand has a melodic line with a slur and an accent. The left hand has a bass line with a slur and an accent. The tempo then changes to 'Tempo I, un poco più animato' with a '3' above it, indicating a 3/8 meter. The right hand has a melodic line with a slur and an accent. The left hand has a bass line with a slur and an accent. The second system covers measures 92-93. It begins with a piano part in the left hand and a treble clef part in the right hand. The tempo is marked 'Tempo I, un poco più animato' with a '3' above it, indicating a 3/8 meter. The right hand has a melodic line with a slur and an accent. The left hand has a bass line with a slur and an accent. The score includes various dynamics (m.d., mf, p), articulation (accents, slurs), and performance instructions like 'cantabile' and 'cresc.'.

Most illustrative examples of phrase-level interruptions are found in the quasi-development section of the first movement, that consists of a succession of 2-3 measure



long phrase fragments. Here the fragments are created as phrases are not given a chance for proper ending, and are instead abruptly interrupted by rests.

Figure 40. Aleksandrov: *Sonata-Fantasia* (Sonata No.11), op.81, Movement I, mm. 18-27

The musical score consists of four systems of piano music. The first system (measures 18-21) begins with a *rall.* marking and features a complex texture with overlapping melodic lines. Dynamics include *p*, *m.s.*, *m.d.*, *p*, and *pp*. The second system (measures 22-25) is marked *a tempo* and includes dynamics *pp*, *m.d.*, *p*, *mp*, and *m.d.*. The third system (measures 26-27) includes dynamics *pp*, *p*, *m.d.*, *m.s.*, and *pp*. The fourth system (measures 28-29) is marked *con importanza* and includes dynamics *p* and *pp poco cresc.*. The score includes various musical notations such as slurs, accents, and fingerings.

Even though the style of writing of the second movement may not seem improvisatory at first glance, its large-scale harmonic movement reveals a non-directional pattern. Between measures 26 and 66, there are no fewer than six key changes: C# minor – D minor – G minor – B minor – D minor – Bb minor – Ab Major – E minor. Most of these harmonies are recognizable only at the moment of each cadence, leaving the

remainder of those passages harmonically ambiguous. Adding to the confusion is the abundant use of chromaticism, which obscures the tonal identity of each passage.

Examples of the avoidance of tonic resolution are found throughout the work. The most representative among them is the Theme C sections of the last movement, in which expected perfect authentic cadences evade and are replaced by modulations to related keys or weaker cadential types.

The frequency of tempo changes seen toward end of the last movement is another feature associated with the improvisatory style. The last twenty-seven measures of the piece alone contain the following markings: *Allegro giocoso* (continued from the previous section); *riten. Molto* (m. 90); *Tempo I, un poco piu animato* (m.91); *allargando* (m.101); *A tempo, appassionato* (m. 102); *Sostenuto* (m.110); *Tranquillo solenne* (m.111); *poco rall.* (m.116).

- **Virtuosic Style**

The virtuosic writing is surprisingly limited in this piece. The only explicitly virtuosic section occurs at the climactic sections of the second and third movements. Theme A, which was introduced as a delicate, melancholic melody in the first movement, appears in a Lisztian octave style marked *appassionato, patetico* at the climax of the second movement, and the playful dotted rhythm figure that opens the *Allegro giocoso* section becomes a passionate outburst of chords at a climactic section in the last movement.

Though virtually unknown, this work is a fine example of the sonata/fantasy hybrid work. None of the movements follows the textbook sonata-form model. Yet the

idea of the sonata form looms large in both the first and the last movements. The composer's skillful incorporation of various harmonic languages, such as quartal, octatonic, and tertian, enhances the 'free' character of the piece. While it is tonal in a broad sense, tonic resolutions are reserved only for final closures of sections and movements. The unifying thematic ideas are heard throughout the piece, though not at all in a predictable manner. In short, Aleksandrov adapted generic features of both the sonata and the fantasy and created a piece that is logical, yet unpredictable and free.

## George Rochberg: *Sonata-Fantasia* (1958)

### Biography

George Rochberg was born in Paterson, New Jersey on July 5, 1918. After receiving the BA from Montclair State Teachers College, he enrolled at the Mannes College of Music, studying counterpoint and composition with Hans Weisse, George Szell and Leopold Mannes. After serving in the U.S. Army for four years, he enrolled at the Curtis Institute, and then at the Univ. of Pennsylvania, graduating there in 1945 with a M.A degree. He returned to the Curtis Institute as a faculty member in 1948 and remained there until 1954. His longest academic tenure, however, was at the University of Pennsylvania where he served as the chair of the music department from 1960 to 1968 and continued to teach until 1983. He was elected to the American Academy and Institute of Arts and letters in 1985. He continued to compose and write books through his retirement years. He died at age 86 on May 29, 2005.

Rochberg's compositional style changed noticeably over the course of his career. After meeting Luigi Dallapiccola in Rome in 1950, Rochberg plunged into Schoenbergian serialism, which he regarded as the inevitable culmination of historical developments of western classical music. After the death of his twenty-year old son in 1964, Rochberg abandoned serialism and adopted a language that mixed abstract chromaticism with tonal idioms. Over the next ten years Rochberg wrote many 'collage' works that employed quotations from different composers from the past and present. His music from the 1980s and 90s shows a unique blend of Modernist and Romantic elements. The New York Times wrote in his obituary, "critics heard elements of Bartok,

Mahler, Haydn, Schoenberg, Beethoven and Mozart, but the final product had an intensity that was Rochberg's own."<sup>27</sup>

Sonata-Fantasia (1956)

Rochberg's Sonata-Fantasia for Piano Solo was composed in 1956 at the height of the composer's serialist era. It is a large, dense, and complex serial work, which also demands a very high technical command of the instrument. The piece was premiered by Howard Lebow at the Julliard School of Music in 1958, but has not been performed much since owing to its difficulty. Rochberg considered this composition, one of only three works of his dedicated to his wife Gene, to be among his best.<sup>28</sup>

Although the Sonata-Fantasia is not a strict twelve-tone work, a row—comprised of four chromatic pitch sets—is found in the first twelve notes of the piece. As shown below, the only interval used within each set is a semi-tone, and found between sets are minor thirds (between the first and the second and second and the third) and a tritone (between the third and fourth). In short, the entire row consists of only three intervals: a minor second, minor third, and a tritone.<sup>29</sup>

E Eb D Ab A Bb C# C B F F# G

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<sup>27</sup> The Art/Cultral Desk, "George Rochberg, Composer, Dies at 86," *New York Times* 1 June, 2005. late ed., sec. B page 9.

<sup>28</sup> Joan DeVee Dixon, "The Twelve Bagatelles and Sonata-Fantasia of George Rochberg: a Performer's Analysis," diss. D.M.A., Southwestern Baptist Theological Seminary, 1995, 128.

<sup>29</sup> Dixon 144.

Figure 41. Rochberg: *Sonata-Fantasia*, Prologue, opening measure

Both primary ideas used in the Interludes and main motivic materials of the three movements are comprised of the four three-chromatic-note sets outlined above.<sup>30</sup> This gives this twenty-three minute piece a sense of unity that may be audible to the listener.

