

2012

## Dialogues, dysfunctional transitions, and embodied plot schemas: (Re) considering form in Chopin's sonatas and ballades

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DIALOGUES, DYSFUNCTIONAL TRANSITIONS, AND EMBODIED PLOT SCHEMAS:  
(RE) CONSIDERING FORM IN CHOPIN'S SONATAS AND BALLADES

A Dissertation

Submitted to the Graduate Faculty of the  
Louisiana State University and  
Agricultural and Mechanical College

In partial fulfillment of the  
requirements for the degree of  
Doctor of Philosophy

in

The School of Music

by

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December 2012

## ACKNOWLEDGMENTS

I am grateful for the numerous people that have contributed to this dissertation. I would like to first thank my committee members: to Dr. Inessa Bazayev, my advisor, for all of her gracious and helpful suggestions regarding analysis, writing, formatting, and design; to Dr. David Smyth, for inspiring my interest in Sonata Theory; to Dr. Blake Howe, for sharing his expertise; to Professor Michael Gurt for imparting his knowledge about the works of Chopin and for many insightful comments associated with this project; and Dr. Bruce Sharky, my Dean's representative, for his willingness to serve.

I am grateful to all my friends who have aided me with their many helpful suggestions. Particularly, I would like to thank Brandi Burton, Gregory Sims, and Lee Turner for serving as editors. Furthermore, I thank my colleagues Dr. Lynn Raley, John Bishop, Adam Hudlow, Matt Steinbron, Jeff Yunek, Gregory Sims, and Zachary Hazelwood for their kind help with the mechanical aspects of preparing a large document. I am grateful for those who have supported me throughout this process: to Dr. Larry and Mrs. Kathy Mitchell, my parents, for their continuous encouragement; to Elizabeth Wallace, David, Stephen, and Nathan Mitchell, for their advice, my friends at All-Saint's Anglican Church in Baton Rouge, for their friendship and support; to Mr. and Mrs. Carl C. Clement Jr., for their prayers; most of all to Vita Mitchell, my wife, to whom I dedicate this project, for her undying love and care.

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## GLOSSARY OF NEW TERMS

**Chromatic Irritant:** Some salient chromatic event, often a troublesome pitch-class or a diminished seventh chord, that demands such response from the TR process. Often, these cause energy diffusion.

**Energy Diffusion:** Occurs when a given TR preemptively loses its energy *en route* to the MC. Often this is due to some condition that was established in P (such as an over-determined tonic) or external stimulus (such as a chromatic irritant).

**Essential Rotational Closure (ERC):** In a rotation, the first satisfactory PAC or IAC in the second key area. This usually leads to C-like material and is analogous to Hepokoski/Darcy's Essential Expositional Closure (EEC).

**Postmedial Caesura:** "Extra" caesura effect that occurs past the point of a supposed EEC. This is a symptom of TR Dysfunction that has the effect of attenuating and undermining EEC.

**Pseudo-Transcendence:** Situation in which an ERC in a tonic key other than the tonic major occurs. This is followed by a re-affirmation of the tonic minor which has the effect of negating the earlier ERC.

**Retransitional Caesura (RTC):** Caesura effect that is the culmination of an RT passage, it does not follow EEC.

**RT:** passage(s) that prepare the way for a new rotation and are marked by the return of the home tonic and the restatement of P-material.

**rt:** An RT-like passage that prepares non-tonic returns of P- themes.

**Second MC (MC2):** The second caesura of a tri-modular block.

**TR Dysfunction:** Occurs when a given TR fails or struggles in its generic obligations of gaining energy and driving toward the MC.

## ABSTRACT

Chopin's four Ballades — perennial favorites of audiences and performers— have proven to be problematic for analysts. At the forefront of the numerous discussions regarding their organization is an ongoing debate about their relationship to the eighteenth-century sonata, particularly if they can be understood as variants of that form or as something altogether new. It is my view that these works have tended toward the enigmatic because no one has discovered an appropriate theoretical apparatus through which to process them. In this dissertation, I view Chopin's Ballades through a multi-tiered analytical system that draws upon three sources: the Sonata Theory of Hepokoski/Darcy, the notion of TR (transition) dysfunction, and Candace Brower's embodied schemas for musical plot.

Hepokoski/Darcy's Sonata Theory posits the sonata process as being a goal-directed, highly-sophisticated metaphor for human action that involves musical modules with specific rhetorical purposes and prescribed generic goals. Importantly, they posit a major articulative device, the medial caesura (MC), as being an organizational focal point.

Like the sonata, Chopin's Ballades are goal-directed structures, filled with rhetorically precise modules, and hinge upon caesura activity. Additionally, they exhibit symptoms of a condition that I have termed "TR Dysfunction." Dysfunctional TRs have difficulty achieving their goals which are to gain energy and to drive toward the MC. The Ballades also play out several of Brower's embodied plot schemas, such as the escape-from-container schema and following- alternate pathway schema.

In this dissertation, I probe the ways in which Chopin's Ballade practice and his sonata practice intersect. I begin by examining the literature on these exciting works. I continue with a thorough examination of Chopin's first movement sonata forms, emphasizing their modular rhetoric and TR-spaces. Finally, I analyze all four Ballades using my multivalent approach. By examining Chopin's works in this way, new insights will be gained that shall contribute to the scholarship on his compositional strategies as well as the general understanding of other large romantic forms.

## CHAPTER 1: LITERATURE REVIEW

This is a study of Chopin's Ballades, four popular, yet challenging works. It utilizes several new tools—including Sonata Theory, embodied meaning, rotational form, and the notion of TR (transition) dysfunction—to forge a new way into these refractory compositions. This dissertation advocates for an ecumenical methodology and claims that such a multi-faceted approach is absolutely necessary. It contains five parts, beginning with an introductory chapter that probes the analytical literature and explicates the basic tenets of Sonata Theory, rotational form, TR dysfunction, and embodiment. Chapters two and three will discuss Chopin's sonatas in light of the Sonata Theory model with a sharp focus on their transitions, the focal points of the drama for his large works. Chapter four is a formal survey of Ballades 1, 2, and 4 using the hermeneutic that I have outlined above. Chapter five is an analysis of Ballade 3, the most idiosyncratic work of the group. Chapter 6 argues that my ecumenical method may be suitable for other works as well, particularly those of Brahms.

### **1.1 Theoretical Apparatus: The Hepokoski/Darcy Model, TR Dysfunction, and Brower's Schemas for Musical Plot**

#### 1.1.1 The Hepokoski/Darcy Model

Chopin's Ballades do not involve an entirely new formal paradigm, but are born of a synthetic process: an interchange between the sonata and other genres.<sup>1</sup> Any relevant study of these works must take this inter-generic dialogue into account. Due to recent advances in the study of sonata form, specifically Hepokoski/Darcy Sonata Theory model, we now have a mechanism that can accurately gauge the Ballades' relationship to the sonata genre.<sup>2</sup>

The Hepokoski/Darcy model is the most recent formal theory to emerge. It conceives of sonata form as a highly sophisticated metaphor for human, goal-directed action. It is a metaphor that is "centrally

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<sup>1</sup> The idea that the Ballades are born of various synthetic processes is not new. Others have already explored this notion; namely the fusion of the lyric with the narrative (Klein 2004, Rosen 1998, Berger 1996) and the fusion of the popular, salon style with the high-minded instrumental Austro-German style (Samson 1992; 1985).

<sup>2</sup> Sonata Theory emerged and developed in various articles (Hepokoski 2002; Hepokoski and Darcy 1997) and the 2006 volume, *The Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Hepokoski and Darcy 2006).



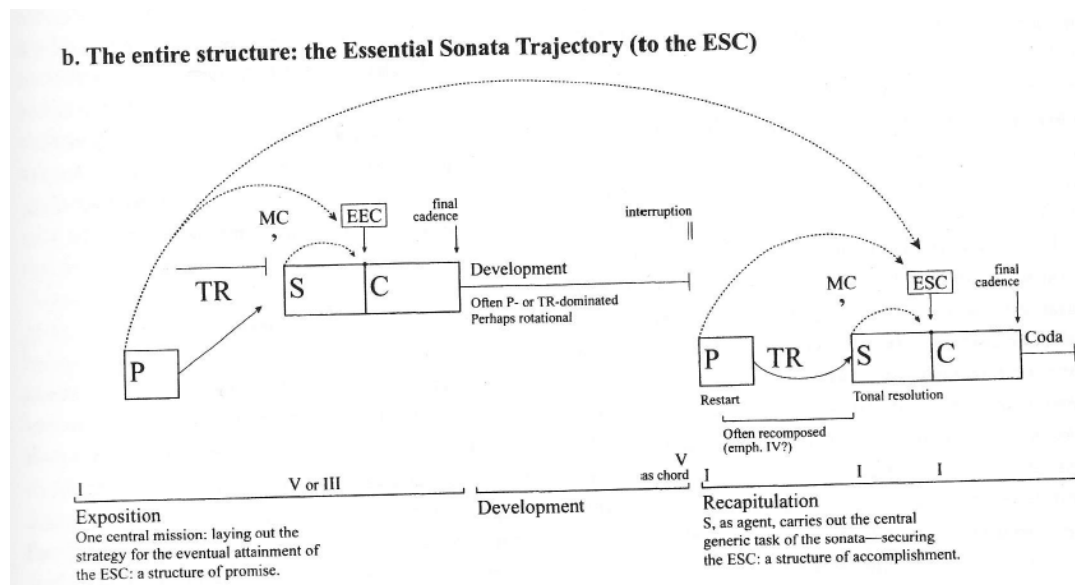
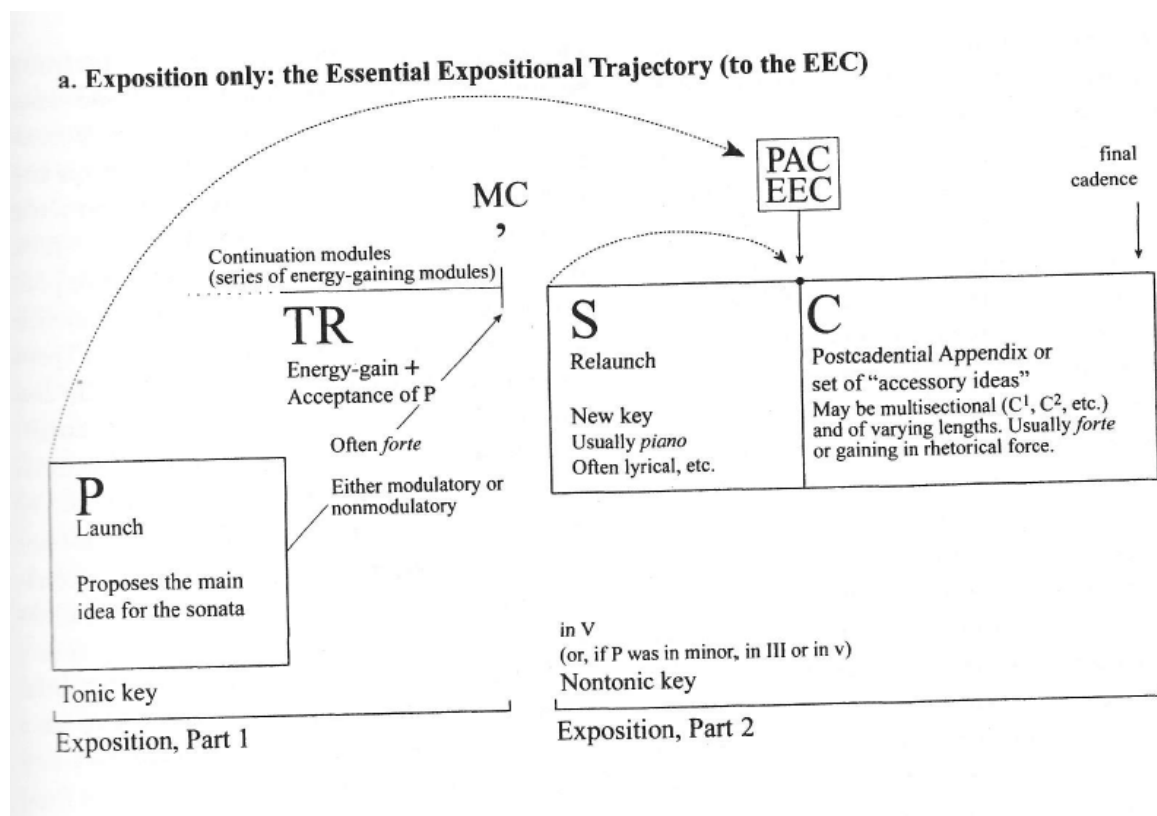
concerned with the formal principle that we call rotational form or the rotational process. This process includes two or more (varied) cyclings—rotations—through a modular pattern or succession laid down at the outset of the structure.”<sup>3</sup> The rotational impulse is the most basic driving force in Chopin’s Ballades. As such, I will prize the rotational technique in my analytical methodology. That is, I see it as a structural impulse. We shall that in Chopin’s Ballades the themes are often recycled in their expositional order. That holds true not only for his Ballades, but for his sonatas as well. Nearly all of Chopin’s sonatas are highly rotational. We also see, therefore, that the rotational impulse is indeed strong in nearly all of Chopin’s large-scale compositions such as the *Scherzi*, the Fantasy (Op. 49), and the *Barcarolle*. Sadly, however, these other long compositions remain outside of the scope of this project.

Examples 1.1a and 1.1b present the model of the Hepokoski/Darcy two-part exposition and the essential sonata trajectory, respectively. Example 1.1a is the model of the Hepokoski/Darcy two-part exposition.<sup>4</sup> Each part has a characteristic tonal orientation: part one is set in the tonic, while part two appears in a non-tonic key (usually the dominant in a major key work and usually the mediant in a minor-key work). Several kinds of musical/rhetorical modules comprise the two-part exposition, including a P-module, a TR-module, an S-module, and a C-module (see Example 1.1A). Typically, these themes are highly differentiated in terms of rhetorical function. That is, P-modules have the job of initiating the sonata process, stating the main idea of the work, and generating our expectations about the work’s dimensions. S-modules, on the other hand, provide thematic and affective contrast. They are usually lyrical in nature. We shall see that Chopin’s uses certain rhetorical thematic types in his sonatas. For example, he tends to set S-themes as Nocturnes. This is true, certainly, in the sonatas and the concerti, as I will show. His P-themes seem to be more differentiated and varied, but still, Chopin prefers P-themes of a very few basic types such as the large antecedent and various kinds of sentential structures. All of this shall be covered in full detail later.

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<sup>3</sup> Hepokoski/Darcy 2006, 16.

<sup>4</sup> Even though sonata theory claims that there are two kinds of expositions, the two-part and continuous, all of Chopin’s Ballades (and indeed, most of his large works) are engaged with the two-part exposition.



**Example 1.1 Hepokoski/Darcy's Model of the Expositional Rotation and of the Entire Sonata Trajectory (Hepokoski/Darcy 2006, 17)**

Chopin's sonatas display the typical modular rhetoric. In the Ballades, however, the rhetorical and affective opposition between the different kinds of modules is quite a bit less sharp. While we always find theme groups that are clearly distinct, they rarely display the kind of contrast that one would find in the typical sonata.<sup>5</sup> Most of the themes in the Ballades, even the opening ones, tend to be lyrical and therefore more suited for S- themes in a typical exposition.<sup>6</sup>

In the two-part exposition, the medial caesura (MC) is a major articulative device. Hepokoski/Darcy define the medial caesura as "the brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts, tonic and dominant (or tonic and mediant in most minor-key sonatas)."<sup>7</sup> MCs serve to "end the first part of an exposition" and "make available the second part."<sup>8</sup> According to their model, the MC is usually built around a half-cadence of some kind.<sup>9</sup> We shall see that in Chopin's large works, the achievement of the MC is often a problematic process. For example, an exposition may have some difficulty achieving one, it may be unable to produce one altogether, or it may produce one that is compromised or weakly articulated.<sup>10</sup> When this happens, the achievement of a more normative MC becomes a problem which the piece must confront.

Additionally, the Hepokoski/Darcy model conceives of the sonata process as being strongly directed to the achievement of two generically prescribed goals: essential expositional closure (EEC) and essential structural closure (ESC). As shown in Example 1.1A, the most basic local goal is the achievement of EEC. This is the first perfect authentic cadence (PAC) in the new secondary, non-tonic key in the exposition. The most basic global goal, then, is the achievement of ESC, the PAC that re-confirms the tonic in the recapitulation (see Example 1.1B). Importantly, the sonata process may succeed or fail to complete either of these goals. When that occurs, we have encountered an instance of "sonata-

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<sup>5</sup> For the sake of clarity, however, I will use the Hepokoski/Darcy designations of "P" and "S."

<sup>6</sup> The exception is Ballade 2, in which there is a sharp affective/rhetorical differentiation between the two main themes.

<sup>7</sup> Hepokoski/Darcy 2006, 24.

<sup>8</sup> Hepokoski/Darcy 2006, 25.

<sup>9</sup> More rarely, we encounter MCs that are PACs in the new key (Hepokoski/Darcy 2006, 36-40).

<sup>10</sup> As we shall see, this is the case in many of Chopin's works including Piano Sonata No. 2 and Ballade 3.

failure.”<sup>11</sup> In the Ballades, we must view each thematic cycle, or rotation, as having its own immediate structural goal: ERC (essential rotational closure).

Besides these two main goals of EEC and ESC, sonatas (and other large works) may be yoked with other structural obligations as well. These include the need to overcome the minor mode, the yearning for rotational completion, and the striving for a normative MC. Since most of Chopin’s Ballades, concerti, and sonatas are set in minor keys, it is important to note the negative implications of the minor mode itself. According to Hepokoski/Darcy, the minor mode is “generally interpretable within the sonata tradition as a sign of a troubled condition seeking transformation (emancipation) into the parallel major mode.”<sup>12</sup> I interpret the minor mode in Chopin’s Ballades as a similarly troubled condition. We must pay special attention to this implied trajectory from the minor tonic to the major tonic, for it is a major compulsion in these and his other large works. As I will show, this obligation is rarely fulfilled in the Ballades.

In the Ballades, the rotational impulse, that is the impulse to completely recycle through a pre-determined configuration of themes, is even more basic than it is in the genre of the sonata. As such, one must be aware of the principle of “teleological genesis.”<sup>13</sup> According to Warren Darcy, “it sometimes happens that a brief motivic gesture or hint planted in an early rotation grows larger in later rotations and is ultimately unfurled as the *telos*, or final structural goal in the last rotation. Thus the successive rotations become a sort of generative matrix within which the *telos* is engendered, processed, nurtured, and brought to a full presence.”<sup>14</sup> One must detect the generative impulse, or extraordinary condition in each Ballade’s opening music, for these are ripe with hermeneutic implications. A typical condition is that of an “over-determined tonic,” or an opening theme that consists of “multiple modules, several of which end with I:

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<sup>11</sup> For Hepokoski/Darcy’s discussion of the issue of “sonata-failure,” see Hepokoski/Darcy 2006, 245-7.

<sup>12</sup> Hepokoski/Darcy 2006, 306.

<sup>13</sup> Rotational form and teleological genesis are terms coined by James Hepokoski to describe the form of certain works by Jean Sibelius. These concepts have been nurtured in a series of writings by him and Warren Darcy (see Darcy 2001, 1997, and 1994 and Hepokoski 2004, 2002, 2001, 1996, and 1993).

<sup>14</sup> Hepokoski/Darcy 2006, 306.

PAC or IAC.”<sup>15</sup> Another such condition is present when a P module harbors a clear desire to fixate upon another key, such as the mediant (in Ballade 1) or the subdominant (in Ballade 4).

### 1.1.2 Beethoven’s Sonata in g minor, Op. 49, No. 1 as a Case Study

Before we delve into more controversial examples, it will be necessary to consider how the Hepokoski/Darcy model can inform our understanding of a sample exposition. Indeed, Sonata Theory explicates Beethoven’s Piano Sonata in g minor, Op. 49 No. 1 very well. It is a good candidate for our opening examination for several reasons. First, it is a compact exposition that lasts only 33 bars. Second, it is set in the minor mode, like most of the works that this dissertation shall consider.

Global Unit	Rotation 1 Exposition					
Local Unit	P	TR	MC (‘)	S	EEC	C
MM.#	1-8 8	9-14	15	16-29	29	30-33
Cadences	i i:HC	III:HC		III	III:PAC	III:PAC
Keys	Gm			B $\flat$		

**Example 1.2: Chart of the Exposition of Beethoven’s Piano Sonata, Op. 49 No. 1**

Example 1.2 is a formal chart of the exposition of Beethoven’s sonata. As the example shows, it features all of the normative rhetorical modules and is involved with a central narrative trajectory toward EEC. This is a structure that completes, rather than fails in, its generic obligations: the opening minor mode is overcome, TR produces a normative MC, and a secure EEC is achieved in the secondary key (III) in m. 29. Furthermore, its dimensions are generically typical. That is, pre- and post-MC material are roughly the same length. This is important to note, for in Chopin’s Ballades we see a distortion of this principle: S-spaces are often dwarfed by massive, lyrical P-spaces.

Example 1.3 presents the exposition in its entirety. I will comment briefly on each constituent part of this exposition, beginning with P-space. In this case, P-space is structured as a sentential antecedent, a common kind of construct.

<sup>15</sup> Hepokoski/Darcy 2006, 73-4.

P as Sentential Antecedent Ending with a I: HC (mm. 1-8)

Presentation (mm. 1-4)

Continuation (mm. 5-8)

**Sonata N<sup>o</sup>. 19.**

G minor:

TR as Dissolving Consequent (mm. 9-15)

MC w/fill (m. 15)

S<sup>1</sup> (mm. 16-24)

V65/V

B $\flat$ : HC

B $\flat$ :

S<sup>2</sup> (mm. 25-29)

EEC (m. 29)

B $\flat$ : IAC

C (mm. 30-33)

B $\flat$ : PAC

Embellished  
B $\flat$ : PAC

**Example 1.3: Exposition of Beethoven's Piano Sonata, Op. 49 No. 1**

The P-space in Beethoven's exposition is generically typical: it is constructed as a sentence, complete with a presentation (mm. 1-4) and a continuation (mm. 5-8). The following module, TR is set as a dissolving consequent. More specifically, this is a sentence with a dissolving continuation. Again this

kind of thematic construction, TR as dissolving consequent, is not only common in classical works, but in Chopin's output as well.

TRs are concerned with energy gain. Because of the compact dimensions of Beethoven's exposition and the tonal under-determination of P, the TR process doesn't have to gain much energy to produce an MC.<sup>16</sup> Still however, notice the salient chromatic event in m. 14, a secondary dominant (V65/V). Such events, particularly secondary dominants, are a common occurrence in TR. We shall see that in Chopin's works, chromatic events in TR are often dramatized in profound ways. Also notice that the TR process is fully functional in this case. It succeeds in gaining sufficient energy and producing a normative, answered MC. The TRs in Chopin's works are not always this successful, as we shall see.

The S and C are very consistent with the Hepokoski/Darcy model as well. Rhetorically, S is in lyrical contrast with P. Notice, for example, that P is open-ended while S is a closed structure. In this case, S is set up as a multi-modular construct, containing two sub-modules ( $S^1$  and  $S^2$ ). S succeeds in procuring EEC in m. 29. The C that follows in mm. 30-33 affirms this procurement.

Beethoven's exposition was an ideal candidate for demonstrating the Hepokoski/Darcy model. It conforms to the model's tenets very neatly. Later composers, such as Chopin, continually deform this model in various ways.<sup>17</sup> There may be dimensional deformations: the dimensions of the components may be somewhat distorted. We might, for example, confront a P that that is excessively long or tonally over-determined. There may be functional deformations. The components may encounter some difficulty in completing their pre-assigned tasks. That is, S might fail to secure an EEC, or EEC may be overturned by post-C material.

### 1.1.2 TR Dysfunction

A typical kind of rhetorical deformation is TR dysfunction. As I have pointed out, the drive to create a normative, answered MC is one that is basic to the Chopin Ballades. In these works, as well most

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<sup>16</sup> According to Hepokoski/Darcy, a tonally underdetermined P-space is one in which "the tonic is clearly understood but not secured with an authentic cadence" (Hepokoski/Darcy 2006, 72).

<sup>17</sup> It should be noted that Hepokoski/Darcy use the term deformation as a technical term and not an aesthetic one. For their discussion of their usage of this somewhat controversial term, see Hepokoski/Darcy 2006, 614-621.

sonata-form works in the post-classical repertoire, the quest for the MC becomes problematized in a very profound way. In Chopin's works, in particular, this is due to the phenomenon of TR dysfunction. TR dysfunction occurs when a given TR module fails to achieve its generically prescribed goals which are to gain energy and to drive toward the MC. There are many symptoms of TR dysfunction, including difficulties in activating the TR process, de-energizing TRs, modal ambivalence, failed/blocked MCs, and the repression of the TR impulse. It might, in fact, be the central defining element of Chopin's expositional structures.<sup>18</sup>

### 1.1.3 Embodiment and Brower's Schemas for Musical Plot

I adopt one additional analytical precept; Candace Brower's cognitive theory of musical meaning. One of Brower's central claims is "that many tonal conventions are themselves grounded in bodily experience. That is, the image schemas that lend coherence to our bodily experience are metaphorically reflected in conventional patterns of melody, harmony, phrase structure, and form."<sup>19</sup> To this end, Brower identifies a number of music-metaphorical schemas that "show how the various aspects of tonal organization are shaped by the image schemas that underlie them."<sup>20</sup> Brower claims that that the three most important features of these schemas, containers, pathways, and goals "can play more specific roles in the elaboration of musical plot."<sup>21</sup> Brower's schemas for musical plot structure appear below in Example 1.4.

One of these schemas, the overcoming-blockage schema (schema g, Example 1.4) shall prove to be quite useful as an aid for understanding the Ballades. I have already discussed the goal-directed nature of the sonata process as described by the Sonata Theory model. There are both local and global goals in this process. For example, the exposition's trajectory to EEC is an example of a local goal, while the trajectory to ESC is an example of a global goal. Additionally, TR is directed toward the goal of arriving at a MC.

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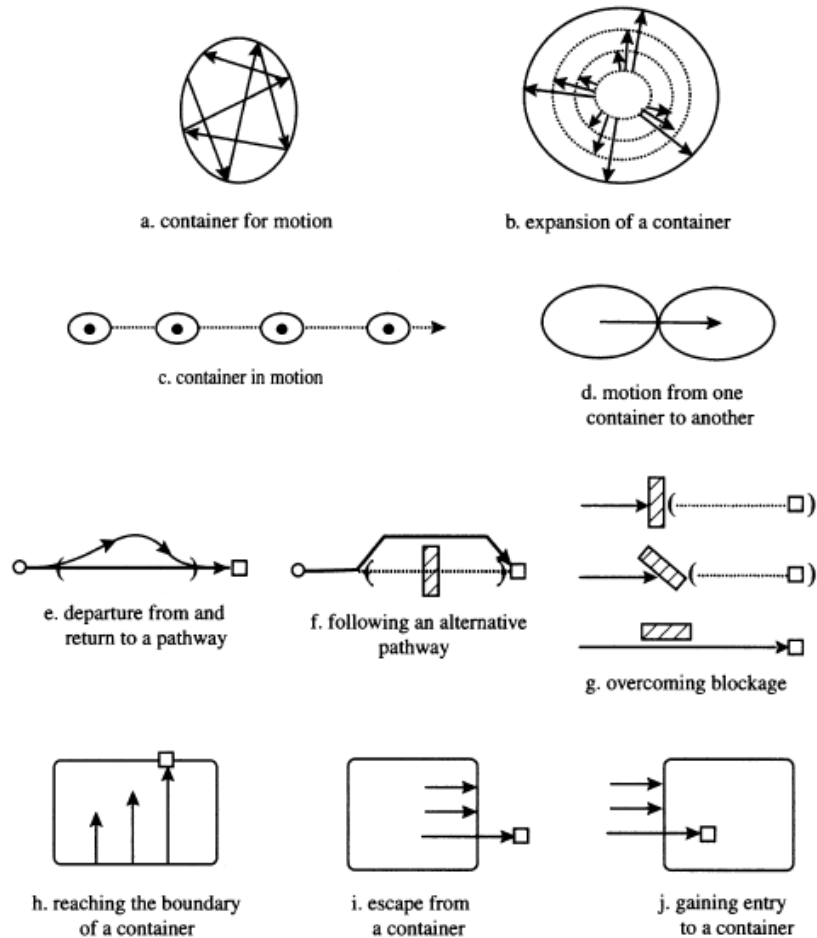
<sup>18</sup> The concept of TR dysfunction shall be studied in full detail in Chapter 3.

<sup>19</sup> Brower 2000, 324-325.

<sup>20</sup> Brower 2000, 325.

<sup>21</sup> Brower 2000, 325.





#### Example 1.4 Brower's Embodied Schemas for Musical Plot (Brower 2000, 353)

Any of these goals may be blocked or inhibited. Progress toward the MC, for example, can be inhibited in several genre-specific ways as identified by Hepokoski/Darcy. These include instances of MC declined and the blocked MC. In the case of MC declined, the music seems to decide to remain in pre-MC space and to defer the real MC. Sonata Theory chronicles three ways in which a MC may be declined: the music may simply return to the P theme still in the tonic, it may sound a new theme in the tonic, or it may veer into an unexpected, foreign key. We can find examples of all three of these kinds of declinations in Chopin's expositional structures. An example of the first kind, in which the post-MC music returns to the P theme in the tonic, occurs in Ballade 3 (see mm. 36-8). An example of the second kind of declination, in which a new theme sounds in the tonic key, occurs in the first movement of the Piano Trio (see mm. 39-43). The most notable example of the third kind of MC declination, in which the

music veers into an unexpected key, occurs in Ballade 1 (see mm. 63-68). In this case, TR prepares an arrival on the mediant, B $\flat$ , via a dominant lock in that key. The post-MC music, however, appears in the key of the submediant (E $\flat$ ).

Sonata Theory also describes a phenomenon called the “blocked MC.” It defines the blocked MC as follows: “In these cases the energetic TR proceeds normatively and perhaps even provides a clear structural-dominant lock on the way to what would appear to promise to be a standard MC gesture. Shortly before the expected articulation of the MC chord, however, the *forte* music seems to run into a dynamic blockage (like the hitting of a wall) perhaps on a predominant chord or perhaps with the arrival of a cadential 6/4.”<sup>22</sup> The clearest example of a blocked MC in Chopin’s music is to be found in Piano Concerto No. 2 (mm. 9-36). This proceeds much like the description put forth by Hepokoski/Darcy. In this case, the music runs into a dynamic blockage in the form of a tonic 6/4 chord in m. 30. After this, a short transitional passage leads to a proper I:HC MC in m. 36.

Clearly, these instances of blocked/declined MCs lend themselves well to conceptualization along the lines of Brower’s schemas for musical plot, particularly the overcoming-blockage schema. As I shall show, this and other schemas shall prove to relay the driving impetus in many of Chopin’s large works: including Ballade 2, Ballade 3, and the first movement of Piano Sonata No. 2.<sup>23</sup>

## **1.2 Chopin’s Ballades in Analysis: A Rich, Evolving Tradition.**

There is a rich analytical tradition surrounding Chopin’s four Ballades. I have parsed analyses into two separate groups: those that appear before 1994 and those that are more recent. I have chosen this division because of John Rink’s extremely well-written, exhaustive article from 1994. It discusses the history of Ballade analysis up to that point. The first part of this section will report on Rink’s article. Next, I will discuss those more recent analyses of the Ballades, that is, those that emerged after Rink had

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<sup>22</sup> Hepokoski/Darcy 2006, 47.

