BEETHOVEN: HIS NINE SYMPHONIES AND THEIR INFLUENCE ON THE
DEVELOPMENT OF THE ORCHESTRA

by

Daniel Padua

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SUPERVISORY COMMITTEE:

Sandra C. McClain, Ed.D.
Thesis Advisor

Kyle Prescott, D.M.A.

Laura Joella, D.M.A.

Heather Coltman, D.M.A.
Chair, Department of Music

Manjunath Pendakur, Ph.D.
Dean, The Dorothy F. Schmidt College of Arts & Letters

Barry T. Rosson, Ph.D.
Dean, Graduate College

November 16, 2010
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ABSTRACT

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Beethoven is widely considered to be one of the most influential composers of all time. His compositions denote a crucial turning point in the history of western music, and his influence can be discussed in numerous ways – musically, technically, theoretically and even philosophically. This treatise discusses one of the primary aspects of Beethoven’s influence on later generations: the way that his symphonies contributed to the expansion of the genre and, consequently, to the development of the orchestra. Included is a detailed analysis of his nine symphonies, an overview of his personal life, and an exploration of the historical, social, and political time in which he lived. This thesis collects and examines relevant documents in order to inquire about and better understand the changes and innovations that transformed the standard orchestra of the eighteenth century, opening the doors to the symphonic music of the Romantic Era.
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Introduction

It is evident that Ludwig van Beethoven is, at least from the point of view of western music history, one of the most influential composers of all time. His music certainly has influenced many generations of composers that came after him. This influence can be discussed in many ways, either musically, technically or philosophically. Beethoven was surely privileged, being born in a historical moment of great changes in human society. Art and music throughout history have reflected the way of thinking of a certain period; Beethoven absorbed these ideas exceptionally well, putting them together into his own genius and personality, becoming a divisive figure in music history.

In order to study any aspect of Beethoven’s music, one should first understand what lies behind it: the composer’s mind. Hence to understand Beethoven’s mind, it is essential to study in depth his personality, observing how he was influenced by the composers of previous generations as well as his contemporaries, including the revolutionary historical events of his time that surely impacted his own personality and artistic power. His personal life, which was full of extremely distressing events - most importantly his devastating deafness - played a crucial role in his relationship with the outside world. Beethoven, the man, had no choice other than to deal the best he could with the catastrophic events of his own existence; Beethoven, the artist, transcended all his mundane tribulations, transforming all adversities into a glorious triumph.
One of the aspects of Beethoven’s influence on later generations is the topic of this research: the way that his Symphonies (indeed one of the major vehicles of his musical expression) expanded symphonic music and, as a consequence, changed the orchestra. Among these changes, one can mention, for example, the enlargement of the orchestra in size (by the inclusion of new instruments in the symphony), an unprecedented and original approach to the symphonic genre, a more complex and technically demanding music, and a considerable increase in length of the symphony (the Ninth Symphony lasts for more than one hour).

This research is divided into five chapters: the first will present a general view of Beethoven’s life, with a collection of some of the most important events that contributed directly to the development of his personality and, consequently, his music. Secondly, the rising of the orchestra (in the modern concept of the term) and its establishment until the first decades of Beethoven's life will be illustrated, in a brief manner. The third chapter will introduce the symphonic genre in Beethoven's musical output, followed by the longest and central chapter of this research, which will present a close analysis of all the Nine Symphonies. The fifth and last chapter will be dedicated to the organization of the information discussed in all the previous chapters, as a way of presenting a clearer and more succinct illustration of the changes and innovations by Beethoven's music that contributed to the development of the symphony orchestra.
Chapter 1

Beethoven, His Life and Music

The purpose of this first chapter is to present a basic understanding of the facts and the historical background, during Beethoven's lifetime, that contributed directly or indirectly to the development of his personality. It is important to state now that this present section is not an effort to make connections between Beethoven's life and his works, but instead, it is a collection of important events that affected Beethoven as a man and, consequently, as an artist. As with every great artist, it is very difficult to draw immediate connections between life and works, especially when one is dealing with a composer, rather than a painter or writer, "because the 'subject matter' of many of his instrumental works is virtually synonymous with their formal structures and emotional content" (Lockwood 2003, 15). As Schopenhauer affirms:

music among all the arts directly articulates the noumenal, the inner essence of things, rather than the phenomenal . . . [and] music is an occult exercise in the counting of numbers in which the mind does not know it is counting. [Schopenhauer declares that] the composer reveals the innermost that his reasoning faculty does not understand . . . Therefore in the composer, more than in any other artist, the man is entirely separate and distinct from the artist . . . music is the most powerful of all the arts . . . attains its ends entirely from its own resources . . . a symphony of Beethoven, from which all the human passions and emotions speak: ... joy, grief, love, hatred, terror, hope, and so on in innumerable shades, yet all, as it were, only in the abstract and without any particularization; it is their mere form without the material. (in Lockwood 2003, 16)
When speaking about an artist's life, and in this case Beethoven's, one may feel that an inner strength sustained him throughout his life despite troubles, physical and psychological. There is a feeling of separation that places the artist on one side and the man on the other, because we can sense that an artist is similar to everyone else, a human driven by basic necessities, but at the same time with special needs that the "common" people would like to understand. For Beethoven, his creative power clearly dominated all the other aspects of his life, constantly interfering with and determining his outer life. According to Lewis Lockwood, the artistic involvement of Beethoven was so intense that "it tended to reduce the rest of his life to a struggle for equilibrium in which the pressure of the work could cause the life almost to wither away" (2003, 18).

In one of Beethoven's letters, he expounds about his creative process and the intensity of how the musical ideas came to his mind:

I carry my thoughts about with me for a long time, sometimes a very long time, before I set them down. At the same time my memory is so faithful to me that I am sure not to forget a theme which I have once conceived, even after years have passed. I make many changes, reject and reattempt until I am satisfied. Then the working-out in breadth, length, height and depth begins in my head, and since I am conscious of what I want, the basic idea never leaves me. It rises, grows upward, and I hear and see the picture as a whole take shape and stand forth before me in my mind as though cast in a single piece, so that all that is left is the work of writing it down. This goes quickly, according as I have the time; for sometimes I have several compositions in labor at once, though I am sure never to confuse one with the other. You will ask me whence I take my ideas? That I cannot say with any degree of certainty: they come to me uninvited, directly or indirectly. I could almost grasp them in my hands, out in Nature's open, in the woods, during my promenades, in the silence of the night, at the earliest dawn. They are roused by moods which in the poet's case are transmuted into words, and in mine into tones, that sound, roar and storm until at last they take shape for me as notes. (Sonneck, in Solomon 1980, 273-274)
Although the idea of separation can be taken as something true and real, we can never assume a theory of absolute separation. Musical works are created by individuals with great imagination and, accordingly, "we can acknowledge that deeply rooted elements in the creative individual's personality, angle of vision, speech habits, interactions with people, and ways of dealing with the world find resonance in many of the artist's works" (Lockwood 2003, 19). We can clearly understand how the revolutionary feeling, which was "in the air" during Beethoven's early years, was surely responsible, at least to some degree, for his own behavior as an independent artist and his will to reach a new level in music through innovations and revolutionary ideas that were never tried or even imagined before.

*Life in Vienna in the Later Eighteenth Century*

Perhaps the first great moment in Beethoven's life as a young musician was his move to Vienna in 1792. Once he reached the capital, he remained there until the end of his life, never returning to Bonn, Germany, his birth place. According to Anne-Louise Coldicott, Vienna in 1792 was the leading musical city in Europe (1991, 88). This imperial city had twenty times the population of Bonn, and "brimmed with opportunities for a young musician looking to make a mark in the salons of the central European aristocracy that formed the core of Viennese society" (Lockwood 2003, 70). During this period, all types of music flourished, with opera as one of the most popular. In order to understand the influences of the external environment on Beethoven, it is necessary to analyze some of the main aspects of the situation in Vienna during the first years of his life there.
In 1792, the political situation in Vienna was at its highest level of tension. The consequences of the French Revolution of 1789 were already affecting Austria more seriously than before, because the country was "one of the staunchest and most consistent members of the anti-French coalitions which came together and fell apart repeatedly during the period of French aggression" (Coldicott 1991, 59). Beethoven himself was already feeling those consequences, as "his journey [to Vienna] was also a move to safety at a time when a French invasion and annexation of the Rhineland seemed imminent" (Lockwood 2003, 69). The war between Austria and France erupted in that same year, making the political atmosphere of Beethoven's first Viennese years even worse. The Terror erupted in 1793, resulting in a period of great instability, insecurity and invasions that would last through the entire reign of Napoleon.

Despite all these problems, the Viennese population could meet the expense of their basic needs, and the nobility would continue to live their luxurious lives. Dancing was a general form of entertainment, and there were places where members of all classes would join together. Prostitution was also widespread in Vienna. (Solomon 1998, 124). All types of music flourished at the same time as negligence of morals was arising, with little literary and philosophical discussion (Coldicott 1991, 60). The moment was favorable for a virtuoso pianist, precisely when Beethoven arrived in the Austrian capital: possible competitors such as Muzio Clementi (1752-1832) and Johann Baptist Cramer (1771-1858) had just moved from Vienna to live in London, and Wolfgang Amadeus Mozart (1756-1791) had been dead for a year.
Beethoven as Virtuoso and His Patrons

Beethoven was a remarkable pianist, and very soon his reputation as a virtuoso performer spread all over Vienna. Initially, he was highly regarded as a virtuoso pianist instead of a composer, being considered by many as the best living pianist of his time. "His powerful, brilliant, and imaginative style contrasted strongly with the fashionably sweet and delicate style of earlier keyboard virtuosos, although when he wished to, Beethoven could imitate their cloying and fastidiously refined manner with devastating accuracy" (Solomon 1998, 78). Since Vienna was a city of pianists (more than three hundred pianists in the 1790s), Beethoven found many rivals, forming opposing factions that would duel against each other. It did not, however, take a long time before he made his presence felt as a composer. His music was being circulated by five publishers in Vienna during 1799, "rapidly gaining a consciousness of addressing a continental audience and achieving a measure of international fame" (Solomon 1998, 80). In one of the letters to his brother Nikolaus Johann, in 1796, Beethoven wrote: "First of all I am well, very well. My art is winning me friends and renown, and what more do I want? And this time I shall make a good deal of money" (Anderson 1961, 22-23). Carl Czerny (1791-1857) stated that Beethoven, during his young years, "received all manner of support from our high aristocracy and enjoyed as much care and respect as ever fell to the lot of a young artist" (in Solomon 1998, 80). He was extremely respected and spoiled by the high aristocracy of Vienna. "So great was their passion for music, and so important was it to their sense of social status that they be known as patrons of an important artist, that they lavished money and gifts on him" (Solomon 1998, 80). Beethoven was simultaneously sponsored by many people of the nobility during his first years in Vienna.
That remained his primary system of support through his entire life. Further on in this chapter, this treatise will discuss how that patronage changed during Beethoven's lifetime, and how the place of the artist in society changed as a result.

*Beethoven and the Construction of His Musical Style*

Many factors contributed to the formation of Beethoven's own musical style, especially the common musical language shared by all composers during his early years. That language is known as the great Viennese Classical style, first experienced in the works of composers such as Joseph Haydn (1732-1809) and Mozart. According to Coldicott, the emergence of the Classical style came around 1775, after a pre-Classical period which encompassed *Rococo* and *Style Galant*, and also *Empfindsamkeit* (sentimentality) (1991, 72). This period was clearly marked by a conscious reaction against the excesses and complexity of the Baroque style, seeking for a simpler and more directly appealing one. That simplicity can be seen in all aspects of music, including form, tonality, harmony, melody and thematic development, as well as in the treatment of instruments (1991, 72).

Despite all the other changes at this time, it is important to focus on the changes regarding the role of the orchestra. In fact, it was a dramatic change, when compared to the Baroque practices where "all parts contributed equally to the contrapuntal content of the music, and there was often little attempt to write for specific instruments" (Coldicott 1991, 73). Among the changes, for example, the first violins were the main instrument to carry the melodic line, the non-thematic and harmonic bass were given to the cellos and basses, and the reduction of the inner strings parts to a simple accompanying role. It is
also important to refer to the changes in the woodwind section, which originally merely doubled the string parts, or were used as sustaining instruments.

The Classical style of the late Mozart, the later Haydn, and the early Beethoven, in some ultimately inexplicable way, as Solomon says:

... seemed perfectly to embody and crystallize the moods and sentiments of such Viennese during the post-Josephinian period. Though the conditions of Viennese life in the Napoleonic era led to a failure of political nerve, to a withdrawal from philosophical inquiry, and to a diminution in avowedly humanistic concerns, Enlightened sentiments and rational tendencies nevertheless had to find their outlet. Apparently they found one in the realm of Viennese instrumental music - the most immediate, most abstract, and least censorable of the arts. In a sense, we may view the masterpieces of the high-Classic style as a music into which flowed the thwarted impulses of the Josephinian Aufklärung, a music of meditative cast that refuses to give way to superficiality and pretense, a music that is "Classic" by virtue of its avoidance of the extremes of triviality and grandiosity. At the same time, this music expressed a utopian ideal: the creation of a self-contained world symbolic of the higher values of rationality, play, and beauty. In the greater works of Mozart, Haydn, and the early Beethoven are condensed some of the contradictory feelings of Viennese life. Gaiety is undermined by a sense of loss, courtly grace is penetrated by brusque and dissonant elements, and profound meditation is intermingled with fantasy. (1998, 125)

Within a few years, its maturity could be found in the works of Mozart and Haydn, as if they were "the embodiment of the Viennese spirit" (Solomon 1998, 126). Beethoven, during his early years, was received in the palaces of Vienna as a worthy successor to the master of the Viennese musical tradition. Count Ferdinand von Waldstein, writing in his autograph album upon Beethoven's departure from Bonn, mentioned that "the Genius of Mozart is mourning and weeping over the death of her pupil. She found a refuge but no occupation with the inexhaustible Haydn; through him she wishes to form a union with another. With the help of assiduous labor you shall receive Mozart's spirit from Haydn's hands" (Thayer-Forbes, in Solomon 1998, 77). At first, Beethoven consciously decided to
take the role of their successor, mastering their genres, styles and tradition. "The extent to which Beethoven regarded himself as the heir to these two (Haydn and Mozart) can perhaps best be seen in the fact that, when he first put on a major concert in Vienna in 1800, all the music performed was by Haydn, Mozart or himself" (Cooper 1991, 83).

However, Beethoven's role in Viennese life, according to Solomon:

. . . was to be quite different from that of his predecessor. Despite, or perhaps because of, his iconoclasm and rebelliousness, Vienna was to find in Beethoven its mythmaker, the creator of its new "sacred history", one who was prepared to furnish it with a model of heroism as well as beauty during an age of revolution and destruction and to hold out the image of an era of reconciliation and freedom to come. (1998, 126)

Needless to say, Beethoven was influenced by many other composers, such as Johann Sebastian Bach (1685-1750), George Frideric Handel (1685-1759), Christoph Willibald Gluck (1714-1787), Muzio Clementi (1752-1832), and Gioachino Antonio Rossini (1792-1868), among others. Beethoven's very wide knowledge of music attests to the varied influences on his own style. He deeply studied the music of his predecessors and older contemporaries, mastering the Classical style to its highest extent. Thus, it was through very hard work that Beethoven gained the high ground of the Viennese tradition, putting himself in a place where he could choose to repeat his conquests or throw himself in an unexplored direction. Fortunately, for us and for the music, he chose to see the sights of a new horizon, and to open the doors that were never touched by any other man. By taking this uncharted way, Beethoven expanded and loosened the classical designs towards a direction of romanticism and a transcendent style; a conscious and huge transformation that would raise music to a new level, becoming a decisive turning point in music history.
In 1809, a contract was signed by Beethoven's patrons, the Archduke Rudolph, Prince Lobkowitz and Prince Kinsky: "The undersigned have decided to place Herr Ludwig van Beethoven in a position where the necessaries of life shall not cause him embarrassment or clog his powerful genius" (Thayer 1967, 457). Basically, it shows that Beethoven would have a salary for his entire life, to compose whatever he wanted, when he wanted. It was, without question, a great opportunity for Beethoven, which would relieve him of serious financial troubles during his life. However, more important than that, it was the recognition of Beethoven as an artist, as someone holding a privileged position in society and, because of his extraordinary genius, worthy of a very singular consideration. This event represented a huge transformation in the place of the artist in society, given that, prior to this, they were nothing more than servants who had tasks to perform. For instance, even Mozart and Haydn had to work under the services of the nobility or the church, composing music as required by their respective patrons.

There are two other factors closely related to Beethoven that contributed to the emergence of the musician as an artist. The first is, as already mentioned, that instrumental music had achieved a superior status that matched the spirit of Vienna during that period. In addition, the emergence of the work of art as an autonomous aesthetic object as opposed to a functional one can be linked to this new status of instrumental music, which contributed to a split between the professions of composer and performer. "Composers now no longer presented their works to a class in which they served as members; instead, ... they faced an amorphous multitude that they were to raise to their own sphere" (Blume, in Marston 1991, 67). The second factor is the cult of
genius, cultivated from the growing interest in psychology during the transition between the eighteenth and nineteenth centuries. The artist with genius "was accorded a status above the ordinary man" (Marston 1991, 67); Beethoven was the one who opened the doors to this new ideal of an artist, which remained throughout the entire age of romanticism during the nineteenth century.

**Deafness and Crisis**

We can never ignore the fact that one of the most tragic events Beethoven faced in his life was his loss of hearing. Apparently, the problem began around 1797, and despite noticing that it was becoming a chronic condition, Beethoven established himself as the leading composer of his time. Maybe the best words to describe his life at that moment are triumph over adversity. “His ability to nurture his creative psyche and protect it from the physical and psychological anguish of his growing deafness is one of the more remarkable features of his life” (Lockwood 2003, 111).

In a letter written in 1801 to Franz Wegeler, one of the closest of Beethoven’s friends, we can find many passages that exemplify both his success as a composer and his desperation about his deafness and bad health. Also, the "contradiction in Beethoven's existence - an outward appearance of accomplishment, productivity, and gratification permeated by a sense of impending personal shipwreck" (Solomon 1998, 146) - is reflected in this letter. Below are some excerpts from this document:

My compositions bring in a good deal of money and I can say that I receive more commissions than I can possibly accept. Besides, I have six or seven publishers for every item, and more if I wish: they no longer bargain with me: I demand, they pay. You can see that it’s a pleasant situation: for example, I see that one of my
friends is in need and just at that moment my purse does not allow me to help him at once, so I have only to sit down and in a short time help is forth-coming . . . . Only the jealous daemon, my poor health, has put a spoke in the wheel: for three years my hearing has been growing steadily worse and this, they say, is due to my abdomen, which, as you know, has always been in a bad state . . . . I must confess that I lead a miserable life. For almost two years now I have ceased to attend any social functions, just because I find it impossible to say to people, I am deaf. If I had any other profession I might be able to cope with my infirmity, but in my profession it is a terrible handicap. And if my enemies, of whom I have a fair number, were to hear about it, what would they say? . . . . I shall be God’s unhappiest creature. I beg you not to say anything about my condition to anyone… (Hamburger 1951, 40-42)

One can assert that Beethoven had endured several years of significant anxiety, yet these were years of "extremely high productivity and creative accomplishment, years that gave rise to the works that exhibit Beethoven's increasing mastery of the Classical style as well as the clearest sign that he was in transition toward a radically new style" (Solomon 1998, 149). In the same letter he wrote to Wegeler, where he announces his deafness, he states: "I live entirely in my music; and hardly have I completed one composition when I have already begun another. At my present rate of composing, I often produce three or four works at the same time" (Anderson 1961, 61-62). The agonizing idea that Beethoven found he was gradually losing his connections with the world was driving him on to a state of full concentration on his music, resulting in a production more abundant than ever. On the same idea, Lockwood stated that “this wave of creative energy coincided with deepening anxiety over his deafness is one of the essential facts of his early maturity” (Lockwood 2003, 113).
The Heiligenstadt Testament

The *Heiligenstadt* Testament is "the most striking confessional statement in the biography of Beethoven" (Solomon 1998, 154), which clearly represents his suffering and determination to overcome suicidal impulses in order to accomplish his fate as an artist. He wrote it in the fall of 1802 in the town of *Heiligenstadt*, a quiet village near Vienna. It was discovered some months after his death, in 1827. It is addressed to his brothers Karl and Johann van Beethoven; however, on the very beginning we can read the words “O you people” (“O ihr Menschen”), which explains that most of its text was addressed to the world at large.

Since the *Heiligenstadt* Testament holds such importance in Beethoven's life, it is essential to include it here in its full length, as follows:

For my brothers Carl and [Johann] Beethoven

Oh you men who think or say that I am malevolent, stubborn, or misanthropic, how greatly do you wrong me. You do not know the secret cause which makes me seem that way to you. From childhood on, my heart and soul have been full of the tender feeling of goodwill, and I was even inclined to accomplish great things. But, think that for six years now I have been hopelessly afflicted, made worse by senseless physicians, from year to year deceived with hopes of improvement, finally compelled to face the prospect of a lasting malady (whose cure will take years or, perhaps, be impossible). Though born with a fiery, active temperament, even susceptible to the diversions of society, I was soon compelled to isolate myself, to live life alone. If at times I tried to forget all this, oh how harshly was I driven back by the doubly sad experience of my bad hearing. Yet it was impossible for me to say to people, "Speak louder, shout, for I am deaf." Ah, how could I possibly admit an infirmity in the one sense which ought to be more perfect in me than others, a sense which I once possessed in the highest perfection, perfection such as few in my profession enjoy or ever have enjoyed. - Oh I cannot do it; therefore forgive me when you see me draw back when I would have gladly mingled with you. My misfortune is doubly painful to me because I am bound to be misunderstood; for me there can be no relaxation with my fellow men, no refined conversations, no mutual exchange of ideas. I must live almost
alone, like one who has been banished; I can mix with society only as much as true necessity demands. If I approach near to people a hot terror seizes upon me, and I fear being exposed to the danger that my condition might be noticed. Thus it has been during the last six months which I have spent in the country. By ordering me to spare my hearing as much as possible, my intelligent doctor almost fell in with my own present frame of mind, though sometimes I ran counter to it by yielding to my desire for companionship. But what a humiliation for me when someone standing next to me heard a flute in the distance and I heard nothing, or someone standing next to me heard a shepherd singing and again I heard nothing. Such incidents drove me almost to despair; a little more of that and I would have ended my life - it was only my art that held me back. Ah, it seemed to me impossible to leave the world until I had brought forth all that I felt was within me. So I endured this wretched existence - truly wretched for so susceptible a body, which can be thrown by a sudden change from the best condition to the very worst. - Patience, they say, is what I must now choose for my guide, and I have done so - I hope my determination will remain firm to endure until it pleases the inexorable Parcae to break the thread. Perhaps I shall get better, perhaps not; I am ready. - Forced to become a philosopher already in my twenty-eighth year, - oh it is not easy, and for the artist much more difficult than for anyone else. - Divine One, thou canst see into my inmost thoughts, thou knowest that therein dwells the love of mankind and the desire to do good. - Oh fellow men, when at some point you read this, consider then that you have done me an injustice; someone who has had misfortune may console himself to find a similar case to his, who despite all the limitations of Nature nevertheless did everything within his powers to become accepted among worthy artists and men. - You, my brothers Carl and Johann, as soon as I am dead, if Dr. Schmidt is still alive, ask him in my name to describe my malady, and attach this written documentation to his account of my illness so that so far as it possible at least the world may become reconciled to me after my death. - At the same time, I declare you two to be the heirs to my small fortune (if so it can be called); divide it fairly; bear with and help each other. What injury you have done me you know was long ago forgiven. To you, brother Carl, I give special thanks for the attachment you have shown me of late. It is my wish that you may have a better and freer life than I have had. Recommend virtue to your children; it alone, not money, can make them happy. I speak from experience; this was what upheld me in time of misery. Thanks to it and to my art, I did not end my life by suicide - Farewell and love each other - I thank all my friends, particularly Prince Lichnowsky and Professor Schmidt - I would like the instruments from Prince L. to be preserved by one of you, but not to be the cause of strife between you, and as soon as they can serve you a better purpose, then sell them. How happy I shall be if can still be helpful to you in my grave - so be it. - With joy I hasten towards death. - If it comes before I have had the chance to develop all my artistic capacities, it will still be coming too soon despite my harsh fate, and I should probably wish it later - yet even so I should be happy, for would it not free me from a state of endless suffering? - Come when thou wilt, I shall meet thee bravely. - Farewell and do not wholly forget me when I am dead; I
deserve this from you, for during my lifetime I was thinking of you often and of ways to make you happy - please be so -

Heiligenstadt, October 6th, 1802.
Ludwig van Beethoven
(seal)

For my brothers Carl and [Johann] to be read and executed after my death

Heiligenstadt, October 10th, 1802, so I must bid you farewell - though sadly. Yes, the cherished hope - which I brought with me when I came here, of being healed at least to a certain degree, must now abandon me entirely. As the leaves of autumn fall and are withered, so, too - my hope has dried up. Almost as I was when I came here, I leave again - even the courage - which often inspired me on lovely summer days - is vanished. O Providence - let a single day of untroubled joy be granted to me! For so long already the resonance of true joy has been unknown to me. O when - O when, Divine one - may I feel it once more in the temple of Nature and of mankind? Never? - no - that would be too hard!

