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Formal Determinants in the First and Fifth Movements of Hector Berlioz's *Symphonie fantastique*

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by

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Abstract

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In this dissertation, I analyze the first and last movements of the *Symphonie fantastique* with respect to four layers: melody, harmony, orchestration, and hypermeter. I use several types of layer-interaction to determine points of large-scale structural significance and refer to this analysis to resolve points of disagreement over the form of each movement. Historically, this piece has been the subject of much criticism because Berlioz has mixed multiple styles, genres, and compositional procedures. Many of Berlioz's works have resisted both categorization and analysis thanks to this general creative strategy.

Chapter One defines each of the four layers that I take into account and gives two examples of the ways in which these layers can move in and out of phase. Chapter Two compares three interpretations of Berlioz's first movement: as an "arched" sonata form in which the first and second themes are reversed in the recapitulation, as a Type 3 sonata form but with recapitulation beginning in the dominant, and as an instance of Anton Reicha's *Grande coupe binaire*. I suggest that the *Grande coupe binaire* and the Type 3 sonata forms each provide a closer model to the movement than the "arched" sonata hypothesis. Chapter

Three compares my layered analysis of Berlioz's first movement and the first movement of Reicha's Symphony no. 2 in E♭. I find similarities between the two movements that point towards Reicha's theory of the form as a plausible model for Berlioz's first movement. Chapter Four applies my proposed analytical technique to the entire fifth movement to establish not only the points of large-scale structural significance, but also to establish continuity in the movement by demonstrating momentum gain and loss through the interaction of the layers. Finally, Chapter Five evaluates Berlioz's *Ronde du sabbat* under the *Paris Conservatoire's* guidelines for the fugue by examining treatises by Reicha and by Luigi Cherubini. It then establishes the interaction of layers as an important aspect of fugue composition.

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Introduction

This dissertation was inspired in part by a desire to respond to some common stereotypes about Hector Berlioz that persisted even into the twentieth century: that he had no talent for writing melodies or harmonies, that he was eccentric, and that he was insufficiently trained. François-Joseph Fétis famously remarked:

> I saw that [Berlioz] had no taste for melody and but a feeble notion of rhythm; that his harmony, composed by piling up tones into heaps that were often monstrous, was nevertheless flat and monotonous. In a word, I saw that he lacked melodic and harmonic ideas, and I came to the conclusion that he would always write in a barbarous manner; But I saw that he had an instinct for instrumentation, and I thought that he might perform a real service by discovering certain combinations that others could use better than he.[1]

Fétis made this remark in his review of the *Symphonie fantastique*, drawn from Franz Liszt's piano reduction printed in 1834. The review exemplifies the common attitude towards Berlioz as a clever orchestrator but a poor composer. Felix Mendelssohn also had a low view of Berlioz's compositional ability, as shown in a letter to his mother:

> Now you shall hear about Berlioz and his music. He makes me sad, because he is really a cultured, agreeable man and yet composes so very badly. The day after tomorrow he is going back to Paris. He seems terribly in love, and this has been the inspiration for a symphony which he calls *Épisode de la vie d'un artiste*.[2]

Mendelssohn follows this with a description of the program, about which he notes:

> how utterly loathsome all this is to me, I don't have to tell you. To see one's most cherished ideas debased and expressed in perverted caricatures would enrage anyone. And yet this is only the program. The execution is still more miserable: nowhere a spark, no warmth, utter foolishness, contrived passion represented through every possible exaggerated orchestral means: four timpani, two pianos for four hands, which are supposed to imitate bells, two harps, many big drums,

1 Fétis, François-Joseph. *Revue musicale*, Feb 1, 1835 trans. Edward Cone in Berlioz, Hector. *Fantastic Symphony: an authoritative score, historical background, analysis, views and comments.* ed. Edward Cone (New York: W.W. Norton, 1971), 217. Hereafter cited as Cone.

2 Mendelssohn, Felix. Letter to his mother, dated March 15, 1831 trans. Sam Morgenstern in *Composers on Music,* ed. Sam Morgenstern (Pantheon Books, 1956).

> violins divided into eight parts, two parts for the double basses which play solo passages, and all these means (to which I would not object if they were properly employed) used to express nothing but indifferent drivel, mere grunting, shouting, screaming back and forth.[3]

By admitting that he would not have objected to Berlioz's use of instruments had they been "properly employed," Mendelssohn disagrees with Fétis' opinion on Berlioz's abilities as an orchestrator as well as denouncing his skill as a composer. It appears, moreover, that the most objectionable aspect of the *Symphonie fantastique,* for Mendelssohn, was the meaning behind the music as given by the program. Berlioz's parody of the *Dies irae* and the image of the witches dancing on the Blocksberg were particularly loathsome to Mendelssohn.

Fétis, who would first have us believe that Berlioz composed by "piling up tones into heaps that were often monstrous," goes on to attack the composer's musical education as well:

> I remember one day (about twelve years ago) when I was a member of the examining jury for the composition classes at the Conservatory. Among the students who brought examples of their work was a young man who seemed quite bored with the whole proceeding. He showed me some monstrosity that he believed to be double-counterpoint: it was nothing but a tissue of harmonic horrors. I made a few corrections and I explained the reasons for them to the young man in question. His sole response was to inform me that he held all studies in great contempt, and that he considered them completely useless to a man of genius. This confession of faith was greeted with great anger by the director of the Conservatory and some of my colleagues; as for me, I took a different tack and said to the young man that such musical knowledge was beneficial only to those who knew how to use it and realized its purpose. Those who mistrusted it could make no progress in their studies, which would be useless to them. I then advised the young calumniator of counterpoint and fugue to give up subjects that he valued so little and to put himself at the free disposal of his genius, if he had any. He followed my advice, left the Conservatory, and from that very day began to play his role as reformer of music. That young man was M. Berlioz.[4]

Fétis' erroneous account of Berlioz's musical education is casually echoed in sources

3 Ibid. The entire passage on Berlioz can also be found in Cone, 281 – 282.

4 Cone, 216.

until recently. Tovey, for example, remarked in 1936 that "Berlioz notoriously failed to learn anything that his masters tried to teach him and... almost everything they tried to teach him was wrong."[5] More recently, William Rothstein remarks on Wagner that "except perhaps for Berlioz, no other major composer of the tonal era seems to have been so ill-educated musically."[6] It is easy to show, however, that Berlioz attended some courses at the *Conservatoire* after his first attempt at the *Prix de Rome* in 1826, and moreover that he did not appear to do any worse than his fellow students. Materials at the archives in the *Conservatoire* show that Berlioz at least took the counterpoint and fugue class from Anton Reicha and composition lessons from Jean-François Le Sueur during his stay. D. Kern Holoman reviewed a series of five books in the archives at the *Conservatoire*, compiled by Luigi Cherubini, containing the results of the final exams and the entrance auditions of prospective students.[7] Each entry gives the date, the instructor, the class examined, the name of the student, their age, and a phrase summarizing their progress. Holoman found additionally that Cherubini's comments on Berlioz, despite the latter's account of Cherubini in his *memoirs*,[8] was not more severe than those he made of many of the other candidates. The examples given by Holoman also show comments that indicate improvement over time. In the January 1827 counterpoint exam, Berlioz was given the comment "he has not been in class long, let's give him time."[9] The January counterpoint in 1828 shows the promising line

5 Tovey, D. F. *Essays in Musical Analysis* 4 (*Illustrative Music)* London, 1936, 75.

6 Rothstein, William. *Phrase rhythm in tonal music*. New York: Schirmer Books, 1989, 251.

7 See Holoman, D. Kern. "Berlioz au Conservatoire: notes biographiques." *Revue de musicologie* 62 (1976), 289 – 92.

8 Berlioz, Hector. *The memoirs of Hector Berlioz*. trans. and ed. David Cairns. (New York: A.A. Knopf, 2002).

9 "Il n'y a pas longtemps qu'il est en classe, il faut attendre."

"his fugue is passable."[10] and finally, in the July counterpoint exam of 1828, Cherubini gives him the note "excused."[11] According to Holoman's review of these five books and the register of classes, no other evidence exists of Berlioz's attendance at any classes or final exams at the *Conservatoire*. Nevertheless, his studies with at least these two professors contradicts Fétis' account of Berlioz's tenure at the *Conservatoire*.

A few generations after Fétis, Wotton speculated positively on the subject of Berlioz's musical education that it was regular, thorough, and included ear training at the piano.[12] The nineteenth-century idea of the symphony as a schoolwork exercise, similar to today's impression of the fugue as an intellectual exercise, might have been a contributing factor in earlier impressions of Berlioz's level of musical education. In 1902, Julien Tiersot summarized the nineteenth-century French attitude in this regard:

> The symphony was considered in France to be a schoolwork exercise, so much so that for a long time the symphony manifested itself only as *envois de Rome* [compositions which winners of the Prix de Rome submitted annually to the Académie des Beaux-Arts during or just after their years as laureates to prove their growing maturity in their art]. A well-written symphony was, it seems, the supreme proof of the talent of the young composers crowned by the Academy. As preparatory work, they had been obliged to write a fugue; the symphony came later, as the definitive crowning. But in the eyes of the judges it undoubtedly had no more importance or a higher artistic meaning.[13]

Despite the many non-traditional features in Berlioz's *Symphonie fantastique*, perhaps taken as his post-Rome Prize symphonic "schoolwork exercise," scholars today are beginning to recognize the legitimacy of Berlioz's musical education. Holoman, for example,

10 "Sa fugue est passable."

11 "Congé."

12 Wotton, T. S. *Hector Berlioz*. (London, 1935), 52ff

13 Tiersot, Julien. "La Symphonie en France." *Zeitschrift der Internationalen Musikgesellschaft* X (1902), 393. Translated to English in Brown, A. Peter. *The Symphonic Repertoire, Volume III Part B. The European Symphony from ca. 1800 to ca. 1930: Great Brittain, Russia, and France*. (Indiana University Press: Bloomington, 2007), 531.

argues that

> precedents and models for many details of the Berlioz style – or styles – are not just in Beethoven, Rossini, and Weber, but in the thoroughly French tradition of Gossec and Méhul. He was well, if unusually, schooled: one no longer takes seriously the charges of a defective "technique," and now that we know virtually everything he composed, and the contexts in which his work emerged, a view of Berlioz as a prevailingly rational artist, and a rather orderly one at that, seems firmly established.[14]

In *The Musical Language of Berlioz*, Julian Rushton finds that we know very little about Berlioz's formal education at the *Conservatoire*. We have the evidence Holoman summarized about Berlioz's attendance at Reicha's counterpoint and fugue class and Le Sueur's composition class, and we have his five attempts at the Rome Prize and the fact that he won on his last attempt in 1830. Some of Berlioz's Rome Prize entries still exist, as Rushton was able to compare Berlioz's first fugue entry with the winning fugue by a contestant named Paris.[15] Unfortunately for the purposes of this dissertation, Berlioz's winning cantata in 1830 has been lost.

There is not much beyond these bits of evidence of Berlioz's formal musical education. Berlioz's use of the fugue in his other compositions, however, exhibit many of the techniques that would have been taught at the *Conservatoire* and indicate that Berlioz understood how to employ elements of counterpoint and fugue according to the academic standards of his time. Part of this dissertation reviews Cherubini's official textbook on counterpoint and fugue and Reicha's writings on the fugue in his *Traité de haute composition musicale.* Berlioz's *Ronde du sabbat* in the fifth movement of the *Symphonie fantastique* contains a correct fugue exposition according to these standards, complete with subject,

14 Holoman, D. Kern. "Berlioz." in *The Nineteenth Century Symphony*. ed. D. Kern Holoman. (Schirmer Books: New York, 1997), 111.

15 See Chapter 5.

countersubject in double counterpoint at the tenth, and real answer.

Berlioz was not without his supporters during his own time as well, and Schumann was among his earliest defenders. In response to Fétis' review of the *Symphonie fantastique*, Schumann placed the work within a familiar context for the nineteenth-century listener by analyzing the first movement as a type of *sonata-allegro*.[16] Additionally, he labeled all of the movements as if they belonged to a Classical symphony:

I. A sonata-allegro with slow introduction

II. A dance movement or scherzo

III. A slow movement

IV. And V. combined: a superfinale

In his enthusiasm to frame *Symphonie fantastique* in terms that his audience would understand, however, Schumann ignored features that simply do not fit the model. For example, Berlioz himself at first also labeled the fourth and fifth movements together in an early manuscript as the "first and second parts of the Vision." But he changed their titles to *Marche au supplice* and *Songe d'une nuit du sabbat* as if to acknowledge that the two movements are in fact independent from one another. While Berlioz may have originally conceived of movements IV and V as one lengthy finale, this change indicates Berlioz's own realization that he had composed a five movement symphony. Schumann's desire to compare the work to an accepted Classical norm also led him to find symmetries in the first movement that are not present, as in his diagram of the "arched" sonata form.[17] Another example of Schumann's overly eager identification of classical forms in the symphony is his analysis of the slow introduction to movement I, where he identifies a theme with two variations. But the

16 See Chapter 2.

17 See Chapter 2.

second variation is "only hinted at" in the horns at mm. 50 – 59.[18] The passage is instead two statements of a theme, the first in C minor, and the second in E♭ major, with free interludes between.[19]

Recent scholarship is moving more towards viewing Berlioz's compositional abilities in the spirit of Schumann rather than that of Fétis, or in the spirit of correcting or challenging the historically negative stereotypes about the composer. Modern scholarship generally must draw from what D. Kern Holoman calls "three definitive secondary sources:" Charles Malherbe and Felix Weingartner's first complete edition of Berlioz's works, Julien Tiersot's *Berlioziana*, and Adolphe Boschot's biography.[20] One such modern scholar, Julian Rushton, provides what he describes as a biography of Berlioz's music in *The Musical Language of Berlioz*. Like my dissertation, ne of Rushton's main aims is to provide a critical response to some of the same claims about Berlioz's musical competence. This dissertation differs from Rushton's work, for example, in that I use the alignment of several musical elements to assign structural weights to the endpoints of formal sections in the *Symphonie fantastique*, whereas Rushton tends to consider these elements separately.[21] In his book, moreover, Rushton considers examples from various works, rather than focusing on the entirety of a movement or work. My dissertation addresses the overall formal organization of the *Symphonie*'s first and last movements.

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18 Schumann, Robert. "Aus dem Leben eines Künstlers: Phantastische Symphony in 5 Abtheilungen von Hector Berlioz." in *Neue Zeitschrift für Musik* (1835) iii, 1 – 51. trans. Cone in *Fantastic Symphony*, 220 – 248.

19 See Chapter 2 for an analysis of the slow introduction.

20 Holoman, D. Kern. *The Creative Process in the Autograph Musical Documents of Hector Berlioz, c. 1818 – 1840*. Ann Arbor: UMI Research Press, 1980.

21 Rushton does perform a similar analysis of the fifth movement in *The Music of Berlioz.* (Oxford: Oxford University Press, 2001), 264 – 266, but he makes no attempt to assign weights to the formal endpoints.

Rushton's first three chapters are an important account of what is currently known of Berlioz's musical education. The remaining chapters address Berlioz's use of such compositional devices as chromaticism, rhythm, chord progression, and counterpoint; describe his use of formal schemes in vocal and instrumental music; and generally apply a critical analysis to certain passages within pieces, and to the overture to *Benvenuto Cellini.* Rushton's second book on the subject, *The Music of Berlioz*, continues this aim, and expands his criticism to address some of Berlioz's works as wholes. On the *Symphonie fantastique*, for example, Rushton addresses the question of the work's musical coherence through the comparison of music with discourse. The main purpose of a rhetorical analysis, for Rushton, is to establish when the music comes to a climax or an ending or to mark when something significant is being said. A rhetorically correct musical passage will persuade the audience of a piece's musical truthfulness.[22] In Berlioz's case, the transfer of musical themes from one movement to another, such as the *idée fixe*, can act as a linking device and give the work coherence as a whole without having to rely on the program.

Just as Rushton responded to some of Berlioz's undeserved computational reputation, Francesca Brittan provides additional refutation of some persistent stereotypes about Berlioz in her dissertation: *"*Berlioz, Hoffmann, and the *genre fantastique* in French Romanticism" (Cornell, 2007) by identifying a range of orchestral, chamber, and keyboard works by various composers within the little-known genre of the "fantastic." By reviewing multiple similar pieces that evoke the grotesque and fantastic, she undermines the long-standing belief that Berlioz was unique in his types of boundary-pushing with respect to Classical forms. Additionally, Brittan ties the distorted shapes and experimental timbres in *Symphonie*

22 Rushton, *The Music of Berlioz*, 247.

fantastique to the Romantic aesthetics of the grotesque and to literature by E.T.A. Hoffmann, Théophile Gautier, Jean-Paul Richter, and Victor Hugo. Her dissertation connects 19th century music together with literature, painting, and even medicine. Her chapter on monomania links the metaphorical artist to the perceived mental state of the composer himself.

Stephen Rodgers makes similar connections between music and depictions of disability in his dissertation: “Circular form as a metaphor in the music of Hector Berlioz” (Yale, 2005), where he discusses the role of the rotations in the *Carnaval romain,* the first movement of the *Symphonie fantastique,* and a scene in *Roméo et Juliette.*[23] Rodgers classifies the *idée fixe* as one of several circular forms in the symphony, and compares its recurrence to metaphorical connections between the program and the music. Rodgers' analysis relies on this comparison to connect the symphony to theories of disability.

Brittan and Rodgers look to extramusical sources to explain the features of Berlioz's music which critics have otherwise used to dismiss his abilities as a composer. In Rodgers' case, the rotational nature of Berlioz's first movement supports, for him, a connection with disability studies and the parallel with musical obsession. Brittan relies on connections between Berlioz's music and the other arts to situate the *Symphonie fantastique* within a genre of the grotesque which today is little-known within the field of music. Where Rushton treats Berlioz's music from the standpoint of rhetorical unity through thematic transfer, Brittan and Rodgers focus on Berlioz's ironic and grotesque distortions of classical forms through the lenses of genre and disability. And finally, Rushton and Holoman provide important preliminary evidence in support of Berlioz's musical education, and therefore his

23 See Rodgers, Stephen. "Mental illness and musical metaphor in the first movement of Hector Berlioz's Symphonie fantastique." In *Sounding off: Theorizing disability in music. 235-256.*

ability to apply well-established compositional techniques to his works. This dissertation develops a method of analysis which combines these two positions by not only determining formal endpoints within a movement, but also establishing additional means to provide musical momentum. The proposed analysis additionally incorporates elements from Reicha's theories on melody and on form in order to help address the question of Berlioz's musical education. This analysis therefore aims to balance the historical considerations surrounding Berlioz's education with the composer's innovative use of new compositional techniques, which do not always submit themselves to the traditional analytical techniques of assigning roman numerals, cadences, phrase markings such as "antecedent" and "consequent," or even large-scale formal categorizations such as "sonata-allegro" or "fugue."

My analysis draws some inspiration from John Roeder's approach to analyzing post-modern music, and in particular, his approach towards explaining the music of Thomas Adès.[24] Although Berlioz was certainly not a post-modernist, some of the more experimental aspects of the *Symphonie fantastique* create some of the same difficulties for analysis as, for example, the music of Thomas Adès. Roeder uses Jonathan Kramer's description of post-modern music as music which displays some degree of irony, fragmentation, discontinuity, promotion of multiple semantic values, and promotion of multiple temporalities. Post-modern music ignores the historical boundaries of style, genre, sonority usage, structural procedures, and structural unity.[25] I argue that the *Symphonie fantastique* shares some of these features, though not that of structural unity, and therefore also shares some of the difficulties for analysis that Roeder encountered with Adès' music: how can one form a

24 Roeder, John. "Co-operating Continuities in the Music of Thomas Adès," *Music Analysis*, 25/i-ii 2006.

25 Kramer, Jonathan D. "Beyond Unity: toward an understanding of musical postmodernism" in Elizabeth West Marvin and Richard Hermann (eds.) *Concert music, Rock, and Jazz since 1945: essays and analytical studies.* Rochester: University of Rochester Press, 1995. pp. 11 – 33.

consistent, coherent analysis of music that appears in many ways to be so disjointed?

Roeder, in his solution to this problem, looks to Kramer's ideas about "direction," "linearity," "narrative," and "motion." As part of his analytical method, Roeder expands these concepts to the more fundamental concepts of continuity, beginning, and ending. In his essay and another paper in *Music Theory Online*, Roeder develops a promising idea: post-modern music can be analyzed by looking at where different continuities converge and diverge as a means to create "structural cadences."[26] Most of Roeder's analysis of Adès' *Aus dem Wasser zu singen,* however, only dealt with pitch-class sets and rhythmic continuities, and he did not apply the method to the overall structure of the movement, but rather stopped at the first structural cadence that he found. This technique can be expanded to apply not only to pitch-class and rhythmic continuities, but also to other musical elements, including phrase groupings, meter, harmony, and orchestration. By including these elements, an analysis of the *Symphonie fantastique* can better show how larger passages of music can connect and relate to one another through the varying structural weights of each cadence. The more layers are in phase, the stronger the weight of the cadence.[27] The movement of these layers in and out of phase can also help determine momentum when other determinants, such as harmonic rhythm, are not present.[28]

This dissertation focuses primarily on the first and last movements of Berlioz's *Symphonie fantastique* to establish the usefulness of my proposed method of analysis. The first movement provides a good test case for the applicability of assigning structural weights

26 Roeder, John. "A Transformational Space Structuring the Counterpoint in Adès' 'Auf dem Wasser zu singen.' *Music Theory Online,* 15/i. March 2009.

27 See Chapter 3

28 See Chapter 4, especially the *Dies irae* passage.

to various formal endpoints. There are three major competing analyses of this movement: a Type 3 sonata with proportionally short development and recapitulation beginning in the dominant, an "arched" form in which the first and second themes are reversed in the recapitulation, and a binary form based on Reicha's *Grande coupe binaire*. I suggest that my proposed analysis can be used to help resolve precisely this kind of disagreement.

Berlioz's fifth movement is also ideally suited to test my analytical method because its overall form does not appear to reference one of the Classical symphonic movements in the same way that the other movements do. The rate at which the layers move in and out of phase can help determine not only the relative weights of each structural cadence, but can also help establish momentum and therefore give the movement a sense of connectedness when elements such as a sonata scaffolding are not present. The fifth movement also contains what Rosen refers to as an "absolutely correct academic fugue."[29] Because his statement so thoroughly contradicts Fétís' claims about Berlioz's treatment of counterpoint and fugue, this passage also presents an opportunity to show that Berlioz has demonstrated correct fugue-writing procedures as specified by the textbooks at the *Conservatoire* during the 1820's and 30's.

Chapter One establishes definitions for four main layers which contribute to the relative weights of each structural cadence: melody, harmony, orchestration, and meter. The melody layer depends heavily on phrase rhythm, symmetry, and periodicity. I draw from Rothstein's definitions of the phrase and subphrase,[30] Reicha's definition of the melodic cadence for passages where Berlioz's harmony or non-functional bass line make today's

29 See Chapter 5.

30 Rothstein, William. *Phrase Rhythm in Tonal Music*. (New York: Schirmer Books, 1989).

standard definition of the cadence inapplicable,[31] and Ratner's definitions of symmetry and periodicity.[32] I define the harmony layer in the usual, tonal sense and represent it with the standard roman numerals and figured bass numbers where possible, and with root, quality, and inversion when a clear roman numeral is not identifiable. I display the orchestration layer simply by which instrument or instrument group plays at any given time. I define the metrical and hypermetrical layers according to Fred Lerdahl's and Ray Jackendoff's definitions.[33] I use what Andrew Imbrie calls a "conservative" listener's strategy for the meter and hypermeter,[34] but also acknowledge that a change in the periodicity of the other three layers can strongly challenge the listener's perception of meter and hypermeter.[35] I conclude the chapter with two practical examples of how to apply these layers to a span of Berlioz's music: the opening of his slow introduction, and his first presentation of the *idée fixe*.

Chapter Two uses this layered method of analysis to respond to three different interpretations of Berlioz first movement. The first interpretation is Schumann's famous "arched" sonata form, or sonata with first and second themes reversed in the recapitulation and symmetrically arranged about a central statement of the *idée fixe*. Edward Cone agrees with and expands on this general interpretation, but he finds three points of recapitulation: the second theme at m. 313, the cadential phrase at m. 331, and finally the first theme at m. 412.

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31 Reicha, Anton. *Traité de mélodie*. (Paris, 1814).

32 Ratner, Leonard. *Classic Music: Expression, Form, and Style*. (New York: Schirmer Books, 1980).

33 Lerdahl, Fred, and Ray Jackendoff. *A Generative Theory of Tonal Music*. (Cambridge, MA: MIT Press, 1983).

34 Ibid., 22.

35 See Chapter 4, analysis of the *Dies irae* section.

The second interpretation is Hepokoski's and Darcy's analysis of the movement, which places the recapitulation at the thematically appropriate m. 234, where the first theme occurs in its entirety in the dominant key. They privilege thematic content over key as a determinant of the recapitulation, and they give Beethoven's *Lenore no. 3* as a formal precedent. My proposed analysis of the passages surrounding m. 234 and m.313 show more structural weight at m. 234, and suggest that m. 313 is better represented as a closing space.

The third interpretation is Rushton's assessment of the movement as an instance of Reicha's *Grande coupe binaire*. Reicha's "large binary" form divides the movement into a proportionally shorter exposition and a proportionally longer development. The development is then partitioned into two sections: the "knot," and the "unravelling." Peter Hoyt shows that, despite Reicha's reputation today as an important bridge between the older, binary interpretation and today's ternary interpretation of the sonata form, that Reicha most likely still thought of it primarily as a binary. Hoyt shows that Reicha's famous ternary diagram in the *Traité de haute composition musicale* represents an imperfect metaphor between the musical form and French drama theory. My analysis gives equal preference to the *Grande coupe binaire* interpretation and the Type 3 interpretation, while eliminating the "arched sonata" model.

In Chapter Three, I compare Berlioz's development section with the one in Reicha's own *Symphony no. 2 in E♭*. I find that Reicha's development section contains some of the same features as Berlioz's that are problematic for a ternary interpretation of the movement. Reicha's development section also contains a complete statement of the opening theme in the "wrong" key before returning to the second theme in the "right" key. This chapter also finds that both Reicha's and Berlioz's development sections closely follow Reicha's map of the

“knot” and the “unraveling” as Reicha described them in his treatise.

Chapter Four expands the layered analysis from the relatively localized applications seen in Chapters One and Three, and applies it to the entirety of the fourth movement. This movement is especially well-suited to such an analysis because, contrary to the middle movements, it doesn't have as clear a reference to the classical symphonic movements. The first movement references a sonata-allegro form, the second a dance, the third a slow or “pastorale” movement, and the fourth a march. The fifth movement, on the other hand, contains such disparate themes as the parody of the *idée fixe* in the E♭ clarinet, a presentation of the *Dies irae*, and the Witches' round theme. Berlioz nevertheless ties all of these sections together continuously in a manner that suggests that the interactions of the layers can help create momentum and structural cadences throughout the movement. The movement also contains one of the clearest examples of Berlioz's “intermittent sounds” in the *Dies irae* passage.

Chapter Five rounds out my investigation of Berlioz's musical education by evaluating his *Ronde du sabbat* under the guidelines of Luigi Cherubini's textbook, which was adopted as the official text at the Paris Conservatoire in 1832, and by Reicha's section on the fugue in his *Traité de haute composition musicale*. Reicha's treatise was published in 1824 – 26, just before Berlioz's attendance at his counterpoint and fugue class in 1826. The treatise caused a great deal of controversy at the Conservatoire because it left out species counterpoint and instead included a section on the modes, which Reicha believed to hold great expressive value. Cherubini's textbook perhaps pointedly began with a lengthy introduction to species counterpoint before covering the art of the fugue. This chapter finds that even under Cherubini's more conservative guidelines, Berlioz wrote a mostly correct

fugue exposition with a proper double counterpoint, and at least one correct re-entry of the subject and countersubject after an episode. Berlioz's fugue digresses from the French academic fugue model, however, because it has no stretto section. The passage better fits what Reicha and Cherubini call “pieces in the fugal style,” rather than a complete, strict academic fugue.

Chapter One: Historical Background and Analytical Techniques

From Francois-Joseph Fétis' review of the *Symphonie fantastique* (1835) to William Rothstein's remarks in his *Phrase Rhythm in Tonal Music* (1989), Hector Berlioz has long suffered an undeserved reputation for shirking his musical education. This chapter helps challenge this reputation by developing a method of analysis that takes some of the standards of the *Conservatoire* into account. Reicha's well-respected *Traité de melodie*, his *Traité de haute composition musicale*, and Cherubini's textbook on the counterpoint and fugue all factor into the definitions of each layer of analysis.

Although little documentation in the form of his classwork exists from Berlioz's time at the *Conservatoire*, we do have some evidence of his successful tenure there in the form of Cherubini's comments on Berlioz's final exams, Berlioz's *Prix de Rome* award in 1830, and his attendance at Reicha's counterpoint and fugue class and Lesueur's composition class.[36] The first part of this chapter combines concepts from Reicha's treatises with Berlioz's description of "intermittent sounds" and develops a technique to assign relative weights to the large-scale structural articulations in Berlioz's music. The second part applies my proposed technique to two short passages to demonstrate how the layers can interact with one another.

1.1 Layers: an Overview

This type of analysis takes four layers into account: melody, harmony, orchestration, and hypermeter. These layers may at times be independent of one another, but when the endpoints of these layers coincide, they strongly determine points of large-scale structural stability. I arrive at my definitions of each layer by drawing from Reicha's theories on form

36 See the introduction.

and melody,[37] Berlioz's own thoughts on "intermittent sounds,"[38] Brittan's overview of the orchestration of the grotesque,[39] and Roeder's idea that structural endpoints can arise from a kind of pitch-space counterpoint.[40] This method of analysis therefore attempts to reconcile Berlioz's use of conventional compositional procedures and his distortion of those procedures. I postulate that when a majority of these layers are in phase, the music is at a point of relative stability and can be represented with conventional analysis such as roman numerals, cadence types, phrase structures, etc. When one or more of these layers are out of phase, the music becomes destabilized and is often difficult to model with conventional analysis.

Berlioz himself thought about multiple layers, at least within the category of rhythm, in an article for *Le journal des débats:*

> Many rhythmic effects exist independently of the even or odd numbers of bars or the symmetry of phrases. They can result from accenting weak beats at the expense of strong; from the more or less rapid succession of alternating triple and duple groups; from the simultaneity of different meters whose lesser divisions are irreconcilable and which have no other point of contact than the first beat; from the occasional appearance of a melody in triple time introduced into a quadruple meter, and vice versa; or finally *from the intermittent use of certain sounds independent of the principal melody and of the accompanimental rhythm, and separated from each other by expanding or contracting intervals in proportions which it is impossible to predict*.[41]

37 Reicha, Anton. *Traité de mélodie*. (Paris, 1814) Translated into English in Reicha, Anton. *Treatise on Melody.* trans. Peter Landey. (Hillsdale, NY: Pendragon Press, 2000). And Reicha, Anton. *Traité de haute composition musicale*. (Paris : Zetter, 1824 – 26).

38 Berlioz, Hector. *Le journal des débats*, 10 November 1837.

39 Brittan, Francesca. *Berlioz, Hoffmann, and the genre fantastique in French Romanticism.* PhD Dissertation, Cornell, 2007.

40 Roeder, John. 2006. "Co-operating Continuities in the Music of Thomas Adès," *Music Analysis* 25/1–2: 121–54. And Roeder, John. 2009. "A Transformational Space Structuring the Counterpoint in Adès' "Auf dem Wasser zu Singen."" *Music Theory Online* 15/1.

41 Berlioz, Hector. *Le journal des débats*, 10 November, 1837. Translation in Rushton, Julian. *The Musical Language of Berlioz.* (London: Cambridge University Press, 1983), 128. My emphasis.

Berlioz makes use of these intermittent sounds as a rhythmic device in several passages of his own work. In *The Musical Language of Berlioz*, Julian Rushton gives Berlioz's septet from *Les Troyens* as an example. The cello, bass, horn, and bass drum provide the "intermittent" sounds against an otherwise homophonic texture and a periodic melody in 4-bar phrases. The intermittent sounds appear at measures 13, 16, 19, 27, 30, 33, 36, 39, 47, 51, 58, and 62. This gives the irregular intervals 3, 3, 8, 3, 3, 3, 8, 4, 7, and 4. But Rushton interprets these entrances less as a rhythm and more as an "intermittent color," that of waves breaking on a nearby shore.[42] Charles Rosen gives another potential example of these intermittent sounds in his analysis of Berlioz's first introduction of the *idée fixe* in the *Symphonie fantastique*. In Rosen's interpretation, the accompaniment to the melody is the intermittent sound. He finds that the melody is "intended to be heard as if essentially unharmonized, with no accompaniment the cellos and basses are interruptions, at first a mimesis of the agitation in the poet's or musician's heart, an image of the passion that mounts as the melody proceeds."[43] Indeed the lower strings enter irregularly at the beginning of the *idée fixe*, and only become more regular as the passage approaches the first PAC of the *Allegro* at m. 112.

My proposed analysis was partly inspired by Berlioz's ideas about intermittent sounds and partly by Roeder's solution to the similar problem of how to analyze post-modern music. Post-modern music, though admittedly quite different from Berlioz's music, shares some of the same features that make a traditional analysis more difficult: particularly those of irony and multiple temporal values.[44] I argue that at least four such layer types can exist at times

42 See Rushton, *The Musical Language of Berlioz,* 138.

43 Rosen, Charles. *The Romantic Generation*. (Cambridge, MA: Harvard University Press, 1995), 547.

44 See my Introduction.

independent from one another, and that their points of coincidence have large-scale structural significance. The four layers that I take into account are melody, harmony, orchestration, and hypermeter. Of these four layers, harmony and orchestration are the easiest to define. Orchestration will simply be shown by Berlioz's choice of instrumentation for a particular passage. Harmony will be shown with roman numerals where they can be determined, and the harmonic layer's endpoints will be shown by the standard notation: HC for half cadences, IAC for imperfect authentic cadences, PAC for perfect authentic cadences, DC for deceptive cadences, and PC for plagal cadences. The melodic and hypermetrical layers require further expansion and are given in the section below.

1.2 Meter and Hypermeter

This layer draws from Fred Lerdahl and Ray Jackendoff's *A Generative Theory of Tonal Music,* in which they define meter as a strict hierarchy of strong and weak beats.[45] Most relevantly for this thesis, the beats must be evenly distributed in a meter, or the time intervals between each beat must be equal. The alternation of strong and weak beats can occur on more than one level. The primary level, which Lerdahl and Jackendoff call the *tactus* of metrical structure exists where beats pass at a moderate rate. The rate that the conductor waves a baton, or the listener taps a foot, or the dancer completes a shift in weight, all indicate this level of metrical structure.

A *hypermeter*, as I define it, is thus one or more levels above this tactus. Lerdahl and Jackendoff consider metrical structures to be relatively local: the listener will only perceive them at a few levels beyond the tactus. Their method of representing beats by layers of dots could theoretically be extended to the level of the whole piece, but they do not consider this

45 Lerdahl, Fred, and Ray Jackendoff. *A Generative Theory of Tonal Music.* (Cambridge, MA: MIT Press, 1983).

relevant except in very short pieces. On the scale of a long piece, moreover, the music is unlikely to align with one persistent hypermeter throughout, and thus Lerdahl and Jackendoff would not consider the large-scale structural points in, for example, a sonata form, to constitute a metrical structure, but rather a grouping structure. On the large-scale, then, the position of the strong and weak beats is likely to change as musical events begin to reinforce the new hierarchy of beats. In my analysis, the hypermeter will rarely span more than four measures.

As these metrical hierarchies shift, there will often be a gray area in the music where the underlying hypermeter is not clear. Lerdahl and Jackendoff cite Imbrie's definitions of "conservative" and "radical" hearings of these shifting metrical structures as a useful distinction.[46] The conservative listener will seek to retain the old hypermeter as long as possible, while the radical listener will immediately adjust their hearing to the new metrical accents. My analysis suggests that if several layers move in phase for a long period of time and are out of phase with the original underlying hypermeter, it becomes difficult for even a conservative listener to retain the old pattern of strong and weak beats.[47]

1.3 Melody

The melody layer in my analysis requires a clear idea of the *phrase,* the *sub-phrase*, *symmetry*, and *periodicity*, and I will use these ideas to discuss Berlioz's use of *phrase rhythm* and how it can interact with a passage's hypermeter. I draw on William Rothstein's definitions of the phrase, sub-phrase, and phrase rhythm from his *Phrase Rhythm in Tonal Music.*[48]

46 Lerdahl and Jackendoff, 22. Citing Imbrie, Andrew. "'Extra' Measures and Metrical Ambiguity in Beethoven." in *Beethoven Studies.* ed. A. Tyson. (New York: Norton, 1973).

47 See for example Chapter four: presentation of the *Dies irae.*

48 Rothstein, William. *Phrase Rhythm in Tonal Music*. (New York: Schirmer Books, 1989).

Rothstein was influenced by Heinrich Koch's *Introductory Essay on Composition* (1787 – 93). On the same subject, he drew also from Reicha's *Traité de melodie* and Hugo Riemann's *System der musikalischen Rhythmik und Metrik.* Finally, Rothstein followed Lerdahl and Jackendoff's distinction between grouping and meter from *A Generative Theory of Tonal Music* (1983).

A phrase rhythm can exhibit symmetry, periodicity, or both. I use Leonard Ratner's definitions in *Classic Music* of both symmetry and periodicity.[49] Ratner provides an important baseline for the stylistic norms of music written in the classical (Viennese classic) style. His chapter on periodicity provides not only many good examples of symmetrical and periodic classical phrase structure, but also some means by which classical composers could disturb symmetry or periodicity within the style.[50] I will then be able to contrast Berlioz's own disruptions of symmetry with the norms of the classical style.

In cases where Berlioz provides a melody without much (or sometimes any) harmonic support, I use Reicha's *Treatise on Melody* because Reicha developed a theory of melody and melodic cadence which does not require harmony. Reicha's treatise is of special interest to the melody layer because of his role as one of Berlioz's teachers at the *Conservatoire*. Reicha already enjoyed a great reputation as a composer and theorist by the time he moved to Paris in 1808. This esteem drew in part from his earlier studies with Salieri and Albrechtsberger in Vienna and from his association with Beethoven in Bonn. In 1818, Reicha began his tenure as professor of counterpoint and fugue at the *Conservatoire*. His pupils there included Berlioz, Liszt, Adam, Gounod, and Franck, and his *Cours de composition musicale* replaced Catel's harmony treatise as the *Conservatoire's* official textbook on harmony. His similarly

49 Ratner, Leonard. *Classic Music: Expression, Form, and Style.* (New York: Schirmer Books, 1980).

50 Ibid. 33 – 40.

well-respected *Traité de melodie* (1814) and *Traité de haute composition musicale* (1824) placed great emphasis on the musical period and the musical theme, though the *Traité de haute composition musicale* caused some controversy amongst the faculty at the *Conservatoire* for its inclusion of the church modes at the expense of species counterpoint.[51] Reicha's numerical reductions of phrases corresponded with the early nineteenth century trend of comparing the music to coherently articulated clauses, sentences, and paragraphs.[52] Reicha even completed the analogy by using punctuation marks to represent the various strengths of each cadence. Scott Burnham notes Reicha's reduction of Mozart's "non so piu" from *The Marriage of Figaro* as an example of such punctuation. In this example, Reicha used integers to denote the length (in measures) of each phrase, separated by semicolons for half cadences, colons for "interrupted cadences," and periods for "full cadences."[53]

1.4 The Phrase and the Sub-phrase

Rothstein notes that the term *phrase* is especially difficult to define rigorously. Any successful attempt to produce music must nevertheless rely on the musicians' ability to agree on the musical phrasing. But he also argues that most musicians will not give consistent answers to the question of what is a phrase. Rather than try to answer this question definitively, Rothstein instead defines some key characteristics of a phrase that are necessary, but perhaps not sufficient conditions for the formation of a phrase.

Rothstein uses Roger Sessions' definition as a starting point for his exploration of the

51 See Chapter 5

52 Ratner, 33ff.

53 See Burnham, Scott. "Form," in *The Cambridge History of Western Music Theory*. (Cambridge: Cambridge University Press, 2002).

phrase. For Sessions, “the phrase is a constant movement towards a goal – the cadence.”[54] Another common definition is “a motion with a beginning, middle, and end.” Both definitions require a sense of directed motion. This direction can be achieved through rhythm, harmony, or the intersection of the two. To achieve this directed motion, Rothstein believes that there must be tonal motion in a phrase.[55] In order to illustrate this point, he gives us the opening to the *Blue Danube* Walz.[56] Rothein chose his Example 1.2 well: it exhibits most of the features that are essential to his theory of phrase rhythm. mm. 2 – 17 easily partition into four units based on rhythmic similarity and harmonic homogeneity. Because there is no tonal motion between each of the 4-bar units, Rothstein cannot call them phrases. He can say, however, that the harmonic rhythm changes once every 4 bars. Moreover, we hear a structural V in m. 8, followed by a structural I in m. 12. Each 4-bar unit may instead be called a *sub-phrase*.

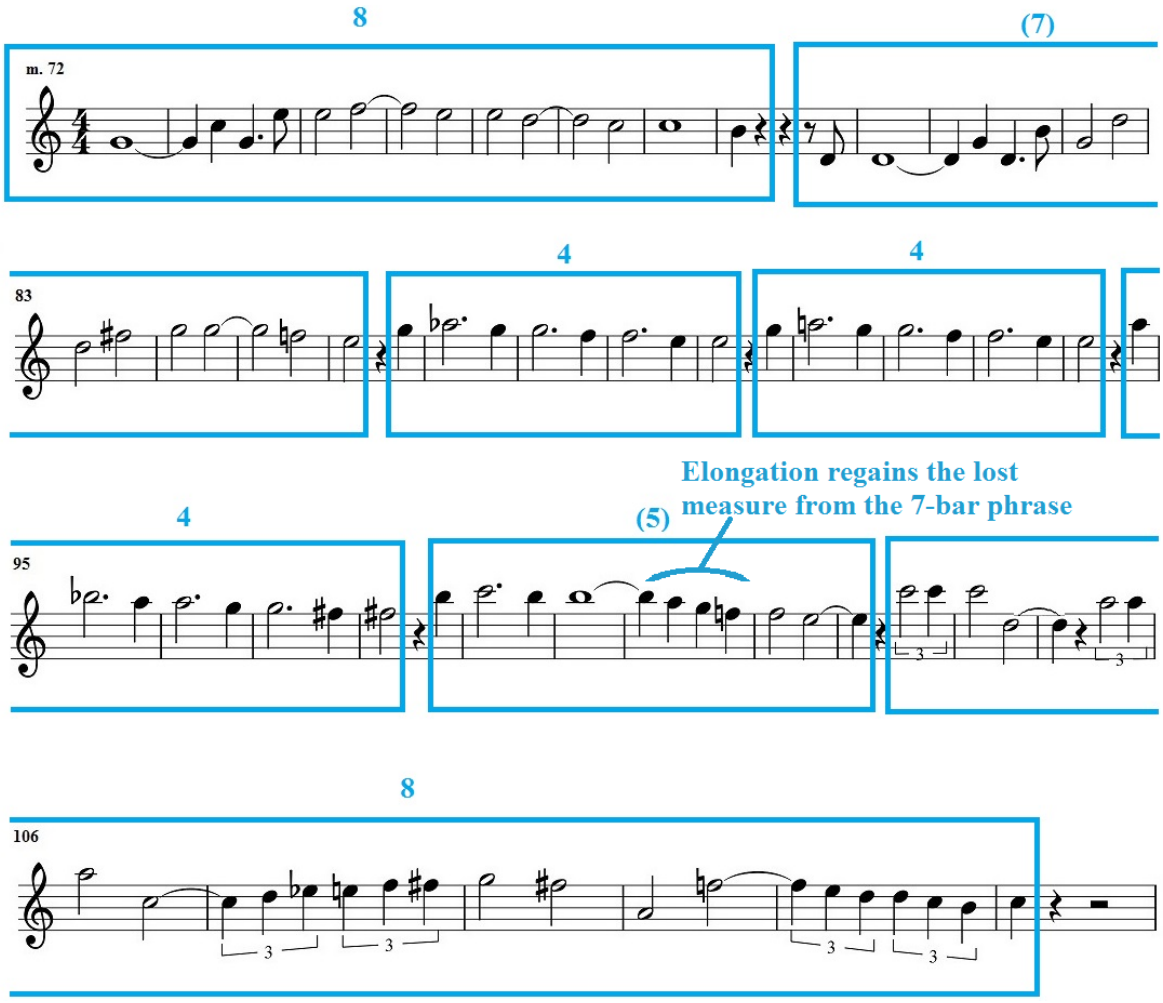
Rothstein's Example 1.2 contains a 4-bar *hypermeter* because each segment is exactly the same length. In this case, the *phrase rhythm* mostly corresponds with the hypermeter, but Rothstein cautions us not to conflate the two ideas. One critical distinction is that meter and hypermeter must be regular, whereas phrase rhythm might not be. For example, a hypermeter might have the form 4 + 4 + 4 = etc, but a phrase structure might take the form 2 + 3 + 2 + 2 + etc. Rothstein uses *phrase rhythm* to encompass phrases together with hypermeter and *phrase structure* to refer to phrases apart from hypermeter. Rosen's comments on Berlioz's *idée fixe* are another example of phrase structure moving out of phase with the underlying

54 Sessions, Roger. *The Musical Experience of Composer, Performer, and Listener.* (Princeton: Princeton University Press, 1950), 13.

55 Rothstein, 5.

56 Rothstein Ex. 1.2, 6.

hypermeter. The passage spans 40 measures from mm. 72 – 111, and consists of an 8 + 7 + 4 + 4 + 4 + 5 + 8 phrase structure. Berlioz recovers the lost measure from the 7-bar phrase by the later 5-bar extended phrase. As Rosen notes, moreover, the two odd-measured phrases are situated symmetrically with respect to the entire passage: the 7-bar phrase occurs in the second position, while the 5-bar phrase occurs at the penultimate one. The result is a phrase structure that moves out of phase from the hypermeter beginning in m. 87, and only recovers its footing at the final 8-bar phrase in m. 108.[57]



Example 1: Berlioz, Symphonie fantastique I, mm. 72 – 111.

57 See also my Figure 2 in section 1.7.

1.5 Periodicity and Symmetry

In order to more fully differentiate between Berlioz's passages that are consistent with classical norms and passages that diverge from those norms, my analysis draws primarily from Ratner's Chapter three, wherein he details the concepts of periodicity, symmetry, and the disturbances of each. Ratner describes "periodicity" as "the tendency of classic music to move toward goals, toward points of punctuation. The most important of these is the *period*, which marks the end of a complete statement."[58] Ratner notes that the period in music often related to the period in language and in rhetoric. In traditional rhetoric, he defines it as:

> The *entire statement* terminated by such a point of punctuation. Thus, a period in language is a *complete* statement, a sentence whose sense is fully grasped only when it has come to a close; the listener's attention is held until the final word. Likewise, in music, a passage is not sensed as being a period until some sort of conclusive cadence is reached.[59]

The period (in the sense of punctuation) must be represented by a conclusive-sounding cadence. A passage cannot be sensed as a period unless it ends conclusively, that is, on a PAC.[60] But a strong HC, especially when the period modulates to the dominant, could serve the same period-ending function.[61] Dance and poetry contributed to the idea of *symmetrical groupings* in period structure in the 17th and 18th centuries. *Symmetry* in this case refers to a balanced, or paired grouping of musical statements, usually in 2 + 2, 4 + 4, 8 + 8, etc. measure lengths. These short musical units must be clearly articulated by lesser points of punctuation, that is, cadences of lesser strength. An 8-bar period, for example, would be symmetrical if it consisted of a relatively weaker cadence, such as an HC, at m. 4 and a

58 Ratner, 33.

59 Ibid.

60 Ibid., 34.

61 Ibid., 35.

conclusive cadence, generally a PAC, at m. 8.

