

Roberto Scoccimarro

**Beethoven's Sketches for the Last Movement  
of the Sonata Op. 106. Thoughts on the Creative Process**

In an article published in 1991, Nicholas Marston stated that the purpose of his research on Beethoven's sketches for the *Hammerklavier* Sonata Op. 106 was "not primarily to study the sonata or its genesis, but to establish a reliable basis for future such work by addressing some of the problems associated with the sketches".<sup>1</sup> Since then, new contributions on aspects of the creation of the sonata have appeared, but perhaps not in the quantity expected by the author, and only in a few cases specifically dedicated to the sketches. Norbert Gertsch's contribution on the dating and evaluation of the sources, appeared ten years later, proposed relevant chronological clarifications and made available the necessary information in view of the critical edition, but precisely because it was aimed at this purpose, it could not deal with an analysis of the sketches.<sup>2</sup> Among the various aspects examined in it, its updated list of all known sketches for the sonata complements the previous one that appeared in the monograph by Douglas Johnson, Alan Tyson and Robert Winter, *The Beethoven Sketchbooks*.<sup>3</sup> The dissertation by Lana Chae (2014), on the other hand, is actually a new contribution to the study of the sketches, but, while taking into account most of the primary sources available, it represents only a further step in the extremely complex question of the genesis of the work.<sup>4</sup>

Indeed, the large quantity of sources and the difficulty of reading make an integral analytical study of the sketches for Op. 106 a challenge bordering on the impossible. Furthermore, the autograph manuscript, as is well known, is not preserved. Faced with the bulk of the material, this contribution aims to deal only with the sketches relating to the final movement, the three-voice fugue "con alcune licenze", including the introduction that precedes it. Among all the sketches for the sonata, those for the last movement are the most numerous;<sup>5</sup> many of them have not yet been transcribed. For the first three

- 1 Nicholas Marston: Approaching the Sketches for Beethoven's *Hammerklavier* Sonata, in: *Journal of the American Musicological Society* 44/3 (1991), pp. 404–450, here p. 405.
- 2 Norbert Gertsch: Ludwig van Beethovens "Hammerklavier"-Sonate op. 106. Bemerkungen zur Datierung und Bewertung der Quellen, in: *Bonner Beethoven-Studien* 2 (2001), pp. 63–93.
- 3 Douglas Johnson/Alan Tyson/Robert Winter: *The Beethoven Sketchbooks*. History, Reconstruction, Inventory, Oxford 1985, pp. 537f.
- 4 Lana Chae: *Beethoven's Sketches for the Piano Sonata Opus 106, "Hammerklavier"*. The Sketching of a Performance, Los Angeles 2014 (PhD dissertation, chair: prof. Neal Stulberg), available at <https://escholarship.org/uc/item/1sg2d2bh> (all weblinks in this article last consulted 21 January 2022).
- 5 Marston: Approaching the Sketches, p. 412.

movements, the lack of sketch transcriptions is less weighty. In the article mentioned above, for example, Marston actually deals with all movements except the last one, with particular attention to the third movement, *Adagio sostenuto*, although he also analyses some sketches for the transition to the fugue and early ideas for the fugue theme.

The composition of the last movement of the *Hammerklavier* engaged Beethoven from April 1818 to the end of that year. However, in the pocket sketchbook called *Boldrini*, used by the composer between Fall 1817 and April 1818 and now lost, there were already some ideas for the fugue subject, transcribed by Gustav Nottebohm in the 1870s and discussed by Marston in his article.<sup>6</sup> The points of reference available to establish the chronological order of the sketches for the fugue within the nine months in which it was composed are rather limited. As is known, for Op. 106 Beethoven did not use desk sketchbooks but only three pocket sketchbooks and a large quantity of loose leaves in desk format.<sup>7</sup> The order of these leaves can be reconstructed only on strong evidence of musical continuity or on their hypothetical relationship with the pocket sketchbooks.<sup>8</sup> Perhaps the greatest difficulty consists in proposing an order to the sketches that avoids too-simple assumptions, i. e. keeping in mind the peculiarities of Beethoven's creative method. Before finding a convincing solution to a compositional issue, Beethoven not only dissected it in countless attempts made in a similar form, but he could also temporarily return to a very different previous realisation only to definitively abandon it later. Therefore, while it is desirable and necessary to identify a directionality in the gradual modification of the compositional elements, it is appropriate to imagine that the creative logic did not manifest itself by following a 'straight path' but rather, one could say, a sort of a broken line. After all, the idea of a straight path exists only when we directly relate part of the sketches for a composition to the finished piece, even though the logic of the creative process does not necessarily coincide with that of the final result.<sup>9</sup>

Taking these factors into account, the materials transcribed here have been sorted according to their structural function as if they were part of an academic fugue. Although this approach may seem scholastic, it is justified by Beethoven's procedure. In a large part of the sketches for Op. 106 preserved today, the composer addressed the technical issues by creating groups of sketches dedicated to an element and its formal function: subject

6 Gustav Nottebohm: *Skizzen zur Sonata op. 106*, in: *Zweite Beethoveniana*, Leipzig 1887 (2<sup>nd</sup> revised edition), pp. 123–137; Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, pp. 347–357, 535f.; Marston: *Approaching the Sketches*, pp. 445–447.

7 Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, p. 535.

8 Marston: *Approaching the Sketches*, p. 420.

9 On this point see Bernhard R. Appel: *Sechs Thesen zur genetischen Kritik kompositorischer Prozesse*, in: *Musiktheorie* 20 (2005), pp. 112–122.

and countersubject, inversion and retrograde, augmentation, entrance of the second subject and its combination with the first one.

The aforementioned list of the sketch sources for Op. 106 in *The Beethoven Sketchbooks* contains the watermarks identified by the authors and further detailed information.<sup>10</sup> In Table 1, alongside the known watermarks, I added in the last column some dating information that diverges from what is reported in the catalogue entries of the relative music libraries. The proposed dates are based mainly on reasons of musical contiguity, sometimes supported by the identity of the paper type.

TABLE 1 Beethoven: Sonata Op. 106, sketch sources of the fourth movement<sup>11</sup>

Shelfmark	Format	Number of leaves	Paper type (JTW 1985) <sup>12</sup>	Number of staves	Date (catalogue entry)	Date (Literature)	Proposed date
GB-cfm, Mu. MS 289 <sup>13</sup>	pocket	1	33 <sup>14</sup>	12	ca 1817		
Boldrini (p. 18–127) <sup>15</sup>	pocket	64(?) <sup>16</sup>	?	?	–	Fall 1817 to April 1818 <sup>17</sup>	
D-BNba HCB Mh 94 <sup>18</sup>	desk	2	44	16	1817/1818		spring 1818
D-BNba HCB Mh 93 <sup>19</sup>	desk	2	40	16	1817/1818		spring–summer 1818?
D-BNba HCB Bsk 6/54 <sup>20</sup>	desk	1	41	16	1817/1818		
CH-Cobodmer Ms. 11651 <sup>21</sup>	desk	1	41?	16	no date		summer 1818?

10 Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, pp. 537f.

11 This table is a reworking of that of Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, pp. 537f., “Sketches in Standard Format for Opus 106”.

12 Ibid.

13 Permalink of ms. GB-cfm, Mu. MS 289: [https://idiscover.lib.cam.ac.uk/permalink/f/gnrrf3/44CAM\\_ALMA21397505980003606](https://idiscover.lib.cam.ac.uk/permalink/f/gnrrf3/44CAM_ALMA21397505980003606).

14 Marston: *Approaching the Sketches*, p. 407.

15 See Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, p. 348.

16 Ibid., p. 347.

17 Ibid.

18 Permalink of ms. D-BNba HCB Mh 94: [www.beethoven.de/de/s/catalogs?opac=hans\\_de.pl&\\_dokid=ha:wm240](http://www.beethoven.de/de/s/catalogs?opac=hans_de.pl&_dokid=ha:wm240).

19 Permalink of ms. D-BNba HCB Mh 93: [www.beethoven.de/de/s/catalogs?opac=hans\\_de.pl&\\_dokid=ha:wm239](http://www.beethoven.de/de/s/catalogs?opac=hans_de.pl&_dokid=ha:wm239).

20 Permalink of ms. D-BNba HCB Bsk 6/54: [www.beethoven.de/de/s/catalogs?opac=hans\\_de.pl&\\_dokid=ha:wm183](http://www.beethoven.de/de/s/catalogs?opac=hans_de.pl&_dokid=ha:wm183).

21 RISM ID no. of ms. CH-Cobodmer Ms. 11651: 400090159.

Shelfmark	Format	Number of leaves	Paper type (ITW 1985)	Number of staves	Date (catalogue entry)	Date (Literature)	Proposed date
D-BNba BH 125 <sup>22</sup>	desk	1 (fragment)	38	8 of 20	1817/1818		
US-PRScheide 132 <sup>23</sup>	desk	4	44 <sup>?</sup>	16	ca 1819		May/June 1818
A-wgm A 45	pocket	36	35	12		April to June or July 1818 <sup>24</sup> – Mid May 1818 to July 1818 <sup>25</sup>	
US-wc ML30.8b.B4	desk	4	44	16	1817 <sup>?</sup>		May–July 1818
A-wgm A 44	desk, pocket	14 (+3 desk leaves)	35	16 12		July/August 1818 <sup>26</sup>	
PL-Kj Mendelssohn-Stiftung 2 (partly belonging to A-wgm 44)	pocket	28	35 <sup>?</sup>	Different numbers of staves		July/August 1818	
D-B Mus.ms.autogr. Beethoven, L.v. 54 <sup>28</sup>	desk	1 (fragment)	41 <sup>27</sup>	10 of 16	1818 (summer/fall)		summer 1818
D-B Mus.ms.autogr. Beethoven, L.v. 58 <sup>29</sup>	desk	1	44	16	1818 (summer/fall)		
US-PRScheide 131 <sup>30</sup>	desk	6	38; 2; 33	8; 20; 12; 10; 16	1818 <sup>?</sup>		summer/fall 1818
D-B Mus.ms.autogr. Beethoven, L.v., Landsberg 9, pp. 1–16 <sup>31</sup>	desk	8	41	16	1818 (Fall)		July–Fall 1818

22 Permalink of ms. D-BNba BH 125: [www.beethoven.de/de/s/catalogs?opac=hans\\_de.pl&\\_dokid=ha:wm84](http://www.beethoven.de/de/s/catalogs?opac=hans_de.pl&_dokid=ha:wm84).

23 Permalink of ms. US-PRScheide 132: <http://arks.princeton.edu/ark:/88435/5h73q066m>.

24 Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, p. 351.

25 Gertsch: Ludwig van Beethovens “Hammerklavier”-Sonate, p. 70.

26 *Ibid.*

27 Paper type identified by Brenneis for the RISM catalogue entry 464001321.

28 RISM ID no. of ms. D-B Mus.ms.autogr. Beethoven, L.v. 54: 464001321. Catalogue entry by Clemens Brenneis. Digitisation: <http://resolver.staatsbibliothek-berlin.de/SBB0001788700000000>.

29 RISM ID no. of ms. D-B Mus.ms.autogr. Beethoven, L.v. 58: 464000847. Catalogue entry by Clemens Brenneis. Digitisation: <http://resolver.staatsbibliothek-berlin.de/SBB00014A6600000000>.

30 Permalink of ms. US-PRScheide 131: <http://arks.princeton.edu/ark:/88435/988ovv59s>.

31 RISM ID no. of ms. D-B Mus.ms.autogr. Beethoven, L.v., Landsberg 9, pp. 1–16: 464001324. Catalogue entry by Clemens Brenneis. Digitisation: <http://resolver.staatsbibliothek-berlin.de/SBB0001787400000000>.

Shelfmark	Format	Number of leaves	Paper type (ITW 1985)	Number of staves	Date (catalogue entry)	Date (Literature)	Proposed date
D-B Mus.ms.autogr. Beethoven, L.v., Grasnick 20b, fols. 7–8, 11–12 <sup>32</sup>	desk	4	41	16	1818 (Fall)		
US-NYpm, Cary Collection 550	desk	1	?	16		between Boldrini and A 45 <sup>33</sup> (early 1818)	
Listed in Sotheby's catalogue, 5 December 1997, <sup>34</sup> sold on 6 December 2002 and now in a private collection <sup>35</sup>	not viewed	1	?	8		ca 1818	

**Known sketch concordances** Before describing some affinities between groups of manuscripts observed during the study and transcription of the sketches, I will summarise here the already known connections, found mainly by Nicholas Marston and Sieghard Brandenburg.<sup>36</sup>

Sure points of reference for establishing chronological connections between the sketches for the fourth movement of Op. 106 are the pocket sketchbooks A-wgm A 45 and A 44, dated April–July and July–August 1818 respectively. The date of the manuscript A 45 has been established thanks to the words written by Beethoven on folio 25r/v and to an entry in his diary concerning his stay in Brühl (near Mödling) in May 1818;<sup>37</sup> that of A 44 has been ascertained on the basis of the Bagatelle WoO 60, composed on 14 August 1818, the sketch of which is found on folio 8r of that manuscript.<sup>38</sup>

The connection between the single leaf GB-Cfm Mu. MS 289 and the pocket sketchbook A 45 has been ascertained by Marston, who in particular underlines the affinity

<sup>32</sup> RISM ID no. of ms. D-B Mus.ms.autogr. Beethoven, L.v., Grasnick 20b, fols. 7f., 11f.: 464000279. Digitised version: <http://resolver.staatsbibliothek-berlin.de/SBB0000EE2F00000000>.

<sup>33</sup> Marston: *Approaching the Sketches*, p. 439.

<sup>34</sup> See Ira F. Brilliant: *Beethoven Auction Report Sotheby's (London), December 6, 2002*, in: *The Beethoven Journal* 17/2 (2002), pp. 72f. I thank Richard Kramer for further information about this source.

<sup>35</sup> See also the description of the manuscript on Sotheby's website ([www.sothebys.com/en/auctions/ecatalogue/2002/music-ballet-l02306/lot.16.html](http://www.sothebys.com/en/auctions/ecatalogue/2002/music-ballet-l02306/lot.16.html)).

<sup>36</sup> Sieghard Brandenburg: *Die Skizzen zur Neunten Symphonie*, in: *Zu Beethoven. Aufsätze und Dokumente*, Vol. 2, Berlin 1984, pp. 88–129.

<sup>37</sup> Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, pp. 353f.

<sup>38</sup> *Ibid.*, pp. 355–357.

between the fugue theme on the verso of MS 289 and that on folio 3r in A 45 (Figure 1). Marston suggests that MS 289 belongs to A 45.<sup>39</sup>

Here, however, it should be added that the paper type of MS 289 (type 33, see Table 1) is different from that found in all 36 leaves of A 45 (type 35).<sup>40</sup> Furthermore, in comparison with A 45, MS 289 presents a singularity: Beethoven wrote across the entire width of the leaf, like on a desk-format sketch.<sup>41</sup> This occurs in A 45 only on leaves 20v–21r (“the bibliographic center of the sketchbook”),<sup>42</sup> and only on stave 1. The authors of *The Beethoven Sketchbooks* do not exclude “the possibility of additional sheets at the outside of the gathering” of manuscript A 45.<sup>43</sup> If this were the case, for reasons of musical affinity the only plausible placement of MS 289 would be before leaf 1 of A 45, shortly before the aforementioned sketch of the fugue theme on folio 3r.