To summarize, the deafness greatly affected Beethoven’s ability to deal with his surrounding world, and without question had a powerful influence on the character and content of his music. Deafness might have helped him to protect himself from the intrusions of the outside world. “As a man he found himself imprisoned by deafness. As an artist, he broke free, continuing on a trajectory marked by significant acts of renewal and stages of stylistic transformation, while his deafness remained a heavy burden, a gradually worsening handicap for him to overcome as best he could” (Lockwood 2003, 113).

As Solomon states:

The gradual closing off of Beethoven's aural contact with the world inevitably led to feelings of painful isolation and encouraged his tendencies toward misanthropy and suspiciousness. But deafness did not impair and indeed may even have heightened his abilities as a composer, perhaps by its exclusion of piano virtuosity as a competing outlet for his creativity, perhaps by permitting a total concentration upon composition within a world of increasing auditory seclusion.
In his deaf world, Beethoven could experiment with new forms of experience, free from the intrusive sounds of the external environment; free from the rigidities of the material world; free, like a dreamer, to combine and recombine the stuff of reality, in accordance with his desires, into previously undreamed of forms and structures. (1998, 161)

Through that new experience, Beethoven broke many barriers from the traditions of the classical period, opening a new road to the music in the nineteenth century. Since the goal of the present research is to understand how Beethoven changed the orchestra and expanded the genre of the symphony, it is time to discuss the characteristics and aspects of the orchestra during Beethoven's time, as presented in the following chapter.
Chapter 2

The Orchestra in the Eighteenth Century

As a preliminary preparation to an investigation of the orchestra during the early years of Beethoven's life, it will be required to take into account an overview of the history of the orchestra and its origin, and how it was developed until the last decades of the eighteenth century, only a few years before Beethoven completed his first symphony.

When one speaks about the term "orchestra," it is important to ensure that, in the case of the present treatise, it refers to a group of musical instruments, a sounding body, and not the orchestra as a corporation or institution, which is a matter for economic and social history. Although we can find some evidences of performances by large groups of instruments during the years in between the fifteenth and sixteenth centuries, most would probably agree that the history of the modern orchestra begins somewhere in the seventeenth century. During that period, "all high-class music was intended to be sung, the instruments being only substitutes to replace absent voices" (Bekker 1963, 18). Instrumental music itself resulted from the attempt of imitating vocal music, and the tendency to combine the instruments resulted in the construction of several types of the same instrument but in different sizes. The classic example refers to the family of the violin, constructed mainly in three different sizes: the violin itself, which can be related to
the soprano voice; the viola, to the alto voice; and the violoncello, to the tenor and bass. Having established that, the basis of our modern orchestra was set. Of course, that orchestra was above all an imitation of the singing chorus. Probably one of the most extraordinary accomplishments of western music history is the perfecting of the violin itself. Its tone is considered to have an astonishing similarity to the singing and emotional qualities of the human voice. Although it is an instrument with a certain restriction on the number of low tones, the other members of the violin family, larger in size, would compensate for that. Therefore, the full group of the violin-type instruments represents "a sound-body which surpasses human voices in variety both of pitch and of possible combinations" (Bekker 1963, 19).

The woodwind and brass instruments, introduced by degrees, were first used to enhance the effect of the strings, later on being used in contrast with them. Sometimes flutes were used, other times oboes or bassoons, and eventually trumpets and horns. Over the years, the union of all these different instrumental types resulted in an organization of sounds, which "offered not only a perfect representation of each voice, but also the greatest freedom of treatment and development" (Bekker 1963, 26).

In the year 1607, Claudio Monteverdi gave the first performance of his opera Orfeo. On that occasion, he established an instrumental composite of specific design. "Here the orchestra may be said to have had its first configuration" (Krueger 1958, 47). Monteverdi's orchestra was not a gathering of instrumentalists, but instead an ensemble planned very carefully. "For the first time, the score of an opera does not restrict itself to an accompaniment of the clavecin, reinforced by a few lutes, violins, and bass viols, but demands a complete and varied orchestra" (Prunières, in Krueger 1958, 47). The Orfeo
orchestra was created for a specific purpose (the work itself), and it was huge in size for its time. Below we can see the composition of the orchestra, according to Monteverdi's indication:

CHORD (OR KEYBOARD) INSTRUMENTS:
   2 clavicembali
   2 organi di legno
   1 regal (an organ with reeds)

(These were supported in the continuo by:
   2 contrabassi di viola
   3 bass gambas and
   2 chitarroni)

STRINGED INSTRUMENTS: (in addition to the above named instruments)
   2 violini alla Francese and
   10 viole da brazzo (in all pitches)

WIND INSTRUMENTS:
   Group I: clarino (high trumpet)
   3 trumpets
   4 trombones and zink (or cornett, an early wind instrument)
   Group II: various flutes

As declared by Krueger:

Monteverdi had been the first composer to recognize the need for a preponderance of string instruments in the orchestra . . . . He established a quartet of strings in the orchestra, each string part being usually played by two or more players - Monteverdi determined their number from the size and acoustics of the hall. (1958, 48)
From this statement, it is possible to identify a concern for balance between all those instrumental groups, something that probably no other composer had thought before.

Later on, Krueger affirmed that:

Monteverdi stands as the first great master of instrumentation. He had been the first to perceive the rich potentials in the tonal materials of the madrigal-opera and, in contrast to other composers, to enhance these by increasing the number of melody instruments. Monteverdi's treatment of polyphony in his madrigals had foreshadowed the later fusion of the contrapuntal and monodic styles, and his treatment of the orchestra in Orfeo went far beyond anything accomplished before his time. (1958, 49)

It was not until later in the eighteenth century that the orchestra started to gain its standard formation which would lead to the establishment of the classical orchestra of Haydn and Mozart. The influence of composers such as Arcangelo Corelli (1653-1713) and Antonio Vivaldi (1678-1741) on the evolution of instrumental composition and the development of the orchestra was fundamental: they both wrote a huge amount of music to be played by the violin and its family, leading this instrument to dominate the sound of the orchestra, as also in other genres like the violin concerto, the trio sonata, and the concerto grosso, "the first type of composition with a genuine orchestra style" (Krueger 1958, 51). The early orchestra found its culmination in Johann Sebastian Bach, who expanded its expressiveness by giving individual treatment to each group of instruments, revealing his awareness of the characteristic color of each instrument. "From Monteverdi through Bach, the human expressive potential of the musical instruments was prodigiously explored and exploited, in no other comparable period of time has the humanization of the entire instrumental apparatus been advanced so far" (Krueger 1958, 56).
In summary, we may state that, during the course of approximately 150 years, the heterogeneous baroque ensemble suffered many transformations, which finally culminated in the first standardization and refinement of the orchestral ensemble by the end of the eighteenth century. The result was the classical orchestra, which represents "the first fully formed ancestor of the modern orchestra... its assemblage of strings and paired winds and brass remains at the heart of the orchestra today... for these reasons, the late eighteenth century must be viewed as a turning point in the long development of our present-day symphonic ensemble" (Peyser 1986, 37). The new galant style called for a more homogenous group, and that is exactly what the classical orchestra could offer at that time: four strings (violin I and II, viola, cello and bass) and four winds (usually oboe I and II, and horn I and II). Another factor that contributed to the rise of the classical orchestra was the shift from church and court music to public concerts, together with the popularization of music through the invention of music printing. The church and the court were gradually replaced by concerned aristocrats, then the public, and later the well-organized societies, as financial sponsors of ensemble music. By the end of Beethoven's life, this system was firmly in place, and made possible the remarkable expansion and technical improvement of the orchestra during the nineteenth century (Peyser 1986, 38).

The new homophonic style of the classical period required some adjustments in the baroque ensemble, and for several reasons, many instruments gradually had to be eliminated from the orchestra. Also, the basso continuo suffered similar consequence when its role declined as the musical focus shifted from the bass line to the soprano. The horns would eventually assume the harmonic duties of the continuo, as would the oboes, during the early stages of the classical orchestra. The sound of horns blended very well
with strings and had the possibility of playing sustained harmonies in a full range of
dynamic expression. The string section, as it remains in the twenty-first century, was the
main core of the classical orchestra. Composers such as Corelli, Giuseppe Torelli (1658-
1709) and Vivaldi, with their *Italian concertos*, can be seen as the main individuals
responsible for establishing that, as the orchestras of Giovanni Battista Pergolesi (1710-
1736) and Johann Hasse (1699-1783), "with its strong emphasis on string sound,
illustrated the suitability of string instruments for interpreting the 'singing allegro' style"
(Peyser 1986, 42). Classical composers, for obvious reasons, would have a high regard
for the string instruments: no other instrument is capable of imitating the expressive
nuances of the human voice so intimately, the reason that string instruments were seen as
the closest to the "natural" sound. Eventually, that would lead to the increased number of
string instruments in the orchestra. At the same time, the number of winds was often
reduced to as few as four. By 1770, the opera orchestra of Milan counted in its numbers
fourteen first violins and fourteen second violins. This orchestra, as something flexible,
melodious and sensitive, was the perfect vehicle for the realization of the new classical
style.

As a new institution, the orchestra had its own survival closely related to the
music written for it. Thus, it was due to Haydn and Mozart that the popularity of the
orchestra and the symphony would reach an unprecedented level. To Haydn must go the
credit of making the leap to classical style; to Mozart, of raising the genre to its most
absolute perfection. By the time his last symphonies were published, the orchestra was
very close to being established as a public, professional institution to face the challenges
already given by difficult scores. According to Peyser, after Mozart's death in 1791, all that the orchestra was looking for was:

... the figure who would push technique to a new horizon, who would force instrument builders to produce more reliable instruments, who would compel ensembles to become more polished, and who would write works for which a conductor was no longer a decoration (as Haydn had been for his London symphonies). This figure, of course, was Beethoven. His symphonies, published from 1801 on, would bring the classical ensemble to maturity as the modern orchestra. (1986, 66)

In light of that, it is time to discuss the genre of the symphony, its importance in Beethoven's music and, in a very succinct elucidation, how he developed and expanded it, as presented in the next chapter of this research.
Chapter 3

The Symphony in Beethoven's Music

During his life, Beethoven wrote nine symphonies; Mozart wrote forty-one, and Haydn, one hundred and four. Clearly, that is not a good comparison, based only on numbers, but the point that is put into question now is the proportion. Beethoven's symphonies are much larger in size when compared to those of his predecessors, and not only that, they all carry a more deep and concentrated content, each symphony having its own particular substance, never following a consistent scheme. In this aspect, every symphony by Beethoven can be considered as a very distinctive piece of music, reflecting the expansive force and great imaginative power of the composer. When contrasting the symphonies of Beethoven to the ones composed by Haydn and Mozart, Maynard Solomon quotes an observation by Alfred Einstein, who states that "the symphonies of Haydn and Mozart always remained within the social frame, and in their sonata-form works they limited themselves to the attainment of noble mirth, to a purification of the feelings" (Einstein, in Solomon 1998, 251).

It was nearly inevitable that the music in Vienna during the last years of the eighteenth century had not taken a different path in terms of its aesthetics and content. In such a tumultuous era, with the French Revolution and the beginning of the Napoleonic
Wars, the Classical style was failing to "map several inescapable and fundamental features of the emotional landscape" (Solomon 1998, 251), also hardly ever being able to convey the heroic or the tragic levels of experience. Many composers during that period began to place their works on a different level as if in response to their current environment. For example, Joseph Haydn's music started to take a new character, as we can see in his symphony title *Military*, composed in 1794, and another called *Drum Roll*, composed in 1795. That new approach of Haydn's works is what mostly gets closer to Beethoven's heroic style of some years later. Here we find the point where the concept of heroic music begins to respond to the turbulent currents of its own time. Solomon states that, despite these foreshadowings, Beethoven "was the first composer fully to use the tempestuous, conflict-ridden subject matter of the emerging heroic style with the sonata principle, thus inaugurating a revolution in the history of music" (1998, 252). The examples shown above from Haydn's music, as also with the works of some other composers, can be understood as a preliminary motion that would be taken in all its force by Beethoven. Continuing with his statement, Solomon says that Beethoven took music "beyond what we may describe as the principle of Viennese classicism; he permitted aggressive and disintegrative forces to enter musical form: he places the tragic experience at the core of his heroic style. He now introduced elements into instrumental music that had previously been neglected or unwelcome" (1998, 252). The ideal of the hero and the tragic, triumph and joy, inevitable fate, the victory of light against the shadow, can all be found in many of Beethoven's mature works from his second period, especially in his symphonies. The first and most obvious example of that can be seen in his Third Symphony, as Solomon explains that "a unique characteristic of the *Eroica* Symphony,
and its heroic successors, is the incorporation into musical form of death, destructiveness, anxiety, and aggression as terrors to be transcended within the work of art itself. This intrusion of hostile energy, raising the possibility of loss, is what will make affirmations worthwhile" (1998, 252).

In fact, all of these abstract ideas can be related to many of Beethoven's intellectual and temperamental attributes, but what can be understood as probably one of the most important aspects of his music is the attribute of dynamic. Paul Bekker affirmed that "the dynamic quality of his appreciation of music must be acknowledged as the distinguishing mark of his musicianship" (1963, 92). Thus, this unique characteristic would play a very important role in many aspects of Beethoven's music and his orchestra, as it would be used as his "unconscious guide" which determined his use of instruments and the development of his ideas and musical form. When Bekker stated that "dynamics are a manifestation of emotion," he was confirming that, through the dynamics, Beethoven was able to break into the rational structure of "Haydn's musical form, the individual tendency of Mozart's" (1963, 93). The eruption of the new and revolutionary ideal of his time, which took place in all fields of human activity, can be directly related to his manifestation of feeling and emotions. The ideas of humanity, liberty, equality and fraternity, from the French Revolution, were well received by Beethoven, who could not find a way to realize them in a musical standard that was perfectly clear and objective, as a result of the preceding theories of reason and individualism. For the unbalanced emotions and ungoverned instincts, Beethoven required alternate ways of expression in music, as the "irregular rise and fall of line, calling forth no rational concreteness of form but a more indefinite, flowing motion, and aiming not at well-defined objectivity but at
continual awareness of the incessant fluctuation of emotional excitation" (Bekker 1963, 93).

The element of dynamics in music was developed by Beethoven in its uppermost extent, as he certainly understood it as the best possible medium to achieve his own principles in music. Bekker makes a well defined statement, when he says that, from this point of view, Beethoven:

opened the 19th century as the first of what we call the romantic composers. But his dynamic romanticism was always governed and directed by the great inheritance of the 18th century, by the rationality of Haydn's classicism, the individualism of Mozart's. When the unchecked dynamic element threatened to burst all dikes, reason and rational individualism would recognize the limits and by their subduing powers prevent an overflowing of the banks. This self-control characterized Beethoven's particular importance and greatness. His belonging to the 18th century was confirmed by the fact that, though a dynamic nature and filled with dynamics instincts, he always respected the limits of rational perception. Thus he succeeded in creating a balance between reason and feeling, between form and dynamics. Thus, too, he became the last classicist and the first romanticist, summarizing the activities of the preceding age and transposing them into the new age, dominating both periods as a superior creator who increased the forces of the past by drawing on the still unreleased powers of the future. (1963, 94)

Purely instrumental music became, as an inevitable consequence, one of his main fields of work, due to its untainted abstract characteristic; indeed, it was the most appropriate vehicle to convey Beethoven's spirit and creative genius. As stated by Carl Dahlhaus, "The highest form of aesthetic appreciation, the capacity to grasp the autonomous ideas and qualities of instrumental music required 'pure' musical thinking; with Beethoven it acquired a second and equally integral meaning, as the medium through which humanistic ideals that transcended the individual, the subjective, and the purely musical could be communicated" (in Botstein 2000, 167-168).
Beethoven composed with a new ideal of space and public; the range he wanted to reach with his symphonies was much farther than the small halls of the aristocracy. His goal was to reach a wider public, representing humankind as listeners who were unchained from the past, inspired by the new revolutionary ideas brought by the French Revolution. With his symphonies, Beethoven broke with the old traditions of symphonic writing, mostly directed to a specific and restricted public, in favor of reach beyond and "forge solidarity within a wider audience" (Botstein 2000, 165). As Leon Botstein describes, Beethoven "did not strive to emulate beauty in music in a manner readily appreciated by a public convinced of its refined sensibilities" (2000, 165). Botstein explains that, according to Bekker's view, Beethoven "departed from a reliance on Mozartian melodies as thematic subjects in the symphony and showed a marked preference for easily grasped and riveting motivic gestures" (in Botstein 2000, 165). From his orchestra was demanded such magnitude and depth that it became one of the primary sources of communication to humankind. Robert Schumann once observed that Beethoven:

attacked the public at the very moment it seemed most comfortable and relaxed, ready to return to a more limited and purely aesthetic experience; using the orchestra, he hit listeners over the head with a stone - or at least threw one at them - a characteristic later identified with Mahler's modernist tendencies and his subversion of audience complacency and aestheticism. (Botstein 2000, 167)

As a way to understand the philosophical and aesthetical aspects of Beethoven's symphonies, it is essential that one comprehends how he actually changed the elements of the orchestra in order to achieve his new compositional approach. It is obvious that Beethoven had an absolutely incredible imagination and creative power; he probably
heard in his imagination, for example, the sounds of the violins in high registers, as also a variety of extreme ranges of coloration and texture.

The creation of sounds coming from the entire orchestra, the roles given to solo wind instruments, the varied demands made on the different constituents of the orchestra, and the mode of integration and combination of the elements of the orchestra were part and parcel of Beethoven's originality and novelty - particularly his role for the Romantic movement as the champion of the inner subjectivity. (Botstein 2000, 171)

At this point, it is necessary to understand the reasons why Beethoven's orchestral music sounds so distinctive from his predecessors and contemporaries. The next chapter will present a concise and illustrated analyses of each of Beethoven's symphonies, as a tool to identify the main transformations that affected the orchestra during his time.
Chapter 4

Analysis of the Nine Symphonies

It is remarkable how Beethoven uses his orchestra with such variety and extreme range of color, texture, and sound, by means of basically the same forces used by Haydn and Mozart, in terms of instrumentation. Only some of his symphonies employ more instruments than can be found in Haydn and Mozart. Thus, why do his symphonies sound so distinctive and radically different from those of his predecessors and contemporaries? Each of Beethoven's symphonies is a unique and individual piece of music; we should look to each of them in a very particular way, in order to understand the concepts behind their construction as an "organic" form. The goal of this chapter is to understand, through a concise analysis, how each of Beethoven's symphonies contributed to the transformation of the genre of the symphony and, consequently, that of the orchestra.
It was not until 1800 that Beethoven endeavored to complete his first symphony, twelve years after Mozart's Jupiter Symphony. Of all of the nine symphonies, the First is the most conservative and closely related to the symphonies of Mozart and Haydn, though it cannot be taken as a "timid or imitative work." Lockwood affirms that, "As he [Beethoven] prepared to give the public a first taste of his prowess as a symphonic composer, Beethoven played it safe rather than provoke his audience" (2003, 148). Solomon, regarding the same idea, states that "in light of the risks involved, as well as the newness of the task, it was natural that Beethoven's Symphony No. 1 in C, op. 21, scored for the standard orchestra of Haydn and Mozart with added clarinets, should lean heavily on the traditional inheritance" (1998, 136-137). He also mentions a quote by Tovey, "who calls it Beethoven's 'fitting farewell to the eighteenth century' " (1998, 137). Solomon's quote refers to "added clarinets," which is in fact the first important aspect of change in the First Symphony. The complete list of instrumentation is as follows:

| 2 Flutes       | 2 Trumpets          |
| 2 Oboes        | Violins, 1st and 2nd|
| 2 Clarinets    | Violas              |
| 2 Bassoons     | Cellos, Basses      |
| 2 Horns        | Timpani (in C, G)   |
Compared to Mozart's *Jupiter* Symphony No. 41, it also contains an extra flute besides the two clarinets. The use of a pair of clarinets in a symphony would remain a rule for all his other symphonies, becoming one of Beethoven's own symphonic characteristics. The expansion of the woodwinds by Beethoven set the standard of having them organized in pairs, an idea that would be followed through most of the nineteenth century.

Although this symphony is usually thought as an "imitative" work, still bound to the roots of the classical style of Haydn and Mozart, it is remarkable how easily Beethoven handles the orchestra, considering this is one of his first large orchestral works. In his critiques of Beethoven's symphonies, Hector Berlioz concurs with the idea of a symphony that still does not contain Beethoven's very essence.

This work, by its form, its melodic style, its sobriety of harmony, and its instrumentation, is altogether distinct from Beethoven's succeeding compositions. It seems evident the composer wrote it under the influence of Mozart whose ideas he sometimes enlarges, and everywhere imitates with ingenuity. Only in the first and second movements, however, one observes here and there, some of the rhythms used by the author of *Don Giovanni*; this is clear even if it occurs rarely and somewhat inconspicuously... Certainly it is music admirably framed: clear, vivacious, although only slightly accentuated; cold, and sometimes even mean - as in the final rondo - truly musical childishness; in a word: Beethoven is not here. Let us find him. (Berlioz and De Sola 1975, 13-14)

Even considering the conservative characteristics of Beethoven's First Symphony, it is important to observe some of its main features. The work opens with a short Introduction (*Adagio molto*), as we can also note in his Second, Fourth and Seventh symphonies. However, this one is only twelve bars in length, serving only as a prologue to the work. This aspect is not innovative by itself; Haydn composed many symphonies containing short introductions. Nevertheless, the intriguing point of this introduction is...
the harmonic progression, a step audacious enough to "justify the unfavorable reception
with which it was met by such established critics of the day as Preindl, the Abbé Stadler,
and Dionys Weber" (Grove 1962, 4). As a composition written in the key of C major, its
first chord is a C major one but with a minor seventh added, which transforms it into a
dominant-seventh chord of F major (Figure 1).

Figure 1. Beethoven: First Symphony, Mvt. I, mm. 1-6
In the second measure, G major appears as the dominant of C, but it does not resolve in the key of the tonic; instead, it goes into a deceptive cadence to the chord of the relative minor (A minor). In the third measure, we have the dominant of G (D major), which resolves in the proper G major; surely a progression surprising enough for the ears of that time. Here, Beethoven was taking his first steps on the transformation of harmonic progressions; a step shown right in the first measures of the first of his great symphonies which would change music forever!

In the second movement, an important passage foreshadows Beethoven's remarkable individual use of the drums, as it is shown in Figure 2.

Figure 2. Beethoven: First Symphony, Mvt. II, mm. 47-56
This passage illustrates an independent solo part by the drum, first appearing on
G, next on C, exactly before the recapitulation, and again on C, later on in this movement.
The innovation which one can observe in this passage is the use of the drums tuned in a
different key from the key of the movement (F major, in this case). Rather it is tuned in
the key of the dominant, C, which requires C and G, as demonstrated above. The same
novelty can be seen in the Andante of his Fourth Symphony, as also in other works such
as the Fifth Piano Concerto and the Violin Concerto op. 61.