Composers have several devices for disrupting symmetry in this style. Below, I show a few examples from Ratner for which I have found either an exact or a similarly functioning device in Berlioz's melodies. *Compression of action* was a means to create symmetrically placed cadences when a given pattern of notes would have terminated outside the eight measure limit. Ratner gives a four-measure long phrase ending with a HC on ^7 which must terminate with a PAC on ^1, but since the ^1 must be added to the end of the pattern to complete the cadence, the second phrase would extend to 5 measures. Ratner shows the note values compressed by half in m. 7 to place the final ^1 at m. 8. Thus, the phrase lengths remain symmetrical, but the pattern of note values becomes irregular.[62] Berlioz does something similar, though not completely analogous, in his "regularized" phrasing of the *idée fixe* in his fifth movement. His original statement has the aforementioned asymmetrical 8 + 7 phrase rhythm, but at the closing section of the fifth movement, he has compressed the phrases, already in 2:1 diminution, to a 4 + 4 phrase pattern.[63]

Tacterstickung, or suppression of a measure, was another means to disrupt the symmetry of a passage of music. It is analogous to the modern *elision*. The final measure of the first phrase in a period becomes simultaneously the first phrase's point of arrival, and the second phrase's point of departure. Ratner describes this device as a means to connect two periods together, and it functions to maintain momentum.[64] Berlioz's disruption of symmetry in the opening passage of his symphony, discussed in my Figure 1 below, gives a similar example of symmetry disruption, except that Berlioz has also disrupted the melody of the

62 Ibid., Ex. 3 – 2, 37.

63 See my analysis in Chapter 4.

64 Ibid., 38.

final phrase altogether in favor of new thematic material. The continuing material, in Berlioz's case, also does not form a second period, but rather the beginning of a lengthy transition. His avoidance of the period-ending PAC and elision with the subsequent material nevertheless represents a maintenance of momentum.[65]

Rearrangement of functions is a third means for composers to disrupt symmetry while remaining within the classical style. This method relies on the comparison of music to the rhetorical devices of *opening, continuation,* and *completion*.[66] This provides a better explanation than *Tacterstickung* for Berlioz's opening material in his first movement, because the passage does not show the first of two periods. My Figure 1 also shows more similarities instead to the rearrangement of functions. The opening mm. 1 – 2 show a clear implication for a V – I motion, though it is necessarily an IAC because of the ^5 in the uppermost voice. These two measures are exactly the right length to make up the difference in mm. 17 – 18, where the presence of a strong PAC is expected.

A passage can additionally be asymmetrical through *irregular phrase lengths,* defined here as periods with two phrases of different lengths or with odd numbers of measures in each phrase, such as a 5 – measure phrase, or a 3 – measure phrase. Ratner gives the opening to Haydn's Sonata in E minor, H.V. XVI, No. 34, 1783, first movement, as an example of a grouping of 3 + 2 + 3.[67] Reicha, too, gave an extensive number of examples of periods with irregular phrase lengths in his treatise on melody.[68] Berlioz's presentation of the *idée fixe* in

65 See Figure 1 in section 1.7.

66 Ratner, 39.

67 Ibid., 40.

68 See for example, Reicha, *Treatise on melody*, 26 – 35 and 131 – 135 for many examples of periods with irregular phrase lengths.

his first movement shows a lengthy example of irregular phrase lengths.[69]

Extensions of a phrase structure can serve to delay a cadence and therefore draw additional attention to the cadence. Ratner gives Haydn's Sonata in E♭ major, H.V. XVI, No. 49, 1789 – 1790, first movement, as an example where a third 4-bar phrase is added to give additional weight to the PAC at m. 12.[70] The opening 4 + 4 phrase rhythm ends with an IAC and therefore does not provide a conclusive enough endpoint for the listener to perceive a period. The added 4-bar phrase then serves to strengthen periodicity by ending on a conclusive cadence, but the symmetry of the passage has been broken.

In each of Ratner's examples, the period as a whole requires an accompanying harmony to establish the strength of its ending cadence. Berlioz does not always, however, accompany his melodies with a functional bass line. Rushton explains Berlioz's sometimes unconventional use of the bass in several ways.[71] First, Hugh Macdonald's explanation below accounts for some, but not all of Berlioz's "false" basses:

> A root position is sometimes disturbing when it anticipates a cadence on to the same root, but Berlioz preferred a smooth, often stepwise, movement to the striding pattern of a functional bass. The bass line is in free counterpoint with the upper line, with harmonic filling.[72]

But Rushton finds that Macdonald's characterization of this kind of "false" bass only partially describes Berlioz's uses of the bass line. He gives the *Prière du matin* as a counterexample. Its bass line does sometimes progress smoothly in counterpoint to the melody, but its progression throughout the piece is hardly stepwise. In this example, the bass

69 See Figure 2.

70 Ratner, 41.

71 Rushton, 92 – 107.

72 Macdonald, Hugh. 'Berlioz,' in *The New Grove Dictionary of Music and Musicians.* (London, 1980), vol. 2, 579 – 610.

changes from linear to fundamental and back again.[73] The "linear bass" explanation also does not explain Berlioz's nontraditional uses of the 6/4 chord. Rushton gives several examples where he thinks Berlioz may have tried to avoid reharmonizing a repeated melody the same way twice. The end of the *Marche hongroise*, for example, contains a 6/4 chord one bar too late, and Rushton hypothesizes that Berlioz did not want to duplicate the prior m. 111, where he had used an A major 6/4 harmony to ironically recover the tonic (which should have been in the original minor mode).[74] My analysis of Berlioz's *Symphonie fantastique* will sometimes rely on the identification of phrases and sub-phrases when Berlioz has not provided a consistent underlying tonal accompaniment. His presentation of the *idée fixe* in the first movement and his presentation of the *Dies irae* in the fifth movement are two examples. In these cases, I rely on Reicha's theory of melody.

1.6 Reicha's Theory of Melody

In his *Treatise on Melody*, Reicha outlines a set of rules to govern how a composer may treat rhythm, phrase length, and cadence.[75] According to Peter Landey's translation of Reicha's 1832 version of the treatise, in which Reicha made only slight changes to the wording, he included some idiosyncratic uses of the terms *phrase, rythme, figure, membre, cadence, symétry,* and *compagnon*.[76] Landey, cross-checking with Czerny's German translation of the same work, includes the following definitions of Reicha's terms. Reicha uses *phrase* to describe a musical unit whose thematic content is of primary concern, and

73 Rushton, Ex. 46, 92 – 94.

74 Ibid., 95.

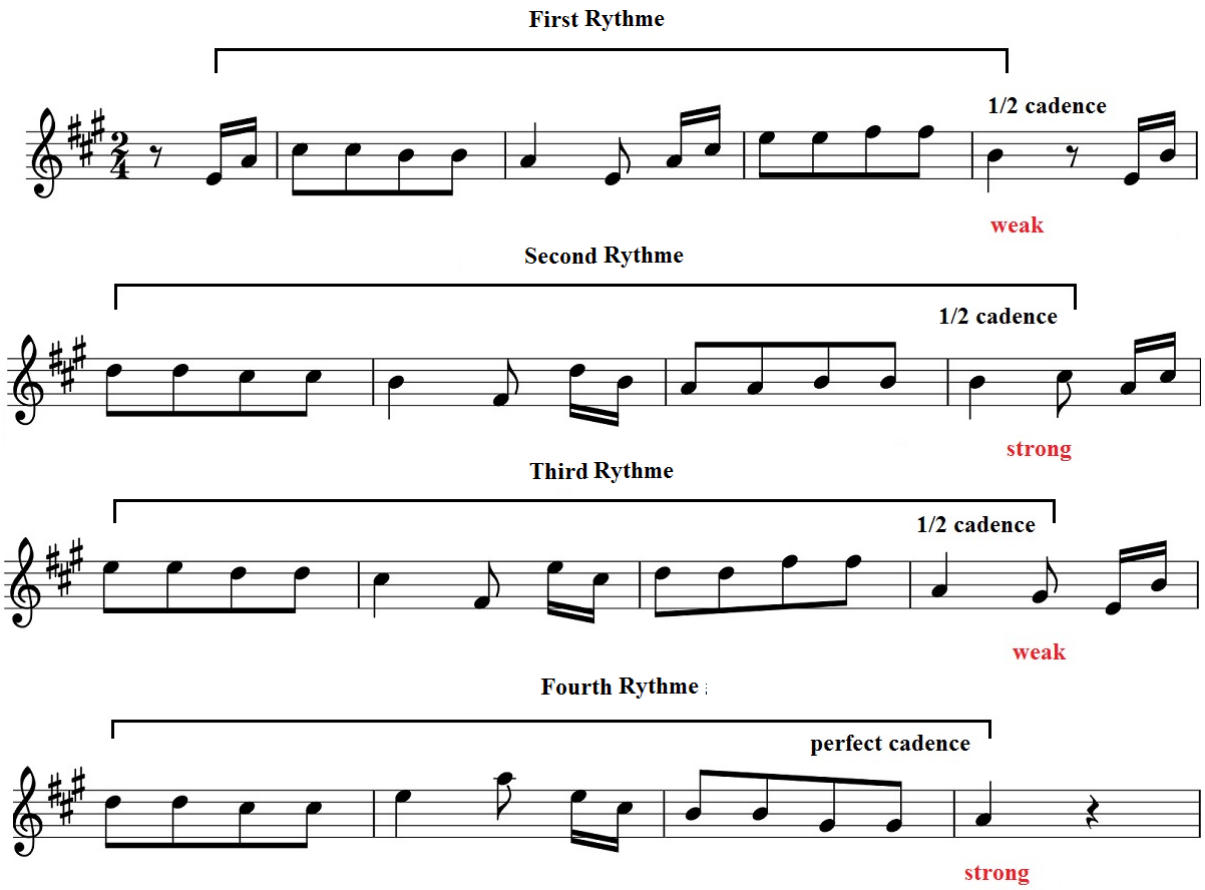
75 *Traité de melodie*. pg. 9

76 See Reicha, Anton. *Treatise on Melody.* Tr. Peter Landey. Harmonologia Series v. 10. New York: 2000. Translator's introduction

Rythme as a musical unit whose rhythmic function is of primary concern. A *figure*, for Reicha, is a "small idea" separated by a quarter cadence (see Reicha's usage of "cadence" below). The *figure* is Reicha's smallest melodic unit. A *member* is a unit composed of one or several figures. A *rythme* must contain two or more repetitions of a *figure* or a *membre* and ends with at least a half-cadence. The *period* is composed of different figures and different members. It must end with a perfect cadence or a three-quarters cadence.[77] A melodic cadence, as in speech, is merely a resting point. Therefore a melody can form cadences without the aid of harmony. A "well-cadenced" melody is one that possesses symmetry. But a melody need not be symmetrical: Reicha's use of *compagnon*, which resembles the modern term *consequent,* nevertheless only appears to refer to "the second part of a period" and allows for complex types of phrase rhythm in which the parts may be of unequal length. Reicha's Example H illustrates his idea of a symmetrical melody:[78]

77 Reicha, *Treatise on Melody*, 14.

78 Ibid., 124.



Example 2: Reicha's treatise on melody, Ex. H.

There are four characteristics of this melody that make it symmetrical for Reicha. First, each segment is the same length as the others, in this example, a segment is 2 measures long and has the same, or similar, melody. All of the *rythmes* above contain two segments. Each segment begins with two sixteenth notes anacrusis, followed by four eighth notes, and finally a quarter note and an eighth note (or the equivalent eighth rest). Second, each segment is separated by a pause (cadence). Third, each segment is of equal importance in relation to the movement. Finally, the cadences are organized symmetrically by strength. The cadences in measures 2 and 6 are weak, and the ones in measures 4 and 8 are strong.

Reicha defines four main strengths of cadence: the quarter cadence, the half cadence,

the three-quarter cadence, and the perfect cadence. Musical cadences are analogous, for Reicha, with punctuation in language. The comma corresponds with the quarter cadence, the colon and semicolon with the half cadence, and the period with the perfect cadence.[79] Importantly for this type of analysis, Reicha does not use his cadence labels in the modern sense. For him, the cadence's placement within the period plays a role in their strength. His Example H, for instance, resembles an early interpretation of hypermeter, especially considering that each segment is the same length as the others. Reicha considers the first and third cadences to be weak, and the second and fourth ones to be strong. Therefore, even two half-cadences can have different strengths, depending on their position within the melody.

One consequence of Reicha's concept of cadence strength is that his labels do not always align with modern cadence function. On the scale degrees for each cadence strength, Reicha writes:

> Melody is thus richer in half cadences than in perfect cadences, for it has only a single note in each scale (which is called the Tonic) with which to make a perfect cadence, while there are four notes in the scale with which to make a half cadence; consequently, one may create a large variety of half cadences.[80]

The perfect cadence is therefore analogous to the modern PAC, as long as the bass moves from ^5 to ^1, because the melody must end on the tonic. The passage above also suggests that the half cadence should always terminate on one of the four notes of the dominant seventh. But in the same footnote, Reicha also says:

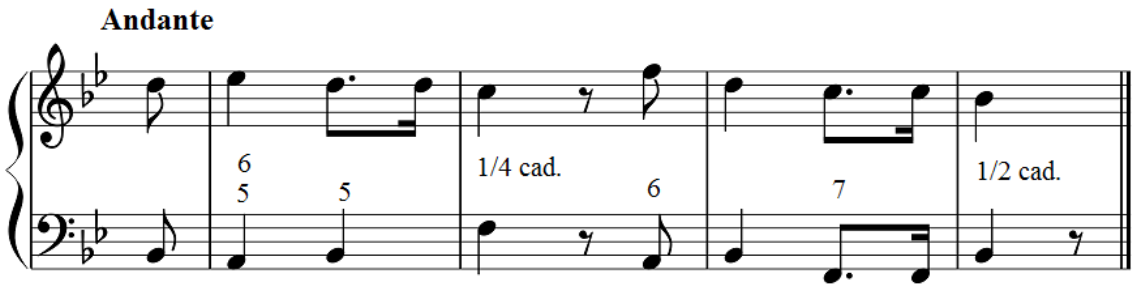
> The fourth and sixth notes of the scale, for example F and A in the key of C, never create a true half cadence; it is nevertheless not impossible to terminate a member, and consequently also a rhythm, with either of these two notes, according to the nature of the ideas of the composer, and the skill with which he is able to determine them. In this case, one could envisage the conclusion of this member or rhythm as an exceptional example, in fact, of the half cadence. It is

79 Ibid., 16 n. 30.

80 Ibid., 15 n. 27.

> true that in general, a half cadence determines a member and a rhythm, but it also sometimes happens that the rhythm in its turn determines a half cadence, if all other conditions [of symmetry] are observed exactly. In the latter case, the half cadence may be made not only on the two above-mentioned notes of the scale, but even on the tonic itself, as we will see below.[81]

Reicha's Example K gives a clearer picture of his description of the *rythme* sometimes determining the cadence strength:[82]



Example 3: Reicha, Treatise on Melody, Example K.

In this case, the quarter cadence "resembles completely" a half cadence, and the half cadence a perfect cadence.[83] This is because the passage only forms a member of the period. It contains only two similar figures and has a four-measure *rythme*. The melody must continue, because one member is too small to form a period.[84]

Reicha is careful to note that while melody can determine a cadence without the aid of harmony, the latter does still factor strongly in the relative strengths of each cadence.[85] For

81 Ibid.

82 Ibid. Ex. K, 125

83 Ibid., 16.

84 Ibid., 16 – 17.

85 Ibid., 15 n. 27

this reason, several of his examples, notably K and L, include a bass line in order to better illustrate the strength of each cadence. As expected, the half cadence requires motion from ^1 to ^5 in the bass, and the perfect cadence requires ^5 - ^1 in the bass supporting a final ^1 in the melody.[86] Reicha notes that when a segment is short and contains a weak cadence, it must be repeated with a more marked cadence. In other words, a *figure* must be followed by more melodic material and a stronger cadence to create a *rythme.* The end of a *rythme* must have a half or a perfect cadence. Two or more rhythms together form a *period* if they end with a perfect cadence or a three-quarters cadence. Reicha gives relatively few examples of the three-quarters cadence, but it occurs only at the end of the first period in a double-period:

> The *three-quarters cadence* is stronger than a half cadence and weaker than a full cadence, but can terminate a period just as well as the latter, the only difference being the key in which it finishes. Thus the first period of an air with two reprises which ends on the dominant must be a three-quarter cadence because it requires a further period to return to the tonic.[87]

This is consistent with Reicha's requirement for symmetry. If the three-quarters cadence always occurs at the end of the first period, and a perfect cadence always appears at the end of the second period, we get a symmetrical arrangement of cadences: half – three-quarters – half – perfect.[88]

Many instances of melody in Berlioz's *Symphonie fantastique* generally do not conform to Reicha's definition of symmetry, but in the instances where Berlioz's melody is symmetrical in Reicha's sense, the other layers generally tend to be in-phase as well.[89]

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86 Ibid. Ex. V5 no.4 and 5

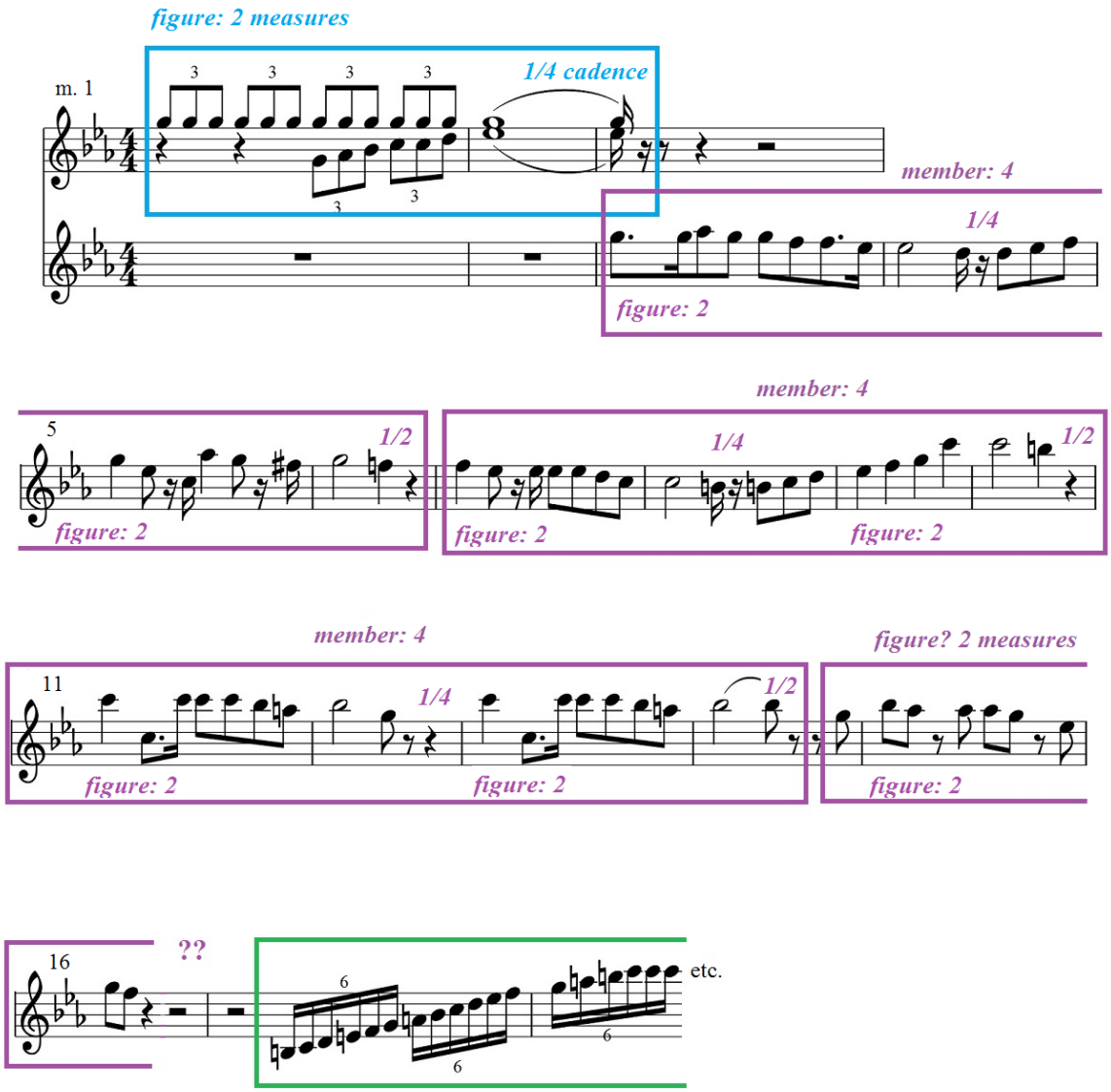
87 Ibid., 33.

88 In other words, weak – strong – weak – strong.

89 See my analysis of Berlioz's slow introduction to the first movement (Figure 1). The opening melody is highly in-phase until mm. 17 – 18.

Example 4 below shows Berlioz's melody in the opening 18 measures of the piece as a case where the middle three members exhibit some of Reicha's rules for symmetry, but breaks down at the point where Reicha would require a perfect cadence. In Reicha's terms, the melody begins with a two-measure figure, three members, and another two-measure figure before new thematic content enters at m. 17. In Reicha's notation for figure, member, and phrase lengths, the passage might look like this: 2:4;4;4;2. Each figure satisfies Reicha's first requirement, as they are each of equal length. The figures satisfy Reicha's second requirement as well, since each is separated by a pause. Reicha does not elaborate on his third condition, that each segment is of equal importance in relation to the movement. Later on the same page, moreover, Reicha gives two much better-defined requirements for a "good melody." It should be divisible into equal and similar members, and these members should contain resting points of greater or lesser strength at equal intervals (symmetrically placed).[90] In other words, the first, second, and fourth requirements appear to be the more important ones for the determination of a symmetrical melody.

90 Reicha, *Treatise on Melody*, 14.



Example 4: Berlioz's Symphonie fantastique, I, mm. 1 - 18. My interpretation of Reicha's labels.

It is at Reicha's fourth requirement for symmetry that Berlioz's passage does not qualify. The opening two measures can be considered an introduction, and the first member of a potential period begins at m. 3. The two members of mm. 3 – 10 have thematically similar figures of equal length and symmetrically placed cadences (quarter – half – quarter –

half). When Berlioz follows this at mm. 11 – 14 with another member of two similar figures, it strongly suggests that a second, analogous member will follow. The periodicity of the 4 + 4 + 4 passage creates a strong expectation that a final 4-measure *rythme* will follow. Instead, Berlioz writes two measures of neighboring figures in eighth notes that fade away by m. 16, followed by a completely new passage of rising C major scales at mm. 17 – 18. Thus, Berlioz has broken Reicha's first and second symmetry rules: the figures in mm. 15 – 18 are not similar but instead have completely different pitches and rhythmic values.

The passage breaks symmetry (in Reicha's sense of the word) in an interesting way. The period is the closest of Reicha's forms to fit the excerpt, but Berlioz does arrive at a perfect cadence because the melody is on a G at this point while a perfect cadence would end on a C. Thus Reicha would likely not have called it a "period." Berlioz's construction makes good formal sense here, because the passage is in the beginning of the slow introduction, and need not have a strong resting point so soon before the beginning of the movement proper.

1.7 The Layers in Action: Two Practical Examples

The layers in this dissertation will generally be shown on a grid. The measure numbers are shown along the top of each image. The melody layer shows each phrase in a box with its duration (in measures) within. The duration is rounded to the nearest measure, with cadencing on a partial measure counting towards the duration, but anacrusis not counting. The orchestration is shown with each relevant part on its own horizontal line. If necessary, sometimes a layer must be split into two sub-layers. In that case, each sub-layer will be clearly marked. For example, the "intermittent sounds" will often be shown as a subcategory of the orchestration layer, because even though Berlioz defines it as a rhythmic effect, he also almost always distinguishes it from the main musical features by assigning it

particular instruments throughout its entrances. The harmony layer is shown with roman numerals and figured bass where possible, and cadence type is shown below. Finally, the hypermeter is shown with the number of hypermetrical strong beats between vertical bars. If one or more layer moves out of phase with these strong beats, the duration is shown within parentheses. As an example, see Figure 1:

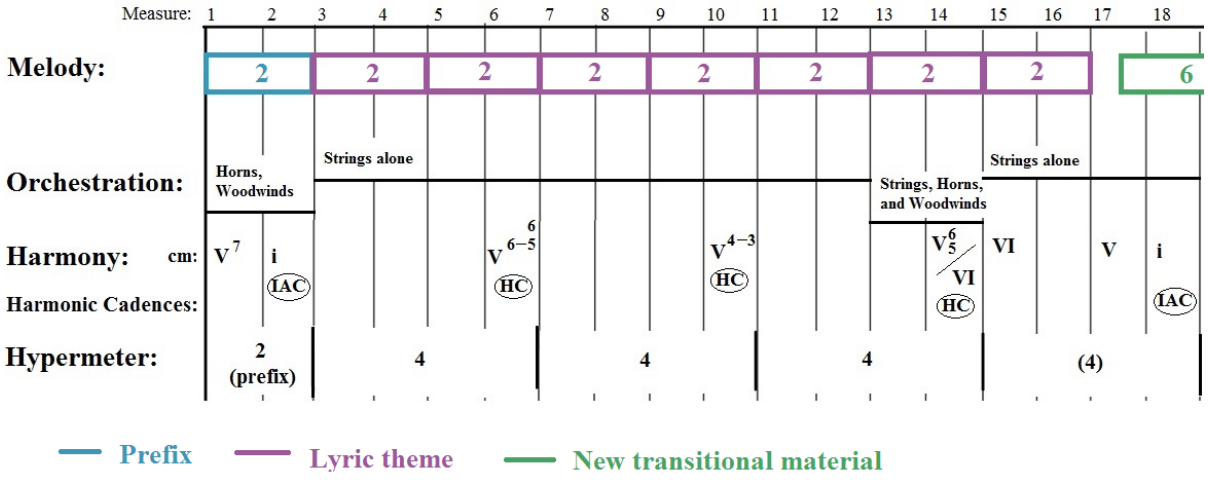


Figure 1: Layers in Berlioz's Symphonie fantastique, I, mm. 1 – 18.

As previously discussed in relation to Reicha's *Traité de melodie*, Berlioz's mm. 1 – 18 show a melodic layer that contains a great amount of regularity and only a mild amount of metrical dissonance. The melody, played by the first violins at mm. 3 – 14, shows regular melodic cadences at two-bar intervals. Berlioz further regularizes the melody in Figure 1 by a descending "appoggiatura" at each melodic cadence. These twelve bars are so similar to Reicha's description of a good melody that the listener will strongly expect it to complete a "period" with 4 additional measures and a "perfect cadence." It is at this point, however, that Berlioz thwarts our expectations by letting the melody trail off in little neighbor figures

before completely petering out at m. 16. A new melody begins in m. 17 in the parallel major.

Harmonically, Berlioz reinforces the regular 4-bar phrasing of mm. 3 – 14 with consistent harmonic half-cadences. The harmony layer displays the same 4 – bar rhythmic regularity as the melody layer, and it extends the full, expected 16 bars to end with an imperfect authentic cadence at m. 18. With this framework in place, the only real point of grouping dissonance occurs at mm. 17 – 18. This mild misalignment of layers makes good formal sense, since the passage opens the piece, and the dissonance between layers at mm. 17 – 18 help drive the piece forward.

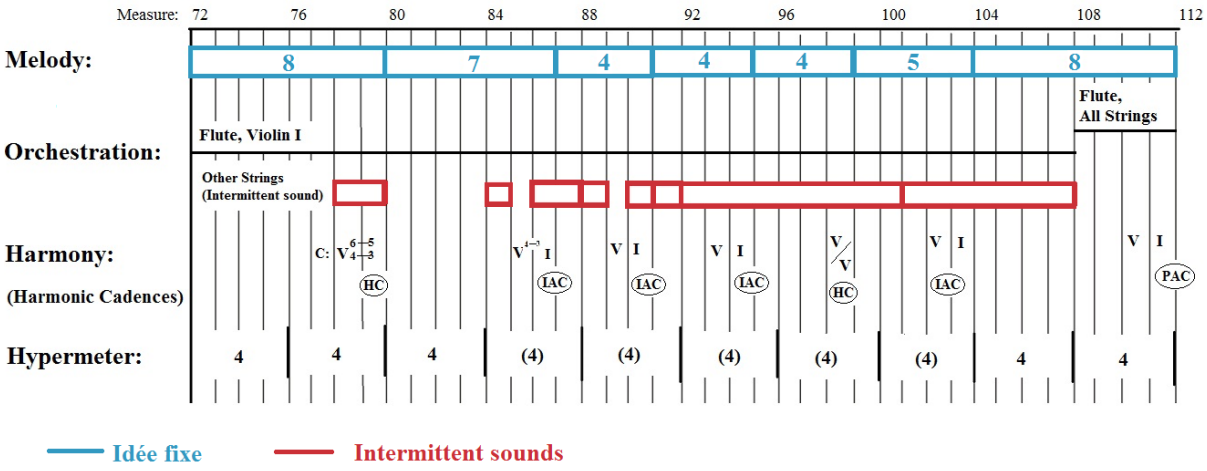


Figure 2: Berlioz, Symphonie fantastique, I, mm. 72 – 111.

Figure 2 shows not just a displacement of layers by its mid-point, but also a strong convergence of layers by its endpoint. In this example, we start with an 8 bar antecedent and a 7 bar consequent. The excerpt has therefore already broken symmetry, but as Rosen points out in his analysis of the *idée fixe,* this second phrase is balanced out by a later asymmetrical phrase, and these two asymmetrical phrases are placed symmetrically with respect to the

other phrases in the passage.[91] In other words, the asymmetrical 5- and the 7-bar phrases are positioned between an 8-bar phrase, three 4-bar phrases, and a concluding 8-bar phrase: 8 + 7 + 4 + 4 + 4 + 5 + 8. Immediately following the 7-bar consequent, Berlioz writes a 12-bar "sequence" with a 4-bar model and two continuations of the same length. A final continuation is elongated to 5 measures by an insertion at m. 102. Finally, the melody concludes with an 8-bar sentence structure and a period-ending "perfect cadence."

The harmony in this passage begins ambiguously, and only becomes easier to discern as the "intermittent sounds" in the lower strings begin to play in phase with the *idée fixe*.[92] As the harmony becomes better-defined towards the end of the passage, so do the cadences. The authentic cadence at mm. 85 – 86, for example, only implies a V 8 – 7 in the melody since it has no harmonic support from the strings. Charles Rosen postulated that the strings here represent another example of "intermittent sounds," and that they are perhaps partially responsible for Berlioz's reputation for writing "false basses." If taken as part of the same layer as the melody, the intermittent sounds would account for the inappropriate use of the 6/4 chord.

The orchestration in this passage can be divided into instrumentation of the *idée fixe* and instrumentation of the "intermittent sounds." Flute and violin I play the entirety of the *idée fixe* from mm. 72 – 111. The intermittent sounds, played by the remaining strings, are characterized by the irregularity of their entrances from mm. 78 – 91 and the descending 4th in the cellos and basses. In mm. 92 – 101 and 102 – 107, these intermittent sounds now enter regularly, but retain their characteristic contour and rhythmic character. Finally, all strings merge into one orchestrational layer for the remaining 4 bars (mm. 108 - 111), and therefore

91 Rosen, *The Romantic Generation.* (Cambridge, MA: Harvard University Press, 1995), 548.

92 See Ch. 1 and Ch. 4 for a definition of the "intermittent sounds"

reinforce the realignment of the melody with the perceived hypermeter. This alignment of melody, harmony, and orchestration signals extra importance and stability for the PAC at m.111. Not coincidentally, this is the end of the first statement of the *idée fixe*.

So far, I have used Figure 1 to show a point of expected structural weight that has been weakened by the out-of-phase melodic layer. Figure 2, on the other hand, shows a point of convergence, where all four layers move in-phase by the end of the passage. The second example, therefore, shows a stronger structural cadence than Figure 1. The averted closure in Figure 1 makes good formal sense at the beginning of the slow introduction to maintain momentum towards the beginning of the Allegro. The point of structural arrival at the end of Figure 2 also makes good formal sense, as it clearly marks the endpoint of the *idée fixe* as an important theme.

In Chapter 2, I use this type of analysis to assign structural weights to various points in the movement in order to clarify and help resolve a disagreement over the location of the recapitulation, if the movement qualifies as a sonata form. Schumann called the first movement a "sonata" in his review of the *Symphonie fantastique.* But this sonata, compared to what Schumann called the "traditional model," has the first and second themes reversed in the recapitulation. Schumann places it in m. 313. James Hepokoski and Warren Darcy disagree with this "arched" sonata form and place the beginning of the recapitulation at the thematically appropriate, but harmonically problematic m. 234. Rushton calls the movement a sonata according to a loose definition of the form, but believes that Berlioz can only have thought of the form in a binary manner, as in Reicha's *grande coupe binaire*. My analysis finds a slightly stronger point of structural arrival at m. 234 and preliminarily suggests that Hepokoski's and Darcy's interpretation is more convincing. I find, however, that Reicha's

definition of the large binary form in his *Traité de haute composition musicale* allows for a binary in which the second part is partitioned into two subsections, and this can account for some of the other features of Berlioz's first movement that do not easily fit the sonata model.

Chapter Two: Large-scale Form of *Rêveries, Passions*

This chapter responds to three differing analyses of Berlioz's first movement in the *Symphonie fantastique*. I find that much of Berlioz's compositional practice within the movement is consistent with the norms (and deformations) described by Hepokoski and Darcy in *Elements of Sonata Theory*,[93] but that there is a point of disagreement over where the recapitulation (if any) occurs. Robert Schumann, and later Edward Cone, treat the first movement as an *arched sonata*, or a sonata in which the first and second themes are reversed in the recapitulation. Hepokoski and Darcy do not believe such a form exists, and treat this movement instead as a *Type 3* sonata (the type found in most beginners' textbooks in music theory), but one in which the recapitulation enters in the "wrong" key. Schumann's and Cone's interpretation of the form resembles Hepokoski's and Darcy's *Type 2*, but it fails to fit this classification because Berlioz returns to the second theme in the dominant rather than the tonic key. Julian Rushton argues that Berlioz can only have conceived of the movement in terms of Reicha's *Grande coupe binaire*, or large binary form, and suggests that it would be better represented if analyzed under that framework. Figure 3 shows a large-scale diagram of these three interpretations.

I apply my proposed analytical technique to the two points of possible recapitulation, and find that Hepokoski's and Darcy's point of recapitulation has a slightly stronger structural cadence than that of Schumann and Cone. I also find, however, that Hepokoski's and Darcy's point of recapitulation does not provide such a strong point of structural cadence that it completely rules out a binary interpretation. A closer look at Reicha's writings on the large

93 Hepokoski, James, and Warren Darcy. *Elements of Sonata Theory*: *Norms, Types, and Deformations in the Late Eighteenth-Century Sonata*. (New York: Oxford University Press, 2006).

binary form reveals that the second part can be divided into two subsections. This chapter finds that the *Symphonie fantastique*'s first movement contains many parallels with the *Grande coupe binaire*.

At first glance, it is tempting to call Berlioz's first movement a sonata-allegro with slow introduction. The large-scale tempo markings, key areas, and location of the repeat sign suggest the presence of an exposition and a development section. One level below this large-scale picture, Berlioz includes many compositional features that can easily be classified according to Hepokoski's and Darcy's system. The passage from mm. 72 – 167 strongly resembles an exposition with the *idée fixe* as the first theme, and a possible second theme at mm. 150 – 167. Following this repeat sign, Berlioz varies the original material in ways that suggest a development section. The primary theme then returns in the dominant at m. 241, and again in the tonic and in diminution at m. 412. Finally, the movement returns to C major before the onset of the plagal cadences at m. 513. It appears that the locations of the thematic material and the tonal areas of the movement point towards at least a loose approximation of a sonata-allegro.

The overall layout of the five movements indicates, too, that Berlioz might have intended to reference the sonata-allegro with slow introduction. Berlioz's first three movements follow these familiar tempo and stylistic patterns: the first movement is an allegro in C major with a largo introduction in the parallel minor, the second movement depicts a fast-paced dance, and the third movement represents a slow pastorale. Berlioz's subsequent two movements might function together as a "superfinale," as Cone indicates in the Norton Critical Score of the work.[94]

94 Cone, 249.

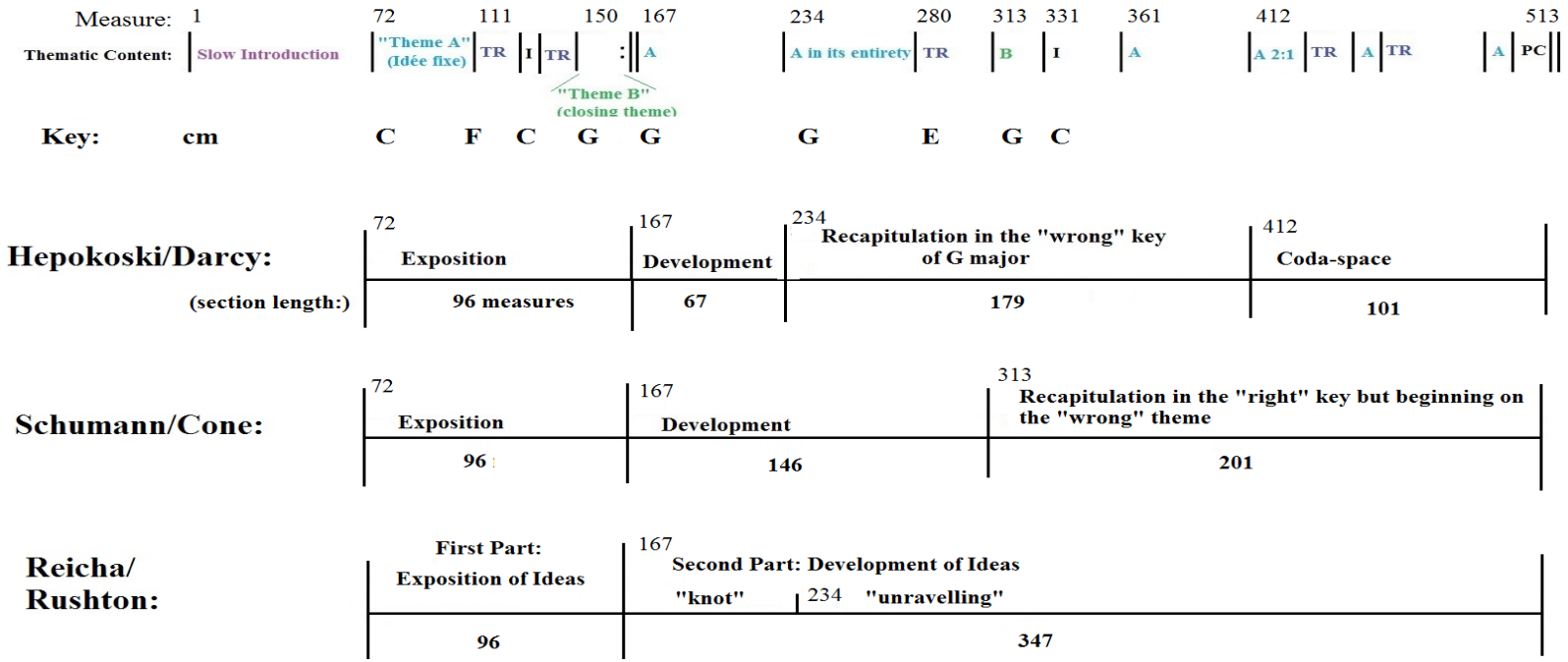


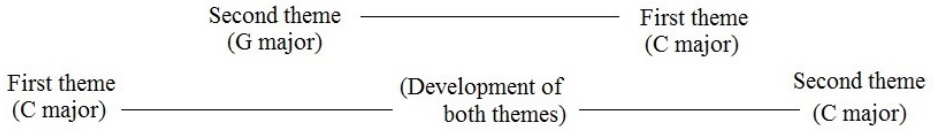
Figure 3: Three analyses of Symphonie fantastique, I.

Cone also notes similarities between Berlioz's five-movement plan and that of Beethoven's sixth symphony. Since Beethoven's symphony would doubtless have been well-known to Parisians at the time Berlioz composed the *Symphonie fantastique*, it is perhaps not so unusual that he would also have chosen a five-movement symphonic movement plan. Beethoven's five movements share many similarities of tempo and style with those of Berlioz's. Beethoven's first movement is also marked as an allegro. His middle two movements contain an expected dance movement (the *scherzo* of movement III) and a slow movement (the *andante* of movement II). The *pastorale* element of Beethoven's sixth symphony, moreover, shares some of the sentiment of Berlioz's *Scène aux champs*. And finally, Beethoven's last two movements (*allegro* and *allegretto*) also might be taken together as a superfinale. A reference to the sonata form would fit nicely at the beginning of this overall movement scheme.

With all of these facts in mind, could Berlioz's first movement be considered a sonata-allegro with slow introduction? Schumann thought so in his analysis of the movement, where he writes that the movement, "despite its apparent formlessness, [has] a symmetrically ordered pattern [that] governs its larger proportions,"and that one can try to "comprehend the entire first Allegro as a wide-arching whole, without being disturbed by small, though to be sure, often sharply projecting corners."[95] Figure 4 reproduces Schumann's diagram of the movement. His analysis resulted in a conception of the work that is symmetrical about the return of the *idée fixe* at m. 234, and it is from this review that Schumann's arched sonata interpretation of *Rêveries, passions* became popular.

95 Ibid., 249ff.

Schumann's diagram of traditional sonata form:



Schumann's diagram of "arched" sonata form: (*Symphonie fantastique,* I)

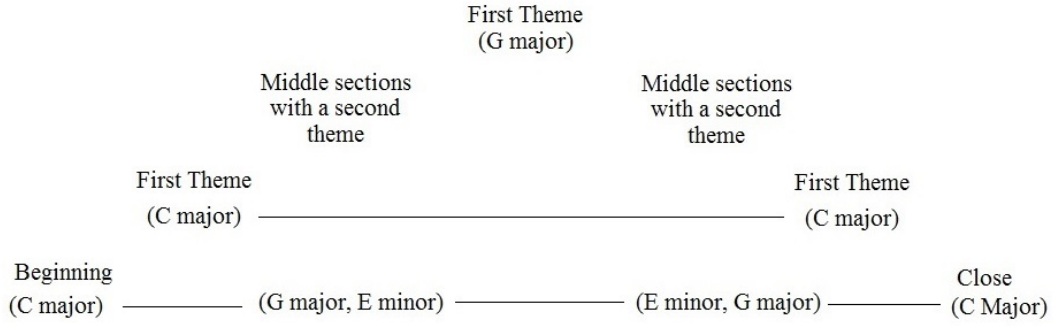


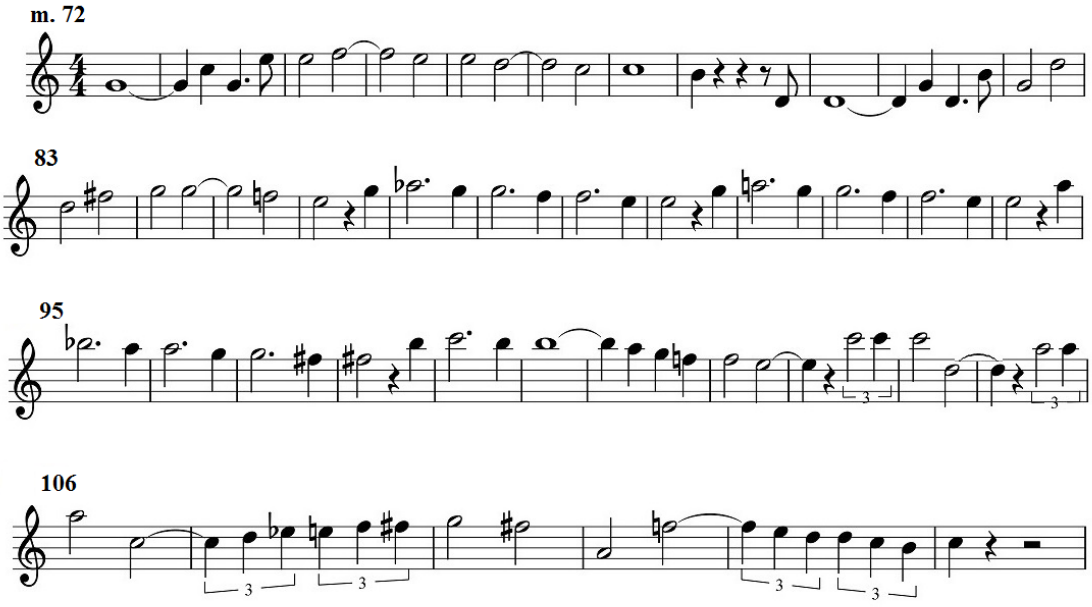
Figure 4: Schumann's "arched" sonata form.

Cone thinks that "Schumann is on the right track when he describes the Allegro as what might be called an arched sonata form, i.e. one with the first and second themes reversed in the recapitulation."[96] But he also finds that Schumann has oversimplified the movement in this diagram. In response to Schumann's over-eager search for symmetry, Cone provides a more detailed diagram of the movement.[97] In this diagram, Cone reproduces Schumann's general arched shape with "Theme A" (the *idée fixe*). At the center in m. 234. "Theme B"refers to the material at m. 150, and the "Cadential Phrase" refers to an invariant

96 Cone, 251.

97 Ibid., 252.

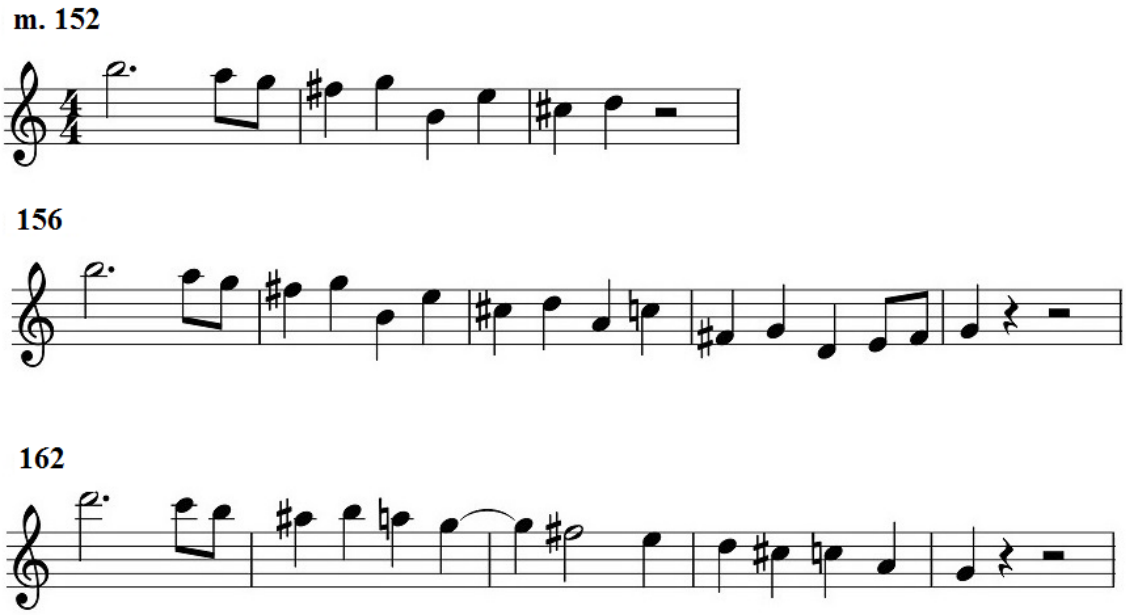
theme that first occurs at mm. 119 – 125.[98] Examples 5, 6, and 7 below show each of these thematic ideas. Brackets in Cone's diagram refer to areas where he has found that the symmetry is violated, and moreover that Schumann has not included in his diagram.[99] Cone finds, additionally, that Schumann has omitted reference to important transition and episodic material.