Considerations regarding the first theme of the Adagio sostenuto led Marston to also establish a concordance between A 45 and the manuscript D-BNba HCB mh 93, which includes, next to sketches for the third movement, also a few attempts for the beginning of the last one:<sup>44</sup> a fugue theme in c# minor,<sup>45</sup> here not shown, and a three-voice realisation of the fugue beginning (Figure 2) in a form not so far from the definitive one and quite close to many sketches in A 45.<sup>46</sup>



FIGURE 1 A-wgm A 45, fol. 3r, st. 4/5 (see GB-Cfm Mu. MS 289, recto)



FIGURE 2 D-BNba HCB mh 93, fol. 2r, st. 6/7

- 39 Marston: *Approaching the Sketches*, pp. 439–447. Marston’s transcriptions are on pp. 441f.
- 40 In Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, pp. 541–563, the known watermarks are described. Type 33 and 35 are on p. 555.
- 41 Unfortunately, I studied the sketch MS 289 only on the image reproduced in Marston: *Approaching the Sketches*, p. 422. It is difficult to say if the leaf was folded at the centre, like the leaves of A 45, but judging from the image, it would seem that it is not.
- 42 Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, pp. 351f.
- 43 *Ibid.*, p. 353.
- 44 *Ibid.*, p. 432.
- 45 D-BNba HCB mh 93, fol. 1r.
- 46 D-BNba HCB mh 93, fol. 2r/v.

Another known concordance has been observed between the fragment US-NYpm Cary 550 (verso) and a page of the miscellaneous manuscript PL-Kj Mendelssohn 2 (p. 44). Both contain an early formulation of the fugue subject apparently in compound time, still far from the final one; that of the Cary 550 fragment is explicitly called by Beethoven “fuga” (see Figure 7).<sup>47</sup> Sieghard Brandenburg has discovered that some leaves of Mendelssohn 2 belong to A-wgm A 44, as well as to other manuscripts that do not contain sketches for the Sonata Op. 106.<sup>48</sup>

The last of the known concordances is one between US-PRScheide 132 and D-B Autograph 54.<sup>49</sup> In both manuscripts, we find a version of the transition to the fugue that lingers at length on a dominant pedal and at the end includes a ninth chord. In this case, however, the sketches, although related in overall structure, are not as similar as found in the previous cases.

**TABLE 2** Overview of the relationships between sketch manuscripts on the basis of musical content and paper type

Groups of manuscripts	Format	Paper type
GB-Cfm Mu. MS 289	desk	33
A-wgm A 45	pocket	35
D-BNba HCB Mh 93	desk	40
US-NWpm Cary Collection 550	desk	?
PL-Kj Mendelssohn 2	pocket	35 <sup>?</sup>
A-wgm A 45	pocket	35
US-WC ML30.8b.B4	desk	44
US-WC ML30.8b.B4	desk	44
us-prscheide 131	desk	38
A-wgm A 45	pocket	35
US-PRScheide 131	desk	38
US-PRScheide 132	desk	44 <sup>?</sup>
US-PRScheide 132	desk	44 <sup>?</sup>
D-B Autograph 54	desk	41
A-wgm A 45	pocket	35
D-B Landsberg 9, pp. 1–16	desk	41

**47** Images of the fragment US-NYpm Cary 550 are on pp. 424 f. of Marston: *Approaching the Sketches*; transcriptions of the fugue theme from both manuscripts are on p. 438. In Cary 550 (verso), the fugue theme is in B $\flat$  major; in PL-Kj Mendelssohn 2 (p. 44), it is in D major.

**48** Brandenburg: *Die Skizzen zur Neunten Symphonie*, p. 102, No. 25. The pages that belong to A-wgm A 44 are 1–4, 43–46, 55/56, 93/94, 95–98.

**49** Marston: *Approaching the Sketches*, p. 447.

US-PRscheide 132	desk	44
D-BNba Mh 94	desk	44
US-wc ML30.8b.B4	desk	44
D-B Autograph 58	desk	44
CH-COBodmer Ms. 11651	desk	41
D-B Landsberg 9, pp. 1–16	desk	41
D-BNba HCB Bsk 6/54	desk	41
D-B Grasnack 2ob	desk	41

**Other concordances and affinities** Bearing in mind the aforementioned dates, April–July and July–August 1818, the first of the connections that were not observed until now can be found between A 45 and the four desk leaves of the manuscript US-wc ML30.8b.B4 (Figures 3 and 4).<sup>50</sup> On pages 1 and 2 of US-wc, Beethoven notated in relatively tidy handwriting some sketches of strettis and sequences using the head of the fugue theme, accompaniments for the fugue theme in arpeggios and broken chords as well as an extensive passage in the tonal regions of B major/E major. These sketches are all found in identical form on folios 17v–21v of A 45.



FIGURE 3 A-wgm A 45, fol. 19r, st. 11/12  
(identical to US-wc ML30.8b.B4, p. 1, st. 13/14)



FIGURE 4 A-wgm A 45, fol. 19v, st. 1  
(identical to US-wc ML30.8b.B4, p. 1, st. 14)

It appears that the manuscript US-wc – at least its first two pages – served as a copy of the sketches notated *en plein air* in the pocket sketchbooks, particularly in A 45. That Beethoven copied materials noted in his pocket sketchbooks on leaves in desk format in order to verify, improve or simply write them more neatly is well known; but the specific link of musical content existing between A 45 and US-wc is of particular interest here, for it contextualises the latter, which can thus be dated – with a margin of approximation, of course – between May and July 1818.

<sup>50</sup> The connection between A 45 and US-wc has already been suggested by Chae (2014); however, she does not draw any conclusions regarding the dating of US-wc and its function with respect to the pocket sketchbook. See Chae: *Beethoven's Sketches for the Piano Sonata Opus 106*, p. 143.



TABLE 3 Concordances between A-wgm A 45 and US-wc ML30.8b.B4

A-wgm a 45	US-wc ML30.8b.B4	Contents
fol. 17v, st. 11/12	p. 1, st. 10/11	Stretto on the head of the fugue theme
fol. 19r, st. 11/12	p. 1, st. 13/14	Fugue theme accompanied by broken chords in sixteenths
fol. 19v, st. 1/2	p. 1, st. 14	Sequence on the head of the fugue theme
fol. 19v, st. 3-7	p. 1, st. 15/16	Strettos on the head of the fugue theme
fol. 20v, st. 8/9	p. 2, st. 1/2	Stretto on the head of the fugue theme
fol. 21r, st. 2-11	p. 2, st. 1-6	Episode in B major/E major
fol. 21v, st. 1-4	p. 2, st. 7/8	Fugue theme accompanied by arpeggios in sixteenths

The US-wc manuscript in turn shows a link with another source in desk format, US-PRScheide 131; however, the concordance is limited to only two sketches:

TABLE 4 Concordances between US-wc ML30.8b.B4 and US-PRScheide 131

US-wc ML30.8b.B4	US-PRScheide 131	Contents
p. 1, st. 4	fol. 2v, st. 7/8	Countersubject with syncopated figurations
p. 1, st. 5 and 7	fol. 2v, st. 4	Chromatic sequence with the head of the fugue theme

The link between the two manuscripts offers a clarification of the dating of US-PRScheide 131. The catalogue entry proposes 1818 with a question mark, but a dating of summer/fall 1818 appears to be more exact, suggested by the connection with A 45 and also by another sketch for the transition to the fugue in a very advanced stage to which I will return later.

Another manuscript preserved at Princeton, US-PRScheide 132, shows a connection to A 45 and Scheide 131. In Scheide 132, as in A 45, we find a formulation of the fugue exposition in which the subject, after the sixteenth-note scales, continues with eighth-note triplets. The corresponding passages in the two manuscripts are sometimes so similar that in this case, as in that of US-wc, it seems that Beethoven used Scheide 132, at least in part, to write out the sketches after the first annotations in pocket format. The date suggested in the catalogue entry of the library is around 1819, but the above-mentioned considerations and the stage of the transition to the fugue – not as advanced as in Scheide 131 – suggest for Scheide 132 a dating between May and June 1818.

The connection between A 45 and the manuscript in desk format D-B Landsberg 9 consists of some identical sketches dedicated to combinations of the head of the fugue theme and the sixteenth notes of the theme itself.

TABLE 5 Concordances between A-wgm A 45, US-PRscheide 131 and US-PRscheide 132

A-wgm a 45	US-PRscheide 131	US-PRscheide 132	Contents
fol. 23r, st. 7/8	fol. 4v, st. 1/2	p. 6, st. 6–11	Fugue exposition with continuation of the subject in eighth-note triplets
fol. 23v, st. 2, 7–11		p. 3, st. 1–15	
fol. 24r, st. 1–4, 9/10		p. 4, st. 1–11	

TABLE 6 Concordances between A-wgm A 45 and D-B Landsberg 9, pp. 1–16

A-wgm a 45	D-B Landsberg 9, pp. 1–16	Contents
f. 6r, st. 1–9	f. 2v, st. 10–16	Head of the fugue theme and sixteenths from the theme itself combined together

FIGURE 5 A-wgm A 45, fol. 6r, st. 1–4 (identical to D-B Landsberg 9, fol. 2v)

This means that – at least at the beginning – Beethoven used the first eight leaves of Landsberg 9 (so far dated Fall 1818) in parallel with A 45, the dating of which is certain. Therefore, backdating Landsberg 9 (pp. 1–16) to between July and Fall 1818 appears to be appropriate.

A final observation regarding possible links between manuscripts concerns their physical characteristics. As one can see in Table 7, two groups of sketches, all in desk format, are written on paper type 41 and 44.<sup>51</sup> Each of the two groups has in common the number of staves, their total span (with minimal differences), and in some cases also the number of stich holes. This fact could be useful in the further organisation of loose desk leaves, if not into full sketchbooks then at least into physical units.

51 On paper types 41 and 44, see Johnson/Tyson/Winter: *The Beethoven Sketchbooks*, pp. 557 f.

TABLE 7 Sketches in desk format, paper types 41 and 44

Shelfmark	Paper type	Number of staves	Total span in mm.	Stich holes
CH-Cobodmer Ms. 11651	41	16	194,5	3
D-B Landsberg 9, pp. 1–16	41	16	195	3
D-BNba HCB BSk 6/54	41	16	195	3
D-B Grasnich 20b	41	16	195	–
D-B Autograph 54	41	10 of 16	?	–
US-PRScheide 132	44	16	194–195	3–5
D-BNba Mh 94	44	16	194–195	3
US-WC ML30.8b.B4	44	16	194–195	–
D-B Autograph 58	44	16	195	–

**The fugue subject** Some summary observations on the previous studies concerning the fourth movement of the sonata seem to be indispensable here. Thanks to Nottebohm's studies, some of the first experiments with the fugue subject, notated by Beethoven in the lost Boldrini Sketchbook, are now preserved and can be read in his *Zweite Beethoveniana*.<sup>52</sup> For one of the earliest, a fugue theme in  $b\flat$  minor and in  $4/4$  (or  $2/2$ ) time, Nottebohm imagined a slow tempo and suggested that it could only be used "at the beginning of the last movement".<sup>53</sup> Marston, however, believes that there is no basis for this statement and that this fugue theme could be part of an early plan for the sonata in which the key of  $b\flat$  minor would have played a role of some significance.<sup>54</sup> The other sketches for the fugue transcribed by Nottebohm belong to the manuscript A 45<sup>55</sup> and show a slightly later compositional stage of the subject, in which appear for the first time the tenth leap at the beginning and the descending scale segments of the final version. Today, with a far greater number of sketches available, the genetic picture of the fugue theme obviously appears much more complex.

In the 1990s, the corpus of the known sketches was enriched by a new fragment, the aforementioned US-NYpm Cary 550, discovered by Marston and dated between the Boldrini Sketchbook and A 45, that is, in the early months of 1818.<sup>56</sup> The "fuga" of the Cary 550 fragment (Figure 7) and the theme notated on folio 3v of manuscript A 45 (Figure 6), despite the obvious differences, contain a common element: the leaps in bar 5 of A 45 (Figure 6) are nearly identical to those of the theme noted in Cary 550 (bars 3–5).

52 Nottebohm: *Skizzen zur Sonata op. 106*, pp. 123–137.

53 *Ibid.*, p. 136.

54 Marston: *Approaching the Sketches*, p. 444.

55 Nottebohm: *Skizzen zur Sonata op. 106*, p. 136, Marston: *Approaching the Sketches*, p. 444.

56 *Ibid.*, pp. 411–413, 424 f., 436–439, transcription on p. 438; Chae: *Beethoven's Sketches for the Piano Sonata Opus 106*, p. 115.

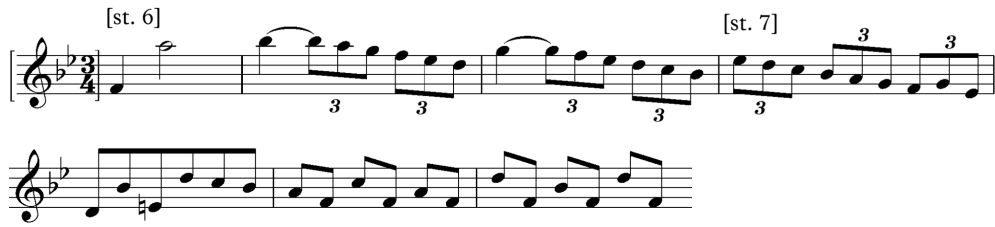


FIGURE 6 A-wgm A 45, fol. 3v, st. 6/7



FIGURE 7 US-NYpm, Cary 550, verso, st. 5



FIGURE 8 A-wgm A 45, fol. 2r, st. 1/2



FIGURE 9 A-wgm A 45, fol. 2r, st. 4



FIGURE 10 A-wgm A 45, fol. 9r, st. 12

Though this element links Cary 550 and A 45, what separates the two sketches most clearly is the succession of thirds (b – g – e $\flat$ ) contained in bars 2–4 of A 45, which will remain a constitutive element of the fugue theme (Figure 6). The leaps in bar 5, instead of creating an ascending line through repetition, like in Cary 550, continue with the broken chords of bars 6/7. As we will see, these are featured in many sketches of the subject that do not contain the leaps of bar 5. Therefore, the sketch of A 45, folio 3v, establishes a genetic link between two very different ideas for the subject.