This atonal work is related in number of ways to the generic features of the fantasy and the sonata, genres that emerged and developed in the tonal music culture.

The piece consists of three movements, separated by interludes, introduced by a prologue and concluded by an epilogue, all to be performed as one continuous movement without a break:<sup>31</sup>

Prologue: *Con intensità*  
Movement I: *Quasi tempo I, ma con molto rubato*  
Interlude A: (*Tempo I*)  
Movement II: *Allegro scherzoso*  
Interlude B: (*Tempo I*)  
Movement III: *Molto lento, contemplative, quasi parlando*  
Epilogue: (*Tempo I*)

While this formal construction seems far more elaborate than the standard three- or four-movement organization of the sonata, two of the three ‘Movements’ are in simple

<sup>30</sup> Dixon 140.

<sup>31</sup> Due to its complexity, a detailed formal analysis of each movement is beyond the scope of this document. Consult Dixon’s document.

traditional forms. While movement I is through-composed, Movements II and III are cast in scherzo/trio and ternary forms, respectively. The Prologue, Interludes and Epilogue, which share numerous thematic and motivic ideas, are freer in form. Conspicuously absent here, of course, is a sonata form movement. Considering the inseparable relationship between sonata form and functional tonality, however, it is no surprise that sonata form is absent in this atonal work.

While the three-movement organization and the use of some traditional forms may constitute the reasons for Rochberg's choice of the term 'sonata' for this work, I have observed the fantasy tradition reflected in the following ways:

- A multi-movement work that is continuous and in cyclic form

Like many fantasies and sonata-fantasies discussed thus far, the three movements and additional sections in this piece are to be played continuously. Even though the main movements are not cyclical, the piece can also be considered to exhibit cyclical traits as the Prologue, Interludes, and Epilogue are based on the same main thematic ideas.

Below are perhaps the most apparent examples of thematic recurrence.

A descending line figure first appears in the Prologue:

Figure 42. Rochberg: *Sonata-Fantasia*, Prologue, chromatic descending figure

The musical score for Figure 42 is presented in two systems. The first system features a piano introduction with a *f* dynamic, followed by a section marked *più ff* and *sub. p cresc.* with the tempo *più allegro*. The second system continues with *più f cresc.* and *ff allarg.* dynamics, ending with a *rit.* marking. The score includes various musical notations such as slurs, accents, and dynamic markings.

Then in both Interludes:

Figure 43. Rochberg: *Sonata-Fantasia*, Interlude A, chromatic descending figure

The musical score for Figure 43 is presented in two systems. The first system is marked *subito mf accel e cresc.* and *ff*. The second system is marked *poco a poco allargando* and *a tempo*, ending with a *fff* dynamic. The score includes various musical notations such as slurs, accents, and dynamic markings.

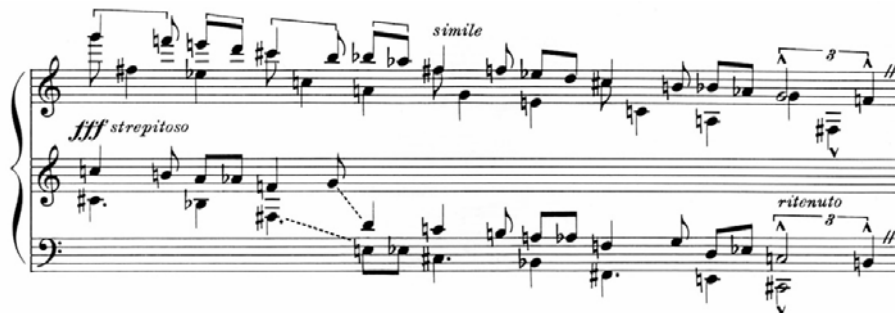


Figure 44. Rochberg: *Sonata-Fantasia*, Interlude B, chromatic descending figure



Finally in the Epilogue:

Figure 45. Rochberg: *Sonata-Fantasia*, Epilogue, chromatic descending figure



- Adaptation of existing themes

The first movement is a free improvisation on Arnold Schoenberg's *Fünf Klavierstücke*, Op. 23, No.1.<sup>32</sup> Two short quotations of Schönberg's work appear in the movement.

Even though borrowing from other composers past and contemporary is a characteristic of Rochberg's compositions, this is apparently one of very few pieces from his serialism period that uses quotations.<sup>33</sup>

<sup>32</sup> Dixon 139-40.

<sup>33</sup> Alexander L. Ringer, "The Music of George Rochberg," *Musical Quarterly* Vol. LII, No.4 (October, 1966) 416.

Figure 46. Rochberg: *Sonata-Fantasia*, Movement I, Schoenberg quotation #1

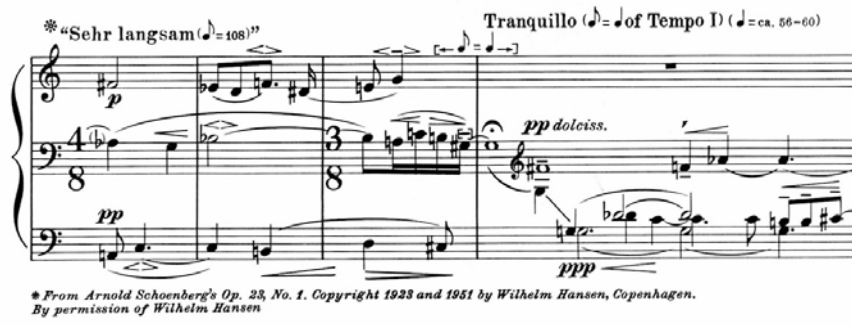
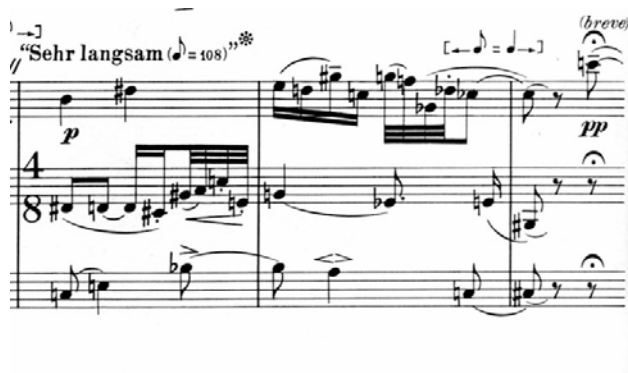


Figure 47. Rochberg: *Sonata-Fantasia*, Movement I, Schoenberg quotation #2



- Frequent changes of tempo and free use of barlines

Especially in the Prologue, Interludes, Epilogue, and Movement I, tempo changes are indicated very frequently in this work. For example, in the Prologue, which is only about ninety seconds long, there are seven different tempo indications not counting *ritenutos* and *ritardandos*. No time signature is used in the piece with the exception of the passages containing the two Schönberg quotations. Even though barlines are present throughout the work, they are used sparsely and do not indicate the materials' relationship to the metric organization. Dixon writes, “[w]hen barlines are present, they serve to indicate one of three things: 1. musical phrase[...]; 2 a strong beat or pulse[...]; or 3. a formal division[...].”<sup>34</sup> While going beyond the boundaries of the metric system

<sup>34</sup> Dixon 152.

had been one of the most striking features of the dodecaphonic music, this work is significantly less bound to the metric organization than other pieces by Rochberg during the same period. Most of his other works, including his *Twelve Bagatelles for the Piano* (1952), for instance, use time signatures and barlines in a more or less traditional manner, as in the Second Viennese School composers' works.