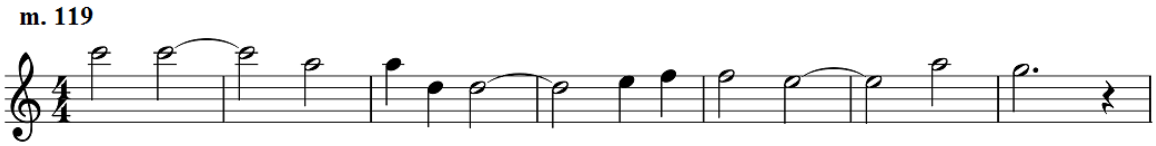
Example 5: Cone's Theme A, Symphonie fantastique, I, mm. 72 – 111.

98 I call it "invariant"in the sense that Berlioz does not transpose it to other keys. Each time it enters, it begins on a C. Even at the point where Cone finds a "recap and development of the cadential phrase"at mm. 331 – 360, it appears on the same starting pitch-class and with the same intervallic successions at each repetition.

99 Cone, 251.



Example 6: Cone's Theme B, Symphonie fantastique, I, m. 152ff.



Example 7: Cone's Closing Theme, Symphonie fantastique, I, mm. 119 – 125.

Hepokoski and Darcy, on the other hand, disagree with Schumann and Cone:

> ... we might consider the G-major *idée fixe* as beginning a bizarre rhetorical recapitulation in the dominant. The final, riotous appearance of the *idée fixe* in C major (m. 410) belongs more properly to coda-space than to recapitulatory space, as has sometimes been claimed. Overlooking the rotational aspects of the composition has led commentators (beginning with Schumann) to consider the movement to be most fundamentally arrayed as a symmetrical arch.[100]

Hepokoski and Darcy find that prior to Schumann's review of the *Symphonie*

100 Hepokoski and Darcy, 279.

fantastique, no commentators described Berlioz's first movement as a symmetrical arch. They argue that such a form does not exist. The very idea of a recapitulation that can start on a theme other than the primary one is, for Hepokoski and Darcy, a contradiction in terms. A portion of music which does not start with the primary theme in the tonic key can not be labeled as "recapitulation." They find, moreover, that many sonata forms include P-derived material in the coda-space, which exists outside the conclusion of the sonata proper. An "arched" sonata analysis, for Hepokoski and Darcy, relies on the misidentification of this thematic return as a part of the sonata proper. They instead consider that Berlioz's first movement is a variation of the Type 3 sonata form:

> ... Schumann attempts to show that the first movement of the *Symphonie fantastique* is an arch form (ABCDCBA); he specifically compares this scheme with dualistic sonata form." … The first movement of the *Symphonie fantastique,* however, is no Type 2 sonata. Rather, it is a deformational Type 3 whose recapitulatory rotation begins in the unusual key of V … Schumann's remark does play into the general fallacy of "reversal," but it remains unclear where the misconstrual of the "reversed recapitulation" within Type 2 format was codified in analytical practice.[101]

The "general fallacy of "reversal" here refers to Hepokoski's and Darcy's view that the term "recapitulation" cannot apply to a span of music that begins with a transition or a secondary theme. They argue that "partial," "incomplete," "reversed," or "mirrored" recapitulations are definitional contradictions and strongly suggest that these concepts should be avoided.[102]

Hepokoski and Darcy extensively discuss Mozart's Piano Sonata in D major, K.311/i as a strong example of a Type 2 sonata with a P-based coda. It is one of their clearest examples of a sonata that might tempt the listener to consider a "reversed" interpretation of

101 Ibid., 383 – 384 n. 55. The first part of the quote (before my first ellipsis) is part of a quote from Wolf. *The Symphonies of Johann Stamitz*, p. 162 n. 47.

102 Ibid., 232.

its form.[103] In this example, Mozart provides what Hepokoski and Darcy call a *conversion effect:* during the course of the movement, the listener predicts a Type 3, but the movement shifts into a Type 2.[104] Mozart's Piano Sonata, contrary to Berlioz's first movement, does not revisit the P-theme before before the S-theme in its second half. Mozart's S theme returns in the tonic after C-based developmental material. Also contrary to Berlioz's first movement, Mozart's P-theme returns in the tonic key. But this thematic return occurs proportionally close to the end of the movement, and it is not stated in its entirety. Therefore, and as Hepokoski and Darcy argue several times, this return of the P-theme is rhetorically better suited as a Coda-space.[105]

Rushton provides yet a third interpretation of Berlioz's first movement in *The Musical Language of Berlioz,* in which he provides a very loose definition of the sonata form precisely to account for Reicha's view of the *Grande coupe binaire* as a binary form.[106] He finds that Berlioz "can only have heard the form defined in this way."[107] Rushton's definition of the sonata requires two mandatory properties: first, the movement must contain exposition of material in the tonic, and it must modulate to a well-defined area in the "complementary" key (mostly likely V if it is a major-key sonata, or III if it is a minor-key sonata); and second, the movement must resolve this structural tension after some period of development. This second part must, for Rushton, have at minimum one restatement, now in tonic, of the expositional material that had been in the secondary key, and it must have "substantial

103 Ibid. 368 – 369.

104 Ibid., 377 and 385.

105 See for example their pg. 354.

106 Rushton, Julian. *The Musical Language of Berlioz*. (Cambridge: Cambridge University Press, 1983).

107 Ibid., 90. See also his note 93 for a brief mention of Reicha's *Grande coupe binaire*.

cadential activity in the tonic."[108] Rushton is careful to qualify that these requirements do not force one to consider Berlioz's sonata forms in a ternary light, and notices that if analyzed in this way, the development is disproportionately small in most cases. Additionally, Berlioz declines to recapitulate the expositional tonic material entirely in *Harold in Italy* (movement IV) and in *Le carnaval*, but that he has always resolved the well-defined material that had previously been heard in the complementary key.[109]

Assessed from this standpoint and through my proposed analytical method, it becomes clear that parts of the *Symphonie fantastique's* first movement, though first seeming to be problematic from the view of the sonata-allegro form, are actually well-formed with respect to Reicha's concepts of the development and the *Grande coupe binaire.* The slow introduction and exposition are completely consistent with Hepokoski's and Darcy's classification of this first part of the movement in their Type 3 sonata. Moreover, Berlioz's development and (proposed) recapitulation spaces have precedents in Hepokoski's and Darcy's discussion of possible deformations of their Type 3 model. In the next two sections of this chapter, I analyze Berlioz's slow introduction and the exposition with respect to Hepokoski's and Darcy's classification system.

2.1 Berlioz's Slow Introduction as a Series of Characteristic Zones

Berlioz's first movement begins with an extensive slow introduction in C minor which is characteristic of many sonatas. According to Hepokoski and Darcy, slow introductions "usually provide a prolonged sense of anticipation and formal preparation for a rapid-tempo sonata-to-come."[110] The slow introduction in general has fewer strict standards than the

108 Ibid., 190.

109 Ibid., 191.

110 Hepokosi and Darcy. *Elements of Sonata Theory,* 292.

sonata proper, but Hepokoski and Darcy nevertheless find four *characteristic zones* that exist within a typical slow introduction.

They label Zone 1 a "heraldic" or "annunciatory call to attention." This first zone begins *forte*, and often indicates that the entire work is in a "grand" or "important" style. Zone 2 is alternatively labeled "quieter material, often a brief, lyrical melody." It may occur as a *piano* aftermath of Zone 1, or it may occur without a preceding *forte*. Zone 3 contains "sequences." This section often has a searching quality and may drive towards the structural dominant. And finally, Zone 4, the "dominant preparation," generally occurs near the end of a Zone 2 or a Zone 3, and consists of a prolongation of the dominant, or, in some cases the prolongation of the "wrong dominant" as in the V/vi in Haydn's symphonies no. 99 and 103.[111] A slow introduction may contain one or all of these zones, but may "omit, elide, or intermix one or more zones for localized expressive purposes."[112] These four zones are to be taken as flexible guidelines rather than as rigid standards.

In Berlioz's case, the slow introduction contains Zones 2, 3, and 4, in precisely the way Hepokoski and Darcy have ordered the zones. The quiet, lyrical opening melody at mm. 3 – 14 constitutes a Zone 2. After a brief transition, Berlioz's slow introduction then states this opening melody a second time in E♭ at mm. 28 – 39. Following this, Berlioz expands his 2 measure link in mm. 15 – 16 to 7 measures in mm. 40 – 46. At this point, the slow introduction commences Zone 3 with a sequence-like passage over an A♭ pedal. This zone continues until the arrival of the dominant, which Berlioz has prolonged by a cadential 6/4 at mm. 61 – 62. Berlioz follows this with a kind of link that Hepokoski and Darcy identify in

111 Ibid., 297 – 298.

112 Ibid., 297.

later Classical pieces, as in Beethoven's Fourth Symphony, *Lenore 1*, and the *Egmont* overture. They describe this development as a

> bridging over the end of the introduction to the beginning of the sonata proper with a special link, often *accelerando*, giving the impression of a precipitously accumulating energy out of which the sonata is hurled forth like a javelin.[113]

Berlioz's link begins in m. 163 with what Steven Laitz calls an "embedded cadential motion," or a complete T – PD – D – T on the surface level, which serves to prolong the tonic for one measure. The subsequent 8 measures complete a harmonic and rhythmic accelerando to the *Allegro* at m. 72. This passage's harmonic rhythm changes from one harmony every two measures in mm. 64 – 67 to one harmony per measure in mm. 68 – 71. This change in harmonic rhythm is symmetrically located, that is, at the half-way point in the 8 measure phrase. Rhythmically, too, this passage displays a clever compositional acceleration (as opposed to a performance marking). The orchestra plays homophonically at this point in mainly quarter notes alternating with quarter rests. Alternating measures from mm. 64 – 67 have hypermetrically strong beats. Berlioz achieves this effect by marking *ff* on the downbeats of m. 64 and m. 66, and *pp* on the downbeats of m. 65 and m. 67. The downbeats of mm. 68 – 69 are then marked *mf*, followed by a rhythmic accelerando in mm. 70 – 71 with running eighth notes in the cello, viola, and second violins. These multiple devices for acceleration, together with the PAC at m.72, create a strong sense of arrival at the *Allegro*.

2.2 Berlioz's *Allegro* with Continuous Exposition

The first part of Berlioz's *Allegro* very nearly forms a two-part exposition. But as this section will show, it does not meet all of the requirements for an exposition with two parts. Under Hepokoski's and Darcy's guidelines, the two-part exposition has some fairly strict

113 Ibid., 298.

requirements. A two-part exposition begins with a *main idea* in the tonic key, which they call the P-theme. This main idea is then followed by a *transition*, labeled TR, which consists of a series of energy-gaining modules which lead to the *medial caesura*, or MC. The MC serves to separate the first part of the exposition from the second part. The second part contains a secondary theme zone, labeled the S-theme; an *essential expositional closure*, or EEC, securing the secondary key with a PAC; an optional *closing space*, or C, and an optional *retransition*, or RT. The exposition will very often end with a repeat sign, which Hepokoski and Darcy argue is never insignificant.[114]

Berlioz's exposition spans mm. 72 – 167. Figure 5 shows my analysis from Chapter 1 with added Hepokoski and Darcy labels. Its P-theme begins with an 8 + 7 asymmetrical period ($P^{1.1}$ and $P^{1.2}$), a 4 + 4 + 4 transitional sequence-like section ($P^{1.3}$), a 5-measure elongation of the 4-bar phrase in the sequence-like section ($P^{1.4}$), and a 2 + 2 + 4 sentence followed by the I:PAC at m. 111 ($P^{1.5}$).[115] In Hepokoski's and Darcy's view, a sentence gives a main theme has a more active, restless, forward-driving character than the period.[116] Periods, for Hepokoski and Darcy, tend to be more symmetrical, and therefore more static, than other types of phrase structures.[117] Berlioz's P-theme, then, begins with the slightly more stable, but otherwise asymmetrical period, an energy-gaining sequence-like passage with a slightly slower elongated 5-bar phrase, and finally an energy-gaining sentence leading to the first PAC of the *Allegro*.

114 Hepokoski and Darcy, 21.

115 See Chapter 1 for Rosen's explanation for the asymmetrical period in mm. 72 – 90.

116 Hepokoski and Darcy, 69.

117 Ibid., 72.

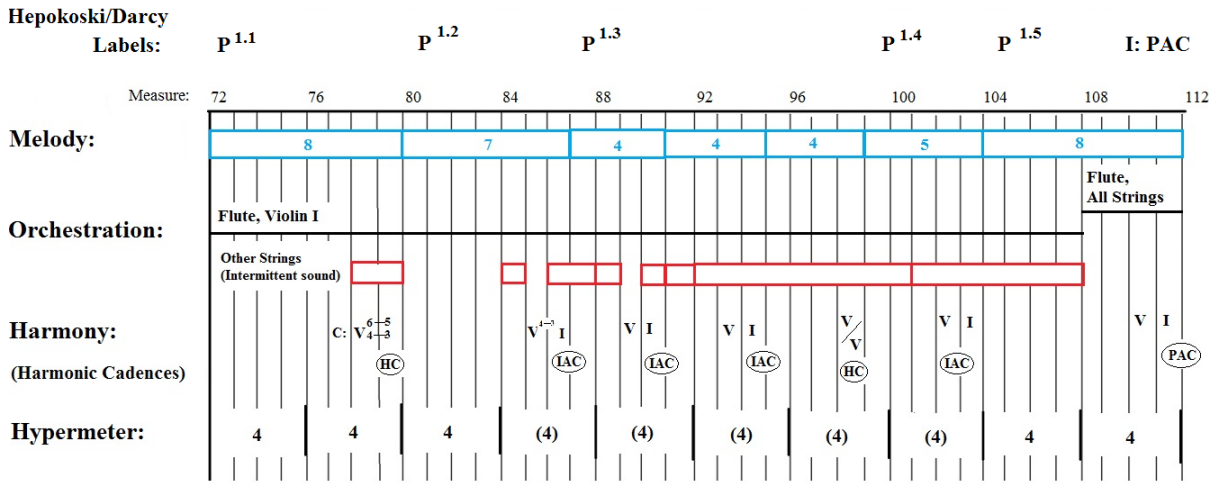


Figure 5: Berlioz's P-zone, Symphonie fantastique, I, mm. 72 – 111.

Having well-defined this P-theme, the PAC is followed by a TR-zone that builds to the IAC in G at m. 150. This independent (separately thematized) TR contains a series of five swells in dynamics, culminating in the eventual MC at m. 150. The first two swells are the ***ff,*** *tutti* tremolo sections in mm. 113 – 115, and 127 – 129. These passages alternate with the capricious descending eighth note figures in mm. 115 – 118, and 129 – 132; and the invariant theme in mm. 119 – 125. The remaining measures in the TR section contain searching triplet figures punctuated by successively quieter tremolo sections, first with third swell, the ***ff*** in m. 133, then a ***fp*** in m. 135, and finally a ***pp*** in m. 137. Berlioz interrupts this decrescendo in m. 139 with the fourth swell, the ***ff*** tremolo, and again a diminuendo from m. 140 to the ***pp*** in m. 146. Following this, Berlioz writes the fifth and final swell: a crescendo up to the V:IAC in m.150.

The remaining measures before the repeat sign might be interpreted either as a second theme, with MC relatively weakened by the IAC (instead of a stronger PAC) and its elision

with the second theme zone, or as the start of a closing section with no secondary theme. Schumann and Cone treat the section as though it were a two-part exposition. My analysis, confirms instead a continuous exposition. Figure 6 shows these two alternate interpretations. Hepokoski and Darcy do not take a position on the matter, and focus their attention on the potential location of a recapitulation. Schumann and Cone analyze the material from mm. 150 – 167 as a second theme in the dominant, but argue also that it is obscured by the passage's relative brevity, frequent cadences, and intermingling with the main-theme material.[118] I suggest that this passage is better suited as closing material. Cone also notices that this second theme is, "as Schumann says, so closely intertwined with the first that it seems to have a hard time breaking away."[119] Example 8 shows what Schumann may have meant by this comment. At mm. 150 – 152, the flute and B♭ clarinet clearly sound the beginning of the *idée fixe* in G, and this material elides with the first appearance of the possible second theme in the flutes, violins, and violas at mm. 152 – 154. The *idée fixe* appears again at mm. 154 – 156 and elides again with this possible second theme at mm. 156 – 160. Finally, Berlioz repeats this pattern a third time with the *idée fixe* in mm. 160 – 162 and the possible second theme at mm. 162 – 166.

The expositions of Schumann's own symphonies display some of the same tonal and rhetorical ambiguities as Berlioz's exposition. When analyzing Schumann's Symphony no. 4 in D minor, op. 120, Linda Corell Roesner writes:

> Schumann deliberately deemphasizes the secondary area of the exposition, tonally and thematically. When the new key, the "traditional"relative major, F major, is reached (m.59) it does not function in a sonata-like manner as a well-defined contrasting key, but sounds instead like a lengthy cadential

118 Cone, 257.

119 Ibid.

progression.[120]

Furthermore, she finds a similar minimization of the second theme in Schumann's Symphony no. 2 in C major, op. 61, in which the exposition lacks the traditional tonal polarity of the tonic-dominant relationship between first and second themes. Schumann has postponed the second tonal area until the very end of the exposition in op. 68 in a manner similar to his treatment of the exposition in his op. 120.[121]

This same ambiguity in Berlioz's exposition leads to two possible models for the exposition as a whole. It could make a second theme, with a relatively weak MC and an overlap with the primary theme now in G, or it could simply be a continuous exposition with two premature EEC's in m. 150 and in m. 159, followed by the real EEC in m. 166. Even this second situation is not problematic from a sonata theory standpoint. Hepokoski and Darcy establish a number of sonatas without a second theme. In these cases, the exposition lacks a clearly defined medial caesura to separate the P-theme from an S-theme, and is instead characterized by a "relentlessly ongoing, expansive spinning-out (*Fortspinnung*) of an initial idea or its immediate consequences."[122] Without a clearly defined MC, there cannot be a second theme. Under a continuous exposition interpretation, then, Berlioz has written a P-theme, a TR, and a C-zone with Cone's "Theme B" serving instead as an a"outside compositional force" to help drive the closing zone towards the EEC.

120 Roesner, Linda Corell. "Chapter Three: Schumann" in *The Nineteenth-Century Symphony*, 51.

121 Ibid. 57.

122 Hepokoski and Darcy, 51.

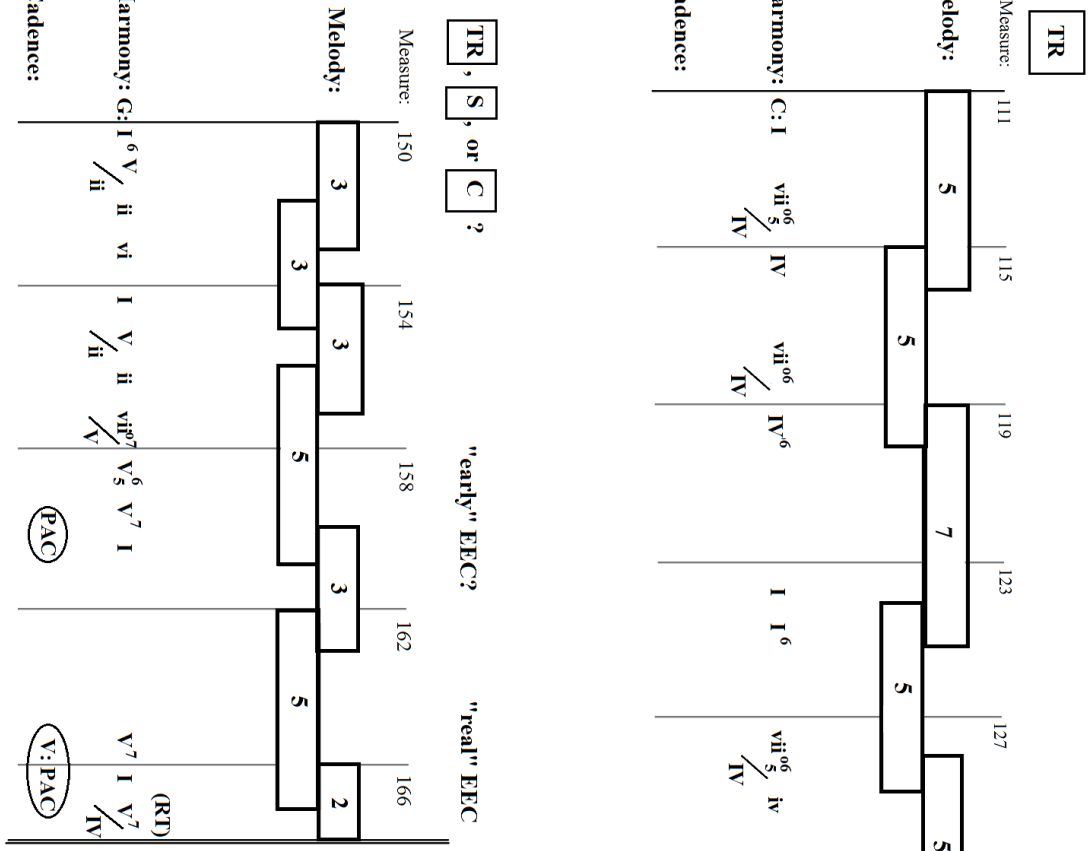
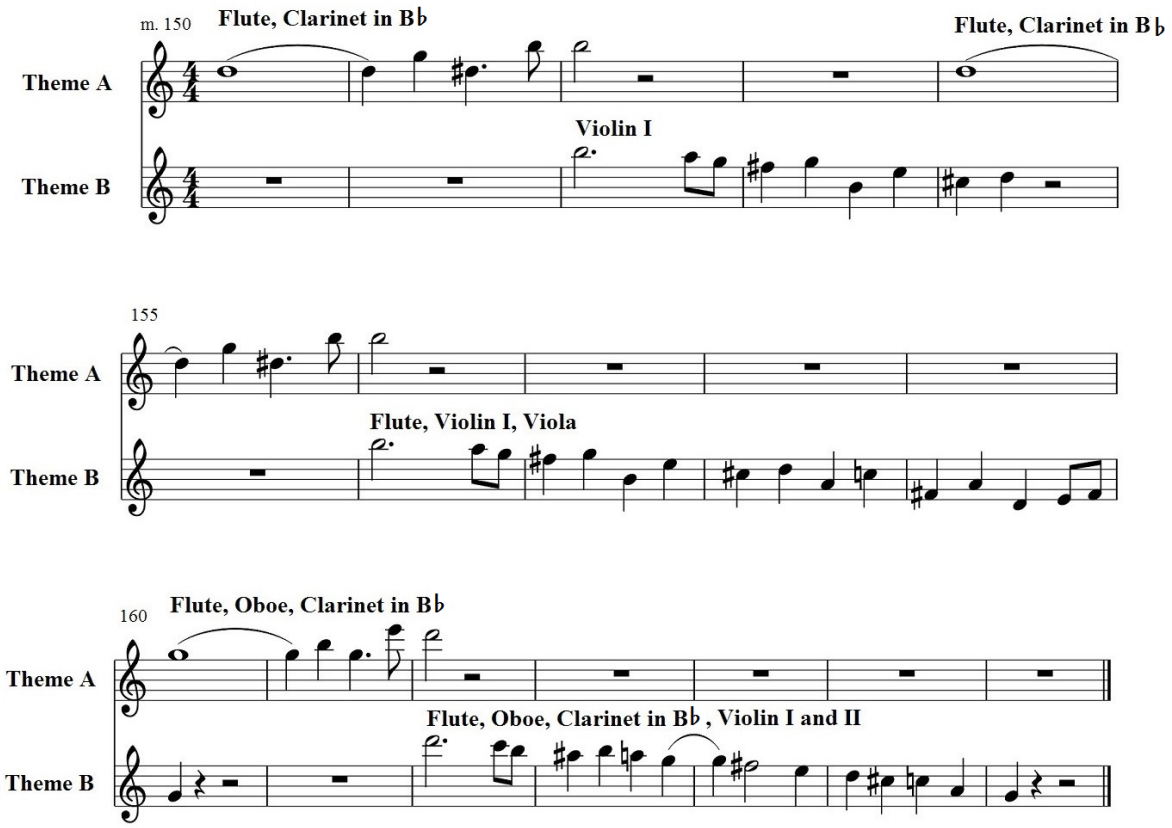


Figure 6: Berlioz's TR, Symphonie fantastique, I, mm. 111 – 167.



Example 8: Schumann's "closely intertwined" second theme (Theme B), Symphonie fantastique, I, mm. 150 – 167.

Hepokoski and Darcy do not appear to specify whether they believe Berlioz wrote a second theme, instead focusing on where Berlioz may have placed the recapitulation and therefore concerning themselves primarily with the first theme and its rotations. This lack of a second theme, however, would certainly disrupt the symmetry of Schumann's diagram. Arguments in favor of the continuous exposition, subtype 2 (mm. 72 – 167) include a possible "early EEC" followed by a number of cadential repetitions before the "real" EEC at m. 167. For the passage to be continuous, there has to be no clear half-cadence on V or V/V in the passage. The main theme spans mm. 72 – 111 and ends on a PAC in C major. This

main theme elides with transitional material from mm. 111 – 119. Cone's "Cadential Theme" then spans mm. 119 – 125, and remains in the tonic key area. Berlioz reprises the transitional material from mm. 111 – 119 in mm. 125 – 133. Each section so far still contains no pause on a V or a V/V. In addition, each section elides with the next to give an even greater sense of continuity. Finally, the section between mm. 133 – 150 drives forward to the IAC in G at m. 150. These elisions between and within the layers support the claim that no MC is possible before m. 150. At m. 150, the cadence is weak, and proportionally close to the repeat sign. Moreover, this cadence cannot form an EEC, because it is not a PAC. Hepokoski and Darcy define the EEC as a PAC, and such a cadence would give the exposition a better sense of finality and closure than Berlioz's weaker, "early" IAC at m. 150.

Adding to the rhetorical ambiguity of this passage, the subsequent phrases at mm. 150 – 167 contain three interlinked cadential repetitions. For Hepokoski and Darcy, one function of phrase repetitions in a continuous exposition is to give the exposition more space such that the "real" EEC occurs in a proportionally appropriate place. If the V:IAC at m.150 cannot be interpreted as a medial caesura, then Hepokoski and Darcy suppose that

> ...the next option is to have it function as the EEC. But in these situations, we are to suppose that this is too early in the exposition to sound an EEC. Thus more expositional space must be crafted – by means of repetition and/or expansions of the cadence in question.[123]

Cone's "Theme B," the potential second theme, unrelated motivically to the *idée fixe*, might instead be interpreted as one of these "outside compositional forces." The "Theme B" is inserted after each entrance of the *idée fixe* and becomes successively more elongated at each repetition. Finally, it ends stably and convincingly on a G at its final repetition at m. 166. This kind of setup with a single theme is characteristic of pre-sonata Baroque binary

123 Hepokoski and Darcy, 60.

forms. In the pre-sonata Baroque binary, the first section will often modulate proportionally close its end. After modulation, no new theme occurs, and instead the section concludes with spun-off material from the main theme, and the second-key material does not last very long. Berlioz's *Symphonie fantastique,* however, was written during a time when two-part expositions have become more common. The corresponding passages in Berlioz's *Symphonie* and in Schumann's Symphonies no. 2 and no. 4 therefore have formal precedents as continuous expositions.

2.3 Berlioz's First Movement and the Type 3 Sonata Form

These complications within the exposition are not the most controversial aspect of the *Symphonie fantastique's* first movement. Berlioz's development and possible recapitulation spaces are a much greater source for disagreement. In this section, my layered analysis supports Hepokoski's and Darcy's location for a recapitulation over Schumann's and Cone's location. But I also argue below that if Berlioz's *idée fixe* in the dominant can provide the rhetorical function of a recapitulation in a Type 3 sonata, the proportional locations of his thematic material can also rhetorically function to support a *Grande coupe binaire* model for the movement, even though the second theme does not return in the tonic.

Following the expositional material, Berlioz develops the *idée fixe* in the viola, cello, and bass. The first four measures of the *idée fixe* begin successively on G, A♭, A, and finally B♭ before dissolving into a quarter-note derivation of the subphrase. This developmental material spans mm. 168 – 192. Following this passage, the winds and brass play Cone's "Theme B"for four measures in mm. 193 – 196 and are answered in the strings with the same theme at mm. 196 – 200. The subsequent section contains 31 measures of parallel 6/3 triads in the strings from mm. 200 – 230.

For Cone, the section between m. 168 and the grand pause at m. 230 constitute the first "phrase" of the development. He divides this phrase into three sections: rising sequences based on the first phrase of Theme A, tonic statements of Theme B in the winds and strings (mm. 193 – 200) , and an episode of chromatically ascending and descending parallel 6/3 chords (mm. 200 – 230).[124] The material following measure 230, crucially identified as a complete restatement of Theme A, is now in the dominant key. It is preceded by a harmonically slow V – I in mm. 234 – 240. Even though it would be thematically appropriate, however, Cone does not consider the section from 234 – 277 as the start of the recapitulation-space.

The following grand pause at mm. 231 – 233 separates this first developmental section from another of the movement's potential anomalies. Measure 234 marks the *idée fixe's* entrance in the "wrong" key of G. How should one interpret this entrance? If we take this restatement as the beginning of the recapitulation, then it is proportionally quite close to the beginning of the development in addition to being in the "wrong" key. This would leave only 67 measures out of 527 as development-space. A proportionally short development section is not necessarily a problem for Hepokoski and Darcy, however, and they still model such a form with their Type 3. They also define a Type 1 sonata as a movement with only an exposition and recapitulation, with no or only a minimal link between them. They suggest that a gray area exists between Type 1 sonatas with expanded retransitional links and Type 3 sontatas with modest development sections.[125] But neither model accounts for the fact that the longest transitional/developmental section in the movement, spanning 52 measures, occurs after this recapitulatory motion. If instead one interprets the *idée fixe's* entrance at m. 234 as

124 Cone, 258.

125 Hepokoski and Darcy, 344.

part of the development, then the movement never provides a complete restatement of the opening material in the original key.

Schumann and Cone would rather wait for the entrance of Theme B at m. 313 to identify the start of the recapitulation. This is in part because the conclusion of Theme A overlaps with the introduction of a new, chromatic cello line at m. 277 and lengthy transitional and developmental material in the meantime.[126] The introduction of Theme A in the "right" key at m. 361, *after* the reintroduction of Theme B in 313 leads both Schumann and Cone to label the movement a symmetrical "arched" sonata.

Hepokoski and Darcy argue that in doing this, Schumann and Cone ignore the importance of the return to the main theme. In further support of their analysis, they give Beethoven's Lenore overture no. 3 as a (speculated) model for Berlioz's movement.[127] In the *Lenore* overture, Beethoven forestalls the expected C minor recapitulation by restating the primary theme in the flute, but now in the dominant key. Even though the theme's entrance does not enter in the expected tonic key, Hepokoski and Darcy still believe it provides the rhetorical function of a recapitulation. They also give Mozart's Piano Sonata in C major K. 545/i as a "touchstone case" in which the recapitulation begins in the subdominant.[128] Their view is in contrast to Tovey and other earlier theorists, who locate the recapitulation at the more tonally supported TR point where the overture has finally regained the tonic key.[129]

Hepokoski and Darcy analyze Berlioz's first movement in a consistent manner with their interpretation of Beethoven's overture, but they give several caveats that it is difficult to

126 Cone's Example 7 (pg. 259) shows how he thinks this line is derived from Theme A.

127 Hepokoski and Darcy, 278 – 279.

128 Ibid. 264.

129 Tovey, Donald. *Symphonies and Other Orchestral Works*. (Oxford: Oxford University Press, 1989), 138.

generalize about a piece as unique as the *Symphonie fantastique.* The authors do think, however, that it would be fruitful to consider the rotational nature of the *idée fixe* in order to describe the large-scale structure of the first movement. As with Beethoven's *Lenore* overture, they view the G major *idée fixe* as the beginning of the rhetorical recapitulation in the dominant, and they argue that the final appearance of the *idée fixe* in C at m. 410 belongs more to coda-space than to recapitulation space.[130] This view has a certain poetry to it: just as Berlioz has included the *idée fixe* as a part of the exposition's coda-space in G at m. 150, now it returns in C at the coda-space of m. 410.

I have two reservations with Hepokoski's and Darcy's interpretation of the movement. First, if it is to be modeled on *Lenore no. 3*, Berlioz's first movement would need a second theme. Second, Hepokoski's and Darcy's interpretation doesn't account for the small size of the development section relative to the length of the movement as a whole. Their interpretation also does not account for the lengthy transitional material after the restatement of the *idée fixe* at mm. 280 – 331. Their Type 2 sonata is another potential candidate to model the *Symphonie fantastique*, but as shown above, the authors do not believe that Berlioz's movement is a Type 2. For them, the nearly complete restatement of the theme, even though it is in the wrong key, is too significant not to mark the beginning of the recapitulatory space. If Berlioz had reprised Theme B in the tonic at m. 313 instead of the dominant, a Type 2 interpretation might be possible. This fact also prevents a simple binary interpretation of the movement.

Reicha's *grande coupe binaire* expands on this simple binary by requiring two independent themes. As shown in the next section, the *grande coupe binaire* can still be used

130 Hepokoski and Darcy, 278 – 279.

to explain Berlioz's *idée fixe* in the dominant, even if the model fails at the return of Theme B. Berlioz's development section then contains one deformation in each case. The *idée fixe* in the dominant is a deformation of the Type 3 sonata, and the Theme B in the dominant is a deformation of Reicha's *grande coupe binaire*. Even if Berlioz's Theme B breaks Reicha's rule by returning in the dominant, it will still be useful to consider the *grande coupe binaire* as a possible model for the movement, because it may help explain why Berlioz did not reprise the *idée fixe* in the tonic.

2.4 Layers and the *Grande coupe binaire*

My proposed method of analysis can help resolve the disagreement over the point of recapitulation by assigning relative structural weights to m. 234 and m. 313. In Hepokoski's and Darcy's favor, the grand pause just before m. 234 clearly resets both the melody and the orchestration layers. The phrase rhythm and orchestration in the immediately preceding transition reinforce an accelerating phrase rhythm (from 4 bars to two) leading to m. 230 as a point of arrival. Harmonically, however, this passage is more unstable. The grand pause follows a half-cadence on an A6/5 leading to a D major sonority at m. 234 before our first confirmation of the key of G at m. 240. Figure 7 shows my analysis of the passage.

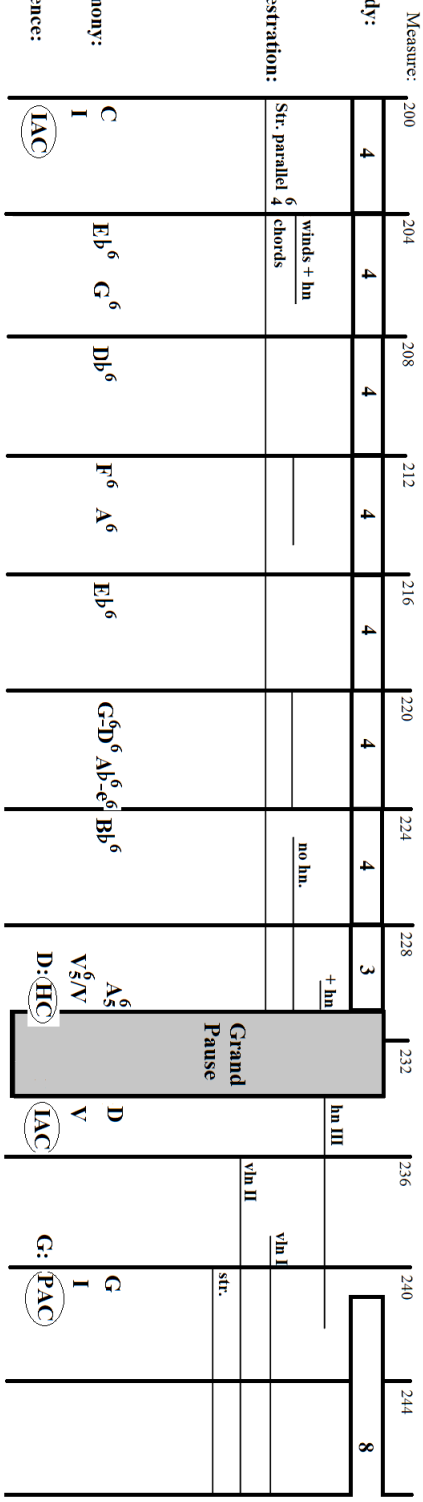


Figure 7: Layers surrounding Hepokoski's and Darcy's proposed recapitulation, Symphonie fantastique, I, mm. 200 – 247.

In Schumann's and Cone's favor, the layers also support an accelerando to m. 313. Figure 8 shows the passage surrounding m. 313. The harmonic rhythm increases from one chord in 7 bars to one chord every two bars, and finally one chord per bar at the imperfect authentic cadence at m. 313. Orchestrationally, the passage from mm. 299 – 313 contains a crescendo, with the first part scored only for strings, and the second part adding brass, woodwinds, and timpani. Finally, the phrase rhythm increases from 4-bar groupings in mm. 299 – 306 to 2-bar groupings in mm. 306 – 313.

Thematically, however, the passage following m. 313 is more transitional than recapitulatory. Each re-entry of the Theme B is staggered among the different string sections and enters on a new harmony. The first enters in G at m. 313, the second in E at m. 317, the third in A minor in m. 319, and finally the fourth in C at m. 324. There is no cadence at m. 324, but instead an expansion of C with a CT^{o7} – I, indicating that the harmony layer is out of phase from the thematic layer, and further suggesting that the passage is still functioning transitionally, rather than as a strong point of arrival.

Worse, the passage still has not quite modulated to the tonic key by m. 313. Cone's Theme B first occurs still in G at m. 313, and only returns to the original key of C at m. 324. In Cone's diagram of the movement, above, he too labels m. 313 as a "development and recap of Theme B," as if to say that Berlioz has merged these two categories. It seems, then, that m. 234 occurs at a stronger point of arrival than m. 313. As will be shown in the next section, the stronger point of structural arrival, though supporting Hepokoski's and Darcy's analysis, is not so strong as to rule out a binary model for the movement. As in Chapter 3, Reicha provides a model for the large binary form which partitions the second part into two subsections, but he still considered the overall form to take two, not three, main sections.

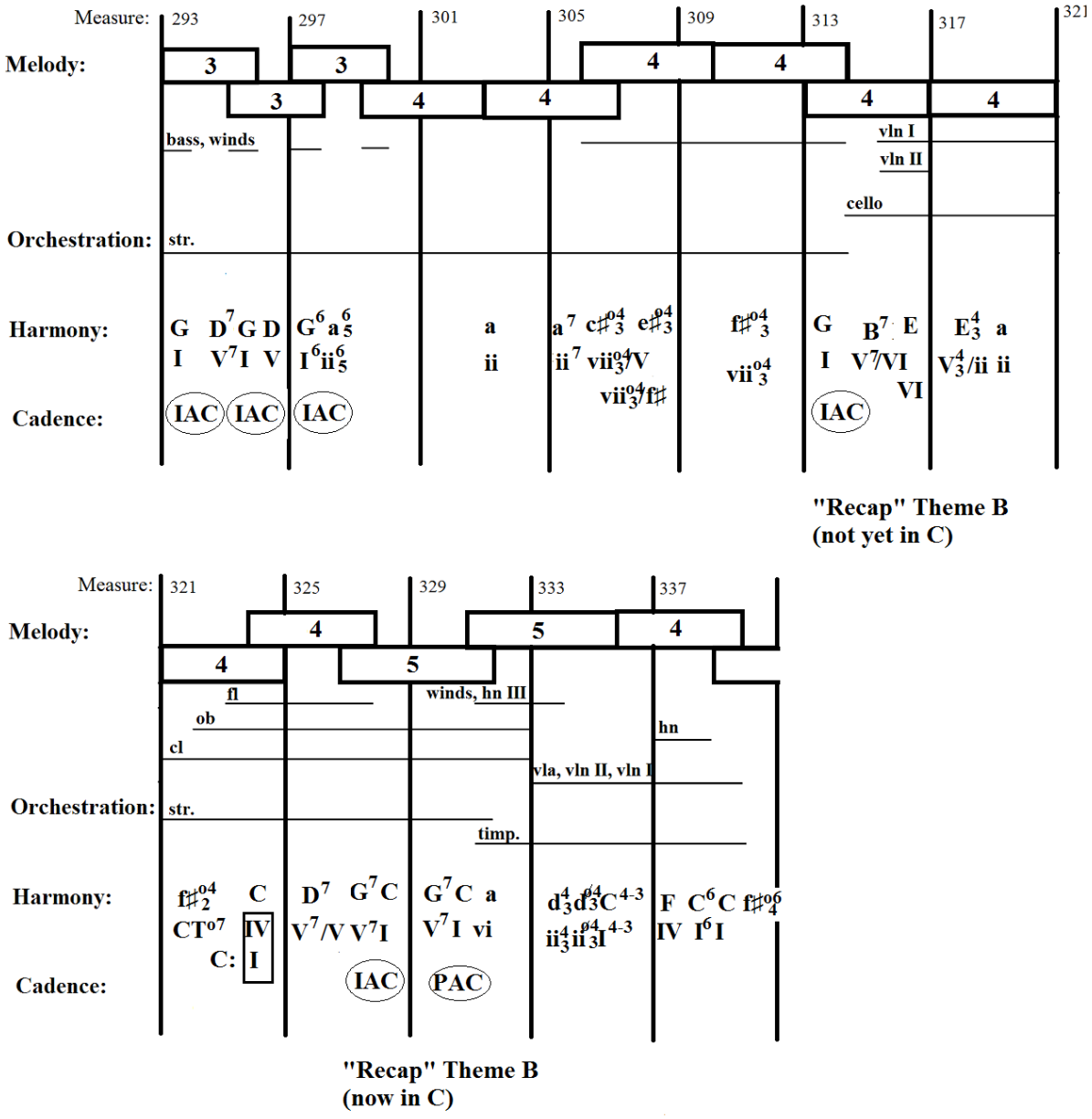


Figure 8: Layers surrounding Schumann's and Cone's proposed recapitulation, Symphonie fantastique, I, mm. 293 – 340.

2.5 Reicha's *Grande coupe binaire* and the *Symphonie fantastique*

As one of Berlioz's teachers at the conservatoire, Reicha would almost certainly have imparted his ideas on form to the younger composer. His writings on the *développement des idées* are more generalized than our modern conception of the development section, and can even encompass both the development and recapitulation spaces of a ternary form. It is even so generalized as to apply to any variation of thematic material, and thus can refer to procedures within the exposition as well as the development and recapitulation spaces. The result is that Reicha, apparently in line with the other composers in France of his generation, often wrote symphonic first movements which blur what we today would think of as the development and recapitulation spaces of a sonata form.[131]

By the second half of the twentieth century, Reicha's *grande coupe binaire* had been seen as an important transitional link between the eighteenth-century concept of the binary form and the modern concept of sonata theory. But Peter Hoyt has established that this modern reading of Reicha's theoretical writings is problematic for establishing his meaning of the term *développement*.[132] In classifying the *grande coupe binaire* as a transitional idea, the modern reader might color their interpretation with the idea of an archetypal sonata form towards which Reicha's theory could "progress." This modern bias could lead one to a reading of Reicha's treatise that is self-contradictory.[133] Instead, Hoyt finds that Reicha has clarified this apparent contradiction in his revision of the *grande traité de haute composition musicale*. In his revision, Reicha labels the entire second part the *développement* and

131 See Chapter 3 for a detailed analysis of Reicha's *Symphony no. 2 in E♭*, which does exactly this.

132 Hoyt, Peter A. "The concept of *développement* in the early nineteenth century." in *Music Theory in the Age of Romanticism*. Ed. Ian Bent. (Cambridge: Cambridge University Press, 1996), 141 – 162.

133 Hoyt cites Roger Graybill on p. 143, n.3. Graybill sees Reicha's famous diagram (Hoyt's Example 8.1) as anomalous and self-contradictory, in that it seemingly promotes both a two- and a three-part form simultaneously.

furthermore, his revised 1832 *Traité de melodie* maintains the binary labels from his 1814 edition of the same treatise.[134]

Hoyt turns to nineteenth-century French dramatic theory to better articulate the more likely meaning behind Reicha's usage of terminology. Both the terms *exposition* and *développement* appear in rhetorical and drama theory before Reicha seems to have borrowed them. French neoclassical theatrical concepts appear to have been loosely based on Aristotle and Horace, and include such sources as Diderot and d'Alembert's *Encyclopédie* and Laporte and Chamfort's *Dictionnaire dramatique.*[135] Hoyt traces Reicha's use of terminology to the thirteenth chapter of the third book of Aristotle's *Rhetoric*, in which speech has two parts: the statement of the subject and its demonstration.[136] The demonstration, moreover, was considered the more important of the two parts, and in speech it was expected to be longer than the exposition. Reicha explicitly compares the two parts of the *Grande coupe binaire* to the parts of a discourse:

> The second part of this form is never to be shorter than the first; rather it may be a third longer or even half again as long; because the first part is only the exposition, whereas the second is the development.[137]

And the passage's footnote further compares the parts of the *grande coupe binaire* to the parts of rhetoric: "The feeling here follows a law that the spirit adopts: because, in a discourse one must have an exposition of the ideas to be developed in another part."[138]

134 Hoyt, 143.

135 Hoyt, 145.

136 Hoyt, 146. Aristotle's source is translated in: Aristotle, *on rhetoric*, ed. and trans. George A. Kennedy. (Oxford: Oxford University Press, 1991), 258.

137 Reicha, Anton. *Traité de mélodie*, 41. Hoyt's translation pg. 145. "La seconde partie de cette coupe ne peut jamais être plus courte que la première; mais elle peut-être d'un tiers et même de moitié plus longue; car la prémiere partie n'est que l'exposition, tandis que la seconde en est le développement."

138 Hoyt's translation, pg. 145: "Le sentiment suit ici une loi que l'esprit adope: car dans un discours, il faut

Hoyt finds that a theory of nineteenth-century French drama can also explain why Reicha appears to have drawn a three-part diagram in his *Traité de haute composition muscale*. French theory of drama used to contain three parts. First, the *exposition* introduces the situation and the characters. Second, the *nœud* (the knot), sometimes called the *intrigue*, introduces a conflict. Finally, the *dénouement* (literally the "untying of the knot") resolves the conflict. Hoyt finds again that Reicha literally applies these terms to his sections of the *grande coupe binaire*:

"The first part of this form is the exposition of the piece;

The first section [of the second part] is the knot;

The second section [of the second part] is the unraveling."[139]

But just as Reicha refers to the *sentiment* of discourse in Hoyt's previous excerpts, it is possible that he applied these three terms in spirit only. In the same way that the two parts of the binary may be nearly the same length (only following the sentiment and not the letter of discourse), the two parts are likely not to be taken as also ternary; the two parts only follow the *sentiment* of discourse.

