

**ISTANBUL TECHNICAL UNIVERSITY ★ GRADUATE SCHOOL OF ARTS AND
SOCIAL SCIENCES**

**THE 19TH-CENTURY INSTRUMENTAL BALLADE AS A MUSICAL FORM
AND GENRE THROUGH AN ANALYSIS OF CHOPIN'S FOUR BALLADES**

M.A. THESIS

Bariřcan ŐENERGİN

Department of Music

Music M.A. Programme

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**Bariřcan ŐENERGİN
(409141102)**

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Music Programme

Thesis Advisor: Assoc. Prof. Jerfi AJI

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İSTANBUL TEKNİK ÜNİVERSİTESİ ★ SOSYAL BİLİMLER ENSTİTÜSÜ

**19. YÜZYIL ENSTRUMENTAL BALADLARININ CHOPIN'IN DÖRT
BALADININ ANALİZİ İŞIĞINDA BİR MÜZİKAL FORM VE TÜR OLARAK
İNCELENMESİ**

YÜKSEK LİSANS TEZİ

**Barışcan ŞENERGİN
(409141102)**

Müzik Anabilim Dalı

Müzik Yüksek Lisans Programı

Tez Danışmanı: Doç. Dr. Jerfi AJİ

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Barışcan Şenergin, an M.A. student of ITU Graduate School of Arts and Social Sciences student ID 409141102, successfully defended the thesis/dissertation entitled “THE 19TH-CENTURY INSTRUMENTAL BALLADE AS A MUSICAL FORM AND GENRE THROUGH AN ANALYSIS OF CHOPIN’S FOUR BALLADES”, which he/she prepared after fulfilling the requirements specified in the associated legislations, before the jury whose signatures are below.

Thesis Advisor : **Assoc. Prof. Jerfi AJI**
Istanbul Technical University

Jury Members : **Assist. Prof. Eray ALTINBÜKEN**
Istanbul Technical University

Assoc. Prof. Tolga Zafer ÖZDEMİR
Istanbul Bilgi University

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To my family and friends,



FOREWORD

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June 2019

Barişcan ŞENERGİN
(Musician & Mechanical
Engineer)



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ABBREVIATIONS

Ant	: Anticipation
App	: Appendix
Aug	: Augmented
CPP	: Common Practice Period
Dim	: Diminished
HC	: Half Cadence
IAC	: Imperfect Authentic Cadence
PAC	: Perfect Authentic Cadence



SYMBOLS

M : Major

m : Minor

+ : Augmented

◦ : Diminished (used as a superscript)

: Sharp

b : Flat

♮ : Natural





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THE 19TH-CENTURY INSTRUMENTAL BALLADE AS A MUSICAL FORM AND GENRE THROUGH AN ANALYSIS OF CHOPIN'S FOUR BALLADES

SUMMARY

The history of the Ballade goes a very long way back. Ballade is fundamentally one of the *formes fixes* (fixed forms) in 13th to 15th century medieval music. It is substantially a literary form, in which rhymes and verse meters are set. The phonetic origin of the word derives from the root *ballare*, which means to dance in Latin. In its most basic form, it is composed of three eight-line stanzas in 'ababbcbC' rhyme scheme and a final four-line stanza, which is dedicated to the person to whom the work is attributed (mostly a prince in this case). The capital letter C represents a refrain at the end of each stanza. When a literary ballade is set to music, the work can be diversified by composing different melodies under the lines. In the 18th century, the ballad form changed and expanded with the compositions of larger scale works. By the beginning of the 19th century, the one unifying element that existed among all of the various types of this form was that all of them contained a vocal line. This lasted until 1836, when Frederic Chopin premiered his Ballade No.1, Op. 23 in G Minor.

This work was a purely instrumental piano composition and was therefore seemed to be totally at odds with a tradition, which was based on at least one human voice until then. Moreover, it was not composed according to an existing instrumental form either. Hence a new genre was born. Since Chopin did not give any clue about his possible source of inspiration for this piece, it still stays as an unanswered question even until our present day. Although there are certain rumors that he took a literary ballade from Adam Mickiewicz as a departure point, there is no real evidence that he did so. In the seven years following the publication of the first ballade, Chopin published three more ballades and ended his career for the pieces to be composed in this genre. Contrary to what is expected, these four ballads do not have a trivial formal similarity under themselves, which can be adapted to a certain large-scale pattern.