<sup>23</sup> Another relevant schema for musical plot is the escape-from-container schema (Brower’s schema i, Example 2). This schema encourages us to hear musical form as a container for key space that may or may not be breached. It shall prove to be effective in conveying the tonal orientation in several of Chopin’s TRs including the TR from the exposition of Piano Sonata No. 3 (mm. 8-40) and the TR from the exposition of the 1st movement of the Cello Sonata (mm. 24-68).

presented his discussion. There are several newer important studies, including Berger 1996, Suurpää 2000, Rosen 1998, Klein 2004 and 2008, and Morgan 2008. Each of these discussions presents a unique perspective from which to view the Ballades. In discussing these analyses, I will demonstrate the most recent trends and show the need for a new study that uses altogether different analytical tools.

### 1.2.1 Rink 1994

John Rink's important article, "Chopin's Ballades and the Dialectic: Analysis in Historical Perspective" is the most comprehensive overview of the Ballade analyses. In this article, Rink describes three phases of critical response to these works: two early phases and a third phase that represents a dialectical synthesis of the first two. Example 1.5 outlines these phases below. As we can see from this diagram, there are many important analyses to be considered here. In phase 1, we find those 19<sup>th</sup> century analyses that attempt to match the four Ballades with some sort of narrative-extra-musical program.<sup>24</sup> Schumann 1888 and Niecks 1902 are the two most important writers to be considered in this group. Schumann, of course, was one of the earliest critics to associate the Ballade 2 with the poetry of Adam Mickiewicz. Besides this, he had less to say about these works than one might expect: he was content to provide pithy descriptions of the other three. This shows his "reluctance to engage with a 'poetical work' like this" (Rink 1994, 101). Such reluctance is characteristic of this initial critical phase.

The next phase of critical response, the architectural phase, is the antithesis of the phase 1. In this phase critics approached the four works on strictly musical grounds. The most important representative analyses of this phrase include Schenker's analyses of the Ballade 1 in *Free Composition* and Leichtentritt's important analyses. Leichtentritt's work was the first to engage the Ballades on purely musical terms. As Rink states, his work relies "not on emotional keynotes, but on structural parameters" (Rink 1994, 101).

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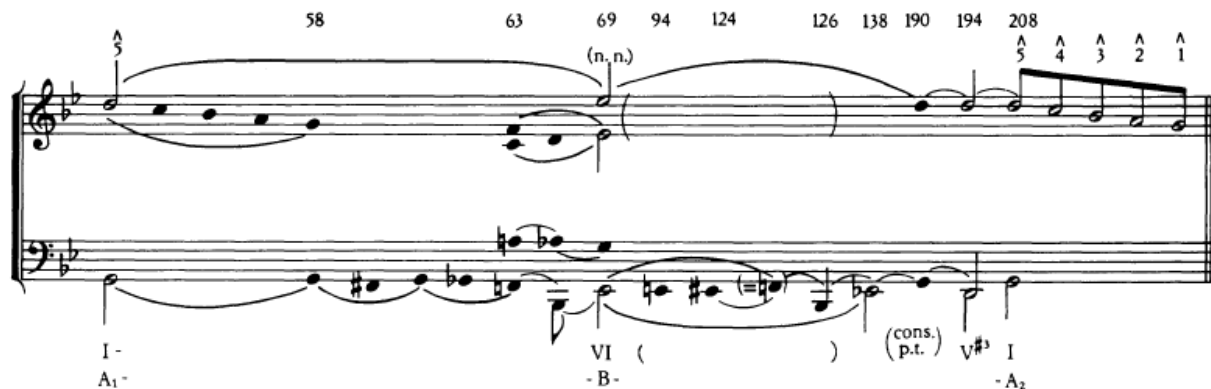
<sup>24</sup> Indeed, there has been a tradition dating back to the mid-nineteenth century that claims that these four works are musical manifestations of the Ballades of the Polish poet Adam Mickiewicz and even that specific Ballades were inspired by specific poems. For example, it was believed that Ballade 2 was inspired by Mickiewicz's ballade *Switez* and that Ballade 3 was related to the poem *Switezianka* (Samson 1992, 17-35).

Phase	Analyses
<b>Phase 1 (Thesis)</b> Persistent reference to narrative content and extra-musical programs	Schumann 1888 Niecks 1902
<b>Phase 2 (Antithesis)</b> Architectural, avoidance of extra-musical considerations	Leichtentritt 1922 Schenker 1979
<b>Phase 3 (Synthesis)</b> Reconciliatory approach-verbalization of true content must depend on close structural analysis	Abraham 1939 Wagner 1976 Krebs 1981 Zolas 1983 Dalhaus 1989 Gut 1989 Tarasti 1989 Cone 1994 Samson 1994, 1992, 1985

**Example 1.5 Three Critical Phases in the Reception of Chopin's Ballades (from Rink 1994)**

Besides showing numerous important diagrams of phrase structures and harmonic make-up, Leichtentritt makes an important claim on which my study relies. That is his notion that the genre of the Ballade is a sort of meta-genre, it is one that “combines elements of the *Lied*, rondo, sonata, and variation set.”<sup>25</sup>

The next important author from the second phase is Heinrich Schenker, whose middleground structural graph of the Ballade 1, is truly an important pillar. Example 1.6 presents his analysis of this work.



**Example 1.6 Schenker's middleground graph of Ballade 1, (Rink 1994, 103)**

<sup>25</sup> Rink 1994, 101-102.

According to Rink, “this dynamic, implicitly temporal analysis reveals ‘a much extended three-part form.”<sup>26</sup> The Schenkerian analytical approach has informed many other analyses of the Ballades including Krebs 1981 and Korsyn 1989. Krebs’ important work, a study of Ballade 2, evokes the issue of directional tonality and the double-tonic complex.<sup>27</sup>

### 1.2.2 Phase Three and the Issue of Sonata Form

The next critical phrase, a synthesis of the earlier two, invokes a crucial issue that still remains a contested topic. This is the relationship between the sonata and the Ballades.<sup>28</sup> Leichtentritt 1922 was one of the first important authors to bring up this issue, as I have said.<sup>29</sup> From Example 1.7, which displays more recent analyses, one would infer that this debate is over: clearly the sonata side has won out. Still, I will give attention to the lone dissenters Parakilas 1992 and Rawsthorne 1973.

<b>Analysts Who Claim that the Ballades Are Related to the Sonata</b>	<b>Analysts Who Claim that the Ballades Are Not Related to the Sonata</b>
Klein 2008; 2004 Rosen 1998 Witten 1996 Rothstein 1994 Samson 1992 Kinderman 1988 Griffel 1982 Abraham 1960	Parakilas 1992 <sup>30</sup> Rawsthorne 1973

### **Example 1.7 Two Sides of the Debate: Chopin’s Ballades and Their Relationship to Sonata Form**

<sup>26</sup> Rink 1994, 103.

<sup>27</sup> Another major analysis that does the same is Kinderman’s study of the Ballade 2 (Kinderman 1988).

<sup>28</sup> My discussion of the history of the Ballade/Sonata debate is highly informed by the one presented by Parakilas 1992, 84-77, who presents an interesting and thorough treatment of the issue.

<sup>29</sup> It is quite popular to posit Leichtentritt and Schenker as having antithetical views on this issue; Rink does it as does Parakilas.

<sup>30</sup> Parakilas 1992 is an invaluable survey of the instrumental Ballade. It demonstrates the efficacy of an approach that prizes a Ballade’s relationship to the narrative model and not the sonata model. According to Parakilas “what makes the Chopin’s Ballades similar in form to each other and distinct from other music is not a shared relationship to sonata form, but a shared analogy to another model, the narrative model that Chopin advertised in their title.” (Parakilas 1992, 87)

### 1.2.3 The Pros

As Example 1.7 shows, Klein 2004 and 2008 and Rothstein 1994 are only two of the most recent scholars to claim that Ballades relate to sonata form.<sup>31</sup> Several mid-to-late twentieth century writers, including Abraham 1960, Griffel 1982, Samson 1992, and Witten 1996 make similar assertions.

Abraham 1960, who makes the notable claim that Chopin's Ballades are set in sonata form, presents succinct discussion of all four Ballades. His treatment of these works, especially how he regards their relationship to the sonata is well worth comment. According to Abraham, Ballade 1 showed "signs that Chopin was beginning to understand something of the real essence of sonata-form."<sup>32</sup> Abraham presents simple formal charts to depict the form of three of the four Ballades (No. 1, 3, and 4). Example 1.8 presents his chart of Ballade 1.

Introduction: <i>Largo</i>
First subject ( <i>moderato</i> ): G minor
Second subject ( <i>meno mosso</i> ): E flat
Development ( <i>a tempo</i> ): beginning in A minor and passing through various keys
Second subject: E flat
First subject (drastically shortened): G minor
Coda ( <i>presto con fuoco</i> ): G minor

#### Example 1.8 Abraham's Formal Chart of Ballade 1 (Abraham, 1960, 55)

Even though this chart is simple, it reveals much about Abraham's view of the piece, and of the Ballade genre as a whole. One immediately notices that tempo and tempo relationships play an articulative role in this work. Besides this, Abraham's discussion presents the work as a relatively clear sonata, with an underlying arch form and two themes that are presented and recapitulated. Notice that Abraham, like several other authors, conceives of this work as displaying a reverse recapitulation. Also

<sup>31</sup> Although his study is more geared toward performance issues and thematic ambiguity, Rothstein makes brief comment about form in the Ballades. According to Rothstein 1994, 2-3, "all of the Ballades make some reference to the conventions of nineteenth-century sonata form; the Ballade 2 is again a partial exception, being less sonata-like than the others." Notably, he and Klein were the first scholars to evoke the Hepokoski/Darcy model in reference to Chopin's Ballades. As he claims "the term 'sonata deformation,' coined by James Hepokoski and Warren Darcy, could be used—with appropriate qualification in each case—to describe the formal rhetoric of the first, third, and fourth Ballades."

<sup>32</sup> Abraham 1960, 54-5.

notable is his claim that the middle section (the *a tempo*) fulfills the structural obligation of a development, even though, according to him, even though he claims that it “consists rather of variation and improvisation than of true development.”<sup>33</sup>

Abraham has less to say about Ballade 2, except that it is a “modification of the same form.”<sup>34</sup> There are, however, a few important things that Abrahams mentions in regard to Ballades 3 and 4. Abraham claims, for example, that Ballade 3 “follows nearly the same structural plan as the G minor, but with three principal subjects instead of two, and with the development placed after the reprise.”<sup>35</sup> He also discusses the fusion of theme A with theme B in what he calls the development section. Finally, he claims that Ballade 4 is “a masterly deformation of sonata form.”<sup>36</sup>

Clearly then, Abraham’s discussion of the four Ballades is particularly relevant for us. His discussion was one of the first to suggest and provide solid evidence for a strong relationship between the Ballades and the sonata. Another important writer who discussed this issue was Griffel 1982. He, like Abraham, posits that the Ballades contain features that “constitute sonata form.”<sup>37</sup> Importantly, he claims that there are six features in the Ballades that make them sonatas. These are presented in Example 1.9

<b>Six Features That Constitute Sonata Form, According to Griffel</b>
The presentation of a first theme in a tonic key and of a second theme in a contrasting key during the exposition
The connection of these contrasting themes through a transitional mechanism involving modulation
The presence of a developmental section in which such compositional operations as modulation, fragmentation, and recombination of thematic fragments occur
A build-up of tension during the development section, with a climactic peak leading directly into the recapitulation
A recapitulation of at least one of the main themes from the exposition
A special closing section for the movement as a whole, which one can safely call a coda

**Example 1.9 Six Features That Constitute Sonata Form, According To Griffel**

Most of the claims made by Griffel here are justifiable. The biggest issue is that of the supposed development sections. It would be unwise to claim that each one of the Ballades contains a separate

<sup>33</sup> Abraham 1960, 55.

<sup>34</sup> *Ibid.*, 56.

<sup>35</sup> *Ibid.*, 108.

<sup>36</sup> *Ibid.* Fascinatingly, this suggestion of sonata-form deformation predates the sonata theory model by nearly 50 years!

<sup>37</sup> Griffel 1982, 127.

development section. It is more valuable, I believe, particularly in terms of the narrative trajectory of each work, to view these developments as having the goal-directed nature of transitions.<sup>38</sup>

The writings of Jim Samson 1992 and 1985 have proven to be foundational for the generation of analysts that followed him. Certainly, Samson argues that the Ballades have a clear relationship with the sonata. Like Abraham, however, he does not argue that the works are wholly set in sonata form, but make clear references to it. In his discussions, Samson, like Hepokoski/Darcy stresses the importance of compositional norms. According to Samson, “Far from ignoring sonata form we need to recognize it as the essential reference point for all four Ballades—the ‘ideal type’ or archetype against which unique statements have been counterpointed.”<sup>39</sup> Witten 1996 is another notable study.<sup>40</sup> He goes a step further when he says “Chopin does not merely use sonata form as a point of departure—he carries the principle of statement-intensification to new heights not foreseen in the works of his predecessors.”<sup>41</sup>

#### 1.2.4 The Cons: A Possible Alternative?

As we can see from Example 1.7, the overwhelming majority of analysts claim that the Ballades do make reference to sonata form. There are a few writers, however, who argue that they do not. Chief among these are Rawsthorne 1996 and Parakilas 1992. Rawsthorne, even though he admits that “the sonata principle is implicit in at least three of the Ballades,” does not recommend that they be viewed as sonatas.<sup>42</sup> As he says, “it would be foolish to regard these pieces from the point of view of sonata movements, in spite of certain resemblances.”<sup>43</sup> Importantly, in the course of his relatively lengthy prose discussions of the Ballades, he claims that the classical model of sonata form is “quite unnecessary for their understanding.”<sup>44</sup>

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<sup>38</sup> I will discuss the natures of and difference between development, transition, and re-transition in Chapter 2 in much detail.

<sup>39</sup> Samson 1992, 45.

<sup>40</sup> Witten’s 1996 Schenkerian-inspired study is currently undervalued as it contains much insight about the structures of the four Ballades. Witten discusses several key structural features in these works, including the placement of the large scale dominant as close to the end of each work as possible, the consistent use of the submediant as an upper neighbor to the structural dominant, and the deployment of wedge progressions that close in on scale degree 5.

<sup>41</sup> Witten 1996, 119.

<sup>42</sup> Rawsthorne 1996, 45.

<sup>43</sup> *Ibid.*

<sup>44</sup> *Ibid.*, 60.



The problem with Rawsthorne's discussion is that he puts forth no better model for our understanding of the Ballades. This is not the case with Parakilas 1992, who claims that the Ballades can most profitably be understood as musical manifestations of what he calls the "Ballade process."<sup>45</sup> Parakilas posits several key characteristics of the Ballade process: "a focus on one character and that character's change from an active to a passive role that is initiated by a defiant act from the central character and completed by a response to that act."<sup>46</sup> Additionally, he claims a three-part form can be found in all four of Chopin's Ballades. He presents two important examples, diagrams of Ballades 1 and 3.

Parakilas's analysis of the three- stage form of Ballade 1 appears in Example 1.10. Notice that Parakilas sees the work as featuring an introduction followed by three stages. The first two stages are subdivided into two and three scenes respectively. The third stage, however, is not subdivided. It features the characteristic reckoning.<sup>47</sup> Interestingly, Parakilas's partition of the work into three stages is nearly consistent with mine, which views the work as consisting of three rotations. The difference here, of course, is that Parakilas sees the primary theme (the opening g-minor theme) as appearing as a kind of prelude to the scenes that occur between it. I, on the other hand, see the primary theme as serving as the initiator of the rotational process.

There are two significant issues that need to be addressed in Parakilas's analysis. The first is his labeling of certain musical modules as passagework and precipitating themes. The theme which begins in m. 36 must not be regarded as a new theme, but rather it should be seen as relating to the primary theme. Inexplicably, he misses the fact that the passage from mm. 36-68 is a long, dependent transition and dismisses the music from mm. 44-67 as mere passagework. He does the same thing when he claims the music beginning at m. 124 is passagework. Clearly, this music is part of a dissolving consequent that began in mm. 114.

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<sup>45</sup> Parakilas 1992, 34-37

<sup>46</sup> *Ibid.*, 35.

<sup>47</sup> Unfortunately, Parakilas does not chart the defiant act that he claims is such a crucial narrative component of Chopin's treatment of the Ballade genre.

Stage 3		206-64	
Reckoning (Passagework)		194	
Primary Theme			
Scene 3		166	
Secondary Theme		154	
Passagework			
Scene 2		138	
2 <sup>nd</sup> Precipitating Theme		124	
Passagework			
Scene 1		106	
Secondary Theme		94	
Primary Theme			
Stage 1			
Scene 2		68	
Secondary Theme		44	
Passagework			
Scene 1		36	
1 <sup>st</sup> Precipitating Theme		8	
Primary Theme		m. 1	
Intro			

### Example 1.10 Three- Stage Form in Ballade 1 (Parakilas 1992, 73)

These minor criticisms aside, Parakilas's approach is a most helpful one. Particularly valid are his claims of a central defiant act and a reckoning of that act. Still, though, it could have been more successful if it would have been able to make reference to the genre of the sonata which is so apparent in all the Ballades.

## 1.3. The Most Recent Thinking on the Ballades

### 1.3.1 Rosen

It is the work of Charles Rosen in his indispensable classic *The Romantic Generation* that most closely informs my perspective on Chopin's Ballades. In this seminal work, Rosen provides ample description of all four of the Ballades in his chapter entitled "Chopin: Counterpoint and the Narrative Forms." His comments take the form of prose descriptions and basic formal tables. He praises the Ballades for their synthesis of opposed impulses, the narrative and the lyric:

The fusion of the narrative and lyric in the Ballades is perhaps Chopin's greatest achievement: he realized in music one of the major ambitions of the Romantic poets and novelists. It is largely for this reason that Classical criteria of form apply so awkwardly to the Ballades, although we cannot entirely dismiss them as the composer was still working with them, or, more interestingly, against them.<sup>48</sup>

<sup>48</sup>Rosen 1998, 322.

Since I will refer to Rosen's description of Ballade 3 in Chapter five, I will focus now on his descriptions of Ballades 1, 2, and 4. Rosen's description of Ballade 1 is typical of his approach. In this description, Rosen posits the importance of Chopin's use of refrain, details the organicism in the work's motives, considers the work's overall form, and notes its dependence on the operatic tradition that was so prevalent during Chopin's formative years. He writes that the themes in Ballade 1 "correspond to verse patterns often found in opera libretti."<sup>49</sup>

Below (Example 1.11) is Rosen's account of the form of Ballade 1. Rosen pays special attention to the appearances and re-appearances of four central, motivically integrated themes: 1A, 1B, 2A, and 2B. Even from his simplified chart of the form we can take away several ideas that will be useful in the study of this Ballade. First, is the fact that much of his labeling depends upon and evokes (sometimes implicitly, sometimes explicitly) the norms of sonata form and rondo form. Notice that Rosen does not partition the work into the standard sonata form, with an exposition, development and recapitulation. He maintains, however, that sonata form must be an important point of reference for all four of the Ballades. It is my contention that the sonata elements in this and the other three Ballades are more basic and more controlling than even Rosen allows.

Second is Rosen's special concern for issues of tonality. Even though he does not resort to an overly-sophisticated methodology for this, he emphasizes the returns of the two major tonalities in the work: G minor and E $\flat$  major.

Finally, Rosen emphasizes "the crucial role of dynamics in Chopin's conception of form."<sup>50</sup> His chart (Example 1.11) clarifies the dramatic trajectory of Ballade 1: a soft start in the initial section, a gradual build to a *fortissimo* in the second, a drop down to *pianissimo* at the beginning of the third section, and a return to loudness in the final section.

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<sup>49</sup>*Ibid.*, 328.

<sup>50</sup>*Ibid.*, 327.

MM.	Section	Key
8	Introduction Theme 1 <sup>A</sup> (Moderato) ( <i>piano</i> ) Cadential Theme 1 <sup>B</sup> ( <i>piano</i> and then <i>forte agitato</i> )	G minor
45	Transition and Development ( <i>sempre piu mosso forte</i> , then <i>calando</i> )	Transition
68	Theme 2 <sup>A</sup> Cadential Theme 2 <sup>B</sup>	E $\flat$ Major
94	Theme 1 <sup>A</sup> Abridged, as refrain	A minor
106	Theme 2 <sup>A</sup>	A Major
138	Theme 1 <sup>B</sup> Varied Transition and Development	Transition E $\flat$ Major
166	Theme 2 <sup>A</sup> Theme 2 <sup>B</sup>	G minor
208	Theme 1 <sup>A</sup> as Refrain Cadence <i>Presto con fuoco</i> , new thematic material	G minor

**Example 1.11 Rosen's Chart for Ballade 1 (Rosen 1998, 327)**

Rosen's discussion of Ballade 2 is no less perceptive. Even though Rosen claims that the themes of Ballade 1 closely resemble operatic models, he says precisely the opposite about Ballade 2 in which the main theme takes the form of a "medieval ballad."<sup>51</sup> He also touches on another important facet of this electrifying composition. This is the fact that the piece itself is a fragment. According to Rosen, "... it begins in the middle, as if it had been going on for some time..."<sup>52</sup>

Rosen downplays this Ballade's dependence on the classical sonata. Rosen makes an excellent comment about how the tonalities in the two main themes are related, saying "the opening of the Ballade 2 is a model of how to allow one tonality to grow out of one another without the formal modulation and oppositions of a sonata exposition."<sup>53</sup> On the contrary, chapter four shall show that the dependence on the norms of the classical sonata is just as strong—and even stronger—here as they are in the other three Ballades.

<sup>51</sup> *Ibid.*, 328.

<sup>52</sup> *Ibid.*, 239.

<sup>53</sup> *Ibid.*, 332.

Finally, Rosen describes how the main tonality of a-minor emerges only gradually. Of course, this aspect of the work, that it may exemplify tonal pairing, directional tonality, or a double tonic complex, has been touched upon by several other commentators.<sup>54</sup> But what is important about Rosen's discussion of this work is his claim that the true attainment of a minor is achieved through what he calls a "synthesis."<sup>55</sup> Unfortunately, Rosen does not outright define what he means by synthesis in this case, but it is at least clear that he has recognized the fact that the two main themes are amalgamated at a climactic moment near the end of the work. We shall see that this bringing together of disparate thematic modules happens in other works by Chopin as well.

Rosen also discusses Ballade 4 emphasizing the presence of variation and its role in the formal discourse. He also concentrates on another very important aspect in Ballade 4, and this is persistent, unyielding ambiguity. For example, he writes a great deal about the opening and principal theme of this work.<sup>56</sup>

Finally, Rosen sets forth certain principles of construction that are inherent in each of the four Ballades. There are several and they are presented in a table below (Example 1.12).

<b>Characteristics of Chopin's Ballades According to Rosen 1998</b>
Features two thematic groups in different keys, but that display little contrast in affect.
These themes contaminate each other (either by development or recombination)
There is an appearance of the operatic <i>stretto</i> which serves to raise the tension
The return of the original material is greatly truncated
The return is followed by a virtuoso coda, based on new material.

**Example 1.12 Rosen's Characteristics of the Ballade Genre<sup>57</sup>**

<sup>54</sup> These include Krebs 1982, Kinderman 1988, and Korsyn 1989 among others.

<sup>55</sup> Rosen 1998, 333.

<sup>56</sup> The ambiguity in Ballade 4 seems to be a major issue with other authors as well. See Cone 1994 and Rothstein 1994.

<sup>57</sup> Rosen 1998, 335.

### 1.3.2 Klein

Michael Klein is another author from whom we have significant recent commentaries about the Ballades. Klein's work focuses on issues of narrativity in music and his analyses of Ballades 1 and 4 are worth a close look (see Example 1.13).

Very importantly, as Example 1.13 shows, Klein claims that these works are in a dialogue with sonata form. He says that both of these works can be viewed as having an exposition, a development, and a recapitulation. Klein is unwilling to use any other kinds of sonata-form terminology in his discussion, as he states "rather than view these Ballades as unruly sonatas, it seems more productive to discover their formal/expressive logic."<sup>58</sup> Klein's claim that they have a unique formal/expressive logic is very potent and rewarding. Truly, his formal parsing of the works reveals much about their inner structure. The problem is, the sonata form model can give us more insights about these works than Klein, or any other author admits. The perspective afforded by the Sonata Theory model is especially valuable.<sup>59</sup>

As Example 1.13 shows, Klein also makes a differentiation between different topical resonances in these two works. A look at his analyses shows that these two works tend to exhibit a relatively small number of recurring topical features, including the waltz, the *Berceuse*, apotheosis, *Polonaise*, and pastoral topics. This is one of the most perceptive and helpful parts of his analyses.

Also notable are Klein's dichotomies between lyric/narrative time and *Satz/Gang*. As Klein states, narrative time is "time passing" while lyric time is "time arrested."<sup>60</sup> Interestingly, these differences in formal function map quite well onto Sonata Theory's differentiation between P, S, C, and TR- space.

Klein's thoughtful analyses also highlight some of the striking similarities between Ballades 1 and 4. Both works start with a short introduction in lyric time and end with a tragic coda in narrative time. It is

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<sup>58</sup> Klein 2004, 31.

<sup>59</sup> Elsewhere, Klein invokes the issue of the Hepokoski/Darcy model and its efficacy as a tool for understanding Ballade 2 (Klein 2009, 118-199). Here, he makes some very important claims that are worth revisiting. He suggests that the Ballades exhibit the presence of and rotation through themes in different keys. He rightly asserts that Ballade 2 is in dialogue with the type 2 sonata. This is as far as he is willing to go, however. It is my position that the Hepokoski/Darcy model is even more useful as a tool than Klein admits.

<sup>60</sup> Klein 2004, 38.

also notable that Klein posits a major structural goal in both of these works, and indeed all four of the Ballades, as the achievement of apotheosis.

First Ballade

Exposition?					Development?					Recap.?			
Mm. 1-7	8-36	36-67	67-82	82-94	94-105	106-125	126-137	138-150	150-166	166-180	180-194	194-208	208-264
Intro	Theme 1	<i>Gang</i>	Theme 2a	Theme 2b	Theme 1	Theme 2a	<i>Gang</i>	Theme 3	<i>Gang</i>	Theme 2a	Theme 2b	Theme 1	Coda
g		g →	E♭		a	A	V/E♭	E♭				g	
Lyric	Lyric	Narrative	Lyric	Lyric	Lyric	Lyric	Narrative	Lyric	Narrative	Lyric	Lyric	Lyric?	Narrative
Mythic Announce-ment	Waltz		"Horn" intro	Berceuse		Apotheosis		Virtuoso ("Public") Waltz	Tragic 6/8 Trans. 4/8 Polonaise	Apotheosis	Valedictory		Tragic

Fourth Ballade

Exposition?					Development?					Recap.?			
Mm. 1-7	8-22	23-37	38-57	58-71	71-80	80-99	100-112	112-128	129-134	135-151	152-168	169-210	211-239
Intro. Motto	Theme 1	Var. 1 (Th. 1)	Interruption	Var. 2 (Th. 1)	<i>Gang</i>	Theme 2	<i>Gang</i>	Theme 3	Intro. Motto	Var. 3 (Th. 1)	Var. 4 (Th. 1)	Theme 2	Coda
C	f		G♭—bb—G♭	f	→	B♭	g→	A♭	A	d→V/f	f	D♭→V/f	f
Lyric	Lyric	Lyric	Lyric	Lyric to Narrative	Narrative	Lyric	Narrative	Lyric to Narrative	Lyric	Lyric	Lyric to Narrative	Narrative	Narrative
	Waltz		Sublime	Waltz		Pastorale		Virtuoso ("Public") Waltz		Canon Learned Style	Waltz to Apotheosis?	Apotheosis	Tragic

### Example 1.13 Klein's Analyses of Ballades 1 and 4<sup>61</sup>

According to Klein, "in Chopin's larger works, including the Ballades, formal/expressive logic is directed toward what Cone calls *apotheosis*, 'a special kind of recapitulation that reveals unexpected harmonic richness and textural excitement in a theme previously presented with a deliberately restricted harmonization and a relatively drab accompaniment.'"<sup>62</sup> It is notable that in these two works, the apotheosis does not occur in the codas, but rather occurs sometime before that. This reveals much about the inherent tragedy in the codas of these two works: they serve as 'counter-apotheoses,' overturning pseudo-transcendences that occur usually about two-thirds through the work. This is an important issue in Ballades 1, 2, and 4.

<sup>61</sup> Klein 2004, 31.

<sup>62</sup> Klein 2004, 31.

### 1.3.3 Berger

Karol Berger has discussed Ballade 1 in both historical and analytical contexts (see Berger 1993 and 1996). He, like Klein, makes a distinction between the different types of musical time in Chopin's Ballades. For him, as for Klein, the dichotomy is between narrative and lyric time. As he claims, "the problem of any large complex, narrative form with continuity" has a solution, what he terms "probabilistic causality."<sup>63</sup> Berger's methodology is highly idiosyncratic and it produces some analyses that, like this one, are highly complicated and difficult to interpret.<sup>64</sup>

Example 1.14 is Berger's analysis of the "punctuation form" of Ballade 1. Punctuation form is "the way the work is articulated into a hierarchy or parts by means of stronger and weaker cadences."<sup>65</sup> Punctuation form, then by virtue of its emphatic focus on the articulative role of cadences, can be seen as being related to the Sonata Theory model.

Measure:	1	9	36	45	49	56	68	83	91	95	106	126	138
	8l	8l + 20e	[5e + 5l]	[2l [2l]]	(8e)	12l	8l + 7l	(4l [4l])	4l	(12e)	8l + 13e	(12l)	4l, 4l, 4l, 17e
Punctuation:	Ie	(+ 1l)	(+ 1l)	(+ 1e)			1l	(+ 1l)	VI	(+ Ve)	Ve	(+ VI)	
Section:	Intro. First period: phrase 1						Transition		phrase 2		Transition:		part 1
													part 2
Measure:							166	181	189	195	207	209	250
							8l + 7l	(4l [4l])	6l	(12l)	(2l)	4l, 4e, 9e, 27e	(15)
Punctuation:							1l	(+ 1l)	VI	(+ VI)	(+ 1l)	Ie	(+ 1l)
Section:							Last period:		Transition:		Coda		

#### Example 1.14 Berger's Analysis of the Punctuation Form of Ballade 1 (Berger 1996, 51) <sup>66</sup>

<sup>63</sup> Berger 2006, 47.

<sup>64</sup> It may be for these reasons that his method of analysis never really spread through the music theory community.

<sup>65</sup> Berger 2006, 47.

<sup>66</sup> It will be useful to explain the designations "l" and "e" in Berger's chart. "L" indicates that the section is linked with the following, while "e" indicates that the section is elided with the following. (Berger 1996, 50)



Berger also provides an analysis of the harmonic and thematic plan for Ballade 1. It is notable that Berger refrains from ascribing any kind of rhetorical function to all of the themes.<sup>67</sup> Notice that he does actually label some of the music as being either episodes or transitions. As we can see, he does not parse the work as a sonata; he doesn't make any claims for an exposition, development or recapitulation.