The connection between rhetoric, drama, and musical form is especially applicable to Berlioz's *Symphonie fantastique* because of the composer's admiration of Shakespeare and his obsession over the Shakespearean actress Harriet Smithson. The *Symphonie's* program is famously semi-autobiographical, and it makes explicit a drama of its own. Moreover, Hoyt notes that French neoclassical theatrical criticism did not rely as heavily on the modern emphasis on a single process of tension and release. Rather, each act could have its own

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une exposition dont les idées soient dévelopées dans une autre partie."

139 Reicha, *Traité de haute composition musicale*, vol. 2 pg. 298. trans. Hoyt in Hoyt, 148.

exposition, intrigue, and denouement. These separate processes could be interwoven with one another with some degree of freedom to sustain interest.[140]

In Chapter 3, I compare Berlioz's first movement to the first movement of Reicha's *Symphonie no. 2 in E♭*. I find that in both cases, the composer treats the thematic material and key areas in their development section in this somewhat freer way than one might find in a "textbook" sonata form. Both Reicha's and Berlioz's development sections contain a "knot," a pause on the dominant (in Reicha's case) or an applied dominant (in Berlioz's case), and an "unraveling" beginning with a statement of the primary theme in a different key from the tonic.

140 Hoyt, 150.

Chapter Three: Reicha's *Symphony no. 2 in E♭* and the *Symphonie fantastique*

The previous chapter discussed three conflicting interpretations of Berlioz's first movement: Hepokoski's and Darcy's Type 3 with recapitulation beginning in the dominant, Schumann's and Cone's "arched" sonata form, and Rushton's analysis of the movement as an instance of Reicha's *grande coupe binaire*. Of these analyses, my investigation of Berlioz's development section more strongly supports the Type 3 interpretation than Schumann's and Cone's interpretation, but it also suggests that Reicha's large binary form is an appropriate model for the movement. This chapter provides additional support for my argument in Chapter 2 by comparing Reicha's own development section in his *Symphony no. 2 in E♭ major* with Berlioz's development section.[141]

Berlioz's *Allegro* shows an exposition with weakly supported second theme. Although the section ends clearly in the dominant key, this secondary thematic material is arguably better suited as closing material. This would not necessarily disqualify it as a Type 3 sonata, because Hepokoski's and Darcy's "continuous" exposition might also apply to the first part of the movement.[142] The musical layers after the repeat sign do not provide as clear a point of convergence as at the end of the exposition, and this has contributed to the multiple interpretations of its form. Hepokoski and Darcy warn that "generalizing about such an unusual composition is a perilous procedure, but one productive way to consider this piece is to examine its rotational structure, a guiding thread through the purposely garish deformations."[143] They describe the return of the *idée fixe* in G as the beginning of a "bizarre

141 Reicha, Anton. *Symphonie à grand orchestre*. in E♭, op. 42, 1799 – 1800 (Leipzig, 1803).

142 This ambiguity is discussed in Chapter 2.

143 Hepokoski and Darcy, 278.

rhetorical recapitulation in the dominant."[144] But their classification of this non-tonic recapitulation as one of many purposefully deformed elements is at odds with their classification of many Classical-era sonata forms. They give many examples of "wrong" key recapitulations beginning in IV, V, vi, VI, and in rare cases, ♭VI (see below).

My analysis suggests that we cannot use this particular nonconformity to modern sonata theory (the beginning of a rhetorical recapitulation in the "wrong" key) to argue that Berlioz was poorly educated musically. Hepokoski and Darcy would likely agree, since they give many examples of recapitulations that do not begin in the tonic. Mozart's K. 545/i, for example, begins its P-zone in C major, and recapitulates the P-zone in F major. Schubert was "much attracted" to the recapitulation in IV, and employed it in his Symphony no. 2 (D. 125), Symphony no. 5 (D. 485), and the Piano Quintet in A (D. 667, "The Trout").[145] Recapitulations in vi, VI, or rarely ♭VI can be found in Haydn's op. 50 no.1/i, in Beethoven's op.10 no. 2/i, and in his op. 59 no. 1/ii. Beginning on V, Hepokoski and Darcy give Gluck's *Alceste* overture, Salieri's operas, and Beethoven's "Appassionata" op. 57 (a tonic recapitulation above a dominant pedal). It is highly unlikely that so many well-established composers would also have been lacking a formal musical education.

Likewise, Reicha's first movement does not restate the primary theme in the original key. Berlioz's primary theme does return in its entirety, but it is in the dominant key. In Reicha's development section, the primary theme never returns in its entirety; only his secondary theme returns in its entirety in the original key. I show below that in both Reicha's and Berlioz's first movements, the return of the first theme in a nontonic key is consistent with Reicha's theory of the *grande coupe binaire*. As discussed in Chapter 2, despite Reicha's

144 Ibid., 279.

145 Ibid. 260.

apparent reference to a ternary form in his diagram, he clearly shows the form in two main parts, the second of which is partitioned again into two.

This comparison performs three functions with respect to Reicha's and Berlioz's opening movements. First, the in-depth analysis of Berlioz's exposition reveals that modern sonata theory, as outlined by Hepokoski and Darcy, provides a good model for the expositions of both pieces. Second, by analyzing the work according to Reicha's *grande coupe binaire,* this chapter shows that the aforementioned non-conformity to modern sonata theory does not necessarily support the popular claim that Berlioz was inadequately educated musically.[146] Third, this chapter shows that Reicha's *Symphony no. 2* is not only consistent with the *grande coupe binaire* model, but more importantly, Reicha's development section displays some of the same features as Berlioz's development and poses the same problem for a Type 3 sonata analysis. I begin by reviewing Reicha's writings on the *grande coupe binaire*.

3.1 Reicha's *Grande coupe binaire:* the Overall Form

Reicha defines the large binary form in both his treatise on melody (1814) and in his later *Traité de haute composition musicale* (1824 – 6). In both cases, the form divides first into two parts: the exposition and the development. Then, the development divides further into two parts. Accompanying his famous diagram on the form, Reicha makes a note that "because the *grande coupe binaire* is gravely weak in the memory of the students, we will make a figure here in three lines:"[147]

146 In *The Musical Language of Berlioz,* Julian Rushton makes a similar point. He provides a very loose definition of the sonata form precisely to account for its binary basis, and finds that Berlioz "can only have heard the form defined in this way." See Chapter 2.

147 Reicha, THCM, 300. "Pour que la grande coupe binaire se grave mieux dans la mémoire des élèves, nous la figurerons ici sur trois lignes:"

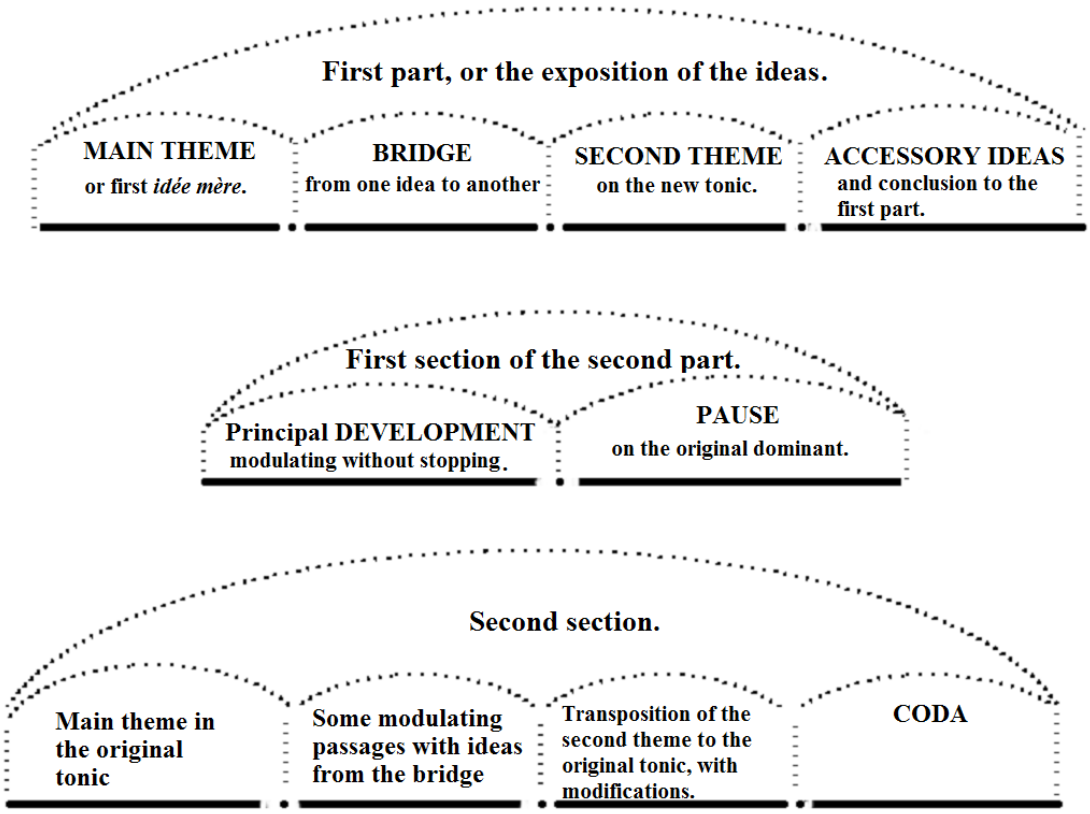


Figure 9: Reicha's diagram of the Grande coupe binaire, Traité de haute composition musicale, pg. 300.

The idea that the first allegro movement in a symphony is usually divided into two parts, the second of which is again divided in two occurs as early as 1782. Heinrich Christoph Koch preceded Reicha in partitioning the form of the symphonic first movement this way:

> The first allegro of the symphony, to which the description above particularly applies, has two sections which may be performed with or without repetition. The first of these consists only of a single main period and contains the plan of the symphony... The second section of the first allegro consists of two main periods, of which the first tends to have greatly diverse structures.[148]

148 Koch, Heinrich Christoph. *Versuch einer Anleitung zur Composition (Rudolstadt and Leipzig, 1782–93).* Trans. N.K. Baker as *Introductory Essay on Composition: the Mechanical Rules of Melody, Sections 3 and 4* (New Haven: Yale University Press, 1983), 199.

Figure 10 shows a diagram of Koch's definition of the form.

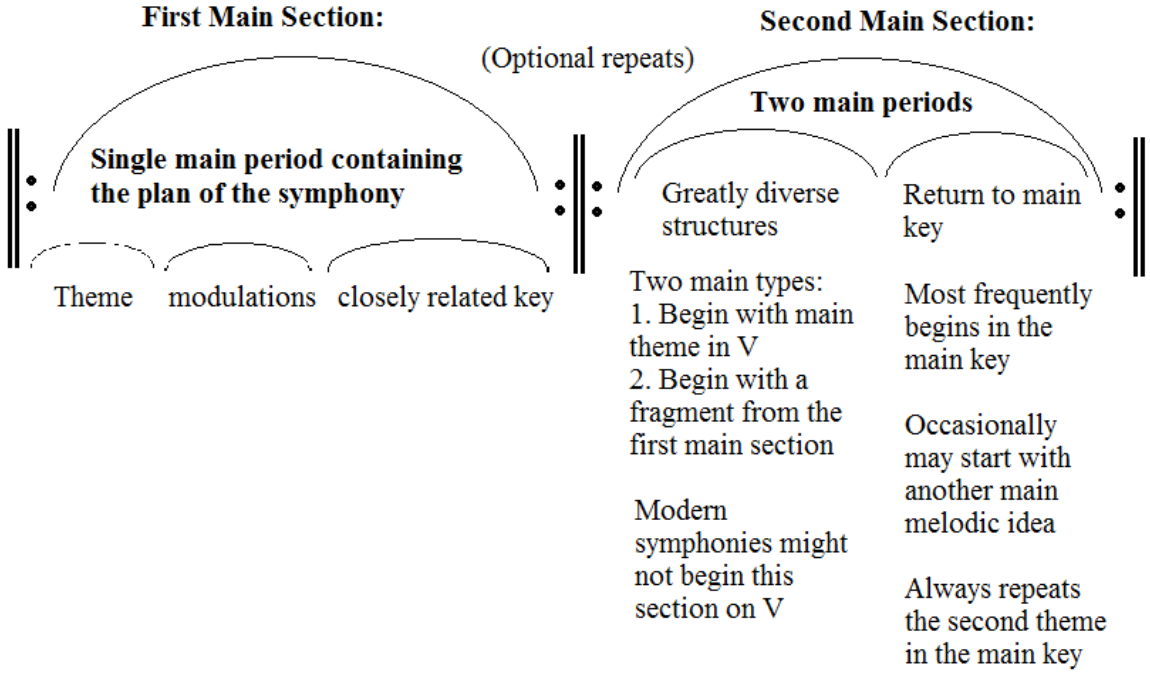


Figure 10: The first allegro of a symphony as described by Koch in *Introductory Essay on Composition*.

This model shares many attributes with the simple binary form, and may have even begun as an elaboration on that form. As Rosen describes in *Sonata forms*, the simple binary was a two-phrase form containing a double and opposing symmetry.[149] This form contains an ||: AB :||: AB :|| thematic pattern, but a reversed ||: AB :||: BA :|| harmonic pattern, and the result is a form in which the ||: tonic → dominant :||: dominant → tonic :|| balances the symmetry of the thematic pattern. Rosen shows that a major distinction between sonata form and simple binary is in how clearly the composer articulates each theme. In a simple binary, the endpoints of each key area are not as strongly determined as those in sonata form. For example, in the Allemande from Bach's Partita in B♭ from the *Clavierübung* has a delayed

149 Rosen, Charles. *Sonata forms.* (New York: W.W. Norton and company, 1988), 22.

cadence on V in the first part and a similarly delayed cadence on I in the second part. These parallel delayed resolutions add to a sense of continuity within each part. The sonata form's harmonic articulations, on the other hand, should be clearly and strongly articulated. For instance, the cadence on V (the medial caesura) must also be marked by a change in texture to more emphatically distinguish the two key areas.[150]

Nancy Kovaleff Baker shows that for Koch, the binary division of the movement would have been viable and appropriate.[151] She argues that Koch arrived at his model for the *Allegro* from works by Haydn, Rosetti, C.P.E. Bach, and Koch himself, and therefore that the model allows for some flexibility than would be found in today's more rigid formal molds. For example, although Koch discusses thematic contrast within the I-phrase and the V-phrase of the first main period, Baker thinks that this does not indicate a description of the same kind of thematic dualism that nineteenth-century theorists proscribed in their concept of the sonata form. Rather, the scheme allows for thematic contrast even within the different harmonic areas. Moreover, these contrasts would only have existed on the smaller scales, and that the larger-scale parts of the movement should express unity of feeling and unity of melodic ideas.[152]

On the key areas and the proportions of the first main part, Koch specifies that:

> ... after the [first] theme has been heard with another main phrase, the third such phrase usually modulates to the key of the fifth – in the minor mode also towards the third – in which the remaining sections are presented, because the second and larger half of this first period is devoted particularly to this key.[153]

150 Ibid., 22 – 24.

151 Baker, Nancy Kovaleff. "Heinrich Koch's Description of the Symphony." *Studi musicali* 9/ii (1980), 303 – 316.

152 Ibid. 307 – 308.

153 Ibid., 22.

According to Koch's model, then, the second theme should take proportionally more space than the first theme. Koch's requirement for the relative proportions of the two main sections show up in treatises as early as Joseph Riepel's *Anfangsgrunde zur Musikalischen Setzkunst* (1752 – 1768).[154] This requirement and several other parallels between basic premises suggest that Koch was highly influenced by Riepel's treatise.[155]

Another prominent theorist in Koch's generation, Johann Friedrich Daube, may have been strongly influenced by Riepel's ideas about large-scale formal organization.[156] Despite many similarities, however, Daube presents two examples of *Allegro* movements that he divides into three rather than two parts. On the first example, he writes:

> Now I shall present a long and almost completed piece which, as usual, consists of three parts; of which the first part goes to the closest related key and its cadence [i.e. V at m.12]. From there the second part presents the beginning theme transposed to the dominant and modulates fromt here to the next related key, namely the third below. Here there may be a cadence, if desired [on vi at m.24]. Now begins the third part with a repetition of the beginning theme [on V^7 of c, m.25!] and goes without completing it immediately to a key which is not closely related, namely c minor; then those two measures are repeated a tone lower [V of B♭, m.27]. Now the beginning theme appears yet again, repeated exactly up to measure 7 [mm.29 – 34]; from there measures 9 and 10 of the beginning are presented in transposition [mm.35 – 36], and the piece ends with the 3rd and 4th figures.[157]

Daube, unlike Koch and Reicha, has given an example of an *Allegro* movement not only in

154 Riepel, Joseph. *Anfangsgründe zur musicalischen Setzkunst nicht zwar nach alt-mathematischer Einbildungsart der Zirkelharmonisten, sondern durchgehends mit sichtbaren Exempeln abgefasset: de rhythmopoeïa, oder Von der Tactordnung: zu etwa beliebigem Nutzen herausgegeben* (Frankfurt: Augspurg, 1752 - 68).

155 See Reed, Nola Jane. *The Theories of Joseph Riepel as Expressed in his "Anfangsgrunde zur Musicalischen setzkunst" (1752 – 1768).* PhD Dissertation, Eastman School of Music, 1980, 183.

156 Riepel's influence on Daube would be difficult to prove directly, but it is a plausible hypothesis based on the large number of parallels between Riepel's discussion of melody and form, and Daube's much later treatise. See Göllner, Marie Louise. *The Early Symphony: 18th-Century Views on Composition and Analysis*. (Heidelsheim: Georg Olms Verlag AG, 2004), 127, and Reed, 175 – 178.

157 Daube, J.F. *Anleitung zur Erfindung der Melodie und ihrer Fortsetzung*. Wien: J. Funk, 1798), Vol. I, 43 – 47. Reprinted and translated in Göllner, 127 – 129.

three parts, but with an unusual key scheme, at least with respect to later theories of sonata form. His third section begins on an applied dominant, V^7/ii, and harmonically forms the start of a retransition to the tonic key (B♭). But Göllner discovers that Daube has presented the form with respect to four sub-phrases only. His focus was not on the structural function of the harmonies in the example, but rather on the fact that an *Allegro* movement can be composed from the recombination of four motives.[158]

Returning now to binary form, Koch's model for the second section allows for a recapitulation which might not feature the primary theme in the tonic:

> The last period of our first allegro, which is devoted above all to the main key, most frequently again begins with the theme in this key, but *occasionally may also start with another main melodic idea.* The most prominent phrases are also now compressed, as it were, during which the melody usually shifts to the key of the fourth, but, without making a cadence in it, soon again returns to the main key. Finally the second half of the first period, or those melodic ideas of the first period which followed the V-phrase in the fifth, is repeated in the main key and with this the allegro ends.[159]

The return to the tonic key therefore need not begin with P-based material. More importantly, any S-material must occur in the tonic. Rosen shows that even by the 1780's, the order of the material from the exposition need not be retained in the recapitulation, but the most important feature of the recapitulation is the return of the second theme in the tonic. Without this return, the piece does not stylistically meet the criteria for a sonata form. In order to remain stylistically correct, the structural dissonance of the second theme, which has only been played so far in the dominant, must be resolved through its presence in the tonic key.[160]

158 Riepel treats this idea extensively in his writings on *Ars permutatoria* and *Ars combinatoria.* See Reed, appendix A, 188ff.

159 Ibid., 201. My emphasis.

160 Ibid., 287 – 288.

In his *Traité de mélodie*, Reicha focuses primarily on vocal music, and in his later treatise, he details his requirements for the large binary form in instrumental music. The differences in the large binary form between the two ensemble types occur mainly in the development section. Pieces for the voice are limited by vocal range and by the nature of the lyrics, whereas instrumental works do not share these limitations:

> In general, the second part is composed and developed from the ideas of the first part, especially in instrumental music where pieces are more extended than in vocal music. In the latter, one is often obliged to create ideas in addition to the theme which one wishes to recall in the second part, for the voice cannot always transpose on account of its limited range, and because the words very often do not permit it. Thus, there is a difference between large binary form in instrumental and vocal music.[161]

These differences may help explain why Reicha gives much looser specifications for the treatment of theme and key area in his treatise on melody than in his later treatise on composition. In the *Traité de mélodie*, Reicha only requires three things. First, the main theme must establish the original key. Second, there must only be small passing modulations to relative keys before establishing perfectly the dominant key. Finally, the second part may at first modulate to new keys, or it may sometimes remain in the original key, but the second part must end in the original key. In the second part, the theme is repeated in the original key, *usually* in its entirety.[162] The treatise on melody does not specify the need for a second theme in the exposition, nor does it require an entire statement in the original key.

This chapter will draw instead from Reicha's *Traité de haute composition musicale* not only because it defines the large binary form as it occurs in instrumental works, but also because Reicha's requirements for the form are more detailed and specific. Figure 9 shows Reicha's diagram of the form for instrumental works. The details of the diagram more closely

161 Reicha, *Treatise on Melody,* 50.

162 Ibid.

resemble the thematic requirements of the modern sonata-allegro. The first part contains a main theme, a transition, a second theme, and a closing section. The development contains a section in which the music modulates "without stopping," a reprise of the main theme in the original key, some passing modulations based on the ideas of the transition, a transposition of the second theme into the original key, and a coda. But as will be shown below in the section on the development, the reprise of the main theme is only *usually* in the original key, and neither Reicha nor Berlioz follow this general requirement in their developments.

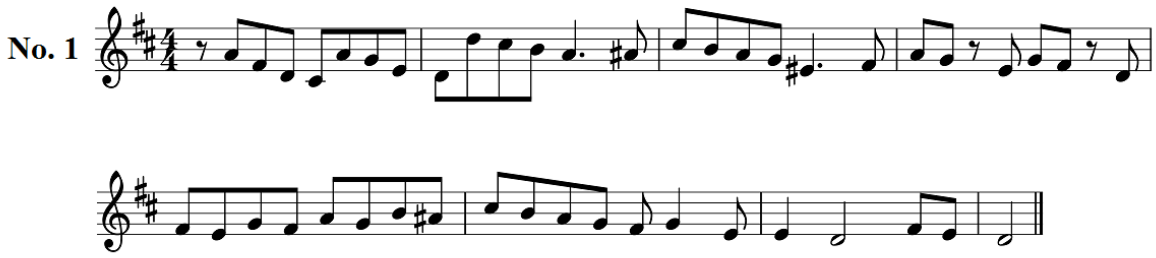
3.2 Reicha's *Grande coupe binaire:* the Exposition

Reicha details four sections within the exposition: the *main theme*, the *bridge*, the *secondary theme*, and *accessory ideas*. Reicha specifies that the main theme, or *idée mère*, "is composed of a complete period, more or less long, and must end on the tonic that here we will suppose is D Major. There are motives from 8 up to 24 measures and longer."[163] Reicha thus requires the first theme to complete a period and to end on the tonic.[164] The main theme may be 8 measures, 24 measures, or even longer, but he specifies that "when the pattern is long, one will almost always repeat little phrases, or even repeat it in full, as in Mozart's overture that we have analyzed."[165]

163 THCM pg. 296: "Il est composé d'une période complète, plus ou moins longue, et doit terminer dans le ton principal que nous supposons ici *ré majeur.*" In this and subsequent quotations, Reicha uses the specific notes and keys from his musical example. In my responses to Reicha's definitions, I convert to the general case.

164 See Chapter one: the *period*, as Reicha used the term, is different from the modern period. It may contain an irregular phrase structure, but it must end on a *perfect cadence*. In his treatise on melody, Reicha tends to prefer symmetrical phrase structures, but his use of terminology allows for asymmetrical periods as well. One consequence of this is that Berlioz's asymmetrical *idée fixe* still falls within Reicha's guidelines for the main theme.

165 THCM pg. 296 "Quand le motif est long, on y répète presque toujours des petites phrases, ou bien on le répète en entier, comme dans l'ouverture de Mozart que nous avons analysée."



Example 9: Reicha's Example no. 1, THCM pg. 296.

Reicha specifies types of extensions for his Example no. 1, reproduced above, that should result in layers that are highly in phase. He suggests:

> If one wants to prolong this motive, one only has to repeat it with any of the following modifications: the first time *piano*, the second time *forte*; or, the second time in another octave; or, with another instrument; or even (when the piece is for the orchestra) the first time only with the stringed instruments, and the second time for the entire orchestra, etc.[166]

In order to follow Reicha's guidelines for extending a theme, the other layers will end up precisely in phase with the melody layer. The phrase structure of a melody like Reicha's no. 1 would have a 4 + 4 pattern, and its repetition would remain in-phase with a 4-bar hypermeter. If the instrumentation changes upon repetition of the example, then the orchestration also remains in-phase with the melody layer. The primary theme will then remain relatively static, from the perspective of layer-interaction, and any drive towards a structural cadence will need to occur from within one or more layers.[167]

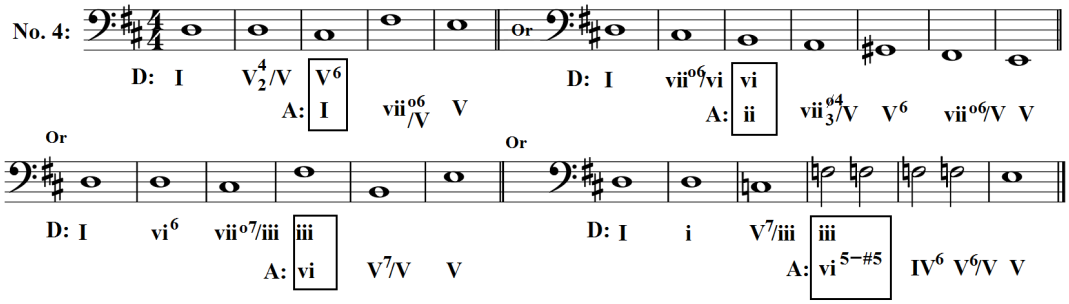
After establishing the details about the primary theme, Reicha then defines the *bridge*,

166 THCM pg. 296 "Si l'on désire prolonger ce motif, on n'a qu'à le répéter avec une modification quelconque: la première fois *piano*, la seconde fois *fort*; ou, la seconde fois à une autre octave ; ou, par un autre instrument ; ou bien (quand le morceau est pour l'orchestre) la première fois le rendre seulement par les instrumens à cordes, et la seconde fois par toute la masse de l'orchestre, &c."

167 See Chapter 4 for momentum-determinants within vs. between layers.

or in modern terms, the *transition*, as

> ... accessory ideas, to arrive at the *secondary theme.* This bridge is designed to momentarily erase the impression of the original tone D and to substitute in its place the dominant A which will become the new tonic. It is for this reason that we can modulate with this bridge more or less boldly, according to its length. If it is very short, it can only progress along chords included within these series:



> One of these four sets is necessary to achieve the dominant, which is the surest way to set the tone of A as the new major tonic.
>
> When the bridge is long, it can modulate constantly and visit many different keys, as long as one arrives finally in a satisfying manner on the dominant of the new tonic. A short bridge has as few as four to eight measures; a long bridge has twenty to thirty or more, especially employing a pedal on the dominant in A at the end.[168]

The possible ways to create a short transition under Reicha's guidelines are therefore quite limited. According to his no. 4, there are only four types of harmonic progression which can strongly establish the dominant in as short a time as possible. If the transition is long, moreover, Reicha requires the use of a pedal at its end to more firmly establish the new key.

168 THCM pg. 297: "... idées accesoires, pour arriver à la *seconde idée mère*. Ce pont a pour but d'effacer momentanément l'impression du ton primitif *ré*, et de substituer à sa place la dominante *la* qui devient la nouvelle tonique. C'est par cette raison que l'on peut moduler sur ce pont plus ou moins hardiment, selon sa longueur. Lorsqu'il est très court, il ne peut guère parcourir d'autres accords que ceux contenus dans l'une des quatre séries suivantes: [Reicha's Example 4]. L'une de ces quatre séries est nécessaire pour arriver sur la *dominante de la*, qui est le moyen le plus sûr pour fixer le ton de la majeur comme nouvelle tonique. Lorsque le pont est long, on peut moduler sans cesse et parcourir beaucoup de tons diffèrens, pourvu que l'on arrive finalement d'une manière satisfaisante sur la dominante de la nouvelle tonique. Un pont court n'a parfois que quatre à huit mesures: un pont long en a de vingt à trente et plus, surtout en y employant à la fin une pédale sur la dominante de *la*." I have replaced the figured bass in Reicha's example no. 4 with Roman numerals.

Once this bridge has concluded with a firm establishment of the dominant, Reicha specifies how the second theme and the end of the movement should proceed:

> This second motive is in A. The same remarks can be made about it as about the first motive, except that the repetition can also be done in A minor while one desires to remain there.
>
> After the secondary motive, the exposition is prolonged with a few new accessory ideas, more or less long, with passing modulations to several keys. It ends in A major.
>
> The first part can have sixty to one hundred and fifty measures; it depends on the amount of variety and interest or charm of the ideas, and then to the measure and the movement of the measure. This first part rarely repeats in finales, and never in overtures. In the case of a reprise, there is often a return to the end for restarting, it is almost always skipped the second time.[169]

So far, Reicha's account of the exposition fairly closely matches our modern sense of the sonata exposition: the first theme clearly establishes the tonic key, it is followed by a transition to the dominant and a second theme in the dominant area, this area may be followed by a coda, and the section must end in the dominant. With this framework in place for the exposition, the next two sections of this chapter will show how Reicha's exposition and Berlioz's exposition compare to these guidelines. Because Reicha's definition of the exposition is mostly consistent with Hepokoski's and Darcy's model of the two-part exposition, I also use Hepokoski's and Darcy's notation below.

3.3 Reicha's Exposition

Figure 11 shows my analysis of Reicha's Symphony no. 2 in E♭. His exposition begins typically enough under Hepokoski's and Darcy's guidelines for a two-part exposition,

169 THCM pg. 298: "Ce second motif est en *la*. On peut faire sur lui les mêmes remarques que sur le motif initial, sauf que la repétition peut se faire aussi en la mineur lorsqu'on désire le reposer. Après la seconde *idée mère*, on prolonge l'exposition par quelques nouvelles id'ees accessoires, plus ou moins longues, en modulant passagèrement dans quelques tons. On finit en *la* majeur. La première partie peut avoir de soixante à cent cinquante mesures; cela depend de la quantité de la variete et de l'interet ou du charme des idées, et ensuite de la mesure et du mouvement de la mesure. Cette première partie se répète rarement dans les finales de ces productions, et jamais dans les ouvertures. En cas de reprise, on fait souvent un conduit à la fin pour recommencer; on passe presque toujours ce conduit la seconde fois."

with a P section in E♭ (mm. 1 – 39), a TR (mm. 40 – 66), a MC (HC: V/V) at m. 66, an S section in B♭ (mm. 67 – 84), and a closing section (mm. 84 – 101).

The length of Reicha's P section is consistent with Reicha's treatise, where he stipulates that the first motive can be more than 24 measures long. The PAC at m. 39 gives the passage its crucial period structure.[170] It contains two sub-themes, P1 (mm. 1 – 27) and P2 (mm. 27 – 35). P1, shown in Example 10 below, begins with a symmetrical 4 + 4 phrase rhythm. Reicha follows this phrase with an unequal 5-bar phrase leading to another statement of the opening 4 + 4 phrase structure. This repeated "little phrase" is consistent with Reicha's generalization about relatively long main themes. Reicha again interjects an unequal 6-bar phrase before concluding with an even 4 + 4 + 4 phrase rhythm. The first two phrases of this 3-phrase rhythm repeat the opening 4-bar phrase. The harmonic cadences are in-phase with the phrase-rhythm throughout this section, with a PAC at m. 5, an IAC at m. 13 and m. 18, and finally a PAC at m. 27. The orchestration supports this phrase structure as well, with all strings through the cadence at m. 27 and all the other instruments added just at the beginning of each phrase at m. 1, 5, 14, 18, 22, and 28.

170 "Period" in Reicha's sense of the term. See Chapter 1.

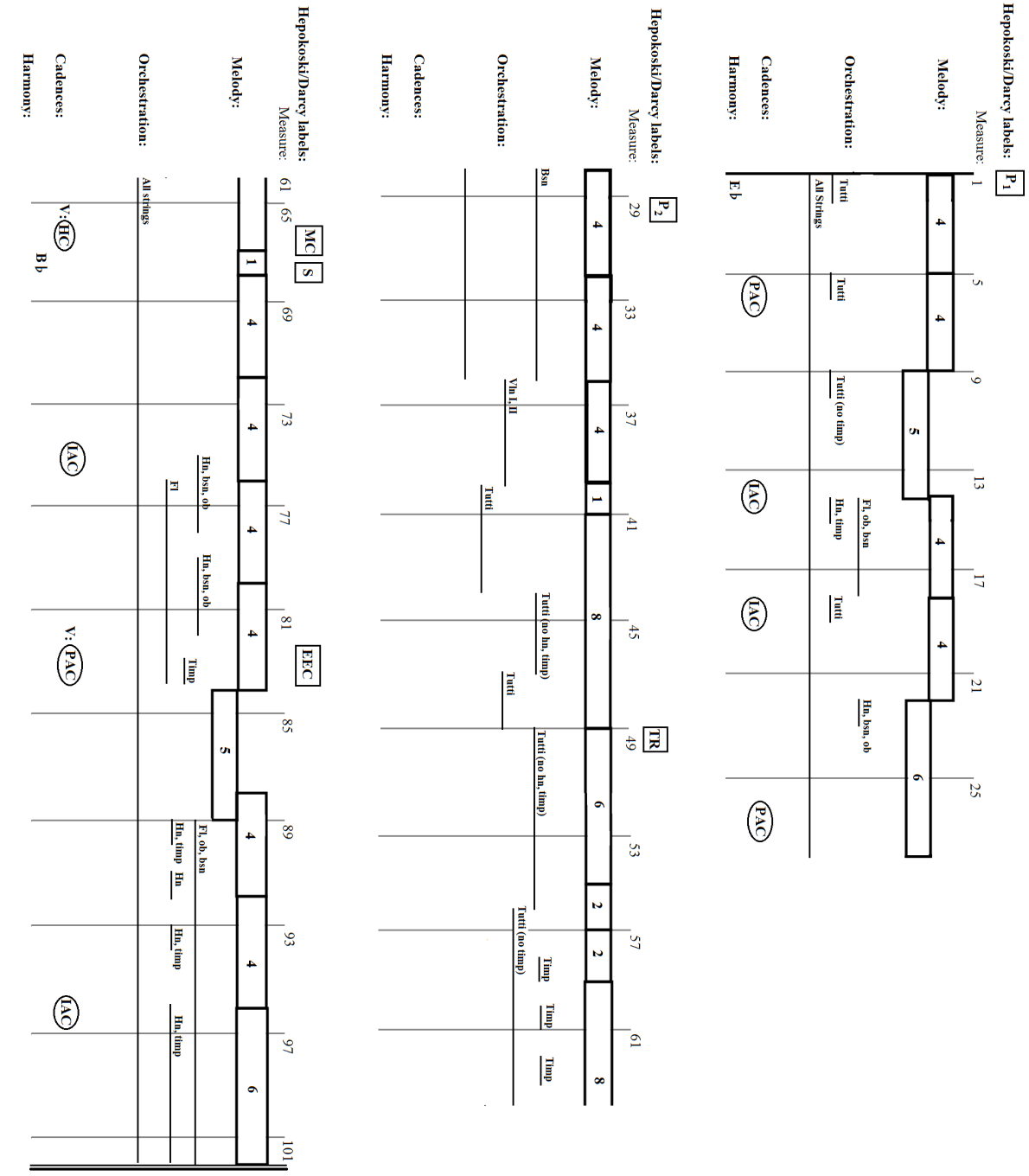
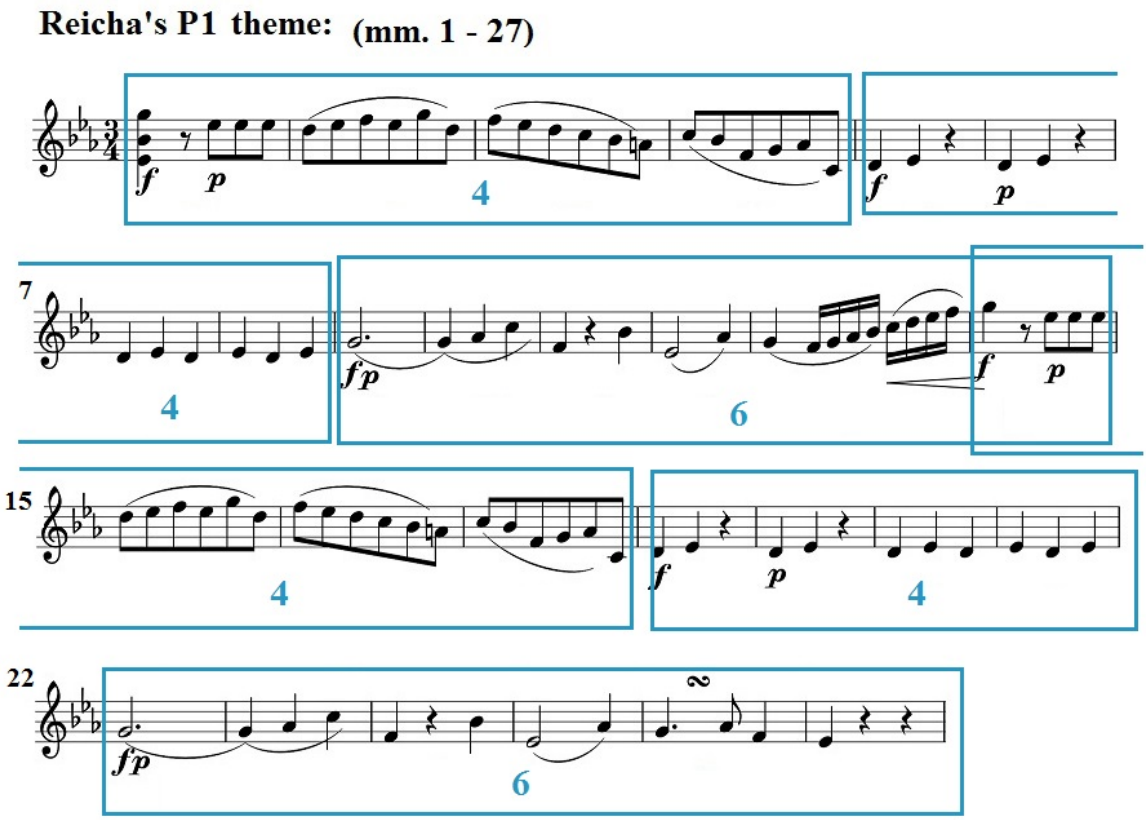
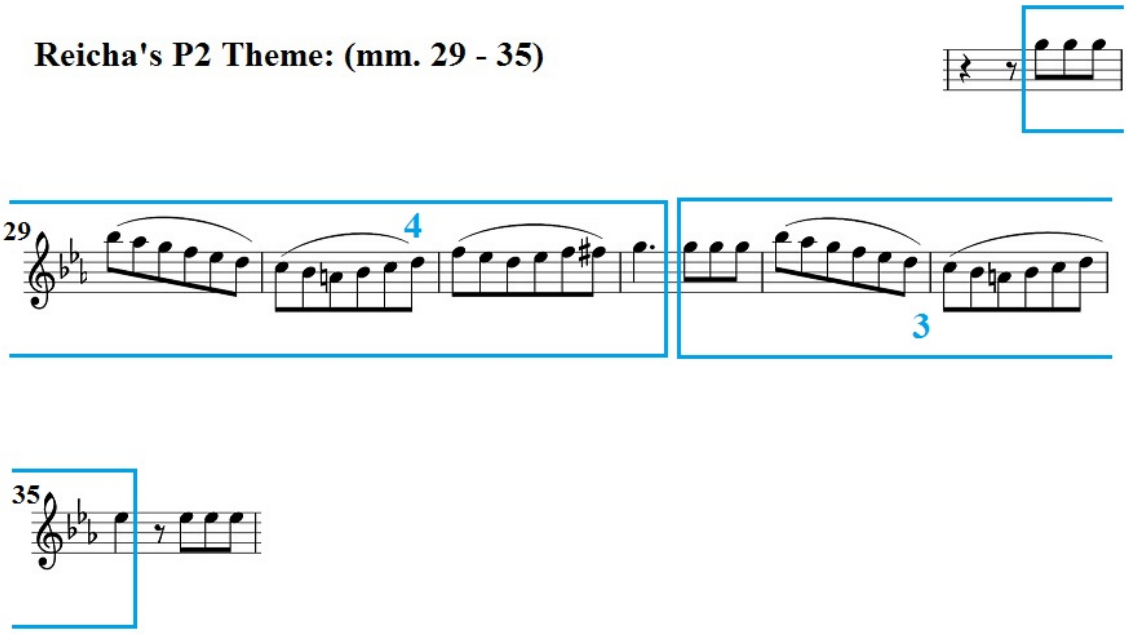


Figure 11: Reicha's Exposition, Symphony in E♭, mm. 1 – 101.



Example 10: Reicha's P1 theme, Symphony no. 2 in E♭, mm. 1 – 27.

Reicha orchestrates P2, shown in Example 11, with first violins and first bassoon on the melody, and lower strings on harmonic support. This portion of the P theme is 9 bars long, and its subdivisions are unequal, at 2 + 4 + 3. Harmonically, this section does not provide a true cadence, instead expanding the E♭ major harmony over an E♭ pedal in the cellos. This 5-bar section (mm. 36 – 40) leads into the TR by means of an orchestral decrescendo. Each instrument drops out except for violins I and II.

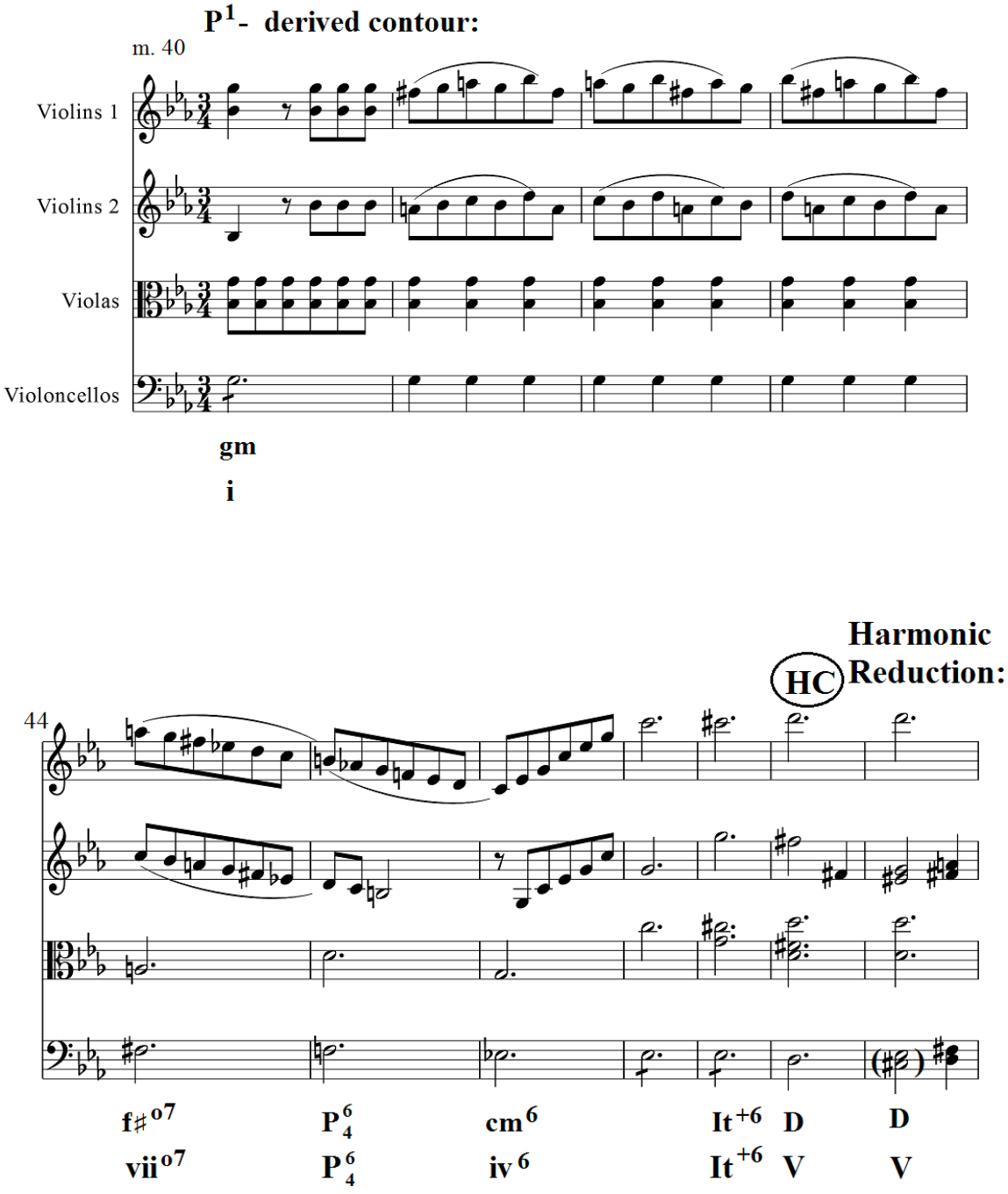


Example 11: Reicha's P2 theme, Symphony no. 2 in E♭, mm. 29 – 35.