At the beginning of my studies, after I had a general knowledge about the history of the ballade tradition, I decided to do a detailed analysis of all ballades before I started to write about the historical dimension. Although there are studies that can be examined from the literature, I could not find the level of analysis that I wanted. Besides, I thought that it was a more accurate method to progress by going through my own analyses in order to reach the parameters that created the ballade sound I was looking for. The main parameters I examined in the analyses were harmony, form, phrase structures and rhythmic groupings.

From the results of the analyses I have made, I will first talk about the thematic and form related inferences. In general, there are two main themes in Chopin Ballades, which are repeated more than once in the piece. However, there is always some extra thematic material else than these two themes. They are not as important as the two main themes, but they provide the necessary contrast and contribute to the general atmosphere of the piece. These new thematic elements always come in the middle section of the work. Even if the function of the middle section changes, a new melodic

element is definitely coming in that part. In some ballads, this becomes an individual theme itself, whereas in other ballads it is far from being a theme, but a developmental middle, which contains new thematic material. Since the melodic elements in the parts other than the two main theme area before reaching the middle part of the piece are mostly evolved motives from one of the two main themes, the importance of middle sections of Chopin Ballades can be better understood.

The first thing that jumps out of Chopin Ballades in the first look at the rhythmic structures is that all of them are composed in 6-beat meters. The second, third and fourth ballades are in 6/8. The first ballade is the only exception, which starts with a 4/4 introduction and continues in 6/4 for the whole body of the work and ends with a 2/2 coda. 6-beat meter brings of course a certain atmosphere to ballades and it is the only common feature that can be noticed with a superficial look. Apart from this, another rhythmically inclusive and interesting subject is the way in which the rhythmic motives are distributed throughout the piece. Chopin occasionally takes a certain rhythmic motive from the first theme and utilizes it also in transitions, middle section, coda and even in the second theme. This feature, in contrast to blurring the form perception, unifies the piece and lets it sound as one. These repetitive motives can also be seen as references to the medieval ballade tradition, in which a refrain would be repeated in this manner.

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ÖZET

Balad türünün tarihi günümüzden çok eskiye dayanıyor. İlk olarak 13. ve 15. Yüzyıllar arasında *formes fixes* (sabit formlar) içerisinde yer alan balad, aslında kafiye ölçüleri ve dörtlük biçimleriyle iskeleti oluşturulan şiirsel bir şema. Kelimenin fonetik kökeni Latince'de dans anlamına gelen *ballare* kökünden türemiş. En temel halinde, üç tane 'ababbcbC' kafiye ölçüsüyle düzenlenmiş sekiz satırlık bir kıta ve bunların sonrasında da 'bcbC' kafiye ölçüsüyle düzenlenmiş bir dörtlükten oluşuyor. Son kıta olan dörtlük eserin atfedildiği kişiye, yani genelde bir prens veya soylu bir ailenin bir üyesine yazılıyor. Büyük C harfleri de her dörtlüğün sonunda kendini tekrar eden bir nakaratı (refrain) temsil ediyor. Üzerine müzik bestelendiği zaman daha da zenginleşen bu form, mısraların altına farklı melodiler yazılmak suretiyle çeşitlendirilebiliyor. 18. yüzyılda daha büyük çapta eserlerin yazılmasıyla balad formu değişip genişledi. 19. yüzyılın başına gelindiğinde bu formun çeşitli türleri arasında mevcut olan yegane ortaklık, hepsinin öyle ya da böyle içerisinde bir insan sesi (vokal) barındırmasıydı. Ta ki Frederic Chopin 1831-1835 yılları arasında Op. 23, Sol Minör baladını besteleyene kadar.