In the first pages of A 45, there are numerous other experiments with thematic ideas whose function as fugue subject is confirmed due to the presence in the first of them of the answer in the dominant. In these attempts, Beethoven oscillated between very different metres (a probable 6/8; certainly 2/4).<sup>57</sup> The second of the following sketches (Figure 9) is written in pencil, and its continuation in sixteenth notes is unfortunately not legible. In its beginning it is evident that Beethoven intended to experiment with the same pattern of pitches as in the first one (Figure 8), essentially centred on the ascending triad of B $\flat$  major starting from f $\sharp$ 4 but modifying its rhythmic structure to fit the 2/4 metre.<sup>58</sup>

Although this sketch itself was apparently set aside forever, the ideas it contains find further development on folio 9r of A 45, in which the same rhythmic design is now applied in the context of ternary metre (Figure 10). Apart from the problematic interpretation of bar 4 (as the question marks show), the continuation of the idea is readable here and, as can be seen, decidedly different from bars 5–7 of the theme written in the presumed 6/8 metre (Figure 8).

On leaf 2v of A 45, Beethoven notated a sketch in which almost all pitches of the final version of the subject appear (Figure 11), diverging from the latter in the time indication (♩) and in the descending scalar segments, written in eighth instead of sixteenth notes.<sup>59</sup> With some rhythmic variants, this form of the theme recurs in the US-PRScheide 131 manuscript, in the context of sketches accompanied by various verbal annotations which seem to be scattered thoughts for the last movement, perhaps for a final section of it. Above the sketch for the fugue subject, we read the words “Zuletzt 4stimmig im allabrevetakt”.

57 For an alternative transcription of sketch A 45, fol. 2r, st. 1/2 (fugue subject in 6/8 metre), with which I disagree, see Chae: *Beethoven's Sketches for the Piano Sonata Opus 106*, p. 113.

58 For the reading and transcription of the manuscripts A-wgm 45 and A 44, I used paper prints made available by the library of the Gesellschaft der Musikfreunde in Vienna (A-wgm). I then scanned and edited the images in order to get a better resolution. However, only high-level scans carried out by the library or direct viewing of the sketches would allow for solving numerous reading problems.

59 The sketch has been transcribed in Nottebohm: *Skizzen zur Sonata op. 106*, p. 136.

Zuletzt 4:stimmig im allabrevetakt.

Zu 4st[?] C/

[st. 2]



FIGURE 11 US-PRScheide 131, fol. 2r, st. 1/2

[stave 8]



FIGURE 12 US-PRScheide 131, fol. 2r, st. 8

[st. 19-20]



FIGURE 13 US-PRScheide 131, fol. 2r, st. 19/20

J. S. Bach, book II, fuga XXI, BWV 890, b. 1-7



FIGURE 14 Johann Sebastian Bach: Das wohltemperirte Clavier, Vol. 2, Fuga XXI, BWV 890, bar 1-7; US-PRScheide 131, fol. 3v, st. 8/9



FIGURE 15 US-PRScheide 131, fol. 2v, st. 4

On stave 8 of the same page, the idea appears again, but the scalar segments are now written in thirty-second notes, a rhythmic option no longer used for the fugue theme (see Figure 12).

Another verbal annotation under the last stave of leaf 2r shows that Beethoven was probably looking for a four-voice keyboard fugue model: “4stimmiges Stück sul clavicembalo”. Alongside these words appear short fragments copied from Book II of Bach’s *Das wohltemperirte Clavier* (BWV 870–893): from bars 14/15 of the fugue c# minor BWV 873, and from bar 5 of the fugue in Bb major BWV 890, namely the entry of the answer.

In his article “Bach Affinities in Beethoven”, William Kinderman had already noted the relationship between the Bb major fugue and Op. 106, although without going into details.<sup>60</sup> Before him, Hans-Werner Küthen examined, in addition to the sketch shown here in the example above (Figure 13) and the fragment from the c# minor fugue, another sketch from leaf 2r of *Scheide* 131 (staves 16/17), in which Beethoven elaborates the pattern in repeated notes related to the subject of the Bb major fugue. While the sketch shown in Figure 13 does not seem to have been directly used by Beethoven, Küthen has been able to situate the other two sketches in relation to specific motivic segments of the fugue.<sup>61</sup> In a study on instrumental fugues in Beethoven’s late compositions, Dominique Ehrenbaum has relativised the results of Küthen’s research, which, beyond motivic relationships, would not say enough about Beethoven’s reception of Bach’s music.<sup>62</sup> Without going into this matter, I would like to note here that, beyond the assimilation of specific motivic elements, it is possible that, in the subject of the Bb major fugue, Beethoven sought a stimulus to create a theme based on a concatenation of descending thirds. This can only be assumed, for the sketches offer no hard evidence; but it is noteworthy that the fugue theme of Op. 106 and the first four bars of Bach’s subject are harmonically compatible – even if the second bar of Bach’s fugue implies a tonic harmony while the third bar of Beethoven’s subject implies a VI harmony, or, depending on the context, a IV harmony or a VI-I concatenation.

60 “Nevertheless, there is evidence that the Bb major fugue from Book 2 of the Well-Tempered Clavier was connected to the genesis of the fugal finale from op. 106.” See William Kinderman: *Bachian Affinities in Beethoven*, in: *Creative Responses to Bach from Mozart to Hindemith*, ed. by Michael Marissen, Lincoln/London 1998 (*Bach Perspectives*, Vol. 3), pp. 81–108, here p. 95.

61 Hans-Werner Küthen: *Quaerendo invenietis. Die Exegese eines Beethoven-Briefes an Haslinger vom 5. September 1823*, in: *Musik Edition Interpretation. Gedenkschrift Günther Henle*, ed. by Martin Bente, Munich 1980, pp. 282–313, here pp. 299–302.

62 Dominique Ehrenbaum: *Con alcune licenze. Die Instrumentalfuge im Spätwerk von Ludwig van Beethoven*, Bonn 2013, pp. 87–91.

The hypothesis that Beethoven may have found elements of inspiration in Bach's B♭ major fugue is reinforced by another sketch on the same leaf of US-PRScheide 131, not shown by Küthen and again related to the repeated notes of bars 3 and 4 in the subject of Bach's fugue (see Figure 15).

In the first leaves of A 45, it can be observed how the aforementioned possibility of a subject in a binary metre was soon abandoned. Material appearing on folio 9r, already transcribed by Nottebohm, is still in binary time;<sup>63</sup> here it has been transcribed again in order to show it in the context of the neighbouring sketches. As can be seen in Figure 16, after the double bar line, the material is followed by a different version of the last four notes (d♭, g♭, c, f, staves 6/7), then by the time change (3/4) and finally by the subject in a version similar to the final one. In the following staves Beethoven notated in shortened form ("etc.", stave 8) a dominant pedal belonging to the Largo, the transition to the fugue (which can be deduced from numerous other sketches containing this element) and again the first notes of the sketch beginning (stave 4). The idea of staves 4–6, thus contextualised, seems to belong to the introduction to the fugue, not to the fugue itself. If this interpretation is correct, among other ideas, Beethoven imagined connecting the transition (surely an early form of it, but with pedal point) and the fugue with a passage whose first bar would have anticipated the head of the fugue theme itself. Compared with the dramatic contrast between the improvisational and exploratory climate of the Largo and the entrance of the fugue subject as we know them from the final version, this creative stage represents a very different option.

On leaf 22v of A 45 (stave 10), there is still a hint of a theme in binary time, characterised by the succession of a descending sixth and an ascending fourth, limited to just two bars and therefore fragmentary. More extended experiments with such a subject are numerous in manuscript A 45; after checking it in binary time, Beethoven explored its possibilities in ternary or, more rarely, compound binary metre. In the sketch on folio 22r (Figure 17), the 6/8 metre is explicitly indicated. In Scheide 131 the sketch is again notated in 3/4 metre with some rhythmic modifications (Figure 18).<sup>64</sup>

In Figures 17 and 19, after the first four measures, two elements are to be observed: the succession of degrees 1-2-3, preceded by the movement of six eighth notes over an implicit dominant harmony (bars 5/6 and 7/8 of both examples; see also Figure 21), and the theme continuation in conjunct motion starting from bar 9.

63 Nottebohm: *Skizzen zur Sonata op. 106*, p. 136.

64 For a different transcription of this sketch, with which I do not agree, see Chae: *Beethoven's Sketches for the Piano Sonata Opus 106*, p. 159.



[st. 4] *p:* *tr.* [st. 5]  
 [st. 6] [st. 7]  
 [st. 8] ? *f* *tr.* *p* etc

FIGURE 16 A-wgm A 45, fol. 9r, st. 4-8

[st. 5] [st. 6]  
 8 va Bassa  
 Vi = [st. 7] [st. 8] = de

FIGURE 17 A-wgm A 45, fol. 22r, st. 5-8

[tr]

FIGURE 18 US-PRscheide 131, fol. 3r, st. 10

[st. 1]

[st. 3]

[st. 5]

[st. 7]

[st. 10]

[st. 14]

FIGURE 19 US-PRScheide 132, p. 5, st. 1–14

[st. 4]

[st. 5]

[st. 6]

FIGURE 20 A-wgm A 45, fol. 3r, st. 4–6

[st. 6]

FIGURE 21 A-wgm A 45, fol. 22r, st. 6,  
bars 6/7 (see also Figure 17)

Beethoven uses both elements, the succession 1-2-3 and the descending conjunct motion, elsewhere as units making up the head of the subject itself. The succession of steps 1-2-3 is found at the beginning of the theme in A 45, folio 3r, (Figure 20, bar 2); the descending line in conjunct motion recurs in Scheide 132, where it constitutes the substance of the first four bars of the theme (Figure 22). Thus, it seems that, when the succession of descending thirds became the constructive nucleus of the theme, the step movement 1-2-3 as well as the measure of six eighth notes preceding it (Figure 21) 'migrated' towards the next phrase of the subject from bar 4 onwards, losing the sense of ascending sequence they had at the beginning of manuscript A 45 (Figure 20) and assuming the V-I harmony alternation function also preserved in the corresponding bars of the subject in the composition.

The succession of thirds b, g, e $\flat$ , alongside the developments achieved in the examples above, was also realised in a more explicit form in A 45, folio 22r, in which the sixteenth notes reappear, not as scalar segments, as on leaf 9r, but as a simple ornamentation of the main notes (Figure 23). After its first appearance on leaf 9r (Figure 16), the fugue subject with the continuation in sixteenth notes returns several times on leaves 16v-17r, where the point seems to be the search for diastematic profiles other than descending scalar segments (Figures 24 and 25). Yet, immediately before and after these alternatives, Beethoven insists on the realisation with scalar segments, often adding a second voice (Figure 26). At the beginning of leaf 17r, we find a sketch of the subject with the descending movement in conjunct motion – already observed in US-PRScheide 132 (Figure 22) – combined with a second voice in sixteenth notes, a solution that will not be further explored by the composer (Figure 27). On the same page of Scheide 132, the formulation in descending sixteenth notes is continued up to bar 4, now including the third scalar segment in the same shape as in the final version (Figure 28). The triplets following measure 4 represent an intermediate stage of an even more complex evolutionary process than the first four measures of the subject. This process concerns the building of an area characterised by the alternation between harmonies V and I (bars 5-10 of the subject or 20-25 in the composition); precisely because of its complexity, it will be studied separately in the next section.

**The shaping of the subject continuation (bars 20-25)** In the moment when the continuation of the subject starting from bar 4 stabilised in the form including the alternation between harmonies V and I, Beethoven dwelt at length on problems of rhythmic configuration. Before using triplets, which are only hinted at in the sketch in Figure 28, the first possibility he explored consisted of simple, broken bichords of eighth notes, building a profile similar to an Alberti bass and undoubtedly very

[st. 11]

[ ? ]

[st. 12]

[st. 14]

[st. 13]

FIGURE 22 US-PRscheide 132, p. 8, st. 11–14

[st. 3]

[st. 4]

FIGURE 23 A-wgm A 45, fol. 22r, st. 3/4

[st. 9]

[st. 11]

FIGURE 24 A-wgm A 45, fol. 16v, st. 9–11

[st. 8]  
oder

[st. 9]

FIGURE 25 A-wgm A 45, fol. 17r, st. 8/9

[st. 5]

[st. 6]

FIGURE 26 A-wgm A 45, fol. 17r, st. 5/6

[st. 4]

FIGURE 27 A-wgm A 45, fol. 17r, st. 4

[st. 15.16]

= de

*p:*

FIGURE 28 US-PRscheidung 132, p. 8, st. 15/16

conventional if compared to the final chromatic solution in sixteenth notes (Figure 29).<sup>65</sup>

On the verso of leaf 2, we find experiments with the possibilities of a rhythmic intensification of the broken chords based on the use of eighth-note triplets after the duplets (Figure 30). Through the use of triplets, it was also possible to insert some hints of chromatic elements in bars 7/8.<sup>66</sup> Indeed, it is possible that the search for a more articulated melodic contour than the too-obvious configuration in broken chords (and duplets) inspired the search for greater rhythmic complexity.

At leaf 23v of sketch A 45 (Figure 31), the eighth-note triplets replace the duplets, and, unlike what ultimately happens in the composition, the alternation of the V and I harmonies in bars 6/7 is not repeated. In Scheide 132, on p. 3, we can see how the same triplet figuration in the previous example (Figure 31, bar 6) is subjected in the following bar to a variation in which the incipient chromaticism seems to conciliate with the residual outline in broken chords (Figure 32, bar 6). In the manuscript CH-COBodmer 11651, while there is still a combination of duplets and triplets, the chromatic continuation of the subject, although not yet in quadruplets but in triplets, is closer to the definitive version of bars 24/25 of the fugue (Figure 33, stave 4, bars 9/10).

Even after turning to the rhythmic solution in quadruplets, Beethoven continued to experiment with broken chords, as can be seen in Figures 34 and 35. In A 45 (Figure 36), we observe the combination of chromaticism and residual broken triads already seen in the previous sketches written in eighth-note triplets, like in Scheide 132 (Figure 32).

In Scheide 131 (for which this contribution has hypothesised a later dating through comparison with US-wc, A 45 and Scheide 132), Beethoven tried an entirely diatonic figuration in the new rhythmic pattern in quadruplets (Figure 37). In a context increasingly characterised by chromaticism (like in the previous leaves of Scheide 131), this appears as a singular 'return' to more conventional solutions.

On the other hand, in Scheide 132 it can be noted how the chromatic figuration found in CH-COBodmer 11651 (Figure 33, stave 4) is now converted to quadruplets, showing a formulation almost identical to bars 24–26 (Figure 38, bars 3f.).

65 The conventionality of the broken-bichord material has already been noted in Barry Cooper: *The Creation of Beethoven's 32 Sonatas*, New York 2017, pp. 169f.

66 As can be seen in Figure 30, Beethoven notated the subject on the same stave 10 at different heights at a distance of one third. In the transcription I preferred to show the two lines on two staves.