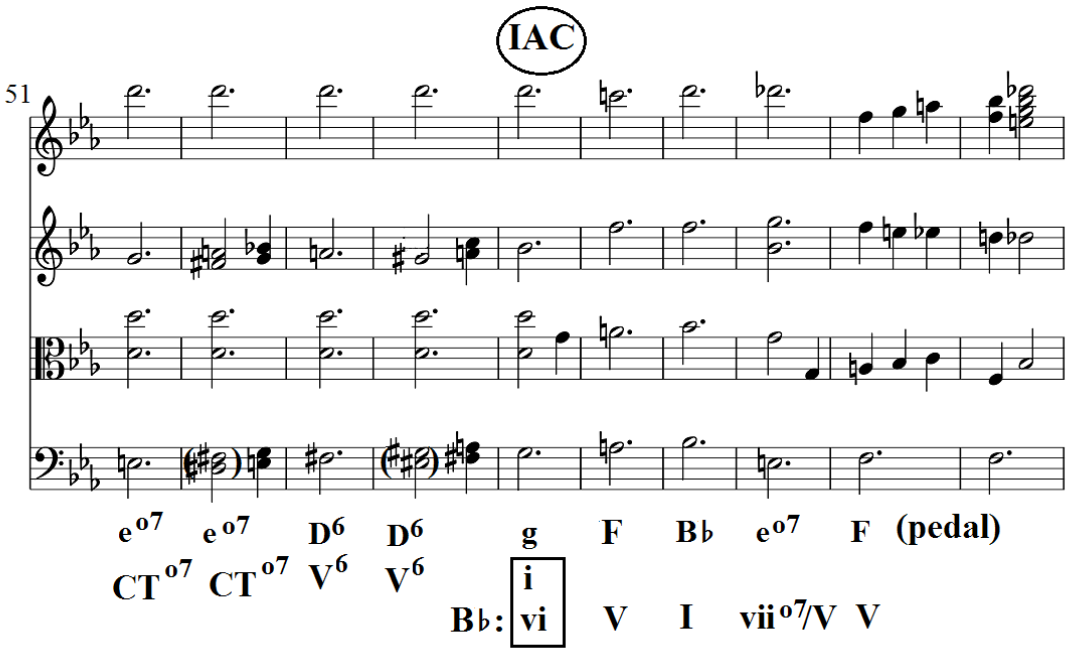
Examples 12 and 13 show the first phrase and a harmonic reduction of the remaining TR. It begins at m. 40, and it is supported by a change in texture and dynamics: Reicha moves from only the violins in mm. 36 – 40 to tutti with a forte dynamic. Motivically, the section uses m. 2 as a rhythmic and contoured model, and therefore derives from the P1 phrase. This section is further made transitional by Reicha's move away from the tonic and dominant of E♭. In order to conform to Reicha's requirements, this section must move only fleetingly to other keys than the tonic or the dominant. If not, Reicha risks "damaging the character" of the movement as a whole. This transition does in fact only "fleetingly" travel to

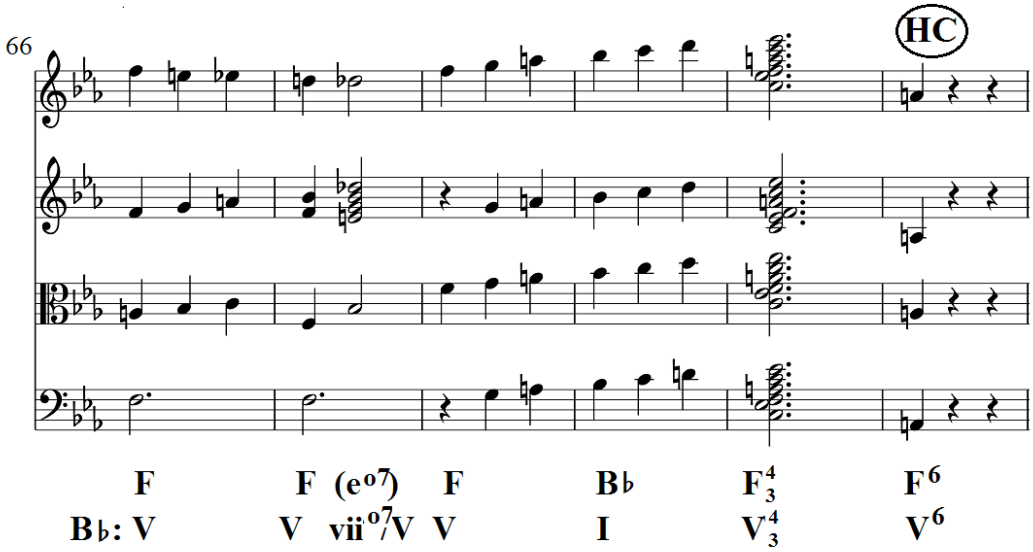
other keys. First, it moves temporarily to the mediant (gm) in mm. 40 – 55, then pivots on that g minor harmony to a submediant in the desired key (B♭). Although this is a longer transition, it still behaves harmonically consistently with Reicha's Example 4 (shown above). In his no. 4, Reicha pivots on a iii in the tonic, which becomes a vi in the dominant key. In this transition, Reicha expands the mediant into 15-measure span of music, then pivots into a vi in B♭ by m. 55. As he requires for longer transitions, Reicha concludes this section with a lengthy pedal on F (V/V). The clear pause after this pedal (m. 66) gives us our medial caesura.

The S-zone, shown in Example 14, commences at m. 67 with a one measure prefix and 16 bars of regular 4 + 4 + 4 + 4 phrase rhythm. The orchestration supports this phrase structure by providing the melody in the first violins with harmonic support in the lower strings only (mm. 68 – 75). This orchestrational layer is thickened at the midpoint of the passage with flute doubling the violin I throughout, and oboe, bassoon, and horn providing additional harmonic support. These wind/horn entrances even further occur in phase with the phrasing structure by entering only at the beginnings of each 4-bar phrase (mm. 75 – 77 and mm. 79 – 81). As if to add punctuation, the timpani ends this passage with an eighth-note and quarter-note rhythm.

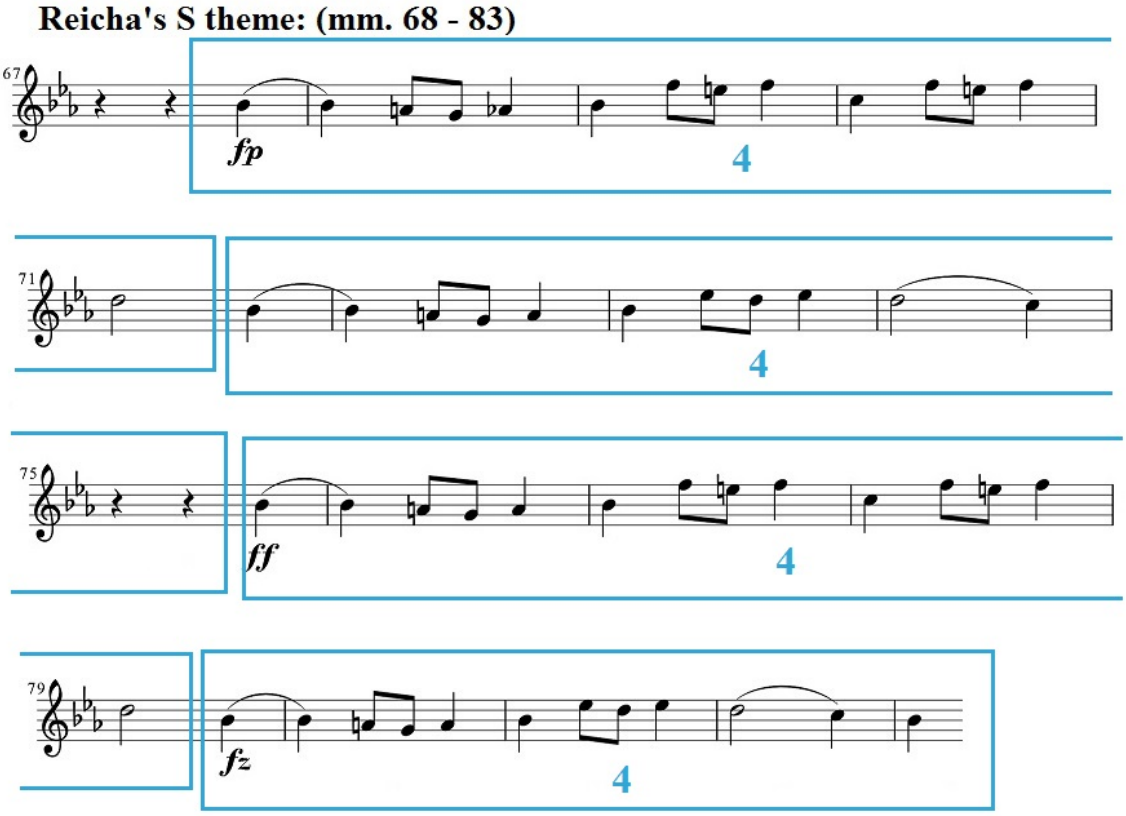


Example 12: Reicha's TR, Symphony no. 2 in E♭, mm. 40 – 50.





Example 13: Reicha's TR, Symphony no. 2 in E♭, mm. 51 – 71.



Example 14: Reicha's S theme, Symphony no. 2 in E♭, mm. 67 – 83.

Starting with m. 84, Reicha then interjects the 5-bar phrase from mm. 10 – 15, further contrasting the next section with that of the S-theme. Reicha's use of harmony here, too, marks a contrast with the TR section. Each 4 bar phrase in the S-theme contains a PD – T – D – T or a PD – T – PD – D – T syntax. The passage is "symmetrical" too, in the sense that mm. 76 – 83 repeats the harmonic motion of mm. 68 – 75. The harmonic motion of the entire passage is shown by:

B♭: ii i^6 V^6 I (mm. 68 - 71)

ii i IV V^{6-5}_{4-3} I (mm. 72 - 75)

ii i^6 V^6 I (mm. 76 - 79)

ii i IV V^{6-5}_{4-3} I (mm. 80 - 83)

Reicha places his cadences symmetrically (in Reicha's sense of the word) as well. Once every four measures, we find a cadence in the pattern IAC – IAC – IAC – PAC. This final PAC at m. 83 marks what Hepokoski and Darcy would label the V:PAC and it concludes the S-zone. The remaining measures before the repeat sign constitute the C-zone and reference the motivic material in the primary theme. The first five-bar phrase (mm. 84 – 88) elides with the beginning of another regular 4 + 4 phrase rhythm (mm. 88 – 95) before the section concludes with a six-bar expansion of I. Orchestrationally, this closing section begins with strings in unison/octaves in mm. 84 – 87, then tutti in mm. 88 – 101.

The repeat sign at m. 101 signals the end of Reicha's exposition. In Reicha's terms, the first part consists of: the first *idée mère* in E♭ (mm. 1 – 39), a bridge to the dominant (mm. 40 – 66), the second *idée mère* in B♭ (mm. 67 – 84), and a coda in B♭ (mm. 84 – 101). The next section completes a similar process for Berlioz's exposition.

3.4 Berlioz's Exposition

Berlioz's exposition space spans mm. 72 – 167 and, just as in Reicha's exposition, it is delineated by a repeat sign. In Chapter 2, I argue that this passage constitutes a continuous exposition. Berlioz's primary theme, the *idée fixe,* occupies mm. 72 – 111 and has been

discussed at length in Chapter 1. The TR occupies mm. 111 – 149, and the passage in question, which I argue occupies a C-space, lies between mm. 150 – 167. The melody in this last section, shown in Chapter 2 as Cone's Theme B, might be considered the second *idée mère*, but if instead it is considered an *idée accessoire*, then Berlioz's exposition lacks a second theme. It will in that case be inconsistent with Reicha's diagram for the first part of the large binary form. Even if there is no S-space, however, the passage can still function as an expansion of the Baroque binary form, because it meets the crucial requirement that it should modulate to the dominant by the double-bar.

In Berlioz's P-zone, the melody layer becomes displaced from the other three layers by the passage's opening asymmetrical 8 + 7 period structure. The elongated 5-bar phrase in mm. 99 – 104 makes up the difference and realigns the melody layer with the passage's underlying hypermeter. The passage's "intermittent sounds," in the strings, become more and more persistent until they enter constantly and therefore in phase with the remaining layers. This results in a destabilizing effect, and drives momentum towards the first PAC of the Allegro at m. 111.[171]

The PAC at m. 111 elides with new material, and this elision launches Berlioz's TR section (mm. 111 – 149). Figure 12 shows Berlioz's TR and closing sections (a corrected version of Figure 6). During this section, Berlioz introduces his "invariant" theme (a theme in C that neither changes key nor melodic contour at any time that it occurs in the movement). The TR section continues until a V: IAC at m. 149. At this point, Cone finds a second theme in G (the ***ff*** melody in mm. 152 – 154, mm. 156 – 160, and mm. 162 – 167). But its status as a fully-fledged S-theme is compromised by the interwoven *idée fixe* motives at mm. 150 –

171 Berlioz's P-zone is discussed at length according to this layered analysis in Chapter 1, Example 2.

152, mm. 54 – 56, and mm. 160 – 162). This passage contains some elements of a second theme, but its relative brevity and frequent cadential motions, together with its connection to the *idée fixe* support the possibility that the passage is a closing section.[172] The new theme contrasts enough from the *idée fixe*, however, that it will still be recognizable as it undergoes developmental procedures throughout the movement. For the purposes of this analysis, I will refer to it as the C-theme.

172 See Chapter 2.

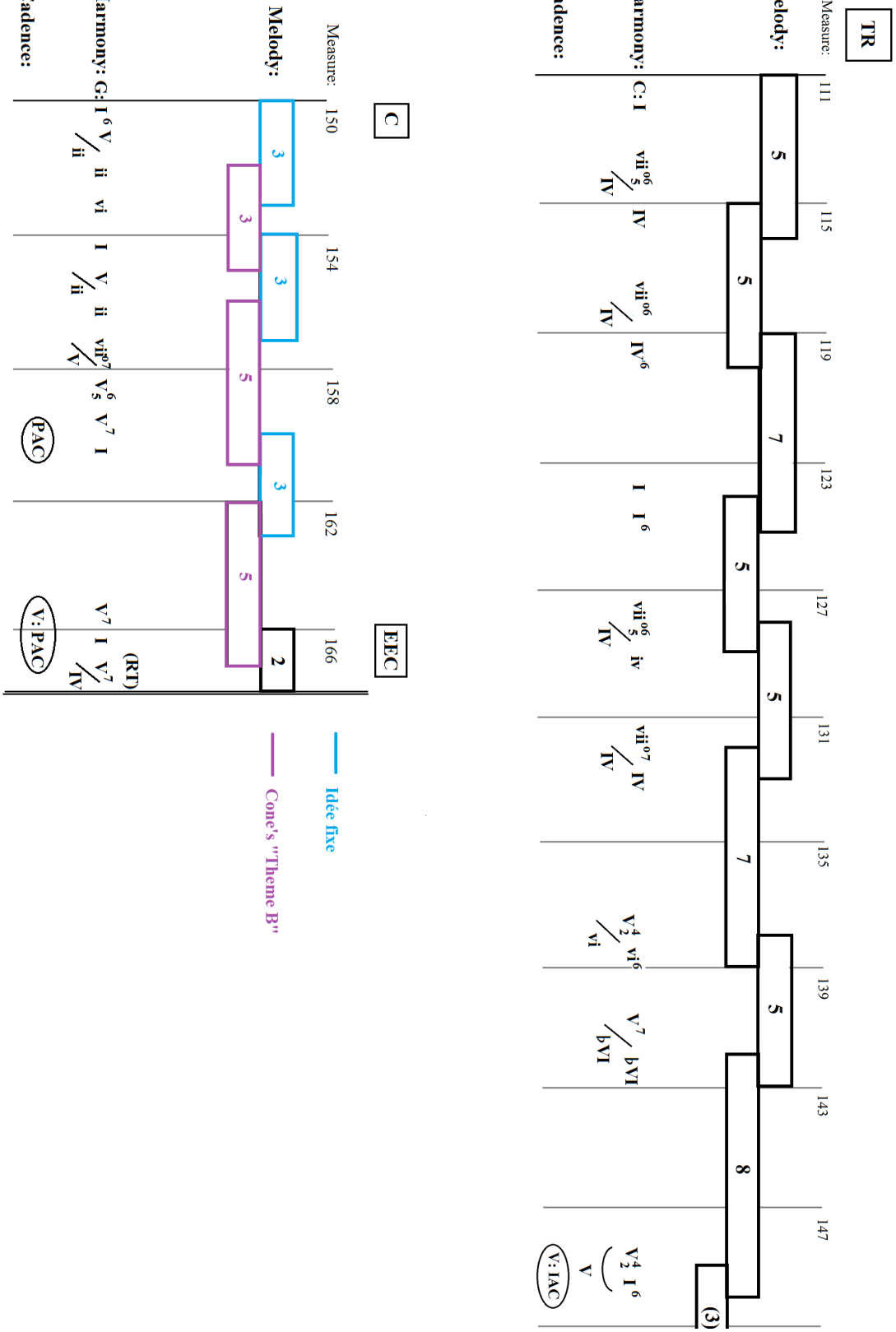


Figure 12: Berlioz's TR and C, Symphonie fantastique, I, mm. 111 – 167.

As discussed in Chapter 2, Hepokoski's and Darcy's continuous exposition model better fits this passage. In Reicha's terminology, it might still be plausible to assign labels to the sections of the exposition as follows: the *idée fixe* is the first *idée mère* (mm. 72 – 111). The bridge occupies mm. 111 – 149, and the subsequent C-space passage could still contain a second, though very short *idée mère* in the dominant (mm. 150 – 167). Both Reicha and Berlioz have now set their movements up for a development section. The next part of this chapter outlines Reicha's requirements for the "second part" of his form so that a similar process may be applied to Berlioz's and Reicha's development sections.

3.5 Reicha's *Grande coupe binaire*: the Development

Peter Hoyt has already outlined how Reicha likely related Reicha's three lines in his famous diagram (see Figure 9) to one of the three parts of dramatic progression:[173] the first part of this form is the exposition of the movement; the first section of the second part is the intrigue, or the knot; the second part of the second section is the unraveling.[174]

The relation to drama theory, and the first section of the second part to the knot, in particular, may explain why Reicha drew the middle line of his three-line diagram proportionally smaller than the other two parts. Berlioz's "knot" resembles this diagram in two important ways: first, it also has an *arrêt* on V/V after a relatively short passage of developmental material; and second, it begins the second section of the second part with his *idée mère*. Berlioz digresses from the diagram, however, in reprising the *idée mère* on the dominant instead of the tonic (*ton primitif*). On this knot, specifically, Reicha gives the following requirements:

173 See Chapter 2.

174 Reicha, bd. 2, pg. 298. "La première partie de cette coupe est l'exposition du morceau; La première section en est l'intrigue, ou le nœud ; La seconde section en est le dénouement."

> This first section [of the second part] is devoted *only* to the development of the ideas previously heard. It modulates constantly: rarely one rests eight measures in the same key: the key of D (the principal key) and the key of A major must appear only temporarily. The first because it must predominate in the second section; the second because it was used in the first part. It is this first section which is left out of the overture to Figaro.
>
> After having used the most interesting of what the development offers, and after having covered a series of keys, one often stops on the primitive dominant, on which one makes a pedal to drive towards the following section.[175]

Reicha specifies that one often ends the first section of the second part with a pause on the dominant. His own symphony no. 2 is consistent with this guideline, but Berlioz pauses on V/V just before the grand pause. Berlioz, moreover, hardly exhausts the developmental potential of his *idée fixe* before this grand pause. One need only look at Berlioz's variations on Theme B (the imitations at mm. 313 ff, for example), his reprise of the *idée fixe* in 2:1 diminution at m. 412, and many other examples in the passages after his grand pause to see that Berlioz was not quite finished developing his ideas. In fact, his only development of the primary theme and the closing one in this short passage is a succession of transpositions at the half step of the first four measures of the *idée fixe*. His proportionally lengthy passage of parallel 6/3 chords, moreover, distracts somewhat from his proportionally short development of the *idée fixe*. Reicha's "knot," on the other hand, spans approximately 40% of his second part and consists almost entirely of his P2 theme transposed to different keys.

The second important way in which Berlioz's second section of the second part differs

175 THCM pg. 298. The key of D and the key of A major are specific to Reicha's musical example. "Cette première section est consacrée *uniquement* au développement des idées precedemment entendues. On y module sans cesse: rarement on reste huit mesures de suite dans le même ton: le ton de *ré* (le ton principal) et le ton de *la* majeure ne doivent se trouver que passagèrement. Le premier, parce qu'il doit prédominer dans la seconde section ; le second, parce qu'il a été use dans la première partie. C'est cette première section qui manque dans l'ouverture de Figaro. Après avoir employé ce que le développement offre de plus intéressant, et après avoir parcouru une suivie de tons, on s'arrête communément sur la dominante primitive, sur laquelle on fait souvent une pédale suivie d'un conduit pour attaquer la section suivante."

from Reicha's diagram is that he commences the *idée fixe* in the dominant instead of the tonic. Reicha's explanation of this second part does not expressly require that the *idée mère* return in the tonic, only that it is commonly done this way:

> The second section commonly begins with the initial motive in the original key (in D), it is for this reason that we stop on the dominant of this key in the preceding section. When the motive is long, it can be shortened in this section, or a part can be transposed to another key, for example, the *subdominant* (in G). One can reproduce the ideas of the transition here, but in another key, and often linked differently: in order to reestablish the key of D for this second time, which must always predominate in this section.[176]

Reicha's own second section of this second part, moreover, begins in the submediant. In a sense, his pause on the dominant just before still works according to his explanation above, since the motion from the dominant to the submediant will have a deceptive cadence-like effect. And this also may explain why Berlioz paused on V/V: so that he could begin the *idée fixe* in the dominant.

Reicha continues to compose variations on his P2 theme throughout the passage following the grand pause. At all times, he avoids a strong cadence in E♭ until m. 196. It is at this point that we hear S1 in the "right" key. The development section does not return to P1 at any point prior to this measure. Following the recapitulation-like return to S1, Reicha writes a 4-bar phrase derived from P1, but does not restate P1 in its entirety. Instead, he composes transitional material leading to the closing section. This closing section references both S1 and P1 in two separate 4-bar phrases. The first, representing S1, is contained in mm. 229 – 232, and the second, representing P1, comprises mm. 233 – 237. The remaining four

176 THCM, pg. 299. "La seconde section commence communément par le motif initial dans le ton principal (en *ré*), c'est pour cette raison que l'on s'arrête sur la dominante de ce ton dans la section précédente. Quand le motif est long, on l'accourcit dans cette seconde section, ou bien on en transpose une partie dans un autre ton, par exemple à la *sous-dominante* (en *sol*). On peut reproduire ici les idées du *pont*, mais dans d'autres tons, et souvent enchaînées différement: ce qui sert à retablir pour *la seconde fois* le ton de *ré,* qui doit toujours prédominer dans cette section."

measures of the movement (mm. 238 – 241) unsurprisingly conclude the movement with a strong structural cadence: a root position E♭ major triad in an identical rhythm (quarter notes) in all instruments and ending on a strong beat.

3.6 The Overall Shape of Reicha's and Berlioz's First Movements

Berlioz's development section thus shares several important features with Reicha's development section. Figure 13 compares the large-scale form of Berlioz's first movement with that of Reicha's first movement. Most importantly, both movements refer back to the thematic material in their expositions, but neither present a clear and complete return to their P theme in the original key. In Berlioz's case, his first potential recapitulation point begins in the "wrong" key (the dominant), and in Reicha's case, his potential recapitulation point begins with P2 instead of P1, also in the "wrong" key (the submediant). Crucially, both development spaces do return to their respective movements' original keys. Berlioz returns to C major by his m. 313 with "Theme B," and Reicha returns to E♭ major in his m. 196 with his S theme.

Figure 13: Overall Form of Berlioz's and Reicha's first movements.

Throughout the exposition, at least, Reicha's *Symphony no. 2* fits Hepokoski's and Darcy's model for the two-part exposition with medial caesura and second theme zone. Hepokoski's and Darcy's sonata model and the symphony only begin to deviate from one another after the development section commences. As I noted in Chapter 2, Reicha's development section contains some of the same features that Berlioz's *Symphonie fantastique* has, and these features make the Type 3 sonata model less than ideal for both pieces: Reicha's development section, like Berlioz's contains a grand pause proportionally close to the repeat sign. Following this grand pause, both Reicha and Berlioz appear to begin a Recapitulation by clearly restating all or part of the primary theme, but in both cases, this theme returns in the "wrong" key. Extrapolating from their analysis of Berlioz, Hepokoski and Darcy would consider Reicha's development section to also begin after the grand pause, because identifying the recapitulation at the return of Reicha's P2 theme would properly take into account the "rotational nature" of the work.

Before Berlioz, the non-tonic recapitulation of the first theme, although not the most common practice, did have some precedents.[177] Hepokoski and Darcy notice that recapitulations beginning in the subdominant allowed for a kind of symmetry in which the main key is transposed up a fifth between P and S in both the exposition and the recapitulation. Beginning the recapitulation in the subdominant allowed for a parallelism in which the key is again transposed up a fifth between P and S.[178]

Sonata-derived forms after Beethoven began to favor thematic references over harmonic norms. Composers in the nineteenth century began to blur the articulations of key area that Rosen found so essential to the style of the sonata form in the eighteenth century.

177 See the beginning of this chapter for examples by Mozart, Schubert, and Beethoven.

178 Hepokoski and Darcy, 265.

Mendelssohn, Schumann, Brahms, Franck, Tchaikovsky, Chopin, Liszt, and Schubert were among the composers who favored open forms as opposed to the closed sonata form. Sometimes, a composer during this period might not "resolve" the second theme in the recapitulation. Rosen gives Chopin's Concerto no. 2 in F minor, first movement, as an example in which the second theme never returns in the tonic in the recapitulation.[179] The cyclical sonata, or sonata in which each movement is based on a transformation of the themes of the others, was one method to favor thematic content over key area. Another strategy was to present all four of the symphony's standard movement forms into one unified conglomerate. Both of these strategies would often give the impression of improvisation.[180]

In many of these instances of post-Beethoven sonata forms, the composer has significantly blurred the once clearly articulated structural endpoints. In order to determine points of large-scale structural significance, I have used the proposed comparison of layers to determine a few important points in the movement rather than the movement as a whole. In Chapter 4, I will show how the interaction of these layers can be applied to an entire movement not only to assign structural weights to particular points, but also to help determine momentum within each section of the movement. Berlioz's fifth movement is well-suited to such an analysis because its layers are often highly stratified and misaligned with each other. It thus becomes especially important to track where the layers move back in phase. I argue that Berlioz moves these layers back in phase particularly to add structural weight to certain points in the music and to create a much-needed sense of anticipation and resolution. A relatively strong such point of structural cadence will occur when many layers are in phase, whereas a relatively weak point of structural cadence will contain fewer layers

179 Rosen, *Sonata forms,* 392.

180 Ibid., 393 – 395.

in phase. Berlioz's presentation of the *Dies irae,* moreover, is one of the best examples of "intermittent sounds," the passage is one of the most instrumentally stratified in the entire movement, and it presents an excellent example of two conflicting possibilities for the underlying hypermeter. This analysis can then be used to expand on Rushton's analysis in *The musical language of Berlioz,* where he makes a similar analysis of several layers: phrase lengths, tonality, theme, and texture. As with my analysis, Rushton uses his layers (phrase lengths, tonality, theme, and texture) to help establish the unity of the movement as a whole. My analysis goes one step further and addresses the interaction of these layers to assign structural cadences of greater or lesser strength.

Chapter Four: The Layered Analysis as Determinant of Momentum in the Fourth Movement

This chapter presents an analysis of Berlioz's entire fifth movement to illustrate how the interaction of the layers can influence the movement's momentum as a whole. I then compare my analysis with two other recent analyses. Cone and Rushton both compare the fifth movement to sonata form. For Cone, the parallelism alludes to the first movement and helps round out the *Symphonie fantastique's* five movement formal scaffolding. Rushton instead finds sonata-like parallelisms as a means to establish unity in the movement. Indeed, Rushton's Table 9.5 in *The Music of Berlioz* gives a similar comparison of several layers: phrase lengths, tonality, theme, and texture. His table shows similar endpoints to mine, but his analysis does not attempt to assign momentum to each section or structural weights to each section. Both Cone and Rushton echo Schumann's analysis of the movement, where the *Dies irae* presentation and the *Ronde du sabbat* comprise the bulk of the movement. In Cone's interpretation, the *Ronde du sabbat* at m. 241 begins the movement proper. My analysis, contrary to Cone's, establishes the *Dies irae* entrance at m. 102 as the real beginning to the movement.

4.1 The Suitability of the Movement to a Layered Analysis

Unlike the *Symphonie fantastique's* preceding four movements, Berlioz's fifth movement does not easily suggest one of the well-known formal plans for a symphonic movement, such as the sonata, rondo, minuet or scherzo and trio. As shown in Chapters 2 and 3, the first movement can be explained fairly accurately by Reicha's *Grande coupe binaire.* The second movement easily evokes the symphonic dance-movement and is even helpfully given the title *Un bal*. The third movement clearly references a pastoral scene complete with

shepherd's horn calls and rolling thunder. Harald Krebs gives a thorough treatment of rhythm and meter in Berlioz's second and third movements.[181] And the fourth movement could easily have become the work's *finale*, with its upbeat march tempo and rondo-like form. But the fifth movement does not as easily resemble one of the individual movement plans in a typical 4-movement symphony. It is lengthy and therefore presents more of a challenge to the audience's attention. It contains an extensive fugue and a thoroughly composed-out presentation of the *Dies irae.* And finally, its phrase rhythm is generally irregular, its harmony and key areas ambiguous, and its orchestration complex, even involving several extended techniques for the winds and strings. Despite all of these complexities, my analysis supports a clear organization of the movement in which the layers form strong structural cadences along an A, B, A + ♭ formal plan. This sort of thematic organization occurs in the last movements of other French symphonies, such as the Farandole in Bizet's *L'Arlesienne* Suite no. 2.

As discussed in Chapter 1, the fourth and fifth movements can be taken together as one massive super-finale, and indeed Berlioz's earlier draft of the *Symphonie fantastique* labeled the movements the "first and second parts of the Vision" respectively.[182] But Berlioz decided in his final draft that the fourth and fifth movements are independent enough to merit their own separate titles.

The fifth movement also includes one of the clearest examples of Berlioz's use of the "intermittent sounds" which provided one of my main inspirations for developing this

181 Krebs, Harald. *Fantasy pieces: metrical dissonance in the music of Robert Schumann*. (New York: Oxford University Press, 1999).

182 Cone, 249.

method of analysis.[183] In a particularly clever instance of musical representation, the bells in the *Dies irae* presentation are located off-stage and are given their own entrances separate from the remainder of the orchestra. The separation of musical space between the bells and the orchestra parallels the spatial distance between a bell-ringer and passers-by in the street below. The differing measures of rest between soundings, too, imitate the practical difficulties of maintaining bell tolls in tandem with musicians on the street.

And finally, one additional reason that Berlioz's fifth movement is particularly well suited to this type of analysis is that it contains four major types of layer interaction and can display the effect each type of interaction will have on the music's momentum, and therefore how they can shape the movement as a whole. These layer interactions exist *in addition* to the usual momentum-gaining effects within each layer. The harmony layer, for example, can contain an instance of accelerating harmonic rhythm, or the melody layer could contain increasingly closer stretto, or phrase rhythm can interact with the underlying hypermeter to drive the music towards a cadence. My analysis will show the interactions *between* layers, and it is intended to supplement phase-shifts *within* layers, not to replace them. Berlioz's transition between the *Dies irae* and the *Ronde du sabbat* gives an example where the layers are highly in phase, but the span of music is not static. This is because Berlioz uses variation within two of the layers to drive towards the structural cadence.

First, layers can be regular and all, or nearly all, in phase. This functions to halt momentum and marks a point of large-scale structural cadence. The more layers that move in-phase by this point, the stronger the sense of pause. The famous 24-measure long E♭ clarinet entrance is an example of relatively static section, and thus illustrates the first layer-

183 See the Introduction.

interaction type well. Second, layers can be irregularly out of phase with one another. Such a situation, though unstable and structurally dissonant, can still result in a static portion of music. The effect is analogous to the lack of direction in an augmented triad: there is no drive for harmonic motion, yet the augmented triad still sounds dissonant. The presentation of the *Dies irae* with the bells is a good example. Third, layers can be systematically removed. This indicates a loss of momentum and a winding-down. If the layers have been out of phase for a while and need to be reset, this is one way to create this effect. The introduction to the *Dies irae* presentation is a good example. And fourth, layers can be systematically added to create a gaining of momentum. The lengthy orchestral crescendo to the *Dies irae* together with the Witches' round in this movement is a good example.

4.2 Overall Form of the Movement

What does this layered analysis reveal about the overall form of Berlioz's fifth movement? After evaluating potential formal endpoints according to the four types of layer-interaction above, I found some compelling points of structural cadence at measures 40, 64, 101, 221, 240, 413, 447, and 495. This partitions the movement into eight spans of music, where the structural importance of each will be determined by the strength of its structural cadence. The first span contains a 40 measure long buildup to the famous E♭ clarinet entrance. The E♭ clarinet entrance is followed by a third, transitional span of music. The fourth span consists of the 120 measure long *Dies irae* presentation. Finally, the fifth span is a 19 measure long introduction to the sixth section: the 173 measure long *Ronde du sabbat*. The seventh section is a (relatively) brief 34 measure long presentation of the *Dies irae* together with the witches round theme that segues without pause into a 48 measure long episode. And the final span is a 29 measure long closing section.

There is a pattern, too, in these nine spans of music: an introduction followed by a main section. It follows then that the movement has four main sections and a closing section. All but one of these sections is given an introduction: the *idée fixe,*[184] the *Dies irae*,[185] the Witches' round,[186] and finally the closing section. The *Dies irae* and Witches' round together is the only main section without an introduction.[187] Figure 14 shows a diagram of the movement as a whole with structural cadence strength at the end of each span of music.

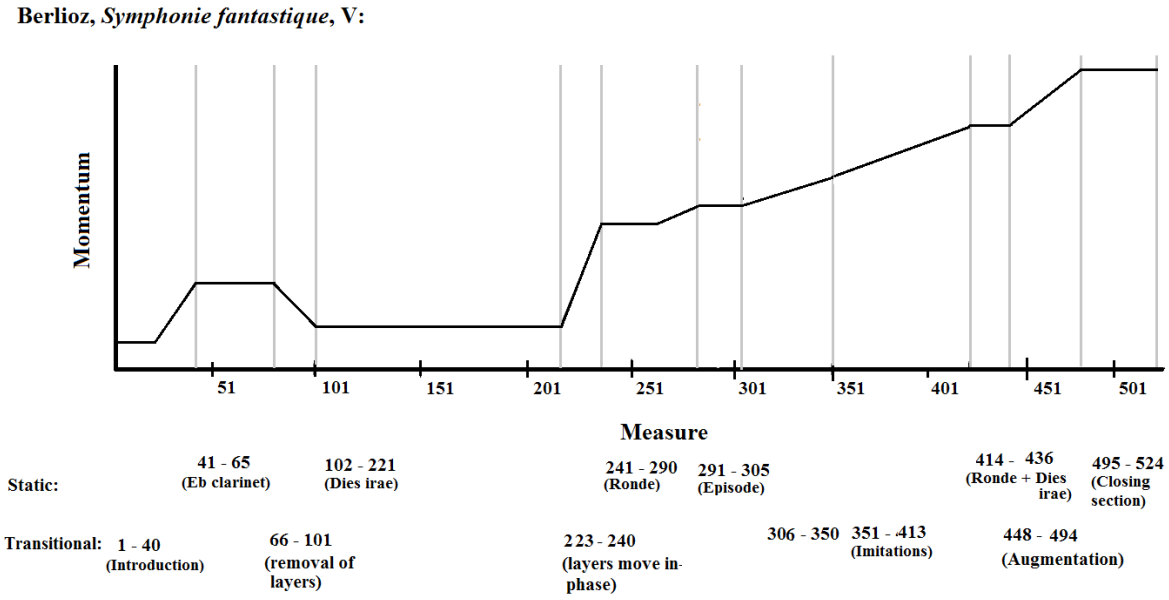


Figure 14: Changes in momentum as determined by layer interaction in Berlioz's fifth movement.

4.3 Introduction to the E♭ Clarinet Entrance, mm. 1 - 40

The harmony and phrase rhythm in this passage are nebulous and uneven. The 40

184 mm. 1 – 40 introduce the *idée fixe* at mm. 41 – 64.

185 mm. 65 – 101 introduce the *Dies irae* at mm. 102 – 221.

186 mm. 222 – 241 introduce the *Ronde du sabbat* at mm. 242 – 413.

187 mm. 414 – 447.

measure long introduction, shown in Figure 15, contains virtually no confirmation of the movement's key. Berlioz lingers for the first three measures on an a♯^{o7}, and this harmony cannot uniquely determine one key because of the symmetrical nature of its interval content. Following this, Berlioz writes a tonally unstable second-inversion C major harmony in m. 5, and then an f♯^{o7} in mm. 6 – 10. This f♯^{o7} precedes a more stable root-position C major harmony in m. 11, confirming the voiceleading function of the f♯^{o7} as a CT^{o7}. There has nevertheless still not been a key-confirming cadence in the first ten measures of the movement. Berlioz continues with yet another fully-diminished seventh chord, the b^{o7}, in mm. 12 – 15. Now that Berlioz has tentatively established C as the most stable-sounding harmony (m. 11), this b^{o7} sets up the expectation that it will be the dominant of the key. Berlioz thwarts our harmonic expectations, however, by placing ♭VI, a nondiatonic harmony in the key of C, at m. 16. But he follows this with the German augmented sixth of C in mm.17 – 18 and finally another tonally stable C in mm. 19 – 20. The first twenty measures of the movement, therefore, can be retroactively analyzed as a large-scale expansion of C, but this is not immediately apparent to the listener because of Berlioz's lingering use of three different fully-diminished seventh harmonies and complete avoidance of the use of a cadence throughout the opening 20 measures.

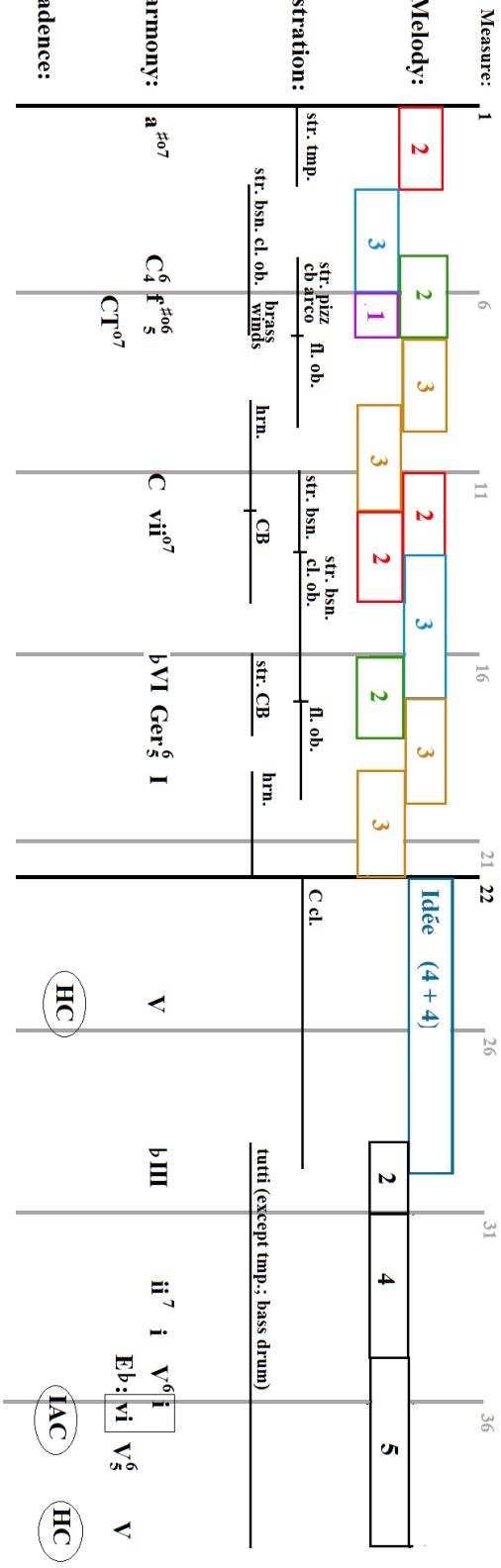


Figure 15: Berlioz's opening measures, Symphonie fantastique, V, mm. 1 – 40.

Only by the *Allegro* at m. 21 can the listener finally confirm that this opening section is in the key of C. This indicates a highly ambiguous and unstable harmonic layer and adds a sense of anticipation for the confirmation of key. The clarinet in C plays a variation of the *idée fixe,* starting on the pitch G,[188] and giving us our first cadence of the movement: the HC at m. 25. This indicates a long first "phrase" in the harmony layer relative to the short and asymmetrical subphrases throughout this span of music. We are not to remain harmonically complacent for long, however, as Berlioz interjects a surprising E♭ at the *allegro assai* (m. 29). The subsequent 11 measures of this section then function to transition harmonically to ♭III. Berlioz aids his unusual harmonic progression E♭– d^7 – D♭^{7} – cm – cm^7 – G^6 with the use of a descending chromatic bass line (E – D – D♭ – C – B♭ – B) before again confirming C as our tonal center with an IAC at m. 35 and giving us another relatively long span of time between harmonic cadences. Berlioz's harmonic transition here is somewhat unconventional: he moves directly to a c♯^{o7}, a CT^{o7} to cm (with common tone G). Then from c♯^{o7}, he moves to B♭^{7}. The c♯^{o7} thus becomes a new CT^{o7} to B♭^{7} (with common tone B♭). From here, Berlioz has set up his dominant of E♭ and can half-cadence on V/♭III at m. 39.

The phrase rhythm in these opening measures is as nebulous as the harmony. There are two layers of phrase structure that alternate and overlap with each other in this opening section: the cello/bass/timpani layer, and the muted strings/bassoon/clarinet/oboe layer. The orchestration remains in phase with the phrase structure in this way, but the phrase rhythm is irregular: 2 + 3 + 2 + 3 + 3 + 2 + 2 + 3 + 2 + 3 + 3. Only by m. 21 does the phrase rhythm become more regular. M. 21 is a 1-bar prefix, followed by the 4 + 4 *idée fixe* in the clarinet in C. The surprise ♭III interjection, also the first full *tutti* in the movement, elides with the last

188 The *idée fixe* typically starts on *sol* of its own key.

measure of the clarinet's *idée fixe*. At this point, the orchestration, phrase structure, and cadences are all in phase, but again this section's phrase rhythm is irregular: 2 + 4 + 5. All layers except hypermeter (as determined by regularity in phrase structure) are in phase by m. 39, and this leads to a drive towards the arrival of the HC in ♭III at m. 40. This 40 measure long section functions, then, as an introduction to the famous statement of the *idée fixe* on the E♭ clarinet. The overall picture of these opening 40 measures is thus a strongly out-of-phase opening with ambiguous harmony and short but asymmetrical successions of sub-phrases. At approximately the section's midpoint (m. 22), the *idée fixe* enters in the C clarinet and provides a more regularized (4 + 4) phrase structure. Orchestration and melody align by this midpoint, with C clarinet playing the entire *idée fixe* passage, and the nearly-tutti instrumentation aligning with the subphrase at m. 29. Finally, cadence aligns with the other two layers by the HC at m.40, and preparing the listener for the arrival of the E♭ clarinet.

4.4 The *idée fixe* in the E♭ Clarinet, mm. 41 – 65

This famous arrival of the *idée fixe* in the E♭ clarinet stands out from the surrounding music in large part because of its regularity. What was once an asymmetrical 8 + 7 phrase structure with low symmetry in the first movement becomes a more regular 4-bar symmetrical structure. The melody depicts a grotesque parody of the original theme, made all the more so by Berlioz's choice of instrumentation. Berlioz chose the E♭ clarinet in particular because he found that it "makes a piercing noise above *a″* which can sound vulgar."[189] Even though this section is relatively brief at only 24 measures in length, it has much greater structural weight because its layers are almost all completely in phase. The *idée fixe* has its most regular phrase structure yet at 6 iterations of 4 bars each: 4 + 4 + 4 + 4 + 4 + 4. This

189 See Macdonald, Hugh. *Berlioz's Orchestration Treatise: a translation and commentary.* (Cambridge: Cambridge University Press, 2002), 122.

phrase rhythm is made even more symmetrical by its sub-divisions at the center: 4 + 4 + (2 + 2) + (2 + 2) + 4 + 4. This passage is harmonically regular, too, at least at the opening 4 + 4 and closing 4 + 4 phrases. The first two cadences occur at m. 44 and m. 48 and are an HC and IAC, respectively. The closing 4 + 4 pair of phrases are punctuated by two PACs, and give the structural cadence at m. 64 even more weight. Figure 16 shows this passage:

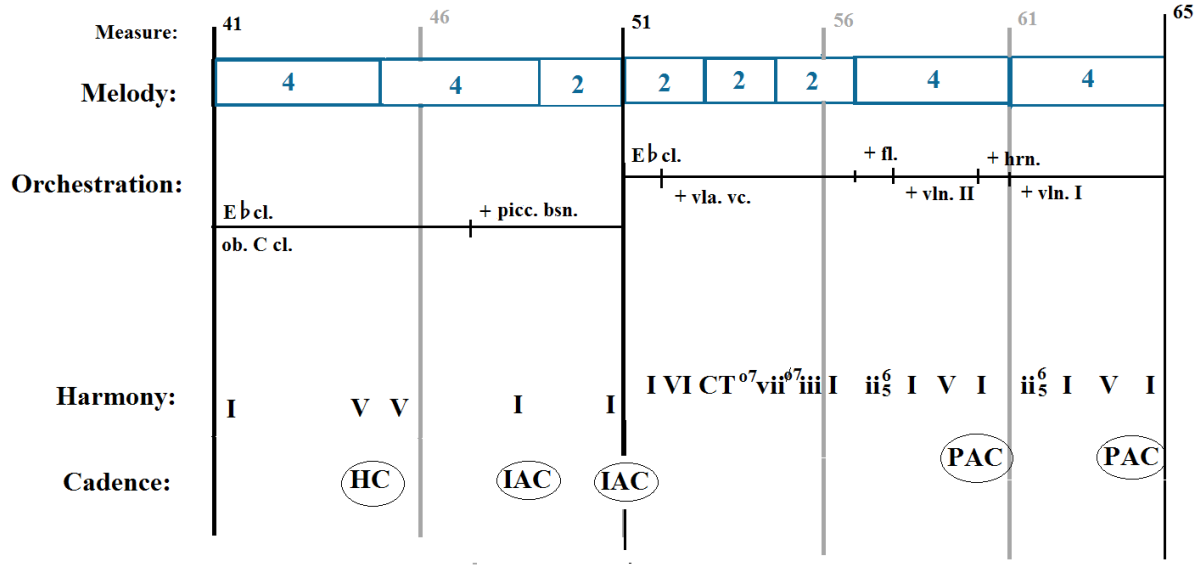


Figure 16: Berlioz's Symphonie fantastique, V, mm. 41 – 65.

Orchestrationally, the passage has a homophonic texture. The E♭ clarinet plays the melody, and it is occasionally doubled in the piccolo. The oboe and C clarinet play supporting harmony in the same rhythm as the melody. The bassoon, too, plays supporting arpeggiated harmonies. Berlioz gradually adds viola, cello, violin II, violin I, and finally horns in E♭ as the passage builds to its climax at m. 65. This orchestral crescendo is the only out-of-phase layer in the passage at m. 60, having reached its pinnacle five measures earlier than the other layers. Because the ultimate ***ff*** dynamics are reached at m. 65 with the

coincidence of the other three layers, however, the orchestral crescendo does not disrupt the otherwise regular nature of the passage as a whole.

4.5 Introduction to the *Dies irae,* mm. 65 – 101

The passage, shown in Figure 17, contains a systematic removal of layers. There is not only an orchestral diminuendo throughout this excerpt, but also a removal of harmony, as detailed above, and finally a removal of melody as the last three measures simply linger on the pitch-class C. I argue that the systematic removal of layers in this case constitutes an alignment of layers in the sense that they get to "reset" after their point of removal.