Unfortunately, Berger does make some significant interpretive errors, particularly in the realm of formal function (see Example 1.15). For example, he posits three "appendices" that follow the exposition of what he calls "the first balanced phrase (mm. 9-36)."<sup>68</sup> Clearly, due to its energy gaining nature, the music from mm. 36-67 could be regarded as a lengthy, multi-modular transition.<sup>69</sup>

Measure:	1	9	36	45	49	56	68	83	91	95	106	126	138
Theme/motif:	a	A	a1	a2	a3	x	B	b	"b"	"A"	"B"	y	C
Key:	(V)	i				→	"VI"/VI		→	(V)	<del>x</del> "Vb"→	(V)	I
Punctuation:		Ie	(+II)	(+II)	(+Ie)		II	(+II)	VI	(+Ve)	Ve	(+VI)	VI
Section:	Intro.	First period:		phrase 1			Transition	phrase 2	Transition:		part 1	part 2	Episode
							└───┐└───┐└───┐└───┐└───┐						⋮
Measure:							166	181	189	195	207		209
Theme/motif:							B	b	"b"	"A"	z		250
Key:									→	(V)			D
Punctuation:							II	(+II)	VI	(+VI)	(+II)		i
Section:							Last period:	phrase 2	Transition:		part 1		Coda
													"A"
													(+I)

**Example 1.15 Berger's Analysis of the Harmonic and Thematic Plans of Ballade 1 (Berger 1996,**

**53)**

### 1.3.4 Suurpää

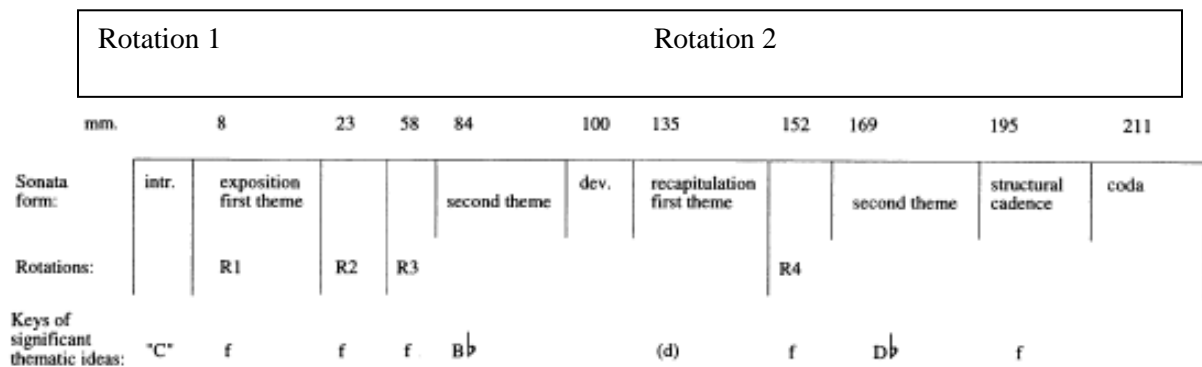
Suurpää's analysis of Ballade 4 appears in the context of a description of the different ways in which the tonic-dominant space of the *Bassbrechung*, the space between the first two background *Stufen*, can be

<sup>67</sup> Berger does, however, make the claim that the opening moderato (m. 9-90) "preserves unmistakable traces of the Sonata-Allegro tradition" (Berger 1996, 49).

<sup>68</sup> Berger 1996, 49.

<sup>69</sup> In fact, this long, dysfunctional, belabored TR is clearly involved with a kind of TR paradigm that I have identified as the Unyielding Tonic. I will discuss this important passage at length in chapter 3.

filled in.”<sup>70</sup> His analysis is Schenkerian in its orientation. Suurpää provides both a formal diagram and Schenkerian graphs in his discussion. Example 1.16 is Suurpää’s formal chart for Ballade 4. My gloss appears as the topmost text. Clearly, this is one analysis that claims that this work is in a dialogue with the sonata.



#### Example 1.16 Suurpää’s Formal Analysis of Ballade 4 (Suurpää 2000, 466)

Notice his division of the work into introduction (mm. 1-7), exposition (mm. 8-134), recapitulation (mm. 135-211), and coda (mm. 210-end). Importantly, Suurpää evokes the Hepokoski/Darcy concept of rotation in his analysis, even though he uses it to describe the cycling through a middleground motive. I have termed these as “motivic” rotations and they are designated in the graph as R1, R2, R3, or R4. What Suurpää actually refers to as the rotational material is the motive presented at the bottom of Example 1.17. This is the motion of the bass voice from scale degree 1 to 5 via an intermediate scale degree 4. From this graph we can see that this motive is progressively enlarged throughout the course of the work. Notice that in rotation 1, the subdominant event, B $\flat$ , actually appears as a localized, subordinated event. The B $\flat$  does not have a stem or a flag. In rotation 2, it appears flagged and stemmed, to indicate its greater salience. In rotation 2, the flagged and stemmed note is prolonged via a lower-neighbor note motion

<sup>70</sup> Suurpää 2000, 451.

(A<sub>b</sub>). It is in the fourth, final rotation the subdominant is expanded to an even greater degree as it participates in a chromatic voice exchange and an unfolding.<sup>71</sup>

8 16 22 23 31 57 58 66 84 113 145 151 152 160 169 194 195 202 211 218 223

(V) I (IV) V "III" I IV V "II" I IV  $\flat$   $\flat$  V "II" I IV  $\flat$   $\flat$  V  $\frac{6}{4} = \frac{3}{2}$  I (V I)

Rotations: R1 R2 R3 R4

**Example 1.17 Suurpää's Schenkerian Background /Structural Analysis of Ballade 4 (Suurpää 2000, 478)**

### 1.3.5 Morgan

Another recent study of Ballade 4 is Robert Morgan 2008. Morgan's article explores how "modular thinking," or the "use of fixed musical units repeated at pitch and in transposition, with or without superficial alterations, and in different juxtapositions and combinations" plays a large role in Chopin's conception of form."<sup>72</sup> Morgan discusses a number of pieces besides Ballade 4, including two mazurkas (Op. 68, No. 2 and Op. 41 No. 1), the Nocturne in G major, Op. 37, No. 2, and the Fantasy in f minor, Op. 49.

<sup>71</sup> I will view many of these details in Ballade 4 differently in Chapter 4.

<sup>72</sup> Morgan 2008, 186.

Importantly, Morgan focuses on how the tonal and formal construction of the work's main theme "deeply influences the overall tonal and formal construction."<sup>73</sup> In regards to the main theme, Morgan (like Suurpää) identifies its strong inclination toward the subdominant (the key of B<sub>b</sub>).

A.

Chopin, Ballade in F Minor, Op. 52: Outline of the Larger Form											
Form:	Intro.	Exposition					Dev.	Recapitulation			Coda
		Th <sub>1</sub>			Th <sub>2</sub>			Intro.	Th <sub>1</sub>	Th <sub>2</sub>	
		th <sub>1</sub> <sup>1</sup>	th <sub>1</sub> <sup>2</sup>	insert	th <sub>1</sub> <sup>3</sup>						
Meas.	1	8	23	38	58	84	100	128	135	169	211–39

B.

Chopin, Ballade in F Minor, Op. 52, as a Binary Design						
		Section I		Section II		
Form:		A <sup>1</sup>	B <sup>1</sup>	A <sup>2</sup>	B <sup>2</sup>	
	Intro.	Th <sub>1</sub>	Th <sub>2</sub> /Dev	Th <sub>1</sub> + 2	Coda	
Measure:	1	8	84	135	211	
Tonality:	V	i-iv	IV—	i-VI-V	i	

### Example 1.18 Morgan's Two Charts of Ballade 4 (Morgan 2008, 199-200)

Morgan actually provides two different views of Ballade 4. In Example 1.18A, we see a view of the form that, like Suurpää's tries to fit the work into the Procrustean bed of sonata form, complete with an exposition, a development, and a recapitulation. This chart is overall quite consistent with the one presented by Suurpää (Example 1.16). Importantly, both of these authors claim that the passage beginning at m. 100 fills the function of a development.

I offer an alternative view, one that is informed by the concept of TR dysfunction and its possible consequences. Example 1.19 is my interpretation of Rotation 1 of Ballade 4.<sup>74</sup>

<sup>73</sup> Morgan 2008, 198.

Section	Intro	P	[insertion]	P <sup>1</sup> diss.	TR <sup>1</sup>	‘ MC	S	TR <sup>2</sup>	C in III (EEC)
MM.	1-7	8-37	38-57	58-66 Ant.	67 Cons.	76-70	80	100	121
Key	V/V(C)	I (Fm)	♭II(G <sub>♭</sub> )	I(Fm)		IV:HC (B <sub>♭</sub> )	IV		III (A <sub>♭</sub> )

### Example 1.19 Chart of Ballade 4, Rotation 1

This view interprets the passage beginning at m. 100 to be more TR. This is just one example of how the TR impulse can re-emerge at an inappropriate time in order to compensate for its earlier inadequacy. If we reconsider the first TR (TR<sup>1</sup>, mm. 67-80) we will see that it, like most of the TRs to be found in Chopin's output, suffers from TR dysfunction. This is a kind of dysfunctional TR that I have termed the "defective TR." Defective TRs encounter some sort of impediment that hinders the energy-gaining process and the progress toward the MC. The main impediment in this TR, a TR that is borne from dissolution of P, occurs in m. 71. The block here is a loud chromatic chord (a viio7/B<sub>♭</sub> minor) that acts much like a wall into which the music has been driven. This important chord has a major consequence: it causes a significant formal deformation. The key of theme B will not be the mediant, as is usual for a sonata that is set in the minor mode. It necessitates a pull toward the key of the subdominant, something that was initiated much earlier in the first statement of A. Besides this chromatic chord blockage, there is one other aspect of dysfunction here and that is modal identity. That is, the major key (B<sub>♭</sub>) in which B emerges, is polluted by its parallel minor, particularly by multiple instances of scale degree ♭6. Notice the presence of multiple G<sub>♭</sub>s in this passage, including the highest note of the chromatic blockage chord in m. 71. This too, can be seen as a symptom of TR dysfunction.

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<sup>74</sup> In this case, I have substituted the terms "A" and "B" for "P" and "S" because of the lack of rhetorical opposition between the two main themes in the work.

Morgan's interpretation of Ballade 4 (Fig. 1.18 B) as a binary design is consistent with the one which I will provide in chapter 4. This formal interpretation of the work highlights its rotational makeup. Morgan must be given the proper credit for being the first writer to truly recognize these important details.

#### 1.3.6 Berger/ Suurpää/Klein/Morgan Conclusion

Even in this preliminary discussion of the four Ballades, the power of a multi-faceted analytical approach becomes apparent. When considering these often-discussed works, it is important to seriously examine previous analyses, even if they are problematic in some way. As I have said, many of these contain much truth. This is certainly the case with the analyses provided by Rosen, Berger, Suurpää, Morgan, and Klein. Importantly, there is much that unites these seemingly disparate analyses. First, and probably most important, is the impulse to utilize new analytical methods to understand these works, whether through an approach that favors narrativity in music or one that evokes punctuation form.

Clearly, there is an impulse to understand these works as relating to the traditional sonata-allegro tradition. This is evident, to at least some degree, in all four of these newer analyses. We might say, then, that the recent trend in Ballade reception is one that is quite open to interpretations that, at the very least, see sonata form as a point of departure. The issue here, of course, is precisely to what degree the works conform to the sonata model. In Berger's analysis, the issue of sonata form is something of a non-point; he chose to understand the work using his signature analytical methodology, punctuation form. For Klein and Suurpää, the sonata model is more explicit. Two others who adhere to views that are closest to the one I will espouse are Jim Samson (Samson 1992) and Charles Rosen (Rosen 1998). It is my premise that the sonata-allegro model is indeed a relevant starting point for an understanding of Chopin's four Ballades. As I shall show, it can explain much that occurs in these works in a way that is deeper and more profound than even these perceptive authors have discovered. This shall be the focal point of chapter 4 in this essay, in which I systematically examine Ballades 1, 2, 4.

## CHAPTER 2: CHOPIN'S SONATAS: TYPES, SPACES, AND THE DE-ENERGIZING TR

### 2.1 Introduction

Relatively little has been written about Chopin's practice of writing sonatas.<sup>75</sup> This is due in large part to the widespread belief that he was at best a miniaturist, a composer who was more at home with smaller, more compact forms.<sup>76</sup> This notion, that Chopin neither understood nor could work with the prestigious sonata, must be reconsidered.<sup>77</sup> It is the objective of this chapter to rehabilitate such assumptions. A study of these works reveals that even though they harbor some new and idiosyncratic features, they are the product of a mind that held a deep and articulate understanding of the genre. It also affirms that the sonatas, like the Ballades, can often be better understood via a three-tiered hermeneutic that utilizes the Hepokoski/Darcy Sonata Theory model, the notion of TR dysfunction, and Brower's schemes for musical plot.<sup>78</sup>

This chapter, while also intended as an overview of the sonatas, will most sharply focus on the most notable and intriguing aspect of Chopin's compositional practice: his altogether personal treatment of TR

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<sup>75</sup> For two important discussions of these works as a group, however, see Leiken 1992 and Samson 1985.

<sup>76</sup> Two important essays that touch consider Chopin's mastery of the miniature are Kallberg's "Small Forms: In Defense of the Preludes" (Kallberg 1996, 135-160) and Rosen's "Chopin: from the Miniature Genre to the Sublime Style" (Rosen 1999, 410-452). Particularly interesting is Rosen's essay because it studies how Chopin's practice of writing the mazurkas informed his idiosyncratic treatment of larger forms.

<sup>77</sup> This mistaken assumption that Chopin's sonatas were of a lesser quality than his other works, dates from the 19<sup>th</sup> century. Truly, Chopin's sonata forms presented quite a challenge to his contemporaries. Characteristic is Schumann's review of Piano Sonata No. 2 (Newman 1983, 489-90) in which the esteemed critic characterizes the piece as a sphinx. Even Eduard Hanslick expressed puzzlement over their inclusion as an organic whole (Newman 1983, 490). It was not until the next century that musicians began to see the large-scale unity in the work (Petty 1999). Piano Sonata No. 3 proved to be less problematic for critics (and audiences) during Chopin's lifetime, even though it was by no means considered a perfect work. The Cello Sonata (Op. 65) fared even less well than its two siblings and was harshly criticized by Hanslick for "a lack of aptitude for handling the larger forms and for the polyphony expected in a duo" (Newman 1983, 494). It too, has experienced resurgence in the modern repertoire and is now recognized as an "undervalued masterpiece" (Rosen 1998, 466).

<sup>78</sup> See Hepokoski/Darcy 2006 and Brower 2000.

space. His TRs consistently invoke a fairly small number of procedures. Furthermore, the most salient aspect of his TR practice is his frequent reliance on what Hepokoski/Darcy term the de-energizing TR.<sup>79</sup>

This chapter will begin with a brief overview of the sonatas. It shall discuss Chopin's preference for the type-2 sonata, his treatment of P- and S- spaces, and his unique caesura rhetoric. It will continue with consideration of Chopin's special brand of TR procedures, especially his treatment of the de-energizing TR. Finally, the chapter will conclude with an analysis of the first movement of Piano Sonata No. 2 that acknowledges the de-energizing TR as the focal point of the musical drama.

### 2.1.1 Chopin's Sonata Forms: An Overview

Like many of his contemporaries, Chopin wrote relatively few compositions that he explicitly named sonatas.<sup>80</sup> The ones he wrote, however, are an exceptional body of works that demand close examination. Chopin's sonata forms can be divided into two categories: early and mature. I consider those early works to be the ones written between 1827 and 1830 (Example 2.1A). This group includes Piano Sonata No. 1, the Piano Trio, and the two Piano Concerti. Conversely, I consider mature works to be those written after 1830: Piano Sonatas Nos. 2 and 3, and the Cello Sonata (Example 2.1B).<sup>81</sup>

Work	Year	Sonata Type
Piano Sonata No. 1	1827	3
Piano Trio	1828	3
Piano Concerto No. 2	1829	5
Piano Concerto No. 1	1830	5

#### **Example 2.1 Chopin's Early and Mature Works in Sonata Form (First Movements)(A) Early Works**

##### 2.1.2 Chopin's Early Works: A Misunderstanding or a New Way?

<sup>79</sup> De-energizing transitions are those TRs which are characterized by energy-loss rather than energy-gain. By energy-loss, I mean that the passage in question seems to lose momentum or exhibit some kind of ambivalence about its prescribed generic goals. As we shall see, momentum-loss can be manifested in a variety of ways including decrease in loudness, thinning out of texture, or premature energy diffusion.

<sup>80</sup> The composers from the generation after Schubert and Beethoven did indeed write relatively few piano sonatas. Schumann, for example, wrote only three piano sonatas. Liszt wrote two and Brahms wrote three. Mendelssohn's piano sonatas, although he wrote three, have not earned a spot in the standard piano repertoire.

<sup>81</sup> Two important discussions of the piano sonatas as a group are Samson 1992 and Leiken 1992. Both essays deal with characteristics of the works themselves, Chopin's unique way of composing sonatas, and his response to and engagement with the tradition of the eighteenth-century sonata.



Certainly, Chopin's early sonata forms are unconventional. Three of these four works (Piano Sonata No.1, the Piano Trio, and Piano Concerto No. 1) feature expositional rotations that do not modulate, but secure EECs in the tonic.

Work	Year	Sonata Type
Piano Sonata No. 2	1837-9	2
Piano Sonata No. 3	1844	2
Cello Sonata	1845-6	2

**(B): Chopin's Mature Works in Sonata Form (First Movement)**

Many scholars criticized and commented on this seemingly bizarre practice, citing the provincial nature of his musical education or claiming that Chopin outright misunderstood the rhetorical demands of the genre.<sup>82</sup> Even though Chopin's early sonata-form works are bewildering from a number of perspectives, their unique formal logic emerges when viewed through the lenses of Sonata Theory and Brower's image schemas. These works, in which traditional MC rhetoric seems to be reversed, afford a glimpse into his later works in which the accomplishment of a normative, answered caesura that prepares the tonic is a structural goal.

### 2.1.3 Sonata Types and Exposition Types

As the above charts show, Chopin composed sonata movements of three different types: 2, 3, and 5.<sup>83</sup> In his early career, Chopin preferred the more common type 3 sonata, those that feature three rotations. In his maturity, however, he only composed type 2 sonatas, or double-rotation sonatas.<sup>84</sup> Chopin composed no works that feature the continuous exposition: all of his first movement sonata form works are of the two-part variety. Study of Chopin's sonata practice reveals a definite maturity in his handling of the form. In his early career, Chopin was an experimenter in the form; his early sonatas display some unique features. Most notable is the fact that few of their expositions modulate. At first

<sup>82</sup> See Samson 1994, 1992; Rosen 1998; Leiken 1992.

<sup>83</sup> Of course, Chopin composed works of the type 4 variety, but they remain outside of the scope of the present chapter.

<sup>84</sup> Type 2 sonatas are those works with reverse recapitulations. In a reverse recapitulation, the expositional thematic configuration is cycled through in reverse order. That is, S appears before P.

glance, this seems preposterous, but if we dig deeper we can uncover that Chopin's early sonatas deal with an altogether new paradigm. In Chopin's early sonatas, the impulse to produce a normative, answered caesura that prepares a secondary key is a structural impetus. This impulse may override structural boundaries. We shall see this played out in a number of Chopin's later compositions, such as Piano Sonata No. 2 and several of the Ballades.

#### 2.1.4 Chopin's Sonata Rhetoric: P, S, and C spaces

As Chopin progressed and matured as a composer, his sonata rhetoric became more systematic and individualized. Clearly, Chopin began to prefer to fill the zones of sonata space with specific kinds of music. For Chopin, certain musical topics (such as the nocturne or the *Berceuse*) were rhetorically appropriate for certain musical spaces. We can see an evolution in Chopin's personal sonata rhetoric. In his early music, action zones tended to be filled with music that is, for the most part, rhetorically neutral. In his maturity, however, these modules come laden with topical connotations.

Chopin tended to fill his P-spaces with two kinds of thematic configurations: the parallel period and the grand antecedent (Example 2.2). The P-Spaces in Chopin's three major sonata-form works are presented in Examples 2.3A-C. Chopin did not seem to harbor a special proclivity for either kind of construction, as each appears equally in his output.<sup>85</sup> For the most part, Chopin filled the P-spaces of sonata form with music that is either topically neutral or genre-nonspecific. That is, his P-spaces do not correlate to specific genres. One does not encounter, for example, any P themes that resonate with the topical essence of the *Mazurka* or the *Polonaise*. We do, however, encounter some P themes that correlate to more generalized musical affects such as the "storm and stress" in Piano Sonata No. 2 and the march in Piano Sonata No. 3.

Work	Structure	MM.#
Piano Sonata No. 2	Grand Antecedent	1-24
Piano Sonata No. 3	P as Antecedent	1-8
Cello Sonata	Grand Antecedent	1-23

#### Example 2.2 Chopin's P-Spaces

<sup>85</sup> I have chosen to omit Piano Sonata No. 1 from this list because it is nearly impossible to distinguish any topical and generic opposition between the various modules in that exposition.



C. (Example 2.3 cont'd.)

P as Parallel Period (mm. 1-23)

P Antecedent (mm. 1-8)

**Violoncello.** *Allegro moderato.*

**PIANO.** *Allegro moderato.*

*sostenuto*

*Red.* \*

5 *Red.* \*

*loco*

*f* *dolce*

P Consequent (mm. 9-23)

9 *p*

*cresc.*

*f*

*cresc.*

*Red.* \*

(C) P-Space in the Cello Sonata (continued on next page)

C. (Example 2.3 cont'd.)

The image displays a musical score for two systems. The top system features a piano part (treble and bass staves) and a cello part (bass staff). The piano part includes dynamics like *ff* and *p*, and markings such as *Red.* and an asterisk. The cello part has a *ff* dynamic. The bottom system continues the piano and cello parts, with the piano part showing a triplet of eighth notes and a 12-measure rest. The cello part has a *Red.* marking and an asterisk. The score is written in a key with one flat and a common time signature.

(C): P-Space in the Cello Sonata (continued)

Throughout his career, Chopin's P-spaces remained basically neutral as far as their topical connotations; this was not the case with his S-spaces. Again, Chopin chooses from a relatively small number of appropriate musical topics for his S-spaces. In terms of S-spaces, there are three possibilities: a topically neutral theme, the Nocturne, and the *Berceuse*.<sup>86</sup>

Work	Structure
Piano Trio	Neutral
Piano Concerto No. 1	<i>Berceuse</i>
Piano Concerto No. 2	Nocturne
Piano Sonata No. 2	Nocturne
Piano Sonata No. 3	Nocturne
Cello Sonata	Neutral, Problematicized S

Example 2.4 Chopin's S-Spaces

<sup>86</sup> I have adopted an *ad hoc* method for labeling the topical resonances in Chopin's sonata-form works. It borrows strongly from the methodology used by Kofi Agawu in his seminal *Playing with Signs* (Agawu 1991).

### 2.1.5 Chopin, the Medial Caesura, and Other Types of Caesuras

For the most part, Chopin's MC choices are standard (see Examples 2.5 and 2.6). I have already mentioned the idiosyncratic treatment of the expositional rotation in his early sonatas. These non-modulating expositions seem to be the extent of his MC deformations. Since all of his mature sonatas are set in the minor mode, the expositional MCs are of the normative III: HC variety.

Work	Expositional Rotation	Recapitulatory Rotation
Piano Trio	I: HC m. 42	MC Blocked (V:IAC) m. 172
Piano Sonata No. 2	De-Energizing TR (III:IAC) m. 40	I:HC m. 168
Piano Sonata No. 3	III: HC m. 39	I:HC m. 149
Cello Sonata	De-Energizing TR (III:HC) m. 68	I:HC m. 184

**Example 2.5 MC Treatment in Chopin's First Movement Sonatas**

Work	Ritornello 1	Solo 1	Solo 3
Piano Concerto No. 1	De-Energizing TR (I:PAC) mm. 54-60	I:HC m. 221	III:HC m. 573
Piano Concerto No. 2	De-Energizing TR (i:HC) m. 36	III:HC mm. 122	III:HC m. 274

**Example 2.6 MC Treatment in Chopin's Two Piano Concerti**

Of special interest are the first movements of Piano Sonata No. 1, the Piano Trio, and Piano Concerto No. 1. These all feature non-modulating expositional rotations and modulating recapitulatory rotations. This again points to the fact that for the young Chopin, the achievement of a normative, modulating rotation was indeed a structural goal.

Type	Definition	Paradigmatic Example(s)
Second MC (MC2)	The second MC of a tri-modular block.	Ballade No. 1 (m. 166; VI:HC)
Postmedial Caesura (PMC)	“Extra” caesura effect that occurs past the point of a supposed EEC. Has the result of negating EEC and re-opening S-space.	Ballade 4 (m. 202; i:HC) Piano Sonata No. 2 (mm. 103-104; III:HC)
Retransitional Caesura (RTC)	Caesura effect that is the culmination of a RT/rt passage, it does not follow EEC.	Ballade 2 (m. 166-167; i:HC)

### **Example 2.7 Different Types of Caesuras in Chopin’s Works**

There are other kinds of caesuras besides the MC, however. It shall be essential to differentiate among the various kinds of caesura-effects in Chopin’s large works. Example 2.7 charts the various kinds of non-medial caesuras that occur in Chopin’s large works. Besides the more normative MC, there are three additional kinds of caesuras that appear. The first kind is called the “Second MC” (MC2) and its paradigmatic example is to be found near the end of rotation 2 in Ballade 1. This is a common occurrence in expositions that display the “Tri-Modular Block (TMB),” or exposition with two apparent MCs. In describing the TMB, it is useful to label the first caesura as “MC1” and the second caesura as “MC2.” There is only one TMB to be found in the Ballades and the sonatas: in rotation 2 of Ballade 1 (m. 166). While Hepokoski/Darcy describe this type of caesura phenomenon, they do not give it a precise name.<sup>87</sup>

The second kind of non-medial caesura is the “postmedial caesura (PMC),” or a caesura that appears after the supposed achievement of EEC (or ESC).<sup>88</sup> In such cases, EEC is not followed by acceptable C-material but by more TR. This serves to attenuate EEC and to defer it to first PAC that is sounded after the post-EEC caesura. The two most notable examples of this occur in Piano Sonata No. 2 (mm. 104-105) and in Ballade 4 (mm. 201-210). I will discuss these examples more fully below.

The third and final kind of non-medial caesura is what I have termed the “RT Caesura (RTC).” An RTC appears as the culmination of an RT passage, it often serves the purpose of making way for the beginning of a new rotation, or the beginning of a coda. The most notable example of an RTC in Chopin occurs at the end of rotation 2 in Ballade 2.

<sup>87</sup> For Hepokoski/Darcy’s discussion of the TMB see Hepokoski/Darcy 2006, 170-177).

<sup>88</sup> Hepokoski/Darcy do, in fact, discuss this phenomenon (Hepokoski/Darcy 2006, 159-163).

## 2.2 Chopin, TR, and RT

### 2.2.1 TR vs. RT in Chopin

It will be worthwhile to distinguish between TR-material and RT-material. While TR and RT share some strong similarities, each serves a particular rhetorical purpose. Hepokoski/Darcy define TR as “... following P, the energy-gaining modules driving toward the medial caesura. . .”<sup>89</sup> Conversely, they define RT as “. . . a connective passage of preparation, usually leading to the onset of a new rotation, that is to the repeat of the exposition, to the onset of the recapitulation, or to the beginning of the coda.”<sup>90</sup> A main difference between these two kinds of modules involves the issue of placement. That is, TR follows P and drives toward the MC, while the local function of an RT depends on context. In this study, as have Hepokoski/Darcy, I have chosen to denote RT as those passages that prepare the way for a new rotation and are marked by a return of the home tonic and the restatement of P-material. I denote as *rt* (lower case) those RT-like passages that prepare non-tonic returns of P themes. I denote TR material as those connective passages that occur within a rotation and prepare the way for S-material. TR and RT/*rt* can prepare both tonic and non-tonic keys.

Even though TR and RT/*rt* each serve distinct formal functions, certain kinds of procedures are common to both. For example, both kinds of modules are concerned with the issue of energy-gain and activating a dominant-lock. At least in terms of placement, Chopin’s treatment of RT/*rt* is consistent with the Hepokoski/Darcy description. Chopin’s RTs prepare the way for the recapitulation, the repeat of the exposition, or the beginning of a coda. A major difference between TR and RT/*rt* in Chopin involves size, intensity, and complexity. For the most part, Chopin’s RT/*rts* are short and simple, while his TRs tend to be lengthy, discursive, and multi-modular.

Chopin’s *rts* tend to be simple. This is particularly true of the inter-rotational *rts* that appear in Ballade 1 and 4. In both of these cases, the music just seems to passively drift from one rotation to the

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<sup>89</sup> *Ibid.*, xxvii.

<sup>90</sup> *Ibid.*



other. Sometimes, this can involve a bass motion by third, as it does in Ballade 1. It can also involve an expressive semi-tonal shift as it does in Ballade 4.

On the other hand, Chopin's RTs often display a strong inclination toward energy-gain and a concern with producing a caesura (an RTC). Such is certainly the case in the first movement of Piano Sonata No. 2. In this case, we can interpret RT as harboring the re-emergence of the TR impulse as a corrective to a TR defect that was encountered early on. A similar thing happens in Ballade 3, although the line between TR and RT is blurred in that case, as we shall see.

Let us consider the rt process as it is manifested in two of Chopin's large works: Ballades 1 and 4. In these works, the inter-rotational activity always serves to overturn a transient ERC that secures the secondary key. Examples 2.8-2.9 present the rt modules from Ballade 1. Example 2.8 presents the activity between rotations 1 and 2 (mm. 90-94). In this case, the music simply returns back to the tonic key via a semitonal displacement ( $E_b$  is transformed to G minor). It should be noted, however, that this transformation is not permanent: at the start of rotation 2, the P-theme returns in the key of a minor, a tonality that is a tritone away from the key that ended rotation 1.

rt (mm. 90-93)

89

92

Rotation 2 (mm. 94-189)

III

v

ii

$E_b$

g minor

B $\flat$

d minor

a minor

*sempre dim.*

*rallent.*

*a tempo.*

*pp*

**Example 2.8: Inter-Rotational Activity in Ballade 1 (Rotations 1 and 2)**

In the music that occurs between rotations 2 and 3 (mm. 188-193, Example 2.9), the change back to g minor is indeed tragically permanent.<sup>91</sup> This music, like the music from rotation 1, involves the overturning of an ERC in E $\flat$ . This time the ERC occurred in m. 182. It too, involves the same semitonal displacement and includes the same shift from E $\flat$  to g minor.

RT (mm. 187-193)

187

E $\flat$

E $\flat$  Transformed into g minor and Stays!

190

g minor

riten.

dim. rall.

Rotation 3 (mm. 194-263)

Meno mosso.

pp sempre

sotto voce

193

g minor:

### Example 2.9: Inter-Rotational Activity in Ballade 1 (Rotations 2 and 3)

It is instructive in this case to compare the inter- and intra-modular activity in Ballade 1. As I have shown, the TRs that occur within each rotation are carefully worked out, belabored, and characterized by varying degrees of dysfunction and struggle. On the contrary, the music that occurs

<sup>91</sup> This motion to and from E $\flat$  in the second half of rotation 1 is significant because E $\flat$  is the key in which most of rotation 2 is set.

between rotations is quite the opposite, there is virtually no struggle at all, and the music seems to simply float back to the tragic home tonic.