Bu eser salt enstrumantal bir piyano bestesiydi ve o ana kadar yegane bütünleştirici unsurlarından biri vokal olup da kafiye ve dörtlük ölçülerine göre düzenlenen bir tür için alışılmadık bir durumdu. Ancak o güne kadar var olan standart enstrumantal müzik formlarının da hiç biriyle taban tabana örtüşmüyordu. Dolayısıyla yeni bir tür doğmuş oldu. Bestecinin herhangi bir edebi baladdan esinlenmiş olduğuna dair de bir ipucu vermemesine rağmen, bu yeni türü belirli kalıplara oturtabilmek, dönemin ve hatta günümüzün müzik camiasının tamamlanamamış bir isteği haline geldi. Bu konuda belirli söylentiler olmakla beraber, kanıt niteliğinde bir bağdaştırma henüz mevcut değildir. İlk baladın yayın yılını takip eden yedi yıl içerisinde Chopin, üç balad daha yayınlarken, bu türde vereceği tüm eserleri tamamlamıştır. Beklenenin aksine, bu dört baladın, kendi içerisinde dahi net bir büyük kalıba uydurulabilecek şekilsel benzerliği yoktur. Ancak bu türün, bestecinin o güne kadarki diğer eserlerinden ne kadar farklı olduğu da, detaylı bir dinleme dahi gerektirmeksizin, karşılaştırma yapan herkese aşikar görünecek niteliktedir. Dolayısıyla, bir fark bulunacaksa, bunu daha küçük ayrıntılarda aramak icap etmektedir.

Bütün bunların ışığında ucu belirsiz bir yola çıkarken temel motivasyonum bu değerli bestecinin en çok beğendiğim türdeki eserleri hakkında daha detaylı bilgiye ve algıya sahip olacak olmamdı. Faydalı bilginin tam nereden geleceğinin belli olmaması sebebiyle forma, armoniye ve genel anlamda teoriye dair kaynakların yanında biyografiler ve mektup derlemeleri de araştırmam gerekti. Bu vesileyle de Chopin'in hayatı hakkında daha çok fikir edinmiş oldum. Bunun bir diğer faydası da, ilham kaynağı belli olmayan eserlerin nerelerden gelmiş olduğunun ihtimallerine, arkadaş

çevresi ve ilgi alanları hakkında fikir sahibi olmak suretiyle biraz daha yaklaşmış olduğumu hissettim.

Çalışmalarımın başlangıcında balad tarihçesi hakkında genel bir bilgi edindikten sonra, çok da fazla işin tarihsel boyut hakkında yazmaya başlamadan, bütün baladların detaylı bir analizini yapmaya karar verdim. Literatürde önceden yazılmış bazı çalışmaları inceledim. Ancak bu çalışmalar ya benim istediğim detay seviyesinde analizler içermiyor ya da tam olarak bakmak istediğim açıdan bakmıyorlardı. Bunların yanısıra aradığım balad tonunu yaratan parametrelere ulaşmak için kendimin bu eserleri ölçü ölçü inceleyerek ilerlememin daha doğru bir yöntem olduğunu düşündüm. Analizlerde incelediğim temel parametreler armoni, form, cümle yapıları ve ritmik gruplamalar oldu.

Balad formunun Chopin öncesindeki tüm örneklerinin vokal içermesi sebebiyle, Chopin'in de vokal eserlerinden Alman şarkılarını (*Lied*) içeren "17 Polish Songs", Op. 74'ü de incelemeye karar verdim. Bu yöntemle bestecinin kökleri vokal olan bir türe yaptığı atıflara ulaşma imkanı oluşabilirdi. Bunların arasından da özellikle Chopin'in baladlarına esin kaynağı olduğu iddia edilen Adam Mickiewicz'in şiirleri üzerine besteledikleri, yani Op. 74'ten No. 6 ve No. 12'yi tercih ettim. No. 12 içerisinde bir kısımda tarihsel balad formunda bulunan ve "bcbC" kafiyeli ölçüsüyle belirttiğimiz şekli çağrıştıracak bir yapıya rastladım, ancak bu zayıf sayılabilecek bir benzerlik.