- Virtuoso style

As mentioned earlier, this is a work of a monumental difficulty. William S. Newman, who gave a favorable review of the work, wrote, “the difficulties, however—textural, rhythmic, tonal, and athletic—make this work not unlike, and almost as inaccessible to sight readers as, Pierre Boulez’s *Second Sonata for Piano*”<sup>35</sup>

- Lament character

The chromatic descending motif found in the Prologue, Interludes, and Epilogue (see Figures 42-45) can be compared to the ‘lament’ line of the Baroque period, which was often used fantasies of that era and later. It conveys a somber mood in contrast to fanfare-like passages (an example of which is the opening measure in Figure 41) bursting with energy.

Rochberg’s *Sonata-Fantasia* is the only atonal work discussed in this document. While the lack of hierarchy among pitches and chords in atonal music tend to give somewhat free and improvisatory impressions, the rhythmic freedom Rochberg allowed in this piece is significantly greater than his other pieces from this period. A freer

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<sup>35</sup> William Newman, “Review: [Untitled],” *Notes: The quarterly Journal of the Music Library Association*, ser. 2, vol. 15, no. 4 (Sep. 1958) 663.

approach to timing within the framework of rather traditional forms may have been the reason for the composer's choice of the title.

## Chapter 5

### Conclusion: From Sonata and Fantasy to Sonata-Fantasy

Examination of six sonata/fantasy compound title works between 1871 and 1958 lead to a few observations:

i) Despite a general consensus characterizing this time period as a period of decline in the use of standard forms, sonata form was used in all of the works studied with the exception of Rochberg's *Sonata-Fantasia*. The absence of sonata form in Rochberg's work is no surprise—the key features of the sonata form being inseparable from the concept of tonality, sonata form does not hold the same revered status in atonal music as it did in tonal music. In all other works, sonata form was easily recognizable in at least one movement; in some cases, such as Scriabin's *Sonate-Fantaisie*, op.19 and Alexandrov's *Sonata-Fantaisie*, op.81, it was used in more than one movement.

ii) Similarly, cyclical design was employed in almost all of these works. The only exceptions were the two compositions by Scriabin, though the concept would be irrelevant in the first (*Sonate-Fantaisie*), a one-movement work with an elaborate introduction. This makes his op.19 the only work among the six I have analyzed, in which the cyclical design could have been used, but was not. But even in this work, there was a subtle allusion to the idea: the “knocking” motif (see Figures 19 and 20) of the first movement appears in the second movement, functioning as a motivic link.

iii) Another feature of the examined works was economy of material. Most of these works, including multi-movement works, were based on four or fewer themes. Consequently, the use of variants of the main themes through variation technique or thematic transformation was common among the studied works. Except for the

Schoenberg quotations in Rochberg's *Sonata-Fantasia*, all of the themes found in these works were original themes, rather than themes from previously existing pieces.

iv) The two characteristics surprisingly underplayed were improvisation and virtuosity. Typical improvisatory style techniques used in the fantasies of C.P.E. Bach or their nineteenth-century descendants, such as flashy arpeggio passages or dazzling passagework displaying the player's dexterity and speed, frequent use of fermatas, inclusion of unbarred measures, imitation of the vocal recitative-style, were rarely found in these works. There were surprisingly few instances of the use of Lisztian octaves or any other opportunities for showcasing the performer's transcendental virtuosity. The *Patetico* style common among the eighteenth-century Free Fantasy and operatic or potpourri fantasies of the late nineteenth century was also largely absent even though many of the six works examined were in minor keys.

These observations lead to a fascinating conclusion: the sonata-fantasies and fantasy-sonatas from this period adhere closely to the key characteristics of the masterwork fantasies of the most successful Romantic composers such as Schubert, Chopin, Mendelssohn, and Schumann. The works by both groups are serious works, rather than showpieces for immediate appeal to the audiences. The structural elements, such as sonata form and cyclical design, seem to hold utmost importance, and the free fantasy style is confined to a certain movement or to rather small sections. These compositions only allude to, rather than imitate, free improvisation, and even those allusions are limited in number. While there are occasional instances of virtuosic writing, the display of virtuosity never takes a central role.

The close connection between the early nineteenth-century masterpiece fantasies and the sonata-fantasies and fantasy-sonatas by the following generation of composers is perhaps only natural. The fantasies of Schubert, Chopin, Mendelssohn, Schumann, and Liszt were all *de facto* sonata-fantasies and fantasy-sonatas. Even though the earliest cases of the use of the compound title did not happen until later, the hybrid style had already reached its mature stage in by the mid-nineteenth century, and the composers of the actual sonata-fantasies and fantasy-sonatas simply carried on the practice.

This leads to the question: why did composers in the late-nineteenth century begin using compound titles rather than continuing to call their works fantasies as their predecessors had done? Perhaps for two main reasons: i) rising popularity of compound titles in the latter half of the nineteenth century; and, ii) poor view of the fantasy as a genre.

Beethoven's phrase "*sonata quasi una fantasia*" or its reverse "*fantasia quasi una sonata*" used by Liszt can be considered a type of compound titles. Then there was *Symphonie Fantastique* of Berlioz, a "fantastic symphony." During the Romantic era, another type of compound titles emerged: combination of two hyphenated nouns, often representing two musical genres or types. The examples of this kind are Glinka's *Valse-fantaise* (1839), Satie's *Fantaisie-valse* (1885), Reger's *Walzer-Capriccen* (1892), and, of course, Chopin's *Fantasia-Impromptu* (1834) and *Polonaise-Fantasy* (1846).<sup>1</sup> This was perhaps a part of a larger movement, a continuous search for more appropriate titles. Brahms, for instance, initially considered calling his op.116 pieces *Monologen*, *Improvisationen*, or *Klavierstücken*, before finally choosing *Fantasien*.<sup>2</sup> Romantic

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<sup>1</sup> Coppla, "Form and Fantasy: 1870-1920," 144.