[st. 9-10]

oder 8va alta

FIGURE 29 D-BNba Mh 94, fol. 2r, st. 9/10

[st. 10]

[tr]

[st. 10]

[tr]

FIGURE 30 D-BNba Mh 94, fol. 2v, st. 10

[st. 7-8]

[pencil]

[st. 9]

[st. 10]

[ink]

[st. 11]

[pencil]

[st. 11]

FIGURE 31 A-wgm A 45, fol. 23v, st. 7-12



FIGURE 32 US-PRScheide 132, p. 3, st. 14/15

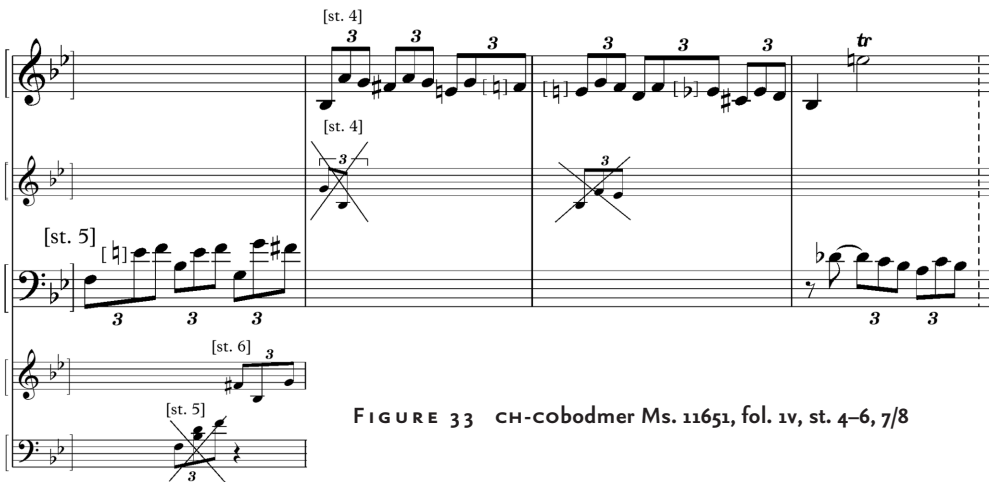


FIGURE 33 CH-COBodmer Ms. 11651, fol. 1v, st. 4-6, 7/8



FIGURE 34 US-WC ML30.8b.B4, p. 3, st. 12/13



FIGURE 35 US-WC ML30.8b.B4, p. 3, st. 15/16





FIGURE 36 A-Wgm A 45, fol. 31r, st. 6/7



FIGURE 37 US-PRscheide 131, fol. 4v, st. 7



FIGURE 38 US-PRscheide 132, p. 6, st. 4



FIGURE 39 US-Wc ML30.8b.B4, p. 5, st. 11/12



FIGURE 40 D-B Autograph 58, p. 2, st. 5, and p. 2, st. 9

The outline of the first two bars in Figure 38 can be better contextualised in *us-wc*, in which Beethoven sketches the same sequence of ascending chromatic notes in eighth notes (Figure 39, bars 4–7) – certainly a shorthand notation, as proved by the last fully written quadruplet of the last bar (Figure 39, bar 7). In the slightly later manuscript *D-B Autograph 58* (summer/fall 1818), we find several almost complete sketches of the continuation of the fugue subject in sixteenth notes, now identical to the final formulation.

**The countersubject** The genesis of the countersubject was an issue at least as complex as that of the subject, to which it is connected in an almost inextricable bond.

In the sketch on page 8 of *Scheide 132*, we have already observed a formulation of the subject characterised by the conjunct motion and the succession of thirds (Figures 22 and 41). Indeed, if we deprive the line in conjunct motion of the passing notes (bars 2–4), we obtain a sequence of descending thirds very similar to the beginning of the fugue countersubject in its final form (Figure 42). Therefore, what later became the countersubject was initially an integral part of the subject itself. It is understandable that the subject and countersubject – in addition to being two complementary entities – were also similar ones whose individual elements could even be interchanged, since the succession of descending thirds is the common constructive principle and thematic substance of both.

Alongside the descending thirds, the second element characterising the countersubject is the alternation of harmonies between V and I (bars 4–6 of the countersubject, 30–32 of the composition), which has already been mentioned in relation to the subject. If we now look at sketch *A 45, folio 22r* (Figure 43), we can see how the upper voice is written in double counterpoint with the six eighth notes and the three quarter notes on degrees 1–2–3 of the pattern that appears immediately after on stave 4 (see Figure 23). Both the six eighth notes and the three quarters are actually the motivic elements already described above regarding the change of their position within the subject (see Figures 20, 21 and 23). The segment of two measures of Figure 43 generates the same V–I alternation of bars 30–32 in the final score. The almost identical combination occurs on the verso of leaf 22, staves 3/4, where that contrapuntal segment is written in an implicit 3/8 time (Figure 44). *Scheide 131, folio 3r* (Figure 18) shows how, at one moment of the compositional process, the two corresponding bars of the subject must have been replaced by the sole upper voice of Figure 43, whereas the lower voice (or upper voice in Figure 44) was never taken up again.

Beethoven's reflection on the contrapuntal building of the countersubject with another voice is displayed on leaf 32r of *A 45* (Figure 45), where the composer wrote his



FIGURE 41 US-PRscheide 132, p. 8, st. 11

[st. 1-2] [tr]

[st. 3-4]

FIGURE 42 US-wc ML30.8b.B4, p. 7, st. 1-4

[st. 1-2]

FIGURE 43 A-wgm A 45, fol. 22r, st. 1/2

[st. 3-4]

FIGURE 44 A-wgm A 45, fol. 22r, st. 3/4

[st. 1-2]

2 4 2 2 7 6

?

?

7 5 7 2 3 7 5 7 2

FIGURE 45 A-wgm A 45,  
fol. 32r, st. 1/2

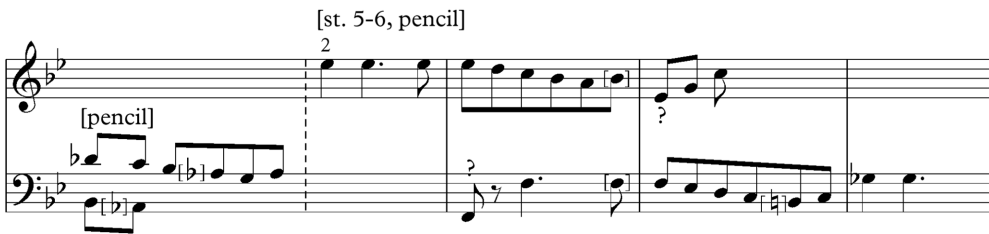
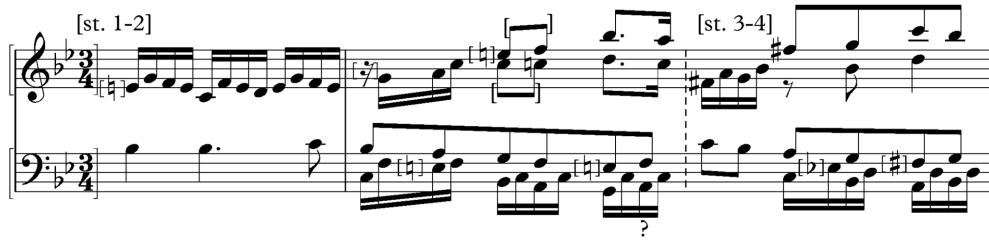


FIGURE 46 A-wgm A 45, fol. 31v, st. 1/2



FIGURE 47 PL-Kj Mendelssohn-Stiftung 2, p. 4



FIGURE 48 Landsberg 9, fol. 7v, st. 7/8



FIGURE 49 Landsberg 9, fol. 3r, st. 5/6

numeric above and below the two voices in order to check their reciprocal counterpoint functionality.<sup>67</sup> Shortly before this sort-of reminder, on folio 31v there is a sketch of a sequence in which the middle voice of Figure 45 is part of an imitation (Figure 46). Thus, it appears that, from the moment in which this voice was separated from its counterpart (the aforementioned, abandoned upper voice of Figure 44), Beethoven gradually became interested in the canonical or pseudo-canonical potential of the chosen line, that is, of the line actually maintained in the countersubject (Figure 47). While the final version shows a trace of this interest only in the area of the dominant pedal (bars 318–325), the sketches contain several experiments with this possibility. In Landsberg 9, folio 7v (Figure 48), we find the sketch that comes closest to the canonic formulation used in the composition. As can be seen in the following example (Figure 49), a few leaves earlier in the same manuscript, Beethoven notated a countersubject canon at the second in which still appear the quite conventional broken bichords.

The rhythmic aspect of the countersubject kept Beethoven intensely occupied. In particular, the fourth and fifth bars (and their repetition) were subjected to numerous experiments. Figure 50 shows the figuration in dotted rhythms, preserved in numerous sketches. In A 45, folio 23v, some of the different rhythmic options are placed side by side with the explicit indication “oder” (Figure 51). The last of them suggests the presence of a second voice filling the pauses, and Beethoven actually wrote down this possibility in complete form in folio 34r, staves 8–11 (Figure 52).

Alongside the solution in dotted rhythms, the possibility of giving a syncopated rhythm to a segment of the countersubject was also evaluated (Figure 53). The most complex rhythmic attempts consisted in combining the syncopations of one or two of the three voices with the dotted rhythms of the countersubject or even the dotted rhythms with triplets (Figure 54). All these possibilities were abandoned, and in the manuscript Grasnick 20b, the countersubject reached its final version (Figure 55). In these sketches, dated fall 1818, the continuation of the subject had also stabilised in the figuration in quadruplets described above. It is perhaps legitimate to hypothesise that, when the quadruplets became the central rhythmic element of the subject, the outline of the countersubject became much simpler than in the experiments just described, apparently with the aim of making the contrapuntal interlacing intelligible. The rhythmic ‘diminution’ of the fugue subject and the achievement of linearity in the counter-

67 In Figure 45, the notes of the upper voice (repeated in the bass to test again the practicability of double counterpoint) should be understood more as indicative key points in a harmonic and contrapuntal sense rather than invariable pitches, as the immediately adjacent sketches of the countersubject show (A-wgm A 45, fol. 32r, st. 7–9, not transcribed in this article).

[st. 6-7] [st. 8]

FIGURE 50 D-BNba, MH 94, fol. 2r, st. 6/7

[st. 6] oder oder

FIGURE 51 A-wgm A 45, fol. 23v, st. 6/7

[st. 8-9] [st. 10-11] Vi = = de

FIGURE 52 A-wgm A 45, fol. 34r, st. 8-11

[st. 2] [st. 3] [st. 4]

FIGURE 53 A-wgm A 45, fol. 26v, st. 2-4

[st. 7] [st. 8] oder [st. 9] [st. 8] [st. 10]

FIGURE 54 CH-coBodmer 11651, fol. 2v, st. 7/8

[st. 15]

FIGURE 55 D-B Autograph Grasnich 20b, fol. 7v, st. 15

subject thus appear to be two complementary processes developing in opposite directions.

**Towards the continuity drafts** Judging from the review of the sources of the fourth movement assembled here, extended continuity drafts of the fugue do not seem to be preserved. Taking into account the common definition of a continuity draft in the Beethoven literature – a sketch for a movement section or even for an entire movement –, for the last movement of the Sonata Op. 106, we have instead several sketches of lesser extent, including in most cases the exposition of the fugue and only sometimes other passages.<sup>68</sup> Furthermore, unlike true continuity drafts, which often represent the last stage before the final autograph manuscript, these sketches show many corrections, some of which are basic. The usefulness of their transcription lies in framing on a larger scale the transformations undergone by the individual structural elements observed thus far.

In CH-COBodmer 11651, folio 21, staves 1–15 (Figure 56), in which Beethoven tries to lay out the exposition of the fugue, we notice the lack of the fourth measure of the subject, in which the third scalar segment in sixteenth notes usually appears. The third bar is thus directly connected to the segment of two bars destined later to build the countersubject and which in the earlier stages, as in this case, constituted the continuation of the theme itself (bars 5/6 in the composition, in Figure 56 bars 4/5). Here, however, this segment is not subjected to the usual literal repetition. This conception of the subject, characterised by only two scalar segments, is not contained in any of the other collected sketches.

Alongside the configuration of the subject, several other elements appear here still in a state of being defined. The countersubject is a fast, rhythmic counterpoint in sixteenth notes and rests (Figure 56, staves 4/5, bars 11/12), an idea that is not found anywhere else in the corpus of known sketches. The chromaticism appears at stave 7, just before the new subject entrance on the tonic, but it does not yet represent an integral part of the continuation of the theme. Finally, while the triplets have disappeared, there are still some attempts at figurations in broken bichords, which, however, have been crossed out, as can be seen in stave 10. We are thus faced with a sketch that, in the evolutionary process, follows the numerous sketches in triplets (e.g. A 45 and CH-COBodmer [Figure 33]) and precedes the definitive abandonment of the broken chords and the affirmation of chromaticism.

68 Nottebohm noticed that “larger, cohesive sketches are found only in small number. One sees mostly fragmentary passages of at most eight bars” (“[...] größere, zusammenhängende Skizzen kommen nur in geringer Anzahl vor. Meistens sieht man abgebrochene Stellen von höchstens acht Takten”). Nottebohm: *Skizzen zur Sonata op. 106*, p. 123.

The musical score consists of 15 stages, each represented by a system of staves. The notation includes treble and bass clefs, a key signature of one flat (G minor), and a 3/4 time signature. Various musical symbols are used throughout, such as accents, slurs, and dynamic markings like *tr* (trill) and *tr* (trill). Some stages include performance instructions in German, such as "oder" (or) and "dieser Teil u. folgend" (this part and following). The score shows a progression of musical ideas, with some stages being revised or replaced by others, as indicated by dashed lines and labels like "[st. 1, version below]".

Key features of the score include:

- Stage 1:** A single treble staff with a trill on the first note.
- Stages 4-5:** A system with two staves, showing a transition from a single treble staff to a two-staff system.
- Stage 7:** A system with three staves, including a "version below" for the first staff.
- Stage 8:** A system with three staves, featuring a trill on the first note of the top staff.
- Stage 10:** A system with four staves, including a trill on the first note of the top staff and a "version below" for the second staff.
- Stage 11:** A system with four staves, including a trill on the first note of the top staff and a "version below" for the second staff.
- Stage 12:** A system with four staves, including a trill on the first note of the top staff and a "version below" for the second staff.
- Stage 13:** A system with three staves, including a trill on the first note of the top staff.
- Stage 14:** A system with two staves, including a trill on the first note of the top staff.
- Stage 15:** A system with two staves, including a trill on the first note of the top staff.

FIGURE 56 CH-COBODMER 11651, fol. 2r, st. 1–15



In Landsberg 9, folio. 11/v, Beethoven wrote a double version of the fugue exposition and the following 15 bars (Figure 57), exploring the differences between dominance of triplets or quadruplets and the possibility of continuing after the third thematic entrance with a sequence based on the countersubject (bar 13, segment in dotted rhythm, or its version in simple eighth notes). In the first version, between bars 13 and 14, the cross sign has the same function as the more frequent “Vi =”, to which corresponds the usual indication “= de” at stave 5 of leaf 1v. The figuration in dotted rhythms from bar 13 is exploited to the maximum as part of a sequence consisting of a concatenation of dominant and seventh chords.