Yapmış olduğum analizler sonucunda vardığım çıkarımlardan ilk olarak tematik ve formla alakalı olanından bahsedeceğim. Baladlarda genel olarak iki ana tema bulunuyor ve bunlar eser süresince birden fazla sefer tekrar ediyorlar. Bazı temalar, içerisinde birden fazla küçük tema barındırıyor, ancak bunlar kendi başlarına tema olabilecek öneme sahip değiller. Lakin, baladlarda kesinlikle bu iki tema haricinde de tematik öğeler bulunuyor. Yine iki ana tema kadar öneme sahip değiller, ancak gereken kontrastı sağlayıp, ses örgüsüne katkıda bulunuyorlar. Bu yeni tematik öğelerin esere katılma yeri de her zaman eserin orta kısmı oluyor. Orta kısmın tekil eser bazında fonksiyonu değişse dahi, kesinlikle yeni bir melodik öğe geliyor. Bazı baladlarda bu orta kısım tam bir tema haline bürünürken, bazı baladlarda da modülasyonların ağır bastığı, bir tema olmaktan uzak, ancak parçanın gerilimini tırmandırıp, ana temalara dönüş beklentisini yükselten bir gelişme bölümü (development) şeklinde olabiliyor. Parçanın orta kısmına varılmadan evvel oluşan birincil veya ikincil tema alanı haricinde kalan kısımlardaki melodik öğelerin, çoğunlukla yine iki ana temadan birinden evrilmiş motifler olması sebebiyle, yeni tematik öğe değeri kazanmadığından, baladlarda orta kısımların yarattığı fark daha iyi anlaşılabilir.

Ritmik yapıların incelenmesiyle direkt olarak göze çarpan ilk şey, bütün Chopin baladlarının altı zamanlı, yani bileşik iki zamanlı ölçü rakamlarıyla bestelenmesi oluyor. İkinci, üçüncü ve dördüncü baladlar 6/8, farklı olan tek örnek olarak da birinci balad ise 4/4 başlayan giriş kısmını takiben 6/4 ölçü rakamına geçiyor ve bitiş kısmındaki 2/2 haricinde hep bileşik ikili ölçü düzeninde kalıyor. Bileşik iki zamanlı ölçüler, haliyle baladlara genel bir hava kazandırmış oluyorlar ve bu kadar yüzeysel bir bakışla dahi fark edilebilecek ilk ortak özellik olabilirler. Bunun haricinde ritmik olarak kapsayıcı ve ilgi çekici olan asıl konu, Chopin'in kullandığı ritmik motifleri eserin geneline dağıtış biçimi. Bir temanın içerisinde kullandığı bir ritmik bir motifi, sonrasında da geçişlerde, orta kısımlarda, kodada ve hatta diğer temaların içerisinde kullanabiliyor. Bu olgu, form algısındaki keskinliği kırarak, bir genel geçer kalıp fikrini flulaştırırken; aynı zamanda eseri de birbirine bağlayarak bir bütün müzik

hissiyatını artırıyor. Parçanın muhtelif yerlerinde tekrar eden motifler, aynı zamanda vokal içeren balad formlarındaki nakaratlar ile özdeşleştirilebilir. Bu da Chopin'in kendisinden önceki balad formlarına yaptığı bir atıf olarak görülebilir.

Yine iki zamanlı bileşik ölçülerin oluşumuna doğal olarak yardımcı olduğu ve dolayısıyla balad tonunu ortaya çıkardığına inandığım iki önemli husus daha var. Bunlardan ilki, İngiliz edebiyatındaki hece ölçülerinin müzik içerisinde anlamlandırılarak terimselleştirilmiş olan üçerli ölçüler. Müzikal cümle yapıları içerisinde kuvvetli zamanın başa veya sona gelmesiyle ortaya çıkıyorlar ve müziye karakteristik bir yapı kazandırıyorlar. İkinci özellik ise, üçerli alt bölüşümlerin kullanılmasıyla ortaya çıkan vals benzeri temalar. Yine bunlar da, Chopin'in bütün baladlarında bulunuyor ve çoğunlukla da önemli kısımlarda geliyorlar.





1. INTRODUCTION

1.1 Historical Ballade Tradition

The term ballade has emerged in the late 13th century and has undergone many evolution stages through ages. A ballade, when we would look at the oldest roots, was one of the three *formes fixes* (these are the three standard forms in French-texted songs) with rondeau and virelai between the 13th and 15th centuries. It defines the strict French poetry form together with the corresponding musical chanson to it in Medieval and Renaissance period. They were mostly danced pieces. Ballades are embodied of three eight-line stanzas, every one of them having their own consistent meter and a specific rhyme scheme. This rhyme scheme can be shown as an “ababbcbC” structure, in which the last line of each stanza is named as a “refrain”, which is shown by a capital C letter. In addition to these three stanzas, there is also an ultimate four-line stanza in the form of “bcbC”, which is addressed to the dedicatee of the piece. The dedicatee is someone from royal families and mostly a prince in this case.