Definitely, the most original section of this entire work is the third movement, the
Minuet and Trio. With its tempo marked Allegro molto e vivace, "it is a long, brilliant,
ambitious movement with a far-reaching modulatory scheme in its second section and a
fullness of realization that eludes the other movements. No other composer of the time
could have written even a phrase of the Menuetto, which leaps out of the symphony as its
most memorable movement" (Lockwood 2003, 148). Although Beethoven entitles it
Minuet, he "forsook the spirit of the minuet of his predecessors, increased its speed, broke
through its formal and antiquated mould, and out of a mere dance-tune produced a
Scherzo, which may need increased dimensions, but needs no increase of style or spirit,
to become the equal of those great movements which form such remarkable features in
his later Symphonies" (Grove 1962, 10). As Lockwood also stated, this Menuetto is
"really the first Beethoven symphonic scherzo" (2003, 148). It carries the spirit of a
Scherzo, but in the body of a Menuetto. Later on during his life, the replacement of the
Minuet by the Scherzo became one of Beethoven's particular characteristics in the
symphony, as we will observe further in this research.
The first sketches of Beethoven's Second Symphony date from the year 1800, and he continued to work on it probably until its premiere, in April of 1803. One year later, in 1804, the work was published. What becomes interesting about these dates is the fact that Beethoven often took the publication of a symphony as an impulse to start working on the next one. He was certainly already working on his Second Symphony when the First was published, in 1801; then, when his Second was published, he was composing the Third. That denotes the beginning of a period of intense creativity, as observed before in this treatise, when Beethoven was composing multiple works simultaneously. Moreover, this period coincides with the great crisis in his life: during the summer of 1802, Beethoven lived for several months at his favorite resort of Heiligenstadt, where he wrote the famous and despairing aforementioned Testament to his brothers. However, those desperate and tragic feelings found in the Heiligenstadt Testament cannot be identified in the Second Symphony. As Sir George Grove wrote, "there is not a single desponding bar in the whole work; it breathes throughout the spirit of absolute confidence and content; not the brilliant exhilaration which distinguishes the Fourth [and] the Nine, or the mighty exuberant fun of the Seventh and Eighth, but the gaiety and satisfaction of a mind thoroughly capable and content with itself" (1962, 19). It feels like Beethoven is escaping from his dark thoughts of suicide and despair through the act of composing, the spirit of music bringing comfort to his heart, making him forget about all the problems that were
surrounding him during that period. Berlioz states that, in Beethoven's Second Symphony, "all is noble, energetic, stately, and audacious" (Berlioz and De Sola 1975, 15).

Compared with the First Symphony, the Second is a great advance in many aspects. This advance is more related to its dimensions and style rather than to the occurrence of really new ideas. When looking at the aspect of its length, the Second is much longer than the First: the Introduction, with thirty-three bars, surpasses the twelve bars of the First's, and the Allegro con brio counts 328 measures instead of 286; also, the second movement is one of the longest slow movements of all of Beethoven's symphonies.

The Second Symphony is definitely not a work of shyness or conservative character; it is, indeed, the critical point that lies in between the First, a symphony clearly bound to the Classical tradition, and the Third, which would take Beethoven's music to its new path. Solomon considers the Second as:

already the work of a mature master who is settling accounts - or making peace - with the existing symphonic tradition before embarking on an unprecedented musical voyage. It is a work that has both retrospective and prospective characteristics, firmly rooted in Mozart's and Haydn's last symphonies while anticipating Beethoven's later development by its dynamic contrasts, unexpected modulations, and propulsive movement, all of which are controlled by a confident and flowing classicism. (1998, 137)

Likewise, Grove states that the Symphony is "the culminating point of the old, pre-Revolution world, the world of Haydn and Mozart" (1962, 24) and "the farthest point to which Beethoven could go before he burst into that wonderful new region into which
no man had before penetrated, of which no man had even dreamed, but which is now one of our dearest possessions, and will always be known by his immortal name" (1962, 24).

The first movement, in terms of dynamic action and expression of ideas, surpasses the First Symphony in every aspect. Its slow introduction represents the most aggressive progression in harmonic level, and it "glows with touches of orchestral color he had never tried before" (Lockwood 2003, 158). Then, the first theme in the Allegro exposition is presented by the lower strings, but only partially, instead of a complete melody in the upper register, as expected. That creates the possibility of a large development of its motivic units, resulting in a style of musical construction quite different from what it was used to have. If Berlioz affirmed that "Beethoven is not here," when referring to his First Symphony, then he would probably have thought that Beethoven's presence finally makes its appearance, in the Second.

The slow movement is probably one of the greatest moments of this symphony. Regarding its character, it is worth mentioning what Berlioz thought about it:

It is not composed of a subject worked out in canonic imitations, but is a pure and frank song at first sung simply by the strings, and then embroidered with rare elegance by means of light and fluent touches whose character is never far removed from the sentiment of tenderness forming the distinctive character of the principal idea. It is a ravishing picture of innocent happiness barely clouded by a few melancholy accents occurring at rare intervals. (Berlioz and De Sola 1975, 15)

Besides the considerable increase in length, the way that Beethoven orchestrates this movement is particularly singular, probably unlike anything he had never written up to this moment of his life. Lockwood states that the opening theme, "in its pure sonorities of strings all in middle and high register, and its repetition with clarinets, bassoons, and
horns, all piano, anticipates the Romantic orchestral effects of Schubert and Mendelssohn" (2003, 158). Written in the key of A, the dominant of the original key, it is in sonata form, with its principal theme presented by the strings and then repeated by the winds, as illustrated by Figure 3. At this point, Beethoven already shows his special treatment for the woodwind section, and in this particular example for the clarinets, having now a more significant role.

Regarding the third movement, what is important to mention here is the constant fluctuation of dynamics (soft and loud), as also the accents and *staccatos*, in order to create the character of this *Scherzo*, as Beethoven now clearly states, instead of a *Menuetto*. One may find *p, f, pp, ff* markings all over the movement, and not only sudden changes of dynamics, but also changes of texture. First we have the full orchestra, then a single violin, then two horns, then two violins, then the full orchestra again, all in a very short space of time; and in the end, a variety of unexpected changes of key. Naturally, those changes were abrupt for the ears of his time, but because Beethoven was set free from social rules and restrictions, as Haydn and Mozart were surely bound to, he could be much more open to his innovative genius.

The *Finale*, in terms of energy, fire, and power surpasses everything ever written for a last movement of a symphony. It starts with a "wild and powerful figure on the dominant that stops with an abrupt accented two-note motif on the downbeat, then touches off a rapid continuation that ends again with the same two-note whiplash figure" (Lockwood 2003, 159). Afterwards, Beethoven carries on this high tension throughout the entire movement, to finally culminate on its highest climax in the end.
Figure 3. Beethoven: Second Symphony, Mvt. II, mm. 1-23
Summarizing, the Second Symphony clearly shows Beethoven's strong individuality (of course in a lower degree than we would find in his later symphonies), which caused him to expand music in all its aspects, reaching a level that was never imagined before. Lockwood states that:

The symphony crosses new boundaries, moving into a range of dramatic expression in which the strongest possible contrasts occur in unexpected immediacy - movement to movement, section to section, idea to idea. Breaks in texture, breaks in continuity, powerful motoric rhythms that suddenly stop - these erupt before the listener's ear with a violence that had never been heard in symphonic writing up to this time. No wonder the critics found it bizarre - it was too much for traditional ears accustomed to gentler, more gradual contrasts. This symphony signaled that from now on in Beethoven's orchestral works power and lyricism in extreme forms were to be unleashed as never before, that the stark dramatization of musical ideas was to be fundamental to the discourse, and that contemporaries, ready or not, would have to reshape their expectations to keep up with him. (2003, 159)

It is important to remember that all these changes were made by Beethoven using basically the same orchestra as Mozart and Haydn did. His innovations up to now were mostly related to the orchestration and the treatment of each instruments and groups of instruments, all guided by a new conception of dynamics in music. In his First Symphony, Beethoven said farewell to the eighteenth century; in his Second, he prepared the ground to embark on a new journey that would start with his Third Symphony.
Symphony No. 3 in E-flat major "Eroica," Op. 55

I - Allegro con brio (E-flat major)
II - Marcia Funebre: Adagio Assai (C minor)
III - Scherzo: Allegro Vivace (E-flat major)
IV - Finale: Allegro Molto (E-flat major)

According to Carl Czerny, around 1802, Beethoven said to one of his friends, "I am only a little satisfied with my previous works. From today on I will take a new path" (Czerny, in Solomon 1998, 141). It is remarkable and impressive the way that Beethoven was so conscious of his intentions: he knew that his music was about to take a new road, and through the Third Symphony he changed his style in a very distinct and definite way. As observed by Lockwood, "in the years from 1798 to 1802 Beethoven transformed his style; in the next four he transformed music" (2003, 202). From the First to the Second Symphony, as explained before, one can notice a clear intention of change and revolution by Beethoven, but still very timid for such an inventive great master. It was only with the Third Symphony that Beethoven opened the doors for what can be considered the most prolific and revolutionary of his three periods. It is no coincidence the second period is called heroic, hence his Third Symphony, *Eroica*, clearly marks the beginning of a new phase. Beethoven's second period shows its extraordinary productivity as it encompasses the Third through the Eighth Symphonies, the Fourth and Fifth Piano Concertos, the Violin Concerto, among other significant compositions such as his opera *Fidelio*, the *Mass* in C, and the Piano Sonatas *Waldstein* op. 53, *Appassionata* op. 57, and *Lebewohl* op. 81a. During this period, he also composed his famous *Razumovsky* Quartets and important keyboard chamber music, such as the "Archduke" Piano Trio, op. 97. The *Eroica* Symphony was completed and first performed in 1804, but only privately at the
Prince Lobkowitz's palace; the first public performance was arranged in 1805, and the publication of the orchestral parts dates from 1806.

Beethoven was for music what Napoleon was for the war; both launched major achievements one after the other, and with that, Beethoven marked his place as the leading composer of his time. Lockwood maintains that what Beethoven achieved in this particular period "overwhelmed the musical world and established a new standard of emotional and intellectual completeness that has never been lost" (2003, 203). He made his earlier compositions look similar to a "genial apprenticeship," as stated by Lockwood, while Mozart and Haydn became "classics" (2003, 203).

In the previous chapter of this research, it was presented that the concept of heroic music answering to the turbulent historical moment of the time was fully achieved by Beethoven; he took music beyond the pleasures of Viennese classicism. Solomon states that Beethoven "placed the tragic experience at the core of his heroic style" (1998, 252). That is what became initially a unique characteristic of the *Eroica* and its successors. However, Beethoven's heroic music is far from being only a pure representation of tragedy, death, and terror; instead, it is much closer to the idea of triumph, joy, and transcendence. Schiller once wrote that "The first law of the tragic art was to represent the suffering nature. The second law is to represent the resistance of morality to suffering" (Schiller, in Solomon 1998, 253). Beethoven's heroism symbolizes the struggle of mankind against suffering and the afflictions of life, and their capacity to resist and surpass them. In the *Eroica* symphony, the authentic spirit of Beethoven is unleashed, marking a moment in his musical life of unprecedented ambition.
Beethoven and Napoleon

One of the most interesting points in this symphony is the fact that it was published with a title. Up to that moment in Beethoven's music, that only happened once, with his "Pathetique" Sonata, op. 13. More interesting than the title itself is the story that lies behind it. According to the account of Beethoven's pupil and friend Ferdinand Ries:

In this symphony Beethoven had Buonaparte in mind, but as he was when he was First Consul. Beethoven esteemed him greatly at the time and likened him to the greatest Roman consuls. I as well as several of his more intimate friends saw a copy of the score lying upon his table with the word "Buonaparte" at the extreme top of the title page, and at the extreme bottom "Luigi van Beethoven," but not another word. Whether and with what the space between was to be filled out, I do not know. I was the first to bring him the intelligence that Buonaparte had proclaimed himself emperor, whereupon he flew into a rage and cried out: "Is he then, too, nothing more than an ordinary human being? Now he, too, will trample on all the rights of man and indulge only his ambition. He will exalt himself above all others, become a tyrant!" Beethoven went to the table, took hold of the title page by the top, tore it in two, and threw it on the floor. The first page was rewritten and only then did the symphony receive the title *Sinfonia eroica.* (Solomon 1998, 173)

Solomon elucidates that it is necessary to take these words with care, since Ries was wrong when he said that the symphony received the *Eroica* title right away, after Beethoven had heard the news about Napoleon proclaiming himself emperor. In fact, this title was not used before 1806 (1998, 174). Nevertheless, the purpose of quoting this statement is not to go into particular detail; instead, the point here is just to give us a general idea of why the Third Symphony is frequently related to Napoleon Bonaparte.

From Ferdinand Ries' words, one can understand that Napoleon was firstly seen as having all the traits that qualified him as a great leader who could defeat any obstacle. Grove asserts that Napoleon was "the symbol and embodiment of the new world of
freedom and hope which the Revolution had held forth to mankind" (1962, 52). Since Beethoven held in high esteem the revolutionary ideal, clearly being influenced by it, it was natural that the figure of Napoleon would be very respected by him. Ultimately, Beethoven became extremely frustrated with Napoleon's attitude of taking power for himself, and admiration turned into hatred, causing him to decide to retract his dedication to Napoleon. Beethoven would never speak of him anymore, until Napoleon's death, in 1821, when he said: "I have already composed the proper music for that catastrophe" (Grove 1962, 54), meaning the second movement of the *Eroica* (which is a Funeral March) or, perhaps, the entire work itself.

At the same time that Beethoven was committed to dedicating the Third Symphony to Bonaparte, Prince Lobkowitz acquired the rights to it in exchange for a good amount of money; for that reason, Beethoven decided to title it *Bonaparte*, so he could dedicate it to Lobkowitz. That was when Ries, in 1804, arrived with the news of Napoleon crowning himself emperor, and in the end he "was to receive neither the dedication to nor the inscription of the *Eroica* Symphony" (Solomon 1998, 175). After all, the title of the symphony became "*Sinfonia Eroica, composta per festeggiare il sovvenire di un grand' Uomo*" (Heroic Symphony, composed to celebrate the memory of a great man).

*Innovative Features*

With the *Eroica*, Beethoven greatly increased the symphonic proportions to an extent that had never been reached before. The first movement alone was the length of a whole Haydn's early symphony, with its almost seven hundred measures. The
development, with its two hundred and fifty measures, greatly surpasses the exposition in terms of length, becoming the "central battleground on which the harmonic and thematic issues will be fought on" (Solomon 1998, 253). The recapitulation is presented after a prolonged transitional section, creating the feeling of extreme tension and suspension, followed by a coda of unprecedented proportions. Beethoven was so conscious of his audacious expansion, that on its first edition, we can find the composer's warning written on the title page, as follows: "This symphony having been written to be longer than usual, it should be performed closer to the beginning than near the end of a concert, because, if it is heard too late, after an overture, an aria, and a concerto, it may lose for audiences something of its own proper effect" (Grove 1962, 57). Not only the first movement is unusually long - each of the *Eroica's* movement had been written on a vast scale, "producing the impression that four monumental pillars create the whole" (Lockwood 2003, 206). Regarding the orchestration, here we have, for the first time in the history of the orchestra, the employment of a third horn.

Besides its monumental length, many other innovative aspects figure in the composition of the *Eroica*. Perhaps one of the most significant features is the unity of musical ideas with an intense thematic condensation. Solomon makes an apt comparison when he states that:

> Early Classical melodies, often based on dance rhythms and forms and generally organized around regular eight-measure periods, were typically symmetrical and balanced, suitable for orderly elaboration, ornamentation, development, and restatement. The thematic materials of the late Classical style were increasingly instilled with a new turbulence and asymmetry through the use of a number of contrasting motifs within a more complex periodic structure. (1998, 254)
Beethoven, in the first movement of the *Eroica*, works with greatly compressed motivic units. These motifs are usually simple and not of great importance by themselves, but when placed together in the course of the music they become the source of an infinite possibility of expansion and development; and Beethoven does that with virtually absolute perfection. Very often we have difficulties when trying to identify the main theme in Beethoven's music, and one of these occasions happens right here in the first movement of the *Eroica*.

*First Movement*

The first movement starts with two great staccato chords in the key of E-flat, using the entire orchestra (Figure 4), in which "all the force of the entire piece seems to be concentrated" (Grove 1962, 57). Solomon also discusses on those two chords in a similar way, when he says that "it is even possible that here Beethoven consciously attempted to 'write without themes', to exploit the energy locked within the basic harmonic unit, the chord" (1998, 254). In fact, one can identify many aspects of the entire movement by just listening to these first two chords, for instance, the key, the tempo, the orchestration, the character, and finally, in a wider approach, the main theme itself, concentrated inside the chord, ready to be expanded, as it actually happens right after the explosion of these chords. Then, the main theme is presented by the cellos alone, and this is already something that was unusual for its time. Beethoven begins to give more importance to the lower sounds of the orchestra, giving them the role of presenting the theme, a role that had been given formerly only to the high strings, primarily the first violins. The first four measures of the theme are constructed purely on the notes of the
tonic chord, and it is suddenly interrupted by the dissonant C-sharp in measure seven, acting as a "fulcrum compelling a departure from the tonic chord, thus creating a dynamic disequilibrium that provides the driving impetus of the movement, an impetus that continues almost unbroken until the restatement of the tonic chord in the final cadence" (Solomon 1998, 254). The incompletion of the main theme reveals a character of great tension and concentrated energy, resulting in music that struggles for its own existence,
running and opening the paths as it can, sometimes through unpredictable and unusual ways, like the river when it goes down the mountain: the only certainty is the final goal, the ocean, but the means are impossible to predict.

The second theme is presented as divided into two sections: the first is a succession of three notes, played by alternating instruments in the wind section, very flowing and in complete contrast with the first theme. Then a lively passage comes out as a connection to the second section in B-flat, which is a passage of "singular beauty - more harmony than melody" (Grove 1962, 61), played by the winds, as if now the notes of the first half of the present theme are condensed into chords.

Beethoven's innovative procedure of developing a whole movement, and even an entire work, from a single rhythmic motif, is strongly introduced in the Third. When he presents the themes in the exposition, Beethoven is actually emplacing the resources from which he will be constantly drawing, using them as raw material to construct all the other themes and motives throughout the movement. The result, as Lockwood observed, is a "chain of subtly related ideas, giving this long work a unity that could not have been achieved by traditional means. In a larger sense, he has also greatly increased the developmental potential of the symphonic sonata form" (2002, 206).

Another important aspect of the first movement is the wide harmonic range, especially in the development section, which includes a new theme, appearing first in E minor and then in E-flat minor, on the way to the long dominant preparation which leads to the recapitulation. At this particular moment, a prolonged section in the dominant creates extreme tension preceding the long awaited return to the tonic: the strings, still playing the dominant seventh chord, are suddenly surprised by the second horn, which
comes with the first theme in the tonic (Figure 5). The feeling is that the horn entered in the wrong spot, but here what Beethoven wanted to show was actually a brief "touch of the tonic into the prevailing dominant, seemingly breaking the tension but actually prolonging it, as if the hornist must break out of the dominant because the suspense is too great" (Lockwood 2003, 207).

Figure 5. Beethoven: Third Symphony, Mvt. I, mm. 384-399

Finally, the recapitulation comes, followed by the Coda, which is not a simple termination of the movement, but a crucial part of the whole. According to Grove, the Coda is "so magnificently fresh and original as almost to throw all that has gone before it into the shade" (1962, 68). It presents not only new materials and themes, arranged from
the content previously presented in the movement, but also a daring style of harmonic progression of an unparalleled level.

Second, Third and Fourth Movements

The second movement, a slow and lengthy funeral march, is written in the relative key of C minor in a very serious and dramatic way. It presents the tragic side of the heroic, as an illustration of the hero's own death. A very important innovation here is the fact that this movement carries the title of *Marcia Funebre*; evidently, Beethoven really wanted to make clear what he had in mind when he composed this music. It begins with a grim and sad melody in the strings (see Figure 6), later repeated by the oboe, with a strongly rhythmic motif played by the strings, as if he was trying to represent "a slow processional march for a fallen hero being taken to his grave" (Lockwood 2003, 209). For Hector Berlioz, the Funeral March "is a drama in itself" (Berlioz and De Sola 1975, 18). The level of seriousness and tragedy presented here is probably something that had never been conceived in music before; it may also be considered as an anticipation of the romantic ideal of death as something tragic and inevitable.

The third movement is a *Scherzo*, where the original key of the work, E-flat, is restored in a very playful and light atmosphere as a relief from the previous tragic movement. Grove states that, in the *Scherzo*, "the tragedy and comedy of life are so startlingly combined" (1962, 78), a characteristic found in most of Beethoven's music, as something not only purely tragic, but also carrying moments of release and even humorous spirit.
Figure 6. Beethoven: Third Symphony, Mvt. II "Marcia Funebre," mm. 1-11
The Finale consists basically of a simple fugato theme, an attribute that is very present in Beethoven's music. It represents the climax of this monumental work, and the hero is once again portrayed in a glorious and magnificent way. As pointed out by Berlioz, a very interesting feature of the Finale is the use of specific instrumentation in order to achieve different levels of coloration in sound. He states that:

One very curious instrumental passage occurs at the outset, revealing to what effect the various timbres contribute in opposition. It is the B-flat taken up by the violins; repeated by the flutes and oboes as an echo. Although this repercussion takes place on the same note of the scale, at the same movement, and with equal force, such a great difference results from this dialog that the distinguishing nuance of the instruments might be compared to that nuance between blue and violet. Such refinements of tone were entirely unknown before Beethoven; we owe them to him alone. (Berlioz and De Sola 1975, 19)

The Eroica Symphony, as a whole, encompasses not only Beethoven's concept of heroism, but more than that, the full range of human experience - birth, struggle, death, resurrection - expressed through a synthesis of the tragic and comic sides of life (Solomon 1998, 253).

Symphony No. 4 in B-flat major, Op. 60

I - Adagio: Allegro vivace (B-flat major)
II - Adagio (E-flat major)
III - Menuetto: Allegro vivace; Trio: Un poco meno Allegro (B-flat major)
IV - Allegro ma non troppo (B-flat major)

Among the many observations we can make about the Fourth Symphony, perhaps one of the most intriguing is the fact that it is, possibly, the least performed, least studied, and least critiqued of all Beethoven's nine symphonies. Like the Eighth, it lies under the
shadow of two monumental works: the Fourth, composed in 1806, is in between the revolutionary *Eroica* and the glorious C minor Symphony; the Eighth, in between the great Seventh and the colossal *Choral* Symphony. However, one can never believe that the Fourth Symphony is a regression, especially when compared to its predecessor. Since Beethoven achieved a pinnacle in terms of innovation and dimension with the Third, it was inevitable that the Fourth became directly compared to it, as an expectation that the composer would try to match it or even surpass it in its grandeur. In fact, Beethoven did exactly the opposite: he decided to reduce length and density, and the result was a symphony with all its movements in a smaller scale, in contrast to the Third. Regarding the instrumentation, the Fourth presents a returning to the orchestration of late Mozart and Haydn, having just one flute, with the other winds in pairs as usual, and two horns, instead of three as in the *Eroica*. Knowing Beethoven as we do today, in retrospect one must admit that he would never do something without a purpose, and certainly he was trying to achieve a particular goal when he conceived the Fourth with all its "reduced" traits. Grove suggested that "perhaps Beethoven's instinct showed him that it would be an artistic mistake to follow so very serious a Symphony as the *Eroica* by one equally earnest and profound" (1962, 98). Another possibility, as Lockwood suggested, is that:

His decision to return to a smaller scale, to reduce length and density but also to invest a smaller framework with subtlety, action, and lyricism, showed that, paradoxically, he was aiming to broaden his new symphonic framework still further by showing that the epic, heroic model was only one of a number of potential aesthetic alternatives. The Fourth showed that less could be as much, perhaps more. (2003, 214)

Either way, we should never admit the idea that the Fourth is less inventive or individual when compared to the Third. The mood is different, lighter and less deep than
the *Eroica*, but there is no retrogression in style. It can represent Beethoven's life, as "one continual progress in feeling, knowledge, and power; and in time everyone will acknowledge, what those competent to judge have already decided, that the later the work, the more characteristic of the man" (Grove 1962, 100).

The Fourth Symphony shows the lighter side of Beethoven, with its grace and energy; similarly, we can find this particular characteristic of Beethoven's spirit in his Second Symphony, and later, in the Sixth and Eighth. Here we can notice the interesting fact that all Beethoven's even-numbered symphonies, coincidently (or not) transmit the less tragic and more pastoral or charming quality of Beethoven's personality. Furthermore, that is not the only characteristic that separates Beethoven's symphonies in two groups of odd and even numbers. This second aspect, which is a key feature of the Fourth, is the fact that, when compared to the Third, it shows an absolute avoidance of fugal passages, as a way to allow the work to move forward into a less restrictive development of musical ideas. Again, the same absence of fugal writing characterizes each of the even-numbered symphonies. "The aesthetic dualism of the even- and odd-numbered symphonies starts here" (Lockwood 2003, 215).