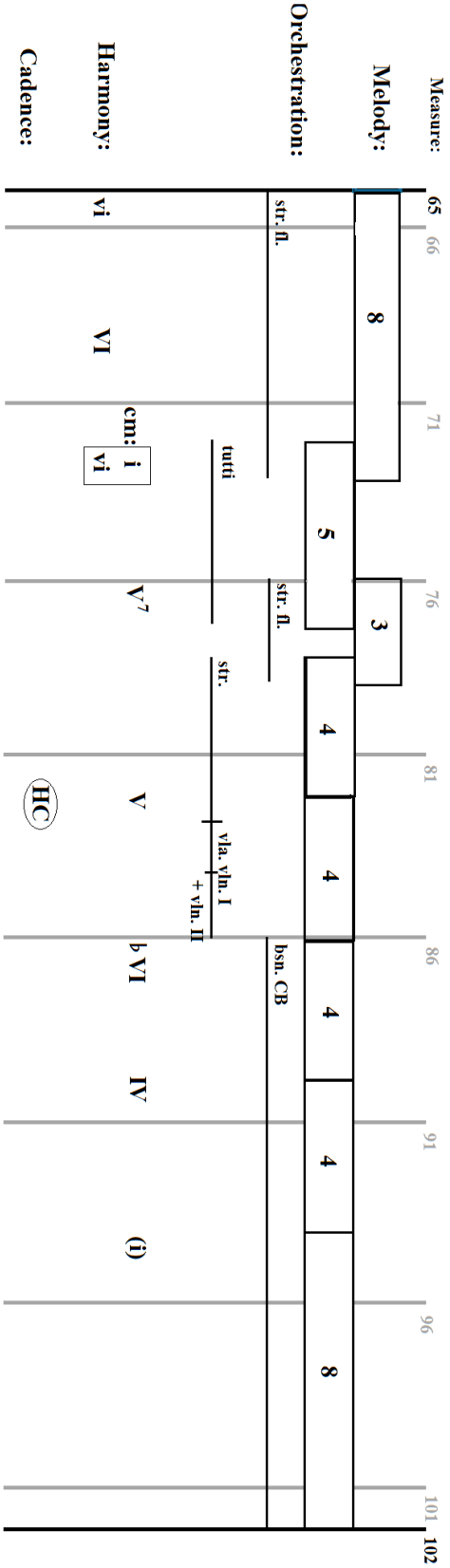


Figure 17: transition to the Dies irae, Symphonie fantastique, V, mm. 65 – 101.

This passage begins almost as nebulously in the harmonic sense as the original introduction. It functions partially to transition from E♭ major to c minor, and our first confirmation of the new key occurs with a G^7 at m. 76. Throughout this passage, however, Berlioz never gives us a harmonic cadence, though there are several melodic cadences (in Reicha's sense of the term). The passage's harmony progresses from E♭ – cm – A♭– cm – G^7 in mm. 65 – 78. At this point, the G^7 should resolve to a cm harmony, but the passage has begun an orchestral diminuendo and reduced its forces from almost tutti to a unison E♭ in the cello, bass, and bassoon. The listener therefore never hears a full resolution of the G^7 harmony, and to further destabilize the weakened resolution, the unison begins on the third (E♭) rather than the root (C) of the expected arrival harmony.

The phrase rhythm in this passage, on the other hand, becomes more regular over time. It starts fairly unstable with an elided 8 + 5 in mm. 65 – 76. Berlioz makes up for the odd number of measures by eliding a 3-bar phrase on each end at mm. 76 – 78. The phrase rhythm then continues regularly with 4 + 4 + 4 + 4 + 8 at mm. 78 – 101. The measured removal of layers, starting with instrumentation, then harmony, and finally melody creates a loss of momentum, and functions to reset the layers for the subsequent *Dies irae* section.

4.6 The Presentation of the *Dies irae* and the "Intermittent Sounds," mm. 102 – 221

The passage from mm. 102 – 221 could easily be argued to be one of Berlioz's most innovative compositional excerpts. It is one of the clearest examples of his use of "the intermittent use of certain sounds independent of the principal melody and of the accompanimental rhythm, and separated from each other by expanding or contracting intervals in proportions which it is impossible to predict."[190] Berlioz wrote this definition in a

190 See Introduction.

paper on rhythm in the *Journal des débats*. But as will be shown below, the "intermittent sounds" can be expanded as well to encompass an orchestrational technique.

This passage, shown in Figure 18, primarily represents a misalignment between the "intermittent sounds" in the orchestration and the melody. Measures 106 – 126 contain the initial sounding of the bells and a preview of the *Ronde* theme in the violas. The *Dies irae* itself is an A B A form. Each main section of the *Dies irae* hints at a possible 4-bar hypermeter by containing 36, 24, and 36 measures, respectively. Each segment is divisible by 4, and furthermore, each segment is separated by motivic use. Within each A and B section, Berlioz strictly follows a pattern of 1:1, 2:1, and 4:1 rhythmic diminutions. These passages are further stratified by their strict separation by orchestration and register. In all 3 main sections, the 1:1 passage is presented in the ophicleide, cello, and bass. This section is always followed without pause by a 2:1 diminution in the horns and trombones. For the A sections, the 4:1 compression in the violins, violas, and woodwinds elides by one measure with the 2:1 diminution, and for the B section, the 4:1 compression follows the 2:1 passage without pause.

This strict, regular pattern in the *Dies irae,* though suggestive of a 4-bar hypermeter, is out of phase with the implied 4-bar hypermeter in the bells. Measures 102 – 117 begin regularly enough, with two successions of bell tolls, each at 8 bars long. Every subsequent bell toll, however, occurs after a varying number of rests: 3, 5, 4, 3, 0, 5, 8, 4, 2. The effect is one in which the listener might at first want to start counting the hypermeter at m. 102 while the bells still enter regularly. This will lead to an interpretation, like that of Pieter van den Toorn's, in which the entirety of the *Dies irae* represents a disruption of the established hypermeter.[191]

191 Van den Toorn, Pieter. *Music, Politics and the Academy,* (Berkeley: University of California Press, 1995), 202.

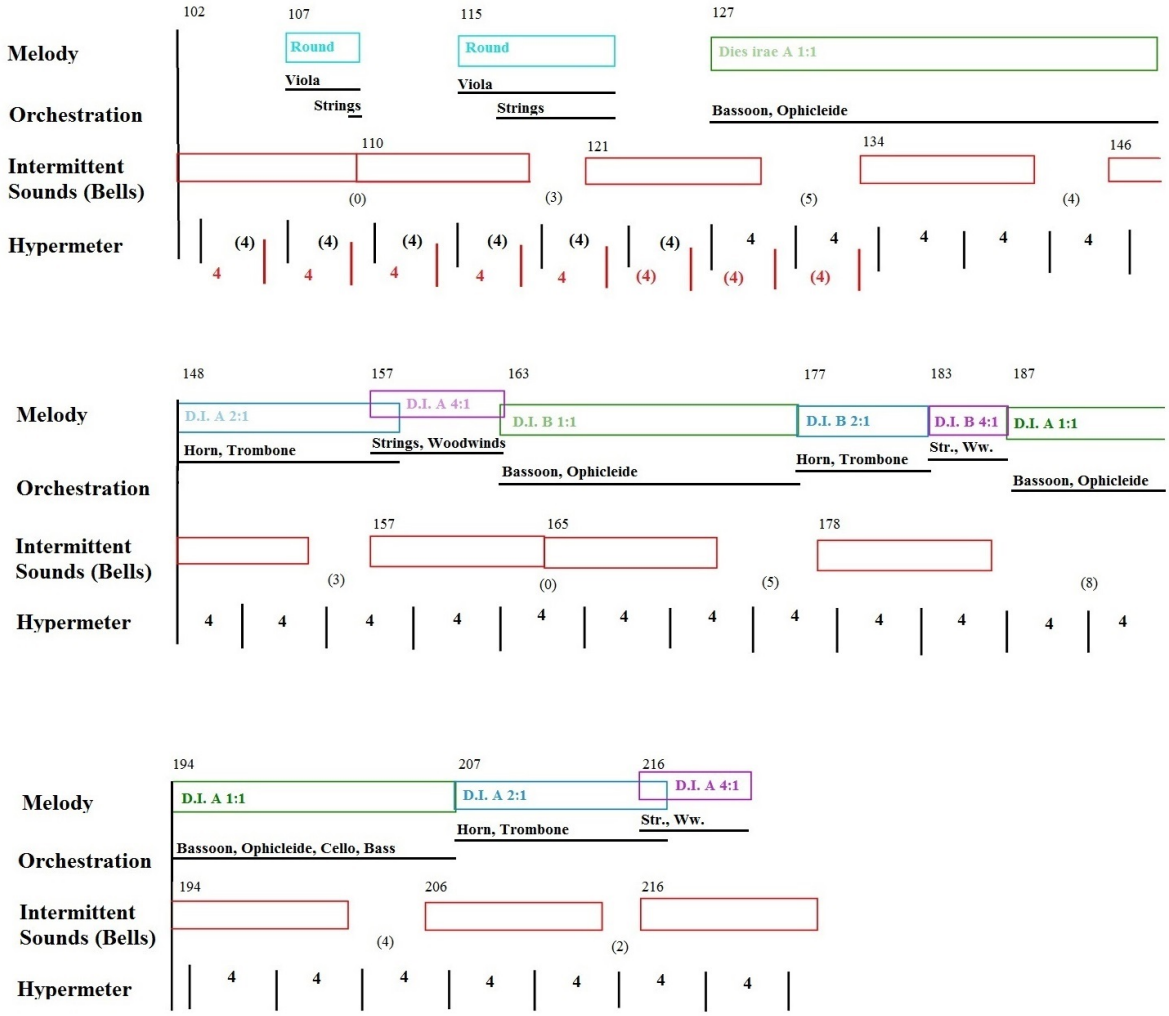


Figure 18: The Dies irae and intermittent sounds, mm. 102 – 222.

I think to the contrary, however, that once the *Dies irae* enters at m. 127, the listener will begin to recalibrate their sense of the meter as the regularity of its entrances creates a more firm point of reference. The fact that the bells begin to shift out of their established hypermetrical downbeats before the first entrance of the *Dies irae* further supports this interpretation. We expect a regular entrance of the bells at m. 118, but it enters instead at m.

121, after three measures of rest. Moreover, the orchestration of the *Dies irae* remains perfectly in phase with its motivic content. Finally, Berlioz's stage directions place the bells off-stage (and ideally behind it) to create a clever bit of text painting. The *Dies irae* is to be heard in the foreground as it is a *cantus firmus*. The bells evoke church bells in the distance where, in addition to the mechanical difficulties of ringing at perfectly regular intervals, the bell-ringer would further have been prevented from consciously coordinating with the chanters by their physical separation from one another. The bells in this instance are the "intermittent sounds:" they exist separately from the surrounding rhythm and orchestration. Moreover, they enter with "varied and unpredictable intervals between occurrences."

4.7 Introduction to the *Ronde du sabbat,* mm. 222 – 240

The transition between the *Dies irae* and the *Ronde du sabbat* shows one instance where Berlioz uses devices from within layers instead of the interaction between layers to provide a sense of direction towards and arrival at the Witches' round. As shown in Figure 19, the layers are each highly in phase with one another. This occurs in the orchestral layer when Berlioz writes an orchestral crescendo as follows: The theme first enters in mm. 223 – 231 in the viola and first violin, and it is supported by the B♭ cornet, E♭ trumpet, C horn, and E♭ horn. The orchestration thickens with trumpet and bassoon in mm. 232 – 235 and additional clarinet, oboe, flute, and piccolo beginning at m. 236. Berlioz has written a full tutti by m. 239.

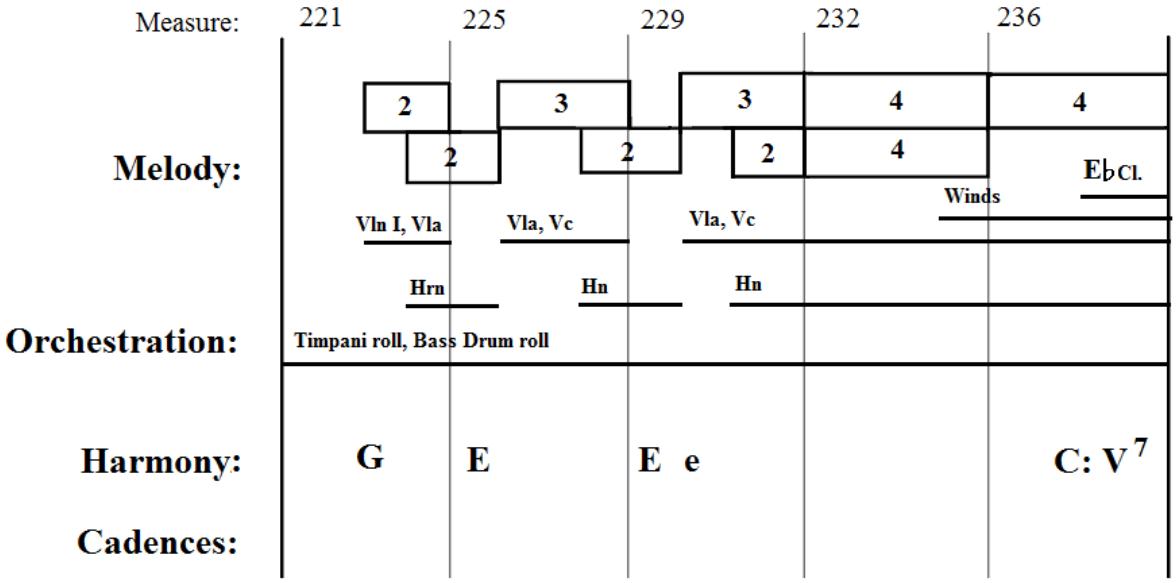


Figure 19: Berlioz's introduction to the Ronde du sabbat, mm. 222 – 240.

While this orchestral crescendo is progressing, the Witches' round theme becomes successively more present. The phrase structure at m. 223 begins in a punctuated manner and only becomes a regular 4 + 4 at mm. 233 – 240. It starts at only 2 measures in length in the violas, then it enters with 3 measures of length in the cellos, followed by several 2-bar statements in close imitation (interlocking sets of 2-bars each, followed by sets of 1-bar each) within the string section. All voices converge to a harmonic tutti at mm. 239 – 240 in preparation for the exposition of the fugue proper.

Harmonically, the passage lingers statically on an e minor sonority until the G^7 at the *tutti* in mm. 239 – 240. Berlioz thus relies on the gradual increase in number of instruments playing and amount of theme heard, rather than on harmonic motion, to drive the passage towards the arrival of the fugue at m. 241.

4.8 The *Ronde du sabbat,* mm. 241 – 414

Following this introductory span of music, Berlioz writes a 173-measure-long fugue. As if to showcase his expertise in counterpoint and fugue, Berlioz composes this section's exposition as a two-part invertible counterpoint (at the octave) between the Witches' round theme and two short counter-subjects.[192] After the exposition, it contains a transition, a short episode, a second transition, and a lengthy episode that builds towards the next span of music.

Berlioz maintains a regular phrase structure throughout this correct exposition, shown in Figure 20.[193] Each subject and each answer consists of a 4 + 4 phrase rhythm, separated by a harmonic half-cadence. Furthermore, each subject + answer pair elides at their endpoints and is separated by either a half cadence or an imperfect authentic cadence. In fact, the regular HC HC HC IAC; HC HC HC IAC pattern of harmonic cadences reinforces the regularity of the phrase rhythm and motivic consistency of this standard fugue exposition and strengthens the arrival of the IAC at m. 269 as the end of the exposition and the beginning of the development.

192 See Chapter 5 for a detailed analysis of the fugue.

193 See Chapter 5.

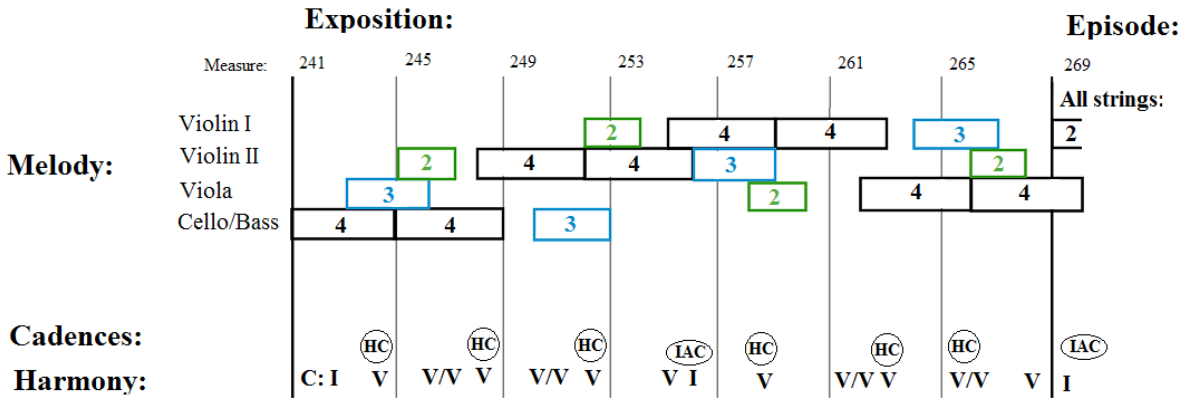


Figure 20: Berlioz's Ronde du sabbat, mm. 241 – 269.

The episode that follows contains a large amount of phrase regularity for a transitional section. It derives from the supporting syncopation figure in the brass at mm. 247 – 248, and it begins with a 2-bar prefix at mm. 269 – 270. A 4 + 4 + 4 + 4 pattern follows. Figure 21 shows the passage.

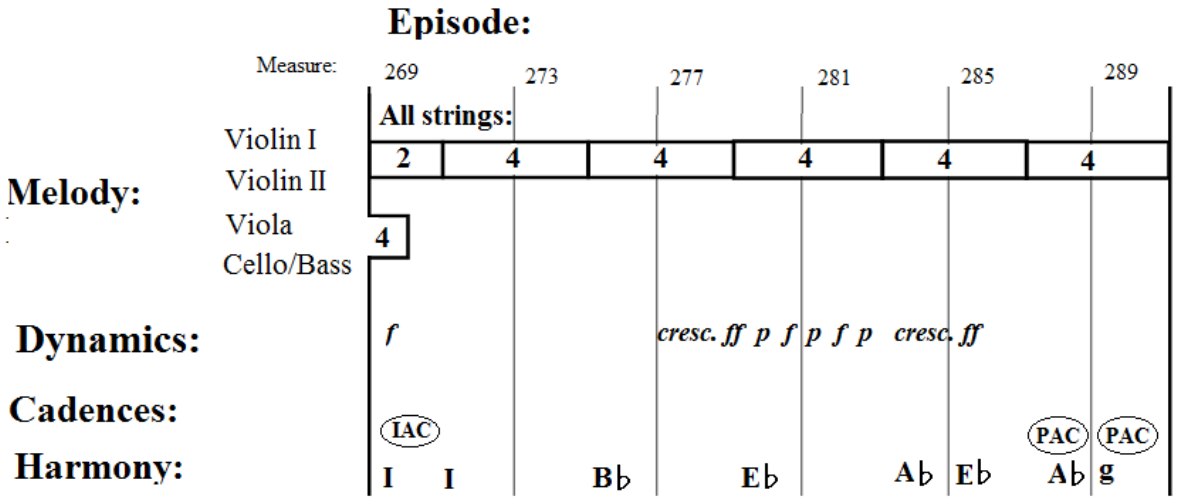


Figure 21: Berlioz's Ronde du sabbat, mm. 269 – 290.

Berlioz writes straightforward circle-of-fifths related harmonies at each of these phrase junctions: B♭ – E♭ – A♭ – E♭ – A♭ – gm. All four layers (harmony, melody, hypermeter, and orchestration) remain in phase up to the PAC in gm at m. 290. This creates a relatively strong structural cadence and reinforces the arrival of the first episode at m. 291. There is only one overlap between layers: a 4-bar transition-derived phrase occurs at mm. 291 – 294 and overlaps with the fugue subject's antecedent at the same measure numbers. Like the introduction to the *Ronde*, this episode is a case where Berlioz uses variation within layers rather than between them to establish momentum. The circle of fifths harmonies at each phrase junction give the passage the same effect as a sequence, and therefore creates a sense of motion. The alternating dynamics and crescendos in mm. 77 – 86 also give the impression of a quickening hypermeter. Mm. 77 – 79 crescendo to ***ff*** over 2 bars, then mm. 80 – 84 alternate between ***p*** and ***f*** to create a change in accent every 1 bar. Finally, the crescendo from ***p*** to ***ff*** in mm. 84 – 85 push strongly towards the PAC in A♭ at m. 87. The chart in Figure 21 temporarily adds a dynamics layer to account for this effect.

Figure 22 shows Berlioz's second entry. Each layer is highly in phase with the others, resulting in another highly static span of music. The subject (shown in black boxes) and two parts of the countersubject (shown in green and blue boxes, respectively) are strictly separated by instrument, with first violins, cellos, and basses on the subject, second violins on the first part of the countersubject, and viola on the second part of the countersubject. Harmonically, each subject-answer pair cadences regularly every four measures. There is only one small break in the regularity of the passage at m. 298, where Berlioz has elided the second repetition of the subject with the cadence of the first answer. The 2-bar link at mm. 305 – 306, eliding with the second subject at m. 305, makes up this difference so that the

final cadence is in phase with the hypermeter.

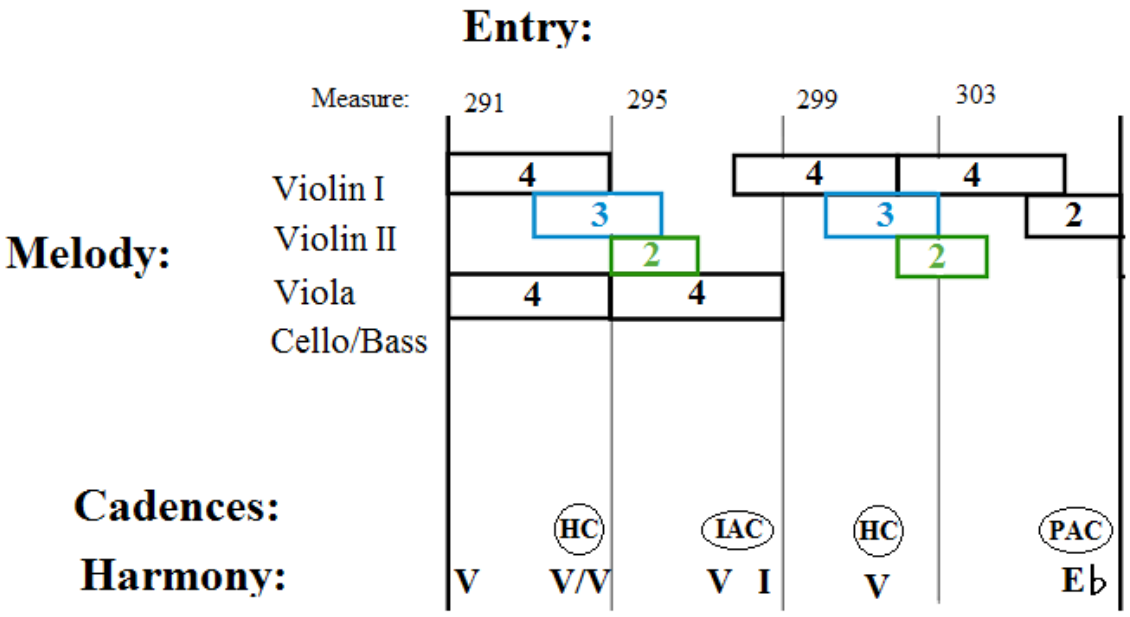


Figure 22: Berlioz's second entry, mm. 291 – 306.

Berlioz composes the remainder of the *Ronde du sabbat* as two pairs of episodes and imitations. Figure 23 and Figure 24 show these two pairs, respectively. They are grouped together because there is no strong sense of structural cadence between each part of the pair, and they are only labeled *Episodes* and *Imitations* to account for their thematic content.

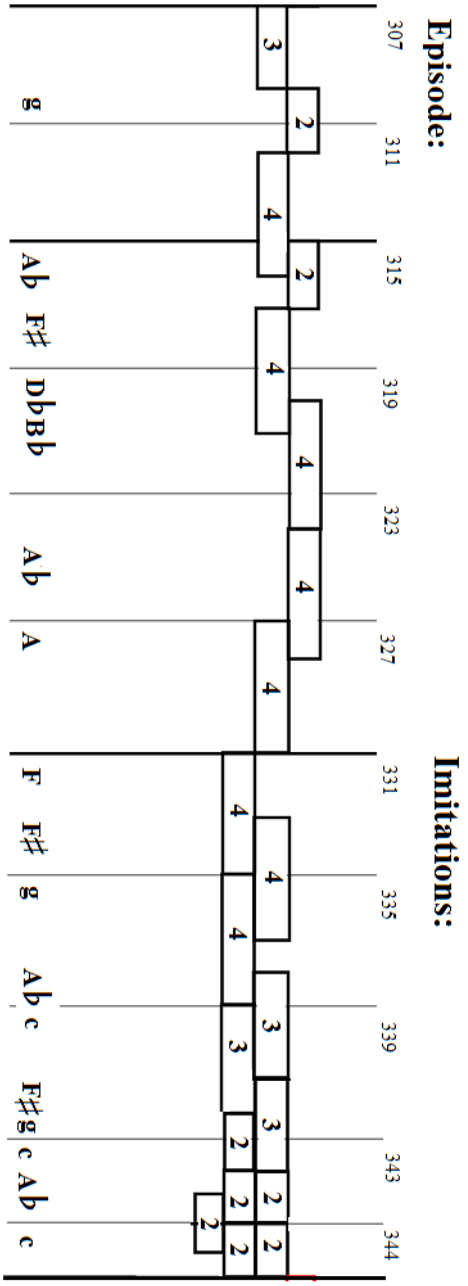


Figure 23: The first episode-imitation pair, mm. 307 – 327.

The passage in Figure 23 shows at first irregular but separate phrase rhythms (3 + 2 + 4). As the music progresses into the imitations section, however, the phrases overlap progressively closer and have progressively shorter lengths. First, the subject enters in 4-bar phrases beginning in m. 331, then 3-bar phrases beginning in m. 329, and finally 2-bar phrases in m. 344. The effect is similar to Cherubini's suggestion to use closer and closer stretto to drive towards the movement's closing section.[194] In this case, the imitations move closer and closer as the music approaches the second episode-imitation pair.

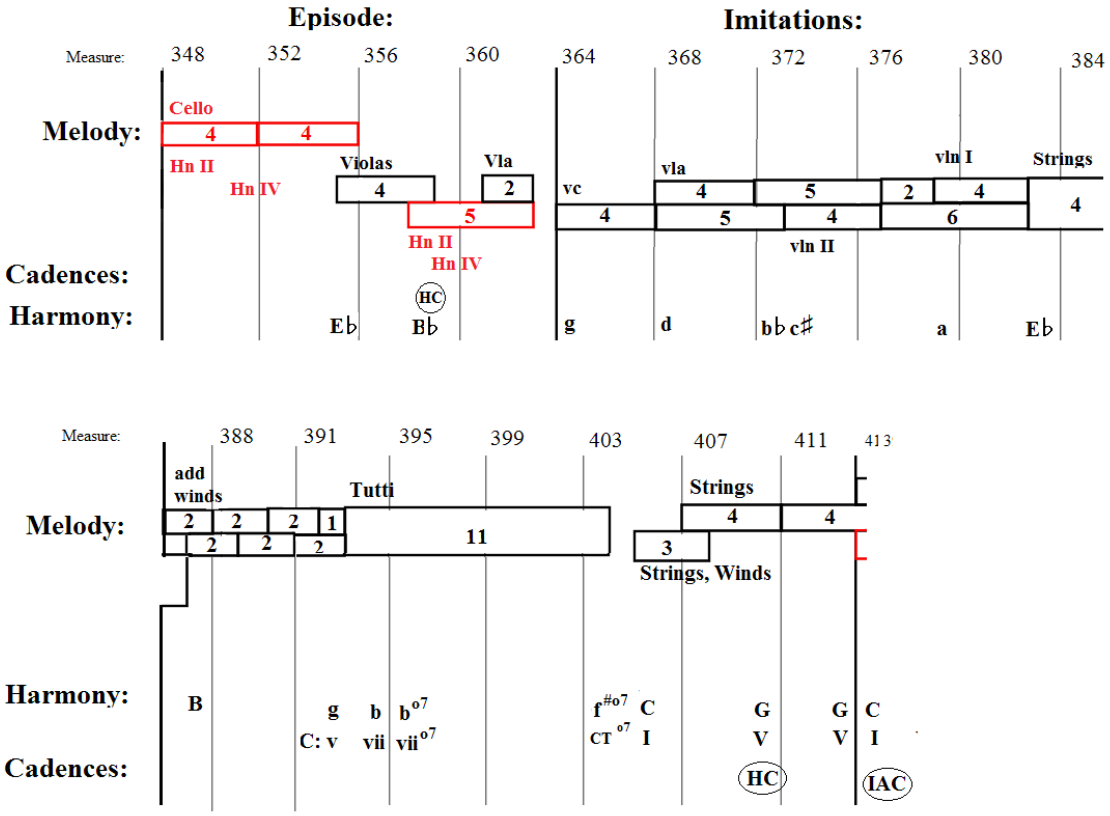


Figure 24: Berlioz's second episode-imitation pair, mm. 345 – 413.

Berlioz uses the *Dies irae,* shown in red in Figure 24, as the thematic material for his

194 See Chapter 5.

last episode before the next large-scale formal section. The instrumentation is out of phase with the *Dies irae*'s phrase structure at this point. Cellos play the entire melody from mm. 348 – 355, but horn II only plays the first three measures, and horn IV plays the remaining 5, leaving an asymmetrical 3 + 5 pattern. Meanwhile, anticipating their later in-phase reunion, the violas play an out-of-phase instance of the *Ronde* theme (mm. 355 – 58 and mm. 361 – 62. At the violas' HC on B♭ in m. 358, horns II and IV commence a 2 + 3 partition of the *Dies irae*, now only at 5 measures in total length. All instruments pause at m. 363 except for the bass drum, whose ***pp*** tremolo starts a lengthy crescendo to the *Dies irae* together with the *Ronde du sabbat.*

The imitations section proceeds in a similar manner to the previous one at mm. 341 – 345. In this later case, Berlioz lengthens and intensifies both the literal crescendo and the gradually increasing orchestral crescendo to span the longer mm. 364 – 406. The structural cadence at m. 414 is weakened by the early entrance of the subject at m. 407. The *Dies irae* is then going to combine with the answer and not the subject.

4.9 The *Dies irae* Together with the *Ronde du sabbat;* Transition to the Closing Section, mm. 414 – 494

The actual presentation of the *Dies irae* together with the Witches' round is relatively short at only 34 measures in length. The winds (except flute and piccolo) and brass play the Dies irae A section in an 8 + 8 + 7 phrase rhythm. The strings, meanwhile, play the Witches' round in almost its typical form. It begins with the usual 4 + 4 subject, but its consequent is extended by one measure to form a 4 + 5 pattern. This is then followed by an 8 + 10 phrase rhythm of whirling sixteenth-note figures in the upper strings, flute and piccolo. The section's harmony also remains in flux, with only the IAC at m. 414 and the HC at m. 417 to provide

stability. The passage's harmonic rhythm increases to a rate of one new harmony per measure in mm. 429 – 440. At this point, the key area becomes clear with an E^7 that persists through the *col legno* section at mm. 444 – 447. The progression from E to a at mm. 447 – 448 marks this point as the beginning of another episode. This span is given in Figure 25.

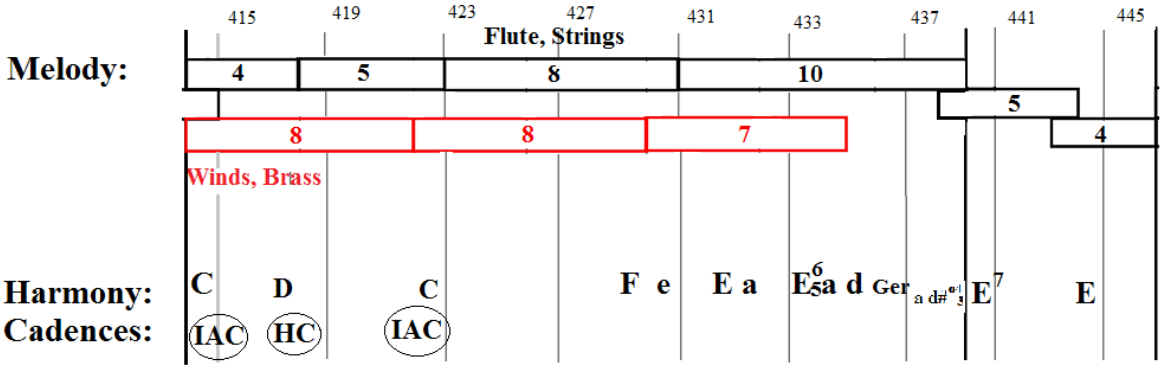


Figure 25: Dies irae and Ronde du sabbat together, mm. 414 – 446.

Berlioz develops one last transitional span of music, in Figure 26, on the subject in 1:2 augmentation at m. 448. The cellos, bassoons, C horns, oboe, flute, and piccolo play this theme in a 4 + 4 + 5 phrase rhythm. The first 4 + 4 pattern corresponds with the original *Ronde's* four-bar antecedent, and ends with a HC on an E^7 harmony. The second five-bar phrase includes the first half of the consequent before it elides with a connecting 4 + 4 phrase structure. This chromatic descending eighth-note figure, still played by the bassoons, C horns, oboe, flute, and piccolo, terminates on the e minor harmony in m. 467 at the same time as the remaining instruments begin the new 4 + 4 + 4 phrase pattern.

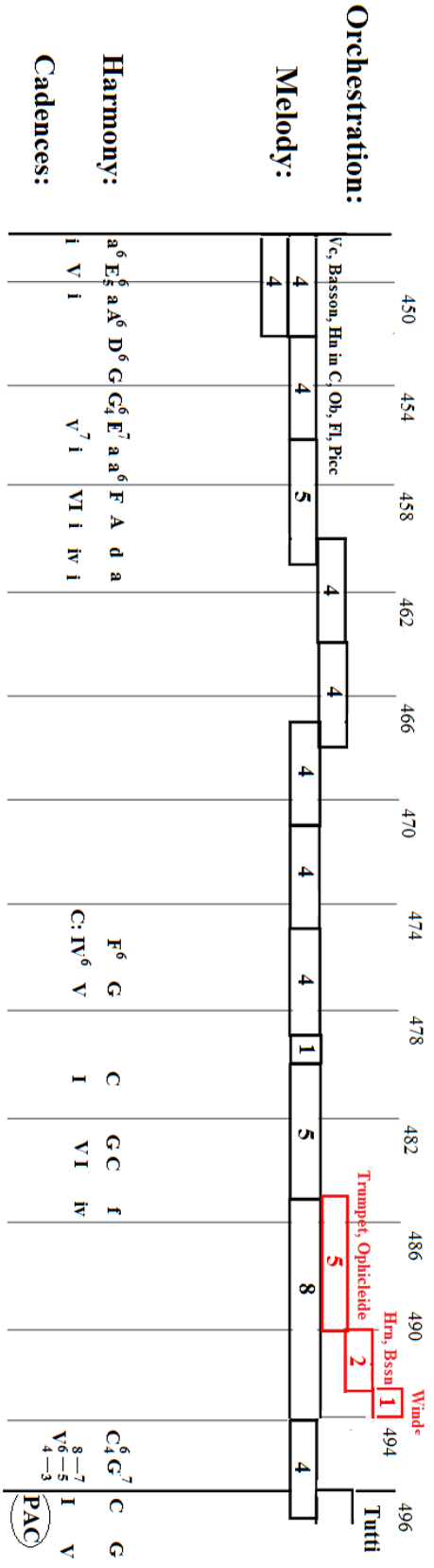


Figure 26: Transition to the closing section, mm. 448 – 495.

This connecting pattern, played ***ff***, can be parsed into sub-phrases based on the regular alternating pattern between the strings/brass and the winds. The passage cannot be said to contain 3 full phrases, however, because the harmonic motion never forms a cadence until the HC on G at its terminus in m. 478: em – d♯^{o7} – G^{7} – F♯ – c♯^{o7} – D – F♯ – f♯^{7} – F – G.

A one-measure long flourish in sixteenth-notes connects this phrase to the five-bar, capricious, alternating triplets phrase in m. 180. This phrase, too, contains multiple harmonic anomalies, from the initial stepwise root progression in mm. 480 – 482 (C – d – e – f – G) to the tritone-related harmonies at mm. 482 – 484 (F – C♯ - F – c♯^{o7}).

The next passage contains yet another of Berlioz's clever developments of this movement's main themes. A one-measure prefix introduces an eight-bar section which contains the Dies irae presentation in miniature. The first five bars of this presentation contains a segment of the 1:1 phrasing in the ophicleide and trumpet. Following this, Berlioz writes a two-measure long 2:1 diminution in the bassoon. Finally, the winds hint at the 4:1 diminution with a brief one-measure-long outburst. This outburst elides with a four-bar phrase in tutti which leads us finally to the main closing section.

4.10 Closing Section, mm. 496 – 524

This closing section, shown in Figure 27, contains several predictable features. First, its phrase rhythm is consistently regular at 4 + 4 + 4 + 5 (elides with) 8 + 4 (+ 1). This establishes a clear four-bar hypermeter in order to conclude the *Symphonie fantastique* on a strong hypermetrical downbeat (the last + 1 in parentheses). Second, the section's harmony, with a few exceptions shown in parentheses, is simple and conventional: C – D^{7} – G – C – D^{7} – G – C – (A♭^{7}) – D^{7} – (a – E♭) – D – G – C – G – C – G – C – G – C – G. It is perhaps unsurprising that Berlioz would choose a simple I – V^{7}/V – V phrase harmony for the closing

section, as it sets up the typical I – V oscillations that clearly mark the end of the piece. The presence of the A♭^{7} is reminiscent of Berlioz's use of ♭VI in the first movement, and the E♭ of the famous ♭III entrance in this movement. The closing section thus ties together several elements of the piece as a whole.

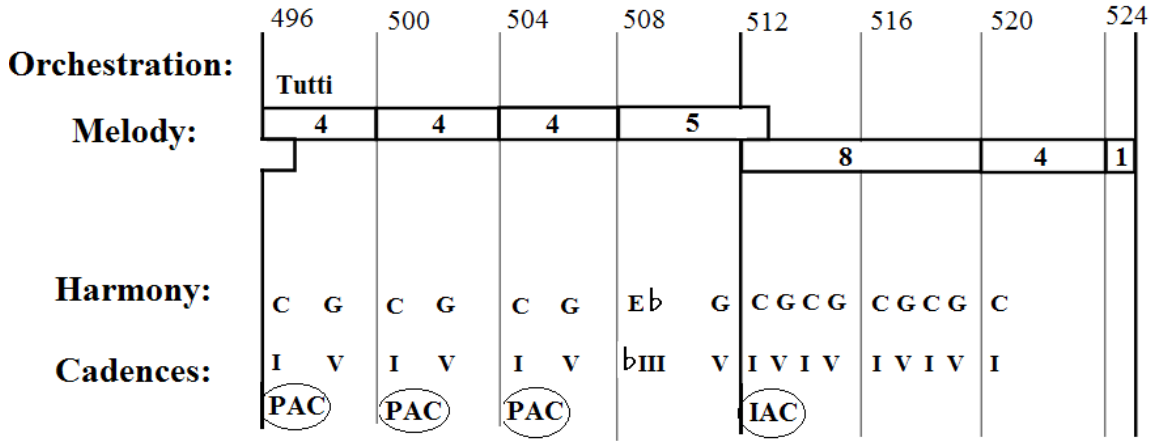


Figure 27: Closing section, mm. 496 – 524.

4.11 Conclusion

Berlioz's fifth movement contains an alternating pattern of lengthy, transitional spans with short, static spans. The introduction builds momentum to the the HC in E♭ just before m. 40. The E♭ clarinet then enters with its famous, and relatively short 24-measure long entrance. Following this span, the introduction to the *Dies irae* presentation systematically loses layers until motion has nearly stopped on a unison C in the cellos and basses. The *Dies irae* presentation then commences regularly, with the exception of the disruptive force of the bells. The introduction to the Witches' round then builds momentum through the systematic addition of layers and the first presentation of the Witches' round maintains this forward

motion up through a lengthy orchestral crescendo. The movement's momentum climaxes at the presentation of the *Dies irae* together with the Witches round. This section is also relatively short, at only 34 measures. It is also relatively static, but less so than the other two main sections: the 4 + 4 Witches' round theme gets expanded to a 4 + 5 phrase rhythm, while the *Dies irae* remains nearly regular at 8 + 8 + 7 phrases). The subsequent episode then builds momentum, though the round itself is augmented at a ratio of 1:2. Interestingly, Berlioz includes a miniature *Dies irae* while building momentum to the closing section. Finally, the closing section contains the most regularity while all of its layers remain in phase, and thus constitutes the most static of the movement's formal sections.

This progression of momentum through the fifth movement has some implications for other analyses of the same piece. Since all layers move in-phase at the measures 40, 64, 101, 221, 240, 413, 447, and 495, these constitute formal endpoints in the movement. In terms of momentum, the movement alternates between accelerating or decelerating sections and relatively static sections.

This points to a different interpretation of the movement than either Cone or Rushton's analysis of the same piece. Figure 28 shows a comparison of my analysis with those of Cone and Rushton. Cone, amplifying Schumann, finds parallels between the first movement and the fifth, making the fifth movement sonata-like and bookending the symphony with two similar movements. By this reasoning, the *Dies irae* presentation becomes the sonata's first theme and begins the movement proper.

Figure 28: Cone's, Rushton's, and my analysis of Symphonie fantastique, V.

Schumann almost exclusively talks about the *Dies irae* presentation and the *Ronde du sabbat* when referring to the music and not the program. It seems that for Schumann, these two sections carry the bulk of the movement's large-scale form:

> In the last movement Berlioz introduces the *Dies irae* first in whole notes, then in halves, then in eighths; it is accompanied by bell strokes on tonic and dominant in a regular pattern. The following double fugue, which Berlioz modestly calls only a fugato, is certainly not by Bach but is nevertheless clearly constructed according to the rules. The *Dies irae* and the *Ronde du sabbat* are well interwoven. But the theme of the latter is not long enough, and the new accompaniment is as free and easy as can be, consisting of ascending and descending scales in thirds. The last five pages are all topsy-turvy, as was often mentioned before; here the *Dies irae* begins once again, this time pianissimo. Without a score, one can only call the last pages poor.[195]

To be fair, much of Schumann's commentary on the movement is more of a reflection on Liszt's piano reduction than on the full orchestral version. Berlioz's "fugato" label, for one, seems only to exist in the transcription.[196] The ascending and descending scales, too, seem to have been paralleled in thirds by Liszt "for the sake of pianistic brilliance," and who can say what Schumann would have thought of the last pages *with* a score?[197] But by the amount of time Schumann spends on each section, we can at least say that Schumann thought the *Dies irae* and the *Ronde du sabbat* merit comment, and the preceding material does not. In his "amplification" of Schumann's analysis, Edward Cone attempts to connect the first and fifth movements together as a means to show that the *Symphonie fantastique* can be heard as a unified whole. He finds certain "obvious parallels" between the two movements, including details about both movements' opening sections, the main key areas and transformations of

195 Cone, 239 – 241

196 Ibid., 241 n. 34

197 Ibid., 241 n. 35

the major thematic material, and the positions of the interludes.[198] If the correspondence between introductory material in the two movements is significant, then in Cone's reasoning, the *Dies irae* presentation should then be analogous to the first theme in a Sonata-allegro form. But to Cone, the *Dies irae* section also still sounds introductory, particularly because it is still in C minor, it has not achieved the faster tempo that will become typical of the remainder of the movement, and it ends with the most complete buildup (so far) to the dominant of any of the preceding musical material. And finally, for Cone, the fact that the *Ronde du sabbat* enters with a grand fugal exposition gives one last reason why all of the preceding material sounds introductory to him.[199]

My analysis suggests instead that the movement begins at m. 102 with the presentation of the *Dies irae*. The preceding material is proportionally short compared to the rest of the movement. Its transitional material of momentum gain (mm. 22 – 40) and momentum loss (mm. 65 – 101) are also proportionally short and do not gain or lose much ground. The clear resetting of layers at m. 102, however, sets up the opening of the *Dies irae* as a major point of arrival, and its motivic return at m. 414 together with the *Ronde du sabbat* confirms its importance to the movement as a whole.

Cone finds parallels, too, between the *Ronde* theme and not only the *idée fixe* but several other themes throughout the entire piece as well.[200] Two excerpts of the theme, labeled 'X' and 'Y' in true Schoenbergian “developing variation” style, undergo development even during the *Ronde* theme itself. Because of their close proximity to one another and their relative brevity, Cone combines what I call the first and second counter-subjects into one

198 Ibid., 270 – 271

199 Cone, 271.

200 See Cone's Ex. 11, 262 and Ex. 13, 273.

longer counter-subject. Thus, for Cone, the *Ronde du sabbat* forms not a triple- but instead a double-fugue. Whether there is one or there are two counter-subjects, the symmetry Cone finds in his chart on p. 274 is still equally valid. Measures 289 – 395 then comprise what Cone labels as a "partial counter-exposition... [with] an abortive stretto." The subject and the answer have been reversed in this section. Cone then finds a significant structural point at m. 305 with the beginning of a long development section. Significantly, the sequence in mm. 320 – 27 exploits the contrast between the major and the minor sixth scale degree that Cone finds to be characteristic of the entire work. My analysis reveals a different conclusion from Cone. I find that m. 306 has less structural weight than he does. Part of the reason for his choice of m. 305 is because it comes after what he labels the "partial counter-exposition"and would follow an expected pattern of alternating relatively static formal sections with momentum-gaining or momentum-losing transitional sections. The point at m. 407, too, differs from my analysis. For Cone, the thematic return of the Round in the tonic key is significant enough to assign greater structural weight to this point. But as Cone notices:

> The texture here is homophonic; nay, almost monophonic. The dominant answer (m. 414) shows why: Berlioz does not wish to distract us from his tour de force – the combination of the fugue subject with the *Dies irae*.[201]

My interpretation partially agrees with Cone's. He has provided precisely my argument here: Berlioz has written his layers in phase (the homophonic texture, the regular phrase rhythm, and the clarity of harmonic language) as a means to keep attention on his "tour de force," or the entrance of the two themes together. The alignment of layers between mm. 407 – 414 strengthens the arrival at m. 414. At this point, Cone alludes again to what he sees as parallelisms between the first and fifth movements. He labels this moment the "joint

201 Cone, 275.

recapitulation," as a reference to the first movement's "arched-sonata" form.[202] But if it is a joint recapitulation, the movement proper should start at the beginning of the "first" exposition, the *Dies irae* passages at m. 102.

Finally, Cone finishes his analysis with the augmentation of the *Ronde* theme shown in mm. 447 – 460, and a closing "expansion of the tonic" in mm. 480 – 524.[203] My analysis differs from Cone's here, too, as I found that the layer-interactions established m. 495 is the beginning of the closing section and that prior to this point the layers are still building momentum.

Cone's main goal in drawing connections between the first and fifth movements is to help establish the work as a unified whole. He attempts to do this through harmonic and tonal relationships, motivic parallels, and "pervading melodic patterns." But he also expresses doubt that his approach would necessarily indicate that the work presents a unified whole. He wonders if instead he has shown that these features are general characteristics of Berlioz's compositional style. He finds, for example, that the contrast between the major and the minor sixth scale degree occurs frequently in other Berlioz melodies, including those from the *Requiem,* the *Damnation of Faust*, and *Romeo and Juliet*.[204] And Cone worries that "all that this bit of tune detecting has revealed is that the symphony is really by Berlioz."[205]

I argue that my analysis provides additional means to evaluate whether the symphony can make sense as a whole. Cone is correct that tonal unity, consistency in motivic

202 Cone's analysis. See Chapter 2 for my response to this classification.

203 Cone left out mm. 460 – 480 in his chart, but he does briefly describe the passage as a large-scale elaboration of the progression II – V, and places it in the middle of a I – V – I – VI – II – V progression in mm. 407 – 479.