There is also another closely related term, namely *ballata*. It was the Italian poetic and musical form, which also dates back in the same time period with the ballade. Despite its etymologic similarity to ballade, it was actually closer to the virelai in terms of its form. *Ballata* is sometimes referred to as one of the *formes fixes* either. Another relative term would be the “ballad”, which is actually derived from the French Ballade (*forme fixe*), as explained in the above paragraph. It has become the popular poetry and song form in the British Isles, since the late 14th century, until the 19th century. A ballad in its first form has consisted of 13 lines.

The etymologic origin of the ballad comes from the Latin word “ballare”, which means “to dance”. In this regard, the words ballet and ballade are also evolved the same roots. It is possible to label the ballad as the most wide-spread genre among others, which I have touched so far. The ballad has many sub-classes such as traditional ballads, literary ballads, ballad operas, Native American Ballads, Blues Ballads, Bush Ballads and ultimately the sentimental ballads of our time in 20th and 21st century. With the

time, ballads became more and more recognized with their sense of sentimentality. Thus even the 20th century slow-moving love songs in pop, rock and jazz genres are called ballads.

On the other hand, in classical music since the late 18th century, a ballade would refer to an arrangement of a literary ballad or a narrative poem, following the musical tradition of a lied. First renowned examples of this tradition are given by Johann Friedrich Reichardt, Carl Friedrich Zelter and Johann Rudolf Zumsteeg in the late 18th century. These were mostly resettings of some Lieds, which were composed earlier in that century. One of the reputable works in this genre is the one composed by Zumsteeg in 1797-98, which was a setting of the poem “Lenore” by the German author Gottfried August Bürger (1773-74). Zumsteeg has composed 6 large-scale ballades and some shorter ones, which are all dating around the change of the 18th century to the 19th century. A clear listing of these large-scale ballades are shown by Hirsch, M.W. in her book “Schubert’s Dramatic Lieder” (1993), which I have also included under Table 1. Lenore ballade setting of Zumsteeg has a length around 950 measures, which makes the definition “large-scale ballade” a suitable one. The composition runs in smaller parts, due to the conversational structure of the piece, which come together and create a whole. However this one of the first trials of the genre has clearly not pleased Gerald Abraham. His disappointment may be best understood in his own lines from the book ‘The Age of Beethoven’: “Such fragmentary treatment calls for a high degree of musical organization, which Zumsteeg did not possess. The parts, interesting in themselves, never coalesce into a whole.”(1982). A chronological list of Zumsteeg’s large-scale ballade settings can be found under Figure 1.1.

Des Pfarrers Tochter von Taubenhayn (Bürger)	1790/91
Die Entführung (Bürger)	1793/94
Die Büßende (Stolberg)	1796/97
Lenore (Bürger)	1797/98
Elwine (von Ulmenstein)	1801/01
Das Lied von Treue, frag. (Bürger)	1801

Figure 1.1 : List of Johann Rudolf Zumsteeg’s Large-Scale Ballades with composition years

Following these first examples, a lot of romantic composers, including Robert Schumann and Carl Loewe have composed ballade settings to texts in early 19th century. However, the first example of an instrumental ballade is given by Chopin in 1836, which is the G minor ballade, Op. 23. Before Chopin, a ballade was only a vocal piece with instrumental accompaniment. To call his instrumental work as a ballade was of course his choice and it is reasonable by means of narrativity of the pieces. Together with all the later composers, who also composed instrumental works and named them as ballades, it is evident that Chopin has pioneered a musical genre called "instrumental ballade", but the question is, if these works had more or less a certain particular form, some unifying features or were they just an arbitrary mixture of some classical forms.

If we would divide the compositional history of Chopin into three major time periods, it would probably look like: the early period, before 1836; middle period, between 1836 and 1842; and late period from 1842 until his death in 1849. Among these three, the middle period is the most productive time of Chopin, since he composed twenty-four preludes, two impromptus, fifteen mazurkas, four polonaises, three of his four scherzi and all four ballades in those six years. Above all, the fourth ballade is considered as the most complex both technically and musically by many pianists. John Ogdon's statement about the fourth ballade is worth reading: "...the most exalted, intense and sublimely powerful of all Chopin's compositions ... It is unbelievable that it lasts only twelve minutes, for it contains the experience of a lifetime."