In Ballade 4, the movement from one rotation to the next is even more fluid. Example 2.10 presents the end of rotation 1 and the beginning of rotation 2 (mm. 127-129). Again, this involves an overturning of the ERC that occurred in m. 121. Importantly, there is no significant inter-rotational material, but rather a pitch-class re-interpretation ( $A\flat$  becomes  $G\sharp$ ) and an expressive shift by ascending semitone in mm. 128-129. Unlike Ballade 1, the rotational process in Ballade 4 involves the introductory material: the opening 7 bars recur at the beginning of rotation 2 (mm. 129-134).<sup>92</sup>

rt (mm. 125-128)

125

$A\flat M:$   
( $\flat III$ )

Rotation 2 (mm. 129-210)

128

$G\sharp$

$A\flat$

**Example 2.10: rt As Inter-Rotational Activity in Ballade 4**

<sup>92</sup> I will consider the several notable RTs in my discussion of Ballades 1-4.

### 2.2.1 Common TR Features in Chopin's Sonatas and Ballades

Chopin's TRs utilize energy-gaining procedures that are common to the mid- and late-eighteenth century sonata. Nonetheless, there are several features that re-appear so often in Chopin's sonatas and the Ballades that they can rightly be called signatures of his style (Example 2.6).<sup>93</sup> Presently, I will discuss general characteristics. These should not be confused with the more dramatically precise TR paradigms that I will discuss later.

Feature	Examples	MM.#
<b>Feature 1:</b> Dependence on Sequencing	Piano Concerto No. 1 (Solo I) Piano Trio (Exposition)	179-221 29-42
<b>Feature 2:</b> Chromatic Notes with Rich Hermeneutic Implications	Piano Sonata No. 2 (TR <sup>2</sup> ) Piano Sonata No. 3 (Exposition) Ballade 4 (Rotation 1)	81-104 7 72
<b>Feature 3:</b> Preparation for the New Key via its Borrowed Dominant	Piano Sonata No. 3 (Exposition) Ballade 3 (Rotation 1)	9-40 13-26
<b>Feature 4:</b> De-Energizing TR	Piano Concerto No. 1 (Rit. 1) Piano Concerto No. 2 (Rit. 1) Piano Sonata No. 2 (Exposition) Cello Sonata (Exposition)	25-60 8-36 25-41 24-68

#### Example 2.11 Common Features of Chopin's TRs

In Example 2.11, I have listed these characteristics along with a paradigmatic example of each. Feature 1, a dependence on sequencing seems to be more prominent in Chopin's early sonata forms. This is not to say that the mature TRs do not feature extensive sequencing, at least sometimes.<sup>94</sup> Surely, Chopin became less and less dependent on this sometimes mechanical procedure as he found more subtle, interesting ways to construct TR modules.

Probably the most obvious sequence-based TR occurs in Solo 1 of Piano Concerto No. 1 (excerpted in Example 2.12). Notice that this TR begins with the statement of a repetitive 8-bar module based in the tonic (mm. 179-187). This module is followed by a transposed, dominant-based copy in the following several measures.

<sup>93</sup> Because of the relatively small number of Sonatas at my disposal, I will infrequently reference the Ballades in my discussion of general TR characteristics.

<sup>94</sup> The most notable example of a large sequence in Chopin's mature work appears in rotation 2 of Ballade 3 (mm. 183-213).

TR

Tonic-Based Model (mm. 179-186)

179

e minor:

182

Dominant-Based Copy (mm. 186-191)

185

188

### Example 2.12 Sequence-Based TR in Piano Concerto No. 1, Solo I (mm. 179-190)

In Chopin's early practice, at least, such "slow to get off the ground" TRs are common. Another case in point is the TR in the exposition of the Piano Trio, a work that has received little analytical attention (Example 2.13). The TR here begins in similar way, with a tonic based TR module that is treated sequentially. Unlike in the Piano Concerto, the second leg of the sequence appears in the

mediant.<sup>95</sup> It should also be noted that in each of these cases the TR process leads not to a MC that prepares a new key, but one of the I:HC variety.

**TR** **Tonic-Based Model (mm. 29-32)**

28 *a tempo* *a tempo* *p* *mf* *marcato*

*g minor:*

**Mediant-Based Copy (mm. 33-36)**

31 *dolce* *p*

34 *p* *cresc.* *cresc.*

The musical score is presented in three systems. The first system (mm. 28-32) is labeled 'Tonic-Based Model (mm. 29-32)' and includes a 'TR' box. It features a piano introduction in G minor, marked 'a tempo' and 'marcato'. The second system (mm. 33-36) is labeled 'Mediant-Based Copy (mm. 33-36)' and includes a 'dolce' marking. The third system (mm. 37-40) continues the Mediant-Based Copy, marked 'cresc.' and 'p'. The score is in G minor, indicated by the key signature and the 'g minor:' label.

Example 2.13 Excerpted, Sequence-based TR from Piano Trio, first movement (mm.28-36)

<sup>95</sup> This untimely arrival in the key of S is a sign of TR dysfunction.

Feature 2 involves the issue of chromaticism. Chopin's TRs often feature the presence of salient chromatic notes or harmonies that have rich hermeneutic implications. Often, these notes undergo a re-contextual transformation and imply common-tone modulations. Such is the case with the pitch-class A#/B $\flat$  in the exposition of Piano Sonata No. 3 (Example 2.14).<sup>96</sup> This change in function actually facilitates a change in key: while the passage from mm. 14-16 is set in b minor; the passage beginning at m. 17 is actually in B $\flat$ .

14

b minor:

A#--B $\flat$

Dominant-Lock (V/i)

17

Dominant-Lock De-Materializes Due to Chromatic Re-interpretation

B $\flat$ :

#### Example 2.14 Chromatic Re-Interpretation in Piano Sonata No. 3 first movement (mm. 14-19)

On the other hand, chromatic pitch-classes in a TR can also serve as a kind of irritant. That is, they take the form of problematic pitches that hinder the TR and energy-gaining process. Such cases are common in Chopin's output. The TR<sup>2</sup> (mm. 81-105) in the exposition of Piano Sonata No. 2 may be the clearest case (Example 2.15). Here, the TR process actually gets "caught up" by a chromatic E $\sharp$  that arrests the TR process. The music spends so much of its energy overcoming the chromatic snag that it is unable to produce a normative, answered caesura.

<sup>96</sup> See my discussion of the TR in Piano Sonata No. 3 in the following chapter.

92

D♭:

stretto

cresc.

97

ff

cresc.

E♭ as Chromatic Irritant

D♭: I6 IV I6/4 ii4/2 V/V V13

### Example 2.15 Chromatic Irritant in Piano Sonata No. 2 (mm. 92-105)

Feature 3 involves the issue of modal mixture. One often encounters a secondary key that is prepared via its parallel minor in Chopin's sonatas and Ballades. This occurs in rotation 1 of Ballade 3 and in the exposition of Piano Sonata No. 3 (Example 2.16). This particular phenomenon suggests, at the very least, a struggling, belabored TR.<sup>97</sup>

#### 2.2.2 Chopin and the De-Energizing Transition

Feature 4, the de-energizing TR is the most salient and most hermeneutically charged characteristic of Chopin's TRs. Of course, these energy-losing TRs are counter-generic and invite interpretation. Hepokoski and Darcy describe normative path of TR in the classical sonata in the following manner:

As a rule of thumb, once TR has begun the *forte* energy should be kept constant or on the increase all the way to the medial caesura proper. Any flagging of energy or vigor within TR—any *diminuendo* or faltering drop to *piano*—is counter-generic and constitutes an event that invites interpretation. It may suggest the production of something unusual: a medial caesura deformation or the presence of a troubled expressive problem being unfolded in the musical narrative.<sup>98</sup>

<sup>97</sup> I will discuss both of these situations at length later in this chapter.

<sup>98</sup> Hepokoski/Darcy 2006, 25.



31

b minor:

33

35

*cresc.*

*fz*

*r.h.*

*dim.*

Dominant-Lock Colored by  $\flat 6$  (mm. 33-36)

**Example 2.16** New Key Prepared by Its Parallel Minor in Piano Sonata No. 3, first movement (mm. 31-36)

The presence of the de-energizing TR is a trademark of Chopin's sonata practice that spans his entire career. We see it in such early works as the two piano concerti, works from the middle of his life in Piano Sonatas Nos. 2 and 3, and late in his career with the Cello Sonata.<sup>99</sup>

The de-energizing transition then, is one that loses energy rather than gaining it. They involve some kind of energy diffusion, early release of TR energy on the way toward the MC. It is also interesting to note the placement of these de-energizing TRs in the movements themselves. These tend to occur early in the work, in the exposition. Above all, it suggests some sort of flaw in the TR process. Additionally, it

<sup>99</sup> De-energizing TRs also appear quite frequently in the Ballades.

presupposes the strength of the opening tonic area, as if its hold on the music is just too much to overcome, that TR is unable to produce that kind of energy necessary to open up the space for S.

### 2.2.3 Piano Sonata No. 2: The Hermeneutic Implications of the De-Energizing TR

Next, I present an analysis of an entire movement. On the surface, the opening movement of Piano Sonata No. 2 fairly closely resembles a normative sonata exposition. There are clearly delineated P and S themes, the work is involved with the rotational paradigm, and it seeks out the common generic goals (EEC and ESC). But if we take a closer look, we see that this work is involved in an additional process that is just as central to its unfolding of events. Namely, this piece is highly concerned with the production of a clearly articulated, normative MC. This impulse over-steps the formal boundaries of the piece. In the following I will explain this special musical narrative and show how it guides the course of the movement. Besides the Hepokoski/Darcy model, I will also invoke Brower's schemas for musical plot, namely the overcoming-blockage model.

Example 2.17 presents a nuanced chart of the form of this movement. As shown in this diagram, we can still understand the outward form in this movement as being in dialogue with the double-rotation, type 2 sonata. Importantly, there is a musical impulse, an obsession, an "Ur-Narrative" that guides the music in a significant way. The TR process in the opening rotation, that is the TR that follows P, is subtly flawed. At a certain point, it loses its nerve and dispels its energy too early. While this may not seem particularly significant, it indeed has important and far-reaching ramifications for the remainder of the movement. In order to correct this flaw, the music strives to produce a more successful TR that leads to a fully articulated caesura. We see, therefore, that Chopin includes not a typical C space, but actually more TR. Notice EEC, the moment in which the music attains a PAC in the mediant. Instead of confirming this arrival, the music actually re-initiates the TR process.

Example 2.18 presents the TR from Piano Sonata No. 2. Notice that it begins as a restatement of P, as P is arranged as a grand antecedent, a common thematic type. In m. 35, the music begins to gain energy through an increase in dynamics (the *crescendo*).

Global Unit	Rotation 1 Exposition						
Local Unit	P <sup>0</sup>	P	TR <sup>1</sup>	S	EEC	TR <sup>2</sup>	PMC
MM.#	1-4	5-24	25-41	41-80	81	81-104	105
Cadences		I	No Literal MC!	III	III:PAC		III:HC (Rejected)
Keys		B <sub>♭</sub> m		D <sub>♭</sub>			

Global Unit	Rotation 2 Development					
Local Unit	P/TR	RTC(weak)	S	ESC	TR <sup>2</sup>	Coda
MM.#	106-168	169	170-209	209	209-228	229-241
Cadences		I:HC	I	I:PAC	I	I
Keys			B <sub>♭</sub>			

**Example 2.17 Narrative Process in Piano Sonata No. 2, first movement**

In m. 37, there is a double-forte apex, as the music arrives on the subdominant. The music then reaches a dominant, indicating a possible MC in m. 39 (III:HC). After this point, however, what happens is not a literal caesura, but a de-energizing TR. It continues the ascending bass motion that was initiated in the previous measures. Certainly, this indicates a weakly articulated, flawed MC. It is the job or structural obligation of the music to rectify this flaw and to produce another strongly articulated caesura of some kind.

The TR process in the exposition then, has at least partially failed. This is akin to the music hitting a sort of blockage that needs to be overcome. According to Brower's Plot Schemas, the music must retry this motion to achieve a satisfactory result. For this movement, it means that the TR process must be retried. It reactivates at the moment of the supposed EEC in m. 81. Example 2.19 presents the music that follows the III: PAC at m. 80. In this case, the EEC is overturned by more TR-like material.

Dissolving Consequent (Sentence with Dissolving Continuation) (mm. 25-40)

25

B $\flat$  minor:

31

\*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*

Energy Diffusion (mm. 37-40)

S (mm. 41-80)

3

37

*ff*

*sostenuto*

*p*

$\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*

No Literal MC! MC-Fill in mm. 39-40

**Example 2.18 Suppressed/Failed TR in Piano Sonata No. 2, Rotation 1( mm. 25-45)**

The new, rhythmically active triplets propel the music forward as if it is still driving toward some new goal. It is substantially chromatic and this chromaticism and modal mixture actually serves to weaken and cancel out the tonic achievement that happened in m. 81. Furthermore, it is highly sequential, like something we might expect from a TR passage.<sup>100</sup> The next passage (mm. 93-96) gets stuck on a chromatic E $\sharp$  irritant in m. 93. Finally, however, it overcomes this by reaching a tonic 6/3 chord, a tonic chord in the secondary key area, D $\flat$ , in m. 97.

<sup>100</sup> To reiterate, there are several reasons why I hear TR<sup>2</sup> as TR instead of S<sup>2</sup> or C. This module has the restless quality of TR, it features no PAC's in D $\flat$  and leads toward a caesura. All of these characteristics are generically inappropriate for S or C themes.

80

TR<sup>2</sup> (mm. 81-105)

D $\flat$  Major: \*  $\omega$ . \*

D $\flat$ M:PAC

86

91

E $\sharp$  as Chromatic Irritant

*stretto*

*crisis*

97

"PMC" (mm. 104)

D $\flat$ M:"HC" (V13)

**Example 2.19 TR<sup>2</sup> in the exposition of Piano Sonata No. 2, first movement (mm. 80-105)**

I hear the music as reaching a HC caesura in m. 103.<sup>101</sup> This time the implied caesura is still a III: HC, but it is one that is much more strongly articulated in than the previous one. Notice how the pace of the surface rhythmic activity slows down dramatically. Of course, even though this caesura is strongly

<sup>101</sup> The HC occurs in m. 103. The caesura is the pause or break after the arrival or, more technically the time span between the arrival and the onset of the next structural event.

articulated, it is declined nonetheless. In order to articulate the entirety of this TR/MC drama it is imperative that the performer take the repeat. He or she must start from the very beginning at m. 1 and not from m. 5, as some editions of the piece suggest.<sup>102</sup> When the music returns to the *Grave* module in m. 1 (Example 2.20), the PMC is declined, because it is not followed by rhetorically proper S material. The *Grave* section is of course, *forte*, non-lyrical and actually seems to modulate from D $\flat$  back to the home tonic. In this sense, the music rejects the proposed caesura at the end of the exposition.

97

PMC (D $\flat$ : "HC") (mm. 104)

D $\flat$  Major:

1

Grave.

B $\flat$  minor:

Caesura Declined!

Caesura (B $\flat$  minor:HC)

Doppio movimento

P (mm. 5-24)

### Example 2.20 MC Declensions at the end of Rotation 1, Piano Sonata No. 2, mm. 99-105.

Let us now take a look at rotation 2, which includes the development and the tonal resolution. The development in this movement is marked and defined by energy-gaining and continues the narrative that was set into motion in rotation 1.<sup>103</sup> It too, is highly concerned with the production of a normative,

<sup>102</sup> See Rosen 1998 and 1990 for the full argument about starting in m. 1.

<sup>103</sup> See Rosen's detailed description of the development section (Rosen 1998, 467-471).

answered caesura. It clearly tries to produce one several times before the whole TR process seems to go off the rails.

It will be worthwhile to take a look at the dominant preparation at the end of the development (Example 2.21, mm. 161-168). This is a fairly substantial dominant-lock. Again, we encounter an occurrence of energy-loss during the crucial moment of the RT passage. This energy-loss occurs as a *decrecendo* in mm. 165-168. Of course, such an early dispensation of energy is counter-generic, as we have seen. The sum-result of this gesture is the fact that the RT process, even though it is struggled mightily, has once again proven to be at least partially inadequate.

We might think that this passage in the development is the final chance for redemption. This, however, proves not to be the case. ESC, like EEC is overridden by more TR material. This in fact is merely a transposition of the TR module at the end of the exposition. Like its sibling, this passage is doomed to fail. It comes closer to succeeding this time though. Example 2.22 presents mm. 218-241, the final charge toward a normative caesura, ESC, or full closure. This passage begins by pointing to an arrival in the home key of B $\flat$ . This motion toward the tonic is clearly implied by the ascending bass motion which moves toward and embellishes scale degree 5. At the moment when we might expect a redemption 6/4 (mm. 229), we have a notable event: the bass actually continues its move upward by a semitone, reaching the pitch A $\flat$ , instead of locking on scale degree 5, f. Even though the chance for MC is gone, the music seems to compensate for this troublesome pitch by making one final impassioned push toward a I:PAC that occurs in mm. 236-7.

#### 2.2.4 Piano Sonata No. 2 and the Overcoming-Blockage Schema

Now, we are in a better position to understand how this movement depends upon Brower's overcoming-blockage schema. Example 2.23 presents an adaption of this schema as applied to the first movement of Piano Sonata No. 2. This diagram summarizes the musical narrative as taking place in three

distinct stages. In each stage, the music tries and re-tries to produce a normal answered MC. In each stage, the music fails to do so.

## 2.3 Conclusion

In this chapter, I have considered Chopin's sonata practice. I have discussed Chopin's preference for the type 2 sonata, the manner in which he fills his P and S spaces, and most importantly his TR processes. So far, I have discussed some relatively general characteristics of Chopin's TRs and given several brief examples of their usage. In the following chapter, I supplement this discussion by exploring Chopin's use of several TR types, or paradigms. By contrast, this discussion will focus on how these individual TR characteristics can coalesce and form more specific TR narratives.

Dominant-Lock (V/i) (mm. 161-168)

160

B $\flat$  minor: \*  $\omega$ . \*  $\omega$ . \*  $\omega$ . \*

Energy Diffusion!

166

B $\flat$  Major: \*  $\omega$ . \*  $\omega$ . \*

**Example 2.21 Dominant Preparation before Reprise of S, Piano Sonata No. 2, first movement(mm. 161-172)**



215

221

228

233

Chromatic Irritant Remains!

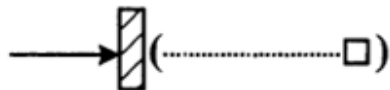
Coda (mm. 229-241)

Mixed Plagal Inflections ( $\flat 6$ )

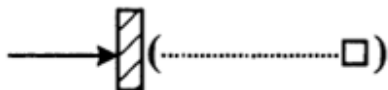
Example 2.22 Race Toward the Finish in Piano Sonata No. 2, first movement (mm. 218-241)

## Brower's Overcoming-Blockage Schema in Piano Sonata No. 2-1<sup>st</sup> movement

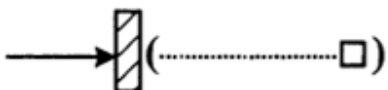
1) Rotation 1 (mm. 5-105): TR1 De-Energizing TR as Blockage (mm. 25-41)



2) Rotation 1 (mm. 81-105) TR2 Produces PMC, but Declined In Both Endings (m. 104)



3) Rotation 2 (Development) (mm. 105-168): Attempts an RTC, but Fails (mm. 161-168)



Example 2.23 Overcoming-blockage Scheme in Piano Sonata No. 2, first movement

## CHAPTER 3: TR DYSFUNCTION: ENERGY-GAINING PARADIGMS IN CHOPIN'S SONATAS AND BALLADES

### 3.1 Introduction

In Chapter two, as part of a discussion of the piano sonatas, I advanced several defining characteristics of Chopin's TR spaces. In Chapter three, I continue by demonstrating that these common features often coalesce into coherent TR paradigms, or pre-determined energy-gain narratives. I have identified four TR paradigms in the piano sonatas and the Ballades: the unyielding tonic TR, the defective TR, the multi-key-struggle TR, and the rotational synthesis TR.<sup>104</sup> Additionally, I propose that these paradigms can be best understood in the context of a phenomenon that I have termed TR dysfunction. TR dysfunction occurs when a given TR fails to fulfill its generic obligations or does so only provisionally.<sup>105</sup> It is the most prominent feature of Chopin's expositional structures.

In Chapter three, I survey these four TR paradigms. In doing so, I provide the defining properties of each, while citing multiple examples from Chopin's output. I submit an archetypal specimen of all four paradigms. This chapter concludes with an extensive analysis of the TR from the exposition of the first movement of the Cello Sonata, the final, most explicitly dysfunctional TR that Chopin wrote.

### 3.2 General Premises about TR in Chopin's Large Works

Before delving into the specific paradigms, it is necessary to put forth some general premises about TR in Chopin's larger works. First, for Chopin, TR-space is often the locus for musical drama. TR drama involves the drive toward and accomplishment of a normative, answered medial caesura. Like any other generic obligation in the sonata process, this drive can either succeed or fail. Sometimes, as we shall see, it can bring about mixed results.

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<sup>104</sup> These TR paradigms should not be confused with the common transition strategies that are identified by Hepokoski/Darcy in chapter 6 of *The Elements of Sonata Theory* (Hepokoski/Darcy 2006, 95-113).

<sup>105</sup> According to Hepokoski/Darcy, normative TR zones are characterized by "where they occur in an exposition, their functional drive to the MC, and by texture (energy gain)" (Hepokoski/Darcy 2006, 93).

Secondly, the TR process in Chopin can be seen as either responding to a pre-existent material or creating some altogether new musical situation. In many cases, the TR process will be faced with some circumstance that was established in P-space. For example, a given TR might be burdened with the task of responding to an over- or under-determined tonic. It also might be faced with the burden of overcoming an overtly tragic minor mode. It might continue the striving for some goal that was initiated in P-space, such as the endeavoring for a new key. On the other hand, the TR process might have some sort of internal hindrance. It might encounter some obstacle which must eventually be overcome. The TR process itself may prove to be inadequate.

Third, and most importantly, nearly every TR to be found in Chopin's output, exhibits some form of TR dysfunction. TR dysfunction occurs when a given TR fails to achieve its generic obligations or does so only provisionally. This condition has many characteristics. Most often, TR dysfunction is manifested by energy diffusion. This leads to what Hepokoski/Darcy have termed the de-energizing TR, or a TR which "seems to lose rather than gain energy."<sup>106</sup> I consider the presence of the de-energizing TR to be symptomatic of a non-ideal condition, TR dysfunction. The de-energizing TR often has negative implications for the musical drama.

Another symptom of TR dysfunction is the failure to effect an expositional modulation.<sup>107</sup> I view those expositional TRs that do not modulate and do not lead to S in a secondary key to be hermeneutically problematic and therefore representative of TR dysfunction.

TR dysfunction often presupposes several kinds of MC problem such as the failure to produce a normative, answered medial caesura. TR dysfunction can lead to a blocked MC. We see this most obviously in the earlier sonata-form movements, such as the piano trio and the piano concerti, but it also appears in later works such as Ballade 3. It can lead to weakly-articulated medial caesuras, as it does in

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<sup>106</sup> Hepokoski/Darcy 2006, 116.

<sup>107</sup> While it is true that Hepokoski/Darcy do not claim modulation as a requirement of TR, a concern for modulation is indeed a characteristic of TR-space according to their theory.

Ballade 2. It may lead to a MC that prepares a non-dominant or non-relative secondary key, as it does in the expositional rotations of Ballades 2, 3, and 4.

Issues of modal confusion indicate TR dysfunction. For example, the secondary key (the key of S) may be prepared in a way that is modally incorrect. For example, the key of S may be prepared via its parallel minor. This occurs in Ballade 3 and in Piano Sonata No. 3. Furthermore, TR dysfunction may include the premature achievement of a secondary key as it does in the Piano Trio (mm. 33-34) and the Cello Sonata (m. 29). Finally, it may include the premature achievement of the modally wrong key (e.g. the parallel minor of the relative) as it does in Piano Sonata No. 3.

Finally, TR dysfunction can often foretell S- and C-problems. It may lead to an “S” that appears in a non-prepared, or tonally ambiguous key, as it does in rotation 1 of Ballade 1. It may lead to a tonally under-determined S theme as it does in the Cello Sonata. Particularly interesting is the way that TR dysfunction may lead to the emergence of the TR impulse at inappropriate formal junctures.<sup>108</sup> This occurs in Piano Sonata No. 2 and in Ballade 3. Often, this kind of identify crisis can undermine EEC as it does in both of these cases.

### **3.3 TR Paradigms in Chopin’s Ballades and Sonatas**

I have identified four TR paradigms in Chopin’s works. These are the unyielding tonic TR, the defective TR, the multi-key-struggle TR, and the rotational synthesis TR. All of these frequently appear in Chopin’s sonatas and Ballades. Example 3.1 tabulates these TR paradigms along with the defining features of each.

#### **3.3.1 The Unyielding Tonic: Piano Trio, Exposition of Movement 1 and Ballade 1**

As we can see from the Example 3.1, the most frequently-encountered TR paradigm is the unyielding tonic TR.

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<sup>108</sup> “TR suppression,” an indicator of TR dysfunction, occurs when the energy-gaining impulse fails to adequately emerge during a given passage of TR.

Type	Example	Characteristics
<b>Unyielding Tonic TR</b>	Piano Trio (mm. 29-42) Piano Concerto No. 1 (Solo 1) (mm. 179-221) Ballade 1(Rotation 1) (mm. 36-67) Ballade 3 (Rotation 1) (mm. 9-36) Piano Concerto No. 1 (Ritornello 1) (mm. 25-61) Piano Concerto No. 2 (Ritornello 1) (mm. 9-36) Cello Sonata (mm. 24-68)	-multiple cadences in the home tonic and/or dominant -often highly sequential -sometimes, but not always involve a de-energizing TR -often end with (or involve) a I:HC MC
<b>Defective TR</b>	Piano Trio (Recap.) (mm. 163-181) Piano Sonata No. 2 (TR <sup>2</sup> ) (mm. 81-104) Ballade 2 (Rotation 1) (mm. 61-81)	-dominant lock problems: failed or “wrong” -Blocked/rejected MC effects -failure to produce acceptable MC (de-energizing TR effects) -energy diffusion
<b>Multi-Key-Struggle TR</b>	Piano Sonata No. 3 (Expo.) (mm. 9-40) Cello Sonata (mm. 24-68)	-suggestion and evasion of cadential effects in keys besides the tonic, relative, and dominant -evaded caesura effects -sense of a struggle between keys and/or key areas
<b>Rotational-Synthesis TR</b>	Piano Sonata No. 2 (Development) (mm. 105-169) Ballade 2 (Rotation 2) (mm. 155-167) Ballade 3 (Rotation 2) (mm. 173-213)	-synthesis of opposed textures/thematic material presented earlier -lead to the greatest energy gain -lead to negative or positive apotheosis

### Example 3.1 The Four TR Paradigms in Chopin’s Sonatas and Ballades

Unyielding tonic TRs are those in which the tonic has such an overwhelming presence that it negates or hinders the energy-gaining process. Notice that it appears in the earliest sonata exposition to be considered here (the Piano Trio) as well as the last sonata-form work he wrote (the Cello Sonata). Chopin dealt with this kind of TR in an increasingly sophisticated way throughout his career.

Example 3.2 presents TR (mm. 29-42) from the exposition of the first movement of the Piano Trio. This is the earliest and most uncomplicated example of an unyielding tonic TR in Chopin’s output. Notice that the tonic has a tremendous tonal pull, especially for an expositional TR. Indeed, except for a

brief turn toward the mediant (mm. 33-35) the entire passage is set in the tonic.<sup>109</sup> TR culminates with a dominant lock (in the tonic key) and a 2<sup>nd</sup>-level default MC (I:HC). S, in response to TRs inability to affect a modulation, materializes in the tonic in m. 43.



**Example 3.2: Unyielding Tonic TR in Exposition of Piano Trio, Op. 8, first movement (mm. 28-46) (continued on next page)**

Clearly the main dysfunctional element in this TR is its refusal or inability to modulate. It displays at least two other symptoms of TR dysfunction as well. These are its premature, failed attempt to tonicize the mediant in mm. 33-35 and S's emergence in a wrong key (the tonic). We shall see that such premature, failed moves toward secondary key areas and non-normative S's are both found in many of Chopin's works.

The Unyielding Tonic TR from Rotation 1 in Ballade 1 (mm. 36-67) exhibits several additional symptoms of TR dysfunction. Examples 3.3 A-C presents the multi-modular TR from the expositional rotation (rotation 1). From the phase 1 of the TR (Example 3.3 A) this TR exhibits an activation issue.

<sup>109</sup> The premature arrival in the mediant is another symptom of TR dysfunction.

(Example 3.2 cont'd)

31

Premature Arrival in III!

Gm:PAC

34

Chromatic Irritant ( $\flat$ II)!

37

Dominant-Lock (V/i) (mm. 39-42)

40

MC

Gm:HC

Figure 3.2: Unyielding Tonic TR in Exposition of Piano Trio, Op. 8, first movement (mm. 28-46) (continued on next page)



(Example 3.2 cont'd)

S Emerges in i! (mm. 43)

**Example 3.2 Unyielding Tonic TR in Exposition of Piano Trio, Op. 8 first movement (mm. 28-46) (continued)**

That is, this is a TR that struggles mightily to get going with the energy-gaining process. Notice that this problem is manifested as multiple arrivals in the tonic (mm. 40 and 44), something that is counter-generic for an expositional TR.

In the next phase of TR (Example 3.3B) the energy-gaining process finally gets underway. This phrase is characterized by a dramatic increase in speed (notice the *sempre piu mosso* beginning in m. 45). Even though the process of energy-gain has been fully activated, there are two major symptoms of TR dysfunction in this passage. First, it features a chromatic irritant, C# that appears in m. 52 and 53. In this case, the disturbing chromatic element is overcome as this wrong note is corrected to a C $\natural$  in mm. 54-5. This does not happen, however, until much valuable TR energy has been drained.

The second notable symptom of TR dysfunction here is the still overwhelming presence of the tonic. Still, even amidst all of this energy-gain there is no sign of a modulation at all. This refusal/reluctance to leave the tonic is especially tragic in this case for it is the first signal that something is askew in the piece. We shall see that the need to overcome the minor tonic is a major generic assignment in all three minor-key Ballades (Nos. 1, 2, and 4).

In the third and final phase of TR (Example 3.3 C) we encounter a de-energizing TR, a strong signifier of TR dysfunction. At this point, it seems as if all has failed, and that the TR process here has proven unable to modulate. Importantly, this is not the case, for it is in this de-energizing TR that the

music finally effects a change in mode and key. This change hinges upon the reinterpretation of an unstable element, F#. We first see a notable bass F# in m. 59, where it acts as a typical leading tone to the tonic scale degree. In m. 62, however, when the note appears again it appears re-notated as a G $\flat$ , and resolves *down* by half-step. It now leads to the V:III, exactly where we would expect a minor key expositional TR. This dominant fully materializes as we reach a first-level default MC that spans mm. 63-67.