<sup>2</sup> Schipperges and Teepe, "Fantasie," *Die Musik in Geschichte und Gegenwart*, 1994 ed.

composers gave fantasy-like pieces such titles as rhapsody, capriccio, impromptu, ballade, Poème, and many more. Such *Zeitgeist* encouraged composers to experiment with compound titles, which “allowed composers to provide more information to the performers”.<sup>3</sup> The emergence of sonata-fantasies and fantasy-sonatas was a prime example of such case. While *Fantasie-Impromptu* may seem redundant, a hybrid work of the sonata and the fantasy, two contrasting genres, must have appeared an ideal candidate for a compound title.<sup>4</sup>

Another factor for the emergence and continuation of the use of sonata/fantasy compound title beginning in the late-nineteenth century into the twentieth century was the poor view of the fantasy genre at that time, aggregated even more by the continued supremacy of sonata form. Coppla writes,

Two very different writers attest to a poor view of the fantasy at the end of the nineteenth century. According to Mendel, the status of the fantasy, which had straddled high- and low-brow standing throughout the century was now decidedly weighted toward the latter. Mendel praises fantasy as an artistic process but decries the commercial adaptation of the genre and its consequent loss of substance. D’Indy comes to a similar conclusion: “the word fantasy has been applied to so many disparate compositions that we shouldn’t be surprised to meet it, by exception, under the pen of serious musicians.”<sup>5</sup>

These views were propelled largely by the prevalence of salon and operatic fantasies, which were considered inferior cousins of the fantasies based on sonata form. Ernst Pauer wrote in his *Musical Forms* published in 1878:

Bach [...] Mozart [...] Beethoven [...] Chopin [...] Mendelssohn [...] Schumann [...] and Hummel’s [fantasies] are standard works of the highest value. The modern fantasias of Thalberg, Liszt, and others are

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<sup>3</sup> Coppla "Form and Fantasy: 1870-1920,"144.

<sup>4</sup> Coppla ("Form and Fantasy: 1870-1920," p.144) quotes Friederick Niecks (Frederick Niecks, *Chopin als Mensch und als Musiker II* (Leipzig, 1890), 283) “Ist nicht der Title Fantaisie-Impromptu eigentlich ein Pleonasmus?” (Isn’t the title Fantaisie-Impromptu actually a pleonasm?)

<sup>5</sup> Coppla "Form and Fantasy: 1870-1920," 167.



more or less potpourris (mixed compositions), made up of various themes. Although they are a good vehicle for the display of technical brilliancy of execution and dashing and effective playing, they cannot claim any high value as compositions.<sup>6</sup>

A similar view was expressed by Hugo Leichtentritt in the early twentieth century:

Among the fantasies of more recent time, the following have acquired especial fame: Schubert's C major fantasy, Schumann's Op. 17, and Chopin's Op.47. Schubert offers us a sonata interspersed with fantasy-like elements.... Also Schumann's fantasy is, like a sonata, built up cyclically in three movements....Chopin's fantasy resembles a first sonata movement with an introduction....all these fantasies, in spite of a certain laxity of construction, still show a real consciousness of form. The popular "fantasies" of modern salon music are a medley of loosely-jointed tunes, opera potpourris, paraphrases of songs or opera airs in a showy, brilliant manner.<sup>7</sup>

What we see in these writings is not only how little respect typical late-nineteenth-century salon and operatic fantasies received from musicians and scholars, but also how highly regarded sonata form still was. This view is confirmed by William Newman's remark in his famed work, *The Sonata Since Beethoven*:

[...T]here were certain views or attitudes that remained more constant throughout the Romantic Era. One view was that of the sonata as an, if not the, ideal of both technical and musical achievement to which a composer might aspire—usually an ideal that related to Beethoven's image and one that could not be approached other than with the highest standards and greatest sincerity.<sup>8</sup>

Considering how poorly the fantasy genre was perceived then, it comes as no surprise that composers choose to use the compound title sonata-fantasy or fantasy-sonata for their works in the late nineteenth and early twentieth centuries. By including the word sonata, the titles automatically implied that it was not just another charming yet superficial and substanceless salon fantasy. The term must have also elevated the status

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<sup>6</sup> Eranst Pauer, *Musical Forms* (Boston: Oliver Ditson Company, 1878) 140.

<sup>7</sup> Hugo Leichtentritt, *Musikalische Formenlehre* (Leipzig: Druck und Verlag von Breitkopf & Härtel, 1911) 186. (translation as it appeared in its English translation published in 1956.)

<sup>8</sup> William Newman, *The Sonata Since Beethoven*, 41.

of the piece as it conveyed the serious nature of the composition. This coincides with my findings in the study of six sonata-fantasies and fantasy-sonatas outlined above. Missing in those works were precisely the characteristics central to salon and operatic fantasies: display of virtuosity, improvisatory writing style, use of existing themes, and overtly emotional character. With the inclusion of the word sonata and avoidance of any features that could be associated with 'inferior' types of fantasies, composers of sonata-fantasies and fantasy-sonatas placed their works in history as the descendants of the esteemed sonata/fantasy hybrid tradition since Beethoven. Aside from the ones discussed in this document, other works bearing the sonata/fantasy compound title up to the mid-twentieth century include Maximilian Heidrich's *Phantasie-Sonate für Pianoforte*, op.70 (date of composition unknown; published around 1914-5); Fedor Stepanovich Akimenko's *Sonata-Fantasie*, op.44 (1910?) and *Sonata-Fantasia No. 2 pour piano*, op.60 (neither date of composition nor publication known); Felix Blumenfeld's *Sonata-Fantaisie*, op.46 (1913); Rued Langgaard's *Fantasy Sonata* (1916); Acario Cotapos's *Sonata Fantasia* (1911); Roy Agnew's *Fantasia Sonata*; Carmine Guarino's *Sonata Fantasia* (1933); Madeleine Dring's *Fantasy Sonata* (1938). All of these works fit the description above.

The production and publication of sonata-fantasies and fantasy-sonatas slowed down significantly in the last half-century. My research has only found a handful of such works: William Bolcom's *Fantasy-Sonata* (1961-2); Paolo Ugoletti's *Sonata Fantasia* (1982-3); Nikolai Kapustin's *Sonate-Fantaisie* (1984); Martin Boykan's *Fantasy-Sonata* (1992); and Gunther Schuller's *Sonata-fantasia* (1993). The continuous decline in the use of generic titles that first began in the early twentieth century must be the main reason for the scant production of sonata-fantasies and fantasy-sonatas in the recent decades. It

will be interesting to see if there will be a revival of the use of such titles in the decades to come.

PART TWO  
PROGRAM NOTES

Program I  
(Piano Chamber Music Recital)

Sunday, January 26, 2003  
7:00 P.M.  
Singletary Center for the Arts  
Recital Hall

Program

- Piano Trio No.28 in D Major, Hob.XV: 16 Franz Joseph Haydn  
I. Allegro  
II. Andante più tosto Allegretto  
III. Vivace assai
- Piano Trio in D Major, op.70 no.1 “Ghost” Ludwig van Beethoven  
I. Allegro vivace e con brio  
II. Largo assai ed espressivo  
III. Presto
- Piano Trio no.2 in C Minor, op.66 Felix Mendelssohn  
I. Allegro energico e con fuoco  
II. Andante espressivo  
III. Scherzo – Molto allegro quasi presto  
IV. Finale – Allegro appassionato

Trio Casalmaggiore

Hristo Popov, violin  
Yoonie Choi, ‘cello  
Mami Hayashida, piano

Franz Joseph Haydn: Piano Trio in D Major, Hob.XV: 16

In addition to over fifty solo keyboard sonatas, Haydn composed approximately forty keyboard trios. His early trios had various titles: Divertimento, Partita, Concerto, Trio, and Capriccio.<sup>1</sup> Each of the twenty-eight mature trios, written roughly between 1784 and 1796, were titled “Sonata for keyboard with accompaniment for a violin and cello” or its equivalent.<sup>2</sup> These ‘accompanied’ keyboard sonatas are now considered the earliest important pieces in the piano trio repertoire. The predominance of the piano in Haydn’s piano trios is apparent: the cello generally doubles the bass line of the piano part; the violin part is also generally limited to doubling the piano right hand and echoing the melody after the piano.