The first movement opens with an Introduction, *Adagio*, thirty-eight bars long, representing a complete contrast with the *Allegro* section that follows. It contains a very deep and meditative character, maybe even shadowy, with the strings playing *pianissimo* and a sustained note, also *pianissimo*, in the winds. Following that, a mysterious melody given by the first violins is answered by a bassoon solo (Figure 7). Joseph Haydn, in his Symphony No. 102, also in B-flat, presented a long *Largo* introduction, preceding the *Allegro*, and perhaps Beethoven had that in mind when he composed his Fourth
Symphony. Both symphonies begin with a unison in B-flat, but what follows through in each of them differs considerably, regarding the aspects of harmony, orchestration, and character. Here, Beethoven shows us the important role which the wind section takes in this symphony, as a fundamental component in the color of his sound.

Figure 7. Beethoven: Fourth Symphony, Mvt. I, mm. 1-8
As already mentioned, the bassoon solo in the very beginning of the Introduction gives us an idea of the more significant function that this instrument will play throughout the Fourth. As an example, a few measures after the beginning of the *Allegro vivace* section, in the first movement, the bassoon plays a fast succession of quarter notes in *staccato* style and, in terms of level of hearing, remains above all the other instruments. Then, shortly after, we can find a conversation between the bassoon, oboe and flute (Figure 8), and later again, a canon of the clarinet and bassoon (Figure 9). In the *Finale*, the bassoon once again emerges in its glory, playing a virtuosic passage, as illustrated in Figure 10.

Figure 8. Beethoven: Fourth Symphony, Mvt. I, mm. 106-116
In the slow movement, we can find magnificent wind writing, bringing new orchestral colors, foreshadowing Brahms and Schumann. As stated by Lockwood, "the slow movement, a sensuous slow rondo, inaugurates the Romantic type of expressive major-mode orchestral *Adagio*, replete with contrasts between sharply defined rhythmic figures of sweeping, beautiful melodic lines" (2003, 216). An example of the special treatment given to the wind instruments can be observed around measure 35 in this movement, which shows a beautiful *cantabile* melody played by the solo clarinet, accompanied by a succession of groups of two sixteenth notes by the first violins, in *pianissimo*, and the *pizzicato* played by the second violins.
Particularly in the *Adagio*, the tympani emerges as an fundamental component in the whole, and once again, Beethoven gives an individual treatment to this instrument, as he already did in his First Symphony. The movement begins with a figure containing three groups of notes in the violins (E-flat and B-flat), which is repeated later in the bassoon, then the basses, and finally in the drum. Grove called that the *drum-figure*, as the tympani may have suggested its form, given the interval of perfect fourth of which the figure is made (1962, 113). Three measures before the end, the tympani plays the "drum-figure" once again, but now as the only instrument sounding from the entire orchestra (Figure 11).
At last, the Fourth Symphony is indeed a complete contrast to both its predecessor and successor, carrying a spirit of lightness and spontaneity, instead of the serious, tragic, and heroic. Often viewed as a less inventive work, the Fourth is, from the point of view of its character, harmonic treatment, and mostly its orchestration, a work of great importance which served as a significant reference for the future generation of composers during the Romantic period of the nineteenth century.
Symphony No. 5 in C minor, Op. 67

I - Allegro con brio (C minor)
II - Andante con moto; Più moto (A-flat major)
III - Allegro (C minor)
IV - Finale: Allegro (C major)

If there is a piece of music which can be directly associated with Beethoven's name, that is the Fifth Symphony. From all the nine, the C minor Symphony remains the one which is most widely known, perhaps even among all music ever written. It was composed between the years of 1805 and 1808, being completed during the first months of that year. The first performance was given on December 22, in 1808, at Beethoven's Akademie (a benefit event at which Beethoven was responsible for making all the arrangements, in exchange for keeping the profits after expenses). The program included, besides the Fifth, the Sixth Symphony Pastoral, the concert aria Ah, Perfido, the Hymn and the Sanctus from the Mass in C major, the Piano Concerto no. 4, the Fantasia for Solo Piano, and the Choral Fantasy.

The C minor Symphony was first intended to follow the Eroica. Although Beethoven started its first sketches back in 1805, he did not work continuously on it; in 1806, the symphony was put aside, and the B-flat symphony (currently the Fourth) took its place. During that time, Beethoven started a serious relationship with one of his former students, the Countess Theresa Brunswick, marking a lovely period of his life; certainly the source of inspiration for the creation of his Fourth Symphony. Then, in 1807, the work on the C minor Symphony was resumed, until its completion in 1808. It is interesting to notice that the whole creative process of the Fifth covered the entire period of Beethoven's relationship with the Countess which, by the time of the completion of the
symphony, was passing through turbulent moments, eventually culminating in their breaking up. Grove makes a direct connection between Beethoven's engagement and the Fifth, when he states that, "considering the extraordinarily imaginative and disturbed character of the Symphony, it is impossible not to believe that the work - the first movement at any rate - is based on his relations to the Countess, and is more or less a picture of their personality and connection" (1962, 140). Whether this suggestion is valid or not, which is not the purpose of this research to discuss, it is at least very suggestive that, as we may see later on this chapter, the main themes in the first movement of the Fifth represent the two main characters of Beethoven's own relationship with the Countess.

Although Beethoven never left any kind of programmatic reference related to the Fifth, we find a report by Schindler, who claimed that one day, in his presence, Beethoven pointed to the beginning of the first movement, expressing the fundamental idea of the work through the following words: "Thus Fate knocks at the door!" (Schindler, 1996). For that reason, the four-note motive that opens the work is often referred as the fate-motive, which became one of Beethoven's "musical fingerprints" (Solomon 1998, 265).

The Fifth Symphony raised the discussion of one of the most characteristic subjects of the Romantic Period: the "sublime." E.T.A. Hoffmann, in his famous 1810 review of Beethoven's Fifth, places the sublime as of crucial importance. Following the same idea, Mark Evan Bonds, in his book Music as Thought, explains that "the essential qualities of the sublime were vastness of scope, unpredictability, and a capacity to overwhelm the senses. Unlike the beautiful (with which it was invariably contrasted), the
sublime was perceived to elicit reactions of fear and pain rather than pleasure" (2006, 45). And what is the first movement of this symphony, if not a vehicle of expression of the most deep human emotions of fear, horror, and pain? When Beethoven said that "Fate" was knocking the door, he surely meant the very characteristic of life itself, of the inevitable, where we as mere mortals have no control of fate, but instead, we hold an almost infinite power that can deal with the consequences brought by fate, ultimately surpassing all of them in triumph. For Hoffmann, Beethoven's music "evokes terror, fright, horror, and pain, and awakens that endless longing that is the essence of romanticism" (Hoffmann, in Lockwood 2003, 220), as he also states that with the Fifth Symphony, Beethoven discloses his romanticism "more than any of this other works and tears the listener irresistibly away into the wonderful spiritual realm of the infinite" (in Lockwood 2003, 220). The sublime was often related to the idea of the infinite, "whose vastness was simply too great for the mind to comprehend" (Bonds 2006, 46). The infinite, because our human mind cannot understand it, brings feelings of fear and terror, which consequently would "overwhelm the powers of reason, thereby transporting the mind to a higher state" (Bonds 2006, 46). Schiller, referring to the idea of sublime, observed, as Bonds explains, that "the ability to perceive the sublime as one of the most glorious capacities of human nature, one that could transport the individual beyond all limitations of the senses and allow us to judge according to the statutes of the spirits" (Schiller, in Bonds 2006, 47). This idea of the sublime as a means to men of reaching the Absolute, the Whole, striving for higher stages of self-consciousness, is closely related to the process of organic growth "in which an underlying coherence is revealed over time through a process of unfolding" (Bonds 2006, 55), like everything in Nature that grows
from a single seed. Thus the "organism soon became the preferred metaphor for explaining the relationship between the parts and the whole, not only in the work of art but in the very process of thought itself" (Bonds 2006, 55). The organic coherence presented in the Fifth Symphony clearly represents this idea; in fact, its aspect of seeming a "living organism" is one of the most important characteristics of the entire work. Discussing this same idea, Hoffmann, in his 1813 revision of the original review, related that:

Nothing could be simpler than the two-measure main idea of the opening Allegro. It is presented in unison at first, and the listener cannot be certain of even its key. ... How simple - it must be said again - is the theme on which the master establishes the basis of the whole, yet how wonderfully do the secondary and transitional ideas follow in their rhythmic relationship to it, unfolding more and more and in such a way as to reveal the character of the Allegro, which was only hinted at by the main theme. All the ideas are brief; almost all of them consist of only two or three measures, and yet the winds and strings constantly exchange them. One might believe that from such elements only something fragmented and incomprehensible could result. But instead, it is precisely the ordering of the whole and the constant and rapid repetition of ideas and individual chords that raise the feeling of an ineffable longing to the highest degree. (Hoffmann, in Bonds 2006, 56)

First Movement

In this regard, we should first analyze the structure of the first movement, and how the music develops itself throughout it. The opening subject is presented in the key of C minor, followed by an answer in the key of the relative E-flat major (Figure 12); here we have the previously called fate-motive. With only four notes, following the pattern short-short-short-long, this very musical idea is what we can name the "seed" of not only the entire first movement, but the whole symphony. It seems impossible to have here a more effective way of conveying an idea in such a direct and immediate manner.
The *fate-motive* is nothing more than the pure and powerful emotion in its raw condition, and all that comes after acts as a consequence of it. Given the first appearance of the motive, as just explained, Beethoven now develops the whole first section of the exposition using the motive as his primary material. Then the first subject reaches its end, followed by a horn call announcing the second subject in a sudden change of key and mood. The key is now E-flat, and the second subject is presented by the violins, "like the
sweet protest of a woman against the fury of her oppressor" (Grove 1962, 150). When stating that, Grove makes allusion to a well-known story of Beethoven involving the Countess (See Appendix), concluding that these two subjects, given their contrasting character, perfectly convey the fierce character of Beethoven himself, and that of the Countess as a delicate and devoted girl. Even when the second subject is playing, the first one still makes its presence underneath, in the voices of basses, growing to a point where it finally takes over and reassumes the control (Figure 13). The music comes back to its fiery mood, and the exposition finally ends in the key of E-flat.

Figure 13. Beethoven: Fifth Symphony, Mvt. I, mm. 65-79
The development section begins after another announcement played by the horns, and here we find something which demands attention: instead of a long development, as already observed in the Third Symphony, we have now an extremely restricted and compacted section, which gives to the work a remarkable consistency. In terms of harmonic progression, the development shows little range, with the harmony going around the keys of C minor and F minor, with a brief passage through G minor and even more briefly through G major, the dominant. This harmonic plan for the development section of remaining primarily in minor keys was never used by Beethoven before. Lockwood gives us a good scheme for the harmonic progression of the development section, which follows:

1. **Exposition**
   
   C minor - E-flat major

2. **Development**
   
   F minor - C minor - G minor - C minor - F minor - (unstable) - G major (brief) - (unstable)

3. **Recapitulation**
   
   C minor - C major - C minor

For Grove, the development section represents the return of the first theme in all its fury, giving no place for the "gentle second theme" in this "terrible display of emotion" (1962,
150). Later on, he raises the question: "Was it the Fate which at that early time he [Beethoven] saw advancing to prevent his union with his Theresa? - to prevent his union with any woman?" (1962, 151). In fact, Grove's point of view is a very typical Romantic one, and the thought here is not to open a discussion of his suggestion being valid or not, but to understand that the main idea expressed in the Fifth is the "conflict."

Finally, the recapitulation brings back the first materials presented at the beginning, however, not as a simple repetition, but including subtle changes in the instrumental treatment. At this point, we reach one of the most poetic moments of the entire work: an instance where the oboe plays a melody by itself, while the entire orchestra is silent (see Figure 14).

Figure 14. Beethoven: Fifth Symphony, Mvt. I, mm. 257-268
Beethoven treats the oboe here in a way that no other composer had ever done before. Even in those moments when true despair is taking over, Beethoven's almost meditative mood can rise for a brief instant. Notice that he marked *Adagio* for that measure only, plus a *fermata* on the beginning and the end of the oboe's phrase, giving it a character of almost freedom or improvisation. However, this brief passage of serenity cannot hold for too long, and the furiousness of the fate motive returns right away. The second theme returns again in the key of the tonic, C major, sounding even more ethereal than before; the dialogue is now between the first violins and the flute, leading to the same climax which brings back the "friendly" version of the motive. Now, instead of reaching a complete stop as before, the full orchestra moves back towards the minor keys, in an angry succession of the prime motive as an indication that it has finally won the battle against the lyrical one. The critic and commentator David Hurwitz makes an interesting analogy regarding this very moment, rendering the passage in the following dialogue:

**Orchestra (loudly enraged):** Stand back, I'm coming through!

**Horns, bassoons, and clarinets (quietly and timidly):** Are you sure?

**Orchestra (even more angrily):** Damn right. Out of my way!

**Full woodwinds, trumpets and timpani (strong):** Yes, sir!

Following that, Hurwitz explains his correlation, as we can observe in the quote below:

In other words, in just a few seconds of musical dialogue Beethoven gives the motto several distinctly different emotional colorations. Imagine a scene in which the script contained nothing but a single repeated word, but the actors had to convey a full range of meanings and still tell the story entirely through variations in vocal timbre and volume. This is one of the things that music, aided by
harmony and tone color, does particularly well, and it's a skill that Beethoven cultivates in this moment to a hitherto unimaginable degree of sophistication. (Hurwitz 2008, 67)

This example demonstrates how Beethoven treated the different instruments in the orchestra and their several combinations in such unique and inventive ways, and in doing so, made a significant contribution to the development of the orchestra.

In addition, one should not forget to mention the new theme which is presented in the Coda, making the most astonishing thematic transformation of the entire symphony (Figure 15). According to Hurwitz, this new theme (m. 423) is constructed based on the lyrical second subject's half-phrases (four notes), which finally was brought over to the "dark side," creating the very climax of the movement, which reaches the point where Beethoven brings back again the opening fate motive, but now in its full and blazing power, represented by the orchestral tutti. That explains why he chose to start the movement with only strings and clarinets - and as Hurwitz finishes his thought, "he was saving his artillery for just this point . . . . [and] after a few timid, pathetic gestures from the strings and woodwinds that serve only to confirm fate's complete dominance, the movement thunders to a close with abrupt finality" (Hurwitz 2008, 68).

Impressively, the first movement presents us with proportions of almost absolute perfection. Contrary to the idea that the Fifth is a symphony of furious expansion of irregularity and irrationality, here we find what can be called the most coherent and strictly concise symphony ever written. And that particular characteristic is what makes this movement convey its musical ideas so powerfully. Grove stated that:
Figure 15. Beethoven: Fifth Symphony, Mvt. I, mm. 415-441
It is no disobedience to laws that makes the C minor Symphony so great and unusual - no irregularity or improvisation; it is obedience to law, it is the striking and original nature of the thoughts, the direct manner in which they are expressed, and the extraordinary energy with which they are enforced and reinforced, and driven into the hearer, hot from the mind of the author, with an incandescence which is still as bright and as scorching as the day they were forged on his anvil - it is these things that make the C minor Symphony what it is and always will be. It is impossible to believe that it will ever grow old. (1962, 145)

That is so true when we look at the numbers: the exposition length is of 124 bars; the development, 123; the recapitulation, 126; and the Coda, 129. It is for such reasons that the Fifth remains as one of the most remarkable achievements in music history, which copied nothing, and will never be copied.

In the end, all of the previous explains the idea of organic music, as discussed before. With the Fifth, Beethoven inaugurates the idea of music that grows, expands, and transforms, just like an organic living creature. As Bonds affirmed, "The rhythm of the celebrated opening motif ... metamorphoses over time to generate almost every subsequent theme of significance throughout the symphony as a whole" (Bonds 2006, 56). We should stress here that Bonds mentioned "symphony as a whole"; in reality, the fate motive is not only present in the first movement, but in the entire symphony, as we will observe now in a short analyses of its other three movements.

Second Movement

The second movement, Andante con moto, is written in the key of the submediant A-flat, as a set of variations in extremely contrasting mood compared to the first movement; Lockwood, in referring to the second movement, called it a "consolation after tragedy" (2003, 222). However, despite its contrasting status, this movement carries an
element which connects it with the other movements, and that is embodied in a triumphant march that is part of the theme. Hurwitz declared that it "forms a natural antithesis to the first movement's evocation of conflict" (2008, 69), and then explaining that this idea "is represented by a theme that begins gracefully on violas and cellos, but ends as a grand procession for trumpets, horns, and timpani" (2008, 69). Thus, here we find the principal component of the Andante that confirms the idea of the organic music. Another relevant point in this movement is the rhythmic figure played by the cellos, in between the two statements of the march, which can be related to the fate motive itself, but only as a pale echo (Figure 16).

Figure 16. Beethoven: Fifth Symphony, Mvt. II, mm. 84-90
As we can see, the figure consists of six notes, instead of four, but what makes it analogous to the fate motive is the incidence of three fast notes played in the upbeat of the measure, followed by a note of greater length. In such music as Beethoven's, we shall never assume that things happen as a result of pure coincidence. Moreover, this rhythmic figure related to the fate motive appears right after the end of the triumphal march section, when the mood has a sudden change, allowing the disturbed motive to make its appearance here but in a very timid and faint manner. As a last important observation in this movement, the way in which Beethoven develops and connects the variations reveals significant innovation in the form. Lockwood makes a comparison of this movement with the *Eroica*'s fourth movement, observing that:

As a whole, the slow movement picks up from the finale of the *Eroica* the idea of a variations movement that transforms its more rigid classical model (theme and chain of variations, each variation a closed total unit) into a more plastic form. Beethoven's freedom of formal disposition would prove as significant for the history of the symphonic slow movement as the *Eroica* fourth movement had been for the history of the symphonic finale. (2003, 223)

**Third Movement**

The third movement, although it is marked only *Allegro*, is in principle a *Scherzo*, and here we are back again to the principal key of C minor. This is without question the most innovative of all the previous *Scherzi* composed by Beethoven so far - music that does not reveal even a shred of dance character, but conveys a frightening and intimidating character instead. Hurwitz's view of the *Scherzo* is of "the very first in a whole line of spooky scherzos that populate the Romantic repertoire, culminating in the ones in Mahler's Sixth and Seventh Symphonies" (2008, 74). It opens with a theme
played from the depths of the orchestra, by cellos and basses only, in a very light *pianissimo*, answered by the upper strings with added horns, bassoons and clarinets, revealing a very sinister character (Figure 17). But very important, as observed by Hurwitz, is the fact that this theme is certainly derived from the opening of the *Andante*, with its similar rising phrase starting from the lower strings, followed by a similar rhythm in the upper strings' answer. He later states that this idea "gives the music a 'half-remembered' quality that makes it all the more disturbing, an evil transformation of something formerly heard as benign" (Hurwitz 2008, 74). Then, we may conclude that the same thing that happened with the second subject of the first movement (in the *Coda*), as previously observed, happens here once again: what is the opening theme of the *Scherzo*, if not the transformed opening theme of the *Andante*, after giving in to the music's "dark side"?

Following the lyrical and sinister opening, we find a sudden change in character and mood and, again, in a very similar way to the previous movement, a march takes place. At this point, Beethoven consciously hides all the feeling that the music is in triple meter, as we feel it in duple meter instead, presenting a rhythmic shape of the march which takes us back to the first movement; here, the fate motive is back in a very decisive manner (see the horns' line after the *Fermata*, on Figure 17). Its presence will be noticed basically during the entire section of the *Scherzo* (but not in the *Trio*). Finally the *Scherzo* reaches its end on the note C, but no third is here, major or minor. The *Trio*, however, is presented in the major key, and introduces one of the most audacious and challenging passages for orchestral cellos and basses. Beethoven starts building the layers of sound from the bottom, with cellos and basses playing an unprecedented role up to this point in
Figure 17. Beethoven: Fifth Symphony, Mvt. III, mm. 1-26
the history of music. A fugal passage takes place after the burst of the basses, with violas and bassoons answering first, followed by the second violins and finally the first violins (Figure 18).

In the repetition of the Scherzo, however, Beethoven applies a huge difference in the treatment. In fact, there is no repetition in the strict term, as expected, but instead another variation, much lighter in character, as if the music were trying to whisper its statement in a very low voice. All is quiet now, and the fate motive is back again, being repeated over and over again, alternating in the voices of bassoons, clarinets, oboes, and then in the violins. The feeling is that, even in the presence of the fate motive, the music remains calm, unaffected, as if fate's power has been weakened to a point of an almost complete lifelessness.

Finally, the music reaches the end of the varied Scherzo, and here we have one of the most astonishing moments of all of Beethoven's symphonies, if not of all symphonic music. We can feel that, at this point, music reaches its deepest darkness, with a sustained chord on the strings in pianississimo (Beethoven's softest indication of dynamics), with the timpani quietly pronouncing the fate motive which is soon dissolved into the dotted rhythm of the main themes of the Andante and Scherzo, later transformed in a simple succession of quarter notes (Figure 19). On top of that, the violins seem to be starting the Scherzo all over again, but the feeling is that "they can't seem to remember how the tune should go" (Hurwitz 2008,76). This passage can be understood as if the darkened theme of the Scherzo was desperately trying to retake its power, but in fact it is so weak that it cannot go any further than that. Musically speaking, Beethoven creates an extreme level
Figure 18. Beethoven: Fifth Symphony, Mvt. III, mm. 132-157
Figure 19. Beethoven: Fifth Symphony, Mvt. III, mm. 318-344
of tension with this unresolved fragment of melody, sustained by a prolonged dominant chord in pianissimo. The mystery finally gets to an end, with a sudden ignition of the full orchestra into "the most exciting single crescendo in all of instrumental music" (Hurwitz 2008, 76), leading directly, with no interruption, to the magnificent burst of the entire orchestra that starts the finale. This is the precise moment in the entire symphony when perhaps Beethoven takes one of his most audacious steps: not only the full orchestra is playing now, in fortissimo sound, but in addition we have three trombones, contrabassoon and piccolo, all of which are employed for the first time in a symphony. It is interesting to observe how much larger the score has become at this point, as we can see in Figure 20. Hurwitz makes a fundamental observation about the transition between the Scherzo and the Finale, when he refers to Beethoven as "an artist whose works deal with 'big' issues." Then, he completes his statement:

No other moment in the symphony reveals more tellingly his determination to create music that goes beyond mere entertainment, and to address questions of fate, tragedy, heroism, and even spirituality. This may sound like a lot to read into a single crescendo, but as a symbol of what made Beethoven's purely instrumental music so different from that of his contemporaries and immediate successors, it's a useful perspective to adopt. (Hurwitz 2008, 77)

Also important to observe, this fiery Finale is presented in the key of C major, instead of the expected C minor, marking another important innovation in symphonic music. Indeed, Beethoven uses all of his resources to ensure that the listener feels this ultimate arrival as the crucial point of the entire symphony, "the place toward which the music has been pointing since its very first note" (Hurwitz 2008, 78).
Figure 20. Beethoven: Fifth Symphony, Mvt. IV, mm. 1-8
Fourth Movement

The first measures of the *Finale* take us back once more for the march in the *Andante* and also for the dotted rhythms; the only difference now is the reversed order of the events (march comes first, followed by a dotted-rhythm passage). It feels like Beethoven had already presented all the elements before, but not in the proper sequence to produce the feeling of unmistakable triumph. In a similar way, the relationship of the C major key also plays the same role; in each of all the previous movements we can find a passage in C major, which indicates that the triumph presented in the *Finale* was somehow already predicted before, but still timidly; here, the triumph has finally arrived in all its glory. As the *Finale* proceeds, Beethoven will keep challenging our memory with the introduction of many elements already presented before, including the "persistent" *fate-motive* itself.

Written in sonata form, the fourth movement begins presenting a first theme that can be divided in two sections; the first, as observed in Figure 20, is the triumphal march itself, and the second, a "heroic command" starting with two phrases on the horns and woodwinds (except flutes), followed by the strings that continue the sentence. The main function of this second part of the theme is to modulate to the key of the dominant, G major, in which the second theme will be presented. And this is the point where Beethoven clearly brings the fate motive back: the melody of the second theme totally consists of its four-note pattern. Besides, another great similarity in this passage is the theme being presented first in a loud statement, followed by a soft answer, and then a louder restatement with a soft answer. Those characteristics are closely related to the opening of the first movement of the Fifth. The second theme also presents another
segment, similar to the first theme, which closes the exposition section with the full orchestra taking up the tune with increasing energy, leading in a very natural and almost imperceptible way to the development section. Reassembling with the idea of "organic" music, as we can notice, the two main subjects of this exposition are constructed from previous material of the earlier movements; not only the key of C major can be related to preceding content, but also the motives and themes.