There has been respectable amounts of instrumental ballade compositions, following Chopin's works. To name some of these, one should definitely include Franz Liszt's Ballade No.2 in B-minor, Johannes Brahms' four ballades from Op.10 and G-minor ballade from Op.118, Edvard Grieg's Ballade in the form of Variations from Op.24 and Claude Debussy's Ballade Slave from L.70. Some of these pieces will also be included in my research as points of comparison.

1.2 Literature Review

The first source I am planning to use is a book by Charles Rosen: "The Romantic Generation", which is published in 1998 from Harvard University Press. He includes a chapter called "Chopin: Counterpoint and the Narrative Forms". In a subsection of this book, he analyzes the ballades deeply, but neither a complete harmonic analysis,

nor a formal analysis. He is going deep into the phrase structures and the usage of motives throughout the piece, which are creating narrative means. He puts reference points with the former ballade form (one of the formes fixes); including assumptions about where the boundaries of a possible refrain or stanza-equivalent might be in an instrumental ballade. There is also another subsection named “Poetic Inspiration and Craft”, which comments on the poetic genius of Chopin and that would provide me some more light into Chopin’s mastery on converting words into notes in a wholly musical way.

The second source, which I will probably read completely is a book devoted to four ballades of Chopin. The name of the book is “Chopin: The Four Ballades”, which is written by Jim Samson and published by Cambridge University Press in 1992. In this work, there is a great deal of background information about Chopin and his ballades. Social and stylistic history behind the ballades of Chopin is discussed as well as Chopin’s life between the years of composition of these works. Printed score publishers of Chopin’s works are given, comments of music critics about the ballades are touched and even some pianists, who performed ballades in concerts are listed. There is also some brief formal and harmonic analyses and some discussions about the narratives of ballades are included.

The next book I am going to use is “Chopin: The Man and His Music” by James Huneker. It is published by Dover Publications in 1966 (first edition dates back to 1900 by Charles Scribner’s Sons). This book is an extensive biography of Chopin, in which Huneker speaks about the life and the music of Chopin in two large sections. His tone sounds like an epic poetry throughout the whole book and he glorifies Chopin as a legendary figure, as he well deserves. While mentioning nearly all of Chopin’s works from the preludes to the mazurkas, he also includes a section called “The Ballades: Faëry Dramas”. This section is mostly referring to the narrativity and the compositional mastery of Chopin, as the name might already suggest.

Another source I will make use of is an article by Lubov Keefer. The name of the article is “The Influence of Adam Mickiewicz on the Ballades of Chopin” and it was first issued in “The American Slavic and East European Review” Journal in 1946. This article is a determined attempt to prove the relations between Mickiewicz’s poems (and partly Schumann’s and Liszt’s influences) and Chopin’s ballades. Keefer’s certainty might probably be best understood in his own lines from his article (1946):

“Were one to confess total ignorance concerning an alleged tie between the Ballades of Chopin and the poetry of his friend-compatriot Adam Mickiewicz, he would be forever ostracized from among musical conosciuti. Only slightly less flagrant an offense would be the omission of Schumann or perhaps Liszt as reported go-betweens.”

In his article, Keefer mostly utilizes some old letters, which were written between Frederic Chopin, Clara Schumann, Robert Schumann and some others to make connections in the history and thereby trying to uncover the roots of Chopin’s ballades.

Although not so comprehensive, “Cambridge Companion to Chopin” is also a fair source, which I could use for my research. It is a collection of 12 articles, which are all by different authors. This totality of works is published in 1992 by Cambridge University Press. The editor of the book is Jim Samson and he is also the one-and-only author in the collection, who wrote about the ballades of Chopin. Still there is some original information about the subject, which does not overlap with his own book “Chopin: The Four Ballades”.

The last source I will try to find and use in my research is a book by James Parakilas, “Ballads Without Words: Chopin and the Tradition of the Instrumental Ballade”, which is first published in 1992, from Amadeus Press. As far as I have read from the review by Bradshaw (1993), in his book, Parakilas names over 400 instrumental piano ballades and speaks about 180 ballades for different orchestration scenarios in detail. Therefore it would be greatly beneficial for my research, since I may pick different ballades from different years to compare their formal structures. Above that, it presumably contains some information on the Ballade Tradition itself, which creates another advantage.