In the alternative sketch on leaf 1v, the passage has been rewritten with a prevalence of sixteenth quadruplets. The melodic line, however, still appears uncertain, so that occasionally two lines overlap, sometimes even three.<sup>69</sup> The sequence following the last thematic entrance combines the sixteenth-note segments from the subject in the lowest voice with the same segment of the countersubject used in the first version, a solution also applied in the composition. Both versions have in common the absence of stretto-like modulating passages built on the first three notes of the subject; in the final version, Beethoven uses the head of the subject not only in proper thematic statements but also in context of sequences.<sup>70</sup>

Yet, at the time of Landsberg 9, Beethoven had already written many sketches that experiment with stretti of the subject. Continuity drafts introducing stretti or stretto-like material, probably created closer to the time of the final autograph, are rare, but in folio 4v of Landsberg 9, we find a sketch of an entry and answer in D $\flat$  major and A $\flat$  major preceded by a sequence on the head of the subject (Figure 58). The whole passage corresponds roughly to bars 26–82 of the fugue in the final version. The two ascending sequences at the beginning and at the end of this sketch follow a harmonic pattern that only partially coincides with the final one; the number of bars also differs. However, the identifiability of the corresponding segments is indubitable (Figure 58, bars 5–14 = 39–52 of the composition; bars 32–40 = 74–82). If the proposed transcription is correct,<sup>71</sup> at the end Beethoven left the sketch open on the dominant of A $\flat$  major such that the tonal

- 69 In most bars, the versions of the sixteenth-note lines are distinguishable from each other due to the different intensity of the ink, and their chronological order, with some margin of doubt, can be reconstructed. In some bars, however, such as the last two, due to the insistent overlapping of layers, the different versions cannot be read.
- 70 See bars 42–52 of the composition. On this topic see in this paper the chapter on the stretti, pp. 272–277.
- 71 As Figure 58 shows, in the last bar of this sketch Beethoven did not write the accidentals for the notes a and g. In my transcription the pitches have been interpreted as a $\flat$  and g $\sharp$ .

[st. 2-3] *tr*

[st. 4-5] *tr*

[st. 5]

[st. 6-7]

[st. 8-9]

[st. 12]

[st. 12]

[f. 1v, st. 1-2]

[st. 3-4]

[st. 3]

[st. 5]

[st. 6]

[st. 7]

*Vi = 1*

[st. 7, version below]

[st. 8]

[st. 9]

[st. 10]

[st. 10]

[st. 9-10, version below not readable]

FIGURE 57 Landsberg 9, fol. 1r, st. 2-13, and 1v, st. 1-9

[f. 4v, st. 1]

[st. 3]

[st. 3]

[st. 4]

[st. 5]

8a

[st. 6]

[st. 7]

[st. 7]

[st. 8]

[st. 9]

etc

FIGURE 58 Landsberg 9, fol. 4v, st. 1-9

movement does not seem oriented towards the G $\flat$  major reached in the composition at bar 85. However, the annotation “etc” suggests that the sequence should continue for a few bars.

**The second countersubject** To the best of my knowledge, the first sketch for the new countersubject (initially presented as chorale-like new subject marked *Sempre dolce e cantabile* in bar 250) is contained in the manuscript A 45 (Figure 59). This assumption is based, in addition to the chronological order of the manuscripts, on an explicit indication by Beethoven, “Contrathema g-moll”, and on the notation of the key signature, usually notated by the composer when material appears for the first time. In addition to the different key (g minor instead of D major in the final version), it should also be noted that the imitation at the lower fifth, in comparison with the composition, appears in the second bar instead of the third.<sup>72</sup> Immediately after, at staves 2–4, Beethoven writes the counterpoint between subject and new countersubject in B $\flat$  major as in the final version but with some alterations in the upper voice and lacking the short modulation in c minor/C major in bars 281–284 of the final version. Therefore, the sketch is conceived according to much more traditional tonal relationships if compared to the contrast between the main key of the fugue, B $\flat$  major, and that of the new countersubject, D major, as realised in the composition.

The whole sketch of staves 1–3 occurs again in the manuscript US-wc<sup>73</sup> and the sketch of stave 1 in Landsberg 9. In the latter, immediately after the sketch of the “contrathema”, Beethoven notated the combination of subject and new countersubject again in the key of g minor but now rigorously continuing the sixteenth notes of the subject and experimenting with a possible continuation of the new countersubject in the upper voices (Figure 60). A passage marked with the reminder “x” has been rewritten in pencil (stave 6, from the second “x”), but now the sixteenth notes break up, and homorhythmic voice leading seems to be the priority. Through this sketch it becomes evident that the composer’s initial intention was a more expanded counterpoint of subject and new countersubject than what is ultimately achieved in the composition, in which, after seven bars, the combination gives way to short fragments extracted from the two materials (*Ben marcato*, bar 286).

Even more difficult to realise must have been the attempts to combine the two voices taken from the beginning of the *Sempre dolce e cantabile* with the subject in the bass. In

72 Ludwig van Beethoven: Piano Sonata No. 29 in B $\flat$  Major Op. 106 (*Hammerklavier*), ed. by Bertha Antonia Wallner, Munich 1976, bars 250–278.

73 US-wc ML30.8b.B4, p. 1, st. 8/9.

[st. 1]  
Contrathe[ma] g mol[l]

[st. 2-3]

[st. 4]

FIGURE 59 A-wgm A 45, fol. 17v

[st. 3]

Vi =

[st. 4]

[pencil]  
X

[st. 5]

[st. 3]

[st. 5]

[st. 5]

[st. 6]

[ink]

[st. 6, pencil]  
X

[?]

[st. 7]

[st. 6]

FIGURE 60 Landsberg 9, fol. 8r, st. 3/4

[st. 7-9]

Contra

[?]

FIGURE 61 D-B Landsberg 9,  
fol. 7r, st. 7/8

[st. 12]

Vi =  
?  
B B as g a B  
?

FIGURE 62 A-wgm A 44, fol. 3r, st. 12

[st. 8-9]

tr tr

FIGURE 63 A-wgm A 44, fol. 1v, st. 8/9

[st. 3-4]

tr tr

FIGURE 64 A-wgm A 44, fol. 1v, st. 3/4

[st. 10]

FIGURE 65 A-wgm A 44, fol. 3v, st. 10

Landsberg 9 on folio 7r, we find a sketch of this type, again in the key of g minor (Figure 61). The bass profile, difficult to read, does not appear to literally reproduce the first subject.<sup>74</sup>

For the *Sempre dolce e cantabile* section, Beethoven also considered the idea of an imitation of the second voice at a major third lower, noting verbally the names of the notes (Figure 62).<sup>75</sup> However, in the first leaves of A 44, he had already opted for the combination of the two thematic materials in B♭ major, as was already done in A 45 (Figure 59). On folio 1r, stave 4, in particular, briefly notating the first notes of the new countersubject in B♭ major, he adds, “Es bleibt”. The short modulation to C major appears on folio 1v in a form similar to that realised in the composition (Figure 63). On the same leaf 1v, other sketches contain further attempts in combining the two materials with stretto-like entrances on different degrees. One of them is on the subdominant (Figure 64); on leaf 3r, as will be seen in the paragraph on the stretti, the voice entrances are on the tonic and the dominant (Figure 85).

At leaf 2r of A 44 (stave 11, not shown here), the new countersubject appears in the key actually chosen in the composition, D major, and on leaf 3v (Figure 65), the counterpoint of the two materials has reached a form identical to that in the final version. Although the sketch breaks off at the third bar, the c minor/C major modulation now resembles even more closely the corresponding passage of the composition thanks to the addition of a bar (the third in Figure 65) that is not yet present in the sketch in Figure 63.

**Inversion** In the sketches immediately following the formulation of the subject with continuation in eighth-note duplets and broken chords (see Figure 29), Beethoven made an attempt with the same rhythmic solution for the subject inversion. These sketches must have been unsatisfactory (note the words “Zu sanieren” in Figure 66, stave 11), probably because of the tonal instability caused by the broken chords, which led the subject from F major to g minor and thus would have shifted the alternation between dominant and tonic contained in the second part of the subject to a different tonal area from that of the beginning.<sup>76</sup> On stave 12 (Figure 66), an alternative shaping of the

- 74 Another sketch with canonic entries of the new countersubject in the upper voices combined with the first subject in the bass is in A 44, fol. 3r, st. 1–4. The sketch is in B♭ major.
- 75 The sketch A 44, fol. 3r, st. 12, like the other leaves of the manuscript PL-Kj Mendelssohn 2 originally belonging to A 44, is very difficult to read. In particular, it is problematic that the initial *e* is expressly written as a flat, which in the tonal context appears to be superfluous. It is well known how rarely Beethoven wrote accidentals, expressly indicating them only when it was particularly important to stress their presence in the harmonic-tonal context of a sketch.
- 76 In the fugue of Op. 106, all complete subject statements – even those in inversion, augmentation, and retrograde forms – are tonally stable.

inversion is based on different triads: g minor and C major. Still, they are crossed out, most likely because of the octave interval  $d_6-d_5$  at bar 5, which caused too much distortion of the contour of the inverted theme compared with the original.

The harmonic-tonal problem emerging in the inversion was essentially determined by the configuration of the third scalar segment of the subject (bar 4), in these sketches still identical to the first two segments, and complicated by starting the inverted theme itself on pitches 6-4-3 of the scale. The modification of the melodic profile in the fourth measure of the subject (see Figure 28), together with the renunciation of the broken chords as its continuation, must have led to solving the problem.

Alongside the issues just mentioned, there was also the possibility, likewise technically problematic, of realising the first three notes of the subject inversion in a not-exactly-specular form, replacing the descending second with an ascending one, which is visible in the first two bars of Figure 67. This would have involved starting the scalar segments of the theme from the leading tone rather than from the dominant. Despite the deletion of the  $e$  in the second bar, the sketch actually realises this possibility, creating an evident modification of the original thematic profile by adding an interval of a third between the third and fourth notes. From the third bar the attempt was then discarded.

At stave 13, the same sketch fared no better (Figure 68), a sign that the aforementioned interval modification in the second bar must have again constituted a too-strong deformation of the original theme. On the same stave, immediately after the deletion, the sketch is rewritten keeping the first two notes on the same pitch ( $c$ , see bar 5), thus avoiding the alteration of the profile. The chromatic continuation in sixteenth notes (stave 14) corresponds to the realisation of the subject seen in Figure 38; however, it is not a proper inversion but rather a unique combination of the original theme and its contrary motion: the ascending chromatic line comes from the original, and the last quadruplet in sixteenth notes is in inversion. On the basis of this quadruplet, the sketch can be fully interpreted in the key of C major, a key no longer used in the fugue. On the whole, Beethoven takes considerable licence in these experiments with the inversion, which would have compromised the rigour of the contrapuntal procedures and the recognisability of the thematic profile.

In the sketches dedicated to the inversion, Beethoven also tries the double inversion of subject and countersubject (Figure 69), a possibility that in the composition is exploited only for the inversion in G major in bars 208–213. In Autograph 58 (page 2, stave 13–16), we even find the inversion of the subject enriched by a hint of a canon of the inverted countersubject with itself (Figure 70).

The combination of the sixteenth notes from the subject in original and contrary motion in Grasnick 20b appears at bars 184–189 of the fugue, but in this tonal context,  $b$  minor, the sketch was of no use (Figure 71).



[st. 11]  
Zu sanieren

FIGURE 66 D-BNba Mh 94, fol. 2v, st. 11/12

FIGURE 67 US-WC ML30.8b.B4, p. 3, st. 1/2

FIGURE 68 US-WC ML30.8b.B4, p. 3, st. 13

FIGURE 69 US-PRscheide 131, fol. 4v, st. 10

FIGURE 70 D-B Autograph 58, p. 2, st. 13/14 and 16



FIGURE 71 D-B Grasnick 20b, fol. 12r, st. 1/2

FIGURE 72 D-B Grasnick 20b, fol. 7r, st. 12–15

The sketch on leaf 7r of Grasnick 20b (Figure 72) contains the same stretto on the sixteenth-note material with a continuation not far from the material in bars 294–307 (but in E $\flat$  major instead of F major). The sketch was initially conceived as a double inversion of the subject at a distance of an ascending sixth (bar 1/2), but the first two bars were immediately crossed out and replaced in the bass line by the subject in original form.

**Retrograde** The sketches dedicated to the retrograde and the augmentation of the subject are preserved in smaller quantity than those for the inversion and the stretti. In the manuscript US-wc, the retrograde is based on one of the early formulations of the subject contained in US-PRScheide 132 (Figure 38), where it is characterised by broken chords and chromatic movement (Figure 73). While the configuration of the retrograde of the original did not cause problems, this was not true for the inversion of the retrograde. After some uncertainties regarding the correct height of the scalar segments (Figure 74, stave 8, bars 5–7; stave 9, bar 8), the head of the theme was also crossed out. After the double bar line, the problematic scalar segments are rewritten at a lower height, but this solution was also discarded. In both cases the problem probably laid in an unconvincing tonal connection between the first four bars and the second part of the retrograde (the part formed by the scale segments in sixteenth notes and the subject head), a problem

that appears to be caused by the use of only two scalar segments instead of the three intended in the final fugue theme. The omission caused, as one can easily guess, an ending on the subject's head a third higher ( $e - f - a$  instead of  $c - d - f$ ). It is not sure if the  $e$  of bars 7 and 8 should be interpreted as natural, but if it were, the retrograde created in this way would actually have contained two segments not sufficiently connected to each other, the first one in  $B\flat$  major, the second tending toward a tonicisation of the dominant. On the contrary, as already observed, in the final version of the fugue all formulations of the subject and its contrapuntal transformations are tonally stable.<sup>77</sup>

In *US-PRScheide 131*, Beethoven wrote down the retrograde of the theme also in the diatonic formulation seen in Figure 37. As in the case of the subject in broken chords (Figure 73), this formulation does not contain corrections or deletions (Figure 75, stave 11). On stave 12 we find a hastily written sketch in pencil, the corresponding inversion of the retrograde, mirroring the movement of stave 11 and continuing with the descending scalar segments in an empty space of the same stave. Also in this case, the retrograde inversion seems to cause uncertainties in the creative process as well as to leave open questions for the scholar. At bars 2 and 3 of stave 12, after having crossed out a quadruplet of sixteenth notes ( $g - f - e - f$ ), Beethoven opted for a different quadruplet, which is, however, a freer formulation compared to a symmetrical reproduction of the line of stave 11. The discarded quadruplet, if correctly interpreted in my transcription, would have led to a head of the theme on the notes  $e - f - a$ , which had already been rejected in the sketch in Figure 74.

In *Landsberg 9* (Figure 76), and even more so in *Grasnick 20b*, we find the realisation of the retrograde subject closest to the final version of the original subject. Both sketches, notated in the fugue key  $B\flat$  major, also contain the countersubject in retrograde form, a combination that was not used in the composition.