Subsequently, the development brings an extremely agitated music during almost the entire section, with passages taken from the material presented in the exposition (and mainly from the second subject), culminating with the powerful brass section blowing what Hurwitz called a "hysterical triumph"; then this huge climax is abruptly stopped, and music changes mood drastically. The fortissimo sound by the entire orchestra is suddenly reduced to a single G in the first violins, played successively in a diminuendo towards a pianissimo dynamic. What follows is perhaps the delicate touch of a genius that crowns the entire work: a section from the Scherzo returns, very softly, in the voices of alternating first violins and clarinets, lightly supported by pizzicato strings. The emotional depth of this passage marks one of the most sublime moments in the symphony; it seems "fate" is not yet defeated, and here it wants to remind the listener of its power. Hurwitz makes a clear statement about this passage, which is worth mentioning here:

Recall that the second subject has served as the main focus of the development section. Now, in recalling the Scherzo, not only does its scoring and emotional temperature in context make the music sound completely harmless, but Beethoven presents it as a logical further development of the cheerful second subject. It would be difficult to imagine a more graphic image of fate defanged, subordinated and rendered impotent before this seemingly endless pageant of colossal triumph. (Hurwitz 2008, 81)
We should notice that the insertion of the Scherzo in the Finale does not work as a simple repetition as it was before, but as something that completes its idea. It feels as if the triumphant victory of the Finale has clearly affected and transformed this reminiscence of the Scherzo, reassuring the idea of "Fate" being overwhelmed. That is confirmed with the rise of the oboe, playing a lyrical line above, again as another suggestion of a previous occasion: the poetic melody for the same instrument in the recapitulation of the first movement. In conclusion, the oboe's intervention finishes the Scherzo passage, bringing the development section to its close. What follows is a recapitulation of precise regularity, not usual in Beethoven's music, leading to a lengthy Coda which brings the Fifth Symphony to its monumental end.

As a whole, the Fifth Symphony represents a huge turning point in the symphonic repertoire, as it expands the classical structure of the symphony by throwing the weight of the symphonic argument onto the finale; and Beethoven does that not only for a simple matter of innovation in the structure itself, but as a representation of his own individuality as a man who was constantly fighting against the challenges imposed by fate, ultimately reaching the well-deserved victory. As Hurwitz stated, "the Fifth Symphony remains, to this day, the standard by which music expressing the victory of human striving over the forces of darkness is measured" (2008, 84). Fate is, at last, defeated!
Despite a few sketches of one of this symphony's themes are dated from 1803, the Pastoral Symphony was finished in 1808, being composed almost entirely during that year. As already observed before in this research, Beethoven worked on his Sixth almost simultaneously with the Fifth Symphony - such an interesting fact, for the enormously opposite nature of these two works.

It has been usually said that the Sixth brings a break, or release, from the intensity of the Fifth. Indeed, it is a work of great contrast when compared to its predecessor, taking us to an entirely different field: the peaceful world of nature. Beethoven's overwhelming love for Nature is clearly represented in this symphony as like nowhere else in any of his works. The feeling is of a man who, "after all this excitement, had gone off to those scenes where alone his spirit could find rest and refreshment" (Grove 1962, 183). Solomon places the Pastoral Symphony in the end of the cycle which he calls the "working out of Beethoven's post-Heiligenstadt" (Solomon 1998, 266), representing the restful repose from the heroic quest of the previous years. However, he states that "Beethoven's struggles with fate - which is to say, with every embodiment of authority, domination, and mortality - were not yet at an end, but were temporarily aside while he rejoiced in a richly deserved return to nature and to childhood, which symbolize, perhaps, the twin realms of the bountiful mother" (Solomon 1998, 266).
Beethoven's love for Nature is unquestionable; one may find several biographical evidences. The German philosopher Immanuel Kant (1724-1804), in regards to The Faculties of the Mind Which Constitute Genius, pointed out a special phrase, which is an inscription upon the Temple of Isis (Mother Nature): "I am all that is, and that was, and that shall be, and no mortal hath raised the veil from before my face" (Kant, in Bonds 2006, 46-47). Kant expressed that there had "perhaps never been a more sublime utterance, or a thought more sublimely expressed" than this. The reason for presenting this passage at this point is the simple fact that Beethoven himself always kept a copy of it on his working desk, under the glass, in a place where he could always see it when he sat down to work, "as if to keep before himself, both literally and figuratively, the relationship of the sublime to the absolute" (Solomon 2003, 67-70, 146-50). Here we are, once again, confronting the idea of the "sublime"; and we can affirm that this idea is also presented in the Pastoral Symphony. However, the work represents sublimity in a different spectrum: if Nature itself is considered as the purest depiction of the sublime, so the simple act of contemplating Nature is already the bridge which connects the self with matters of the highest level. Kant considered the sublime capable of "inciting the mind to abandon sensibility and occupy itself instead with ideas involving a higher finality, that is, to integrate reason and the senses, the objective and the subjective, in a point of identity" (in Bonds 2006, 46). Thus, one may ask: what is that if not Beethoven's own wish of leaving the mundane problems and torments behind, to connect himself with a higher state of spirit in the arms of his most beloved Nature?

Many evidences of Beethoven's love for Nature can be found in a number of his letters, diaries and writings. For example, in a letter to Therese Malfatti, in the summer of
1808, Beethoven wrote: "How happy I am to be able to walk among the shrubs, the trees, the woods, the grass and the rocks! For the woods, the trees and the rocks give man the resonance he needs." Grove mentions one interesting passage, which says that:

[Beethoven] on one occasion, on coming to take possession of a lodging which had been engaged for him ‘at the coppersmith’s,’ he refused it because there were no trees near the house. ‘How is this? Where are your trees?’ ‘We have none.’ ‘Then the house won’t do for me. I love a tree more than a man’. (1962, 184)

Beethoven greatly valued to be alone with Nature as a way to be comforted by its serenity. He never omitted his daily walk, and every summer he took refuge in the midst of Nature, either in the villages of Hetzendorf, Heilingenstadt, or Döbling. He could easily spend countless hours wandering in the woods or sitting on the fork of a tree with his sketch-book in hand; certainly it was under those circumstances that most of his great works took their first shapes, inspired by Nature itself. As Schindler observed:

in Beethoven we have a man in whom nature was fully personified. It was not so much the laws of nature that fascinated him as its elemental power, while the only aspect of his total pleasure in nature that preoccupied him was his own emotional response. In this way he became totally sensitive to the power of nature, and thus able to compose a work that has no peer in the whole of musical literature, a tone-painting in which the listener is made to see both scenes from life in society with his fellows and scenes from nature: the Pastoral symphony. (1996, 144)

The allusion to Nature presented in the Pastoral Symphony is already clearly stated in its title: Sinfonia Pastorella. Pastoral-Sinfonie, oder Erinnerung an das Landleben/ Mehr Ausdruck der Empfindung als Malerei (Pastoral Symphony, or Recollections of Country Life/ More the Expression of Feeling than Tone-Painting). It is one of the first moments in history when a symphony receives a title with the obvious intention of stating a preset background for the music; in reality, the Sixth represents one
of the best attempts at *Programme-music* (Program Music) by that time, in which music is made to represent a given scene or fact, using only instruments and no voices. And not only the symphony itself receives a title, but each of its five movements (the *Pastoral* is also the only symphony by Beethoven which unusually carries five movements). The complete description of all the movements is as follows:

1. Allegro ma non troppo, "Erwachen heiterer Empfindungen bei der Anfkunft auf dem Lande" ("The awakening of joyous feelings on getting out into the countryside");
2. Andante molto moto, "Scene am Bach" ("Scene by the brook");
3. Allegro, "Lustiges Zusammensein der Landleute" ("Merry gathering of country people");
4. Allegro, "Gewitter. Sturm" ("Thunderstorm");
5. Allegretto, "Hirtengesang. Frohe und dankbare Gefühle nach dem Sturm" ("Shepherd's song. Happy and thankful feelings after the storm").

It is important to observe the fact that, despite Beethoven's intention for the Sixth to be an illustrative composition, he also intended to "elevate the literature of current program music, which did little more than mimic the sound effects of battles, landscapes, storms, sea voyages, and a host of similar subjects" (Lockwood 2003, 225). This idea is confirmed by the many sketch entries which Beethoven made for this symphony, as a way to justify the insertion of specific titles for each of its movements. Lockwood gives us examples: "One leaves it to the listener to discover the situations . . . Each act of tone-painting, as soon as it is pushed too far in instrumental music, loses its force . . . The whole will be understood even without a description, as it is more feeling than tone-
painting" (Lockwood 2003, 226). Thus, the Pastoral Symphony can be understood as a narrative of an observer in nature exposed to different situations. For Solomon, "Beethoven transmuted the pastoral style into a symphonic essence" (1998, 267), also stating that, with the Pastoral Symphony, he "was not only anticipating Romantic program music but was looking back to a long-standing pastoral tradition in the Baroque and Classic periods" (1998, 267). Frederick Niecks, in his book "Programme Music in the Last Four Centuries," declared that "it was the programme that in the Pastoral Symphony called for five instead of four movements, and caused the form of the slow movement to be vague, that of the Storm to be non-architectural, and that of the others to be more or less deviating from the traditional" (1907, 136).

The first movement begins with no introduction, but with a double pedal on F and C in the violas and cellos, and violins playing the charming principal theme, which is not yet presented in its entirety, but in small subjects. For Grove, "this beautiful subject may almost be said to contain in its own bosom the whole of the wonderful movement which it starts" (1962, 193). One may recall that a similar occurrence is found in the first movement of the Fifth Symphony: a small subject (the "seed") which develops and grows during the entire work, characterizing the whole as an organic unit. Indeed, one of the unique characteristics of the Pastoral Symphony is the way that Beethoven treats its thematic development. As the music advances, each "branch" of the theme is developed in many ways to produce varied phrases closely related to it, either rhythmically or melodically. The result is an incessant repetition of the same or similar musical phrases throughout the entire movement. However, it does not create boredom, as Grove observed:
the delicious, natural, May-day, *out-of-doors* feeling of this movement arises in a great measure from this kind of repetition. It causes a monotony - which, however, is never monotonous - and which, though no *imitation*, is akin to the constant sounds of Nature - the monotony of rustling leaves and swaying trees, and running brooks and blowing wind, the call of birds and the hum of insects. (1962, 195).

Returning to the comparison between the first movements of both the Sixth and Fifth Symphonies, one can notice they have almost the same length and proportional symmetry, in other words, exposition, development and recapitulation are practically equal in terms of length, followed by a *Coda* of great proportions. Similarities with the Fifth do not stop here: in the harmonic field, there is also a curious connection between both works. While in the first movement of the Fifth we can hardly find a major key, here in the *Pastoral* is just the opposite: there is a great incidence of major-mode harmonies throughout not only the whole first movement, but the entire symphony (with the exception of the fourth movement, as we will see later in this analysis). Harmonic changes in the first movement are manifested at a slow rate, creating a feeling of placid contemplation.

Moving on to the second movement, the scene changes to a "scene by the brook," which Tovey called "a perfect expression of happiness in relaxation" (1935, 1:51). At this time, Beethoven gives us a more definite picture, contrary to the first movement, which represented the "feelings aroused by the country" in a more general manner. The representation of the brook-side, with the constant sound of water, which can be noticed in almost the entire movement, is given by the lower strings (in a sequence of either eighth or sixteenth notes), as we can see in Figure 21. That forms the background of the scene, over which are heard various motives and trills representing the birds and other
sounds of Nature - a remarkable example of how greatly Beethoven has used the orchestra to represent his astonishing musical imagination. Later in this movement, Beethoven gives a touch of gentle humor when he clearly makes a note in the score, pointing out an imitation of three different birds: the nightingale, represented by the flute; the quail, by the oboe; and the cuckoo, by the clarinets. This is a famous passage in the *Pastoral* and serves as the perfect example of the fundamental role of the woodwinds in the construction of the musical dialogue.

The third movement celebrates the gathering of country people in a village dance, represented by a *Scherzo*, although Beethoven does not entitle it as such. There is a shift from feelings here, as observed by Grove: "So far we have had to do with Nature; we now turn to the human beings who people this delicate landscape; the sentiment at once completely changes, and we are carried from graceful and quiet contemplation to rude and boisterous merriment" (1962, 213). The first section is mainly characterized by the music of shepherds, represented by the flutes, oboes and clarinets. The *Trio*, only marked as *Allegro*, changes the character into a more rough dance, marked *fortissimo* with numerous indications of *sforzandi* from start to finish. The *Scherzo* returns, but suddenly a storm approaches: the mood is drastically changed by a *subito piano* in the cellos and basses, and quickly the music bursts into a *fortissimo* fury in the key of F minor. From this moment in the symphony, we can mark at least three important points: first, the continuous flow of music from the third to the fourth movement, with no interruption; second, the addition of trumpets, trombones and piccolo; and third, the explosion of
Figure 21. Beethoven: Sixth Symphony, Mvt. II, mm. 1-8
sound in the minor key, representing the storm as the "dark" side of Nature, finally explaining one of the reasons why Beethoven was avoiding the use of minor keys during the entire symphony so far: he was saving it for this precise instant. Furthermore, the *Storm* in the *Pastoral* Symphony reinforces the idea of program music, since it "does not fit comfortably within the formal traditions of the symphony" (Will 1997, 278).

In regarding how Beethoven handles instrumentation to achieve a musical representation of the elements that creates the scenario, Tovey makes an important observation when he affirms that:

> The thunder is very simply and efficiently represented by the entry of the drums, which are used in this symphony for no other purpose. The rumbling passages of the cellos and double-basses are generally cited as Beethoven's representation of thunder, but they are only a part of it; they give, not the roll and the clap of thunder, but a peculiar shuffling sound that pervades the air during a thunderstorm, and is not accounted for by the rain. (1935, 1:54-55)

As in Nature, the storm always comes to an end, so also in the *Pastoral* Symphony it does not last long. After the *fortissimo* minor sounds, along with its diminished-chordal harmonic progression, we finally arrive at a point of stability in C major, "where we hear nothing less than a chorale phrase, suggesting a religious element both directly and intentionally - in a sketch Beethoven wrote, 'Herr, wir danken Dir' ('Lord, we thank thee')" (Lockwood 2003, 229).

The last movement, the "Shepherd's Song," represents the feeling of gratitude at the end of the storm, beginning with a peaceful and joyful melody in the clarinet, as if it were trying to evoke the mental image of the rising sun after the storm. Once again, there is no interruption between the movements, so that one can take all the last three movements as one continuous and flowing story: the peasants dancing are surprised by a
fearful storm, which happily goes away so they can rejoice in Nature again, confirming
the idea implied in the first movement as it takes one back to the peaceful state that
opened the doors to this journey into the realms of Nature. The cycle is finally complete.

Symphony No. 7 in A major, Op. 92

I - Poco sostenuto - Vivace (A major)
II - Allegretto (A major)
III - Presto (F major)
IV - Allegro con brio (A major)

The Seventh Symphony was completed in 1812, after an interval of four years
from the Pastoral Symphony; the longest time in between any of the previous
symphonies. It was premiered on December 8, 1813, at a charity concert for the benefit of
the wounded soldiers at the Battle of Hanau, in which the German army unsuccessfully
tried to prevent Napoleon's retreat to Frankfurt after his defeat in the Battle of Leipzig.
The concert was organized by Johann Nepomuk Mälzel, the inventor of the metronome,
and had on its program, besides the Seventh Symphony, two marches by Dussek and
Pleyel, respectively, and Wellington's Victory by Beethoven. The event was an
extraordinary success, in both musical and patriotic aspects, marking the presence of
many of the most famous musicians in Vienna, including Ignaz Moscheles, Giacomo
Meyerbeer, Johann Nepomuk Hummel and Louis Spohr. Solomon affirmed that "the
Symphony could be heard as a celebration of the victory over Napoleon and the joyous
arrival of a long-awaited peace" (1998, 276); in fact, the work became extremely popular,
having been arranged in several transcriptions. Schindler described the premiere as "one
of the most important in Beethoven's life, since, with the exception of a few members of
the musical profession, all persons, however they had previously dissented from his music, now agreed to award him his laurels" (Grove 1962, 236). After Haydn's death in 1809, the way was totally free for Beethoven's recognition as the greatest living composer of his time.

The symphony was conducted by Beethoven himself, despite his deafness which was considerably worse by that time. Hurwitz quotes a famous comment of Beethoven's conducting by Spohr, in his autobiography, which says:

> Beethoven had gotten used to giving expressive indications to the orchestra through all kinds of unusual bodily gestures. Whenever a sforzando occurred, he threw his arms wide with great force, having previously kept them crossed over his chest. In soft passages he would stoop lower and lower until he felt he had achieved the correct level of quiet. If a crescendo followed, he would gradually stand up and at the arrival of the forte jump into the air. Sometimes he also unknowingly shouted to encourage the orchestra to play louder. (2008, 87)

In the same way the Fifth and Sixth symphonies were composed as a pair, the Seventh was composed almost at the same time as the Eighth (as we will study further in this chapter). Nevertheless, in both the Seventh and Eighth symphonies Beethoven returns to a more classical conception of the symphony, in the way of Haydn and Mozart. Thus, the two works can be seen as "a tribute to some of the primary qualities of Haydn's symphonies: humor, boundless vitality, and (especially in the Seventh) structural ingenuity" (Hurwitz 2008, 88). Indeed, these two symphonies embody like no other the rough humorous side of Beethoven and, unsurprisingly, their range of expression is on a smaller scale compared with their predecessors. But we should understand that although these works seem of a lesser magnitude the feelings that we can find in them are just as powerful and passionate. Hurwitz states that in the Seventh, and also in the Eighth,
Beethoven "is content to rediscover and reinterpret the possibilities of symphonic music as a form of grand entertainment, unconstrained by the desire to evoke anything external or programmatic in order to add depth or significance" (2008, 89). Here, he uses purely musical resources to convey his ideas and to "tell the story." Concerning this aspect, Grove commented that:

> It is not in any innovation on form or on precedent of arrangement that the greatness of the Seventh Symphony consists, but in the originality, vivacity, power, and beauty of the thoughts, and their treatment, and in a certain new romantic character of sudden and unexpected transition which pervades it, and which would as fairly entitle it to be called the 'Romantic Symphony' as its companions are to be called the 'Heroic' and the 'Pastoral,' if only Beethoven had so indicated it - which he has not. (1962, 240)

In terms of orchestration, Beethoven uses the same orchestra as in his First and Second symphonies, and as by Haydn in his last symphonies. In contrast to the Third, there is no extra horn, and to the Fifth and Sixth, there are no piccolo, trombones or contrabassoon. However, the impact of the orchestra's sound in this symphony is truly remarkable. For Hurwitz, "no orchestral work of Beethoven's has a more thrilling sonority than this symphony, because much more important than how many instruments play is how they actually are used" (2008, 89). Thus, the way which Beethoven handles the orchestra is, in fact, one of the main features that brings the innovative qualities to this work. The richness of timbre and wideness in range can already be observed in the very first chord which opens the work (Figure 22).
Beethoven's treatment of the woodwind section is one of the crucial innovative features of the Seventh. He masterfully employs each of the wind instruments in a very unique way, exploring their individual colors to the highest degree. Instead of treating them only for their coloristic effect in contrast with the strings, Beethoven places the woodwind instruments at the same level of importance with the strings in the construction of his orchestral sound. In fact, one of the main distinctions in orchestration from one composer to another is the treatment given to the woodwinds, simply because it is in this group of
instruments where we can find the largest diversity of timbres. Thus, the virtually unlimited number of combination of sounds plus the possibilities of the solo use of those instruments is a magnificent resource used by Beethoven in his Seventh Symphony as in no other one (Hurwitz 2008, 89). This particular characteristic is evident throughout the entire work, as we can already notice it in the first measures of the first movement (see Figure 22) where the oboe, clarinets, horns and bassoons respectively present the same four-note motive, having the flute as a colorful addition on measure 6. But perhaps the most striking example of that is represented right at the beginning of the Vivace: for the first time in a Beethoven's symphony, the main theme of the exposition is not played by the strings, but by the flute, joined later by the clarinets and bassoons, and then the oboes, resulting in a unique and colorful timbre.

The other aspect of this symphony which is important to stress here is its form. The first movement begins with the longest introduction of all of Beethoven's symphonies; in fact, it is so large that we may say that it has its own independent form. The simple act of adding a slow introduction to the first Allegro movement of a symphony is not new, as observed before in this research, since Beethoven already did that in his First, Second and Fourth Symphonies; Haydn also used slow introductions several times in his symphonies. But this one is not necessarily slow, and can be considered as an independent movement which connects to the next one, in the same way as in the link between the Scherzo and Finale of the Fifth Symphony, and the connection between the third, fourth and fifth movements of the Pastoral. Therefore, instead of concentrating the weight of the music towards the Finale, Beethoven does exactly the opposite by establishing the conflict right at the beginning of the symphony. Hurwitz
explains this purely musical conflict as a result of the tension between duple and triple meters (2008, 91). A summary of the entire symphony, based on this idea, can be seen as follows:

First Movement
Introduction: 4/4
Vivace: 6/8
Second Movement (Allegretto): 2/4
Scherzo (Presto): 3/4
Finale (Allegro con brio): 2/4

The rhythmic quality of the Seventh is also one of its important features. In comparison to the Fifth, this symphony displays a decisive rhythmic stroke in its essence. However, as Lockwood observes, "the unity of the Seventh stems not from the reappearance of a single essential rhythmic figure in all movements, but rather from the rhythmic consistency that governs each movement and the vitality, the élan, that drives the whole work" (Lockwood 2003, 232). In each movement, there is a specific rhythmic pattern that dominates the whole scenario, eventually outlining the overall shape of the entire work. For instance, in the Vivace of the first movement, we can find an incessant repetition of the three-note dotted figure, as showed in Figure 23.
Another example is the compound figure of a quarter note plus two eighth notes that dominates the entire *Allegretto* (Figure 24).

Nonetheless, besides all these traits previously discussed, there is a quality in the Seventh that places it, according to Grove, as "the most romantic of the nine, or, in other words, that it is full of swift unexpected changes and contrasts, exciting the imagination in the highest degree, and whirling it suddenly into new and strange regions" (1962, 245). There are innumerable passages of sudden and drastic dynamic changes, sometimes repeatedly through a short period of time. Lockwood makes an important observation when he states that "the wide range of dynamics includes more instances of *fortissimo* and *pianississimo* than any other of his symphonic works" (2003, 233). Thus the wide and aggressive use of dynamic variation presented in the Seventh stresses an important
characteristic of Beethoven's individual orchestral sound, which was taken as a reference for the romantic music later expressed in the works of Brahms, Schubert, Schumann and Berlioz.

Figure 24. Beethoven: Seventh Symphony, Mvt. II, mm. 1-14

In the Seventh Symphony, certainly the most famous and celebrated one, of all its four movements, is the second, *Allegretto*. Its serious and deep character gives a "welcome emotional counterbalance to the almost giddy happiness characterizing the rest of the Seventh Symphony, it's absolutely perfect in its place, but the music also displays a level of beauty and polish that makes it one of Beethoven's supreme utterances in any medium" (Hurwitz 2008, 104). Furthermore, the second movement contains most of the
innovative characteristics of the Seventh, the reason why it is necessary to analyze it a little further.

Of all the previously discussed features of the Seventh, at least four of them are clearly represented in the Allegretto: the rhythmic consistency, which gives unity to the music; the use of contrasting dynamic levels to achieve greater levels of expression and drama; the employment of the woodwinds as a resource to create a variety of rich coloristic effects; and the wide range of the orchestral sound. However, one other important trait presented in the entire symphony, but which was not yet discussed in this research, is deeply embodied in this second movement: the construction of the large-scale rhythm in a particularly extreme symmetry (melodies and musical phrases constructed over four or eight measures, as widely used by Haydn).

In a general view, the second movement is primarily a set of variations built on the form ABAB - Coda, alternating in between the keys of A minor and A major. The level of variety is astonishing, despite the simplicity of the materials presented, with practically no literal repetition. As already said before, the basic rhythmic figure that opens the Allegretto "haunts the entire movement" (Lockwood 2003, 233), as observed in Figure 24. For Hurwitz, "the truth is that this seemingly rudimentary structure contains a little bit of everything, inventing itself as it proceeds with an improvisatory freedom that goes a long way towards explaining the music's endless fascination and popularity" (2008, 106).