A.

TR<sup>1.1</sup> (mm.36-44)

34

(Gm: PAC)

38

41

44

*sempre più mosso*

Gm:PAC

Example 3.3 Three TR Phases in Ballade 1:(A) TR Phase 1 in Ballade 1, Rotation 1

B. (Example 3.3 cont'd)

TR<sup>1.2</sup> (mm. 44-55)

*sempre più mosso*

(Gm: PAC)

44

47

50

53

56

TR<sup>1.3</sup> (mm. 56-67)

Energy Diffusion (De-Energizing TR)

C# as Chromatic Irritant!

(B): TR Phase 2 from Ballade 1, Rotation 1

### C. (Example 3.3 cont'd)

### (C): Phase 3 from TR in Ballade 1, Rotation 1

#### 3.3.2 Defective TR in the Recapitulation of the Piano Trio, Op. 8 first movement and in Piano Sonata No. 2 first movement

In the recapitulation of the first movement of the Piano Trio (mm. 167-181), we encounter a different TR paradigm: the defective TR. Defective TRs are those in which some force, be it internal or external, causes the TR process to malfunction. Let us return to the opening movement of the Piano Trio. While the TR process was relatively uncomplicated in the exposition, it encounters several problems in the recapitulation (Example 3.4). The most obvious defect is this TR's failure to produce a medial caesura of any kind. This is the first instance of a blocked/rejected MC in Chopin. The TR process in the recapitulation begins as it did in the exposition, with a sub-module that confirms the tonic via multiple PACs.<sup>110</sup> It is in the second sub-phrase (mm. 167-176) that the process begins to collapse. As in the exposition, TR is unable to uphold a premature mediant tonicization. In m. 171, it appears as though we have reached a dominant lock in d minor, as if in preparation for a first-level default MC. This particular

<sup>110</sup> For this reason, I have omitted the opening sub-module (TR<sup>1</sup>) from this example.

MC type is something that would be much more normative had it occurred early in the piece, in the exposition.<sup>111</sup>

TR<sup>1.2</sup>

167

*dolce* *poco cresc.* *poco cresc.* *p* *cresc.*

170

Dominant-Lock (V/v) Proposed MC (v: HC)

173

Blocked MC! TR<sup>1.3</sup>

176

(Dm: IAC)

Figure 3.4: Defective TR in the Recap. Of Piano Trio Op. 8, first movement (mm. 167-181) (continued on next page)

<sup>111</sup> Indeed, many of the characteristics of this TR would seem more normal in an expositional rotation.

(Example 3.4 cont'd)

179

(v:IAC)

**Example 3.4: Defective TR in the Recap of Piano Trio Op. 8, first movement (mm. 167-181) (continued)**

This first-level default MC is not to materialize, as it is blocked by a jarring chromatic event in m. 173. This necessitates more forward motion, as the new TR<sup>2</sup> actually ends with a weak PAC in V (m. 177). The music thereafter, is a new sub-module TR<sup>3</sup>. This new music (mm. 177-181) seems to want to act as a de-energizing TR, even though it displays no real signs of a decrease in energy. This highly imitative passage leads to a final, key affirming IAC in the dominant in m. 181. Here, we encounter a variant of the S<sup>1</sup> module from the exposition, this time (very unusually) in the dominant.

In this TR, the obvious defect, or disruptive force is the blocked MC in m. 173. Blocked medial caesuras are the most common flaw to be encountered in a defective TR. In other cases, the external disruption may be something as simple as chromatic irritant, a non-diatonic note that acts as a snare or hindrance. This is the case with TR<sup>2</sup> in Piano Sonata No. 2.

So far, we have seen defective TRs that have encountered an external impediment. In other cases, there may be some internal characteristic of TR that may cause it to fail. Such is the case in Piano Sonata No. 2, where we see an example of a defective TR in which the TR impulse is suppressed

(Example 3.5). The TR dysfunction displayed here can be seen as a symptom of an under-determined tonic. This is frequently the case with Ps that are set as grand antecedents in Chopin's music.<sup>112</sup>

In this TR, the energy-gaining impulse has been suppressed.<sup>113</sup> If we look at the TR here we see minimal energy-gaining characteristics: there is no real sequencing, no real increase in dynamics or speed, no thematic liquidation, and no modulation. In fact, the only real TR characteristic here is a slight increase in textural thickness (compare m. 9 with m. 25).<sup>114</sup>

TR dysfunction in this exposition is manifested as two significant problems. The first of these is energy diffusion, or a de-energizing TR. Notice that the music hits a double forte climax in m. 37 and loses energy from there. This leads to the second signifier of dysfunction here, the lack of a clearly articulated MC. We have already seen this in the previous example, the recapitulation from the first movement of the Piano Trio. This problem crops up again in several other works as well, including Ballade 2 and Ballade 3.

Dissolving Consequent (mm. 25-40)

25

B $\flat$  minor: *ad.* \* *ad.*

31

\* *ad.* \* *ad.* \* *ad.* \* *ad.* \* *ad.* \* *ad.* \* *ad.* \*

**Example 3.5: Suppressed TR in Piano Sonata No. 2, Exposition (mm. 25-56) (continued on next page)**

<sup>112</sup> For another interesting example of this, refer to the 1<sup>st</sup> movement of Piano Sonata No. 3.

<sup>113</sup> For another, even more dramatic example of a suppressed TR, consider the opening rotation of the B<sub>1</sub> minor/D<sub>1</sub> major Scherzo.

<sup>114</sup> It might be said that TR has not been completely suppressed in this case: the *crescendo* in mm. 35-37 does indeed signal a small increase in energy.

(Example 3.5 cont'd)

Energy Diffusion (mm. 37-40)

S

3

37

*ff*

*p*

*sostenuto*

No Literal MC!

47



**Example 3.5 Suppressed TR in Piano Sonata No. 2, Exposition (mm. 25-56) (continued)**

3.3.3 Multi-Key-Struggle TR and Piano Sonata No. 3, exposition

The third kind of TR paradigm is the multi-key-struggle TR. Multi-key-struggle TRs are characterized by a struggle between secondary key(s) which strive to emerge as independent tonal entities. In this kind of TR, the energy-gaining process attempts to affirm a key or keys that are outside of the tonic realm. This is clearly the most complex kind of TR that Chopin dealt with and it should be pointed out that it too includes many of the same characteristics of the unyielding tonic TR. These characteristics include the struggle to modulate and the suggestion of different non-tonic keys. Still there is at least one important characteristic that distinguishes the multi-key-struggle TR from the unyielding tonic TR. The multi-key-struggle TR can seem as a conflict between two or even three keys. We also tend to find many fewer cadences in the tonic here. In fact, what we tend to encounter in this kind of TR is a sense of cadences evaded. Chopin employed this kind of TR more often in the latter portion of his career, as the clearest examples are in Piano Sonata No. 3 and the Cello Sonata. I will discuss both of these examples at some length.

The TR from the exposition of Piano Sonata No. 3 is the paradigmatic example of this kind of TR. In this TR, there is the suggestion and evasion of no fewer than four keys: the tonic (b minor), a tonal area governed by B $\flat$ , E $\flat$  major/minor, and D minor. In the opening, the tonic is underdetermined: it



is not confirmed by an actual I:PAC. Example 3.6 shows the P-space in Piano Sonata No. 3, movement 1. The tonic is further undermined by a chromatic irritant, the pitch class D# in m. 8. This chromatic pitch redirects the tonal motion to a HC in the subdominant. Interestingly, this is an example of a chromatic irritant that appears not in TR, but in P.

**P as Small Antecedent (mm. 1-8)**

*Allegro maestoso.*

1

B minor:

TR Dissolving Consequent

6

Chromatic Irritant (D#)  
Redirects i:HC to iv:HC

**Example 3.6 P-Space in Piano Sonata No. 3, first movement**

The passage beginning at m. 8 is a flawed, dissolving consequent (see Example 3.7). It begins (mm. 8-12) as a literal transposition of the opening three bars. In m. 13, however, it dissolves into TR and achieves a dominant lock in the home key that is held in place from mm. 14-16. Importantly, this dominant lock is a failed one. It never produces a medial caesura or any other kind of cadence effect.

TR<sup>1.1</sup> (9-18)

6

B minor:

11

Dominant-Lock (V/b minor) (mm. 14-16)

14

*cresc.*

17

Dominant-Lock De-Materialized  
via Chromatic Re-Interpretation

Chromatic Irritant (Diminished Seventh  
Chord) Blocks Cadence in g minor!

The musical score is presented in four systems, each with a measure number on the left. The first system (measure 6) shows a piano introduction with a key signature of two sharps (F# and C#). The second system (measure 11) continues the piano texture. The third system (measure 14) is marked with a 'cresc.' (crescendo) and features a 'Dominant-Lock (V/b minor)'. The fourth system (measure 17) shows a 'Chromatic Irritant (Diminished Seventh Chord)' and a 'Dominant-Lock De-Materialized via Chromatic Re-Interpretation'. The score includes various musical notations such as notes, rests, and dynamic markings.

**Example 3.7 TR<sup>1.1</sup> In Exposition of Piano Sonata No. 3, first movement**

In m. 17, the previous dominant lock dissolves via a common- tone modulation in which A# is re-interpreted as B $\flat$ . This sends the music in another direction. What follows (in mm. 17-22) is a passage of music that seems to be unsure of where it wants to go. The music suggests motion toward several keys but never settles in one. In mm. 17 and 18, the music tends toward a harmonic area that is centered on

B $\flat$  and G minor. It should be noted, however, that the music is unable to produce a suitable cadence in either of these keys. In fact, a PAC in G minor that is strongly suggested in m. 18 is quite forcefully rejected in the following measure. This disruptive chord pushes the music down to E $\flat$  major/minor key area in mm. 20-21 (Example 3.8).

Notice that the dominant arrival in m. 20 includes a B $\flat$  dominant seventh chord that is inverted. This weakens the arrival, as the music refuses to accept this key as an acceptable one for its S. The next module (mm. 22-28) is centered on d minor, a key that is at least “on the right track.” This premature arrival in the modally mixed secondary key must be viewed as a sign of TR dysfunction. The obsession with E $\flat$  has not fully abated. It reappears with a vengeance in mm. 29-30, where we can hear a Neapolitan in root position.<sup>115</sup> The music finally achieves a dominant lock in the “right key” of D in mm. 33-37. We will also encounter this kind of modal mixture in the Ballades, most notably in Ballade 3.

#### 3.3.4 Rotational Synthesis TR and Ballades 2 and 3

Next we come across the most idiosyncratic kind of TR to be found in Chopin’s output, the rotational-synthesis TR. In a rotational synthesis TR, two previously stated themes or textures are integrated into a passage of extraordinary energy-gain. This kind of TR tends to occur very late in a given movement, often before the coda. Importantly, these always lead to some sort of apotheosis, or emotional climax, be it negative or positive. We find examples of both in Chopin’s Ballades. A strong example of a rotational-synthesis that leads to a negative apotheosis is the TR near the end of Ballade 2. Conversely, an example of a rotational synthesis that leads to a positive apotheosis occurs in Ballade 3. In Ballade 3, this rotational synthesis is a large sequence, built of a model (presented in 3.9) and two transposed copies. Clearly, this music is analogous to the classical development.

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<sup>115</sup> The obsession with the pitch and harmony E $\flat$  recurs throughout all of the movements of Piano Sonata No. 3. The second movement is set in that key and the finale juxtaposes b minor and E $\flat$  throughout.

MC Effect in E $\flat$

20

Canonic Passage in Premature, Modally Wrong Mediant (d minor) (mm. 22-29)

22

25

27

E $\flat$  Re-Emerges as  $\flat$ II

29

807

Example 3.8: TR<sup>1,2</sup> in the Exposition of Piano Sonata No. 3, first movement (continued on next page)

(Example 3.8 cont'd)

31 *cresc.*

33 *f* *r.h.*

35 *dim.*

37 MC w/fill (mm. 39-40)

D Major: HC

39 \*

D Major S-Theme Prepared by d minor Dominant-Lock (mm. 33-40)

Example 3.8 TR<sup>1,2</sup> in Exposition of Piano Sonata No. 3, first movement (continued)

According to Rosen, “it involves sequential modulation, fragmentation, and recombination of themes, and increase in dramatic tension.”<sup>116</sup> This not only brings the two themes into proximity, but also clarifies their close kinship. As Rosen says, “Chopin wants us to know that B<sup>1</sup> is the inversion of A.”<sup>117</sup> Also notice the intense focus on the pedal point (B, scale degree 5). Such pedal points are a notable aspect of Chopin’s rotational syntheses.

The opening portion of Example 3.9 presents the opening model and transposed copy of this synthetic sequence. We can clearly understand this section of music as bringing together the two disparate theme groups from rotation 1. These model and copy are synthetic: they also are made up of the two main themes. Example 3.9 also shows copies 2, 3, and a dominant-lock passage on E<sub>b</sub> (mm. 205-213) which emphasizes the bass notes D and E<sub>b</sub> respectively. All of this leads to a new, climactic musical state, which is presented in as the last several measures of the example. Surely, this is a positive state of being as the Ballade 3 ends triumphantly in the tonic. The themes have been reconciled and the tonally problematic tonal area of F has been harnessed.

183

MC

E Major (b VI):HC

**Example 3.9: Rotational Synthesis in Ballade 3 (continued on next page)**

<sup>116</sup> Rosen 1998, 317.

<sup>117</sup> *Ibid.*

(Example 3.9 cont'd)

Model Based on A  
and B (mm. 185-193)

185

187

189

192

Copy 1 (mm. 194-201)

194

197

Example 3.9: Rotational Synthesis in Ballade 3 (continued on next page)

(Example 3.9 cont'd)

Copy 2 (201-205) 35

200

203

206

209

212

215

Dominant-Lock (mm. 205-214)

Theme A (Fuller Texture Apotheosis)

88891

Example 3.9: Rotational Synthesis in Ballade 3(continued)



The emotional climax in the Ballade 2 is, unfortunately, much less positive. Example 3.10 reproduces this music. Here the combination of the two themes in the group is more subtle, but nonetheless just as powerful. Notice that the major textural/thematic material from P/S is divided between the hands: the right hand plays material from P while the left hand plays material from S. Here in the Ballade 2 however, the opening theme (theme S) reappears in a minor. Unlike Ballade 3, the rotational synthesis in Ballade 2 leads to a fully-realized RTC (HC:i) that is filled by juggernaut caesura-fill material.

**RT(mm. 156-168)**

Right Hand Plays Material from P

Left Hand Plays Material from S

Juggernaut Fill (mm. 167-168)

The image displays a musical score for the piece 'Juggernaut' from the film 'The Thin Red Line'. The score is written for piano and is divided into four systems, each corresponding to a specific measure range: 156-168, 159, 162, and 165. The notation is in G major (one sharp) and 4/4 time. The right hand (RH) plays a complex, rhythmic melody, while the left hand (LH) provides a steady, pulsing accompaniment. The score includes dynamic markings such as *sempre f* (always forte) and *marcato* (marked). A 'Juggernaut Fill' is indicated for measures 167-168. The score is presented in a clean, professional layout with a white background and black notation.

### Example 3.10: Rotational Synthesis in Ballade 2

I will discuss one final example: the TR from the first movement of the Cello Sonata. This TR space is notable because it exhibits characteristics of more than one TR paradigm. As such, this TR is a hybrid. A hybrid TR is one which is in dialogue with elements of two (or more) TR paradigms. The TR from the exposition of the Cello Sonata is in dialogue with two TR paradigms: the Unyielding-Tonic TR and the Multi-Key-Struggle TR.

Like the typical unyielding tonic TR, this TR features an overwhelming tonic presence. It features multiple cadences in the tonic and even involves a I:HC MC. The tonal struggle in this TR actually involves three keys: the home tonic (g minor), the subdominant (c minor), and the Neapolitan (A $\flat$  major).

Much of the inherent TR drama, including Neapolitan's assertive impulse and the inflection of the subdominant, is actually foreshadowed in the opening theme itself, an expanded parallel period.<sup>118</sup> Notice the inflection of the subdominant in m. 2 (presented in Example 3.11) and the pathos-filled root-position Neapolitan chord in m. 3. This notable chromatic event will have important ramifications for TR in this movement.

It is not until the consequent (mm. 7-21) that these competing tonalities begin to truly challenge the hegemony of the tonic (Example 3.12). This is a theme that struggles to break free of its tonal constraints, cadencing in the subdominant two times!<sup>119</sup> In Example 3.12, I have marked the several tonicizations that occur in the consequent (mm. 7-20) by placing them in boxes. Notice that the first phrase involves both the subdominant and the Neapolitan. The consequent (and the TR that follows) restates and expands upon these key areas.

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<sup>118</sup> Schmalfeldt, whose aim is to show "how the Cello Sonata responds to the German Sonata tradition in a language that was uniquely Chopin's," makes a similar assertion in her poignant analysis of the Cello Sonata's first movement (Schmalfeldt 2011, 216). For her, the opening phrase acts as a *Grundgestalt* (basic shape) and anticipates "the long range tonal path of the 1st movement's exposition, its local progression into the core of the development, the overall i-III-V-I *Bassbrechung* that spans the whole movement, and Chopin's original plan for the tonal course of the four-movement sonata as a whole" (*Ibid.*, 216).

<sup>119</sup> Notice also that the subdominant here is also heavily colored by its Neapolitan, this time the key of D $\flat$ .

1

Violoncello. Allegro moderato.

PIANO. Allegro moderato.

sostenuto

Subdominant

Neapolitan

**Example 3.11 Opening of the Cello Sonata, Op. 65 first movement**

As the Example shows, the passage in mm. 10-13 tonicizes the subdominant and its Neapolitan. The next short passage (mm. 14-16) reverts back to the tonic however. After a failed dominant-lock in mm. 16-17, the music once again moves toward the subdominant and the home Neapolitan. The consequent ends with a i:HC.

As the consequent progresses, there is an increasing difficulty in the achievement of tonic cadences. Notice that in mm. 17-18, V actually leads to a “I7” instead of I. That is it leads to a g minor tonic triad. This is quite significant, for this chord actually resolves deceptively to an A $\flat$  I6 chord, the Neapolitan, and progresses to a i:HC at m. 21. TR (mm. 22-60, Examples 3.12—3.14) exhibits many of the symptoms of TR dysfunction. Probably the most obvious aspect of this TR from its very beginning is its inability to start the energy-gaining process. It takes a little too much time to get underway. In fact, one might say that the TR process begins much like a P module. This is the sort identity crisis that is typical of TR dysfunction.<sup>120</sup> The first sign that there is some underlying TR impulse underneath the music occurs when the music seems to refuse to accept PACs in the tonic key in mm. 32-34.

<sup>120</sup> Again, Schmalfeldt echoes this idea when she claims that this passage—what she calls MT2—“processually” becomes a transition. (Schmalfeldt 2011, 219).

P's Consequent (mm. 7-21)

7

g minor:

14

Back to g minor (i)

19

Tonicize c minor (iv)

Tonicize D $\flat$  Major ( $\flat$ II/iv)

Back to c minor (iv)

V-Lock

i:PAC Averted

Tonicize A $\flat$  ( $\flat$ II/i) and Evade Cadence in That Key

gm: HC i

Example 3.12 Consequent of P in Cello Sonata, Op. 65, first movement

All of this points to the underlying restlessness of this passage and of the entire movement as a whole.

This passage can also be characterized by the subdominant's desire to break free from the constraints of the tonic. Notice the strongly articulated pseudo-arrival of the subdominant in m. 27. Even though the subdominant has not been articulated by a cadential arrival is it nonetheless crucial to the musical discourse.

TR (mm. 27-60)

24

Failed Dominant-Lock in B $\flat$ (III)

g minor:

27

cresc. Red.

V 6/5 of c minor (iv)

32

g minor

G minor

V/iv

Example 3.13 TR Phase One in the Cello Sonata, Op. 65, first movement

In the next passage (mm. 36-52, Example 3.14) the subdominant key area asserts itself in an even more dramatic fashion. By this point, the process of energy-gaining is well underway. Notice the increased texture in the piano in m. 36. For a short time, it will take the lead. This passage starts in the key of c minor, but Chopin assiduously avoids confirming this key with a strong cadence. The evaded cadence in m. 41 has much the same profile as a blocked MC. The chord in m. 42, a V4/2 chord in the key of A $\flat$ , chord leads to a probable dominant in m. 43. What actually happens is a re-interpretation of the previous chromatic pitch, D $\flat$  as a C $\sharp$  makes the chord an augmented 6<sup>th</sup>, in which the bass (E $\flat$ ) resolves down to D. The next short passage (mm. 44-5) suggests a failed dominant lock in the tonic. This failure is at least partially due to a chromatic irritant, the pitch class D $\flat$ . As it was earlier in the TR, a strongly suggested arrival in the Neapolitan, A $\flat$  is unable to stick.

After all of this, the music finally procures a dominant lock in the tonic key (mm. 53-60). Even after all of this struggle, the TR process has proven unable to modulate. This is another example of a de-energizing TR in the music of Chopin. It is especially important to note that the music actually discharges its energy once the home dominant has been secured. This dominant lock passage leads to an MC (a second-level default I:HC) that is articulated quite strongly and obviously.

The next short passage (mm. 44-5) suggests a failed dominant lock in the tonic. This failure is at least partially due to a chromatic irritant, the pitch class D $\flat$ . As it was earlier in the TR, a strongly suggested arrival in the Neapolitan, A $\flat$  is unable to stick. This MC proposed in mm. 59-60 is inadequate, as it is followed not by an acceptable S but by another de-energizing TR (Example 3.15). Note that the second MC is actually a first-level default: it is a III:HC. At least at that moment, something has gone right. Notably, this is surely the most serene de-energizing TR to be found in Chopin's output and the most peaceful moment in the entire movement.

36

c minor:

40

IAC in c minor Evaded!

V of A<sub>b</sub> (bII)?

44

No...Lock on V of g minor?

No...The Key of A<sub>b</sub> and the Pitch D<sub>b</sub> Regained!

48

A<sub>b</sub> as Tonic (mm. 48-50)  
bII<sup>6</sup>

Example 3.14 TR Phase 2 in Cello Sonata, Op. 65, first movement (continued on next page)

(Example 3.14 cont'd)

Back to g minor for Successful Dominant-Lock and First Proposed MC (mm. 52-60)

52

56

60

Failed MC (m. 59)

Real MC (m. 68)

Failed S-Launch (De-Energizing TR) (mm. 61-66)

Gm: HC

B $\flat$ M:HC

Example 3.14 T Phase 2 in Cello Sonata, Op. 65, first movement (continued)



60

69

B $\flat$ : HC

B $\flat$ :

S

**Example 3.15: De-Energizing TR in Cello Sonata, Op. 65, first movement**

### 3.5 TR in the Cello Sonata: Conclusion

The TR in the Cello Sonata is well worth the close look that I have provided. It is important for several reasons. First is its involvement with the unyielding tonic TR paradigm that, as I have shown, is Chopin's most common. This TR paradigm is dealt with in a most sophisticated way here. It is much more fully realized than its counterparts in earlier works such as the Piano Trio. It fulfills nearly all of the generic expectations of an "unyielding tonic" TR, such as the setting up and evasion of several cadences, a reluctance to get underway, and a failure to modulate. It does so in a uniquely fascinating way that is dramatically appropriate to the work as whole.

It dialogues with another TR type as well: the multi-key-struggle type. Clearly, this TR is driven by an impulse to expand its boundaries, to cross the Rubicon, so to speak. Radically, this impulse for expansions involves not two keys, a tonic some other competing key, but a tonic and two other keys. There is no other TR that is comparable in Chopin's output. It is important to note that the TR here

actually fails to expand its key area, it fails to modulate. This is just one of the several processes that are set up to fail in this movement.

It will be useful to understand how the musical narrative that is presented in the TR relates to the overall dramatic trajectory of the movement. This particular movement, like so many others in Chopin's output, centers around the issue of failure and rejection. Nearly all of the expected generic processes in this movement are doomed to fail. The music is unable to overcome the minor mode, is unable to uphold its implied arrivals in newly suggested major keys, and is unable to produce a fully satisfactory MC at any point.

These failures are foreshadowed in the TR process in the exposition. Here we have a TR that is unable to modulate, unable to produce any successful dominant locks on any key, and seems unsure of just what direction is to take. As I have posited, most of Chopin's failed TRs harbor some kind of snare or glitch that virtually guarantees failure. Also, in Chopin's practice the de-energizing TR is a negative thing, a less than ideal event, where a strongly articulated caesura in the second key area is a more acceptable structural goal. The non-modulatory TR in the exposition of the Cello Sonata is no exception to this rule. I view this uncertainty of tonal orientation to be the musical snare that assures the failure in the TR process and the movement as a whole.

## CHAPTER 4: BALLADES 1, 2, AND 4: TELLING THE SAME STORY IN THREE DIFFERENT WAYS

Chapters 1—3 have probed the analytical literature on Chopin's Ballades and have considered his practice of writing sonatas. I will now show that Ballades 1, 2, and 4 can be explicated via a multivalent hermeneutic that invokes Sonata Theory, TR (transition) dysfunction, and embodiment.<sup>121</sup>

### **4.1 Hearing the Musical Narrative in Chopin's Four Ballades: The Three-Phase Narrative Trajectory, Rotational Configuration, and Sonata Rhetoric**

#### 4.1.1 Chopin's Ballades and the Pseudo-Transcendence Meta-Narrative

Much has been written about the narrative impulse in the Ballades.<sup>122</sup> These works do, in fact, unfold narratives that need not invoke a correspondence to actual written tales but can best be understood in relation to their dialogue with the 18<sup>th</sup>-century sonata, the issue of TR dysfunction, and Brower's schemas for musical plot. In this chapter, I will discuss the three minor-key Ballades, since they unfold similar musical stories. Their narrative trajectories, even though they are played out in different ways, are guided by a single meta-narrative or overarching plot paradigm: the establishment of a negative state of being, its pseudo-transcendence, and tragic return to the original state (Example 4.1). Example 4.1 requires some explanation. Notice that I have parsed the overall action content of the work into three distinct phases, each marked by a different kind of action. By using the term "action," I am referring to the specific, goal-directed musical activity inherent in each phase. In phase one, the main action is the establishment of a flawed musical state. This can be portrayed in various ways, but it generally appears in a very specific guise in Chopin's Ballades. Most often, an imperfect musical state is presented as the overdetermined tonic-minor.<sup>123</sup> Usually, in phase one of the narrative, the music attempts to overcome

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<sup>121</sup> I shall treat Ballades 1 and 4 together because they are the most outwardly similar of the four works. I will examine Ballade 2 by itself as it involves an exceptional formal process: rotational synthesis. I shall consider Ballade 3, the most problematic piece in the group, in Chapter 5

<sup>122</sup> See my discussion of Klein 2004 and 2009 and Berger 1996 in Chapter 1.

<sup>123</sup> I interpret the minor mode as a troubled condition, as does Sonata Theory. I also see the impulse to overcome this condition as a central force in the formal structure of these works. Not only do I consider the tonic minor a

this condition by attaining some major key. It will do so, but only provisionally. In phase two, the action involves the struggle to uphold this new key. Usually, this prompts a false transcendence in which the new major key is upheld only momentarily. In phase three it is revealed that the earlier transcendence was indeed only fleeting. Both of these works feature cataclysmic codas in which the tonic minor re-emerges as the true tonal destiny.<sup>124</sup>

Phase	1	2	3
Action	Establishment of Imperfect Musical State	The Struggle and Pseudo - Transcendence	The Cataclysm

#### Example 4.1: The Three-Phase Narrative in Ballades 1 and 4

The problematic condition might not always be present at the onset of the work, nor may it just be related to issues of mode. In the case of Ballade 2, the negative state is emergent: the troubled submediant usurps the more idealized opening tonic state. Additionally, certain musical topics, such as the “Storm and Stress” topic in Ballade 2 can be strongly implicative of some sort of negative state.<sup>125</sup>

#### 4.1.2 Ballades 1 and 4: Hearing the Connection

Ballades 1 and 4 are clearly the most similar of the four works, as they share many of the same qualities. As I will show, these resonances are more subtle and more profound than has previously been understood. The next section will explore the close relationship between Ballades 1 and 4.<sup>126</sup> Chapter four will begin with a brief overview of each work’s form and will proceed by considering two additional issues: the dysfunctional TR in each and their implications for embodied plot.

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troubled condition, but I hear a strong urge to avoid half-cadences (or other arrivals) in the tonic minor. Interpreted this way, strong arrivals in the dominant can be seen as kinds of tragic things in themselves.

<sup>124</sup> At this point, it will be helpful to reiterate Hepokoski/Darcy’s claim that in the sonata tradition, the minor is “generally interpretable as a sign of a troubled condition seeking emancipation” (Hepokoski/Darcy 2006, 306). I consider this to be true for Chopin’s Ballades and other large works as well. As for my assertion that these works are tragic, I am in no way making the claim that all pieces set in the minor mode are necessarily tragic. Indeed Hepokoski/Darcy warn against such oversimplification (see Hepokoski/Darcy 2006, 307). I do, however, insist on keeping with their view that choices of mode are not hermeneutically neutral. What is essentially tragic about Ballades 1, 2, and 4 is their overall dramatic trajectory which involves the triumph of the minor mode. It is in this sense that we might consider the eventual return to the tonic minor as being inherently tragic.

<sup>125</sup> Conversely, certain topics can be interpreted as signifiers for idealized states. Such topics include the *Barcarolle* (Ballades 3 and 4), *Siciliano* (Ballade 2), and the *Berceuse* (Ballade 1).

<sup>126</sup> There have been several extended studies of these two works. The most significant of those that deal with Ballade 1 are Berger 1994 and 1996. The most significant studies of Ballade 4 are Klein 2004 and Suurpää 2000.

#### 4.1.3 Musical Stories: Ballades 1 and 4 and the Three-Phase Narrative Model

These two works realize the three-phase meta-narrative in much the same way.<sup>127</sup> Phase 1 (in both cases rotation 1) involves the establishment of the tonic minor. Even within the P-themes is there an impulse to unshackle the burden of minor mode.<sup>128</sup> Here, we encounter long, laborious modules that take great pains not to modulate. After this, we encounter TR material of some variety: either the independent or dissolving kind. These TRs are successful in leading to medial caesuras which are (at least partially) successful in opening up space for S. The secondary key is either submediant-or subdominant-related to the tonic. These keys are affirmed by ERC (PAC in the secondary key). In Ballades 1 and 4, the re-emergence of the TR impulse and a drive toward another key overturns ERC. Importantly, in both cases this happens between the rotational boundaries: in a passage of RT. This leads to rotation 2 (phase two). In Ballades 1 and 4, rotation 2 is a second, deformed sonata exposition. This time the obligation is to uphold the new key (or any key other than the tonic major). This brings along with it a kind of illusory transcendence, in which the tonic minor is momentarily overcome. Usually in this phase, the new key is achieved and is momentarily upheld, only to be overturned once again. Next comes phase 3, in which it becomes agonizingly clear that the hold of the tonic minor is just too strong to be overcome. This part of the story involves a cataclysmic coda that may exhibit material that is related to previous music, but is mostly new. The codas emphasize the tonic minor by repeating many PACs in the tonic. In both works, the effort to overcome the original musical state proves to be unsuccessful.