204 Cone, 276 – 277.

205 Ibid., 277.

development, and formal parallelisms between movements provide some necessary evidence, but I maintain that the piece's momentum, as established by the interaction between its layers, must also be taken into account.

Julian Rushton applies a very similar analytical technique to mine in his *The Music of Berlioz*.[206] Rushton's position on the finale is that it most closely resembles the pre-Romantic formal archetype of the fantasia and fugue. Referencing Wolfgang Dömling, Rushton agrees that its unity must draw not only from standard formal categories, but also from a "semantic dimension," and he provides Table 9.5 to account for tonality, theme, and texture.[207] In this table, Rushton even accounts for phrase lengths at each formal section as an attempt to clarify the extent to which Berlioz has unified the piece on a musical level.

Similarly to Cone's analysis, Rushton makes a comparison between the finale and the sonata form. Even though Rushton admits that this movement is no sonata form, the impulse to find these parallels is still there. For Cone, the sonata-like parallelisms allude to the first movement, and make the movements into bookends. Cone attempts to establish unity in the piece as a whole. Rushton finds sonata-like parallelisms instead as a possible indication of unity only in the last movement. Perhaps partially due to this difference in goal, Rushton finds not one, but two exposition spaces: the first is from mm. 40 – 102, and the second is from mm. 241 – 305. The two theorists agree on the joint recapitulation space at mm. 407 – 436. Rushton differs from Cone at mm. 436 – 461, however, in that the former labels this passage as a secondary development. The missing section from Cone's analysis at mm. 461 – 480 is Rushton's closing period, and Rushton's coda coincides with my closing section from mm. 496 – 524.

206 Rushton, Julian. *The Music of Berlioz*. (Oxford: Oxford University Press, 2001).

207 Rushton, 254 – 255.

Chapter Five: the *Ronde du sabbat* as Academic Fugue?

Just as Chapter 1 began with questions on the extent of Berlioz's formal musical education, Chapter 5 concludes with a thorough analysis of Berlioz's *Ronde du sabbat* under the guidelines that existed at the *Conservatoire* in the late 1820's. As the first requirement of the Rome prize shows, Berlioz would have had to demonstrate mastery of the techniques of counterpoint and fugue in order to establish his skills as an educated composer. Rushton notes that "we know more about Berlioz's training in fugue than in any other aspect of composition, for we have Reicha's and Cherubini's treatises and two surviving competition fugues."[208] This chapter compares Berlioz's *Ronde du sabbat* directly to the rules laid out in Cherubini's and Reicha's treatises to establish that Berlioz wrote a passage only "in the fugal style," but nevertheless with a complete and correct exposition, as established by the two major treatises available at the time.

The previous chapter showed how Berlioz's last movement is particularly well-suited to my proposed method of analysis. This analysis highlighted Berlioz's innovative compositional strategy, particularly with regard to the "intermittent sounds" as one example of musical layering, and the interaction of the layers as a momentum-determining device. This type of analysis addressed the question of musical unity on the scale of an entire movement by showing how the sometime quite disparate layers can move in or out of phase to help create direction. In this chapter, I analyze Berlioz's fugue in the fifth movement as a means to further evaluate his musical education at the Paris conservatoire. Since the fugue has so frequently been used as a measure of a composer's skill and expertise, I propose to evaluate Berlioz's proficiency in the techniques of counterpoint and fugue as they would have

208 Rushton, *The Musical Language of Berlioz*, 117.

been taught at the conservatoire during his studies there.

As Julian Rushton has already established:

> We really know very little about Berlioz's formal education... The facts appear to be that he attended Reicha's counterpoint class, from after his richly deserved failure in the preliminary round of the 1826 Prix de Rome competition until his report gave him 'Congé' in July 1828; he also attended Lesueur's composition [class], but no others.[209]

At the time Berlioz attended Reicha's class, Rushton believes it was likely that Reicha would have been teaching concepts that Cherubini later published in the Conservatoire's official textbook, the *Cours de contrepoint et de fugue* (1835).[210] In the 1820's, however, Reicha was also producing theoretical writings in the midst of academic rivalry between Fétis, Cherubini, and himself.[211] Reicha was appointed professor of counterpoint and fugue in 1817, and his *Cours de composition musicale* (1818) replaced Catel's *Traité d'harmonie* (1802) as the official harmony textbook at the Conservatoire.[212] Meanwhile, Fétis was appointed professor of counterpoint and fugue in 1821, and Cherubini was appointed director in 1822. Reicha's *Traité de haute composition musicale* (1824-6) seems to have caused this controversy mainly because it did not include species counterpoint.[213] Ian Bent argues that Cherubini implicitly reacted against Reicha's pedagogical method by beginning his own counterpoint and fugue treatise with a thorough introduction to Fux's species counterpoint.[214]

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209 Rushton, Julian. *The Musical Language of Berlioz,* 54. See the Introduction.

210 Cherubini, Luigi. *A Course of Counterpoint and Fugue*. trans. J. A. Hamilton (London: R. Cocks and co., 1835).

211 *Music Analysis in the Nineteenth Century. Volume I: Fugue, form, and style.* ed. Ian Bent (Cambridge: Cambridge University Press, 1994), 152.

212 Eitner, Robert. *Quellenlexikon.* "Prof. der Komposition" and "1818."

213 *Music Analysis in the Nineteenth Century,* 152.

214 Fux, Johann Joseph. *Gradus ad Parnassum* (1725).

Whereas Cherubini's textbook maintained a section on species counterpoint and Reicha omitted it, Cherubini (perhaps pointedly) omitted the church modes, and Reicha retained them for their practical compositional use.[215]

The academic rivalry between Reicha and Fétis can be seen in Fétis' harsh review of the *Traité de haute composition musicale:*

> In 1824, Reicha published a new elementary book, which he gave the title *Traité de haute composition musicale*, written after *Cours d'harmonie pratique,* and *Traité de mélodie*. Educated musicians felt some astonishment at this word "*haute composition,*" which seemed to indicate that some categories of composition are less elevated than others through qualities other than inspiration. *Composition* was used by Reicha in the sense of the art of writing; he carefully avoided the school's word (*counterpoint*), because only one part of that science (*double counterpoint*) was considered by him to be useful in its application to modern music. He did not understand, in the present state of the art, the use of simple counterpoint, and had no idea that the art of writing can have no other basis. It is for this reason that he keeps silent on this subject in his book, thus bringing down the edifice he wanted to build. His absolute ignorance of the history of music, and the little care that he took to study the monuments of this history, have also resulted in serious errors, which have exposed him to the severe critique of the abbot Baini, whose overwhelming scholarship and inflexible logic have demonstrated that Reicha had confused the times, assumed absurd facts, ignored the most ordinary things, in everything he said regarding the old forms of compositions, and even with regard to the constituting principles of harmony he attributes to them.[216]

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215 "Analysis 9" in *Music Analysis in the Nineteenth Century.* Vol. I. Ed. Ian Bent, 152.

216 Fétis, François-Joseph. *Biographie universelle des musiciens et bibliographie générale de la musique.* Deuxième édition, Paris:1878, vol. 7 pg. 204: "En 1824, Reicha fit paraître un nouveau livre élémentaire, auquel il donna le titre de *Traité de haute composition musicale*, faisant suite au *Cours d'harmonie pratique* et au *Traité de mélodie*. Les musiciens instruits éprouvèrent quelque étonnement à ce mot de *haute composition*, qui semble indiquer des catégories de compositions moins élevées que l'autres, par des qualités étrangères à l'inspiration. *Composition* éait employé par Reicha dans le sens d'art d'écrire; il évitait avec soin le mot de l'école (*contrepoint*), parce qu'une partie de cette science seulement (*le contrepoint double*) était considérée par lui comme utile dans son application à la musique moderne. Il ne comprenait pas, dans l'état actuel de l'art, l'usage du *contrepoint simple*, et ne se doutait pas que l'art d'écrire ne peut avoir d'autre base. De là le silence qu'il garde sur ce sujet dans son livre, et qui fait crouler l'edifice qu'il voulait construire. Son ignorance absolue de l'histoire de la musique, et le peu de soin qu'il avait pris d'étudier les monuments de cette histoire, l'ont d'ailleurs entrainé dans de graves erreurs, qui l'ont exposé à la sévère critique de l'abbé Baini, dont l'accablante érudition et l'inflexible logique ont démontré que Reicha avait confondu les époques, supposé des faits absurdes, ignoré les choses les plus vulgaires, dans tout ce qu'il dit concernant les formes des compositions anciennes, et même à l'égard du principe constitutif d'harmonie qu'il leur suppose."

Fétis' main complaint about the *Traité de haute composition musicale* is that Reicha all but ignored the art of counterpoint in his theories about the fugue. For Fétis, even modern music depends so thoroughly on the rules of counterpoint that when Reicha does not address them in his treatise, he throws his whole theory of the fugue into question. The "severe critique" Fétis mentions is from Giuseppe Baini's *Memorie storico-critiche della vita e delle opere di Giovanni Pierluigi da Palestrina*.[217] In this review, Baini criticizes Reicha's historical descriptions of the uses of two choirs in vocal music, and accuses him of being ignorant of the history of vocal music, especially in how Italian composers have historically used basses.[218] Baini's remarks fueled Fétis' negative review of the *Traité de haute composition musicale,* which in turn caused a split in opinion over counterpoint and fugue pedagogy in the Conservatoire. Fétis, following Baini's review, advocated a more conservative, historically aware method of teaching counterpoint and fugue, beginning with species counterpoint. Reicha, on the other hand, advocated a more progressive approach in which species counterpoint was not a necessary lesson for the advanced student of composition, and that a fugue in modern music need not be as strict as a fugue in an academic exercise. In this context, when Cherubini published his textbook on counterpoint and fugue in 1832 and began it with a thorough treatment of species counterpoint, it marked the Conservatoire's return to the more conservative, Fux-based pedagogical techniques for the art of counterpoint.

This disagreement over theories of the fugue between faculty members at the

217 Baini, Giuseppe. *Memorie storico-critiche della vita e delle opere di Giovanni Pierluigi da Palestrina, cappellano-cantore, e quindi compositore della cappella pontificia, maestro di cappella delle basiliche Vaticana, Lateranense e Liberiana, detto il principe della musica* (Rome, 1828/*R*). The review of Reicha's *Traité de haute composition musicale* appears in pp. 373 – 382.

218 Baini, 365.

Conservatoire might at first seem to create some difficulties in establishing Berlioz's mastery of fugal techniques as they existed during his time. After careful comparison of Cherubini's and Reicha's treatises, however, I found that their respective approaches to species counterpoint and the modes are the only major points of disagreement. Once Reicha begins to address the composition of the fugue as a whole, his treatise differs little from Cherubini's textbook.

Rushton would agree that these two sources provide a good set of standards against which to compare Berlioz's fugal writing in order to establish his level of training in the subject. In *The Musical Language of Berlioz,* he says notes that thanks to Reicha's and Cherubini's treatises, we know more about Berlioz's training in counterpoint and fugue than in any other aspect of composition. Rushton compares Berlioz's failed first fugue from the preliminary round of the 1826 *Prix de Rome* with Claude Paris' (1801 – 1866) fugue entry from the same year in order to show how much Berlioz's fugue writing would improve over time. Paris was a student of Lesueur around the same time as Berlioz, and he later became a composer, conductor, and piano teacher in Paris. He won Second Grand Prize in 1825 with his cantata *Ariane dans l'île de Naxos* and First Grand Prize in 1826, the year Berlioz first entered, with his cantata *Herminie*.[219]

Rushton finds that both Berlioz's and Paris' fugues were dull, but that Paris' was technically far superior. Berlioz's entries and his correctly executed answer were placed in the same positions, proportionally, as Paris', but Berlioz's fugue contained such errors as clumsy unnecessary doublings, a stretto that begins after a tonic fermata (instead of the expected

219 Biographical information on Paris can be found in Vapereau, Gustave. *Dictionnaire universel des contemporains, contenant toutes les personnes notables des pays étrangers*. (Paris: Hachette, 1870), and in Adam, Adolphe. *Souvenirs d'un musicien.* (Paris: M. Lévy frères, 1868). Vapereau gets some details wrong, such as the year Paris won first prize. Vapereau claims *Herminie* was the winning cantata in 1825, but it was in fact the winning cantata in 1826.

dominant), and several poorly executed suspensions.[220] Berlioz's second surviving competition fugue, from 1829, showed much improvement. His exposition and stretto in the second fugue are now mostly correct, and his examiners marked only a few faulty suspensions.[221]

This chapter follows Rushton's suggested strategy to establish Berlioz's level of training in the fugue: I compare Berlioz's *Ronde du sabbat* in the fifth movement with the guidelines laid out in Cherubini's and Reicha's treatises. With only a few exceptions, noted where relevant, both sources appear to agree on what constitutes a fugue. Where they disagree, I propose to take Cherubini's treatise as the strictest, most conservative standard by which to evaluate Berlioz's execution of the fugue. This is because Cherubini's treatise restored the older, Fuxian method of teaching counterpoint using the species before he embarks on the subject of the fugue. This indicates that Cherubini's treatise falls more in line with Fétis' requirements for historical considerations in his scathing review of Reicha's work.

Reicha's treatise, in contrast to Cherubini's, represents a more progressive outlook on this genre. At points where Berlioz may have failed by Cherubini's standards, he may have succeeded by Reicha's more flexible ones. The latter case would indicate that Berlioz has simply followed the newer school of thought and not necessarily that he lacked proper schooling. This has implications for Fétis' opinion on Berlioz's musical education as well, given that Fétis' showed fierce disapproval of Reicha's *Traité de haute composition musicale,*

220 Rushton, Julian. *The Musical Language of Berlioz,* 117 – 119.

221 Ibid. See Rushton's Ex. 68 on his pg. 120 for a reproduction of the exposition and stretto in Berlioz's second fugue.

and this opinion may have extended to Reicha's followers' compositions.[222]

5.1 The Elements of a Fugue and the Overall Construction of the Fugue

Despite these principal differences between Cherubini's and Reicha's approaches to the pedagogical value of counterpoint, both the *Traité de haute composition musicale* and the *Cours de contrepoint et de fuge* generally agree on the most large-scale characteristics of the fugue. Cherubini states that "the indispensable conditions of a fugue are the subject, the answer, the countersubject, and the stretto. To these conditions we may add the pedal, which is almost always introduced in a fugue of any considerable development."[223] Therefore, to call a piece a fugue, it must have a subject, and answer, a countersubject, and a stretto. The pedal is optional, but almost always added to fugues with a long enough development. Reicha gives only slightly different criteria for the fugue as a whole. He defines it as:

> a piece of music in which the short motive (or the subject), which follows constantly from one part to the other, after certain rules: it's for this reason that the ancients gave it the name of the fugue, which comes from the Latin FUGA (to flee). There are four principal objects which constitute a fugue, known as:
> 1. The motive, or the subject of the fugue;
> 2. The answer to the subject;
> 3. The principal material that the fugue consists of;
> 4. The order in which the fugal material must be presented.[224]

For Reicha, the principal material of the fugue are the varied treatments of the subject and its answer throughout the piece. Reicha specifies that these are *imitations*, more or less *canonical*, that comprise the heart of the fugue. There are two sorts of imitations: Reicha calls the first one *stretto* and the other one simply *imitation*.[225] Reicha's definition of the

222 Fétis' criticism of Reicha's treatise appears in his *Universal Biography*. His presumption that Berlioz lacked musical schooling appears in his review of the *Symphonie fantastique* (See Introduction).

223 Cherubini, 286.

224 Reicha THCM, 1.

225 Ibid., 16.

stretto is a specific type of imitation that is mostly consistent with the modern definition of the term.[226] All other imitations are motives taken from the subject, but can be made at the unison or octave, the seventh or second, the third or sixth, or the fourth or fifth. Imitations, whether in stretto or otherwise, can also be canonical (one entrance can start before the prior one finishes).[227]

Other elements of the fugue which may or may not occur during its course include:

1. The subject in contrary motion;
2. The subject in augmentation;
3. The subject in diminution, when it can be made conveniently;
4. The partial development of the subject.[228]

For Reicha, there is an important difference between a fugue, and fugal material. The fugue, in Reicha's treatise, is a form that has not changed, and this form does not hold interest by itself. The fugue is purely a convention. Citing Haydn's quartets and symphonies, Reicha finds that fugal material can be used to great effect without the composer needing to create an entire fugue. By Reicha's guidelines, then, Berlioz's *Ronde du sabbat* would be better described as "fugal material." The elements of the fugue that both Reicha and Cherubini discuss in their treatises that are most relevant to Berlioz's fugal material are the *subject*, the *countersubject*, the *answer*, the *stretto, imitations*, and the *canon*.

Reicha defines the *subject* as:

> the principal melody of this production. The interest of the fugue consequently depends on the choice one makes for their subject. Since the former recurs constantly, it follows that it then communicates to the fugue these qualities: a vigorous subject will give energy to the fugue; an original subject will make it fresh, a joyful subject will communicate its lightness, and a gracious subject can

226 See this chapter's section on the stretto below.

227 Reicha THCM, 21.

228 Ibid.: "1. Le sujet par mouvement contraire; 2. le sujet en augmentation; 3. le sujet en diminution; 4. le *développement partiel* du sujet"

make the fugue itself graceful.[229]

Thus, for Reicha, the choice of subject is highly important not only as the generator of the following material in a technical sense (there are only so many ways the answer can be constructed from a given subject, for example), but also as a determinant of the overall character of the fugue.

On the general definition of the *subject,* Cherubini writes significantly less than Reicha. He states that

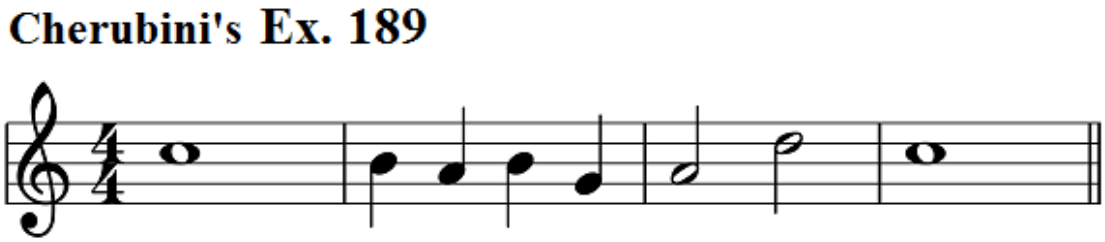
> The subject or theme of a fugue ought neither to be too long nor too short; its length should be such that it may be easily engraved on the memory, and that the ear may seize on it and recognize it with facility in the different parts and in the different ways in which the composer may introduce it.[230]

Where Reicha viewed the subject from more than a purely technical standpoint, Cherubini then avoids making claims as to the particular character a subject might lend to the fugue as a whole. Because Berlioz's subject is relatively long at 8 measures, it is necessary to pay some attention to Cherubini's requirements for subject length. Cherubini does not directly state exactly how long a fugue subject should be, but almost all of his numerous examples are each shorter than six measures in length. He gives Example 189 as an instance of a subject with the proper length:[231]

229 Reicha, THCM, 7: "... le chant principal de cette production. L'intérêt d'une fugue dépend par conséquent beaucoup du choix que l'on fait de son sujet. Comme ce dernier se reproduit sans cesse, il s'ensuit qu'il communique à la fugue ses qualités: un sujet vigoureux donnera de l'energie à la fugue; un sujet original la rendra neuve; un sujet gai lui communiquera sa légèreté; un sujet gracieux peut la rendre gracieuse elle-même."

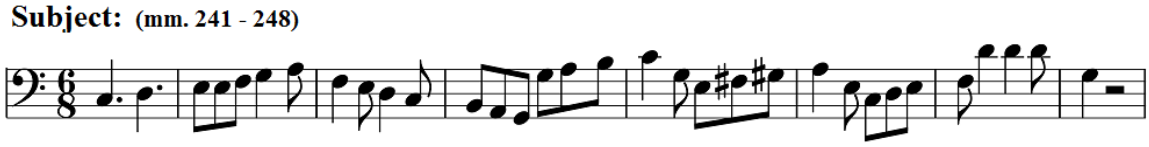
230 Cherubini, 287.

231 Ibid., 288.



Example 15: Cherubini's Example 189, pg. 288.

For comparison, here is Berlioz's subject:



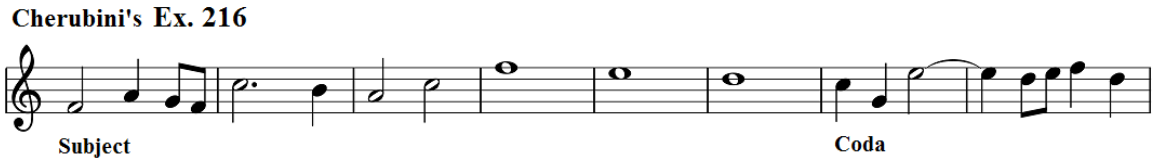
Example 16: Subject of the Ronde du sabbat, mm. 241 - 248.

At eight measures long, Berlioz's subject is precisely twice as long as Cherubini's. It is nevertheless still a catchy tune, with an easily recalled antecedent/consequent pair of phrases in a symmetrical 4 + 4 phrase structure. The listener should have no trouble recognizing it "with facility in the different parts and in the different ways in which the composer may introduce it." Unlike Cherubini, Reicha does give specific prescriptions for an appropriate number of measures for a subject, and it is dependent on the tempo of the fugue:

> "The subject must be short, so that the listeners can grasp it and retain it immediately: it must not be longer than eight measures in an *allegro*, and four in a slow movement. It sometimes only has five or six notes contained in two measures. It is important that it encloses a firm singing line, which imprints itself easily on the memory and stays in the ear."[232]

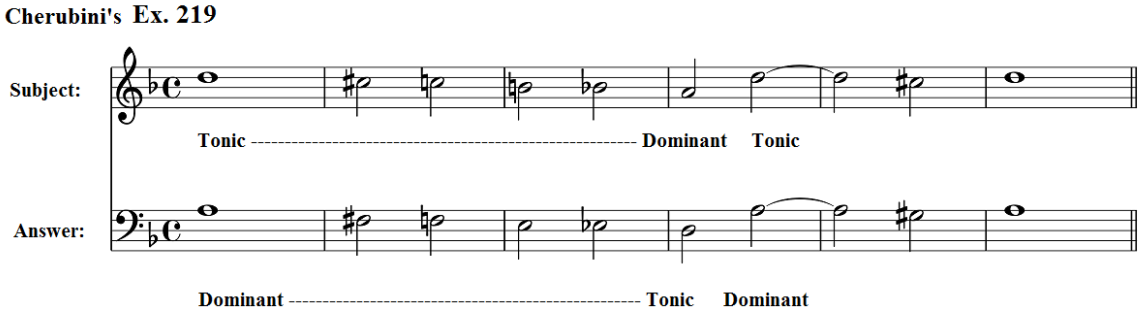
232 Reicha THCM Vol. 4, pg. 7. "Le sujet doit être court, pour que les auditeurs puissent le saisir et le retenir sur le champ: il ne doit pas surpasser huit mesures dans l'allegro, et quatre dans le mouvement lent. Il n'a parfois que cinq ou six notes renfermées dans deux mesures. Il est important qu'il renferme un trait de

The length of Berlioz's subject, being in an *allegro* tempo, is therefore permissible under Reicha's guidelines. The majority of Cherubini's fugue subjects, then, according to Reicha's guidelines, would be suitable for fugues in either a slow or a fast tempo. Throughout his textbook, Cherubini only gives two examples of fugue subject that are longer than four measures. The first is his Example 216 at 6 measures in duration. His markings are shown in bold below. The subject lasts six measures and is followed by a coda in mm. 7 – 8:[233]



Example 17: Cherubini's Example 216

Cherubini's second example of a longer fugue subject is Example 219 at 6 measures in duration. He marks measures 7 and 8 as part of the "coda."[234]



Example 18: Cherubini's Example 219

In either case, Cherubini gives no examples of fugue subjects longer than 6 measures.

chant franc, qui se grave facilement dans la mémoire et reste dans l'oreille."

233 Cherubini, 80 (Kalmus score).

234 Cherubini, 90 (Kalmus score).

Reicha's examples, on the other hand, frequently reach 5, 6, and even 7 measures in length.[235]

The other main difference between Berlioz's subject and nearly all of Cherubini's example subjets is that Cherubini's subjects do not tonicize the dominant. Although Cherubini does not give examples of subjects with tonicization of the dominant, Reicha specifically allows for it:

> The subject ordinarily remains in the tonic, or only modulates between the tonic and the dominant. Chromatic subjects are sometimes the exception to this rule. The subjects in fugues in the rigorous styles show little variation and are rarely salient; the subjects of modern fugues are rich, quite varied, new, and salient.[236]

We can thus classify Berlioz's subject according to Reicha's guidelines as one belonging to a fugue of the modern style. As with the length of the fugue, Cherubini again does not explicitly forbid subjects longer than four measures, he only suggests this as an appropriate length.

This subject, once properly constructed, must be accompanied by a *countersubject.* Cherubini defines it as "the melody which accompanies either the subject or the answer."[237] Cherubini requires the countersubject to form a double counterpoint at the octave so that it may be written above or below the subject. If the countersubject enters at the same time as the subject, Cherubini specifies that the fugue has two subjects. In this case, the countersubject must always enter in the same way. If the countersubject does not enter at the same time as the subject, but instead enters some time after, then Cherubini allows that

It is not, however, absolutely necessary to observe the exact identity of the

235 The reader can find dozens of examples in THCM Vol. IV, 1 – 15.

236 Ibid., 7 : "Le sujet reste ordinairement dans le ton, ou ne module que de la tonique à la dominante. Les sujets chromatiques sont quelquefois exception à cette règle. Les sujets de fugues, dans les styles rigoureux, sont en général peu variés et peu saillants; les sujets de fugues modernes sont riches, très variés, neufs et saillants."

237 Cherubini, 292.

> countersubject in its transposition and inversions; we may occasionally change some notes, if we consider it necessary, either for the purity of the harmony or the strictness of the counterpoint.[238]

This indicates that for Cherubini, the countersubject is always secondary to the subject unless it both enters at the same time and preserves its intervallic content at each reentry. In the latter case, Cherubini allows that if both of these conditions are met, then the countersubject may be considered a second subject.[239] Reicha, on the other hand, appears to define the countersubject synonymously with a second subject in all cases:

> A fugue can have two, three, or four different subjects. When it has two, we call it a *double fugue*, or a fugue with two subjects; when it has three, we name it *fugue with three subjects*; when it has four, we name it *fugue with four subjects*, and so on. […] The double fugue is made with two subjects. The first of these two is the principal subject, or the first subject; the other is a secondary subject that we call the *second subject* or the *countersubject*.[240]

Reicha's position on the countersubject is a combination of Cherubini's *second subject* and his *countersubject*. For Cherubini, the countersubject is always accompanimental and secondary to the subject. The countersubject does not need to be strictly reintroduced at each reentry of the subject. But for Reicha, the second subject in a double-fugue is always called the countersubject. In Berlioz's case, there are two brief countersubjects which each behave according to Cherubini's guidelines for double counterpoint at the octave.[241] Berlioz's two countersubjects are not only invertible at the

238 Ibid., 294.

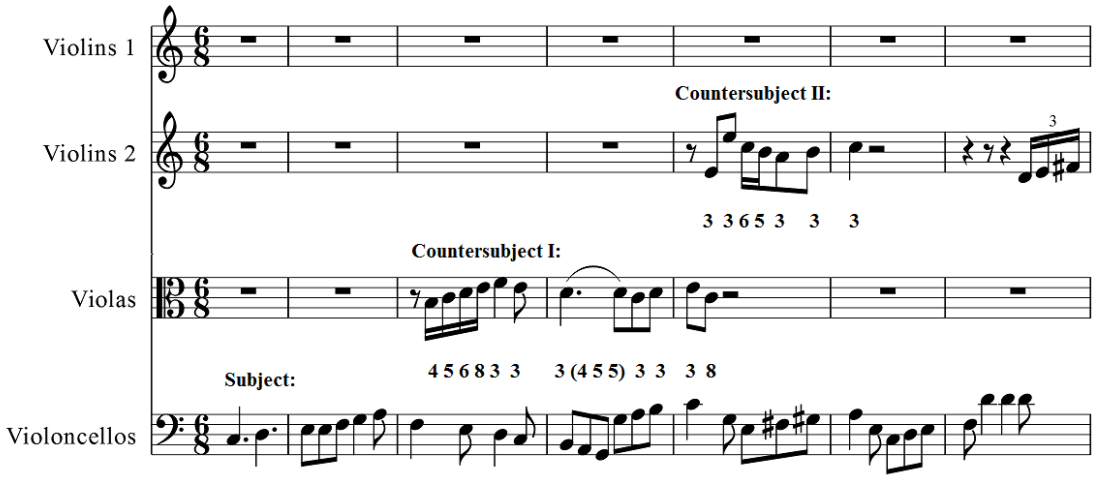
239 Cherubini, 302 – 303.

240 Reicha TCHM Vol IV, 56: "Une fugue peut avoir deux, trois, ou quatre sujets différens. Quand elle en a deux, on l'appelle *fugue double,* ou à deux sujets; quand elle en a trois, on la nomme *fugue à trois sujets*; quand elle en a quatre, on la nomme *fugue à quatre sujets*, et ainsi de suite. […] La fugue double se fait avec deux sujets. L'un des deux est le sujet principal, ou premier sujet; l'autre est un sujet secondaire, qu'on appelle *second sujet* ou *contre-sujet*."

241 As discussed in the conclusion, these can be considered one longer countersubject. I maintain separate labels to more easily show their repositionings during the course of the fugue.

octave, but they also happen to be invertible at the twelfth, making them suitable to accompany the answer as well as the subject:

Ronde du Sabbat, mm. 241 - 247 (reduction)



This aligns with Cherubini's guidelines on the countersubject, about which he writes:

> The countersubject, being intended to be introduced both above and below the subject and the answer, must necessarily be written in double counterpoint in the octave, so that it may admit of inversion from acute to grave, or from grave to acute, without there resulting any inconvenience or a necessity for some organic change.[242]

If inverted at the octave, the third inverts to a 6th and at the 12th, it inverts to a 10th.

Immediately following the first counter-subject, the second violins provide the second counter-subject. Similarly, this counter-subject also almost entirely forms intervals of a third with the subject. The only exception is the 6 – 5 in its two sixteenth-notes. This counter-subject is still invertible at the 12th, however, because a 6th (approached by skip here) will invert at the 12th to the dissonant 7th , which Berlioz has resolved downwards by step even in

242 Cherubini, 292.

the original configuration. In his Book III, Cherubini specifically allows for these intervals for invertible counterpoint at the octave and at the twelfth. At the octave, he reminds the reader that "all other intervals [the third and the sixth] may be employed, by subjecting them to the laws which affect them."[243]

Below are Cherubini's tables for invertible counterpoint at the octave and at the twelfth:[244]

Cherubini's interval table for invertible counterpoint at the octave:	**Cherubini's interval table for invertible counterpoint at the twelfth:**
1. 2. 3. 4. 5. 6. 7. 8.	**1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 11. 12.**
8. 7. 6. 5. 4. 3. 2. 1.	**12. 11. 10. 9. 8. 7. 6. 5. 4. 3. 2. 1.**

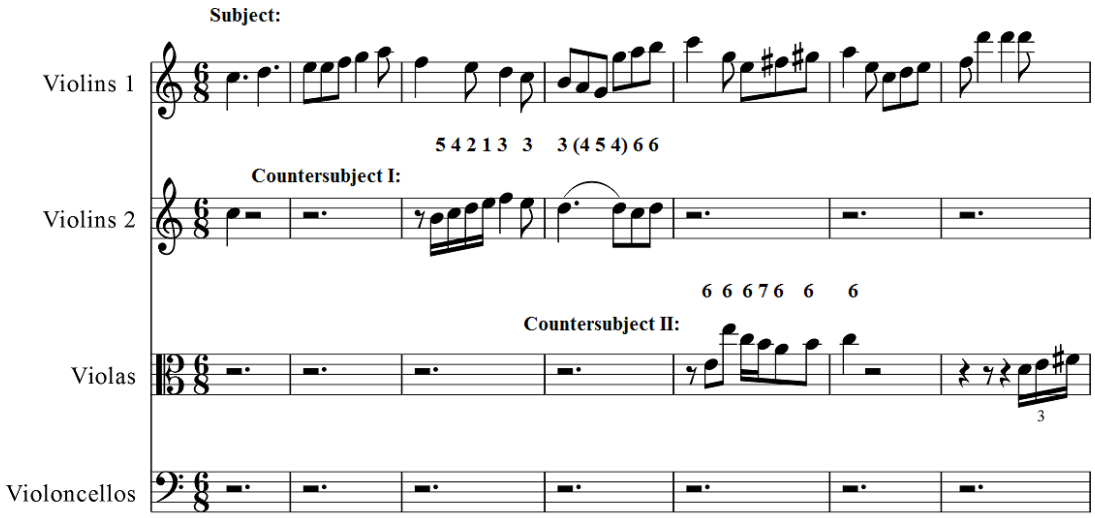
Table 1: Cherubini's interval tables for invertible counterpoint at the octave and at the twelfth.

In both cases, the 18th century rules for counterpoint and dissonance treatment will easily be preserved after inversion, as there will be no danger of the parallel thirds becoming parallel fifths or octaves, and no danger of a consonance inverting to a dissonance which would need to be properly resolved. Berlioz has ensured versatility in the invertible counterpoint by including only the imperfect consonances (which happen also to invert to imperfect consonances at the octave.

243 Cherubini Vol. III, 52 (Kalmus)

244 Ibid.

Subject and Countersubjects Inverted, mm. 255 - 261 (reduction)

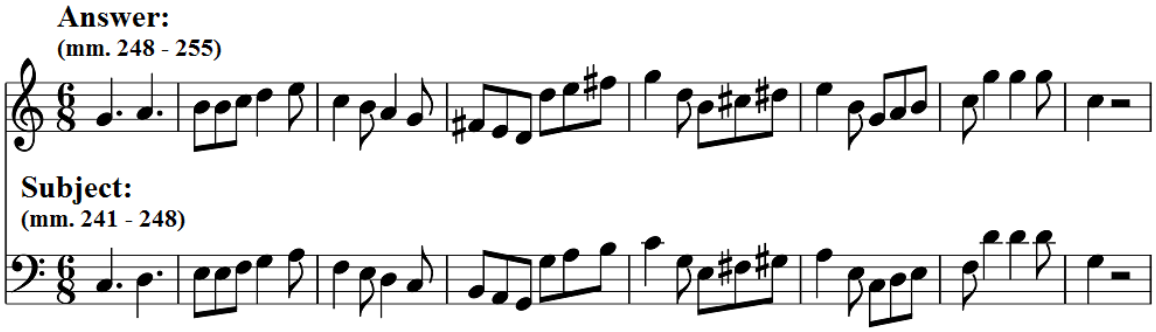


Following the construction of the subject and the countersubject, both Cherubini and Reicha require the fugue to contain a proper construction of the *answer.* Cherubini defines the answer, or as he calls it, the *consequent,* as the melody "immediately follow[ing] the subject. It ought in all respects to be similar to the latter, only in another key."[245] There are two types of answer according to Cherubini, the *tonal* and the *real*, and these determine whether we can call the fugue a *tonal fugue* or a *real (or strict) fugue*. Cherubini's distinctions between the two types of answers differs significantly from modern usage, where the chief difference is that a tonal answer will remain in the same key as the subject and a real answer will instead preserve the intervallic content of the subject and will thus need to change key. The *tonal* fugue's answer, in Cherubini's system, obeys three basic rules. First, if the subject begins on the tonic and ends on the dominant, then the answer must begin on the dominant and end on the tonic. Second, if the subject begins on the dominant and ends on the

245 Cherubini, 291.

tonic, then the answer must do the reverse. Third, all of the phrases of the subject belong to the "harmony of the tonic" (the melody is in the tonic key), so the phrases of the answer must similarly belong to the "harmony of the dominant" and vice versa.

The *strict*, or *real* fugue, for Cherubini, differs from the *tonal* one in two respects: first, the *real* fugue's subject must begin on tonic (whereas the *tonal* fugue's subject may enter on the dominant) and ascends or descends to any tone *but* the dominant. Second, the answer, which must enter in the dominant key, is "similar in all respects to the subject" (preserves the melodic contour and interval content of the subject).[246] Berlioz's subject and answer best fits the *real* fugue, because the subject transposes the entire subject up a perfect fifth. In modern terms, Berlioz has written an exact answer:



Reicha's definition of the *answer* provides a less traditional, but still applicable, framework under which to evaluate Berlioz's subject and answer. According to Reicha, the answer is:

> A transposition of the subject. But this transposition usually experiences one or more changes. The art of the answer consists of knowing how to skilfully make these changes when the answer requires it. It is essential to know how to regularly meet any subject, and consequently to understand the rules below. A

246 Cherubini, 308 – 317.

composer who does not know how to create a regular answer is said not to know how to make a fugue.[247]

Unlike Cherubini, Reicha does not clearly distinguish between the *real* and *tonal* categories of fugal answer. His rules, however, result in the same kinds of changes to the subject that would result in a tonal answer.[248] The first rule treats the construction of an answer to a subject which does not modulate to the dominant. Instead, Reicha defines six general rules for the proper construction of the answer, depending on the properties of the subject. Reicha gives two examples of a subject-answer pair constructed according to the first rule. In this rule, if the subject does not modulate to the dominant, the answer may simply be transposed up a perfect fifth or down a perfect fourth. The first subject in this example is in C major, begins and ends on C, and its other pitches remain diatonic throughout. The second subject is also in C, begins on a C, ends on an E, and contains only one accidental, a brief C♯ embellishing the penultimate D.

The second rule refers to the first and last notes of the subject: the tonic is answered by the dominant and the dominant is answered by the tonic. Sometimes this rule forces some intervallic changes within the answer, so Reicha provides a table of permissible intervallic substitutions.[249] He is careful to require, however, that "one never makes these changes except when they are necessary: otherwise, one answers the unison with the unison, the

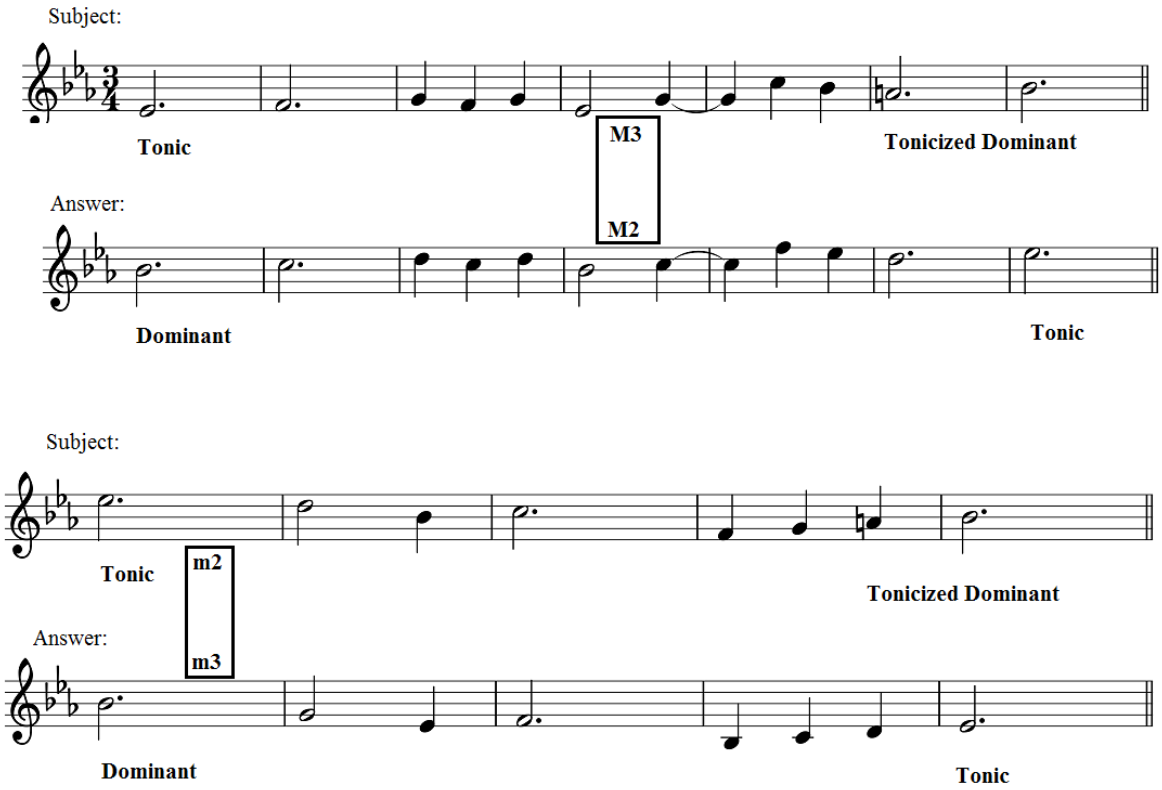
247 Reicha THCM Vol. IV, 7: "La réponse est une transposition du sujet. Mais cette transposition éprouve le plus souvent un ou plusieurs changements. L'art de la réponse consiste à savoir faire adroitement ces changements quand la réponse l'exige. Il est indispensable de savoir répondre régulièrement à un sujet quelconque, et par conséquent de connaître les règles ci-dessous. Un compositeur qui ne sait pas faire une réponse régulière est réputé ne pas savoir faire la fugue."

248 It is unusual, nevertheless, for a treatise on the fugue not to include clear labels to distinguish between real and tonal answers. See for example Marpurg, Friedrich Wilhelm. *Abhandlung von der Fuge*. (Berlin, 1753) (repr. Hildesheim, New York: G. Olms, 1970).

249 Reicha THCM Vol. IV, 8.

second with the second, and so on."[250] In Reicha's third rule, finally, one may find examples of a subject and an answer that most closely resemble how Berlioz constructed his own subject and answer. Reicha's third rule states that "when the subject modulates from the tonic to the dominant, the answer modulates to the contrary from the dominant to the tonic. In this case the answer always experiences changes."[251]

Reicha's examples of fugue answers in THCM, vol.4 pg.9 (my annotations in bold)



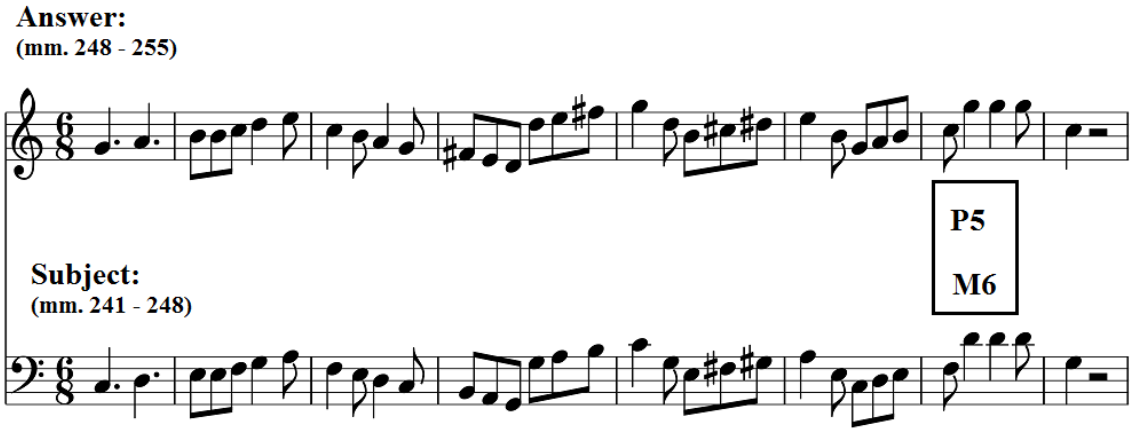
My annotations of Reicha's examples appear in bold above. These subjects are similar

250 Reicha THCM Vol. IV, 9: "On ne fait jamais ces changements que lorsqu'ils sont nécessaires: dans le cas contraire on répond à l'unisson par l'unisson, à la seconde par la seconde, et ainsi de suite."

251 Reicha THCM Vol. IV, 9 : "Quand le sujet module de la tonique à la dominante, la réponse au contraire module de la dominante à la tonique: dans ce cas la réponse éprouve toujours des changements."

to Berlioz's because they both start on the tonic and tonicize the dominant. Reicha's answers need to change some of the intervals between successive tones in order to end the answer properly on the tonic. This change in intervals is shown inside the boxes in the example above. Similarly, Berlioz's answer, shown below, needed to adjust one of its intervals to preserve its opening on the dominant above and its ending on the original tonic. Berlioz's adjustment of the perfect fifth to the major sixth is admissible under Reicha's guidelines, as the fifth example in his table from his second rule shows: "at the fifth, one can answer by the sixth or by the fourth."[252] Reicha's fourth rule requires the tonic to be interchanged with the dominant during the middle of the answer, not only at its endpoints. But this rule has plenty of exceptions. For example, substituting the dominant for the tonic should not disturb the melody too much. In order to avoid this, sometimes the fifth can be substituted with the second. The fifth rule specifies that the answer should not alter the rhythmic values of the notes from those in the subject. There is one exception to this rule: when the subject enters on a whole note, the answer may enter with a half note after a half note rest. Finally, the sixth rule requires one to answer a half step with a half step and a whole step with a whole step as often as possible, while one is not obligated to answer a minor second with a third or a unison.

252 Ibid., 8.



Once the subject, the countersubject, and the answer have been properly accounted for, the next essential element of a fugue, according to Cherubini, is the *stretto*. The *stretto* is "an artifice which consists in bringing as close as possible together, the entry of the answer to that of the subject."[253] Because the stretto is indispensable to the fugue, under Cherubini's requirements, he also recommends that the composer plan ahead when constructing the elements of the fugue: "a good subject for a fugue ought always to admit of an easy and harmonious stretto; in composing it, therefore, we should, beforehand, think of the different combinations of the stretto."[254] The requirement to add a stretto seems to be unique to the Conservatoire's pedagogy and not linked to actual compositional practice. He suggests additionally that a drawing closer and closer of the stretto can add a "piquant and exciting" effect.[255] He allows that

> ...we are sometimes permitted, when we can do no otherwise, in order to bring closer together the entries of the answer and the subject, to change some notes of either: or, if we do not change the notes, to alter the durations of them; but these

253 Cherubini, 303.

254 Ibid., 306.

255 Ibid., 305.

> variations cannot take place in the subject till after the entry of the answer, nor in the latter, till after the entry of the subject, and so on.[256]

From this definition and qualification of the stretto, therefore, we can surmise that the imitations in the stretto must begin at the fourth or the fifth, because they are between the subject and its answer.

Reicha gives additional qualifications to his definition of the stretto. For Reicha, the stretto is a type of imitation. He writes that "stretto is an Italian word, which means tight, cramped. A close imitation made with the subject and its answer (and consequently an imitation at the fifth above or the fourth below) is called stretto."[257] The stretto can be further classified as a *canon* if the subject and the answer are present in their entirety and follow each other without interruption.[258]

Berlioz includes two sections with close imitation, but neither can be considered a stretto under Cherubini's or Reicha's guidelines. The first section of close imitation occurs at mm. 330 – 344 and uses a highly chromaticized subject. The imitations at this section do not occur at the fifth above or at the fourth below, but rather proceed at first by half steps (F – F♯ – G – A♭) and then sometimes by the wider intervals of the major third, perfect fourth, and tritone: (A♭ – C – F♯ – G – C – A♭ – C). The second section of close imitation, again on a highly chromaticized subject, occurs at mm. 364 – 392, and it also cannot be considered a stretto under the current guidelines. Berlioz does include a grand pause at m. 363 (with only a tremolo timpano solo), and drawing attention to the anticipated point of stretto as suggested

256 Ibid.

257 Reicha THCM pg. 16: "Le stretto est un mot italien qui signifie serré, etroit. Une imitation serrée, faite avec le sujet et sa réponse (par conséquent une imitation à la quinte supérieure ou à la quarte inférieure) s'appelle stretto."