The critical role that the symmetrical large-scale rhythm plays in this movement (as well as in the all other duple-meter movements in the Seventh) is evident in the way that the main theme is constructed: in fact, it is built on exactly sixteen bars, consisting of
two phrases of eight bars. Each of those phrases follows the classical principle where, for example, in a period of four short phrases, the first three are identical in rhythm, but the last one contains a slight modification at its end as a way to convey a cadence or closing of that same melodic period. Beethoven's remarkable genius follows the same principle, as we can observe in Figure 24, when he writes three repetitions of the same five-note rhythm, followed by an abbreviated repetition having its last note cut out. The effect produced by the employment of this principle is clearly explained by Hurwitz, who remarked that:

the resulting silence has exactly the same function as a comma does in a sentence: it allows a short pause for breath before the music continues, and because you expect to hear the fifth note that never actually comes, you listen through the pause and understand intuitively that even though there is no sound for that one moment, the phrase has not actually finished. (2008, 94)

As a last observation, the Allegretto illustrates, especially in its first section, the remarkable skill of Beethoven's orchestration and use of the dynamics. In order to understand that, we should observe how the music in the first section is developed. First, the theme is presented by violas, cellos and basses, in piano, having the repetition of the theme's second half reduced to pianissimo. Then, the second violins enter the scene with the theme, which becomes an accompaniment to a countermelody played by the violas and part of the cellos. Following, the first violins play the theme, and the second violins (having played the theme before) now have the countermelody. At this point, oboes and bassoons join the orchestra, as do also the flutes and horns a few measures later, preparing for the arrival of the fortissimo tutti, where the countermelody is finally given to the first violins, and horns and woodwinds play the theme. Finally a decrescendo in the
second half marks the transition into the "B" section, where a lyrical melody is presented in constantly varied tone colors: here, the woodwinds play a crucial role in this aspect. In summary, the result is music which starts in a quiet and low environment, gradually rising to the point where it completely fills the musical space. In Lockwood's view, "the clear dramatization of spatial form is essential to the psychological effect of the movement, as listeners have intuitively understood from its first performances, and it partly accounts for the fame of this movement beyond any other in the symphony" (2003, 234). Perhaps that is one of the reasons why the Seventh Symphony, as stated by Berlioz, "is celebrated for its Allegretto" (Berlioz and De Sola 1975, 35).

_Symphony No. 8 in F major, Op. 93_

_I - Allegro vivace e con brio (F major)  
II - Allegretto scherzando (B-flat major)  
III - Tempo di minuetto (F major)  
IV - Allegro vivace (F major)_

Although the Eighth Symphony was sketched and completed almost simultaneously with the Seventh (the Eighth was completed by October of 1812, the Seventh by April of that same year), the symphony had its first performance in February 27, 1814, at Beethoven's academy, two months after the premiere of the Seventh Symphony. On the occasion of the Eighth's premiere, the Seventh Symphony was also included in the program, which received much more applause than the Eighth, having the Allegretto encored. In other terms, the Eighth Symphony was not well received, which, according to Grove, had greatly distressed Beethoven, who replied: "It will please them some day . . . That's because it's so much better than the other" (1962, 279). In fact, the
Eighth Symphony is characterized for its diminutive proportions, its humor and playfulness, and its ostensible return to the world of late Haydn" (Lockwood 2003, 234). Tovey declared that, after the instant success of the Seventh Symphony, "to the indignation of the critics and the public the Eighth Symphony turned out too small" (1935, 1:61). The symphony is the shortest of all Beethoven's symphonies, using the same reduced orchestra as in the Seventh (as well as in the First, Second and Fourth Symphonies); however, according to Berlioz, "if it scarcely surpasses in amplitude of form the First Symphony in C, it is far superior to it in instrumentation, rhythm, and melodic style" (Berlioz and De Sola 1975, 39).

Solomon wrote that the Eighth Symphony, in relation to the Seventh, is "an offshoot from the same creative impulse" (1998, 275). Considering the fact that both symphonies were composed virtually at the same time, and both contain a similar joyful character, it is natural to understand their closeness in the way it was expressed by Solomon. Richard Wagner, in his book *Beethoven*, also makes an allusion to the psychological similarity of these two symphonies: "Their effect upon the listener is precisely that of emancipation from all guilt, just as the aftereffect is the feeling of Paradise forfeited, with which we return to the phenomenal world" (Wagner 1883, 65). This particular characteristic can be noted by the lack of the traditional slow movements - "the movement of sorrow and contemplation, of mourning and tragedy" (Solomon 1998, 275), as we already observed in the *Allegretto* of the Seventh; now, with the Eighth's *Allegretto scherzando*, this idea is taken even further. Moreover, the Eighth Symphony can be considered a work which concludes the idea started in the Seventh, in respect to this humorous side of Beethoven. Solomon states that these two symphonies "exist in a
festal paradise, outside of time and history, untouched by mortality. They transport us
into a sphere of laughter, play, and the exuberant release of bound energy" (1998, 276).

It is certainly an enormous mistake if we assume that the Eighth Symphony is of
less importance just by considering its proportions and nostalgic character; indeed, here
Beethoven emulates the classical symphony of his predecessors, but with touches of a
"modern" composer. In that regard, instrumentation and the wide use of contrasting
dynamics both play a very important role in the construction of the work.

The first movement, Allegro vivace e con brio, for the first and only time in all
Beethoven's symphonies, opens with the main theme in the very first beat of the music;
there is no Introduction, or a prelude bar as in the Eroica, a rest as in the Fifth, or a note
as in the Pastoral. In addition, Beethoven presents the theme, which Tovey called a
"pocket-size theme" (1935, 1:62), with the whole orchestra, starting in a four-bar forte
followed by a sudden texture change played by the woodwinds, piano dolce, for another
four bars, concluding with the return of the tutti in forte to complete the first statement of
the theme (Figure 25).

The first subject follows through the music, treated with a "harmony of strange,
humorous temper" (Grove 1962, 285), until it is ended with an unresolved diminished
chord, followed by one bar of silence and a change to the key of D minor, by which the
second theme begins in the voice of the violins (Figure 26).

Then, in a true stroke of humor, Beethoven ends the second theme in the key of C
major, followed by the development section after the second ending. Furthermore, it is
important to observe that, in the end of the exposition, Beethoven presents a new musical
figure, which will become persistent throughout the development section, and which
Grove calls "a more absolute embodiment of rude fun than anything yet employed" (1962, 287) (Figure 27).

A last aspect of the first movement that is important to be observed is the beginning of the recapitulation: here, Beethoven uses the dynamic marking of *fortississimo* (fff), which was very rarely employed in all of his music. This passage marks the return to the first theme and to the key of F major, however not in the usual way with the theme played by the upper strings, but by the basses (Figure 28).
The result is the shift of the highest point of tension, usually in the development, to the recapitulation, which is treated here with greatest freedom. All the materials from the exposition are employed here, but treated very distinctly in terms of instrumentation, articulation and proportion. In addition, the return of the theme in the basses conveys a very atypical sense of vagueness to the recapitulation, since the theme in the basses is obscured by the other instruments. "Beethoven, however, seeks in a number of works to undercut or defuse the effect of recapitulation by either anticipating the tonic too soon, creating uncertainties about precisely where the recapitulation begins, or obscuring the tonality itself" (Broyles 1982, 44).
As a whole, the Eighth Symphony can be understood as Beethoven revisiting the classical symphony of his predecessors, but with a large addition of originality and remarkable use of instrumentation, which places this symphony apart from all the others. When discoursing about the *Finale* of the Eighth Symphony, Grove makes a well defined description which, perhaps, can be included here not only to illustrate the last movement, but the entire symphony:

It is pure Beethoven, in his most mature, individual, and characteristic vein, full of that genuine humor, those surprises and sudden unexpected effects, those mixtures of tragedy and comedy, not to say farce, which played so large a part in his existence, and which make his music a true mirror of human life, as true in his branch of art as the great plays of Shakespeare are in his - and for similar reasons. (1962, 297)
Symphony No. 9 in D minor "Choral," Op. 125

I - Allegro ma non troppo, un poco maestoso (D minor)

II - Molto vivace; Presto (D minor)

III - Adagio molto e cantabile (B-flat major)

IV - (1) Presto; Allegro ma non troppo; Allegro assai
   (2) Allegro assai vivace: Alla marcia
   (3) Andante maestoso; Adagio ma non troppo, ma divoto
   (4) Allegro energico, sempre ben marcatò; Allegro ma non tanto; Poco adagio; Poco allegro, stringendo il tempo, sempre più allegro; Prestissimo, Maestoso, Prestissimo

By the end of the year 1812, Beethoven had completed eight symphonies.

Through them, he expanded the limits of the genre, the orchestra, and instrumental music itself. None of his symphonies can be compared to each other in terms of content, for
each of them carries its own unique and individual character. In view of that, the Ninth Symphony is not only a great symphony to be placed next to the others; in fact, it is certainly the finest musical realization by Beethoven, also considered one of the greatest achievements of human-kind. Berlioz clearly adheres to the conviction that "this work is the most magnificent expression of Beethoven's genius" (Berlioz and De Sola 1975, 43).

The Ninth Symphony, in its monumental proportion, is the subject of virtually countless analyses. Thus, it is important to stress that the purpose of this research is to make an analyses of the symphony to reflect the important changes in the orchestra, as well as in the symphony itself, so this is the focus we should observe now. However, it would not make sense to discuss the Ninth without first going through its political background, at least in general lines, as well the aspects of Beethoven's life during those years which preceded its completion and first performances.

*External Aspects of the Ninth*

Twelve years separate the completion of Beethoven's Eighth Symphony with that of the Ninth, an extremely long time, compared to the significant shorter intervals between the completion dates of all of his other symphonies (the First was finished in 1800, followed by the Second in 1802, the Third in 1804, the Fourth in 1806, both Fifth and Sixth in 1808, and again both Seventh and Eighth in 1812). Indeed, external circumstances vastly contributed to this huge gap between the Ninth and its predecessors, which we should briefly examine now.

Beginning in the year 1812, Beethoven's health became worse, as we can observe in several of his letters from that period. In March of 1812, he wrote to Archduke
Rudolph that "[t]he struggle between spring and winter has always a bad effect on my health. I have not felt well since yesterday and I have been forbidden to leave my room today" (Anderson 1961, 366). In the next month, in another letter to the Archduke, he stated that "[m]y condition has again become worse, and it will probably be a few days before I have recovered" (1961, 367). In September of the same year, he wrote to Amalie Sebald: "After I left you yesterday, my condition again deteriorated; and from yesterday evening until now I have not got out of bed" (1961, 390). The famous letter to his "Immortal Beloved" was written on July of 1812, marking a period of great emotional stress in Beethoven's life. That is confirmed in two other letters to Archduke Rudolph, the first dated from December 1812, when Beethoven wrote: "Since Sunday I have been ailing, although mentally, it is true, more than physically" (1961, 395). In the letter from January 1813: "As for my health, it is pretty much the same, the more so as moral factors are affecting it and these apparently are not very speedily removed" (1961, 401). Another fact that surely emotionally affected Beethoven was the serious aggravation of his brother Caspar Carl's illness, resulting in his death in 1815, leaving his nine-year-old son Karl. That situation initiated a very long struggle between Beethoven and his sister-in-law to assume the guardianship of the boy, which eventually ended with Beethoven's victory in 1820.

Beethoven's financial situation was also deteriorating due to several reasons. He lost almost all his trusty patrons during the years from 1812 to 1816: Prince Kinsky suddenly died in 1812; two years later, in 1814, Lichnowsky was also dead. Razumovsky returned to Prussia after his palace was destroyed by fire in 1814, and Prince Lobkowitz died in 1816. Fortunately, Beethoven could still count on the crucial support of the
Archduke Rudolph. Many of his other old patrons entered into a period of critical financial crisis; "the nobility's private orchestras and ensembles, its salons and palaces, now belonged to the history of the ancien régime. The era of the connoisseur aristocracy that had nurtured Gluck, Mozart, Haydn, and Beethoven had come to an end" (Solomon 1998, 294).

Having that said, those years which preceded the composition of the Ninth were, in almost every aspect, the most turbulent period of Beethoven's life. The sequence of exceedingly unhappy and distressful happenings affected Beethoven with such intensity that led him fall into a serious state of mental and physical disorder. The situation reached a critical point when people started to believe that Beethoven had became crazy. "Signs of neurotic disorder - sudden rages, uncontrolled emotional states, and increasing obsession with money, feelings of persecution, ungrounded suspicions - persisted until Beethoven's death, reinforcing Vienna's belief that its greatest composer was a sublime madman" (Solomon 1998, 333). Not only his behavior, but his appearance also corroborated to the idea of a person with a clear mental disorder: Beethoven walked in the streets of Vienna dressed in a long and dark overcoat, usually holding a monocle and his notebook, where he constantly stopped to make annotations. Whether he was actually crazy or not, the fact is that Beethoven was clearly struggling to accept everything that was surrounding him, in other words, his very reality. From the diary of Dr. Karl von Bursy, one of Beethoven's doctors, we can read that: "He [Beethoven] defies everything and is dissatisfied with everything and blasphemes against Austria and especially against Vienna" (Thayer 1967, 644). In the same entry, Dr. Bursy related, reproducing Beethoven's own words, about his several complaints over the bad time:
Here things are shabby and niggardly. It could not be worse, from top to bottom everyone is a scoundrel. There is nobody one can trust. What is not down in black and white is not observed by any man, not even by the one with whom you have made an agreement. Moreover one has nothing in Austria, since everything is worthless, that is, paper. (1967, 644)

Consequently, it is not a surprise that Beethoven's musical productivity was drastically affected during this time, almost coming to a full stop.

In the political aspect, this period was marked by the collapse of the Napoleonic empire and the restoration of the monarchy to power, having the famous Congress of Vienna in 1815 as one of its crucial moments. During that time, a heavy and suspicious atmosphere prevailed in Vienna, with a vigorous repression of any possible republican movement. Beethoven, also known for his republican sympathy, suffered the consequences of that repression, as Lockwood observes in an 1820 entry of Beethoven's Conversation Books: "another time - just now the spy Haensl is here" (2003, 416). The Viennese society was now facing a moment where disillusionment with the revolutionary belief was at its highest degree, marked by the disintegration of the old connoisseur nobility and the rise of the Industrial Revolution, which started to move European culture to a new phase. In consequence, the heroic style, which inspired most of Beethoven's great works during the years of 1803 to 1812, had lost its historical reason for existence. Beethoven found himself in need of searching for a new motivation where he could concentrate his creative energy. Of this aspect, Solomon concludes that:

Above all, although in his last style Beethoven was to become a master of the evanescent mood, he resisted the impeding Romantic fragmentation of the architecturally concentrated and controlled cyclic forms of the Classical era into small forms and lyric mood pieces. The breadth of his ideas remained undiminished. Despite the exhaustion of his heroic style, Beethoven was not yet done with the problems of heroism, tragedy, and transcendence. The task he
would set himself in his late music would be the portrayal of heroism without heroics, without heroes. (1998, 295)

The emergence of Beethoven's later style was a gradual and slow process, which took place in a period where his productivity declined to the lowest level in his life, between 1816 and 1819. If music was a means of escaping from the constant troubles of his life, then we may conclude that the course into his later style was considerably distressful for Beethoven, since he "required constant creative challenges and activity to maintain his psychological equilibrium, to protect himself against powerful regressive tendencies in his personality" (Solomon 1998, 296). In addition, his hearing was becoming considerably worse, leading Beethoven to a state of a nearly complete deafness during the last years of his life.

By 1820, the longest crisis of Beethoven's life was over, marked by his victory over his sister-in-law to assume the guardianship of his nephew, Karl. Beethoven was ready to restructure his life, which he gradually did, as we can notice from the increased musical output of post-1820. Among the significant works finished during this period, we can name the last three piano sonatas, the *Thirty-three Variations in C on a Waltz by Anton Diabelli*, op. 120, and the *Missa Solemnis*, completed in 1823. The Ninth Symphony was finished in 1824, and its entire compositional process took place in stages, between 1818 and 1824. However, if we analyze the aspect of this process in a broader sense, the very root of the Ninth stems from Beethoven's early years. On January 26, 1793, the Bonn humanist Bartholomäus Ludwig Fischenich, who according to Solomon may have introduced Beethoven to Schiller's thought at Bonn University, wrote:
I am enclosing with this a setting of the 'Feuerfarbe' on which I would like to have your opinion. It is by a young man of this place whose musical talents are universally praised and whom the Elector has sent to Haydn in Vienna. He proposes also to compose Schiller's 'Freude', and indeed strophe by strophe. I expect something perfect for as far as I know him he is wholly devoted to the great and the sublime. (Thayer 1967, 120-121)

Thus, the idea of setting Schiller's poem to music was not actually new, but a thought that had been present in Beethoven's mind during almost his entire adult life. In 1818, he began to think about the use of voices in a symphony, but only around 1823 did he realize that he could finally fulfill his Schiller project through his new symphony, on which he was already working. In a letter to Bernhard Schotts Söhne, dated March 10, 1824, Beethoven refers to the Ninth Symphony as "a new grand symphony which concludes with a Finale (in the style of my fantasia for piano with chorus, but on a far grander scale) with vocal solos and choruses, based on the words of Schiller's immortal and famous song An die Freude [my italics]" (Anderson 1961, 1114). At this point, we may observe a clear connection between the critical period of Beethoven's life (1812 to 1820) and the return to his old idea of presenting Schiller's "Ode to Joy" as the climax of his greatest symphony, as Lockwood observed:

Beethoven, in this new symphony that would have Schiller's "Ode" as centerpiece, meant to leave to posterity a public monument of his liberal beliefs. His decision to fashion a great work that would convey the poet's utopian vision of human brotherhood is a statement of support for the principles of democracy at a time when direct political action on behalf of such principles was difficult and dangerous. (2003, 417)

In a sense, the Ninth Symphony represents the utopian elements in Beethoven's thought of a world where "all men become brothers"; a clear indication of his refusal to accept the
idea that all the principles of the revolution, which included freedom and equality, were lost.

Indeed, Beethoven was looking for a truly magnificent way to send his "message" to human-kind. However, in order to achieve that goal, he would need to take an even more audacious step, compared to the time when he composed the *Eroica* in 1803, towards the expansion of both the symphonic genre and the orchestra. If the *Eroica* was up to that time the most revolutionary symphony composed by Beethoven, the Ninth practically surpasses it in every aspect. This symphony is not only the largest of all the nine, lasting more than one hour when performed in its entirety, but it is also the one in which Beethoven employs his greatest orchestra of unprecedented proportion for a symphony. The complete instrumentation of the Ninth Symphony is as follows:

- Piccolo
- 2 Flutes
- 2 Oboes
- 2 Clarinets
- 2 Bassoons
- Contrabassoon
- 4 Horns
- 2 Trumpets
- 3 Trombones
- Timpani
- Bass Drum
- Triangle, Cymbals
- First and Second Violins
- Violas
- Cellos
- Basses

It is important to observe that the uncommon employment of four horns in an orchestra happens in the Ninth for the first time in a symphony by Beethoven. The other
additions were not a novelty, since Beethoven already used the forces of Piccolo, Trombones and Contrabassoon in the *Finale* of the Fifth Symphony. As a matter of fact, the complete instrumentation previously shown is only used in the last movement of the Ninth.

*First Movement*

The mysterious beginning of the first movement of the Ninth Symphony already presents a remarkable characteristic of the work, with a quality of expression that is unprecedented. The first sixteen bars of the movement can hardly be defined as an introduction or the exposition itself, since it does not present the principal subject but introduces it in a gradual manner. The second violins and cellos play murmuring sextuplet, in *pianissimo*, with horns in the open-fifth of A-E, not in the key of D minor, but possibly of A, although the third of the chord is omitted, making it impossible to define it as major or minor (see Figure 29). We should pay special attention to the fact that the key, which surely is not D minor, also cannot be affirmed with any degree of certainty as the key of A. Sir Donald Francis Tovey, when discoursing about the opening of the Ninth, acknowledged that "it is impossible to imagine anything that more definitely plunges us into the midst of things" (1935, 2:6). In addition, he states that:

Half the musical miseducation in the world comes from people who know that the Ninth Symphony begins on the dominant of D minor, when the fact is that its opening bare fifth may mean anything within D major, D minor, A major, A minor, E major, E minor, C sharp minor, G major, C major, and F major, until the bass descends to D and settles most (but not all) of the question. A true analysis takes the standpoint of a listener who knows nothing beforehand, but hears and remembers everything. (Tovey 1935, 1:68)
The final result of these aspects "obscures any clear sense of time, space, or tonality" (Levy 2003, 49), which explains the reason why the beginning of this movement was described as "mysterious." Then, the first violins, violas and basses present, successively and in that order, what can be called the smallest of the motives (a sixteen note followed
by a quarter). Still, the third of the chord is not yet given, and the music starts growing both in dynamic and texture, with the gradual addition of the woodwinds and brass instruments. Measure by measure, the music increases in force, reaching the highest point when the full orchestra plays in fortissimo a tremendous unison of the same motive presented before, but now clearly forming the principal subject, a succession of the intervals of a D minor chord, on which the entire movement will be based. The question of the ambiguous tonality of the opening is finally solved.

An interesting point can be observed when comparing the Ninth and Fifth Symphonies. According to Levi, "the drama that Beethoven will play out in the Ninth Symphony ... [is] more nearly entering into the spirit of the Fifth Symphony - a work that also uses tightly compacted means to achieve its aesthetic goal" (2003, 51). However, a crucial difference between the compositional aspects of these two works is the way that Beethoven presents its first motive. Differently from the Fifth, the Ninth's opening movement gradually creates the principal subject, expanding the musical space from almost absolute silence to an intense and powerful mass of sound. On the other hand, as in the Fifth, the Finale of the Ninth is presented in the triumphant major key, as we will observe in more detail later in this chapter.

The second subject, given by the woodwinds, is presented in the key of B-flat major; indeed a very unusual choice, since it was expected to be in the relative major of the key, F. Grove suggested that by doing that, Beethoven was clearly showing his intention of not returning to the principal key of D minor very soon (1962, 341). Speaking from another viewpoint, Levy affirmed that this choice was ruled by the overall picture of the entire symphony; the listener now is "more aware that the mood of the
music has changed, and not that the tonal level is 'wrong" (2003, 55). Then, the music remains almost entirely in the key of B-flat to the end of the exposition, where there is no repeat sign (for the first time in a Beethoven's symphony). Instead, the music continuously develops itself in a large development section, where we find a very similar passage to the opening of this movement, but in a more concise form; we may now conclude that it was definitely not an introduction, but an integral part of the whole.

The development section continues the music by presenting a huge variety of subjects, some of them as a variation of the main theme; Beethoven also employs a fugato passage in this section. The mood presented here is a mixture of anxiety and disturbance, which is followed by a temporary relief with the music reaching the key of A minor, and then F major - the turbulence of the first part of the development gives way to a short period of serenity. Then, the cellos start giving the first indication that a new and more terrible storm is approaching, with an ostinato based on the main theme that gradually grows to the point where its low C is raised to reach C sharp, accompanied by a violent crescendo and followed by forte accents on every beat; the music is finally ready to return to D minor in one of the most remarkable moments of the entire work (Figure 30). In Levy's words, "even though it is clear that something momentous is about to occur, nothing in the music literature, not even the other works from Beethoven's own pen, could adequately prepare the listener for the catastrophe that is about to take place" (2003, 62).

The recapitulation, as we can guess, is a return to the prologue of the first movement, but here it is presented in the most unexpected and astonishing way. As described by Grove, "instead of that vagueness and mystery which made it so captivating,
Figure 30. Beethoven: Ninth Symphony, Mvt. I, mm. 295-303
it is now given with the fullest force of the orchestra and the loudest clamor of the drum, and ending unmistakably in D major. Its purpose is accomplished, its mission fulfilled, its triumph assured" (1962, 349). It is important to pay special attention to one aspect of the recapitulation that is highlighted in this last quote: the return of the main subject is not in D minor, but D major, and in its first inversion, with cellos and basses sustaining an F sharp. Moreover, the harmony is now full, not in unison as before, with basses ascending in contrary motion to the main subject itself, sustained by an interrupted rolling of the timpani, adding an extraordinary level of tension and power to this particular moment. For Tovey, "this catastrophic return reveals fresh evidence of the gigantic size of the opening. Now we are brought into the midst of it and instead of a distant nebula we see the heavens on fire. There is something very terrible about this triumphant major tonic" (1935, 2:18).