#### 4.1.4 The Three-Phase Process in Ballade 1

In Ballade 1 (Example 4.2), we can neatly map the phases of the narrative onto the three rotations. I will discuss these rotations as they relate to the unfolding of the three-phase process.<sup>129</sup>

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<sup>127</sup> I define the term meta-narrative as an over-arching paradigmatic plot that can be adapted to multiple musical situations.

<sup>128</sup> There is a similar impulse in many minor-key sonata movements.

<sup>129</sup> In accordance with Hepokoski/Darcy, introductory modules are labeled as P<sup>0</sup>.

Section	P <sup>0</sup> (mm. 1-8)	Rotation 1 (9-94) Phase 1	Rotation 2 (95-194) Phase 2	Rotation 3 (195-263) Phase 3
Formal Type		Sonata Exposition (Two-Part Exposition)	Sonata Exposition(Tri-Modular Block) <sup>130</sup>	Divided Structure

**Example 4.2 The Rotational/Narrative Process in Ballade 1<sup>131</sup>**

Phase 1 transpires in rotation 1 (mm. 8-94, Example 4.2) which has the narrative function of establishing a problematic state, the tonic minor and procuring the secondary key. Rotation 1 is a deformed sonata exposition. It features a P-theme, that while rhetorically neutral, harbors a strong impulse to modulate to the mediant. This desire (and its failure) to leave the tonic minor is most acutely manifested in multiple undercut arrivals in B $\flat$  (see mm. 33-35). Stubbornly, the music refuses to relinquish its quest toward the mediant. This key is also prepared by a multi-modular transition (mm. 36-67), but never actually materializes. The MC is followed by material in another key, the submediant, which is affirmed by a transient, quickly-overtuned ERC (m. 82).<sup>132</sup> In phase 2 (mm. 95-187), the major goal is to uphold the newly-achieved (and newly-overtuned) key of E $\flat$ . Certainly, this happens as E $\flat$  is the key of no fewer than two theme groups. In phase 3 (mm. 195-263), rotation 3, we encounter the cataclysm in which it is revealed that all of the attempts to overcome the tonic minor have been in vain. This happens in a coda which obstinately reiterates the tonic minor multiple times.

#### 4.1.5 Rotational Configuration in Ballade 1

In rotation 1 of Ballade 1 (Example 4.3), we see one of the most normative rotations in Chopin's mature output. P, TR, S, and C are clearly differentiated and an ERC is secured in the secondary key

<sup>130</sup> Hepokoski/Darcy discuss the Tri-Modular Block or TMB: "...it is not uncommon to encounter the setup and execution of a second, additional medial caesura before the EEC. This can occur in a variety of contexts, but the invariable impression is that of apparent double medial caesuras, and, concomitantly, the effect of two separate launches of new themes (pre-EEC themes) following those MCs. Depending on the circumstances at hand, the second new theme can seem to be something of a second S. The first new theme, following the first MC, will prove "unable" to move to the EEC and will instead be converted into the preparation for a new MC, possibly including the establishment of a dominant-lock and other features of MC-preparation" (Hepokoski/Darcy 2006, 170-1).

<sup>131</sup> Notice the inter-rotational material (RT) in mm. 91-93 and in mm. 190-193.

<sup>132</sup> Since not all of the rotations in Chopin's Ballades can be considered expository, I prefer the term "Essential Rotational Closure (ERC)" instead of "Essential Expository Closure (EEC)."

area.<sup>133</sup> Two aspects of this rotation, however, may be viewed as deformational in regards to the Hepokoski/Darcy model. The first is its non-propulsive P-theme which is longer, more lyrical, and less restless than may be found in a generically typical sonata exposition. We shall see that long, troubled P-themes are indeed a hallmark in Chopin's Ballades, but not his sonatas.<sup>134</sup> The second deformational aspect of rotation 1 is its MC, which I will discuss later.<sup>135</sup>

Local Section	P <sup>I</sup> (mm. 8-36)		TR <sup>I</sup> (mm. 36-67)				
Sub-Section	P <sup>I.1</sup>	P <sup>I.2</sup>	TR <sup>I.1</sup>	TR <sup>I.2</sup>	TR <sup>I.3</sup>	TR <sup>I.4</sup>	‘
	Ant.	Expanded Cons.					
M. Nos.	9-16	17-36	36-40	40-44	44-67	56-67	66-67
Cadences	Gm:PAC		i!		III:HC Declined!		
Keys	g		g-----→B <sub>b</sub>				

Local Section	<b>S<sup>I</sup> (mm. 68-82)</b>			<b>C (mm. 82-90)</b>	<b>rt (mm. 91-94)<sup>136</sup></b>
Sub-Section	S <sup>I.1</sup> Ant.	S <sup>I.2</sup> Cons.	ERC	C	
M. Nos.	68-75	76-82	82	83-90	
Keys/Cadences	VI (!)		VI:PAC	ERC (VI: IAC)	i-III -v <sup>137</sup>
Keys	E <sub>b</sub>			E <sub>b</sub>	Gm-----→Am

#### Example 4.3: Rotation 1, Ballade 1

The Sonata Theory model enables us to understand the rotational narrative in purely musical terms. Foremost, the narrative in Ballade 1 (as well as Ballades 2 and 4) is explicitly about failure. There are two major structural processes which fail in rotation 1. These include P's striving to leave the minor tonic, a state understood as undesirable, and the impulse to achieve closure (that is, a PAC) in the mediant or relative major. The overwhelming strength of the tonic minor and the strong impulse to leave that tonic is built into the P itself (Example 4.4). Notice that in this excerpt from the expanded consequent, that the

<sup>133</sup> For the sake of clarity, I retain the Hepokoski/Darcy nomenclature for themes in this chapter. It should still be noted that the themes in these two works are somewhat non-normative according to sonata theory. Generally, the P-themes in the Ballades tend to be longer and more lyrical than one would expect.

<sup>134</sup> Indeed, in the piano sonatas we tend to encounter P-themes that are tonally under-determined.

<sup>135</sup> This MC declension shall be treated more extensively later on in this chapter. For now, it shall suffice to say that even though the MC is declined it is done in a way that is consistent with 18<sup>th</sup>-century sonata practice.

<sup>136</sup> rt= inter-rotational material.

<sup>137</sup> I have already discussed this rt passage in chapter 2. For now, however, it will be useful to reiterate that in these measures we find a slippery, non-arduous shift between three harmonies: I (g minor), III (B<sub>b</sub>), and v (d minor).

music undercuts an arrival in the mediant, B $\flat$ . There is a strong emphasis on the dominant of B $\flat$  (V/III) in m. 33. The C# in m. 34 is somewhat bittersweet, but it is only in m. 35, when E $\flat$  slides down to D $\sharp$  do we realize that something is askew, that there will be no modulation after all. In m. 36, we arrive at a TR module (TR<sup>1</sup>). It further emphasizes the omnipresence of G minor as a key center.

I have already alluded to the second generic process: the impulse to affirm the mediant. There is at least one other important moment in the work which prepares the mediant and that is the proposed MC in rotation 1 (mm. 63-67).<sup>138</sup> In other places, B $\flat$  is emphasized as a dominant-function chord. These are great ironic moments in the work.

The next module (mm. 69-94) unfolds as a generically-normative C-theme, but there is much of interest in the following section. Phase 2, the struggle and pseudo-transcendence, occurs in rotation 2 (Example 4.5). Here, the central struggle is the quest to uphold the new key at any cost. E $\flat$ 's priority is indeed strong as the key is successfully prepared by caesura rhetoric on two separate occasions. Finally, an apparent ERC is achieved in the key of E $\flat$  (m. 180). This transient (and eventually overthrown) ERC is what I call a pseudo-transcendence because it is not the win-win (the overcoming of the minor mode and the reaching of the mediant) situation we have come to expect due to the work's generic obligations. Locally, it does in fact affirm a key (a major key!) other than the tonic minor.

Let us consider the thematic configuration of rotation 2 (see Example 4.5). It is marked by the appearance of what I have called P<sup>2</sup> (the P<sup>1</sup>/S<sup>1</sup> complex), so named because it is a newly configured thematic complex comprised of P<sup>1</sup> and S<sup>1</sup>. Now, these two themes have been stripped of their previous rhetorical and tonal attributes. Indeed, they truly appear in new guises in rotation 2. We see that these two modules come into closer contact.

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<sup>138</sup> One way to hear the F harmony in mm. 63-67 is as a traditional dominant (V/III). Ironically, Chopin employs it as V/V in E $\flat$ .



Conclusion of Expanded Consequent (mm. 24-36)

24

g minor:

28

32

TR

B $\flat$ : V4/3

34

B $\flat$ M Arrival Undermined

Gm:PAC  
Elided

*aritato*

Example 4.4 P's Expanded Consequent in Rotation 1, Ballade 1

Local Section	<b>P<sup>2</sup>(P<sup>1</sup>/S<sup>1</sup> Complex) (mm. 95-137)</b>				
Sub-Section	P <sup>2.1</sup> Ant.	P <sup>2.2</sup> Cons.	S <sup>2.1</sup> Ant.	S <sup>2.2</sup> (TR <sup>2</sup> ) <sup>139</sup> Cons.	rt ,
M. Nos.	95-98	99-106	106-113	114-126	126-137
Cadences					V <sup>7</sup> /E <sub>b</sub> HC:VI
Keys	Am	A <sup>140</sup>			E <sub>b</sub>

Local Section	<b>TMB (mm. 138-188)</b>				<b>rt (mm. 190-194)</b>
Sub-Section	TMB1 TMB <sup>1.1</sup> TMB <sup>1.2</sup>	TMB <sup>2</sup> (TR <sup>3</sup> ) MC2	TMB <sup>3</sup> [S <sup>2</sup> ] TMB <sup>3.1</sup> TMB <sup>3.2</sup> ERC	C	
M.s Nos.	138-141 142-148	149-166	166-173 174-180	181-189	
Cadences					(VI:PAC)
Keys	E <sub>b</sub>				E <sub>b</sub> --Gm (!)

#### **Example 4.5 Rotation 2, Ballade 1 (Foreground Chart)<sup>141</sup>**

They are no longer separated by TR process and a MC.<sup>142</sup> We might also say that the P and S themes have undergone a rhetorical transformation: their textures have been thickened and the once-lyrical S is now *forte*. Notice that P has shed much of its lyrical qualities and now takes on more of a transitional, energy-gaining role (Example 4.6).

Even though P preserves the same tempo as its first appearance, it now has a new, restless, striving quality. This is due in part to the new dominant pedal in the bass and a change in articulation (note that the slurs are now gone). Clearly, this theme now has the job of standing on the dominant, of leading toward the arrival of S in A major in m. 106-7.<sup>143</sup>

The thematic recycling in rotation 2 involves a procedure that I have termed “rhetorical transformation.” This is a compositional strategy, prevalent in Chopin’s large works, through which

<sup>139</sup> Module (TR) =Module dissolves into TR.

<sup>140</sup> The tritone relationship between the two keys in P<sup>2</sup> signifies a great tonal distance between the modules.

<sup>141</sup> rt= Re-transition or inter-rotational material.

<sup>142</sup> We shall encounter this practice of bringing themes into closer and closer contact in some of Chopin’s larger pieces as well, particularly the *Tarantella* and the *Barcarolle*.

<sup>143</sup> The tonicization of A in rotation 2 is special because it is a tritone from the goal of rotation 1, which is E<sub>b</sub>. This indicates that a great tonal distance has been traversed in that portion of the music.

thematic modules' rhetorical/affective characteristics undergo a profound change during the rotational process. In this case, both themes (P and S) are rhetorically transformed.

92

95

98

$P^{2.1}$ (mm. 95-98)

$P^{2.2}$ (mm. 99-106)

Dominant-Lock  
V/a) (mm. 94-107)

**Example 4.6: P's Transformation (Phase 1) in Rotation 2 of Ballade 1 (continued on next page)**

P appears in a de-lyricized, tension-generating form (see Example 4.6) and S (see Example 4.7) is presented in its fully-realized, apotheosized form. The S theme achieves textural bliss, but not the P theme. It, on the other hand, undergoes a process of intensification and de-lyricization. Even so, it retains something of its original rhetorical function in each case: it always serves as the rotational initiator.

(Example 4.6 cont'd)

101

105

$S^{2.1}$  (mm. 106-113)

AM: Off-Tonic Beginning

**Example 4.6: P's Transformation (Phase 1) in Rotation 2 of Ballade 1(continued)**

The S-theme has also undergone a rhetorical transformation (Example 4.7). Now this theme re-emerges with a fuller texture and is consistent with what Edward T. Cone calls “apotheosis.”<sup>144</sup> This related musical state is short lived, however, as the music dissolves into rt material (leading to MC in mm. 126-137). Notice that even through of all these rhetorical transformations and thematic reconfigurations, however, that the ordering of the themes has been preserved. This is an important aspect of Chopin’s rotational practice. The second part of rotation 2 is set as a Tri-Modular Block (TMB, a structure with two apparent caesuras). Here, we encounter two MCs, both of which are of the low-level default VI:HC variety. Even though these two caesuras appear in the same rotation and involve the same harmonic arrivals (a HC in VI) they are strikingly different.

<sup>144</sup> See Cone 1968, 84.

S Apotheosis in A Major (mm. 106-113)

The image displays a musical score for a piano piece, specifically measures 105 through 113. The score is written for two staves, treble and bass clef. The key signature is A major (three sharps: F#, C#, G#). The time signature is 4/4. The music is characterized by dense, complex chordal textures and rapid sixteenth-note passages. Measure 105 begins with a treble staff entry, followed by a bass staff entry. The music continues with intricate harmonic structures and melodic lines. Measures 108 and 109 show particularly dense chordal clusters. The score concludes with a final measure (113) featuring a sustained chord. The notation includes various musical symbols such as accidentals, slurs, and dynamic markings.

**Example 4.7: S-Apotheosis in Rotation 2, Ballade 1**

Notice that rotation 2's first MC (Example 4.8 A) is very strongly articulated. It unfolds over several measures and clearly opens up the space for the following material. MC2, however (Example 4.8B), is quite the opposite. It is undermined and deformed in a very profound way. The attenuation of MC2 in rotation 2 has definite implications for the musical drama. It shows that throughout the course of the piece, the TR process becomes less and less able to produce satisfactory results. Rotation 2 still strives for and reaches ERC in m. 179. This event provides a sense of local closure, but in terms of the larger structure, it proves to be merely illusory.

A.

Dominant-Lock (V/E<sub>b</sub>) (mm. 126-129)

126 *più animato.*

VI:HC

Dominant-Lock (mm. 130-137)

129

132

135

C-fill (m. 137)

Example 4.8(A) Excerpt of TR<sup>2</sup> and TR<sup>3</sup> and Onset of TMB<sup>1</sup> in Ballade 1, Rotation 3:  
Excerpt of TR<sup>2</sup> And Onset Of TMB<sup>1</sup> in Ballade 1

B.

TMB<sup>1</sup>

138

(B): Excerpt of TR<sup>2</sup> and Onset Of TMB<sup>1</sup> in Ballade 1 (continued on next page)

C. (Example 4.8 cont'd)

Dominant-Lock (V/E<sub>b</sub>) (mm. 158-166)

157

160

164

167

*leggiero*

*fz p*

*ff*

TMB<sup>3</sup>

E<sub>b</sub>M: Off-Tonic Beginning

(C): Excerpt of TR<sup>3</sup> and Onset of TMB<sup>3</sup> in Ballade 1

That is, it now functions as an RT and prepares for the arrival of the tonic and actually gains energy. The true tragedy, the true turning of the knife occurs when we realize that the struggle has failed, that the earlier transcendence was indeed only momentary.

Local Section	Rotation 3 (mm. 195-264)	
Sub-Section	P <sup>3</sup> (RT)	Cataclysm (“Coda”)
M. Nos.	195-208	208-264
Cadences	ERC (i:IAC in m. 208) <sup>145</sup>	
Keys	V/Gm	Gm

**Example 4.9: Rotation 3 in Ballade 1**

2.1.6 Form in Ballade 4: Retelling A Different Tale

Ballade 4 plays out a strikingly similar narrative, however the three phases cannot so be neatly mapped out on the rotations (see Example 4.10). Rather, in this work, each rotation plays out its own mini-drama. Each establishes some non-ideal state, the tonic minor, and momentarily overcomes this situation. Only in the coda does the nature of the tragedy become clear.

Section	Rotation 1 (includes P <sup>0</sup> ) (mm. 1-128) <b>Establishment/ Pseudo-Transcendence</b>	Rotation 2 (includes P <sup>0.1</sup> ) (129-210) <b>Establishment/ Pseudo-Transcendence</b>	Coda (211-239) <b>Cataclysm</b>
Formal Type	P <sup>0</sup> + Sonata Exposition	P <sup>0.1</sup> + Sonata Exposition	Coda

**Example 4.10 Rotational Scheme in Ballade 4 (Background)**

Like Ballade 2, Ballade 4 begins *in medias res* (see Example 4.11). The first hint of the tragedy to come appears in m. 8 when C major is revealed to be merely the dominant. What follows in rotation 1 is another, even more prolonged P-theme that strives to reach another closely related major key. This P-theme, unlike the one from Ballade 1, actually flirts with two non-tonic keys: the mediant (A<sub>b</sub>) and subdominant (B<sub>b</sub>). It should be known that Ballades 2 and 4 start similarly: they both start as if they are already in the middle or some kind of musical activity that we as listeners have not been invited to hear. It is a magical way to begin a piece and we can find multiple examples of such a thing in the works of several of Chopin’s contemporaries such as Robert Schuman, who used this technique extensively.

<sup>145</sup> The substitution of an IAC for an ESC is worth some mention. Hepokoski/Darcy discuss the issue of an IAC EEC as a rarity (Hepokoski/Darcy 2006, 167-169). They do not actually discuss any cases of an IAC for an ESC, however. I do not interpret this as an attenuation of IAC. Due to its rhetorical vigor, I interpret this as a very strong achievement of this particular structural goal.



P<sup>0</sup> (mm. 1-7)

Tonally Ambiguous:

3

6

P<sup>1</sup>(mm. 8-37)

Fm:HC

#### Example 4.11: Intro to Ballade 4

The subdominant is prepared and affirmed first: a dissolving transition prepares the key of B $\flat$ . It is confirmed by a PAC in m. 99. This arrival is overturned by more TR that leads to a second ERC in m. 121. This ERC confirms the key of A $\flat$ . This key is undermined by common-tone modulation in m. 128 where A $\flat$  is reinterpreted as G $\sharp$ . At this point rotation 2 has arrived. This is the beginning of the second mini-narrative (see Example 4.13). Up to this point, the tonic minor has been established as tragic place and there has been a sure attempt to overcome this condition. Rotation 2 starts as a re-composition of the

opening few measures, P<sup>01</sup>. This time, however, it is set in a different key, A major.<sup>146</sup> It serves an analogous function to P<sup>0</sup>: it serves to prepare the way for the onset of P<sup>2.1</sup>.

Global Section	Rotation 1 (mm. 1-128)						
Theme	P <sup>0</sup>	P <sup>1.1</sup>	[digression]	P <sup>1.2</sup> → TR <sub>1</sub>	S1 <sup>1</sup>	TR <sub>2</sub> (ERC)	C <sup>147</sup>
M. Nos.	1-7	8-36.2	38-57	58-76 76-80	80-99	100-121	121-128
Cadences	I:HC	i-iv	[ <sub>b</sub> II]	i IV:HC	IV:PAC	III:PAC	III
Keys	C	f	G <sub>b</sub>	f V/B <sub>b</sub>	B <sub>b</sub>	B <sub>b</sub>	A <sub>b</sub>

**Example 4.12: Ballade 4: Rotation 1 (Middleground)**

Global Section	Rotation 2 (mm. 129-239)				
Theme	P <sup>01</sup> RTC	P <sup>2.1</sup> (TR <sub>3</sub> )	S1 <sup>2</sup> (ESC)	RT post-ESC	Coda
M. Nos.	129-134	135-168	169-194	195-202 203-- 210	211-239
Cadences	D:HC	i IV:HC	VI (!) IAC:VI	i:HC	i
Keys	A <sub>z</sub>	f	D <sub>b</sub>	D <sub>b</sub>	f

#### 4.13 Ballade 4: Rotation 2

This time the opening module leads to a fully-articulated RTC. The RTC serves to separate the P<sup>2.1</sup>-material from the P<sup>01</sup>-material. For this reason, we might still consider this material as having a preparatory function.

The following passage (mm. 129-134) affirms A major with three arrivals in that key. This passage leads to a new caesura in m. 134, with an expanded caesura-fill effect. This caesura is a HC-effect (see Example 4.14). In the measures that follow, an amazing thing happens: the P-theme begins to re-assemble itself (Example 4.15). Even in its re-assembled version, it still harbors the impulse to affirm some key other than the tonic minor. It makes three separate attempts to do so: in the tonic key of f minor, in the mediant key of A<sub>b</sub>, and in the subdominant key of B<sub>b</sub> minor.

<sup>146</sup> Suurpää's chart of the structure of Ballade 4 is shown on page 31 of this dissertation. It neatly shows how these local keys serve the purpose of completing a bassline arpeggiation in the key of F minor.

<sup>147</sup> This material is consistent with the characteristics of "C-material": it is unlike S and conformational of the final key of the rotation.

134

Expanded Caesura-fill

45

HC

#### Example 4.14: MC effect, Rotation 2, Ballade 4

These are all the keys that were suggested by the P- theme in rotation 1. Because each of these first two cadences is followed by more highly chromatic, unstable material we must understand them as being extremely ambiguous and unstable.

F Major

A♭ Major

B♭ minor:  
PAC  
(m. 145)

#### Example 4.15: The Re-Assemblage of the P-theme

Rotation 2 (mm. 129-239) attempts to recycle through the same material and this time, it hopes to secure an ERC in either the mediant or subdominant. It does neither. The MC in this rotation actually prepares the subdominant (see mm. 166-168), a key that fails to materialize. The key that actually does appear is D $\flat$  major, one that has not been prepared or suggested at all up to this point. The second statement of S (mm. 169-191) now appears with a new technical and ornamental brilliance. In rotation 2, both themes (that is P and S) appear in apotheosized states. Here (and in Ballade 1) the emotional climax occurs too soon. This music culminates with an apparent ERC in m. 191 (VI: IAC). Of course, this is unacceptable because the tonal and rhetorical processes have failed: neither of the proposed keys (either the subdominant or the mediant) has been attained.

Even this IAC turns out to be fleeting as it is overturned dramatically in m. 195, where D $\flat$  slips down to C, resolving an Aug. 6<sup>th</sup> chord. All of this leads to an RTC (i:HC) in m. 211. What follows here is another cataclysmic coda that is mostly based on new material.

#### **4.2. TR Dysfunction in Ballades 1 and 4**

The TRs in Chopin's Ballades, as in his sonatas, are consistently marked by various symptoms of dysfunction such as the presence of chromatic irritants, dominant-lock issues, questions of modal identity, the presence of interruptive modules, energy diffusions, and MC difficulties. Such is certainly the case in Ballades 1 and 4. In each case, these dysfunctional TRs have significant hermeneutic implications. Most often, these have consequences for each work's S-themes and for the achievement of ERC and ESC. In my treatment of the dysfunctional TRs in Ballades 1 and 4, I will consider each TR in turn and comment about each one's consequences for the dramatic trajectory. It shall be useful to study each of these works in turn. This will make it easier to compare and contrast the ways in which the TR process struggles or fails in each case. Interestingly, the TR process takes a different trajectory in each case, as I shall point out in this study. In Ballade 1, the Tr process starts out relatively well and goes off the rails later on. In Ballade 4, the TR process begins with a problem, but grows stronger.

#### 4.2.1 TR Dysfunction in Ballade 1

Ballade 1 features three TR modules (TR<sup>1</sup>, TR<sup>2</sup>, and TR<sup>3</sup>). TR<sub>1</sub> (mm. 36-67, excerpted in Example 4.16) is involved with a common TR paradigm: the Unyielding Tonic TR.<sup>148</sup> Unyielding Tonic TRs are characterized by overwhelming tonic force fields and preclude a massive struggle (and very often, a failure) to modulate. TR<sup>1</sup> differs from the other TRs in Ballade 1 in significant ways.<sup>149</sup> First, and most importantly, this is the longest, most belabored TR in the work. This is due the strength of the tonic and a tragic inability to overcome this negative state. As Example 4.16 shows, this module features numerous arrivals in the tonic. Furthermore, it diffuses its energy too early, as it does so before the process achieves a successful dominant lock (notice the decline in energy as marked by the *calando* beginning in m. 63). Finally, it involves a declined MC, after which S emerges in a non-prepared key, E<sub>b</sub>. In this case, the key is a fifth lower than the key that has been prepared. We shall see that this particular type of MC declination, where S occurs in a non-prepared or non-dominant or mediant key, occurs in the other Ballades as well.

Even though this TR is characterized by various symptoms of dysfunction, rotation 1 succeeds in securing ERC in E<sub>b</sub>. ERC occurs in m. 82 (a PAC in E<sub>b</sub>). This arrival is confirmed in the next several measures by the consistent standing on E<sub>b</sub> gesture, one that involves modally mixed plagal activity. An rt passage in mm. 90-93 negates the ERC and steers the music in a different direction: toward a minor. This initiates the impulse that fuels rotation 2: the desire to return to and uphold the key of E<sub>b</sub>. This struggle to re-confirm E<sub>b</sub> is manifested in various ways in rotation 2 (mm. 94-189).

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<sup>148</sup> I have already discussed this particular TR module in chapter 3, but it will be worthwhile to revisit some of the more salient points, particularly as they relate to the narrative course of the entire work.

<sup>149</sup> Although I have labeled TR<sup>1</sup> as happening in mm. 36-67, another valid view might have the actual process of moving away from the tonic as beginning much later. In that case, TR itself would begin in m. 56. Such an alternate view is intriguing because it highlights the existence of a TR motive, the horn fifths which happen in mm. 56-7 and in mm. 67-68. Since this motive occurs only at this point in the passage, and nowhere else in the Ballade, we might consider it as a signifier for TR.

TR<sup>1.3</sup> (mm. 44-68)

44

*sempre più mosso*

5

g minor:

47

*f*

50

53

TR<sup>1.4</sup> (mm. 56-67)

Energy Diffusion! (mm .58-68)

56

59

Figure 4.16 TR<sup>1.2</sup> in Ballade 1 (continued on next page)

(Example 4.16 cont'd)

**Example 4.16: TR<sup>1,2</sup> in Ballade 1 (continued)**

First, it involves the rejection of a minor as a stable tonic and a move toward the favored key of E $\flat$ . Rotation 2 begins with a restatement of P that emphasizes a dominant lock in the key of A minor (mm. 94-107). This first lock is successful as the music launches into a restatement of S in m. 106 in A major.<sup>150</sup> Unlike it did in rotation 1, S is not to achieve tonal closure as it quickly dissolves into TR (beginning in mm. 114, Example 4.17). This TR (mm. 114-133) first proposes another lock on the dominant of A minor. This time, however, the dominant lock is unable to stick as the music is influenced by a notable chromatic irritant in m. 124. As a result, the music locks onto the dominant of E $\flat$  and remains there for several measures (mm. 126-137) until an answered MC (a VI: HC) materializes in m. 137. The outcome of the piece, however, is to be a tragic one. Here is where phase 3 of the narrative is played out. Rotation 3 (Example 4.9) begins similarly to rotation 2.<sup>151</sup> Here, we again encounter the P-theme stripped of its lyrical qualities. There is one central difference between the passages, however. Now, we find that the theme prepares for an arrival in the key of the tonic, and not some other key.

<sup>150</sup> Since the dominant lock in this passage actually prepares the minor version of A, we might view it too as being marked by dysfunction.

<sup>151</sup> We can consider rotation 3 a divided structure in the sense that it is bifurcated by the rhetorically salient i:IAC that occurs in m. 208.

114

117

120

Dominant-Lock in A (V/A) (mm. 117-122)

**Example 4.17: Theme S<sup>2</sup>'s dissolution into TR2 (Rotation 2) Ballade 1 (continued on next page)**

S does not achieve ERC as it also dissolves into TR in m. 150 (Example 4.18). In fact, we might say that this waltz-theme is doomed to failure: it is infused with an energy-gaining impulse that the music is unable to repress. Despite an unprecedented motion toward F# minor in m. 154, this TR module is functional: it culminates with a lock on the dominant of E<sub>b</sub> and a highly-deformed MC2 in m. 166. After this, theme C emerges in a new sweeping guise in the appropriate key. It does attain ERC in m. 180 (VI: PAC). The issue of TR dysfunction is a relevant one in Ballade 1. The inherent dysfunction in TR<sup>1</sup> both responds to a condition that is present in the P- theme and presupposes a new problem for rotation 2. TR dysfunction assures that Ballade 1 does not achieve its obligations, either generic or piece-specific.



(Example 4.17 cont'd)

9

122

Chromatic Irritant= Pivot = F, A $\flat$ , C $\flat$ , E $\flat$  = ii half dim. 7

124

*d'ia,*

Dominant-Lock in E $\flat$  (V/E $\flat$ )(mm. 126-137)

126

*più animato,*

129

132

135

MC w/fill (mm. 136-137)

E $\flat$ M:HC

Example 4.17: Theme S<sup>2</sup>'s dissolution into TR2 (Rotation 2) Ballade 1 (continued)

TR<sup>3</sup> (mm. 150-166)

Chromatic Irritant (mm. 154)

#### 4.18: TR<sup>3</sup> in Ballade 1 (continued on next page)

Ballade 4 presents a very similar case in which a dysfunctional TR responds to a condition established in P- space. The TR module in rotation 1 (mm. 58-80) exhibits several symptoms of dysfunction, including modal issues, a movement toward the wrong key, and the presence of a chromatic irritant. As such, it is involved with the TR paradigm that I have termed the Defective TR.

Example 4.19 presents TR<sup>1</sup> (mm. 58-80) in Ballade 4. This TR, like the ones from rotation 2 in Ballade 1, is set as a dissolving consequent.<sup>152</sup> As is common, this one involves a restated theme that has been imparted with new, energy-gaining characteristics.

#### 4.2.2 TR Dysfunction in Ballade 4

Unlike the dissolving consequent TR that appears in the first movement of Piano Sonata No. 2, this module does not suggest a suppression of the TR impulse. Due to the overwhelming rise in dynamics and textural fullness, it actually suggests that the energy-gaining process has been foregrounded.

<sup>152</sup> To clarify, dissolving consequents begin like their antecedents, but dissolve into TR activity.

(Example 4.18 cont'd)

Dominant-Lock in on V/E<sub>b</sub> (mm. 158-166)

155

157

160

163

166

MC2 w/fill (m. 166)

S in E<sub>b</sub>

E<sub>b</sub>:HC

Example 4.18: TR<sup>3</sup> in Ballade 1 (continued)

The major dysfunctional element in TR<sup>1</sup> is the chromatic irritant that occurs in m. 71 (see Example 4.19). Like nearly all of the other chromatic irritants that I have discussed, this one involves a diminished-seventh chord. This particular one is a non-inverted fully-diminished chord and features the salient chromatic note G<sub>b</sub>.<sup>153</sup> This pitch-class re-directs the music toward the B<sub>b</sub> tonality in which S will eventually emerge. On its way to its eventual B<sub>b</sub>, TR<sup>1</sup> achieves lock on the wrong dominant beginning in m.74 (a V7/IV). This dominant-lock is also marked by dysfunction. Notice the problematic juxtapositions of the pitch-classes G<sub>b</sub> and G<sub>♮</sub>. This juxtaposition suggests an ambivalence between the major and minor mode which is a strong indicator of TR dysfunction.