Three trios composed in 1790, (Hob. XV: 15 –17) were originally written for flute rather than violin as a preferred instrument. Apart from the difference in range and the absence of double stops, there is rather little difference in the flute part of these trios and violin parts in other trios. The tessitura is noticeably low even for the flute of that time, and these flute parts sounds just as natural on the violin as violin parts in his other trios. Naturally, these flute trios are sometimes performed by standard piano trio (piano, violin, cello) ensemble.

Soon after Haydn’s death, suspicion arose regarding the authenticity of the flute trios, especially Nos. 15 in G Major and 16 in D Major. Ernst Ludwig Gerber wrote in 1812, “some people even suspected at first that these trios (Nos. 15 & 16) were compositions of Michael Haydn, many of whose pieces, it is said, are found among

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<sup>1</sup> Peter A. Brown, *Joseph Haydn’s Keyboard Music* (Bloomington: Indiana Univ. Press, 1986) 236.

<sup>2</sup> Brown 236-7.

Joseph's works."<sup>3</sup> Some scholars today, including Charles Rosen, take this position.<sup>4</sup> Carlton Sprague Smith, on the other hand, wrote in his *Musical Quarterly* article published in 1933 that, "the flute and piano trios are unquestionably by Joseph Haydn and we do not hesitate to call them the finest chamber-music pieces with flute that the composer wrote."<sup>5</sup> Today these pieces are generally considered to have been written by Joseph Haydn.

As in most sonatas from this period, the work begins with a sonata form movement. The first ten measures are written in solo piano sonata style; the piano part, complete on its own, introduces the spirited primary theme, and the cello merely doubles the bass line one octave below the left hand piano part. The second time the theme is played, the violin joins; it begins by doubling the piano right hand, then gradually takes a more important role, and eventually is given the melody line, albeit in a rather fragmentary manner. One texture dominates the movement: cello doubling the bass line and violin subordinate to the right hand of the piano. The movement has a rather long development section, which includes a surprise grand pause, a signature musical gesture of Haydn. Near the end of the recapitulation, there is an ensemble challenge for the violinist and the pianist; a lengthy chain of sixteenth-notes has to be played a third apart. The movement closes in a similar high spirit found at the opening.

In contrast to the bright character of the first movement, the second is a somber movement. Its form is closest to the rounded binary, though the B section is only six measures long and the second A section is significantly shorter than the first. In this

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<sup>3</sup> Ludwig Ernst Gerber, *Tönkünstler Lexicon*, vol. 2 (1812) 585, quoted in: Carlton Sprague Smith, "Haydn's Chamber Music and the Flute—Part II," *The Musical Quarterly*, Vol. 19 No.4 (Oct, 1933) 449.

<sup>4</sup> Charles Rosen, *The Classical Style*, 354.

<sup>5</sup> Smith, 449.

movement, the violin is given a more prominent role; the melody line is shared almost equally between the piano and the violin parts.

The third movement is a rather long rondo movement (A B A C A D A Coda). The rondo theme begins with a contrapuntal texture; the piano left hand plays the principle line with the cello doubling while the piano right hand and the violin play the *obligato* line in unison. As in the second movement, the violin is given numerous opportunities to share the limelight with the piano, especially in the episodic sections.



Ludwig van Beethoven: Piano Trio in D Major, op. 70 no.1, “Ghost”

Though the standard piano trio repertoire includes works by Haydn and Mozart, their piano trios generally treat piano as the solo instrument and give the string instruments an accompanying role. Beethoven’s piano trios, especially in the trios from his middle- and late- periods, are the first works, in which the violin and the cello are given roles nearly, if not equally, as important roles as the piano.

The two op. 70 piano trios, No. 1 in D major and No. 2 in E-flat Major, were composed during the autumn of 1808. Beethoven was staying at the house of Countess Marie von Erdödy, a young Hungarian amateur pianist, who had partially paralyzed legs. Beethoven dedicated both works to her, despite the fact that they had recently quarreled.

The D Major Trio is the only one among Beethoven’s piano trios that has three movements, instead of four. The first movement opens with a short, yet energetic theme consisting of descending D Major scale fragments played by all three instruments in bare octaves. A lyrical theme in the cello follows immediately afterwards in the tonic key, giving the impression that the secondary theme has appeared too early. A real secondary theme does appear later, though it is much less distinctive and with a character of a closing theme. Indeed the development section is based exclusively on the two opening themes and shows no hint of the secondary theme. The movement closes with a variant of the lyrical theme followed by a short fragment of the opening theme.

The second movement unquestionably is the keystone of this work. One of the slowest movements by Beethoven, it is filled with thirty-second and sixth-fourth notes, which, contrary to their visual impression on the page, do not sound fast. Soon after a short opening passage resembling a dialogue between the strings and the piano, the piano

begins a tremolo accompaniment pattern that continues for the next twenty measures.

This extensive use of this rumbling sound on the piano throughout the movement creates an eerie effect, foreshadowing impressionism. The tremolo figure crawls down gradually as the piece unfolds, reaching the lowest register of the keyboard near the end. Dramatic, volatile, and atmospheric, this is one of the most imaginative movements by one of the most imaginative composers in history.

The last movement following the dark and mysterious second movement is light and sparkling in character. It is in sonata form, though the recurring appearance of the opening theme gives an illusion of rondo form.

The work was given the nickname “Geister” (“ghost”) after Beethoven’s death because of the “ghostly” atmosphere of its second movement.

Felix Mendelssohn: Trio No. 2 in C Minor, op.66

Mendelssohn wrote his second piano trio in C Minor in 1845, six years after the phenomenally successful premier of his Piano Trio no. 1 in D Minor, op.49. The C Minor Trio, dedicated to Louis Spohr, the renowned violinist and conductor of that time, was premiered in Leipzig on December 20, 1845, by the composer himself playing the piano, Ferdinand David the violin, and Carl Wittmann the cello. Despite Mendelssohn's masterful writing of all parts, the C Minor Trio has never reached the prestige of the D minor counterpart. Even today the C minor Trio is much less frequently performed.

The dark and restless first-movement opens with an octave unison sinuous figure on the piano over a pedal point in the cello. The first four notes of this enigmatic opening passage, spelling out the second inversion of the tonic chord (G, C, E-flat, G), function as a unifying element for the entire piece: many of the important themes in this and later movements contain similar second-inversion arpeggiations of the tonic harmony. The opening is certainly less impressionable than the beautiful cello solo at the beginning of the D Minor Trio. Such lyricism expected of Mendelssohn plays a rather minor role in this Brahmsian movement.