Regarding what Tovey called "catastrophic," we can understand it as the result of having a shocking fortissimo instead of the pianissimo, the full orchestra where we had only strings, the full triad where there were empty fifths, and the D major when all the previous harmony was preparing for D minor (Treitler 1989, 24). In other words, Beethoven takes the music to a "reversal of expectations in the formal and emotional character of the recapitulation compared with the memory of the movement's opening" (Lockwood 2003, 430) - given that recapitulations are usually presented as a moment of stability and release, after the turbulences of the development section. For Levy, never before had a major chord sounded so "apocalyptic" (2003, 62), explaining that "a sense of arrival is unequivocal, but the effect is, at the same time, profoundly disturbing" (2003, 62). In conclusion, when returning to the duality of the prologue of this movement, which
is neither an introduction nor the theme itself, Treitler observes that the transformation suffered by this "introduction" is what "make[s] the moment of recapitulation the high point of dramatic conflict and tension, rather than the moment of release" (1989, 24).

At this point, it should be clear that Beethoven's intention was not to invoke any interpretation of a harmonic resolution in minor-major, since the setback of F-sharp to F-natural that occurred in measure 312 takes the music back to D minor, when the main theme is presented in the proper key. After that, naturally, the second theme returns now in the key of D major.

From the lengthy Coda that follows, the only allusion we should make here is to the moment when bassoons, violas, cellos and basses play an ostinato chromatic figure, that moves from D to A, then returns to D (Figure 31). Beethoven is clearly representing the Baroque chromatic figuration used to express lamentation, which is certainly the feeling he wants to evoke at this time (Levy 2003, 68-69). All of the previous is intensified by the pianissimo dynamic which adds a true feeling of terror. In measure 521, Beethoven marks a crescendo, which takes the music to an unexpected turn when the C-sharp in the strings falls down to a C-natural.

Finally, as illustrated by Levy, "even here at the end, the harmonic conflicts of the first movement seem to defy final resolution. Only by means of a final reprise of the principal theme, thundered fortissimo throughout the entire orchestra . . . does D minor achieve a temporary victory as Beethoven quickly brings down the curtain on this remarkable opening movement" (2003, 69).
Figure 31. Beethoven: Ninth Symphony, Mvt. I, mm. 507-515
Second Movement

The second movement, labeled *Molto vivace*, is a *Scherzo*, but once again Beethoven does not entitle it as such. He stopped using this term in his symphonies since the Fourth, and according to Lockwood, the reason was probably for his apparent aversion to the *Scherzo's* literal meaning of "joke" or lighter movement (2003, 431). In his article "Beethoven's Ninth Symphony: A Search for Order," Solomon wrote that "the sense of flight spills over into the scherzo, but now parodistically transformed from tragedy into farce" (1986, 21) - which perhaps explains Beethoven's tragic humor as represented in the *Scherzo*. Far from meaning a "joke," the character presented here is as "grim and demonic" as this movement can be (Levy 2003, 69).

At this point, for the first time in his symphonies, the *Scherzo* is presented as the second movement, instead of the more usual placement as the third movement. This movement is in the same key as the first one, also written in *Sonata form*, triple meter, and is the longest and greatest of his *Scherzos*. The opening of the *Scherzo*, as we can see in Figure 32, presents a descending D minor arpeggio, in a clear reference to the ambiguous opening of the first movement; the strings play only D and A, once again leaving the question of tonality open to listener. However, this question is quickly answered by the drums on measure 5, which here are tuned in the unusual way of octaves (instead of fifths) on the pitch of F (representing the mediant, instead of the tonic), playing a very important role at this point by leaving no doubt that the *Scherzo* is indeed in the key of D minor (Levy 2003, 70). Another important aspect of this opening is the regular eight-measure period formed by an audacious displacement of the parts. We should observe that Beethoven presents one measure of sound followed by one of rest.
Figure 32. Beethoven: Ninth Symphony, Mvt. II, mm. 1-14
until we reach measure 6, where he anticipates the last measure of sound, leaving two measures of rest instead. Thus, the eight-measure period can be illustrated as follows:

(sound-rest-sound-rest) - (sound-sound-rest-rest)

A similar method of compression has already been noted in the first eight-measure period presented in the second movement of the Seventh Symphony.

Following the opening, this movement proceeds, pianissimo, into a clear fugal texture which basically uses the three-note motive presented in the opening as its only material, in a fast and forward-looking motion with emphatic repetitions of its main motive. Grove called that a "miracle of repetition without monotony" (1962, 355). The Trio, in D major, brings a contrasting mood of calmness to the tormented character of the Scherzo, which eventually returns leading to the end of the movement.

Third Movement

The slow movement, which in this Symphony comes after the Scherzo, as already observed, is in the key of B-flat major, relating to this same tonality used as the second key area in the first movement. The movement is marked Adagio molto e cantabile, presenting a moment of peace and serenity after the catastrophic events that preceded it. Grove describes the Adagio as a music of "more calmly, purely, nobly beautiful than anything that even this great master - who knows so well how to search the heart, and try the spirit, and elevate the soul - has accomplished elsewhere in his Symphonies" (1962, 362). For Lockwood, this movement presents what he calls "a fully mature example of Beethovenian absolute melody" (2003, 431), which can be explained by the view of
Levy, who indicates the presence of the "vocal impulse of Beethoven's later style" (2003, 78). In a word, the distinctive lyrical character of this movement is one of its striking features.

The first two measures of the *Adagio* are heard in the woodwinds, beginning with the second bassoon, followed by the first bassoon, second clarinet, and first clarinet, anticipating their crucial importance played throughout the entire movement (Figure 33). Then the melody is given in the strings alone, followed by an "answer" in the clarinets, bassoons and horns. Beethoven keeps that conversation throughout the entire first section of the *Adagio*, making a clear distinction between the strings and winds as two independent "voices."

The remaining of this movement is marked by Beethoven's extraordinary use of several possibilities of combinations of the woodwind timbres, creating a variety of nuances in the sound that were never imagined before. A remarkable example is shown at the end of the G major section, where the music takes a unexpected shift towards the key of E-flat major. Robert Winter describes this moment as where "Beethoven seems to have retreated into a world where time has stopped and eternity has begun" (in Levy 2003, 84). As Levy explains, Beethoven's astonishing scoring is what essentially creates the mood of this moment, with two clarinets, one bassoon and one horn, "a combination that brings to mind the sonority of the many serenades for winds" (2003, 84). In another instance, as if to show the importance of the winds, later in the movement, the flute and oboe sing the *Adagio* theme in its entirety, and the music proceeds to its close with an overwhelming feeling of peace. Therefore, perhaps one of the reasons why Beethoven places the slow movement as the third is to create this oasis of calmness and peace, first as a contrasting
Figure 33. Beethoven: Ninth Symphony, Mvt. III, mm. 1-9
release from the tension of the first two movements, but mainly as a means to significantly intensify the terrifying effect brought by the eruption of the *Finale*.

*Fourth Movement*

In a broad view, the *Finale* of the Ninth Symphony is perhaps one of the few symphonic movements ever written which provokes an almost unlimited number of different analyses and interpretations. Solomon, in regarding the entire work, stated that "the Ninth Symphony is a symbol whose referents cannot be completely known and whose full effects will never be experienced" (1986, 10). Moreover, it is in the *Finale* of the Ninth Symphony where Beethoven employs his largest orchestra; one may even consider it as the first "romantic" orchestra, due to its unprecedented enormous proportions. As already stated before, he was looking for the most striking way possible of conveying the message from Schiller's poem; not only does he make use of his greatest orchestra, but he also employs four solo singers and a choir, an audacious and unparalleled step towards a new symphonic ideal.

Before we begin the proper analysis of the *Finale*, however, it is important to understand how Beethoven actually structured this movement. According to Charles Rosen, the *Finale's* structure can be understood as a "four-movement symphonic form" (1972, 440), or in other words, a symphony in miniature. Rosen explains that:

The opening expository movement leads to a B flat major scherzo in military style with Turkish music; a slow movement in G major introduces a new theme; and a finale begins with the triumphant combination of the two themes in double counterpoint . . . . With the Ninth Symphony, the variation set is completely transformed into the most massive of finales, one that is itself a four-movement work in miniature. (1972, 440)
Based on Rosen's point of view, Levy outlines the *Finale* as follows:

"Movement" I (mm. 1-330)

"Introduction": Fanfare, Instrumental Recitative, Recollections (mm. 1-91)
Instrumental theme and variations (mm. 92-207)
Fanfare, Vocal Recitative, Vocal theme and variations (mm. 208-330)
Text = Verses 1-3

"Movement" II (mm. 331-594)

"Scherzo" ("Turkish" music)
Text = Chorus 4

"Movement" III (mm. 595-654)

"Andante-Adagio"
Text = Chorus 1 and 3

"Movement" IV (mm. 655-940)

"Finale"
Text = Verse 1 and Chorus 1

The *Finale* begins in the most violent way one can imagine, completely crushing the peaceful scene of the third movement. Grove describes it as "a horrible clamour or fanfare" (1962, 370) - all the tragedy from the first and second movements returns here in the full power of the drums, winds, and the contrabassoon, which makes its first appearance here in the Ninth, remaining until its very end (Beethoven also employed this instrument in the *Finale* of the Fifth Symphony). In fact, the source of the "terror" is the harmonic conflict of the first chord: a D minor in first inversion, with an octave B-flat played by the flutes, oboes and clarinets, naturally resolving in a downward motion to A (Figure 34). Levy suggests the idea of the B-flat not as an *appoggiatura*, but a suspension
Figure 34. Beethoven: Ninth Symphony, Mv. IV, mm. 1-10

*Selon le caractére d’un Recitatif, mais in Tempo.*
from the B-flat key in which the third movement ends. He explains that "the purpose of beginning this movement with a suspension, as well as with the chaotic measures that follow it . . . is to disrupt the mood of the preceding Adagio in the rudest possible fashion" (2003, 94). Furthermore, Beethoven evokes the reminiscences from the earlier movements by superimposing the two pitches (B-flat and D) that played an important role throughout the entire symphony so far (Levy 2003, 95).

The "terror fanfare" (as once called by Wagner) is then interrupted by the first instrumental recitative, played by cellos and basses "at the border of human speech" (Lockwood 2003, 434), as a tentative rejection of all the previous disturbance. However, that seems to fail when the explosive fanfare bursts once again, now even more violent. The "conversation" continues with the response of the cellos and basses, which seems to temporarily defeat the "terror fanfare." Now, Beethoven begins to elaborate his triumphal transition from the instrumental to the vocal part of this symphony. He literally brings back the ideas of each of the preceding movements, followed by the lower strings' recitative that rejects them all, as if searching for the ideal tune for his Finale. Then, the woodwinds bring a little "fresh air" to the scene by presenting a new musical idea which later will become the main theme for the Finale, but here in the key of the dominant of D (A major). Having reached that point, the recitative moves towards an authentic cadence in the key of D major, as a welcome affirmation of both the new theme and tonality.

Now, the same voices that rejected all the preceding musical ideas from the first three movements are the first to present the new theme, which later will become the "Ode to Joy" theme. It is important to observe that, at this point, Beethoven uses a similar procedure as he did in the Eroica, where he presented the main theme in the lower voices;
however, he does it here in a quite different approach. Not only are the cellos playing the theme, but also the basses, which constitutes the lowest sounds of the orchestra. Also, the theme is presented by them in its entirety, without the intervention of any other instrument and, most importantly, in _pianissimo_. How interesting it is, at least for a moment, to look back in time and find virtually all the symphonic main themes being played by the higher registers in a clear and "audible" level of dynamics. The idea that if you really want to be heard, speak very softly has never been so true. Once again, Beethoven was taking an extremely important step towards a varied and inventive use of orchestral instrumentation.

After introducing the "Joy" theme, Beethoven starts a set of three instrumental variations which progressively adds new layers of sound until it totally fills the entire musical space. The violas are the first to join the basses, together with a counterpoint in the first bassoon, followed by the violins and finally the entire orchestra (except third and fourth horns). The same idea of presenting a musical idea which gradually grows both in dynamics as in sound (from lower to higher registers) until it fulfills the musical space could also be observed in the second movement of the Seventh Symphony.

Following the instrumental variations of the theme, a short coda leads to the dominant, A major, and the music gratefully returns to the D minor "terror fanfare" of the beginning, now with an even greater level of repulsion - a result of the superimposition of a D minor chord and a complete diminished seventh chord formed from its leading tone (Figure 35). Though at this time, the answer is not given by the instrumental recitative, but by the human voice of the bass soloist, in Beethoven's own words:
Figure 35. Beethoven: Ninth Symphony, Mvt. IV, mm. 208-214
"O Freunde, nicht diese Töne! Sondern lasst uns angenehmere anstimmen, und freudenvollere" ("Oh Friends, not these tones! Rather let us sing more pleasant ones, and more full of joy").

Indeed, the human voice brings a decisive rejection to the whole idea presented so far, marking the ultimate defeat of the "catastrophic sounds." This rejection, however, as being addressed to the Finale itself, is in fact, a rejection of the entire symphony - a rejection of the tragic and a victory for joy. The bass singer then, in effect, invites the other singers and chorus to join him "in what now must be not just a symphonic finale but a specifically vocal celebration of joy and brother-hood" (Lockwood 2003, 435), proceeding to sing the "Joy" theme in the words of the first part of Schiller's poem:

Freude, schöner Götterfunken,  
Joy, beautiful spark of divinity,  
Tochter aus Elysium,  
Daughter of Elysium,  
Wir betreten feuertrunken,  
We enter thy sanctuary,  
Himmlische, dein Heiligtum;  
Heavenly one, drunk with fire;  
Deine Zauber binden wieder,  
Your magic binds again,  
was die Mode streng geteilt;  
what custom strictly divided;  
alle Menschen werden Brüder,  
all mankind become brothers,  
wo dein sanfter Flügel weilt.  
where your gentle wing abides.

Then, the music proceeds with a series of variations that includes all four soloists and the choir, ending what we previously called the "first movement" of the Finale. Now the music leads to what Grove stated as a "come down from heaven to earth; but a splendid earth, full of the pomp and circumstance and also the griefs of war" (1962, 382). This "second movement" marks the shift to the key of B-flat major and a change of tempo, meter and instrumentation, in a clear representation of a military march which has
a variation of the "Joy" theme as the melody. In order to create that specific and characteristic sound, Beethoven employs the bass drum, piccolo, triangle and cymbals, besides flutes, oboes, clarinets, horns, bassoons and contrabassoon (the percussion instruments listed are used here for the first time in his symphonies).

The "third movement" is marked by the beginning of the *Andante maestoso* section in the key of G major carrying a solemn religious character. A new melody rises following a similar principle of presentation as the "Joy" theme: it is first given by the voices of tenors and basses, plus the bass trombone, which has been in silent since the *Trio* of the second movement. Then, the theme is repeated but now harmonized by the full chorus and orchestra. The use of the trombone reinforces the idea of religiosity conveyed at this moment, since this instrument was traditionally associated with sacred music (Levy 2003, 112). The verses from Schiller's poem which are sung by the voices in this part are as follows:

*Seid umschlungen, Millionen!* Be embraced, you millions!
*Diesen Kuß der ganzen Welt!* This kiss is for the entire world!
*Brüder! über'm Sternenzelt* Brother! over the starry canopy
*Muß ein lieber Vater wohnen!* Must a loving father dwell!

We now reach the point where the religious quality of the Ninth finds its great moment, with changes in key, tempo and character in the music. The *Adagio ma non troppo, ma divoto*, is presented in the key of G minor, in which its sublime mood is in a great portion owed to the remarkable way that Beethoven treats the instrumentation. The instrumental interlude presents a sonority which seems to unmistakably evoke the most
deep feelings of mystical devotion to the idea of a divine presence lying above the stars - all given by a unparalleled combination of the woodwinds, cellos and violas. Following the interlude, the chorus enters the scene by singing the following words, from which we now have no doubt about Beethoven's intention of conveying his sacred message:

\begin{align*}
\text{Ihr stürzt nieder, Millionen?} & \quad \text{Do you prostrate yourselves, you millions?} \\
\text{Ahnest du den Schöpfer, Welt?} & \quad \text{Do you sense the Creator, world?} \\
\text{Such ihn über'm Sternenzelt!} & \quad \text{Seek him beyond the starry canopy!} \\
\text{Über Sternen muß er wohnen!} & \quad \text{Beyond the stars he surely must dwell!}
\end{align*}

It is important to observe how the entire musical space moves towards higher pitches and volume (see Figure 36), as if Beethoven was showing the proper direction in which all the people should offer their prayers (Levy 2003, 113). In regards to the same idea, Grove explains that "by keeping the voices and instruments in the upper registers, Beethoven has produced an effect which is not easily forgotten. The flutes, oboes, and clarinets seem to wing their way up among the stars themselves" (1962, 385). Finally, the climax of this moment is reached with a great level of tension on the \textit{fortissimo} chord of E-flat major, where "the world is assured that the seat of God lies not in the dust, but beyond the stars" (Levy 2003, 113).

This solemn moment of the \textit{Finale} ends with a prolonged fully-diminished chord, in \textit{pianissimo}, played by the entire orchestra and the whole choir singing a repetition of the verse "Über Sternen muß er wohnen!" ("Beyond the stars he surely must dwell!"). The resulting effect is both astonishing and sublime, characterized by a sense of hanging on the edge of the infinite, where time seems not to exist at all.
Figure 36. Beethoven: Ninth Symphony, Mvt. IV, mm. 636-649
The shift to the 6/4 meter, the D major key, and the tempo *Allegro energico, sempre ben marcato* represents the beginning of the "last movement" of the *Finale*, which in summary represents the celebration of joy in reconciling and reuniting all mankind under the grace of their Creator. In the last section of this movement, *Prestissimo*, Beethoven prepares his final resolution by bringing together all the instruments employed so far in this symphony - the result is an unprecedented powerful mass of sound, which brings the proper ending to this monumental work.

Beethoven's ideal vision of a united and equal brotherhood of man was finally fulfilled with the Ninth Symphony. Once again, as in the Fifth Symphony, the triumph over adversity is illustrated, but now in a broader sense. Not only is the hero's victory depicted in the Ninth, but also the ultimate triumph of all mankind against the adversities of life. Perhaps for the first time in all of music history, an artist was conscious of a creation that would serve not only as a great musical work, but as an instrument of monumental power which could deliver a message to a far-reaching audience, the world itself, as a true legacy to all humankind. As Lockwood stated, "by using Schiller's 'Ode' to directly address humanity at large, Beethoven conveys the struggle of both the individual and of the millions to work their way through experience from tragedy to idealism and to preserve the image of human brotherhood as a defense against the darkness" (2003, 440).

The Ninth Symphony was premiered on May 7, 1824, in the famous and very expected concert at the *Kärntnertortheater* in Vienna, along with the *Consecration of the House* (or *Die Weihe des Hauses*), op. 124, and a partial performance of the *Missa Solemnis*, op. 123. Beethoven's deafness had, by that time, become total, but he stood by the side of the conductor, watching the entire performance closely, often indicating the
various *tempi* of the movements. When the music finally came to its end, an "incident occurred which must have brought the tears to many an eye in the room" (Grove 1962, 335). That episode, as written by Grove, was told to himself by Madame Sabatier-Ungher, who sang the contralto part in the premiere, and for that reason is included here in his exact words:

At the close of the performance . . . [t]he master [Beethoven], though placed in the midst of this confluence of music, heard nothing of it at all and was not even sensible of the applause of the audience at the end of his great work, but continued standing with his back to the audience, *and beating the time*, till Fräulein Ungher, who had sung the contralto part, turned him, or induced him to turn round and face the people, who were still clapping their hands, and giving way to the greatest demonstrations of pleasure. His turning round, and the sudden conviction thereby forced on everybody that he had not done so before *because he could not hear what was going on*, acted like an electric shock on all present, and a volcanic explosion of sympathy and admiration followed, which was repeated again and again, and seemed as if it would never end. (1962, 334-335)
Chapter 5

Changes and Innovations in Beethoven's Orchestra

It is evident that the orchestra and the genre of the symphony both underwent a serious transformation after the striking influence of Beethoven. However, it is not a simple task to understand in more detail how these changes came about. In a broad view, we can observe a symphony of Mozart, and then a symphony of Berlioz or Mahler to understand that there is a considerable "distance" separating those works, at least in terms of the orchestra's proportion. Beethoven's symphonies stand right in between them, serving as a "bridge" that connects the Classical symphony (with its standard orchestra) to the Romantic symphony, now with a clearly enlarged orchestra. Thus, we arrive at the point which is exactly the main goal of this research: to illustrate how Beethoven's symphonies transformed music and, consequently, resulted in the expansion of both the genre and the orchestra. The question should be asked once again: how are Beethoven's symphonies distinctive from those of his predecessors and contemporaries, given the fact that he basically used the same forces as, for instance, Haydn and Mozart? The answer, as a matter of fact, cannot be put into a single sentence; however, based on the previous analysis of Beethoven's nine symphonies, one can collect and organize the ideas in order to propose a concrete answer to the question stated above.
The Enlargement of the Orchestra

When listening to one of Beethoven's symphonies, perhaps the first idea that comes to one's mind is of a larger orchestra with many additional instruments, compared to the one of Mozart, for example. On one hand, that idea is not true; we could observe that many of the changes were due to the way that Beethoven employs and treats the instruments of his orchestra, rather than adding additional ones. On the other hand, some of his symphonies confirm a considerable change regarding the addition of more instruments, and here the Ninth Symphony (especially the Finale) represents the best example. In fact, if Beethoven did not make any considerable change earlier in his orchestra in the aspect of the inclusion of additional instruments, he really takes a crucial step with the monumental expansion of the Ninth Symphony. Lockwood already observed that "the Ninth Symphony came down on later nineteenth-century symphonic composers like an avalanche . . . no symphonist after Beethoven could avoid its impact" (2003, 438). That impact was as broad and wide as one can imagine considering every aspect which includes the setting of a new standard for the symphony orchestra. After Beethoven, the standard orchestra of the Romantic period became, in general terms, the orchestra of the Ninth Symphony - the use of trombones, piccolo, contrabassoon, and a varied set of percussion instruments became the standard, as well the employment of four horns. We can have a clearer view of this point by placing, side by side, the scores of Mozart's last symphony, Beethoven's Ninth Symphony, and Mahler's Fifth Symphony, as shown in Figure 37. In other words, all of Beethoven's Symphonies, with the exception of the Ninth, were composed for an "expanded" version of the Classical orchestra - Beethoven pushed his orchestra to its limits without any substantial addition of
Figure 37. Comparison of Symphonies by Mozart, Beethoven and Mahler.

Mozart: Symphony No. 41 “Jupiter”, First Movement

Beethoven: Symphony No. 9, Finale (Chorus lines omitted)

Mahler: Symphony No. 9, Third Movement
instruments. The next step to take would be the inevitable increase of forces in the orchestra of his Ninth Symphony, continued by the next generation of composers of the nineteenth century, including Brahms, Berlioz and Mahler, among others. Nevertheless, this idea is valid only when speaking about the Ninth Symphony, especially its *Finale*. From this point of view, the last bars of the Ninth open the doors for the Romantic symphonic music of the nineteenth century.

*The Element of Dynamics in Beethoven's Music*

The first aspect to observe in Beethoven's orchestral sound is the distinctive use of a varied level of dynamics. Bekker explained that:

Dynamics are a manifestation of emotion. In Beethoven's music feeling has broken into the rational structure of Haydn's musical form, the individual tendency of Mozart's. This is its fundamental characteristic. And this expression of feeling was an outburst of new spiritual forces awakened by the stirring events taking place in all fields of human activity, especially by social and political revolution . . . . Beethoven as a young man had seen the effects of the French Revolution. He sympathized with the new ideas of humanity, cosmopolitanism, liberty, equality, fraternity. But these ideas . . . could not be realized in a musical medium that was perfectly clear and objective. For they sprang from vague, un governed instincts, from emotions that fluctuated with irregular excitations. Their expression in music required a similarly irregular rise and fall of line, calling forth no rational concreteness of form but a more indefinite, flowing motion . . . . for this purpose the dynamic element in music was the best possible medium, and the development of dynamics in the most widely varying directions must be recognized as Beethoven's main objective. (1963, 93)

Beethoven treats the placement and shifts of dynamics as a fundamental compositional component, often associating dynamic level with color and timbre, achieved through his remarkable use of orchestration. A good example can be seen in the introduction to the first movement of the Fourth Symphony, where a moment of
continuous *piano* is slightly disrupted by a periodical sequence of *sforzandi*, leading to a *fortissimo* with the addition of the sound of timpani and trumpets. Another example is found in the opening bars of the Eighth Symphony, where the main theme is presented by two alternating groups of instruments: the whole orchestra in *fortissimo* and the winds in *piano*. Beethoven clearly makes a distinction of the level of dynamics accordingly to the use of instrumentation in the music. In addition, he also uses the orchestral *tutti* as a device to create moments of *subito* changes in dynamics and to evoke a shocking surprise in the listener. In the development section, the first movement of the Eighth Symphony presents a sequence of sudden changes in dynamics and texture. In the transition from the *Scherzo* to the *Finale* of the Fifth Symphony, the abrupt and powerful *crescendo* to the orchestral *tutti* in *fortissimo* brings the ultimate victory of light against the darkness of fate. On the other hand, Beethoven also shocks the listener with the use of extreme levels of softness, especially when applied to larger groups of instruments, as in the third movement of the *Eroica*. Another resource which Beethoven uses to achieve great levels of dynamic contrasts is the employment of solo instruments singled out from the orchestra. The third movement of the *Pastoral* Symphony is an excellent example, with the oboe, clarinet and horn playing an important role as solo instruments (Botstein 2000, 175-176).