We might also consider the preparation and emergence of B<sub>b</sub> as an additional sign of TR dysfunction. This is the key of the subdominant, whereas normative TRs prepare dominant or mediant keys. Even though S appears in a wrong key, it achieves a provisional ERC in m. 99 (IV: PAC). I consider this only a provisional ERC because it is overturned by the re-appearance of the TR impulse (TR<sup>2</sup> in mm. 100-121, presented in Example 4.20) in m. 100. In contrast with the earlier TR, this module is more fanciful and is highly sequential. Notice that in Example 4.20 I have marked a sequential passage (mm. 100-112) that features two sets of models and copies. After the statement of this sequential passage, the music locks on the V/A<sub>b</sub> and progresses to a decorated PAC in the mediant (the key of the real ERC) in m. 121. This music is actually followed by C- material. Like the C-material that occurred at the end of rotation 1 in Ballade 1, this music is heavily colored by plagal inflections. TR<sup>3</sup> (mm. 152-168, excerpted in Example 4.21), which prepares the key of B<sub>b</sub>, is less dysfunctional than TR<sup>1</sup>. Chopin achieves a dominant-lock on F in m. 162. The subsequent appearance of the S-theme in D<sub>b</sub> comes as a surprise. This theme follows a IV: HC MC in mm. 167-168.

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<sup>153</sup> To be sure, this troublesome pitch-class has already been a part of the formal discourse up to this point. Notice that it appears several times in the opening theme and as tonal center of the digression (mm. 38-57) which appears between the two statements of that theme.

TR<sup>1</sup> (mm. 58-80)

56 *ten.* *cresc.*

59

62 *f* *cresc.*

64

66

Example 4.19: TR<sup>1</sup> in Ballade 4 (continued on next page)

(Example 4.19 cont'd)

68

70

72

74

76

41

*riten.*

*in tempo.*

*dim. accel.*

*leggieramente.*

Chromatic Irritant (m. 71)

Dominant-Lock (V/B<sub>7</sub>)/MC (mm. 74-80)

B<sub>7</sub> M:HC

Example 4.19: TR<sup>1</sup> in Ballade 4 (continued on next page)

**(Example 4.19 cont'd)**

78

Caesura-fill (mm. 76-81)

4/4

76 77 78 79 80 81

*ritenuto.*

*tempo.*

**Example 4.19: TR<sup>1</sup> in Ballade 4 (continued)**

Transient ERC (B $\flat$ ; PAC) (mm. 99)

TR2 (mm. 100-120)

Model 1 (mm. 100-104)

96

97

98

99

100

101

102

**Example 4.20:  $TR^2$  in Ballade 4 (continued on next page)**

(Example 4.20 cont'd)

Copy 1 (mm. 104-107)

43

103

105

Model 2 (mm. 108-109)

107

Copy 2 (mm. 110-112)

110

Dominant-Lock (V: A<sub>5</sub>) (mm. 113-119)

113

116

Example 4.20: TR<sup>2</sup> in Ballade 4 (continued on next page)



(Example 4.20 cont'd)

119



Real ERC (A $\flat$ ;PAC)

**Example 4.20: TR<sup>2</sup> in Ballade 4 (continued)**

### 4.3 Embodied Plots

#### 4.3.1 Embodied Plots in Ballades 1, 2, and 4

How might these Ballades respond to an analytical methodology that evokes Brower's embodied plot schemas? We shall see that these works respond quite well to such inquiry. Several of Brower's schemas, including the escape-from-container, gaining-entry-to-a-container, overcoming-blockage, and following-an-alternative-pathway, can help us understand many of the more problematic aspects of these three compositions.

The escape-from-container and gaining-entry-to-a-container plots can be helpful in the analysis of all four Ballades. Example 4.22 presents these plots. In Brower's method, we are to understand musical space as a container for motion. Particularly, we must conceive of musical space as bounded key space. These key spaces may or may not be breached. As I have shown, in Ballades 1, 3, and 4 each of the opening themes (the P themes) is driven by some impulse to disassociate itself from the tonic. In Ballade 1, it is an impulse toward the relative major, in Ballade 3 an impulse toward the relative minor, and in Ballade 4 it is a dual-pronged impulse toward both the relative major and the subdominant. These impulses generate much of the musical plot in each work. Example 4.23 illustrates something profound about the musical plots of all four Ballades. In Example 4.23 A, we see the impulse that guides Ballades 1, 3, and 4. In these cases, it is helpful to conceive of a tonic not being a single key, but rather a key area that is defined by a tonic and its relative major or minor.

P Apotheosis

156

A<sub>b</sub>:

159

161

Dominant-Lock (V/B<sub>b</sub>) (mm. 162-168)

Example 4.21: TR<sup>3</sup> in Ballade 4 (continued on next page)

(Example 4.21 cont'd)

163

165

MC w/fill (mm. 174-175)

167

B $\flat$ :  
HC

S

169

47

*accel. e cresc.*

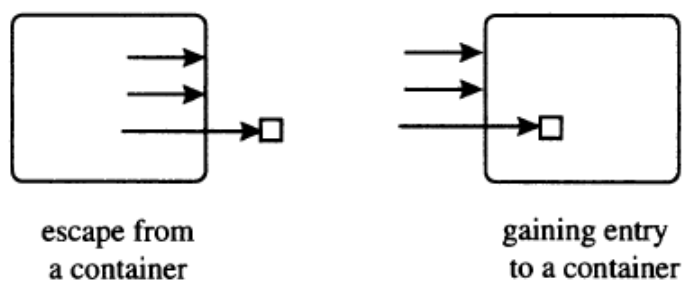
*dim.*

*in tempo.*

*leggiero.*

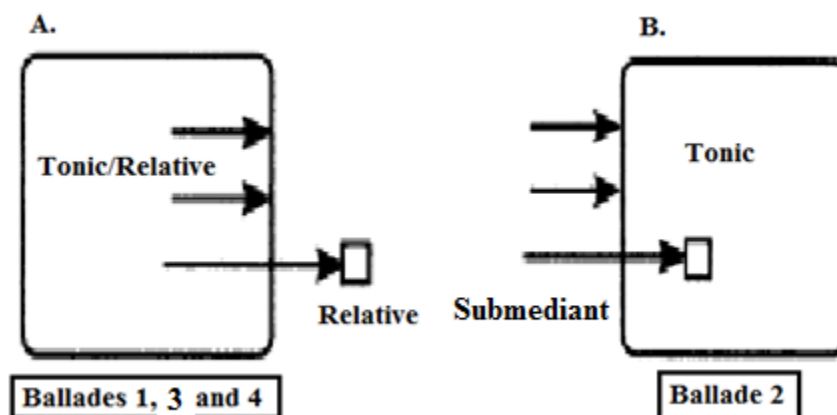
MC Declined! S Materializes  
in D $\flat$  instead of B $\flat$  (m. 169)

Example 4.21: TR<sup>3</sup> in Ballade 4 (continued)



**Example 4.22 Brower's Escape-from-a-Container and Gaining-Entry-To-A-Container Schemes (Brower 2000, 353)**

Example 4.23 B, a partial illustration of the plot in Ballade 2, shows an alternate conception of tonic space, one that includes the tonic-dominant axis. In this case, it is the submediant and not the relative that attempts to transgress the tonic. In all these cases, Chopin subverts the musical plot: in none of these works do these alternate keys achieve more than a transient tonic status.



**Example 4.23: Escape-from-Container and Gaining-Entry Schemas in the Four Ballades**

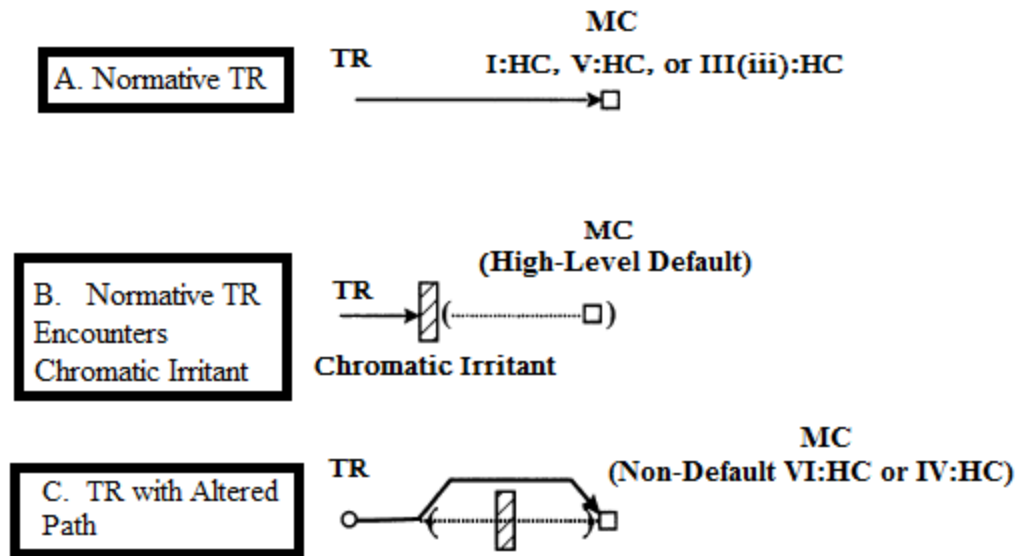
In Ballade 2, as shown in Example 4.23 B we encounter the exact opposite of this paradigm. In this case, a non-tonic key actually invades and gains entry to a container. In this case, it completely usurps the role of tonic from the opening tonality, F major.

An appropriation of Brower's overcoming-blockage schema can explicate nearly all of Chopin's TRs in the Ballades. Example 4.24 A diagrams a normative TR. In this case, the TR process initiates, gains sufficient energy, and culminates with a normative MC.<sup>154</sup> None of the TRs in Chopin's Ballades follow such a simple pathway. Example 4.24 B presents a plot in which the TR process encounters a blockage of some kind on the way to the MC, usually in the form of a chromatic irritant or a salient diminished-seventh chord. Alternatively, the impediment can take the form a lock on the wrong dominant. This kind of incorrect dominant-lock occurs in Ballades 2 and 3. In Ballade 2 (TR<sub>1</sub> mm. 62-82), the music locks on V/A $\flat$  minor in m. 66. Clearly, this is far indeed from any kind of generically-correct event. As Example 4.24 C shows, when such a chromatic blockage occurs it alters the course of TR. In such a case, the blockage or irritant ensures that goal of the entire passage will be different and may prove it to be unable to achieve a normative caesura. In the case of Ballade 2, the lock on the wrong dominant proves to be such a severe irritant that it causes TR to diffuse its energy too early. It engenders a de-energizing TR.<sup>155</sup> Example 4.24C shows that the redirected TR nearly always heads toward a MC that is either a submediant or subdominant related tonality. We could also use Brower's following-an-alternate pathway schema to explain much of the large scale tonal motion in some of the Ballades as well (Example 4.25). Such is the case with Ballades 3 and 4. When a Ballade is engaged with this particular paradigm, the result is a bifurcated form. Example 4.25A presents the overall tonal plan in Ballade 3 as it relates to the following-an-alternate pathway scheme.

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<sup>154</sup> That is, a higher-level default MC such as a I: HC, V: HC, III (iii): HC, or a V: PAC.

<sup>155</sup> This is similar to what happens in Ballade 3, when TR(mm 9-36) locks on another incorrect dominant, this time the V of F major (C).



#### Example 4.24: Brower's Overcoming-Blockage Schema and the TR Process

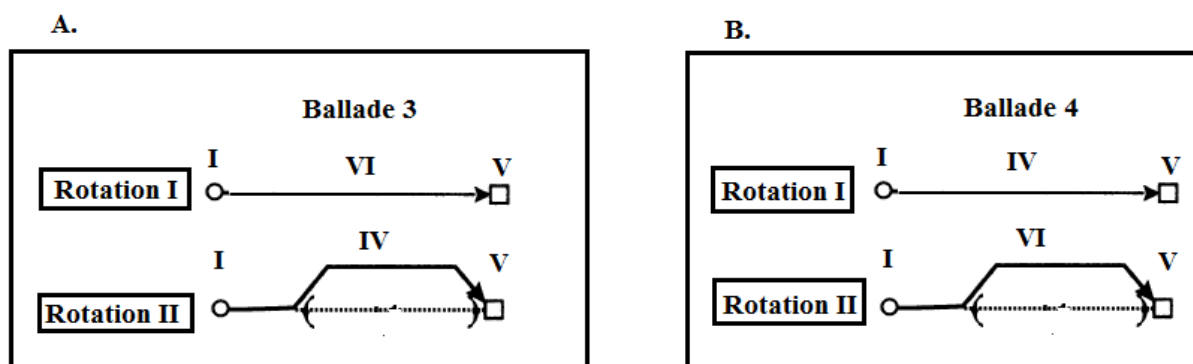
We can understand these narratives that guide Ballades 3 and 4 as being summarized as “different approaches to the dominant.”<sup>156</sup> In the case of Ballade 3, rotation 1 travels to a I:PAC via an intermediate harmony, VI. In rotation 2, it re-tries for this goal through a different intermediate key, IV (Example 4.25A). In the case of Ballade 4, this situation is reversed: rotation 1 goes through IV, while rotation 2 goes through VI (Example 4.25B).

### 4.4 Ballade 2: The Tragedy of Rotational Synthesis

#### 4.4.1: The Hepokoski/Darcy Model and Rotational Synthesis

A notable structural aspect of the Ballades is that each tends to avoid PACs in the tonic until the last possible moment.

<sup>156</sup> Much about the overall tonal plan in these works has been discussed by Samson 1992 and Witten 1997.



**Example 4.25: Alternate Pathways in Ballades 2 and 4**

In a sense, much of the drama stems from the way that the music approaches this final goal. In the minor-key Ballades, the arrival at the home dominant is a tragic thing. In Ballade 2, there are no PACs in the tonic key until very late in the piece.<sup>157</sup> In Ballade 2, the tragedy of the i:PAC is brought about by a process that does not appear in Ballades 1 and 4. I have termed this process “rotational synthesis.” In a rotational synthesis, the two thematic units are brought closer and closer into contact until they finally appear conflated in a culminating coda. Ballade 2 is the prototypical example of this procedure. In none of the other Ballades is the rotational impetus more obvious or more integral to the overall dramatic trajectory. Example 4.26 presents the formal scheme of Ballade 2.<sup>158</sup>

Section	Rotation 1(mm. 1-82)				Rotation 2 (mm. 83-167)				Coda(mm. 168-203)
Theme	S	P	RT <sup>1</sup> <sup>159</sup>	RTC <sup>160</sup>	S [insertion/dev.]	P	RT <sup>2</sup> (S+P)	V-lock	New State
M. Nos.	1-45	46-61	62-82	82	83-87	88-139	140-155	156-167	166-167
Cadences	VI:IAC	i	VI:IAC		VI	i	V	V/i	i
Keys	F	a	F		F	d,a			a

**Example 4.26 Rotational Scheme in Ballade 2**

<sup>157</sup> Indeed there are no i:PACs in this work until the coda, in mm. 202-203.

<sup>158</sup> Most of the analytical literature on Ballade 2 is rightly concerned with its tonal structure (Krebs 1982, Korsyn 1989, Kinderman 1988). These commentators, although they approach the phenomenon from different viewpoints, are in agreement that the piece is not “monotonal.”

<sup>159</sup> I have chosen to label this module from 61-82 as an RT, instead of a TR. Although it is clearly concerned with energy-gain and the drive toward a caesura, it actually ends up preparing the way for the key that we perceive to be the tonic at this point, F major. Because it re-prepares a key from the opening rotation, it can be called RT by my definition.

<sup>160</sup> RTC=Retransitional Caesura

It will be helpful to take a look at the theme groups themselves. In none of the other Ballades are the primary thematic units so oppositional in their rhetorical make-up: this is the only Ballade in which the Hepokoski/Darcy theme designations hold true. Even though P and S are reversed, they are generically normative. P, the *presto con fuoco* (mm 46-60), displays characteristics of a P theme: it is tonally open, imbued with a sense of forward momentum, and followed by TR material. S (mm. 1-45), on the other hand is contrasting, highly stable, and lyrical. Like the normative S-theme, it is also tonally closed.

The key relationship between the two main themes (P and S) is also worth some comment. The P-theme is set in A minor, while the S-theme is set in the key of F major. Indeed, this relationship is altogether different than the i-III that we would expect in a minor key sonata.<sup>161</sup> Interestingly, Chopin maps this tonic-mediant relationship onto a major-key framework (i.e. A minor stands in the mediant relationship to F major). This is another kind of reversal in this piece, much like the thematic reversal that I have mentioned earlier.

At first, Ballade 2 may seem quite unlike the typical sonata. Upon a closer look, however, we can see that Ballade 2, in least in terms of its rhetorical structure, is indeed in clear dialogue with the Hepokoski/Darcy model.<sup>162</sup> This is the most obvious in rotation 1, which would be a normative two-part exposition (at least in terms of its rhetorical structure) if the theme groups had not been reversed. In rotation 2, this pattern has been altered and expanded. The rotational process has birthed new sub-modules. Here we see an inserted developmental episode. Much has been made of this episode. Interestingly, a portion of this music touches upon the key of G $\flat$  (mm. 102/106), the key that is described

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<sup>161</sup> Also interesting is the fact that the opening key signature for this piece is actually that of F major. This is startling, as we know that the work's ultimate tonal destiny is A minor. We would, therefore, rightly consider it to be the true tonic of the work. We might think of this piece as beginning in F major, but becoming A minor. This transformation is mirrored in the key signature which changes to that of A minor at the beginning of the coda.

<sup>162</sup> Even though Ballade 2 dialogues with the Hepokoski/Darcy model, it distorts it in significant ways. This is particularly true in terms of its key scheme, where the first deformed exposition begins in the key of F and ends in A minor. It is also true in terms of its rhetorical layout: rotation 1 begins with a long lyrical S-theme and concludes with a stormy, propulsive P-theme.



as having a spiritual significance in Ballade 4 by Klein.<sup>163</sup> This encourages us to hear a resonance between Ballades 2 and 4.

#### 4.4.2. The Coda in Ballade 2: As a Synthetic Culmination

As previously noted, the coda (mm. 168-203) in this work serves as a tragic, synthetic culmination of all that has come before. Various musical details and previously stated themes recur in this coda. Example 4.27 reproduces the approach to the coda (mm. 152-167). Notice the lament bass line pattern (8-7-6-5 in m. 152-156). This is an additional indicator of the tragic mood and the forthcoming tragic coda. In this case, the coda is prepared by a standing-on-the-dominant gesture (mm. 156-165). This passage is like a dominant-lock, but technically it is not, as the dominant is never explicit, but is only strongly implied.<sup>164</sup> The IAC that happens in m. 82 and the two-measure caesura that appears in mm. 166-167 are interesting gestures. They cannot rightly be called MCs because they do not serve the rhetorical purpose of dividing a rotation. Nor should they rightly be called post-medial caesuras because neither actually follows ERC. I have termed gestures of this kind, those that follow RT and do not serve the function of overturning EEC as “RT caesuras.” Notice here that the caesura space in mm. 166-167 is filled in by what Hepokoski/Darcy call a “juggernaut-fill.”<sup>165</sup> This is a relatively common kind of caesura-fill, according to their theory. This emphasizes the tragic inevitability of the tonic minor. Fascinatingly, in RT<sup>2</sup> (mm. 157-167) the music brings together the rhythm from S (left hand) with a melodic gesture from P (in the right hand). This is the only passage in the Ballades that so concretely juxtaposes the two major theme groups. I have termed this phenomenon “rotational synthesis.”

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<sup>163</sup> Klein 2006, 41-43.

<sup>164</sup> Notice the absence of the pitch class G#. Chopin has reserved this pitch for the coda, where it is continuously sounded and played upon.

<sup>165</sup> Hepokoski/Darcy discuss the phenomenon of “the juggernaut-fill” in their treatment of expanded caesura-fills. According to them: “In this procedure the motivic drive and rhetorical energy of the preceding TR are so great that they spill over the MC proper, invading the expanded MC-gap with continued *forte* energy, momentarily refusing to lose energy in the normative, generic way. Often the juggernaut, *forte* effect will last all the way up to S, where it will either collapse back to *piano* or be suddenly hushed for the S-theme proper” (Hepokoski/Darcy 2006, 44-5).

RT (152-167)

152

A minor:

155

*sempre f*

Dominant-Lock (V/a)  
(mm. 156-167)

158

161

164

Juggernaut

RTC w/fill (mm. 166-167)  
Am: HC

Example 4.27: Approach to Coda in Ballade 2 (mm. 152-167)

At the end of Ballade 2, the process of rotational synthesis serves to enhance the sense of tragedy. In fact, the coda (mm. 168-203) is among the most tragic music to be found in any of the Ballades. There are numerous tragic elements in this special passage. Many of these aspects are to be found on the music's surface, but some rather important subtle ones reside on a deeper level of structure. Most importantly (and most obviously) this music revisits the "storm and stress" topic from the previous rotations. Even so, however, the musical topography has been transfigured. The music here requires a kind of virtuosity from the performer that has not been demanded until then. Furthermore, notice the presence of many, many more authentic cadences in the tonic minor here. Until now, of course, there has been a paucity of PACs and IACs in the tonic. This is tragic because of the failure to escape the tonic minor. Another tragic aspect is the recomposition of the lament bass motive (the motive first heard in RT<sup>2</sup>). In the coda, we encounter three different versions of this motive. These motives are presented in Example 4.28. The salience of the chromatic pitch class D# is also tragic. This pitch is plentiful in the coda. It is made salient in a variety of ways here. Notice that it is often paired with d<sub>4</sub> (Example 4.29, m. 169). This pitch emerged much earlier. It first occurred as a part of one of the few chromatic chords in the sunny *Siciliano* (Example 4.30, m. 39). It gains a greater importance shortly thereafter. Notice the passage from mm. 65-82 (Example 4.31). In that case, the pitch is re-sounded as the music actually loses energy and rather nonchalantly leads to a PAC MC in m. 83.<sup>166</sup> Finally, D# is part of the sustained French Aug. 6<sup>th</sup> chord in m. 196 (Example 4.32). Surely, this is the most haunting moment in the work. There are several interesting things to note here: the repeated-note gesture from the opening measures finally appears transposed. Where it had been set on C earlier, it is now set on A, the key of the home tonic. It leads to another "tragic" 6/4 chord in m. 200 (again this is followed by an actual caesura). Perhaps most importantly, it brings together the pitches F and D#. This shows that the key of F major has been subordinated and that A minor is the tonal victor of the struggle between the keys.

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<sup>166</sup> Interestingly, this is an instance of another TR in Chopin's Ballades that seems to lose energy rather than gain it.

Gap Model  
(mm. 168-9)

*Agitato.*

Diatonic Model  
(mm. 170-1)

Chromatic Model  
(mm. 176-180)

Example 4.28: The Various Forms of the Lament Bass Motive in the Coda of Ballade 2

168

24

*Agitato.*

D#/D $\sharp$

**Example 4.29 D#/D $\sharp$  as a Juxtaposed Pair in Ballade 2, Coda**

36

E $\flat$  and F $\sharp$

E $\flat$  and F $\sharp$

**Example 4.30: The Emergence of E $\flat$  as a Chromatic Irritant**

20

70 *dimin.*

A $\flat$  minor:

73

76

79

Example 4.31: E $\flat$  as the Dominant of A $\flat$

E $\flat$  Transformed Into D $\sharp$  (Augmented 6<sup>th</sup>/A)

196

Tempo I.

*pp*

Example 4.32: The Uncanny Moment

#### 4.5 Conclusion

In this chapter, I have considered Ballades 1, 2, and 4. I have probed their rotational configuration and have discussed each one's relation to the Hepokoski/Darcy model. Furthermore, I have looked at TR dysfunction in each and have shown that Brower's schemas for embodied plot are quite helpful as an aid for our understanding. We have seen, then, that my proposed apparatus is quite useful as a way of explicating many of the exciting formal ambiguities and interesting events in these works.

We have seen that these three Ballades are similar enough to be treated as a group. Here, it is necessary to recount their myriad similarities. First, in these works the rotational impulse is foregrounded. These works are divided into clear-cut rotations and cycle through a pre-determined number of themes. Furthermore, these rotations outwardly resemble deformed sonata expositions. We tend to experience these works being in dialogue with the sonata-model and not some other formal model such as the rondo. Finally, these Ballades distort the sonata-model in similar ways: MCs are declined similarly, the same deformational key relationships appear frequently, and their thematic dimensions are distorted in similar ways.

## CHAPTER 5: BALLADE 3: A NEW, MULTI-FACETED ANALYSIS

Chopin's Ballade 3 (Op. 47) is a challenging and intriguing work. Because it so fixedly defies categorization, it has been the object of considerably less conjecture than its three siblings. Still, however, it has been the object of significant scholarship. For me, the two most important discussions of this piece are Samson 1992 and Rosen 1995. I will begin with a short discussion of these important analyses and suggest an alternate reading of Ballade 3: one that views the work through a threefold lens that invokes the Sonata Theory model, Brower's schemas for musical plot, and the notion of TR dysfunction.

The composition demands such a multi-faceted approach, for it is paradoxically conventional and refractory. On the one hand, much of its musical rhetoric stems from the classical tradition. In this sense, the piece "depends upon the conventions of the classical sonata."<sup>167</sup> On the other hand, its musical-rhetorical gestures are arranged and configured in such a way as to seem unique and idiosyncratic. As a result, the piece seems to have few, if any precedents.

### **5.1 Previous Writings and The Need for a Multi-Faceted Approach**

#### **5.1.1 Samson's Analysis of Ballade 3**

Samson 1992 is rightly concerned with describing how the piece borrows from compositional norms. His description includes fairly detailed commentary about the interrelationships between the two main themes and a concise, synoptic description of the musical events in the piece. A central element of this discussion is a description of the formal attributes of the themes and the functional ambiguity that each displays.

Example 5.1 presents Samson's formal chart of Ballade 3. It conveys some important truths about the work. First, it imparts that the work contains three themes that are presented and recapitulated (themes I, II, and III). As Samson's chart, shows, however, their recapitulations are not always

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<sup>167</sup> Samson 1992, 56.



straightforward. Notice the section that Samson has marked as “modulatory” (mm. 183-212). Notice that he claims that this section involves Theme II+I. I completely agree with Samson’s assertion that this musical module brings together these two disparate themes. In fact, I claim that this section is a very special kind of transition: the rotational synthesis TR. Such TRs bring together two previous themes (or textures) in a gesture that promotes huge energy-gain. This leads to a final working of Theme I with references to Theme III.

Theme	Bars	Tonality
Theme I	1-52	A $\flat$ Major
Theme II	53-115	F minor
Theme III	116-144	A $\flat$ Major
Theme II'	144-183	C# minor
Theme II+I	183-212	Modulatory
Theme I' (refs. to Theme III)	213-241	A $\flat$ Major

**Example 5.1 Samson’s Formal Chart of Ballade 3 (Samson 1992, 62)**

For Samson, a key to understanding this work is recognizing its dependence on the norms of the sonata. Importantly, he claims that “Chopin remodels the elements of sonata form by placing them in new contexts and subtly blending their traditionally separate formal functions.”<sup>168</sup> This remodeling is much like the sonata-form deformations that are described by Hepokoski/Darcy. Samson’s description of the main themes and their relationship to one another is an important part of his description. Just as in the typical sonata, Samson reports a “conventional opposition of primary and secondary themes and of primary and secondary tonal regions and that these are presented in a formal context which preserves the functions of exposition and reprise. Yet the inner dynamic which motivates the succession of events is far from conventional.”<sup>169</sup> Unfortunately, Samson never outright describes the inner dynamic he brings up. I claim that the inner dynamic that Samson has recognized can be described and understood as an impulse involving the Hepokoski/Darcy sonata-form model, the notion of TR dysfunction, and Brower’s overcoming-blockage and escape-from-container schemas.

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<sup>168</sup> Samson 1992, 56.

<sup>169</sup> Samson 1992, 56.

### 5.1.2 Rosen's Analysis of Ballade 3

Rosen's discussion involves Chopin's transformation of counterpoint and his use of lyricism in the context of narrative form. Rosen makes several important claims. First, he describes how the lyric and the narrative work together. According to Rosen "the fusion of the narrative and lyric in the Ballades is perhaps Chopin's greatest achievement: he realized in music one of the major ambitions of the Romantic poets and novelists."<sup>170</sup> Secondly, he points out the manner in which "variations of texture, sonority, and periodic phrasing are not highly articulated as in sonata style, but apparently continuous."<sup>171</sup> Finally, he discusses the originality of the truncated return of the opening theme at the end of the work. I will return to this event later in my analysis.

Rosen 1995 (Example 5.2) views the work as having four distinct sections. It too, posits the existence of three main themes, labeled here as Themes A, B, and C. This chart indeed captures something of the spirit of the piece, particularly its juxtaposition of relatively stable thematic music and open-ended material. It also notes the underlying process of variation and describes something of the remarkable kinship among the themes.<sup>172</sup> Rosen's chart, like Samson's, is very convincing, yet problematic in two specific ways. First, neither of their diagrams clearly elucidates the tonal structure of the work. Example 5.3 presents the structural narrative in the form of a diagram. The tonal narrative described here is one of two different approaches to the dominant. Example 5.3 shows Ballade 3 as being comprised of two different approaches to a I:PAC, labeled A and B. The A progression (mm. 1-144) is an approach via the submediant. In the B progression, there is an additional approach to a I:PAC, this time through the subdominant.

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<sup>170</sup> Rosen 1995, 302.

<sup>171</sup> *Ibid.*

<sup>172</sup> Note Rosen's claim that the A material is recomposed as Theme C.