77 On the other hand, if the  $e$  of bars 7/8 is intended to be flat, it is likely that the problem was the tritone  $e\flat - a$ . The tritone  $b\flat - e\sharp$  in the fugue answer is not to be compared with the sequence  $e\flat - f - a$  in question here because, as a tonal answer, it falls within the rules of contrapuntal writing. The tritone caused by the  $e\flat - f - a$  succession is instead a question of melodic elegance: throughout the fugue, Beethoven does not use such a succession of pitches. Assuming that the two scalar segments rewritten at stave 9 after the double bar line were implicitly meant to be preceded by another scalar segment starting from  $c$  (like at bar 7), the note with the function of dominant pedal in the first four bars (the repeated  $f$  in the sketch) would have been a  $d$ , which would have shifted the tonal sense of the entire phrase into the key of  $g$  minor. On the other hand, if Beethoven didn't actually intend to include a third scalar segment, the dominant pitch would have been  $b\flat$ , and the tonal centre would have been  $E\flat$  major. In both cases, the aforementioned problem of poor tonal connection between the two segments of the subject in retrograde inversion would have occurred again.



FIGURE 73 US-WC ML30.8b.B4, p. 5, st. 1/2

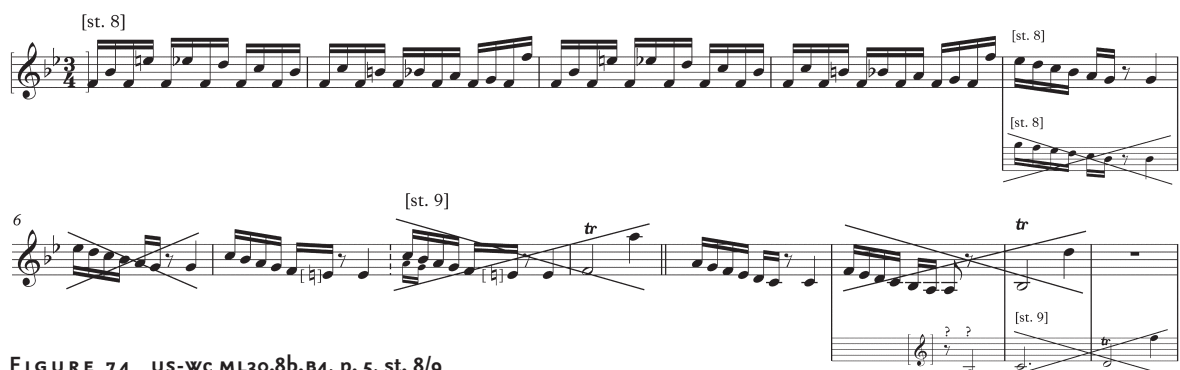


FIGURE 74 US-WC ML30.8b.B4, p. 5, st. 8/9



FIGURE 75 US-PRScheide 131, fol. 4v, st. 11/12



FIGURE 76 Landsberg 9, fol. 8r, st. 16



FIGURE 77 A-Wgm A 44, fol. 6v, st. 1/2

Only in manuscript A 44 do we find a sketch, very fragmentary and hardly legible, of the retrograde in the key actually used in the final version, b minor; it also includes a hint of the corresponding new countersubject (Figure 77, stave 2, upper voice). The entire section in b minor (bars 150–174 of the score), dedicated to the retrograde procedure, is actually among the parts of the fugue less documented in the preserved sketches.

**Augmentation** Sketches for the subject in augmentation are in the manuscripts A 45, Landsberg 9 and especially Grasnick 20b, which contains several attempts of augmentation in the tonic (Figures 78 and 79). In Landsberg 9, we find a sketch in c minor in which the augmentation continues with a progression modulating to b $\flat$  minor (Figure 80). Thus, this sketch touches upon one of the two keys (the other being e $\flat$  minor) that is actually used in the section of the fugue dedicated to augmentation. On the other hand, the sequence does not appear in that section, neither do the keys of c minor or B $\flat$  major. On the whole, the sketches for the augmentation preserved today do not capture the whole evolution towards the final version of the corresponding section. In this case, is particularly evident that there must have been further sketches – now lost – that would have filled in these gaps.

**Stretti** Some of the sketches for the stretti were probably conceived by Beethoven not so much as elements destined from the first moment to have a specific structural role but as part of the immense reservoir of material aimed at exploring the contrapuntal potential inherent the subject.

In addition, there is a question to be kept in mind with respect to Beethoven's contrapuntal conception. In the fugue of Op. 106, Beethoven uses stretto in a much broader manner than that which was widespread in the context of academic counterpoint. The numerous theme head entrances closely scattered throughout the composition often play the modulating function that in an academic fugue is typical of the episodes. This happens because the head of the theme (containing the structurally essential trill), instead of being reserved only for full-subject statements, is used so often that it assumes a sort of omnipresence, thus minimising the difference between the subject statements them-



FIGURE 78 D-B Grasnick 20b, fol. 7r, st. 8/9

FIGURE 79 D-B Grasnick 20b, fol. 8r, st. 3-5, 11-14

FIGURE 80 D-B Landsberg 9, fol. 5r, st. 2-6

selves and the episodes. Alongside the rigorous stretto entrances, implied by the counterpoint of the subject with itself or the subject with its inversion, we also find entrances which, while not presenting a real overlapping of the voices, follow one another at distance of only one bar and therefore have an effect similar to that of stretti. For this reason, the term “stretto” is meant here in a broad sense, referring to all such entrances, regardless of their position in the fugue. ‘Stretto’ entrances of this kind appear immediately after the fugue exposition (bars 47–52). It was probably after reflecting on this pertinacious ‘omnipresence’ of the subject that Beethoven, after writing down some sketches with stretto entrances (very similar to Figure 81), wrote the following words on folio 7v of A 44:

“auf durchgehende Harmonien indem die Stimmen unter sich spielen[d] das Thema gebracht [haben]”.<sup>78</sup>

A stretto contained in Landsberg 9, page 2v, staves 15/16 (Figure 81) is identical to the sketch A 45, folio 6r, staves 8/9. On the harmonic level, the first two bars correspond to bars 359/360 of the composition, in which, however, we do not find the third stretto-entrance of the sketch (g – b $\sharp$  – c in the upper voice). At bars 361–364 the subject continues in its complete formulation, the last one of the fugue. A similar sketch is preserved in the manuscript D-B Autograph 58 (Figure 82). Following Beethoven’s reference “Vi = de”, the first two bars of this sketch have to be continued on stave 5 with the same full formulation of the subject that also appears in the final version at bars 359–364. It is probable that both aforementioned stretto sketches (Figures 81 and 82) were therefore conceived for the last complete thematic statement and that, for the first three bars, Beethoven considered plausible second entrances on the pitches b – d – e $\flat$  and g – b $\sharp$  – c.

The sketch on folio 20v of A 45 (Figure 83), which reappears in an identical form in US-WC (page 2, staves 1/2), presents a harmonic structure similar to bars 49–51 of the fugue, in which a sequence on the theme head leads to a new statement of the subject in D $\flat$  major. It is possible that, in view of the drafting of the complete sequence, Beethoven wrote down only the two-bar pattern, fixing the imitation at the fourth d – g.

The stretto at the tonic in the first two bars of the following example (Figure 84) corresponds – albeit with a different rhythmic setting of the two voices – to bars 300/301 of the fugue. The second stretto entrance (bars 3/4), consisting of the subject in contrary motion and the answer, is used almost identically in bars 295/296. The context of the sketches preceding and following leaf IV of A 44 shows how, at that time, Beethoven repeatedly experimented with stretti in the tonic-dominant relationship,<sup>79</sup> and how he wished to combine this kind of stretto with the new countersubject (Figure 85). This combination, however, was not used in the composition.

Many other stretto sketches did not find a place in the final version of the fugue. This is the case of sketch A 45, folio 30r (Figure 86), a stretto of the subject in inversion realised in chordal writing. The previous and subsequent sketches do not have a direct relationship with this stretto, which obviously makes it even more difficult to identify its possible

78 “On continuous harmonies, while the voices, overlapping, bear the theme”. See A-wgm A 44, fol. 7v, st. 12.

79 Stretto sketches built on the tonic-dominant relationship are found in A-wgm A 44, fol. 1r, st. 11/12; fol. 4r, st. 4–9; fol. 6v, st. 5/6; fol. 7v, st. 4–9.



FIGURE 81 D-B Landsberg 9, fol. 2v, st. 15/16 (identical to A-wgm A 45, fol. 6r, st. 8/9)

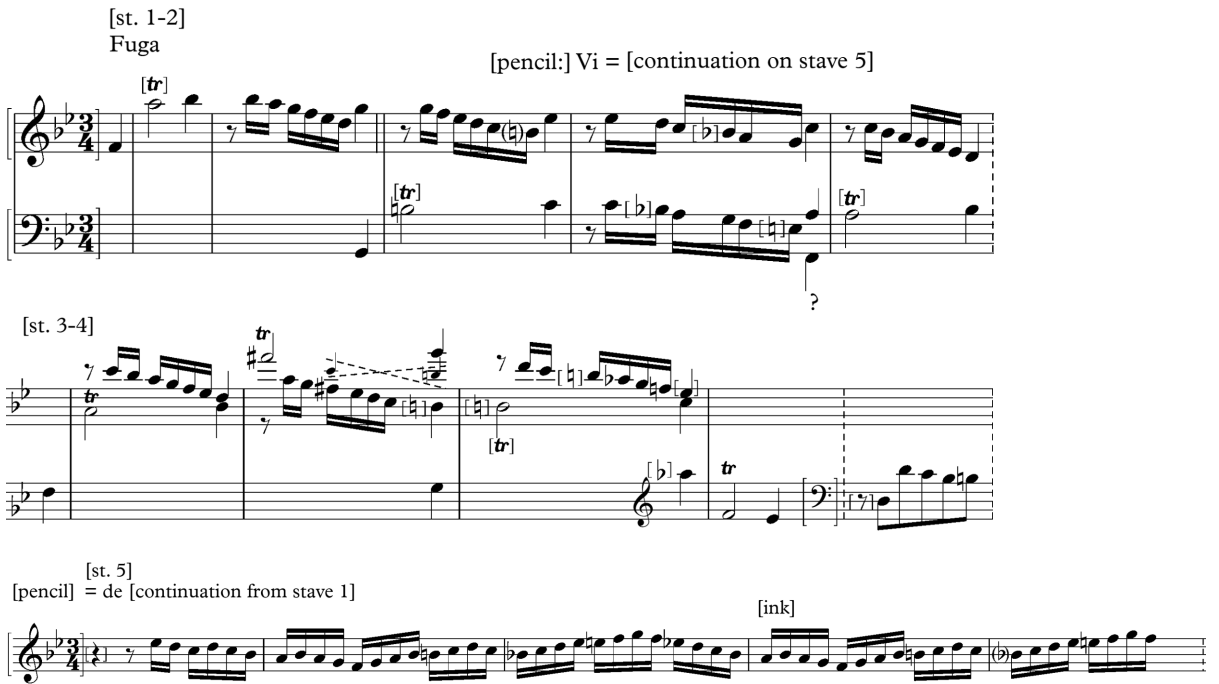


FIGURE 82 D-B Autograph 58, p. 2, st. 1-5

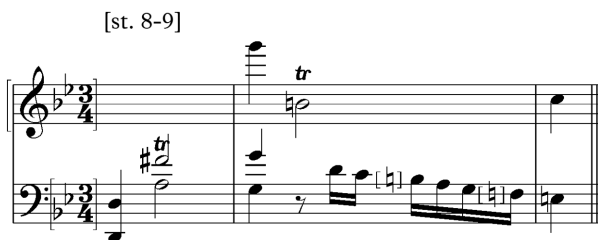


FIGURE 83 A-wgm A 45, fol. 20v, st. 8/9



FIGURE 84 A-wgm A 44, fol. 1v, st. 1/2



FIGURE 85 A-wgma A 44,  
fol. 3r, st. 10/11

FIGURE 86 A-wgma A 45, fol. 30r, st. 8/9

FIGURE 87 D-B Grasnick 20b, fol. 11r, st. 1-4

structural meaning.<sup>80</sup> However, the descending chromatic movement of the bass suggests a link with the sequence of bars 311-313.

The sketch of the manuscript Grasnick 20b (Figure 87), strictly speaking, is not a stretto, but the transcription has been given here in order to show one of the most intense expressions of the 'omnipresence' of the subject head, here used in a harmonic sequence centred on the subdominant and followed by an insistent percussion of the tonic in the

80 On the same folio 30r of A 45, immediately before the stretto, Beethoven copied some passages of the c-minor fugue BWV 871 from the second volume of Bach's *Das wohltemperirte Clavier*. The ink used to notate the stretto is much more intense than that of the copied passages from Bach, which indicates two distinct moments of writing.

bass line. Although the destination of this sketch remains uncertain, on the basis of these elements, it is reasonable to hypothesise that Beethoven intended to create a climax on the subject head before the double pedal point of bars 372–380.

**Sequences, episodes** In the paragraph dedicated to the concordances between manuscripts, I have already shown two examples taken from A 45 (Figures 4 and 5), the second of which is identical to a sketch contained in Landsberg 9 (folio 2v, staves 10–16). Both examples are sequences based on the head of the subject. In Landsberg 9 there are other sketches of this type, in which the central idea is the contrapuntal combination of two elements both taken from the fugue theme, namely the second and third notes of the subject and the scalar segments, used for building a modulating area. Sequences in conjunct motion on the head of the theme, similar but not identical to those of the example below (Figure 88), are used in bars 223–228 and 308–318 of the fugue, while the middle voice in eighth notes, proceeding in descending thirds, has been used in bars 200–203, although in a completely different tonal context.<sup>81</sup> The descending scalar segments are also part of some sketches for sequences in augmentation, such as that of Landsberg 9, folio 8r (Figure 89), or that of Mendelssohn 2, page 43 (Figure 90). Both these sketches, particularly that of Landsberg 9, suggest that Beethoven had it in mind, among the various possibilities, to also include in the fugue a section in  $b\flat$  minor. We have already seen how this key appears at the end of a sketch for the subject in augmentation in Landsberg 9 itself (Figure 80) as well as in the sketch preserved in Grasnich 20b (Figure 71), in which original and inversion are combined. Marston already noted the probable centrality of  $b\flat$  minor in early plans for the sonata, and these sketches provide further evidence that this tonality continued to occupy a non-marginal role, such as in the first two bars of staves 13/14 in Figure 91, in which the scale divided between the two staves and the trill prepare a cadenza in  $b\flat$  minor that has a certain structural weight. For the following bars Beethoven was maybe planning a new statement of the subject in the key just reached, or just to use that counterpoint between the original and the inversion contained in Grasnich 20b, folio 12r (Figure 71).

Another sequence based on the subject head is found on leaf 3r of Landsberg 9 (Figure 92) and arouses attention for the use of a voice that proceeds in descending fifths, which is almost absent in the rest of the sketches and never used in the composition. However, on folio 8r (Figure 93) of the same manuscript, it becomes clear that the line in

81 This voice in eighth notes is used at bars 200–203 in an ascending sequence between the subject statement in D major and the subject inversion in G major.