The second movement, *Andante espressivo*, begins with a "lullabylike melody in chordal style suggestive of a choral part-song."<sup>6</sup> It consists of three sections that are seamlessly connected. As in the slow movement of Mendelssohn's D Minor Trio, both the piano and the strings are given about equal amount of time playing the melody line while the other is accompanying.

The *perpetuum mobile* buzzing of the sixteenth-notes permeates the third movement. Marked *Scherzo*, it is organized in unusual form, in which the theme of the

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<sup>6</sup> R. Larry Todd, *Mendelssohn: A Life in Music* (Oxford: Oxford Univ. Press, 2003) 495-6.

“Trio-like” contrasting section in the parallel major key is incorporated in the returned Scherzo section. Mendelssohn described this movement “a trifle nasty to play.”<sup>7</sup> Indeed, simply coordinating the staggered entrances of the three instruments all on weak beats at the beginning of the piece requires a high level of musicianship from each member of ensemble.

The final movement consists of two contrasting thematic ideas, first of which is heard on the cello at the beginning. It begins with a leap of a ninth, a rather uncharacteristic writing by Mendelssohn. The other theme is based on two traditional chorale hymns: “*Gelobet seist du Jesu Christ*” and “*Herr Gott dich alle loben wir.*” The first appearance of the chorale-inspired theme is sudden and soft. With the strings continuing to play fragments of the opening theme, it sounds somewhat like a background chorus heard from a distance. The chorale theme gradually increases its prominence as the strings join and finally becomes the main theme in the powerful Coda, which resembles climactic moments in Mendelssohn’s large choral works.

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<sup>7</sup> Sebastian Hensel, *The Mendelssohn Family (1729-1847) from Letters and Journals*, vol. II (NY: Harper & Brothers, 1881) 321. (Letter from Felix to Fanny, April 20, 1845)

Program II  
(Solo Piano Recital)

Thursday, November 4, 2004  
7:30 P.M.  
Singletary Center for the Arts  
Recital Hall

Program

- Prelude in D Major, BWV 925  
Wilhelm Friedeman Bach(?)  
(1710-1784)
- Sonata in G Major, op.78 (D.894)  
Franz Schubert  
(1797-1828)
- I. Molto moderato e cantabile  
II. Andante  
III. Menuetto-Trio: Allegro moderato  
IV. Allegretto

Intermission

- Klavierstücke, op.118  
Johannes Brahms  
(1833-1897)
- I. Intermezzo  
II. Intermezzo  
III. Ballade  
IV. Intermezzo  
V. Romanze  
VI. Intermezzo
- Rain Tree Sketch for piano* (1982)  
Toru Takemitsu  
(1930-1996)
- From *Goyescas*  
Enrique Granados  
(1867-1916)
1. Los Requiebros

Mami Hayashida, piano

W.F. Bach: Prelude in D, BWV 925 from *Klavierbüchlein für Wilhelm Friedemann Bach*

The title page of the *Klavierbüchlein für Wilhelm Friedemann Bach* is dated January 22 January 1720. It was a keyboard instruction book Johann Sebastian Bach prepared for his eldest son Wilhelm Friedmann who was nine at that time. The book provides explanations of clefs and ornaments as well as easy pieces by J.S. Bach himself and others. Bach continued to add more pieces to the volume throughout the time it was in use. It contains many unfinished works as well as the beginnings of what would later be pieces included in the *Well-Tempered Clavier* volumes and early versions of the *Inventions* and *Sinfonias*.

The Prelude in D, BWV 925, one the last pieces to be added to the collection along with Preludes in C and e, BWV 924a and 932 respectively, was included in the volume around 1725 or 1726. Considering that Wilhem Friedmann was already in his mid-teens, these simple pieces could not have been used for his keyboard lessons. Scholars now believe that these three preludes, BWV 924a, 925, and 932, were probably not composed by J.S. Bach, but rather by one of Bach's pupils, quite likely by Wilhelm Friedmann himself. In the Prelude in D, two features have been pointed out to support the argument: the awkward fermata at the beginning of measure 15 and the ungraceful unison voice leading of the two middle voices in the penultimate measure.<sup>8</sup>

Like most other preludes found in this volume, this is a short prelude, consisting only of eighteen measures. It is written in free contrapuntal style; the number of voices ranges from two to five throughout the piece. The piece remains in D Major throughout, with no hint of modulations or even tonicizations. For the first two-thirds of the piece,

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<sup>8</sup> Wolfgang Plath, *Kritischer Bericht for Johann Sebastian Bach: Neue Ausgabe Sämtlicher Werke*, V/5 (Kassel: Bärenreiter, 1963) 95.

sixteenth-notes in one voice are placed against quarter and eighth notes in other voices. Only in the last third of the piece, the frequent use of ties and introduction of dotted rhythms adds a little textural variety.

Franz Schubert: Sonata in G Major, D. 894 (op.78)

Unlike Beethoven's piano sonatas, most of Schubert's piano sonatas remained unknown until more than a century after his death. Of some twenty solo piano sonatas by Schubert<sup>9</sup>, only three were published during his lifetime: Opp. 42, 53, and 78.

The G Major Sonata, D.894 (op.78), was composed in Vienna in October 1826 and dedicated to his old friend Josef von Spaun. When it was published in April 1827, his publisher Tobias Haslinger titled the work "*Fantasie ou Sonate*," and called the first movement "Fantasie." Maurice Hinson mentions that Schumann called this work Schubert's "most perfect sonata in form and spirit."<sup>10</sup>

The first movement, marked *Molto moderato e cantabile*, is in sonata form. It is a serene movement, as a whole based largely on the primary thematic material. The movement opens with a gently oscillating short phrase with an imperfect authentic cadence, which sounds like a question rather than a statement. It is answered by the following phrase, whose melodic contour conveys a slight sense of expansion and sureness, despite its apparent similarity to the first. The phrase, however, ends on a half cadence, again leaving the air of incompleteness. Such sense of incompleteness and slight tentativeness persists throughout the piece as perfect authentic cadences are reserved only for a few special moments. The secondary thematic material, which is used rather sparingly in the development section, appears in two versions: the first is based on two dotted quarter notes followed by six eighth notes accompanied by dotted rhythm figure; the second consists of fluid sixteenth-notes in a higher register.

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<sup>9</sup> There is no consensus on the number; twenty to twenty-two sonatas are usually included in modern editions. The discrepancy in the total number is largely due to disagreement on the classification of unfinished works.

<sup>10</sup> Maurice Hinson, *Guide to the Pianist's Repertoire*, 3<sup>rd</sup> ed. (Bloomington: Indiana Univ. Press, 2000) 696.



The second movement, marked *Andante*, is another slow movement, though its pulse is in fact faster than that of the first movement. Paul Badura-Skoda writes that the form used in this movement is the “one that Schubert favoured for the second movement in most of his sonatas: a rondo in five sections, followed by a coda, with a variation in the reprise of the refrain and, in shorter measure, in the episode (A, B, A1, B1, A2, C).”<sup>11</sup> The charming A section is like a simple Lied, written in a texture similar to the string-quartet writing. The contrasting B section is full of drama; its expressions include the explosion of angry fortissimo chords, as well as tender yet dark pianissimo melody that is quintessentially Schubertian.