*The Woodwinds, French Horn, Timpani, and the Unison*

During the analyses of the symphonies, one of the most often commented upon characteristics of Beethoven's music was his unique and unprecedented treatment given to the woodwinds, in particular the oboe, clarinet and bassoon, and to the French Horn in
the brass section. An important observation made by Bekker focuses on the fact that the structure of Beethoven's themes resulted from the individual qualities of the instruments. He explains that, starting in the *Eroica*, the winds became predominant, "which means the themes themselves were invented and shaped in such a manner that they might be given their most impressive expression by the winds" (1963, 112). That affirmation does not imply that Beethoven's themes were not appropriate for the strings, but they were suitable for any instrument, either from the woodwinds or strings. That is true when we observe the *Allegretto* of the Seventh Symphony: the theme begins in the low strings, rising gradually through all registers of strings and winds, finally reaching the full orchestral climax of that section. Bekker concluded that the woodwinds were "no longer only accentuating but absolutely individual voices [and] their colors . . . often determined the character of a movement or of a whole work" (1963, 113). One of the most celebrated examples of the important role given to the woodwinds is the oboe solo in the recapitulation of the first movement of the Fifth Symphony. No less important is the role of the oboe in the Funeral March of the *Eroica*, in the third movement of the *Pastoral* Symphony, and in the opening introduction of the Seventh Symphony.

In the same way, the clarinet represents one of the most distinguished characteristics of Beethoven's sound in the symphony. Many examples of its unique role can be taken from the Third, Fourth, Sixth and Seventh Symphonies. Perhaps the most famous is the significant part played by the clarinet in the last movement of the *Pastoral* Symphony. For Botstein, "the flexible and prominent use of the clarinets by Beethoven changed the possibilities for color and timbre in the disposition of the whole wind section in contrasting groupings, particularly in the combination of oboe and bassoon; flute,
oboe, and bassoon; and clarinet, bassoon, and oboe" (2000, 177). The Adagio of the Ninth Symphony clearly illustrates this point.

The role of the bassoon in Beethoven's orchestra became something more than its traditional function as a bass supporting instrument and, in combination with the oboe and clarinet, represented one of the most characteristic sounds of Beethoven's music. He also widely employed the bassoon as a solo instrument in his symphonies. Examples of the prominent use of the bassoon can be seen in the first movement of the Fourth Symphony. Lastly, in the brass section, the French Horn received special attention as well, also playing an important and expanded role in Beethoven's symphonies. Before Beethoven, the role of the horn was almost entirely devoted to harmonic purposes. "The day was soon to come, however, when the horn, willy-nilly, once again took up the role of a melodist, and this was a development in which Beethoven played a considerable part" (Gregory 1952, 303). Botstein affirmed that "the subtle and extended use of the French horn is one of the salient features of Beethoven's orchestration technique. These instruments not only provide harmonic background, or combine with trumpets and timpani in tuttis, but they also state and vary themes. And they play a lyrical role" (2000, 179). As examples, we can mention numerous passages where the French horn plays an important role: in the well-known passage right before the recapitulation in the first movement of the Eroica; the celebrated horn-call announcing the second subject in the first movement of the Fifth Symphony; and the important participation in the construction of varied coloristic effects in several passages in the Ninth Symphony.

The timpani are another example of instruments that played a considerable role in Beethoven's symphonies. In the last movement of the First Symphony (measures 219-37),
the timpani assume a leading role as an integral part of the whole. The famous transition from the *Scherzo* to the *Finale* of the Fifth Symphony is also an important example of the crucial role the timpani plays. And above all, the striking presence of the timpani is marked by its solo role played in the second movement of the Ninth Symphony.

Despite Beethoven's remarkable use of solo instruments and new combinations of winds and brass, a concomitant feature in his symphonies is the use of full orchestral unisons, exploring wider registers in order to achieve an unmatched density of sound. Perhaps the best example of this feature can be observed on the first movement of the Ninth Symphony (measures 17-20), where the orchestral *tutti* plays in unison the descending notes in D minor that compose the main theme.

*A New Approach to the String Section in Beethoven's Orchestra*

The expansive character of Beethoven's music, expressed particularly through his symphonies, considerably affected the string section of the orchestra in several aspects. Hamilton Harty, on reflecting about Beethoven's orchestra, pointed out that:

> Beethoven differs from other great composers in one fundamental quality. His ideas are often too powerful and unconventional to be completely expressed by means of the technical mastery at his command. In his orchestral works especially, we are vaguely conscious that the power and weight of his musical thought is not always matched by an equal strength and resource in craftsmanship. (1927, 172)

The consequence of this particular characteristic of Beethoven's approach to music was an increased demand in both the technical skill of the players and the quality of the instruments themselves. In musical terms, for instance, Beethoven uses an expanded
tessitura especially in the violin's upper register, as well as a variety of expressive markings such as pizzicato, staccato, and martellato. "If we take the nine symphonies and regard them from a merely technical point of view, they reveal, to an impartial eye, that the strings are always used with the greatest fullness and resource" (Harty 1927, 173). By understanding the string section of the orchestra as a five-voice choir, we can clearly observe how Beethoven expanded the individual role of each of those "voices," especially the violas, cellos and basses. When using the contrabass section independently from the cellos, Beethoven changed the role of the cellos to a more lyrical character, instead of having them only supporting the bass line. Likewise, the violas received a similar treatment, with a greater predominance on an independent solo role. Based on these views, we can mention several examples taken from the symphonies: the use of violas and cellos in the second movement of the Fifth Symphony, as well in the opening bars of the fourth movement of the Second Symphony; and the lower strings playing an important leading role in the second movement of the Eroica, in the Scherzo of the Fifth Symphony, as well in the last movement of the Ninth Symphony. Botstein stated that these changes "greatly expanded the possibilities offered in terms of color and texture by the string section" (2000, 181) - of which the second movement of the Seventh Symphony and the third of the Ninth make perfect examples. He also stressed that "the widening of the range of string color enabled him [Beethoven] to use the strings to achieve a kind of transparent yet harmonically interesting sound in a piano dynamic unlike anything heard in Mozart or Haydn" (2000, 181). Additionally, the role of providing the continuity of the line, in Beethoven's music, is not a sole privilege of the strings anymore. Instead, he constantly employs an alternation of the different groups of
instruments (strings, winds and brass) which becomes one of Beethoven's most particular characteristics in the use of strings.

In a last observation, the orchestra of the nineteenth century went through a considerable enlargement in the number of string players; a consequence of the significant addition of woodwinds and, especially, brass instruments. Adam Carse explained that "when, by the beginning of the 19th century, it had become an established custom to write for four pairs of wood-wind, a pair each of horns and trumpets, and drums, the string orchestra of fourteen or fifteen players was not powerful enough to balance the sound-quantity that was produced by twelve or thirteen wind instruments" (1948, 19). Beethoven was greatly responsible for introducing in the symphony orchestra not only the standard of pair of winds, including the clarinet as a permanent member of the woodwinds family, but the piccolo, a contrabassoon, three trombones, and ultimately another pair of horns. Carse also observed that, besides all those additions, "it became customary to employ a group of noisy percussion instruments [and] not only were the wood-wind placed in a position in which their sounds could be completely obliterated, but the call for adequate string-tone became what was practically an insatiable demand" (1948, 19).

As a way of providing a clearer and succinct understanding, two comparative tables will be presented at the end of this chapter to illustrate the instrumentation (Table 1) and the important aspects of each symphony by Beethoven (Table 2), based on the analyses previously presented in this research, that contributed to the development of the genre and the orchestra.
At this point, it is important to mention that Beethoven, in certain way, gave a significant contribution to the development of the instruments of the orchestra. The turn of the eighteenth century (from 1780 until around 1840) was marked for a major wave of changes in the design, construction and manufacture of musical instruments. It is true that these changes were partially due to the huge transformations of society with the French and Industrial Revolutions, but we should not ignore the fact that the improvement and development of the orchestral instruments are, in large part, a consequence of new demands by the music of a particular period, and in this case, Beethoven's music.

Reinhard Beuth stated that "musicians like Mozart and Beethoven were ... enormously ahead of their time. Beethoven certainly didn't compose for the fortepiano: he imagined the sound of the modern grand piano" (in Barclay 2003, 23). That same principle can be applied to his orchestral music as well. Another statement, this one by the organologist Laurence Libin, reinforces this idea:

The concept of biological and technological evolution implicit in typical nineteenth-century classification systems and museum displays can be represented schematically by a tree whose branches ascend slowly through time toward increasing diversity, complexity, and sophistication. The primary force nurturing this growth, so far as instruments are concerned, was commonly thought to be the rise of music as an art form, culminating in the masterworks of Beethoven, Wagner, and the rest of the Romantic pantheon. Where such inspired geniuses led, many believed, instrument makers naturally followed. (in Bijsterveld 2004, 651)

As discussed throughout this research, Beethoven's music often demanded new approaches both to the technical aspect of the players and to the potential of instruments. For instance, it was during the period of 1780 to 1840 that the bowed string instruments reached the detailed form they still carry to the present. According to Barclay, "as with all
other instruments of the orchestra, new sonority and carrying power were necessary to fill larger concert halls" (2003, 32). If we understand that the symphonies by Beethoven pushed the orchestra into a higher level of density and size, with the inevitable necessity of larger halls to accommodate that increasing orchestra, then it is possible to affirm that the enhancement of the orchestral instruments happened, at least partially, as a consequence of this change. Among these changes, we can mention, in the string instruments, a longer fingerboard, a longer neck which was angled back, a larger and stiffer bass bar, higher arching, higher bridge, and tougher strings, resulting in a deeply different acoustic and playing characteristics (Barclay 2003, 32). Nancy Groce makes a detailed observation of how some of the changes in the violin proceeded, when she wrote that:

the change from gut to metal or wound metal strings made it easier to tune up to the new, higher standard pitch; but it was soon discovered that the new, longer strings were putting a tremendous strain on the instruments. To compensate for this, the neck, which had previously been mortised into the body on a plane parallel to it, was now "thrown back," or angled down and away from the belly, by the insertion of a small wooden wedge between the body and the neck. To offset the negative effects of these changes, a slightly higher bridge was introduced; and to strengthen the body of the instrument, internal bracings, such as the soundpost and the bass bar, were significantly enlarged. (1986, 135)

The woodwinds as well underwent a substantial revision to accommodate the new demands for projection, volume and flexibility. Nancy Toff affirmed that "modifications in shape, materials, and hole placement have been the result primarily of the need to improve intonation and projection (volume); mechanical changes enhance technical dexterity" (1986, 138). The material used to construct a flute at that time, for example,
was wood, being gradually replaced by metal, in order to produce a more vibrant and stronger sound. In the brass section, it was discovered that, as explained by Barclay:

the addition of crooks to lengthen or shorten the vibrating length of an air column could also be accomplished by diverting the air flow by means of valves. Thus, a crook could be 'inserted' mechanically, rather than by hand, as pauses in the music allowed. The valve, itself, was not an innovation... but its application to musical instruments was the breakthrough... [and] as mechanical production became more reliable, these developments became adopted for use on trumpets and horns. (2003, 35)

At last, all these changes represented an important step in the development of the orchestra as we know it today. In fact, most of the instruments that comprise the modern orchestra are very similar, if not exactly the same, as they were in the late nineteenth century.
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Table 1. Comparison of Instrumentation of the Nine Symphonies.
Table 2. Comparison of Important Characteristics of the Nine Symphonies.

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<td>IV - Finale: Adagio, Allegro molto e vivace (C major)</td>
<td>IV - Allegro molto (D major)</td>
<td>IV - Finale: Allegro molto (E-flat major)</td>
</tr>
<tr>
<td>Important Aspects</td>
<td>- Added clarinets;</td>
<td>- Longer Introduction;</td>
<td>- First of Beethoven's symphonies published with a title;</td>
</tr>
<tr>
<td></td>
<td>- Unusual harmonic progression in the Introduction;</td>
<td>- One of the longest slow movements of all of Beethoven's symphonies;</td>
<td>- Employment of a third horn;</td>
</tr>
<tr>
<td></td>
<td>- Special use of the timpani in the second movement;</td>
<td>- First theme presented partially by the lower strings, rather than a complete melody in the upper strings;</td>
<td>- Symphonic work of unprecedented length;</td>
</tr>
<tr>
<td></td>
<td>- Minuet presented in a very fast tempo, almost a “Scherzo”</td>
<td>- Special use of woodwinds in the second movement;</td>
<td>- Development section greatly increased its proportions;</td>
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<td></td>
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<td>- The third movement is entitled “Scherzo” for the first time;</td>
<td>- Increased importance of the Coda;</td>
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<td></td>
<td></td>
<td>- Constant fluctuation of dynamics in the Scherzo.</td>
<td>- Theme developed from simple motivic units;</td>
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<td></td>
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<td>- Unusual employment of cellos to present the first theme;</td>
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<td>- Use of title in a movement of a symphony (Marcia funebre) as an important innovation on established practice;</td>
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<td>- Important oboe solo in the second movement;</td>
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<td></td>
<td></td>
<td>- Refined nuances of sounds by instrumentation in the Finale.</td>
</tr>
</tbody>
</table>
Table 2. (Continuation)

<table>
<thead>
<tr>
<th>Year</th>
<th>1806</th>
<th>1808</th>
<th>1808</th>
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<tbody>
<tr>
<td></td>
<td>Symphony No. 4</td>
<td>Symphony No. 5</td>
<td>Symphony No. 6 “Pastoral”</td>
</tr>
<tr>
<td>Opus</td>
<td>21</td>
<td>36</td>
<td>55</td>
</tr>
<tr>
<td>Key</td>
<td>B-flat major</td>
<td>C minor</td>
<td>F major</td>
</tr>
<tr>
<td>Movements</td>
<td>I - Adagio: Allegro vivace (B-flat major)</td>
<td>I - Allegro con brio (C minor)</td>
<td>I - Allegro ma non troppo (F major)</td>
</tr>
<tr>
<td></td>
<td>II - Adagio (E-flat major)</td>
<td>II - Andante con moto; Più moto (A-flat major)</td>
<td>II - Allegro (F major)</td>
</tr>
<tr>
<td></td>
<td>III - Menuetto: Allegro vivace; Trio: Un poco meno allegro (B-flat major)</td>
<td>III - Allegro (C minor)</td>
<td>V - Allegro (F minor)</td>
</tr>
<tr>
<td></td>
<td>IV - Allegro ma non troppo (B-flat major)</td>
<td>IV - Finale: Allegro (C major)</td>
<td>V - Allegretto (F major)</td>
</tr>
<tr>
<td>Important Aspects</td>
<td>- Great advance in orchestration and harmonic treatment;</td>
<td>- Most coherent and concise symphony ever written;</td>
<td>- One of the most successful attempts at Program Music;</td>
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<td></td>
<td>- Employment of only one flute in its instrumentation;</td>
<td>- Clear representation of “organic” music;</td>
<td>- First time in Beethoven’s symphonies where every movement received a title;</td>
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<td></td>
<td>- Expanded employment of the woodwinds;</td>
<td>- Often related to the idea of “sublime”;</td>
<td>- Five-movement Symphony;</td>
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<td></td>
<td>- Bassoon plays important solo role;</td>
<td>- First movement constructed basically from the same motivic unity (fate-motive);</td>
<td>- Remarkable thematic development;</td>
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<td></td>
<td>- Solo clarinet employed in the second movement;</td>
<td>- Special employment of the horns;</td>
<td>- Woodwinds play an important role when representing the sound of birds;</td>
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<td></td>
<td>- Innovative use of the timpani (drum-figure).</td>
<td>- Important oboe solo in the recapitulation;</td>
<td>- No interruption in between the last three movements;</td>
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<td>- Introduction of a new theme in the Coda;</td>
<td>- Celebrated clarinet solo in the last movement.</td>
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<td>- Second movement written in the key of submediant;</td>
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</tbody>
</table>
Table 2. (Continuation)

<table>
<thead>
<tr>
<th>Year</th>
<th>1812</th>
<th>1812</th>
<th>1824</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Symphony No. 7</strong></td>
<td><strong>Symphony No. 8</strong></td>
<td><strong>Symphony No. 9 “Choral”</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Opus</strong></td>
<td>92</td>
<td>93</td>
<td>125</td>
</tr>
<tr>
<td><strong>Key</strong></td>
<td>A major</td>
<td>F major</td>
<td>D minor</td>
</tr>
</tbody>
</table>
| **Movements** | I - Poco sostenuto - Vivace (A major)  
II - Allegretto (A major)  
III - Presto (F major)  
IV - Allegro con brio (A major) | I - Allegro vivace e con brio (F major)  
II - Allegretto scherzando (B-flat major)  
III - Tempo di minuetto (F major)  
IV - Allegro vivace (F major) | I - Allegro ma non troppo, un poco maestoso (D minor)  
II - Moço vivace; Presto (D minor)  
III - Adagio molto e cantabile (B-flat major)  
IV - Presto (D major) |
| **Important Aspects** | - First movement presents the longest introduction section of all of Beethoven's Symphonies (also considered as an independent movement);  
- Conflict represented by the alternation of duple and triple meters;  
- Unprecedented employment of the woodwinds;  
- Main theme presented by the flute in the First Movement;  
- Strong rhythmic pattern brings unity to each movement;  
- Wide and agressive use of dynamic variation;  
- Use of a symmetrical large-scale rhythm in the Allegretto;  
- Unprecedented management of the musical space in the Allegretto. | - One of the best representations of Beethoven's humorous side;  
- Emulation of the Classical symphony of Beethoven's predecessors, but with great originality and remarkable use of instrumentation;  
- Rare use of fortississimo dynamic marking (fff);  
- Theme played by the lower strings in the recapitulation;  
- Shift of the highest point of tension from the development to the recapitulation in the First Movement. | - The largest of all of Beethoven's Symphonies (in every aspect);  
- Employment of piccolo, contrabassoon, three trombones and the infrequent set of four horns, a bass drum, triangle and cymbals;  
- Ambiguous beginning of the First Movement (not an Introduction, not the Exposition);  
- Remarkable use of orchestral tutti in unison when presenting the main theme in the exposition section;  
- Unexpected key of B-flat major for the second theme;  
- Recapitulation presents a transformed main theme in the key of D major (instead of D minor);  
- Moment of recapitulation as the high point of dramatic conflict and tension rather than the moment of release;  
- Use of baroque elements such as fugato and the descending chromatic figure in the Coda of the first movement;  
- Scherzo is presented as the second movement;  
- Important solo role of the timpani (tuned in octaves) in the Scherzo;  
- Expanded combination of woodwinds in the Adagio;  
- Finale of huge proportions, in the major mode of the tonic;  
- Employment of instrumental recitative in the Finale;  
- Return of the three previous movements in the Finale;  
- “Joy” theme first presented by the lower strings;  
- Employment of solo singers and a choir;  
- Role of the symphony as a means of communicating a message of joy for humanity. |
Conclusion

The music of Ludwig van Beethoven represents one of the most crucial turning points in the history of western music. He was a man who truly lived entirely for his art, and his music can be considered as the mirror by which one can see his very self. Beethoven himself once wrote: "The true artist has no pride. He sees unfortunately that art has no limits; he has a vague awareness of how far he is from reaching this goal; and while others may perhaps be admiring him, he laments the fact that he has not yet reached the point whither his better genius only lights the way for him like a distant sun" (Anderson 1961, 381). As a man, he had an extremely troubled existence; deafness was possibly the most intricate of all the circumstances which fate had brought into his life. "Yet I should be happy, perhaps one of the happiest of mortals, if that fiend had not settled in my ears - If I had not read somewhere that a man should not voluntarily quit his life so long as he can still perform a good deed, I would have left this earth long ago - and, what is more, by my own hand" (1961, 270). Indeed, Beethoven rejected all suicidal impulses because of his conviction that he still had great accomplishments to achieve, despite his tragic circumstances.

In summary, both his personal struggles with a distressed life and the revolutionary ideals that were so present during his years of early maturity significantly
influenced his musical production. His remarkable inventiveness and virtually unlimited imagination demanded an orchestra of much grander proportions and capabilities than the standard Classical orchestra of Haydn and Mozart. Through his symphonies, Beethoven pushed his orchestra to its limits, culminating with the considerable enlargement in size of the Ninth Symphony.

The nine symphonies, with their monumental proportions, were perceived by the early Romantics of the nineteenth century as a new world in terms of orchestral sound and coloristic variety. Not only did a larger orchestra became standardized with the introduction of new instruments, but in addition expansive and unparalleled treatment was given to the orchestra's components and their many combinations. Furthermore, the multi-movement Classical symphony gave place to the organic symphonic whole, with the introduction of an intense relationship between the elements of its movements, a feature that is observed particularly in the Fifth Symphony. A similar procedure applies to the Ninth Symphony, with the recapitulation of the previous materials from all the first three movements in the Finale. The use of contrasting instrumental groups, the emancipation of some instruments from the orchestra for solo purposes, and the unprecedented combinations of instruments brought to Romantic composers a variety of new possibilities in the symphonic world.

Perhaps no other composer was able to reflect his own life in his music in such a remarkable manner. With Beethoven, music (and here especially the symphony) became an instrument of communication of superior ideals to an audience of vast proportion, in fact, an audience that included all of humanity. In addition, the symphony became to Beethoven a means to convey the expressions and emotions of both the individual and
humankind, at a time where the revolutionary ideals of freedom and fraternal brotherhood were far away from becoming true. This is one of the reasons that Beethoven's music is timeless, and will never grow old. It carries the essence of our own human nature, and brings us to his ideal world, albeit still distant, where all men become brothers. Mozart was certainly right, when in 1787 he once said, after observing the yet young Beethoven improvising on the keyboard: "Keep your eyes on that fellow; one day he'll give the world something to talk about" (Hamburger 1951, 21).
Appendix

One fearful winter's day in Vienna, in 1794, the snow standing deep and still falling fast, and traffic almost entirely suspended in the streets, Countess Theresa Brunswick, then a girl of fifteen, was waiting for Beethoven's arrival, to give her her pianoforte lesson. Weather never stopped him; but when he appeared it was obvious that as great a storm was raging in his mind as in the streets. He entered with hardly a motion of his head, and she saw at once that all was wrong.

'Practised the Sonata?' said he, without looking. His hair stood more upright than ever; his splendid eyes were half closed, and his mouth - oh, how wicked it looked! In reply to his question, she stammered out 'Yes, I have practised it a great deal, but -'

'Let's see.' She sat down to the piano and he took his stand behind her. The thought passed through her mind, 'If I am only fortunate enough to play well!' But the notes swam before her eyes, and her hands were all of tremble. She began in a hurry: once or twice he said 'Tempo,' but it made no difference, and she could not help feeling that he was getting more impatient as she became more helpless. At last she struck a wrong note. She knew it at once, and could have cried. But then the teacher himself struck a wrong note, which hurt his pupil both in body and mind. He struck - not the keys, but her hand, and that angrily and hard; strode like mad to the door of the room, and from thence to the street-door, through which he went, banging it after him.

'Good God,' she cried, 'he's gone without his coat and hat,' and rushed after him with them into the street. Her voice brought in the mother from her boudoir, curious to see the reason of the noise. But the room was empty, and both its door and the street-door stood open; and the servants, where were they? Everything now had to give way to the shocking certainty that her daughter, Countess Theresa von Brunswick, had actually run out into the street after the musician, with his coat, hat, and stick! Fortunately she was not more than a few steps from the door when the frightened servant overtook her, Beethoven meanwhile standing at a distance waiting for his things, which he took from the man and went off without a sign of recognition to his pupil.' (Grove 1962, 154-155)
References


Carse, Adam. 1940. *The Orchestra in the XVIIIth Century*. Cambridge: W. Heffer & Sons Ltd.


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