FIGURE 88 D-B Landsberg 9, fol. 7v, st. 5/6

FIGURE 89 D-B Landsberg 9, fol. 8r, st. 1/2

FIGURE 90 PL-Kj Mendelssohn 2,  
p. 43, st. 1

FIGURE 91 D-B Landsberg 9, fol. 3r, st. 11-14

FIGURE 92 D-B Landsberg 9, fol. 3r, st. 15/16



FIGURE 93 D-B Landsberg 9, fol. 8r, st. 9/10

FIGURE 94 D-B Landsberg 9, fol. 4v, st. 10–14, fol. 5r, st. 1

descending fifths represented the possibility of a real alternative countersubject for a subject statement in  $b\flat$  minor.

In Landsberg 9 there is also a sketch intended for the realisation of episodes alternating with statements of the subject in augmentation (Figure 94). This is the only sketch known to me that shows a vague relationship with the fugue episodes of bars 85–92 and 130–138, even if the elements in common are only the not-explicitly thematic character and the single appearance of a rhythmic model consisting of a sixteenth pause and three sixteenth notes (Figure 94, stave 12), which, in the episodes of the composition, has been used systematically. This sketch continues with the augmented subject in the key of  $c$  minor already shown in Figure 80. In the final version of the fugue, the subject in augmentation is preceded and followed by the two aforementioned episodes of bars 85–92 and 130–138, but the idea of a real alternation between augmentation and episodes, as proposed in the sketch just seen (Figure 94), was no longer exploited. Even the keys of the augmented subject's statements ( $d$  minor and  $g$  minor) do not appear in the composition.

**The transition to the fugue** Since the transition to the fugue has a strong structural link with the conception of the subject, in particular to the sequence of descending thirds that characterises it and which is also at the centre of the sonata in its entirety, it seems more appropriate to analyse its genesis near the end of this paper. The first concept sketches<sup>82</sup> and continuity sketches for the introduction must have been drafted precisely at a time when the basic subject structure in descending thirds had become established, i. e., as A 45 shows, between April and May 1818.

The multiplicity of improvisational and polyphonic elements that constitute the transition make the task of the transcription – more than in other cases – open to several interpretations. In the transition, Beethoven seems to rethink the possibilities of the contrapuntal languages of the past and at the same time questions himself about the future ones. As William Kinderman observed, in the introduction “there is a search towards new compositional possibilities, with the clear implication that Baroque counterpoint is transcended by the creation of a new contrapuntal style embodied in the revolutionary fugal finale of the sonata.”<sup>83</sup>

In the paragraph above concerning the genesis of the subject, I proposed to interpret a sketch of A 45 (Figure 16) as an idea for one of the elements of the transition to the fugue, an idea characterised by the motivic anticipation of the subject itself. In the following leaves of A 45, we find several concept sketches for the transition, destined to be further developed on leaves in desk format. On these leaves, even more than in the pocket sketches, the evolutionary stages of the transition are well documented.

The manuscript Scheide 132 contains four attempts. In the first one (Figure 95), the opening *f* pedal point is conceived in a totally different form compared to the broken octaves of the final version. The chain of descending thirds is present as well as the polyphonic passage in G $\flat$  major. Far from its final formulation is the passage in B major (in the score *Un poco più vivace*), with which the sketch is interrupted. Some verbal notes are included. In the first, the word “prelu[de]” is erased and replaced by “Einleit[ung]”. On the first sequence of descending notes (staves 10/11), the indication “Introduktion bis” connects to the following “alsdann”, that is, to the point where the chain of descending thirds leads towards the flat keys.<sup>84</sup> The mark “X” seems to be a reminder that the passage

82 The term “concept sketches” means sketches for a movement or a section in abbreviated form, including key, time, and brief references to thematic materials, sometimes with some explanatory words. See Cooper: *Beethoven and the Creative Process*, Oxford 1992, p. 104.

83 Kinderman: *Bachian Affinities in Beethoven*, p. 95. See also Martin Zenck: *Die Bach-Rezeption des späten Beethoven*, Stuttgart 1986, pp. 199–218.

84 Chae reads “Introduction in G-Dur” and hypothesises that this introduction was written in the sketch mh 93. However, the correct reading seems to me precisely “Introduktion bis”, as proposed here;

FIGURE 95 US-PRScheide 132, fol. 1r, st. 7–13

FIGURE 96 US-PRScheide 132, fol. 1r, st. 14–16

between both these verbal notes was still to be written out. The quarter notes on staff II, for example, were probably intended to be realised in sixteenth notes like at the beginning of staves 10/II.

A second sketch on leaf 1r (Figure 96), marked “meilleur” (as was the previous sketch), presents a reconfiguration of the initial ascending passage (which will be discarded) and introduces the broken octaves that begin the transition in the final version. The broken octaves are confirmed on leaf 1v (Figure 97), in which the broken triads with which the sketch of leaf 1r (Figure 96) begins are now shifted towards two later moments. The first time, the broken triads appear in the key of  $G\flat$  major after the first segment of descending thirds in the bass; as shown by the mark “Vi = de”, once discarded, they were replaced by the polyphonic passage in the same key taken from the previous sketch and varied. By the second attempt (“oder”, staves 7/8), the broken triads are notated in  $a\flat$  minor. Again

furthermore, the tonal context of the whole sketch does not present any hints or relations with the key of G major. See Chae: *Beethoven's Sketches for the Piano Sonata Opus 106*, p. 125.

[st. 4] Vi = 8a

[st. 5-6] 8tel

[st. 5]

[st. 6]

[st. 7-8] oder 8va Vi = 8[va] [continues on st. 11-12]

[st. 10] = de etc

[st. 11-12, continues from stave 10] R.

[st. 11]

No 100

[st. 12]

[st. 14-15]

[st. 16] = de

FIGURE 97 US-PRscheide 132, fol. 1v, st. 2-8 and 10-16

crossed out, they should have led to the area of  $g\sharp$  minor by means of the enharmony on the pitch  $e\flat / d\sharp$  (stave 7). For this tonal area Beethoven notated a melodic line on stave 16 that will never be picked up again. The future B major area remains equally undefined, also reached enharmonically through the descent of thirds  $g\flat - e\flat - c\flat$  (stave 5), but Beethoven ultimately steers away from it (through the pitches  $d\flat$  and  $g\flat$  at the bass) and follows up with scales presumably in the key of  $D\flat$  major (stave 6). A possible alternative to this discarded passage can be found in the thirty-second notes in  $C\flat$  major of stave 10. As can be seen, while the polyphonic passage in  $G\flat$  gradually approaches the final version, the section *Un poco più vivace* seems to be the most uncertain area, oscillating between conceptions in various keys and undergoing several modifications in the melodic profile.

In the continuation of the sketch on leaves 2r and 2v (Figure 98), we can see that, at this stage of the transition, the pedal point  $a$  should be followed by an equally extended pedal on the dominant of the fugue,  $f$ , which would have had a particularly atmospheric sonority in the combination of pedal notes in the extreme bass region and chords in the centre of the keyboard (Figure 98, folio 2v, staves 1–5).<sup>85</sup>

The idea of the  $f$  pedal is sketched out two more times in Autograph 54 (both in Figure 99). At leaf 1r, staves 3/4, the pedal of  $f$ , although not written, can be deduced from the presence of the dissonances in quarter notes, similar to those of Scheide 132 (Figure 98), and from the connected dissonant chord in whole note before the scales and the beginning of the fugue. In the second sketch (Figure 99, folio 1r, staves 6–10), the pedal point  $f$ , now explicitly written, develops in a similar way to that seen in Scheide 132, but, unlike what was sketched in stave 4, the scales immediately preceding the fugue theme are again limited to a single bar.

The sketches for the transition to the fugue contained in A 45, due to their often very shorthand writing, are to be read differently than the desk sketches of the transition. Some ideas presented in these concept sketches do not appear in the extant desk format leaves nor have they been developed in the composition, but others appear in a form not far from the final version. This is the case of leaf 27r in A 45. As shown in Figure 100, the  $f$  pedal point, the areas of  $G\flat$  major and of B major as well as the polyphony in  $g\sharp$  minor are all elements later included in the final version; on the other hand, at the beginning of the sketch (staves 1 and 2), there is an improvisational passage in sixteenth notes that will not be used, which appears to be immediately connected with the  $f$  pedal point (staves 2 and 4).

In the sketch on leaf 29r (Figure 101), we note how the two polyphonic areas in  $G\flat$  major and  $g\sharp$  minor, although also only partially outlined here, have assumed a profile

85 In my opinion, the right reading order of the eight images of US-PRScheide 132 is the following: 1 (fol. 1r), 2 (1v), 7 (2r), 8 (2v), 5 (3r), 6 (3v), 3 (4r), 4 (4v).



[f. 2r, st. 1-2] [2 mal]

[st. 4] [st. 5] [st. 4]

accell.

[st. 7] [st. 8] [st. 9] [st. 9, see "de" on st. 14-15]

oder

[st. 11] No 1000

[st. 12]

r. H. [st. 13] [st. 14] r. H. [st. 14-15] = de [see "Vi:" on st. 9] [st. 16] tr

[f. 2v, st. 1] [st. 4-5] meilleur

[st. 2] [st. 6] ges Vi:

FIGURE 98 US-PRscheide 132, fol. 2r, st. 1-15 and 7/8, fol. 2v, st. 1-6

FIGURE 99 Autograph 54, fol. 1r, st. 3–10

FIGURE 100 A-wgm A 45, fol. 27r

practically identical to the corresponding passages in the composition. But here, too, there is an element that will not be used (but which is present in another form in Autograph 54, Scheide 132 and Mh 94):<sup>86</sup> the last four bars before the beginning of the fugue, consisting of repeated scales (staves 8 and 9). Instead of occupying the last position of the sketch, they are curiously notated between the two mentioned polyphonic areas in G $\flat$  major and g $\sharp$  minor.<sup>87</sup>

The manuscript Scheide 131 is made up of leaves of different paper and used by Beethoven at different times. Leaf 1 contains the draft of the transition to the fugue closest to the final version. The passages still to be defined are the continuations of three sections: the ending of the section in B major on the dominant, instead of which we find a scalar movement without rhythmic values (Figure 102, folio 1r, stave 5); the final bars of the area in g $\sharp$  minor, crossed out two times and not followed by the descending thirds in the bass (Figure 102, folio 1v, staves 1/2); and finally, the pedal point *a* (*Prestissimo* in the score), still absent. While in A 45, folio 18r, the interval of the descending fourth *d* – *a* in the bass, as in the final version, interrupts the chain of descending thirds leading to the pedal point *a*, explicitly indicated as “Orgelpunkt”, here the movement of descending thirds continues with the notes *d* – *b* $\flat$  – *g*, suggesting that Beethoven still favoured the use of the *f* pedal point (Figure 102, folio 1v, staves 7/8). However, unlike the sketches seen in Scheide 132 and Autograph 54, Scheide 131 breaks off before the pedal point.

Assuming the dating of the fragment Autograph 54 proposed in the catalogue entry of the manuscript (summer/fall 1818), one would be led to think that, even at the end of summer or the beginning of fall, Beethoven had not yet abandoned the idea of connecting the transition and the fugue subject with an extended *f* pedal point. However, on the first staves of Autograph 54, there is a formulation of the continuation of the subject still in broken bichords, a form that in fall 1818 must have been rejected, as can be seen in Autograph 58, also dated summer/fall 1818 (see Figure 40). In A 45 and A 44, whose dating between April and August 1818 is beyond question, the idea of the *f* pedal point is abandoned; the *a* pedal point, in addition to appearing on folio 18r of A 45, is also found in A 44 (folio 6v, staves 7/8). Furthermore, the other elements seen in A 45 must be kept in mind, such as the polyphonic areas of G $\flat$  major and g $\sharp$  minor that are at a stage close to the final version. Due to the very advanced form of the transition seen in Scheide 131, leaf 1 of this manuscript is certainly to be dated later than A 45 and A 44, probably fall 1818. Based on all these considerations, it seems convenient to propose for Autograph 54 a backdating to summer 1818 instead of summer/fall 1818. Thus, the chronological order

86 D-B Autograph 54: fol. 1r, st. 3–5; US-PRScheide 132: p. 5, st. 15/16, p. 8, st. 5–7; D-BNba Mh 94: fol. 1r, st. 9.

87 In this sketch it becomes clear that in A 45, the individual structural elements of the transition to the fugue are sometimes sketched in an order that does not correspond to that of the composition.

The musical score consists of eleven staves. Staves 1-2 are in a common time signature and feature a complex rhythmic pattern with sixteenth and thirty-second notes. Staves 4 and 5 are in a key signature of two sharps and feature a series of chords with eighth notes. Staves 6 and 7 are in a key signature of two flats and feature a series of eighth notes. Stave 8 is in a 3/4 time signature and features a trill. Staves 10 and 11 are in a key signature of two sharps and feature a series of eighth notes. Stave 9 is in a key signature of two flats and features a series of eighth notes.

FIGURE 101 A-wgm A 45, fol. 29r, st. 1–11

of the genesis of the transition could be the following: first Scheide 132 (May/June 1818) and Autograph 54 (summer 1818), followed by the last parts of the pocket sketchbooks A 45 (April or Mid-May to June or July 1818) and 44 (July/August 1818), and finally by Scheide 131 (summer/fall 1818).

**Open questions** Before drawing some conclusions, it seems appropriate, if not even indispensable, to show here some of the sketches which pose difficult questions. They appear scarcely related – or apparently even unrelated – to the last movement of the sonata

[st. 1-2]

3 [pencil] [ink] [b]

This system contains two staves of music. The top staff begins with a treble clef and a key signature of one flat. It features a triplet of eighth notes, followed by a series of chords and melodic lines. The bottom staff starts with a bass clef and contains a similar triplet of eighth notes, with some notes crossed out. Performance markings include [pencil] and [ink] above the top staff, and [b] above the bottom staff.

[st. 3-4]

[pencil] [ink] [st. 5-6]

[pencil] [ink]

This system contains two staves. The top staff has a treble clef and a key signature of one flat. It shows a melodic line with some notes crossed out. The bottom staff has a bass clef and a key signature of one flat, featuring a melodic line with some notes crossed out. Performance markings include [pencil] and [ink] above the top staff, and [pencil] and [ink] below the bottom staff. A section marker [st. 5-6] is placed above the top staff.

[pencil] [st. 7-8]

[pencil]

This system contains two staves. The top staff has a treble clef and a key signature of three sharps. It features a melodic line with some notes crossed out. The bottom staff has a bass clef and a key signature of three sharps, with a melodic line and some notes crossed out. Performance markings include [pencil] above the top staff, [pencil] below the bottom staff, and a section marker [st. 7-8] above the top staff.

[ink] [pencil]

This system contains two staves. The top staff has a treble clef and a key signature of three sharps, with a melodic line and some notes crossed out. The bottom staff has a bass clef and a key signature of three sharps, with a melodic line and some notes crossed out. Performance markings include [ink] above the top staff and [pencil] below the bottom staff.