258 Ibid., 19.

by Cherubini in his discussion of the overall composition of the fugue. Its points of imitation first occur after four measures, then they draw closer together with entrances every measure. The first entrance of this passage begins on a G in m. 363, the next on a D in m. 368, followed by an entrance on C♯ in the cellos and B♭ in the second violins at m. 373, and finally by the first violins in 379 on an A. But at this point, the fugue subject has become highly embellished and chromaticized. It does not showcase a carefully worked out fugue subject, as Cherubini suggested in his textbook, that would have been carefully constructed to allow for closer and closer stretto.

5.2 The Different Kinds of Fugue

Cherubini specifies three principal kinds of fugue: the *tonal fugue*, the *real fugue,* and the *fugue of imitation*. The kind of fugue is determined by the kind of answer. A tonal answer determines a tonal fugue; a real answer determines a real fugue; and an imitation at an interval other than the fourth or fifth determines a fugue of imitation. As noted above, Cherubini requires every fugue to have a subject, answer, countersubject, and stretto. The pedal, too, is almost always added to any fugue "of considerable development."[259] Other fugue techniques, including augmentation, diminution, canon, etc., may be employed in the development section, but not all of them in the same fugue. This is because the fugue will then become too long and "tiresome."[260] Fugues of relatively longer duration almost always contain a pedal, but by his wording does not appear to be absolutely essential to the construction of a fugue. If a piece lacks one or more of these crucial elements, then Cherubini calls it an *irregular fugue of imitation*, or simply a *piece in the fugal style*. Cherubini gives

259 Ibid., 286.

260 Ibid., 287.

several other means to vary the expositional material throughout the fugue's development. A development can proceed with imitations on fragments of the subject or countersubject, transpositions of the subject into different keys, inversions of the subject through "contrary motion," the introduction of a new subject, passages of successively closer stretto, the subject together with its inversion, or combinations of the subject, countersubject, and stretto together with the pedal. He advises the composer not to use all of the possible combinations above within one fugue lest it become too long.

Reicha's treatise gives similar guidelines for the overall construction of a fugue. Just as in Cherubini's textbook, Reicha maintains that the principal materials of a fugue derive from its subject and its answer. This principal material then, in Reicha's treatise, generates the remainder of the fugue through *stretto*, *imitation*, and *partial development of the subject*.[261] Reicha, like Cherubini, makes a distinction between a proper fugue and simply "fugal material." For a piece to be properly called a fugue, its contents must be organized in a particular order. A four-voice fugue, for example, travels approximately in this way: subject-answer-subject-answer + *episode 1* + answer-subject + *episode 2* + stretto + *episode 3* + closer stretto + pedal + canon + conclusion.[262]

In addition to these general requirements, Reicha distinguishes between "strict" and "modern" fugues. He refers to the former as fugues in the "old" style and the latter as fugues in the "modern" or "free"style. "Strict" fugues are only vocal, or are accompanied only by the organ. They are composed according to the strict principals that Reicha already laid out at the beginning of his treatise.[263] The modern fugue, on the other hand, may be vocal or

261 Reicha, THCM Vol. IV, 24.

262 Ibid., 23.

263 Reicha THCM Vol. 4, 1 – He refers to the "commencement de cette ouvrage," which I take to mean the

instrumental, but if it is vocal, it must always be accompanied by the orchestra in order to support the voices and assure their intonation. At the beginning of the fourth volume in his treatise, Reicha gives a table with 12 comparisons between the strict and modern fugue styles.[264] These comparisons point mainly to differences in the rules for treatment of dissonance, number of chromatic notes allowed in the subject, the treatment of the interval of the fourth with the bass, and so on.[265] But these two categories are not mutually exclusive for Reicha, but rather represent two points on a spectrum of compositional possibilities. A fugue, for Reicha, can also be "mixed," meaning that it combines rules from the two styles.[266]

It is apparent from both Cherubini's and Reicha's writings that a composer has some leeway in how to vary this pattern, but that in order to properly call it a fugue, it must consist of what we today call an exposition with strictly governed entrances of the subject, answer, and countersubject; some number of episodes and modulations, the contents of which are left to the imagination of the composer but that should derive from the material in the subject or countersubject; and a stretto proportionally close to the end of the fugue.

5.3 Berlioz's Fugue: the *Ronde du Sabbat*

How then does Berlioz's fugue compare to Cherubini's and Reicha's guidelines? In the following section, I find that the Witches' round section in Berlioz's fifth movement contains a correct exposition in four voices, with one subject and two countersubjects.[267] The fugue as

beginning of Vol. I, where he lays out the modes and their corresponding rules for composition.

264 See the Appendix.

265 Ibid. Table Vol. 4 pp. 1 – 3.

266 Ibid., 3.

267 Cone identifies the accompanimental passage as one countersubject and splits it into two halves for analysis. This interpretation is also perfectly valid, as the two countersubjects are brief and the second follows immediately after the first. For ease of labeling and to better show their interchange, I will

a whole, however, would better fall under Reicha's category of "fugal material." Rushton had this to say about the Witches' round theme:

> Berlioz would probably have accepted Reicha's categorization of fugues as strict (of which there are few examples in Berlioz), or informal. The latter are often in fugato, an exposition plus a few further entries; they are likely to occur in the middle of a piece and thus be developmental, rather than at the opening where fugal texture might imply a wholly contrapuntal continuation. Where fugato does open a movement, it is usually not the only thematic element, but alternates or is combined with other ideas. The 'Ronde du sabbat' (*Fantastique* V) falls between the categories; it is in the middle of the piece but seems to begin the movement proper.[268]

As Rushton notes, Berlioz's fugue contains an exposition and a few further entries. It does not contain a stretto as defined by either Reicha or Cherubini, and thus cannot be classified as a fugue in Reicha's "strict" style. It does appear to fall between the two standards, having a strict exposition, a few episodes, and at least one strict re-entry, but it also contains a much looser treatment of the latter part of the fugue. My proposed analysis of the piece does disagree slightly with Rushton's analysis, however, because it does not indicate a single clear point of arrival at the *Ronde* theme at m. 241. Instead, the interaction of the layers indicate several structurally significant changes in momentum throughout the movement. Berlioz's introduction builds to the relatively static E♭ clarinet entrance, followed by decreasing momentum to the arrival of the *Dies irae* presentation (m. 102). This presentation could arguably be considered the beginning of the movement proper, especially given the motivic significance of the later section: the *Dies irae* together with the round. (m. 415).

Nevertheless, Berlioz wrote a fugue-like passage, which my analysis will show begins in the strict style, but becomes progressively less strict towards its end. Reicha might

continue to identify them as Countersubject I and Countersubject II.

268 Rushton, Julian. *The Musical Language of Berlioz*., 117.

call it a fugue in the “mixed” style. Because Cherubini's textbook represents the stricter of the two treatises, and because the conservatoire adopted it as its official textbook on counterpoint and fugue by 1832, I compare one of Cherubini's example of a strict fugue to Berlioz's fugue in order to show the extent to which Berlioz's fugue adopted elements of the “old” style.

Cherubini's Example 212, shown in Figure 29, gives an extensive musical example to illustrate one of what he would call a good example of a strict fugue in two parts.[269] It begins with a subject in the lower part and an answer in the upper part in the dominant. This is followed by the subject in the first part accompanied by the countersubject in the second part. Since the example contains correct invertible counterpoint, the parts then reverse the countersubject and subject. Following this exposition, Cherubini's example contains three episodes punctuated by various re-entries of the subject, answer, and countersubject in different keys, a “repose” on the dominant, a stretto, and finally a coda and conclusion. This repose is not necessary to include the pause on the dominant before the stretto, but for Cherubini, it adds greater brilliance to its opening by isolating it from its surroundings. It need not pause in the dominant, moreover, and can instead rest on a pre-established alternate key. The vi, V/vi, iii, or v are also permissible harmonies on which to pause before the stretto.[270]

269 Cherubini, 336 – 342.

270 Cherubini, 343.

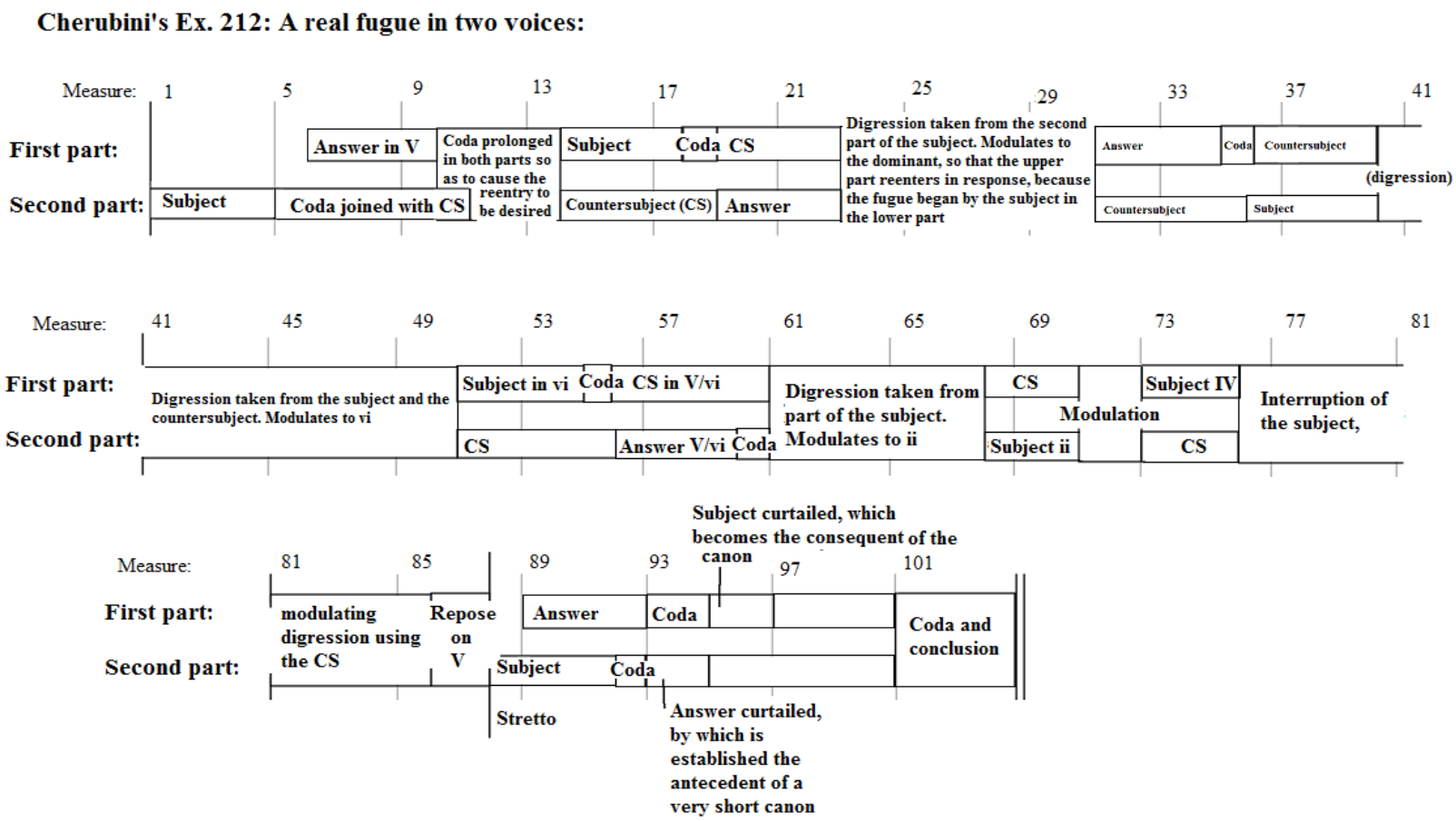


Figure 29: Cherubini's Ex. 212: a strict fugue in two parts.

At 173 measures, the *Ronde du sabbat*, shown in Figure 30, would qualify for Cherubini as a fugue "of considerable development." Berlioz composes this fugue's exposition with a three-part invertible counterpoint at the octave between the Witches' Round theme and the two short countersubjects. Following this exposition, it contains an episode, a short entry, a second episode, and a lengthy transition with several imitations. Then these imitations draw closer together in order to build toward the *Dies irae* and the Witches' round together.

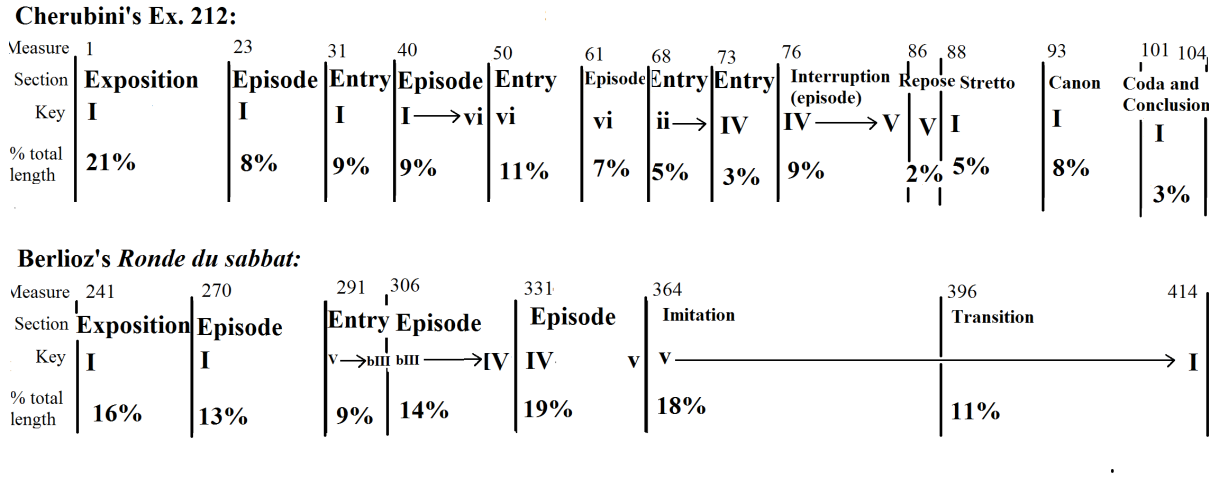


Figure 30: Cherubini's Example 212 and Berlioz's Ronde du sabbat.

At this large-scale view, Berlioz's 173 measure long round contains almost all of the criteria that Cherubini require for the creation of a proper fugue: the exposition contains a subject, two countersubjects, and an answer. The development contains two episodes, punctuated by an entry and a canon, this canon builds to a statement of the Witches' round and *Dies irae* themes together, and a closing section.

The episode that follows contains a highly regular phrase rhythm compared to much of Berlioz's other work. It derives from the supporting syncopation figure in the brass at mm.

247 – 248, and it begins with a 2-bar prefix at mm. 269 – 270. A 4 + 4 + 4 + 4 pattern follows. Berlioz writes straightforward circle-of-fifths related harmonies at each of these phrase junctions: B♭– E♭ – A♭ – E♭ – A♭ – gm. All four layers (harmony, melody, hypermeter, and orchestration) remain in phase up to the PAC in G minor at m. 290. This creates a relatively strong structural cadence and reinforces the arrival of the first episode at m. 291. There is only one overlap between layers: a 4-bar phrase at mm. 291 – 294 overlaps with the fugue subject's antecedent at the same measure numbers.

This first re-entry states the subject twice, but in reverse order: answer + statement. It first enters in G in the lower strings at m. 291, then in C in the violins at m. 298. The phrase structure of the subject and of the answer again remain regular at 4 + 4 measures each. Just as in the exposition, the answer's consequent elides by one measure with the subject's antecedent. The re-entries harmonic cadences also form a regular pattern: HC IAC; HC PAC. Berlioz further separates the arrival at m. 305 by his choice of orchestration. Strings and winds all cadence with a PAC in E♭, while the brass enters with a new transitional theme, also in E♭.

The second episode is significantly less regular than the first. Brass and bassoon alternate with strings and winds in a 2 + 3 + 2 + 4 + 2 + 4 + (4 + 4) + 4 pattern. Each horn entrance save the last (the 2-bar phrases in the pattern above) is related to the previous one by thirds: E♭ – g – A♭ – D♭ (IAC in D♭). Together with the interjecting descending chromatic eighth-note figures in the strings and winds, the passage has a sequence-like effect. Berlioz inserts a 4 + 4 reference to the *Dies irae* A section in the cellos, and passed between horns as an asymmetrical 3 + 5 phrasing. The violas then play the chromaticized subject in mm. 355 – 358 before the horns and basses reference the *Dies irae* B section.

Cherubini defines the *stretto* as "an artifice which consists in bringing, as close as possible together, the entry of the answer to that of the subject."[271] Since, for Cherubini, the stretto is one of the indispensable conditions for a fugue, this passage is where Berlioz begins to break free of the formal boundaries of the strict academic fugue. Berlioz's imitations takes two measures between successive subject entrances and alternates between cello/bass in pizzicato and bassoon. Each entrance in mm. 331 – 338 begins a half-step higher than the last: F – F♯ – g – A♭.

A new set of imitations breaks the half-step pattern: c – F♯ – g – c – A♭. This new pattern draws the subject and answer closer together by giving entrances every measure. Although not technically a stretto, the shortening of time between entrances is stretto-like: Cherubini would have approved of this shortening of distance between entrances, since he writes that "the art of employing the stretto to advantage consists in the manner of varying its aspects, and in seeking the means, each time that we introduce the *stretto,* to draw closer and closer together the commencement of the subject with the entry of the *answer.*"[272] Berlioz differs, however, from Cherubini's idea of a correct stretto in his choice of levels of transposition. In every one of Cherubini's examples, he alternates entrances of subject and answer. Therefore, the levels of transposition for Cherubini's strettos are always at a fifth or a fourth to account for the tonic-dominant relationship between the subject and the answer. Berlioz's choice of transposition is instead at the half-step. Reicha too gives examples of stretto only with alternations between the subject and its answer at the fifth above or the fourth below. When he gives examples of close imitation at any other interval, he simply

271 Cherubini, Vol. I, 303.

272 Reicha THCM, 16 – 20.

calls them *imitations*.[273]

At this point, the movement commences a transition between the fugue-like *Ronde du sabbat* and the closing section of the movement. I will switch to a layered analysis to describe the remainder of the transition. All layers reset at m. 363 with the G.P. (except timpani tremolo). Berlioz then commences a lengthy orchestral crescendo to the next section. This crescendo begins with cellos alone on the chromaticized theme, followed by the violas, then the second violins, and finally the first violins by m. 379. Woodwinds enter with the supporting syncopation in m. 385. Strings and woodwinds then enter with interlocking 2-bar motives derived from the subject's antecedent. By m. 393, these motives have converged and strings, winds, and upper brass play an 11-bar syncopated phrase that persists through m. 403. Finally, the layers recommence in-phase between mm. 407 – 414, leading to a structural cadence just before the Witches' round theme with the *Dies irae* together. This is evidenced by the strings alone playing the diatonic subject in C with a 4 + 4 phrase rhythm, together with a HC in the usual place and a consequent that has modulated to G. The passage modulates back to the original C with an IAC at m. 414.

Berlioz's fugue differs in two fairly significant ways from the standard rules at the Conservatoire as established by Cherubini's textbook. First, the subject might be slightly too long at eight measures. While Cherubini does not expressly forbid subjects as long as this, he gives a four-measure subject as an example "of appropriate length," and no examples above six measures, preferring instead to label any additional measures as a "coda." Reicha does explicitly allow fugue subjects up to eight measures in "allegro" movements, but also gives no examples above seven measures. And second, where Berlioz should have written a stretto,

273 Ibid., 21.

instead he writes imitations at intervals of a half-step, rather than at the fourth or fifth. Nevertheless, the fugue in Berlioz's fifth movement otherwise appears to be correct along the majority of points of evaluation.

5.4 Conclusion:

Rosen, quoting and agreeing with Rushton, writes that "it must have appealed to the composer's grim humor to portray a witches' Sabbath by an absolutely correct academic fugue."[274] I have shown that Berlioz's fugue, while not qualifying as a complete strict academic fugue because it has no stretto, does qualify under Cherubini's guidelines as a piece in the fugal style. It is also perfectly suited to Reicha's definition of "fugal material," of which he notes Haydn has used in many of his quartets and symphonies.[275] This suggests that Berlioz's "fugal material" in the *Symphonie fantastique* can be added to Rushton's evidence of Berlioz's progression from failure to mastery of fugal techniques. By the time he had the *Symphonie fantastique* performed in 1830, Berlioz had already taken Reicha's counterpoint and fugue class. My analysis of the symphony corroborates Rushton's findings: that Berlioz demonstrated a clear ability to learn from his initial failure in 1826. With his skills in counterpoint and fugue much improved, Berlioz was free to insert a degree of satire and irony without the possible distraction of any technical shortcomings in the fugue itself. Rushton remarks on another example, Brander's song from *La damnation de Faust* (1829), that:

> ... of course, the drunken mutterings of this burlesque 'Amen', its booming ophicleides, its howling tenors, are ridiculous, but its scholastic foundation is perfectly solid. It has been said that any student could have written it; would that

274 Rosen, 545.

275 Reicha, THCM, 25.

were true today.[276]

The ridiculousness of the orchestration, for Rushton, is justified by the expressions of the text.[277] With regards to the fugue in the *Symphonie fantastique*, Rushton finds that it falls between Reicha's two categories for the fugue (formal and informal), in that it occurs in the middle of the piece, but it seems to begin the movement proper.[278] Schumann calls the passage a "double fugue," and although it is "certainly not by Bach[, it] is nevertheless clearly constructed according to the rules."[279]

After careful review of these rules, as provided by Cherubini and by Reicha, it becomes easy to refute the disparaging remarks over Berlioz's level of musical education. Berlioz's detractors, at least with regard to his skill as a composer and the success of his musical education, would find it difficult to present a clear argument against Berlioz's demonstration of fugal techniques in the Witches' round.[280] And even Berlioz's critics could not help but acknowledge his skill as an innovator in the areas of conducting and orchestration.[281] Berlioz's creative ideas on rhythm, too, might fall within Fétis' predictions for the future of innovation in music, had Fétis not already demonstrated a clear bias against Berlioz, as evidenced by his review of the *Symphonie fantastique*, and against Berlioz's teacher Reicha, as evidenced by his rejection of Reicha's own attempts at rhythmic innovation.

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276 Rushton, *The Musical Language of Berlioz,* 119.

277 Ibid., 119 – 120.

278 See Rushton's Table 9.5, cited in Chapter 4.

279 Cone, 240 – 241.

280 See for example the quotes from Mendelssohn, Fétis, Rothstein, and others in Chapter 1

281 See Fétis' quotes in Chapter 1.

My research has sought to balance both a response to Berlioz's critics with regards to his level of musical competence and education, and an account of his innovative use of new compositional devices. In Chapter 1, my analysis of each layer was drawn from Berlioz's own definition of “intermittent sounds”and generalized to these other musical features: phrase structure taken from Reicha's treatise on melody and supplemented by Ratner's ideas on phrase rhythm, cadences as endpoints of the harmonic layer (otherwise, Berlioz's use of creative harmonies makes traditional harmonic analysis more difficult), and hypermeter as determined by Lerdahl and Jackendoff's theory of meter as a strict hierarchy of strong and weak beats. The interaction between these layers helps determine two things: the momentum of the piece can be driven by whether the layers are in or out of phase, and the large-scale formal endpoints of each movement can be assigned based on how many of the layers move in phase at once. The latter is important as a means of assigning structural weights to various points in the music.

Chapters 2 and 3 have shown that Hepokoski's and Darcy's Type 3 sonata with recapitulation in the wrong key is a better fit as a model for the first movement than Schumann's and Cone's “arched sonata” interpretation, but it also showed that if the movement can be a Type 3 sonata with the rhetorical function of a recapitulation, if not the tonal function of one, then it can also be considered a *Grande coupe binaire* with the rhetorical function of the return of Theme B, if not the tonal function. Chapter 3 additionally established Reicha's Symphony no. 2 in E♭ as a formal precedent for some of the features in Berlioz's first movement that led to the differing interpretations of the movement in the first place.

Chapter 4 established the means to determine momentum in Berlioz's last movement.

Julian Rushton performed a similar analysis in *The Musical Language of Berlioz*, but he made no attempt to use the layers as a means to assign structural weights to the endpoints of each of his sections, nor to establish changes in musical momentum within or between sections. His analysis indicates nevertheless that music scholars have had an interest in establishing structural unity in the movement by means of these layers.

Finally, Chapter 5 presented an analysis of Berlioz's fugue in the fifth movement according to the standards at the Conservatoire, and reinforced the claims of Berlioz's supporters with regards to his musical education. Berlioz's fugue is almost entirely correct with regards to Cherubini's and Reicha's guidelines for the construction of the fugue. Where Berlioz's music differs, it still falls within Reicha's definition of "the fugal style," and belongs in the same category as other examples given by Reicha.

My proposed analytical technique was designed to be flexible enough that it can describe not only Berlioz's more traditionally correct elements such as the fugue, but also to be able to account for the formal features of a piece that is increasingly being taken seriously from a compositional standpoint even as it breaks from its contemporary norms of formal construction. Brittan's thesis, for example, showed that the *Symphonie fantastique* belongs to a *genre fantastique* and an aesthetic of the grotesque that would guide the composer to deliberately break from traditional forms. Brittan traces musical elements of the grotesque from a large number of other composers, some from Berlioz's time, and some much more recent, including Lavainne, Meyerbeer, Boulanger, Gluck, and Liszt. She compares orchestration, melodic embellishment, bizarre harmonic progressions, and other musical elements from each of these composers and suggests that much of Berlioz's grotesque

caricatures may have been taken from these various elements.[282] More than this, Brittan details the once-popular pseudo-scientific diagnosis of monomania and its relation to Berlioz and the *Symphonie fantastique*. She ties together musical hero, artist, and medical diagnosis.[283]

Rodgers takes the idea of Berlioz's music and disability farther than Brittan when he argues that the deformations of the sonata form in the *Symphonie fantastique* can parallel the disabled body. Repetition and thematic, orchestrational, and dynamical contrast can, for Rodgers, reflect the mood swings and obsessions of a lovesick artist.[284] In a separate research project, he describes the metaphorical connection between the *Symphonie* and its program. He argues that Berlioz used circular form, as in the repeated recurrence of the *idée fixe*, to link the music to the idea of madness and obsession. In Rodgers' view, Berlioz combined strophic song forms with instrumental forms to repeat but slightly vary the musical material. He argues that this is not because Berlioz disregarded the conventions of form, but rather that he used a mixture of forms to achieve this musical metaphor for madness and obsession.[285]

Both Rodgers' and Brittan's arguments suggest further applications for my proposed analysis. It can be used, for example, to establish continuities in any musical depictions of the grotesque, when those depictions cause the music to resist traditional analytical techniques. In Rodgers' case, if Berlioz's music shows a mixture of styles or forms, my proposed analysis can either show that there is continuity despite the juxtaposition or it can indicate that Berlioz

282 See for instance her Example 10b, “grotesque ornamentation” in Lavainne's “Ronde du sabbat” in Brittan, 315.

283 Brittan, 108 – 167.

284 See Rodgers, Stephen. "Mental illness and musical metaphor in the first movement of Hector Berlioz's Symphonie fantastique." in *Sounding off: Theorizing disability in music.* 235 – 256.

285 See Rodgers, Stephen. *Form, program, and metaphor in the music of Hector Berlioz.* (Cambridge: Cambridge University Press, 2009).

did in fact write something disjointed and incoherent. In the latter case, we would find that the layers either stay completely in phase, with no change in momentum between stylistic passages, or that the layers move in and out of phase in a randomized way. If, as my analysis showed in Chapter 4, the layers move in and out of phase in a structured way, this can help establish momentum and create linearity. Structured phase-shifts would be particularly important at the junctions between stylistically distinct passages to establish continuity throughout the movement. This technique is therefore not just suited for Berlioz's *Symphonie fantastique*, but can be applied to any piece in which the layers can be well-defined.

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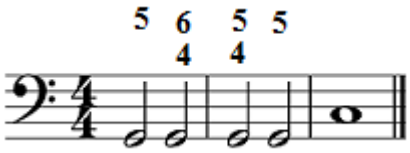
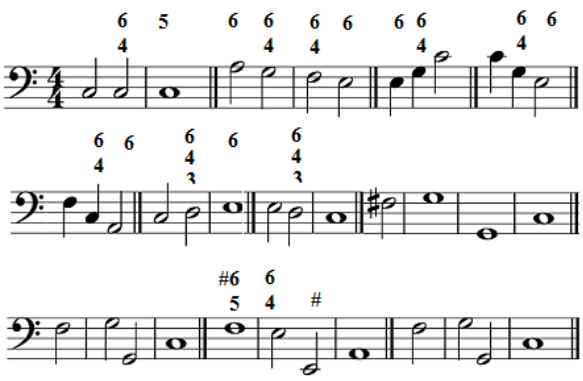
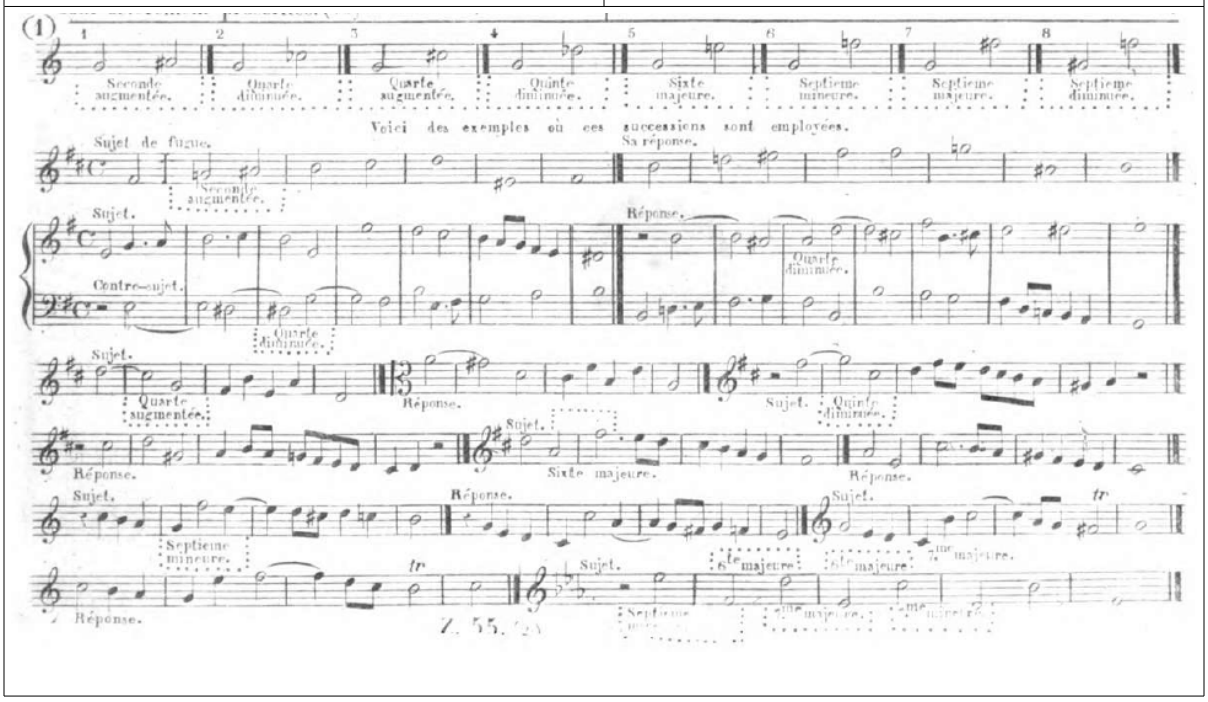
Appendix: Reicha's Table on Old-style vs. New-style Fugues

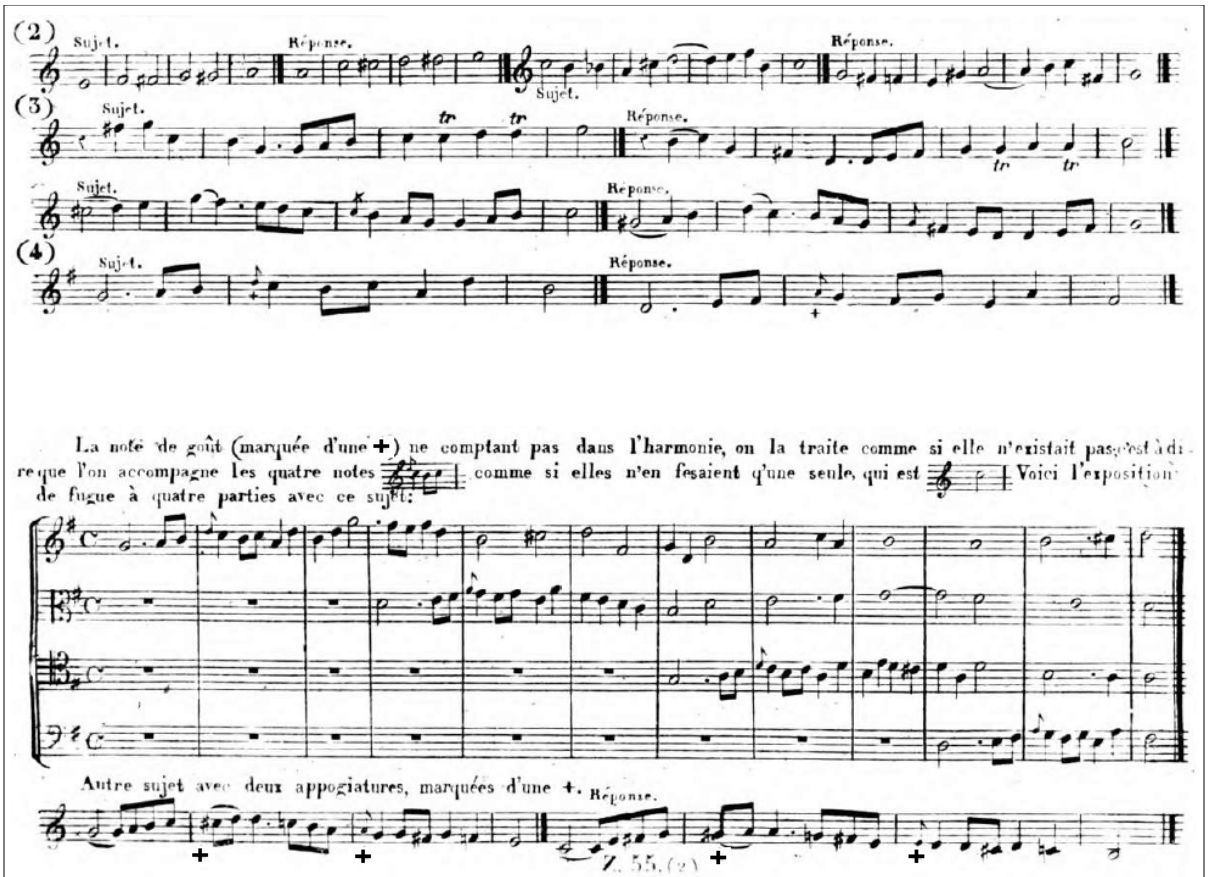
Traité de haute composition musicale, Vol. IV, pp. 1 – 4.

OLD-STYLE FUGUE, *Strictly according to rigorous style and solely for voice.*	*NEW-STYLE FUGUE,* *Or in free style, either vocal (accompanied by the orchestra) or instrumental.*
1°. Except for the augmented fourth, the major sixth and the diminished seventh (as used under conditions described in the article on rigorous style page 8 of the first volume) all the following successions of strictly forbidden (see Nota 1.)	*1°. It is possible to use the following successions in a fugue (see Nota 1) as long as they are not abused, i.e. they are not to be used when not necessary.*
2°. Chromatic subjects are forbidden.	*2°. A chromatic subject of four to five half steps, either ascending or descending, is allowed (see nota 2)*
3°. If possible, a fugue subject must start with the tonic or the dominant.	*3°. A fugue subject can start and end with any note of the tonic, as long as it sings frankly; moreover it could even start with a note that is not in the tonic, if the composer thinks it's relevant, as long as they have enough talent to make the fugue interesting, with a clean harmony.*
4°. Appoggiaturas have never been used in the rigorous style, for it is not allowed in this style to start a chord with a note that is not in it, with the exception of the suspension.	*4°. Appoggiaturas, as long as they are short (for instance an eighth note in an Allegro) can be used in modern fugue (see for instance nota 4).*
These four points being rejected in the old-style fugue is the reason for the poverty and the similarity of all fugue subjects in the rigorous genre.	*The four previous points, as they are allowed in modern fugue, make it easier for the composer to choose salient, new and interesting fugue subjects.*
5°. The perfect fourth between the bass and the high part (as the real note of the chord) is generally banned from the rigorous style. It is only tolerated as the pedal of a fugue, or in the final cadence formula, if used in the following fashion:	*5°. The perfect fourth between the bass and the high part (as the real note of the chord) can be used as the real note of the chord, as long as it has been prepared. For example:*

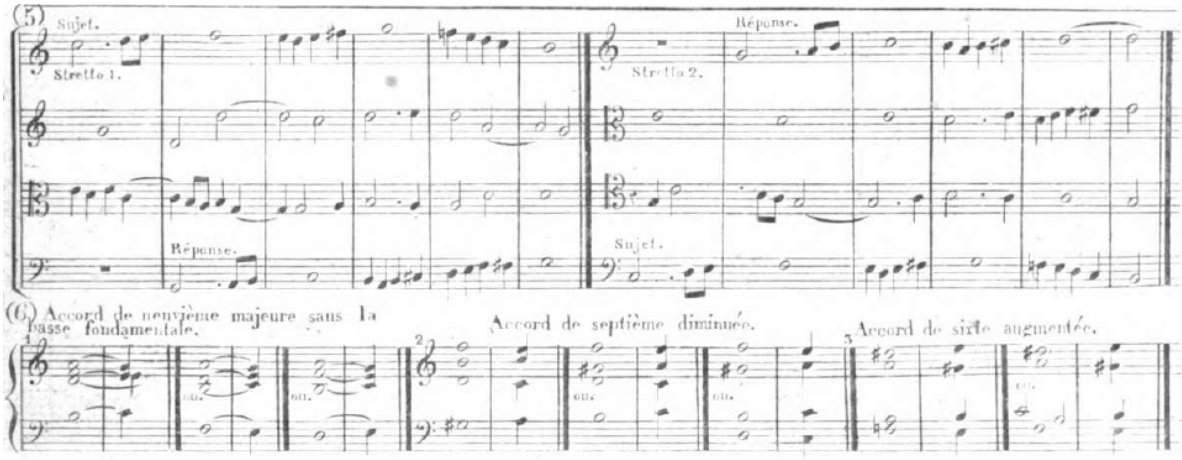
	
6°. Apart from passing notes, all dissonances must be rigorously prepared: as a consequence, G-F and F-G intervals in the dominant seventh can't be hit without this condition.	*6°. The minor seventh (G-F) and its inversion the major second (F-G) can be hit from time to time, without any preparation in the dominant seventh chord (G-B-D-F). This can be done:* *1- For an exact imitation, or a Stretto* *2- By staying in the same tone, although it shouldn't be abused, and it should only be used in more than two part harmonies (see note 5).*
7°. In general these three chords are not used (see note 6).	*7°. The three following chords can sometimes be hit without any preparation:* *1- The major ninth chord, especially when used without its fundamental bass.* *2- The diminished seventh chord.* *3- The augmented sixth chord.* *(See note 6).*
8°. One shouldn't leave the relative keys, and they especially shouldn't be used as subjects of the fugue in a tone that is not relative. A strong transition is uncalled for, because it would produce too much contrast with what comes before.	*8°. One can modulate in a bolder way, and even more or less leave the relative keys. Toward the end of the fugue (in the coup de fouet), a happy transition, a little bold and well drafted, will always be fine and produce an effect.*
9°. Resolution by exception of dissonant chords and broken cadences can only seldom happen.	*9°. Resolution by exception of dissonant chords and broken cadences are common in modern fugue. They can have a great effect, as long as they are well done and seamless.*
10°. The note values that were ordinarily employed in the old-style fugue were whole	*10°. All kinds of note values are allowed in modern fugues as long as the lines and*

notes, half notes, quarter notes, rarely eighth notes, unless the fugue is an Andante, Lento, Adagio, *or* Largo *movement; in these cases we can even try sixteenth-notes. It is excessively poor in lines and in [singing] and varied figures.*	*figures of the song have a great variety, provided that the required unity is observed.*
11°. They sang in unison or at the octave before the discovery of harmony; but after chords were known, composers who preceded the 18th century forbade this effect. This is the real reason that [they were excluded] in the old-style fugue.	*11°. A line (and especially the fugue subject) executed in all parts in unison can produce a great effect particularly towards the end of the fugue. It is therefore ridiculous to exclude it.*
12°. The great pedal is only used on the primitive dominant, toward the end of the fugue: all other pedals are forbidden. Before the 18th century, no pedals were used in any way in fugues.	*12°. Apart from the great pedal on the primitive one's dominant (toward the end of the fugue), short pedals can be used on the tonic (more rarely on the dominant) of relative tones, during the piece; and regarding the primitive tonic, completely at the end.*





Since the non-harmonic tone (marked with a +) does not count in harmony, it is treated as if it didn't exist; in other words, it is accompanied by the four notes * as if they were only one, which is *. Here is the fugue exposition in four parts with this subject:



FUGUE ANCIENNE, Tout-à-fait dans le style rigoureux et seulement pour des voix.	FUGUE MODERNE, Ou dans le style libre, soit vocale (accompagnée par l'orchestre) soit instrumentale.
1°. Excepté la quarte augmentée, la sixte majeure et la septième diminuée (en les employant sous les conditions prescrites dans l'article sur le style rigoureux page 8 du premier volume) toutes les autres successions ci-dessous sont sévèrement proscrites (Voyez Nota 1.)	1°. Il est permis d'employer dans une fugue les successions suivantes (voyez Nota 1) pourvu que l'on n'en abuse pas, c'est-à-dire qu'on ne les prodigue pas sans nécessité.
2°. Les sujets chromatiques sont proscrits	2°. Un sujet chromatique de quatre à cinq demi-tons, soit en montant soit en descendant, est permis (voyez nota 2.)
3°. Un sujet de fugue doit commencer autant que possible soit par la **tonique** ou par la **dominante**.	3°. Un sujet de fugue peut commencer et finir [par n'importe] quelle note du ton, pourvu qu'il chante franchement ; de plus, il pourrait même l'attaquer par une note prise hors du ton, si le compositeur le jugeait à propos et s'il possédait le talent de rendre sa fugue intéressante, par une harmonie franche. (voyez nota 3)
4°. Les notes de goût n'ont jamais été pratiquées dans le style rigoureux, par la raison qu'il n'est pas permis dans ce style d'attaquer un accord par une note qui lui soit étrangère, sauf la suspension.	4°. Les notes de goût (appogiature), pourvu qu'elles soient de courte valeur (par exemple une croche dans l'Allegro), peuvent s'employer dans la fugue moderne, par exemple (voyez nota 4.)
Ces quatre points, étant rejetés dans la fugue ancienne, sont la cause de la pauvreté et de la grande ressemblance de tous les sujets de fugue du genre rigoureux.	Les quatre points que nous venons d'indiquer dans ce tableau, étant admis dans la fugue moderne, donnent aux compositeurs la facilité de choisir des sujets de fugue saillans, neufs et intéressans.
5°. La quarte juste **entre la basse** et une partie **haute** (comme note réelle de l'accord) est généralement bannie du style rigoureux. On ne la tolère tout au plus que sur la pédale d'une fugue, ou bien dans la formule de cadence finale, employée de la manière suivante :	5°. La quarte juste (entre la basse et une partie haute) peut se pratiquer comme **note réelle** de l'accord, dans tous les cas où elle est préparée, par Ex :

6°. Sauf les notes de passage, toutes les dissonances doivent être rigoureusement préparées : par conséquent les intervalles **sol-fa** et **fa-sol** dans la septième dominante ne peuvent pas se frapper sans cette condition.	6°. Il est permis de frapper de tems en tems sans préparation, la septième mineure (sol-fa) et son renversement, la seconde majeure (fa-sol) dans l'accord de septième dominante (sol-si-ré-fa). Cela peut se faire 1°. en faveur d'une imitation exacte, ou d'un Stretto ; 2°. En restant dans le **même** ton, mais il ne faut pas en abuser, et ne l'employer que dans l'harmonie à plus de deux parties. (voyez **nota** 5.)
7°. En général on n'employe pas ces trois accords : (voyez **nota** 6.)	7°. On peut parfois aussi frapper sans préparation les trois accords suivants : 1°. L'accord de neuvième majeure employée surtout sans sa base fondamentale ; 2°. L'accord de septième diminuée ; 3°. L'accord de sixte augmentée. Voici des exemples (voyez **nota 6**).
8°. Il ne faut pas sortir des tons relatifs et surtout ne point employer les sujets de la fugue dans un ton qui ne soit pas relatif. Une transition forte y est déplacée, parce qu'elle y produit trop de contraste avec ce qui la précède.	8°. On peut moduler plus hardiment, et même sortir plus ou moins des tons relatifs. Vers la fin de la fugue (dans le **coup de fouet** du morceau) une transition heureuse, un peu **hardie** et bien amenée, y sera à sa place et y produira toujours de l'effet.
9°. Les résolutions par exception des accords dissonans, ainsi que les cadences rompues ne peuvent avoir lieu que très rarement.	9°. Les résolutions par exception des accords dissonans, et les cadences rompues sont très fréquentes dans la fugue moderne. Elles y produisent beaucoup d'effet, pourvu qu'elles soient bien faites et amenées à propos.
10°. Les valeurs de note que l'on employe ordinairement dans la fugue ancienne sont des rondes, des blanches, des noires, rarement des croches, à moins que la fugue ne soit dans un mouvement d'Andante, de Lento, d'Adagio ou de Largo ; dans ces cas on peut même tenter des doubles-croches. Elle est excessivement pauvre en traits et en dessins chantans et variés	10°. On admet dans la fugue moderne des valeurs de note de toute espèce, ainsi que des traits et des dessins de chant d'une grande variété, pourvu que l'unité requise soit observée.

11°. On chantait tout à l'unisson, ou à l'octave avant la découverte de l'harmonie ; mais dès que les accords furent connus, les compositeurs qui ont précédé le 18me siècle ont proscrit cet effet. Voilà la véritable raison qui l'exclut dans l'ancienne fugue.	11°. Un trait (et surtout le sujet de fugue) exécuté par toutes les parties en **unisson**, peut produire un grand effet particulièrement vers la fin de la fugue. Il serait donc ridicule de l'exclure.
12°. On n'employe que la grande pédale sur la dominante primitive, vers la fin de la fugue : toutes les autres pédales sont proscrites. Avant le 18me siècle on n'a pas même fait encore usage d'une pédale quelconque dans les fugues.	12°. Outre la grande pédale sur la dominante du ton primitif (vers la fin de la fugue) on peut employer de courtes pédales sur la tonique (plus rarement sur la dominante) des tons relatifs, dans le courant du morceau ; et si on le juge sur la tonique primitive, tout-à-fait à la fin.