Bars 1–52	1. Opening section	Theme A	A flat major
53 –65	2. a) Second section	Theme B <sup>1</sup>	F major
65–104		Theme B <sup>2</sup>	F minor
105–115		Theme B <sup>1</sup>	F major
116–145	b) Variation or return?	Theme C	A flat major
146–156	3. Third section	Theme B <sup>1</sup>	D flat major
156–178	Variation	Theme B <sup>2</sup>	C sharp <sup>minor</sup>
178–212	Development, stretto, and retransition	Themes B <sup>1</sup> and A	Rising bass and dominant pedal
213–221	4. Conclusion	Theme A	A flat major
222–230	Short development and stretto		Dominant pedal
231–240	Piu mosso	Theme C (brief reference to opening and final cadence)	A flat major

### Example 5.2: Rosen's Formal Chart of the Ballade 3

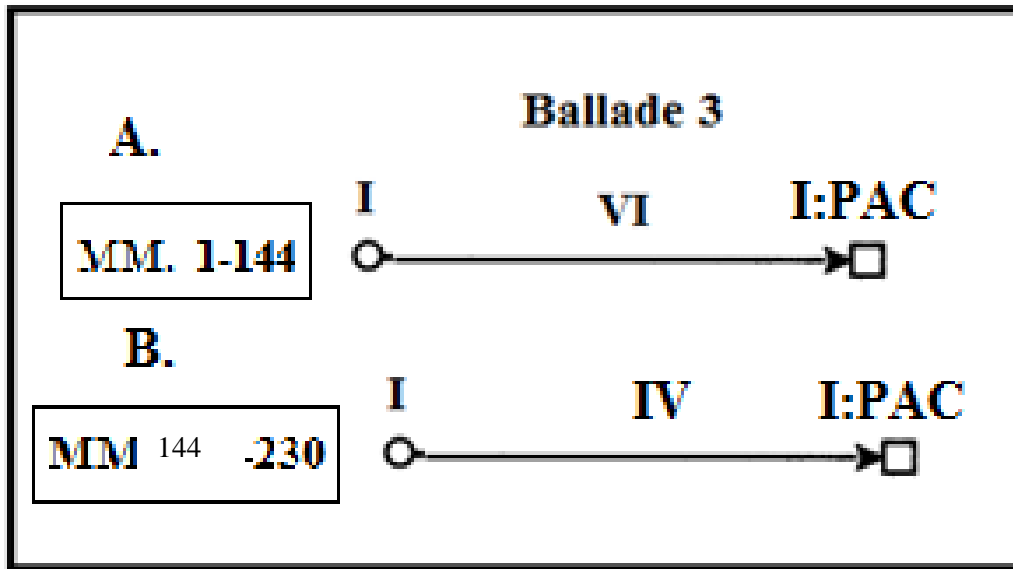
The second major issue with Rosen's analysis is its labeling of nearly every tonally-migratory section as a development.<sup>173</sup> Clearly, this is only a half-truth. While it can surely be argued that some of these sections (particularly the one from mm. 183-213) display some of the characteristics of a development section, such a view is unable to recognize its goal-directed nature. That is, we might view this section as being centrally concerned with energy-gain. Much of my following analysis shall deal with this important issue.

#### 5.1.3 The Need for a New Analysis

A common thread, the desire to relate Ballade 3 to existing formal gestures, unites both of these analyses. Indeed, Ballade 3— while unique— does in fact borrow from implicit compositional norms. For Samson, sonata form must be invoked as the “ideal type” against which (these) unique statements have been counterpointed.”<sup>174</sup>

<sup>173</sup> To be sure, Rosen does recognize a retransition in the passage from mm. 183-213.

<sup>174</sup> Samson 192, 45.



### Example 5.3 Tonal Structure in Ballade 3

Rosen echoes this statement when he maintains that the Ballade 3 “cannot be described either as ternary or as sonata, it clearly borrows from both.”<sup>175</sup> He also claims that it works “against” these norms.<sup>176</sup> Samson and Rosen are undoubtedly correct that the piece dialogues with pre-existing models. I believe that the Hepokoski/Darcy sonata form model will shed some light on our deeper understanding of this composition. Even though this model has great power, it is most successful when buttressed by other analytical models and ideas as well. Through the adoption of the Hepokoski/Darcy sonata paradigm (Hepokoski/Darcy 2006), Brower’s schemas for musical plot structure (Brower 2000), and the idea of TR dysfunction, this essay seeks to engage the Ballade 3 on its own terms.

<sup>175</sup>Rosen 1995, 321.

<sup>176</sup>*Ibid.*

## 5.2 A New Analysis of Ballade 3: Rotational Strategies, the Sonata Dialogue, and TR Dysfunction

### 5.2.1 Ballade 3: Rotational Make-Up, Sonata-Dialogue, and Dysfunctional TR

I now present my new analysis which considers rotational strategy, the Sonata Theory model, TR dysfunction, and Brower's schemas. Example 5.4 is a background formal analysis of Ballade 3. From it, we can see that the work exhibits only a small number of themes ( $P^1$ ,  $P^2$ ,  $S^1$ , and  $S^2$ ). These insistent thematic recurrences lend the piece a rondo-like quality. Interestingly, it is the S sections of the music (mm. 54-115 and mm. 146-212) that act as refrains. That is, we might consider Ballade 3 as being a reverse-rondo. A reverse-rondo is a multi-sectional work in which a refrain that is not presented as the opening theme recurs multiple times. As such, a reverse-rondo might be considered a deformation of the typical rondo. Such reversed schemes are common in Chopin's larger works (all of Chopin's named sonatas, that is the three piano sonatas and the cello sonata, feature reverse recapitulations).<sup>177</sup>

Of course, the notion of the reverse-rondo is only one way which we could make sense of Ballade 3. Rotation 1, for example, has the expositional function of initiating the first theme group, establishing the global tonic, and stating the contrasting B theme. Rotation 2, by contrast has the synthetic function of bringing the two theme groups into closer contact. Finally, rotation 2 has a closure function.

Local Section	Global Sections	Function of Global Sections
$P^1$ (mm. 1-52) $S^1/S^2$ (mm. 53-115)	<b>Rotation 1</b> (mm. 1-115)	Expositional Function
$P^2$ (mm. 116-144) $S^1/S^2$ (mm. 145-212)	<b>Rotation 2</b> (mm. 116-212)	Synthetic Function
$P^1$ (mm. 213-230) $P^2$ (mm. 231-end)	<b>Rotation 3</b> (mm. 213-end)	Closure Function

**Example 5.4: Form in Ballade 3: The Big Picture**<sup>178</sup>

Examples 5.5, 5.7, and 5.9 are detailed accounts of the three rotations. They show how sonata-rhetorical gestures and the rotational impulse interact. I will begin with Example 5.5, my account of

<sup>177</sup> By reverse scheme, I mean that theme groups are recycled in reverse order. A common manifestation of what I call a reverse scheme is the reverse recapitulation in various Mozart sonatas, such as the 1st movement of K. 311.

<sup>178</sup> Notice that mm. 52-53 and 144-145 feature inter-modular music, a repeated-note gesture that stands between the two main thematic areas.

rotation 1. As it shows, the opening music begins like a normative exposition, with a clear differentiation between thematic and transitional material. Notice that P<sup>1</sup>, a closed thematic unit, is followed by a rather lengthy multi-modular TR (mm. 9-36) that struggles to gain enough energy to modulate. Despite this struggle, a successful medial caesura is not achieved. The MC we get prepares the wrong key (vi-not the dominant) and is declined. Importantly, this declined MC in m. 36 is followed by the re-appearance of P<sup>1</sup> in the tonic.

Local Section	P <sup>1</sup> (mm. 1-52)			
Sub-Section	P <sup>1.1</sup> Ant.	Cons.	TR ' declined	P <sup>1.2</sup> Resumes Ant. Expanded Cons.
M. Nos.	1-4	5-8	9-35 36	37-40 41-52
Cadences	I	I:"PAC"(m. 8)	vi: HC	I Implied I:PAC (mm. 48-9)
Keys	A <sub>b</sub>			

Local Section	S <sup>1</sup> /S <sup>2</sup> (mm. 53-115)			
Sub-Section	S <sup>1.1</sup> S <sup>1.2</sup>	S <sup>2.1</sup> Ant. Cons	S <sup>2.2</sup> Expanded.	ERC ERC overturned
M. Nos.	53-58 58-64	65-81	81-99	99-101 101-103
Cadences	III	vi	vi: IAC	I:PAC III:PAC
Keys	F			

**Example 5.5: Ballade 3, Rotation 1 (mm. 1-115)<sup>179</sup>**

Many of the more idiosyncratic elements in rotation 1, including the MC issues can be traced to a single phenomenon: TR dysfunction. TR in the opening rotation (Example 5.6) exhibits much dysfunction. Most obvious is its reluctance or difficulty in moving away from the tonic orbit. This feature puts this TR module in dialogue with a very common TR paradigm in Chopin's large works: the Unyielding Tonic TR. This kind of TR, in which the gravitational pull of the tonic is so strong that it hinders the TR process, appears in numerous other works by Chopin as well, including Ballade 1, and the Cello Sonata.

<sup>179</sup> In rotation 1, there is much interesting inter-modular activity. Notice that mm. 52-53, 63-64, and 103-104 are all instances of musical activity that occurs between modules.

This TR exhibits other symptoms of dysfunction as well. These include dominant-lock issues, issues of modal identity, energy diffusion, and a deformed, declined MC. Notice that the music locks onto the dominant of f (vi) in m. 29. This is counter-generic, for we would normally expect a lock on the dominant of the dominant (B $\flat$ ). Additionally, this wrong dominant is colored by the both the major and the minor modes (notice the tension between A $\flat$  and A $\natural$  in mm. 29-32). Finally, this TR actually discharges its energy too early as a drop in dynamics, a *diminuendo*, coincides with the lock on C in m. 29.

Significant here is the presence of what I have termed “a chromatic irritant.” A chromatic irritant is an arresting chromatic event, such as an intrusive pitch-class or an obstructive chromatic harmony that elicits some response from the TR process. In the case of rotation 1 in Ballade 3, the irritant takes the form of an A $\flat$  major/minor seventh chord in m. 25 (a V7/IV). This chromatic agent is the stimulus that seems to fully awaken TR. It is a disruptive force that alters the established hypnotic pattern (mm. 9-24). Importantly, this chord does not resolve as expected. Rather than resolving normatively, the A $\flat$  chord is treated sequentially (see mm. 27-28). As we shall see, such disruptive events are ubiquitous in Chopin’s TRs.

Rotation 2 (Example 5.7) continues the struggle to leave the tonic that was initiated at the onset of TR (mm. 9-36). Theme P<sup>2</sup> begins at m. 116. Notably, this is in the tonic of A $\flat$ , the key of which up to this point we have never really left.<sup>180</sup> Again, this points to the massive struggle that the music must endure to leave the tonic.

The first real tonal shift occurs at m. 146, in which the refrain material (S<sup>1</sup>/S<sup>2</sup>) appears in the subdominant. This music dissolves into TR and achieves a partly normative medial caesura (HC: III of IV) in m. 183 (see Example 5.7).

---

<sup>180</sup> According to Rosen 1995, 315, “until bar 145, more than half the length of the Ballade, there is no modulation at all, merely a series of shifts of mode.”

TR (mm. 9-36)

6  
10  
14  
18  
22

26391

*ten.*

*cresc.*

Chromatic Irritant (G<sub>b</sub>)

Example 5.6: Dysfunctional TR in Rotation 1 of Ballade 3 (mm. 6-36) (continued on next page)



(Example 5.6 cont'd)

Lock on Wrong Dominant (V/vi) (mm. 29-35)

Declined!

FM:HC

MC w//fill (mm. 35-6)

**Example 5.6: Dysfunctional TR in Rotation 1 of Ballade 3 (mm. 6-36) (continued)**

This is not followed by a contrasting theme, but by a gigantic, threefold sequence that brings together the opening two themes in a kind of synthetic struggle. The MC process partially fails in both rotations, but the piece finds an ultimate redemption in rotation 3 (Example 5.9). Example 5.9 details the prevailing of the home tonic and the true achievement of the Ballade's foremost generic goal: ESC. This is a partial rotation, as the  $S^1/S^2$  material fails to re-materialize. The partial MC failures center on a single tonal phenomenon: the inability of a C major dominant chord to lead to an F tonic. The proposed MC at m.36 (Example 5.10) focuses on this chord, as does the change of harmony at m. 115 (Example 5.11). This emphasis on the C major harmony points toward F's striving to differentiate itself as a viable tonal center; F never does this. This path toward the dominant (via the submediant) is abandoned after rotation 1. Here, the tonal motion goes through the subdominant.

Local Section	P <sup>2</sup> (mm. 116-144)		
Sub-Section	8- bar unit P <sup>2.1</sup> P <sup>2.2</sup>	10 -bar unit P <sup>2.3</sup> P <sup>2.4</sup>	11-bar unit P <sup>2.5</sup>
M. Nos.	116-119 120-123	124-127 128-133	134-144
Cadences	I		
Keys	A <sub>b</sub>		

Local Section	S <sup>1</sup> /S <sup>2</sup> (mm. 145-212)		
Sub-Section	S <sup>1.1</sup> S <sup>1.2</sup>	S <sup>2.1</sup> S <sup>2.2</sup>	RT <sup>181</sup>
		Ant. Cons. V-lock Ant. Cons.--→'	Model copy1 copy2
M. Nos.	145-149 150-154 <sup>182</sup>	157-161 161-165 165-172 173-178 178-183	183-193 193-201 201-212
Cadences	IV	iv III(of iv):HC	
Keys	D <sub>b</sub>	D <sub>b</sub> minor	Sequential

**Example 5.7: Ballade 3, Rotation 2 (mm. 116-212)<sup>183</sup>**

182

C# minor:

B as a Dominant  
MC (HC in the Local Mediant)

**Example 5.8: MC in Rotation 2 (mm. 182-184)**

<sup>181</sup> RT=Re-transition

<sup>182</sup> Mm. 155-156=Inter-modular activity

<sup>183</sup> Note the inter-modular material in mm. 144-145 and 155-156.

Local Section	<b>P<sup>1</sup> (mm. 213-230)</b>	
Sub-Section	P <sub>1</sub>	
M. Nos.	Ant.	Expanded Cons. (TR/RT)
	213-216	217-230
Cadences	I:IAC ERC (m 214)	I
Keys	A <sub>b</sub>	

Local Section	<b>P<sup>2</sup> (mm. 231-241)</b>			
Sub-Section	4 bar unit Elided Cadential Module			
M. Nos.	231-234	235-239	238-239	239-241
Cadences	I			
Keys	A <sub>b</sub>			

**Example 5.9: Ballade 3, Rotation 3 (mm. 213-end)**

The issue of the submediant is abandoned until the final measures (Example 5.12), where a C major dominant chord leads to an F minor chord. Clearly, this key has been harnessed by A<sub>b</sub>, the prevailing tonic.

MC (vi: HC) declined!

Dominant-Lock (C as the Dominant of F) (mm. 33-36)

**Example 5.10: MC declined in Rotation 1 (mm. 33-36)**

MC??  
C=V/F!

Declined! Music remains in A $\flat$

F Major:                      \*    xed.                      \*    xed.                      \*

**Example 5.11: “C” as a Back-Relating Dominant (mm. 113-116)<sup>184</sup>**

F and Its Dominant Finally Harnessed  
by A $\flat$

**Example 5.12: The Fate of F (Cadential Module, mm. 239-241)**

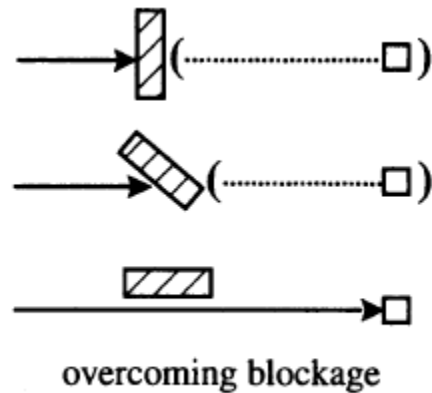
### 5.2.2 The Overcoming- Blockage and Escape- from- Container Schemas

The Hepokoski/Darcy model and the notion of TR dysfunction are only partly sufficient in the analysis of Ballade 3. For a more comprehensive view, we need to invoke other models as well.

Brower’s schemas for musical plot provide a counterbalance to the Sonata Theory model. Specifically, two of Brower’s schemas, the overcoming-blockage and the escape-from-container schemas can aid in

<sup>184</sup> Rosen calls this shift from C to A $\flat$  a “magical change of harmony” (Rosen 1995, 308). Clearly, the common tone modulation here seemed particularly beautiful and important to him.

our understanding of Ballade 3. Her overcoming-blockage schema (Examples 5.13 and 5.14) can explain much of the musical activity in the Ballade 3.



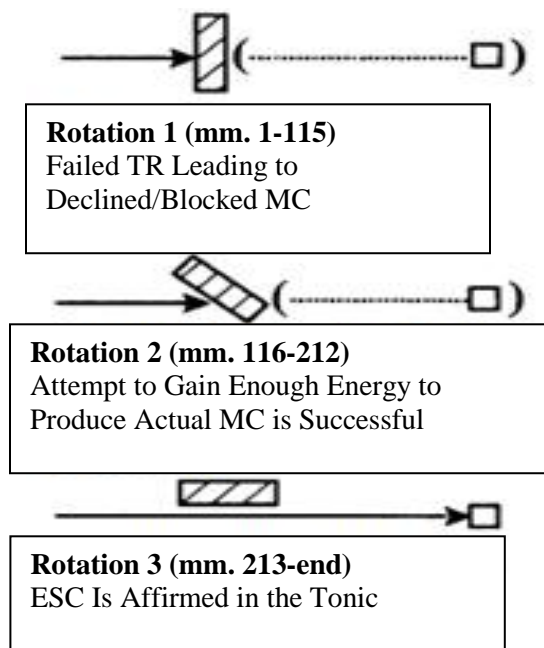
#### **Example 5.13: Brower's Overcoming-Blockage Schema**

In rotation 1, the music encounters an impediment in the form of a blocked, or declined medial caesura in m. 36. As a result of this obstruction, the music is unable to secure an EEC in the second key (f minor). According to Brower's schema, to overcome this blockage, the music must either repeat the action with increased force or seek a new way altogether.<sup>185</sup>

In rotation 2, the music strives to gain even more energy in order to produce a satisfactory medial caesura. Rather than retry to gain the sufficient energy from the tonic, Chopin imbues theme  $S^2$  (m 157, this time in the minor iv) with energy-gaining characteristics, such as new, active figuration, a massive, increase in dynamic power, and an increased thickness of texture. The second MC (a half-cadence in the key of E, which is the relative major of the minor iv) arrives in m. 182. Although it is not declined in this instance, what happens next is somewhat counter-generic. The MC is not followed by a stable theme, but by more TR material. Of course, more TR is indeed necessary here as the MC has certainly not prepared

<sup>185</sup> The overcoming of the blockage, in this case, would be a fully realized and accepted MC as well as a strongly articulated ERC.

the correct key.<sup>186</sup> The TR module here, a large three-part sequence based on P<sup>1</sup> and S<sup>1</sup> leads back to the home-key and the new fully textured P<sup>1</sup>, thus attaining ESC. This narrative is presented in graphic form in Example 5.13.



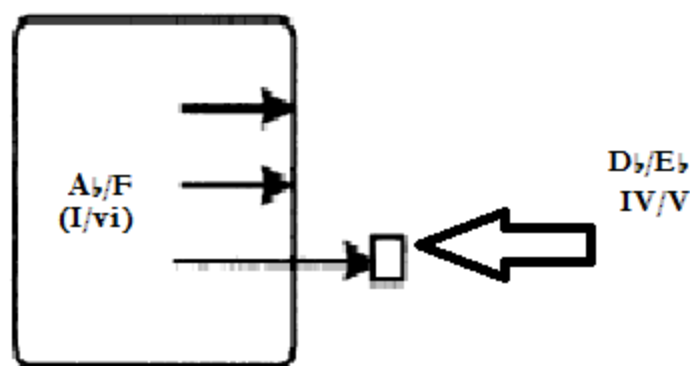
#### Example 5.14: Overcoming-Blockage Schema with Rotational Overlay in Ballade 3.

The second narrative structure in play in Ballade 3, escape-from-container, depends upon an understanding of a musical container as a metaphorical container for motion. These containers may expand, contract, or be breached altogether.<sup>187</sup> In Ballade 3, an initial musical container, a container for key space, is breached. Rosen, in his discussion of the music from rotation 1, emphasizes the fact that the music, at least up to rotation 2 (mm. 1-115) never leaves the tonic orbit. According to Rosen, “since Chopin tends to treat A $\flat$  major and F minor as the same key, we might say that until bar 145, more than

<sup>186</sup> Since the final rotation has a recapitulatory function, we would rightfully expect the MC to be a I:HC.

<sup>187</sup> Brower discusses how this expansion and contraction is related to bodily sensation and can be conceptualized according to melodic space and key space.

half the length of the Ballade, there is not modulation at all, merely a series of shifts of mode.”<sup>188</sup> The musical narrative or plot in this case involves a striving to leave this musical orbit of A $\flat$ /F (figure 5.14). This striving is manifested in the music by the interaction and juxtaposition of these two keys. Unlike the other three Ballades, where many generic/structural processes are doomed to failure, Ballade 3 does indeed succeed in expanding its key space to one which includes both the subdominant and dominant.



### Example 5.15: Brower’s Escape-from-Container Schema As It Relates to Ballade 3

#### 5.2.3 Conclusion

We have seen that even though Ballade 3 is a difficult work, many insights about it are to be gained from my ecumenical method. The work displays many characteristics of sonata form, including the use of MCs and a highly rotational thematic configuration. Furthermore, it is plagued by TR dysfunction in its opening rotation (mm. 9-36). We can understand the piece as overcoming this dysfunction in the later part of the piece. Finally, it can be understood as implicitly unfolding two of Brower’s plot schemas: the overcoming-blockage schema and the escape-from-container schema.

<sup>188</sup> Rosen 1995, 315.

## CHAPTER 6: CONCLUSION: FURTHER APPLICATION

### 6.1 The Ecumenical Method and the Piano Music of Brahms

Through the course of this study, I have proposed and utilized a methodology that unites three disparate analytical ideas: the Hepokoski/Darcy Sonata Theory model, the notion of TR dysfunction, and Brower's schemas for musical plot. I have effectively shown that such an approach provides a new way into Chopin's four Ballades. It is my claim that it can elucidate other pieces of music as well. In this concluding section, I propose that my ecumenical method will yield equally compelling results when applied to many piano pieces by Brahms. For now, I will briefly consider one of Brahms' most notorious works: the Rhapsody in g minor, Op. 79 No. 2. Clearly, this work implicitly engages the sonata model. It is highly rotational, is concerned with the generic trajectories toward ERC and ESC, deals with the opposition of primary and secondary theme groups, and features TRs that are not unlike those we encountered in Chopin's works.

### 6.2 Brahms' Rhapsody, Op. 79, No. 2

#### 6.2.1 Deformation and Rotational Form in Op. 79, No. 2

In the course of this study of Chopin's sonatas and Ballades, we have seen—in terms of the Sonata Theory model—many kinds of rotational and structural deformations. Probably the most severe of these was Ballade 2, which begins *in medias res*. In this case, we encounter an initial thematic configuration that begins without a P-space. The Ballade, a true Romantic fragment, begins with the statement of S. In the case of the Rhapsody, we encounter a work that begins with unstable TR. Brahms's composition is actually a sonata in search of a P-theme that does not emerge until after rotation 2 has failed in its quest for ERC.

For now, let us consider the Rhapsody's rotational make-up. Example 6.1 is a synoptic view of the work's form. As the example shows, this is a triple-rotation work that is clearly engaged with the



Sonata Theory model. We can map an expositional, developmental, and recapitulatory function on rotations 1-3 respectively. Furthermore, we see that each rotation is concerned with the achievement of Essential Rotational Closure (ERC). Rotations 1 and 3 actually achieve essential closure, while rotation 2, which is much more unstable, does not. Finally, notice that rotation 3 is actually a relatively normal sonata recapitulation with closed P-material, a normative TR, and a tonally closed S-theme.

Global Section	Rotation 1 (Deformed, Successful Rotation) (mm. 1-32)		
Sub-Section	TR	‘	S
M. Nos.	1-20	20	21-32
Cadences		v:HC	V
Keys	Gm		Dm

Global Section	Rotation 2 (Development/Failed Rotation) (mm. 33-85)		
Sub-Section	TR	‘	Failed S (No ERC) TR
M. Nos.	33-53	53	54-65 65-85
Cadences	E <sub>b</sub>	b minor: HC	b-minor->g minor Multiple “i” arrivals
Keys			

Global Section	Rotation 3 (More Normative Recapitulation) (mm. 86-123)			
Sub-Section	TR	‘	S	ESC
M. Nos.	86-105	105	106-116	116
Cadences	g	i:HC	i	i:PAC
Key			Gm	Gm

#### **Example 6.1. Rotational-Make Up in Rhapsody, Op. 79 #2**

Example 6.1 shows that the Hepokoski/Darcy model is applicable to Brahms’ Rhapsody. We can also invoke the notions of TR dysfunction and Brower’s embodied plots. Even at first glance, it is clear that Brahms’s Rhapsody exhibits several problems with the process of energy-gain. All of these issues are present at the beginning of the work. Principally, the opening TR (mm. 1-20) struggles to produce a rhetorically normative S-theme. This struggle is compounded by a problem to with MC production. Figure 6.2 concerns the opening TR in the Rhapsody.

TR Module (mm.)	Type of MC
TR1.1 (mm. 1-4)	IV: HC (Failed!)
TR1.2 (mm. 5-8)	♯VI:HC (Failed!)
TR 1.3 (mm. 9-13)	V:HC (Failed!)
TR1.4 (mm. 14-20)	V:HC (Successful!)

**Example 6.2: TR1 in Rhapsody Op. 79, No. 2**

Example 6.2 shows that TR1 actually produces four potential MCs. Notice a definite pattern in their emergence: the earlier MCs, that is the first two, prepare more remote keys while the later MCs prepare a closely related key (the dominant). This kind of phenomenon, in which a TR produces several potential, failed MCs is a new TR paradigm that I have termed “MC multiplicity.” I find that MC multiplicity is a condition that is common in the instrumental works of Brahms and probably in the sonata-form movements of many other 19<sup>th</sup>-century composers.

These multiple MCs are precluded by issues of TR dysfunction. First, notice that the first two MCs in this TR might be considered premature, that is they occur too early. Also notice that while the first two three MCs are certainly failed, that is they do not produce an appropriate S-theme, they become progressively more successful. The first MC is followed not by an even nominally acceptable S. It is actually followed by more sequencing. The second MC is followed by a rhetorically inappropriate S in the wrong key. The third MC is followed by a rhetorically appropriate, tonally appropriate S that fails to cadence. It is only the fourth MC that produces a rhetorically appropriate, tonally correct, closed S. Such cases of MC multiplicity, in which the TR process gradually becomes more successful, are termed “proficient,” while these that fail to produce a normative MC are termed “deficient.”

Second, this TR is plagued by a common kind of TR problem: the chromatic irritant. The clearest example of a chromatic irritant in TR1 is the multiple G#’s that continually frustrate the melody

in TR1.4. This is clear example of a chromatic irritant that is a single note, but they are other instances in the literature that involve entire chords.

Finally, TR1 can be understood as being in dialogue with Brower's overcoming-blockage plot schema. We can easily map the experience of blockage encounter onto our perception of the music here. Clearly, the first three TR1 modules encounter various kinds of blockages that I have already discussed. In this case, dysfunctional elements in the TR actually change its course. We have seen this in several of Chopin's works as well.

### **6.3 Conclusion: Final Thoughts and Avenues for Further Study**

At the end of a long study such as this one, it will be necessary to make some concluding remarks and speculate about the potential for future scholarship. This survey of Chopin's Ballades has yielded several important conclusions. First, it has illuminated something about the nature of these four masterpieces. We must understand the genre of the Ballade as something new: as a genre unto itself. This genre is a synthetic one that blends gestures from multiple kinds of pieces and modes of composition. With the Hepokoski/Darcy model, we can now see just how this is so. The Ballades certainly borrow many gestures and much rhetoric from the conventional sonata. Even so, it would be a mistake to regard them as merely deformed sonatas. What makes these works, and indeed this genre, unique is its special negotiation of the norms of instrumental composition. They combine the gestures of sonata form with gestures from the lyric genres, especially that of poetry. Only an ecumenical hermeneutic would be appropriate to process such multifarious works.

It is clear then, that the genre of the Ballade involves its own unique narrative trajectories and generic obligations. Chopin was not the only composer who wrote instrumental Ballades. Later composers, such as Liszt, Grieg, Brahms, Debussy, and Faure wrote works of this kind as well. It would be fascinating to note if this larger body of works feature similar kinds of rhetoric and formal negotiations.

Second, this study has shown us something about the nature of the generic spaces of the typical sonata and how they might relate to Brower's plot schemas. For one, the action zones of sonata form can be seen, much like Brower's schemas, as bounded and unbounded. S and C zones, for example, might be considered examples of bounded spaces for they are tonally closed. TR spaces, on the other hand, might be considered an unbounded space as it is tonally open. P zones can either be bounded or unbounded. Future studies might consider whether or not certain zones can correspond to certain plot schemas. I have already started to think of the actions zones in these terms, for as you recall, I have designated a kind of TR as "escape-from-container." It is my feeling that many other kinds of themes might be understood as having embodied plots.

Third, this study indicates something about the TR process as it is manifested in 19<sup>th</sup> century works. TR dysfunction is prevalent not only in the works of Chopin, but in the works of many other composers in the generations after him as well. It is my premise that as we enter into the repertory of 19<sup>th</sup> and 20<sup>th</sup> century sonatas we encounter TRs that become more and more problematic. Certainly, this is true of the works late-romantic composers such as Bruckner and Mahler. In these large works, the TR modules are the focal points of the musical drama. The relative dysfunction of a given TR is often related to its dimensions. The longer a sonata-movement gets the more problematic its TRs spaces become.

Finally, this study shows us something about the things we consider beautiful and our inherent desire to categorize aspects of art. This is related to disability studies. As of late, much has been made about the relationship between disability and the other arts. This discourse has challenged us to reconsider what we consider beautiful. It has asked us to see the beauty in the deformed or misshapen. Since the Hepokoski/Darcy model is a metaphor for human action, it is natural to view it through the lenses of disability. Already, the language of the sonata theory model is laden with pathological language, intentionally or not. It is tempting to consider, as I have pointed, Chopin's Ballades as deformed, misshapen sonatas. Certainly, this would be one lens through which to view these pieces. These works contain dysfunctional TRs and action zones that fail to correspond to generic norms. Furthermore, we

might consider some of the generic processes in these works as being disabled as well. For example, these works often show some difficulty in upholding important arrivals such as ERC and ESC. I, for one, would welcome a study of the Ballades that systematically examined the works as disabled entities.

Certainly, there is more to be work to be done in the realm of sonata theory, particularly in the area of dysfunctional TRs in 18<sup>th</sup>, 19<sup>th</sup>, and 20<sup>th</sup> century sonatas, TR paradigms, and Brower's embodied plot schemas. I have considered future projects in this regard. The first one of these involves an in-depth study of Brahms's type 1,2, and 3 sonatas to identify and classify the dysfunctional elements and TR paradigms in his works. There are considerably more works to examine here than in Chopin's so such a study will get a much more detailed, comprehensive view. It is my view that Brahms's dysfunctional TRs share many of the same characteristics of Chopin's, although I believe that his TRs exhibit new, unclassified symptoms of this condition.

Another such project would involve the detailing of the generic obligations and narrative trajectories in the character pieces of Brahms, Schuman, and Rachmaninoff. It is my view that these works can indeed be understood along the same lines as Chopin's Ballades. For example, they are highly rotational, utilize many of the same narrative procedures— such as rotational synthesis— can be conceptualized in terms of Brower's embodied musical plots, and often involve the thematic oppositions that are present in the genre of the of sonata. On the other hand, I tend to find that these kinds of works tend to suppress the TR impulse, especially in Brahms's late character pieces. In these works, the emergence of any kind of MC is a rarity and invites interpretation. I also believe that these works are involved in the trajectory toward ERC and ESC.

Finally, one could use my ecumenical method to understand sonata-forms of the 20<sup>th</sup> century such as those that are found in output of such composers as Shostakovich and Prokofiev. This kind of study would prove to be especially compelling because those forms depend less on tonal processes. In fact, a

view of these works that prizes rotation, thematic oppositions, and Brower's embodied plot schemas might be more effective in judging their TRs than any kind of harmonic parameters.

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