The third is a *Menuetto-Trio* movement. This movement was immensely popular during the nineteenth century and was often published and played independently from the rest of the piece. Despite its minor tonality, the *Menuette* is full of sparkle, somewhat similar to what one would expect in a Scherzo. The ‘pastoral’ character of the Trio section in the parallel major key provides an effective contrast.

The last movement is a rondo. It poses many challenges to the performer both technically and musically, such as the length of the movement, numerous leaps and skips, rapid double third passages, and sudden character changes. Charles Rosen mentions in his *Piano Notes* that Moritz Rosenthal considered this movement “extremely difficult” and (perhaps to test his own ability) tried it privately even though he never performed Schubert sonatas.<sup>12</sup> The character of the movement is generally cheerful and almost

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<sup>11</sup> Paul Badura-Skoda, “Preface to the Piano Sonatas of Schubert,” *Franz Schubert: Les Sonates Pour le Pianoforte sur instruments d’époque*, CD notes (Arcana, 1997) 140.

<sup>12</sup> Charles Rosen, *Piano Notes: The World of the Pianist* (NY: Free Press, 2002) 177.

breathless. In episodic areas there is even a suggestion of folk-style with imitations of “bagpipe and hurdy-gurdy.”<sup>13</sup>

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<sup>13</sup> Badura-Skoda 141.

Johannes Brahms: Klavierstücke, op.118

Composed in 1892 and 1893, the twenty short piano pieces in the Opp. 116, 117, 118, and 119 sets represent the zenith of Brahms's mature style. The dynamic power prevalent in many of his youthful works is much more restrained in these works, which are generally short, introspective, dark, and often hauntingly beautiful. The op.118 pieces were written in 1893, four years before Brahms's death.

The first piece of the set, the *Intermezzo* in A Minor is like a swirl of wind. Sweeping arpeggios in both hands cover more than five octaves of the keyboard. The A Minor tonality is rather ambiguous, especially in the first half of the piece. The A Major *Intermezzo* is one of the most frequently performed solo piano works of Brahms. The tonic sections of the piece reflect the optimistic and warmer side of the composer, Brahms in his most loving and tender mood. The F#-Minor middle section is just as tender, but is darker and melancholic. The virtuosic writing in the *Ballade* in G Minor, filled with large chords with bass octaves is reminiscent of his *Ballades*, op.10, written some forty years earlier. The emphasis here, however, is not on power or grandeur as in many of his earlier works; the piece is majestic, yet elegant and even somewhat introspective. The following *Intermezzo* in F Minor, op.118-4, is an enigmatic piece, vaguely resembling the *Intermezzo* in E Minor, op.116-5. The pervasive use of syncopation creates an agitated mood, while the flowing line of triplets passed from one voice to another gives an impression of breathlessness. The middle section is syncopated throughout, the downbeat never coinciding with the beginning or ending of phrases. In the following *Romanze*, the 'pastoral' atmosphere is created through diatonicism and emphasis on the subdominant harmony. The F Major section opens with a four-measure

theme, which is nothing more than a descending F Major scale, followed by three variations. The middle section in D Major consists of another four-measure theme followed by six variations in the right hand played above an ostinato bass pattern. Only at the very end of the piece, Brahms breaks the pattern and extends the last variation of the F Major melody by inserting an extra measure. The extension highlights the peaceful sonority of the subdominant harmony before the piece's final cadence. The concluding piece of the set, Intermezzo in E-flat Minor, is symphonic in character. With the left hand arpeggios rumbling in low registers of the keyboard often outlining diminished-seventh harmonies, the atmosphere of the E-flat Minor (outer) sections is somber and tragic. The contrasting G-flat Major middle section is triumphant and heroic. With such a wide range of characters expressed masterfully, this Intermezzo is perhaps one of the finest solo piano works of Brahms.

Toru Takemitsu: *Rain Tree Sketch* (1982)

Toru Takemitsu is arguably the most well-known Western classical music composer Japan has produced. Soon after the end of WWII, Takemitsu was introduced to Western music, which had been banned in Japan during the war, on the radio network for US armed forces. The music made such a strong impression on him that at age of 16, Takemitsu decided to become a composer. Essentially self-taught, the young Takemitsu rejected the German classical music revered in pre-WWII Japan as well as native Japanese music. He was attracted to and influenced by the music of American and European composers who themselves were influenced by the Asian culture: Debussy, Messiaen, and later on, Cage. After Stravinsky raved about Takemitsu's music he had heard while visiting Japan in 1959, Takemitsu's music began to attract attention internationally. His direct encounters with Western composers, many of whom were fascinated by non-western musical traditions, convinced Takemitsu to explore his native music tradition, which he had vehemently opposed earlier. Since the early 1960s his compositional style began to reflect both Western and Japanese musical traditions. He died in Tokyo in 1996.

*Rain Tree Sketch* for piano was inspired by the novel *Atama no ii ame no ki* (*Clever Rain Tree*) by Kenzaburo Oe, a friend of the composer and the recipient of the 1994 Nobel Prize in Literature. The 'rain tree' described in Oe's book has abundant finger-like foliage which stores up the previous night's rain, then releases it in a gentle shower onto the ground the following afternoon, long after the rain itself has stopped. The piece was premiered in Tokyo in 1983 and has since become one of Takemitsu's most frequently-performed piano works.

In this short work, Takemitsu depicts this beautiful scene with sound. The work is atonal and bears no time signature. There are two basic tempos, one a little faster than the other, and the piece moves freely from one to the other. There are also fermatas of different lengths, local tempo shifts such as *ritardandi* and *accelerandi*, and many extended rests. These elements together result in a piece that, rather than adhering to a logical rhythmic formula, moves and stops as it pleases, in a manner similar to natural phenomena such as winds and waves. Takemitsu instructs the performer that most of the piece is “to be played softly, except for those few places where the dynamics are specifically indicated.”<sup>1</sup> Indeed many parts of this piece sound like whispers. Shuko Watanabe identifies some harmonies in this piece as chords that reflect the native Japanese music tradition such as *minyo* chord (C#, E, F#) and *ritsu* chord (E-flat, F, A-flat).<sup>2</sup> The incorporation of such elements gives a slight exotic color to this piece, which otherwise is obviously influenced heavily by the modern French composers.

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<sup>1</sup> Toru Takemitsu, *Rain Tree Sketch for Piano* (Tokyo: Schott Japan, 1982) 2.

<sup>2</sup> Shuko Watanabe, “Tradition and Synthesis: Influences on the Solo Piano Works of 34 Japanese Composers Surveyed,” diss. D.M.A. Univ. of Maryland, 1992, 440.