[f. 1v, st. 1-2]

[#] [pencil] [ink]

[ink] [pencil]

This system contains two staves. The top staff has a treble clef and a key signature of three sharps. It features a melodic line with some notes crossed out. The bottom staff has a bass clef and a key signature of three sharps, with a melodic line and some notes crossed out. Performance markings include [#] above the top staff, [pencil] and [ink] above the top staff, [ink] and [pencil] below the bottom staff, and a section marker [f. 1v, st. 1-2] above the top staff.

~[st. 3-4]

[b]

This system contains two staves. The top staff has a bass clef and a key signature of three sharps. It features a melodic line with some notes crossed out. The bottom staff has a bass clef and a key signature of three sharps, with a melodic line and some notes crossed out. Performance markings include [b] above the bottom staff and a section marker ~[st. 3-4] above the top staff.

[st. 5-6]

[st. 7-8]

FIGURE 102 US-PRScheide 131, fol. 1r, st. 1–8, fol. 1v, st. 1–8

and to the other sketches; in other cases they suggest the need for further study on the relationship between the genesis of the fugue of Op. 106 and Bach's *Das wohltemperirte Clavier*.

In manuscript A 45, folio 16v, Beethoven notated two subjects in C major, adding the explicit notation "Fuga" to both sketches. Compared to the other sketches for the subject, the total diversity of conception stands out. And, apart from the key of C major, the two sketches have no other common elements between them (Figures 103 and 104).

Nottebohm's transcriptions from the Boldrini manuscript show that, in the early stages of the creative process, Beethoven notated sketches for subjects with a very different form from the final one. Nevertheless, if it were not for the indication "Fuga", the second of the two sketches below (Figure 104) does not really seem to possess the character of a fugal theme, at least if put in relation to the articulation and extension of the sketch that precedes it (Figure 103) and also to the other sketches for the subject.

Immediately after this sketch, Beethoven notated in pencil the subject in a form still far from the final one but in B $\flat$  major and including the first three notes and the trill on the second note that are maintained in the final version. After that follows – still in pencil – the sketch already shown in Figure 24. As can be seen, between the two sketches in C major and the following ones (like those of the next leaf 17r, all including the initial tenth leap), the difference in content is considerable. For this reason, it is conceivable that a certain amount of time has elapsed between the sketches for the subjects in C major and what follows in B $\flat$  major.

On the first leaf of Scheide 132, we find a sketch expressly called by Beethoven "Ballo" and preceded by the reference "= de" (Figure 105). The corresponding mark "Vi =" is

FIGURE 103 A-wgm A 45, fol. 16v, st. 1–4

FIGURE 104 A-wgm A 45, fol. 16v, st. 6

untraceable. The following sketches, pertaining to the transition to the fugue (Figure 95), do not have any relationship with this short idea. From the sketches contained on A 45, leaf 25r, it can be deduced with certainty that, in May 1818, the metre, melodic contours and general form of the Scherzo were by now defined, even though the movement was not completely concluded. Therefore, it seems unlikely to hypothesise that the “Ballo” was an idea for the Scherzo that ultimately was not used. As shown in the transcription (Figure 105), the sketch is in binary metre, and the melodic line has nothing to do with the final version of the second movement. Thus, having no correspondence with other materials, this sketch remains, at least to the best of my knowledge, a sort of enigma. Perhaps the “Ballo” was not a sketch for Op. 106.

Another open question is represented by the sketch on leaf iv of the manuscript US-wc, which is a non-literal transcription in desk format of the sketch on A 45, folio 21r. As can be seen in the example (Figure 106), the accidentals noted by Beethoven suggest a tonal path centred on the keys of B major and E major followed by d minor in the last four bars, in which the trill from the subject head is distributed among the three voices. In the final version, the material of this sketch was not used, and apart from A 45, in the remaining sketches there are no further concordances. The only moment of the fugue that appears related to this sketch is bar 149, after which the section with the retrograde



FIGURE 105 US-PRScheide 132,  
p. 1, st. 1

**Largo**  
[f. 1v, st. 1-2]

[st. 3-4]

[st. 5-6]

FIGURE 106 US-WC, fol. 1v, st. 1-6

subject begins. Since this very short affinity is too vague, it is difficult to give the sketch an adequate contextualisation: did Beethoven intend to compose a section of a certain extent in the tonal region of the sharps, before the entrance of the retrograde subject? If this were the case, however, the area of d minor would pose the question of the tonal connection with the key of the retrograde subject, b minor, assuming that, at that time, the key for this section had already been established. As seen above, a very brief sketch of the retrograde in b minor is found in the later A 44 (Figure 77), while the other sketches of the retrograde are in B $\flat$  major.

Finally, it appears essential to show a further copy of a fragment of Bach on leaf 30v of A 45. As can be seen in the transcription below (Figure 107), Beethoven notated in pencil



FIGURE 107 A-wgm A 45, fol. 30v, st. 1/2

the subject of the fugue in c minor (BWV 871) from the second book of *Das wohltemperirte Clavier*, immediately followed by a three-part sketch on the countersubject of the fugue of Op. 106 in g minor, first written in pencil, then traced over in ink. The contiguity between Bach's subject and the following sketch is graphically evident. Beethoven left the subject of the c-minor fugue in pencil, unlike the rest, since it, of course, was not part of the sketch; at the same time, the annotation of Bach's theme must have served as a creative stimulus for the following bars. The scalar segment in sixteenth notes in the second bar shows an analogy with the descending line of the voice in the second bar of Bach's fugue. And the complementary rhythmic figuration of the two upper voices in the third bar appears to reproduce that of bars 8/9 of the c-minor fugue, a figuration that also appears in bars 197–199 of the fugue in Op. 106. However, beyond the motivic and rhythmic affinities, what I would like to emphasise is that this sketch originated directly from Bach's material and that Beethoven needed to set this material down on paper in order to bring it into his creative process.

**Conclusions** The complex of sketches studied for this contribution gives evidence of a significant change in the conception of the fugue for the *Hammerklavier* sonata, a change that occurred gradually during the compositional process. This mutation began with the drafting of the subject and inevitably involved the sketches for the countersubject as well as those of greater extension, like the continuity drafts for the fugue exposition. It consists

of the transition from a diatonic conception of the subject's motivic substance to a chromatic one. The piano writing consequently underwent a change too, evident in the transition from the broken chords of the subject continuation to the less idiomatic and more 'abstract' chromatic line.

The chromaticism reached in the definitive subject line led, in turn, to a greater rhythmic complexity, which developed starting from eighth notes, then changing into eighth-note triplets and finally reaching sixteenth notes. While the subject underwent this process of rhythmic complication, the opposite happened for the first countersubject, whose initially planned dotted rhythms were abandoned. The continuity drafts for the fugue exposition show how the first attempts with extended compositional sections began when the subject and the first countersubject had not yet reached the final shape.

In the sketches for the subject and the countersubject, it was also possible to observe the 'migration' of motivic segments, which changed position within the subject itself or flowed from the subject to the countersubject. The last phenomenon is linked to the fact that subject and countersubject are both based on the deep structure of descending thirds analysed by several scholars.<sup>88</sup> Both subject and countersubject reveal a singular harmonic compatibility with the theme of the fugue in B $\flat$  major (BWV 890) from the second book of Bach's *Das wohltemperirte Clavier*. Beethoven copied a fragment from the answer of this fugue in *Scheide* 131; this suggests that Bach's composition may have played a non-negligible role in the conception of the subject and the countersubject with an implicit structure of descending thirds.

The second, chorale-like subject (which later becomes a new countersubject marked *Sempre dolce cantabile* from bar 250) was initially conceived in the relative minor of the tonic key, i. e. in g minor, responding to a much more traditional conception of tonal relations than that achieved in the composition, in which the chorale theme starts in D major.

The attempts at contrapuntally combining this theme with the first subject were originally even more ambitious than what was ultimately realised in the composition, both in terms of complexity and potential extension. This can indeed be said of all the preparatory sketches for the contrapuntal devices that could have been achieved in the fugue. The countless sketches for the retrograde, the augmentation and above all the inversion of the thematic materials show an aspiration to embrace all the practicable possibilities, some of which remained unrealised: a sort of 'inventory' from which Beethoven intended to make selections in his compositional process.

88 Dietrich Kämper: Klaviersonate B-Dur "Hammerklaviersonate" op. 106, in: *Beethoven. Interpretationen seiner Werke*, ed. by Albrecht Riethmüller, Carl Dalhaus, Alexander L. Ringer, Laaber 1994, Vol. 2, pp. 136–149, here pp. 144 f.

Alongside the initial role of the key of g minor, that of b $\flat$  minor was originally intended to have a significant function, not only with regard to the first ideas for the fugue subject, as observed by Nottebohm and Marston, but also for eventual statements of the latter in augmentation, in inversion, and in combination with an alternative countersubject line that would not be used, thus for the development of the fugue.

The sketches of the transition to the fugue revealed a particularly complex evolutionary process. In these concluding notes it may be useful to recall the chronological order of the sketches for this section proposed above: first Scheide 132 and Autograph 54, then the pocket sketchbooks A 45 and 44, and finally Scheide 131.

The gradual achievement of an innovative contrapuntal writing, intended as a stylistic synthesis of languages that were originally independent from each other; the affirmation of a decidedly more daring harmony than that of the first, more conventional sketches for the fugue; the liberation of the piano writing from worn-out idiomatic formulas: all these moments inherent in the genesis of the last movement of the Sonata Op. 106 are the manifestation of a process of musical creation clearly described by Bernard Appel: “The composer finds himself in a double discourse in the creative process, which is conducted in a circular or parallel manner. On the one hand, he deals with his own structural specifications and, on the other hand, with internalised rule systems.”<sup>89</sup> In the case of the fugue of Opus 106, it is clear that the “internalised rule system” played a dominant role in the first creative phase and then gave way more and more intensely to his “own structural specifications”, thanks to which the composition, together with Beethoven’s last three piano sonatas and the last quartets, gives life to a previously unexplored contrapuntal language.

89 “[D]er Komponist [befindet sich] im Schaffensprozeß in einem doppelten Diskurs, der zirkulär bzw. parallel geführt wird. Einerseits setzt er sich mit seinen eigenen Strukturvorgaben und andererseits zugleich mit internalisierten Regelsystemen auseinander.” Appel: *Sechs Thesen*, p. 121. On this topic see also Geraint A. Wiggins: *Defining Inspiration? Modelling the Non-Conscious Creative Process*, in: *The Act of Musical Composition. Studies in the Creative Process*, ed. by Dave Collins, London/New York 2016, pp. 228–249.

## Content

**Forewords** 7

**Preface** 10

### NOTATION AND PERFORMANCE

**Clive Brown** Czerny the Progressive 15

**Barry Cooper** Beethoven's Pedal Marks Revisited 40

**Neal Peres Da Costa** The Case for Un-Notated Arpeggiation in Beethoven's Compositions for or Involving the Piano 59

**Siân Derry** Beethoven's Tied-Note Notation. An Ongoing Debate 100

**Marten Noorduyn** Beethoven's Indicators of Expression in His Piano Works 118

**Yew Choong Cheong** A Historically Informed Perspective of Beethoven's Idiosyncratic Dynamics and Accents in His Piano Works 137

**Leonardo Miucci** Beethoven's Piano Quartets WoO 36. Conservatism and Evolution 156

### FROM SKETCH TO PRINT

**Sandra P. Rosenblum** Publishers' Practices and Other Happenings in the Life of Beethoven's Quintet for Piano and Woodwinds Op. 16 177

**Susanne Cox** Beethoven's 'Concept'. Working Manuscripts Between Sketch and Fair Copy 188

**Mario Aschauer** Text, Context, and Creative Process in Diabelli's *Vaterländischer Künstlerverein* 210

**Roberto Scocimarro** Beethoven's Sketches for the Last Movement of the Sonata Op. 106. Thoughts on the Creative Process 228

**Claudio Bacciagaluppi** Hans Georg Nägeli as Publisher and Bookseller of Piano Music 295

INSTRUMENTS AND KEYBOARD PRACTICES

**Michael Ladenburger** Beethoven's Early Approach to Different Types of Keyboard Instruments in Bonn and Its Lifelong Aftermath 323

**Tilman Skowronek** Beethoven and the Split Damper Pedal 345

**Robert Adelson** Beethoven's Érard Piano: A Gift After All 358

**Martin Skamletz** A Gesture of Expansion. The Limited Enlargement of the Tessitura in Beethoven's Piano Sonata Op. 53 as a Further Development of Procedures Essayed in His Early Chamber Music 374

**Index** 400

**Authors** 412

MUSIKFORSCHUNG DER  
HOCHSCHULE DER KÜNSTE BERN

Edited by Martin Skamletz  
and Thomas Gartmann

Volume 16

BEETHOVEN AND THE PIANO  
Philology, Context and Performance  
Practice • Edited by Leonardo Miucci,  
Claudio Bacciagaluppi, Daniel Allenbach  
and Martin Skamletz



Dieses Buch ist in gedruckter Form im September 2023 in erster Auflage in der Edition Argus in Schliengen/Markgräflerland erschienen. Gestaltet und gesetzt wurde es im Verlag aus der *Seria* und der *SeriaSans*, die von Martin Majoor im Jahre 2000 gezeichnet wurden. Gedruckt wurde es auf Eos, einem holzfreien, säurefreien, chlorfreien und alterungsbeständigen Werkdruckpapier der Papierfabrik Salzer im niederösterreichischen Sankt Pölten. Das Vorsatzpapier *Caribic cherry* wurde von Igepa in Hamburg geliefert. *Rives Tradition*, ein Recyclingpapier mit leichter Filznarbung, das für den Bezug des Umschlags verwendet wurde, stellt die Papierfabrik Arjo Wiggins in Issy-les-Moulineaux bei Paris her. Das Kapitalband mit rot-schwarzer Raupe lieferte die Firma Dr. Günther Kast aus Sonthofen im Oberallgäu, die auf technische Gewebe und Spezialfasererzeugnisse spezialisiert ist. Gedruckt und gebunden wurde das Buch von der Firma Bookstation im bayerischen Anzing. Im Internet finden Sie Informationen über das gesamte Verlagsprogramm unter [www.editionargus.de](http://www.editionargus.de), zum Institut Interpretation der Hochschule der Künste Bern unter [www.hkb.bfh.ch/interpretation](http://www.hkb.bfh.ch/interpretation) und [www.hkb-interpretation.ch](http://www.hkb-interpretation.ch). Die Deutsche Nationalbibliothek verzeichnet diese Publikation in der Deutschen Nationalbibliografie; detaillierte bibliografische Daten sind im Internet über [www.dnb.de](http://www.dnb.de) abrufbar. © der zeitgleich erschienenen digitalen Version: die Autorinnen und Autoren, 2023. Dieses Werk ist lizenziert unter einer Creative Commons Namensnennung-Nicht kommerziell 4.0 International Lizenz ([CC BY-NC 4.0](https://creativecommons.org/licenses/by-nc/4.0/)).

DOI [10.26045/kp64-6180](https://doi.org/10.26045/kp64-6180) ISSN 2700-8681 ISBN 978-3-931264-96-3