Enrique Granados: *Los Requiémbros* from *Goyescas*

Along with Isaac Albeniz and Manuel De Falla, Enrique Granados is considered one of the most important Spanish composers from the late-nineteenth to the early-twentieth century. He also maintained a high profile as a pianist, appearing with such high caliber performers as Thibaud, Saint-Saëns, and Pablo Casals.<sup>3</sup>

Composed at the height of his career around 1910, *Goyescas* is by far the most well-known work by the composer. It consists of two books of solo piano pieces, former containing four, the latter two. The pieces were inspired by paintings of Francisco Goya (1746-1828), whom Granados, an amateur painter himself, admired. Granados expressed his adoration for the painter in a letter to pianist Joaquim Malats in 1910:

I have concentrated my entire personality in *Goyescas*. I fell in love with Goya's psychology and his palette; with his lady-like Maja; his aristocratic Majo; with him and the Duchess of Alba, his quarrels, his loves and flatteries[...]<sup>4</sup>

Granados composed the first book of *Goyescas* between 1909 and 1911 and gave a premier performance himself at the Palais de la Musique Catalane in Barcelona on March 11, 1911. The entire set, including second book, was performed by the composer in Madrid the following year. Granados later reworked these pieces into a one-act opera that was premiered at the Metropolitan Opera House in January 1916.

The opening number of the first book, “Los Requiémbros” (“flatteries” or “compliments”) was inspired by the fifth of Goya's *Caprichos*, *Tal para cual* (Two of a Kind). The etching, made sometime during 1796-97, portrays “a *maja* [the fashionable and handsome male member of the Madrid artistic scene of the early nineteenth century]

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<sup>3</sup> Mark Larrad, “Granados, Enrique, §1: Life,” *Grove Music Online* <<http://www.grovemusic.com>>.

<sup>4</sup> Walter Aaron Clark, *Enrique Granados* (Oxford: Oxford Univ. Press, 2006) 123. Letter dated December 11, 1910 (Museu de la Música, Barcelona, fons Granados, 10.034)

flirting with an impecunious but sword-bearing man.”<sup>5</sup> Granados uses frequent *ritardandi* and tempo changes as well as in elaborate ornamentation figures to express the flirtatious mood.

The two main melodies of this piece are quotes from “Tirana del Trípoli,” a *tonadilla* perhaps by Blas de Laserna (1756-1816) that was very popular in the eighteenth and nineteenth centuries.<sup>6</sup> Granados sets the melodies in the style of a *jota*, a dance in triple meter originally from Spain’s northern Aragon region. Both melodies are introduced early in the piece with a relatively simple accompaniment part.

As a whole, the piece resembles a free improvisation on the two melodies; the same two melodies are cast in many different moods, textures, and tempi. The accompaniment figures become increasingly more contrapuntal and elaborate, often requiring the performer to play rapid double notes in both hands. The piano writing is difficult, yet very idiomatic and effective. The extroverted energy of the piece culminates in a spectacular coda with large chords and sweeping arpeggios full of virtuosic brilliance.

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<sup>5</sup> Clark 125.

<sup>6</sup> Clark 125.



Program III  
(Piano Concerto Performance)

Thursday, December 1, 2005  
7:30 P.M.  
Singletary Center for the Arts  
Concert Hall

Piano Concerto in G Major

Maurice Ravel (1875-1937)

I. Allegramente  
II. Adagio assai  
III. Presto

Mami Hayashida, Piano

University of Kentucky Symphony Orchestra  
John Nardolillo, Conductor

## Maurice Ravel: Piano Concerto in G Major

After his highly successful American concert tour in 1928, Ravel began working on a long-postponed piano concerto. He envisioned the work to be a vehicle for himself as a pianist on his return visit to the United States. To prepare himself for the anticipated premiere, Ravel spent many hours practicing etudes by Chopin and Liszt to polish his keyboard technique. The composition of this concerto was suddenly interrupted by the commission of another: the Austrian pianist Paul Wittgenstein (brother of the philosopher Ludwig Wittgenstein), who had lost his right arm in the First World War, asked Ravel to write a concerto for the left hand alone. For the next nine months Ravel worked mostly on the commissioned piece though he continued to work on his own concerto on as well.

Once the Left-hand Concerto in D Major was completed, Ravel turned full attention to the G Major Concerto, finishing it in 1931. His health, however, was deteriorating so rapidly that he had to give up his earlier plan of being soloist in the premier performance. Ravel decided to instead conduct the work and entrust the solo part to Marguerite Long, to whom Ravel also dedicated the concerto. While his wish to take the work on a world tour was never realized, he and Long were able to go on a four-month European tour, performing in twenty cities. Ravel died six years after the first performance of the concerto, though his composing career ended much earlier due to debilitating symptoms of brain tumor.

The first movement begins with a sharp snap of the whip and a spirited melody in the piccolo. The effervescent mood is interrupted by the solo piano entry, bluesy and sensuous in some parts, retrospective and formal in others. These contrasting characters permeate the entire movement, often making unexpected appearances. After the return of

the opening themes, the forward momentum felt so far in the movement comes to a rather sudden halt; above an atmospheric texture of the strings floats a timeless melody, plucked first by the harp, then echoed by the French horn. Finally, it is taken over by the piano cadenza, in which a long succession of ingenious downward trills creates an eerily beautiful effect. The movement ends with the return of the bright vivacity of the opening.

When Ravel first showed the manuscript of the Adagio movement to Madame Long, she commented on the music's effortless, flowing grace. The composer sighed, and told her that he had struggled to write the movement "bar by bar," that it had cost him more anxiety than any of his other scores. Interestingly enough, both of these seemingly opposite comments accurately describe the movement. The long piano solo at the beginning may sound simple and effortless. Yet, the complex rhythmic organization, irregular phrase length, and ambiguous harmonic direction and tonality give the listener the feeling of slight unsettledness or uncertainty, which is sustained throughout the movement until the final E Major cadence. After the central section of the movement where the texture reaches its thickest point, the opening melody returns, but this time played by the English horn with the piano playing the *obligato* line. The ethereal movement comes to its quiet close with a short, tender postlude by the strings, as if it were disappearing into thin air.

The finale is a *perpetuum mobile* movement that shows off the technical commands of both soloist and orchestra. The dazzling theme introduced by the piano in the beginning is passed from one instrument to another at a breathtaking speed, while

slides and shrieks burst in the background. The work comes to its end just as abruptly as it began some twenty minutes earlier.

Program IV  
(D.M.A. Lecture Recital)

Monday, April 9, 2007  
7:30 P.M.  
Niles Gallery

Program

Introduction

Biography of the composer

Performance 1:

*Sonata-Fantasia* (Sonata No.11) for piano, op.81 (1955)  
by Anatoly Nikolayevich Aleksandrov (1888–1982)

I. Tranquillo, ma con alcuna licenza

II. Allegro agitato- A tempo, appassionato, patetico –  
Tempo I sognando

III. Andante cantabile – Tempo del comincio della sonata – Allegro  
giocoso – Tempo I, un poco piu animato – A tempo, appassionato –  
Tranquillo solenne

Discussion: “sonata” and “fantasy” elements

Performance 2

Q & A

Mami Hayashida, piano

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### Presentations at Professional Conferences

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