1.3 Hypothesis

Frederic Chopin has pioneered the instrumental ballade tradition in the beginning of the 19th century as a musical genre and many composers, who came after Chopin, have given examples in this genre. The well-known attribute of these works is their musical narrativity, which shapes the formation of structural points throughout the piece. On the other hand, looking from a form-analytical and sound-design perspective, his ballades definitely possess a unique musical form in comparison with the other works until his time and also with his own other works. In my thesis, I will

try to explore different features of Chopin's four ballades, which are common for all of them and together form the unique ballade sound. This, as a departure point, will help comprehending the boundaries of the 19th-century romantic ballade as a musical form and a genre.



2. TERMS, DEFINITIONS AND METHODOLOGY

2.1 In Search of a Ballade Sound

As I have already tried to explain in the first chapter, there are some quite reasonable amounts of stages in the history of the ballade tradition, which dates back to ancient times. Although not exactly the same, all these different versions in the progress of the ballade history had some distinctive features in common. Either they had similar rhyme schemes or they had the one recurring refrain line. Above all, one ingredient remained constant in all these forms and it is the vocal element. Whether only poetry or a musical setting, all the ballades in history had a person involved, who is reading or singing a certain text. This was the greatest ambiguity about the name “Ballade”, as Chopin first came up with his Op. 23, Ballade No. 1. It was a purely instrumental piece and still had a name on it, which used to be associated with voice for ages.

Much has been discussed on this topic to justify the name with the content of the music, but the standard vocabulary fell short to make a generalization since there was no strict scheme. There are some assumptions that the ballades of Chopin are influenced by some contemporary poets’ works. Most discussed one is Adam Mickiewicz. It is not hard to imagine that Chopin has taken a literary ballade and set music to it without using the words. It is even reasonable, since he had some Polish poets like Mickiewicz and Stefan Witwicki in his circle of friends (Orga, 1983). He did indeed set some poems of Witwicki and Mickiewicz to music. In his “Op. 74, 17 Polish Songs”, he used both of his fellow poets works and composed Lieds. However, for his ballades, there is no clear evidence that he used any literary work as an influence. Thus all the efforts, which tried to root this new genre to a familiar concept ended up being resultless.

Therefore more abstract terms should be used in order to describe the Ballades of Chopin. The “narrative tone” is a frequently used example for such terms (Huneker, 1966, p. 166). However, these are not concrete terms and does not create some norms, which everybody can understand. Nevertheless, it would be hard not to distinguish between any of Chopin’s works and one of his ballades only by hearing two works one after another. This is why describing a ballade is not an easy task to fulfill. Describing

something one can hear clearly, but cannot express directly by words. In my opinion, this is the result of Chopin's absolute music comprehension. In this regard, I will use the term 'ballade sound' to describe this certain atmosphere of Chopin Ballades.

After Chopin, many composers started giving works with the same genre name. Franz Liszt, Johannes Brahms and Edvard Grieg can be included in the list of significant instrumental ballade composers following the tradition, which is pioneered by Chopin. Some of them even directly linked their instrumental music to a certain literary ballade and became more concrete in expressing the inspirational sources of their music. However, Chopin is not one of them and therefore one of the main goals of this study becomes trying to make sense of every possible element he made musically and convert it into some concrete words.

While elaborating on these musical features, any similarities or common threads between the ballades will act as an agent that will add up to the definition of the 'ballade sound'. For this purpose, I will be doing detailed analyses of the works by Chopin, concentrating mainly on the four ballades. Additionally, some lieds by Chopin will also be taken into consideration, to which the text is provided by the poems of Adam Mickiewicz. In these analyses, main parameters of focus will be the form, harmony, phrase structures and rhythmical patterns. Following these analyses, I will start to draw inferences from them, which will actually form the quintessence of this dissertation.

2.2 Form-Analytical Terminology and Interpretations

As pointed out in the previous section, the instrumental ballade in the romantic era does not have clear-cut boundaries in terms of form and harmony, which deprives us from analyzing it with a common scheme. Nonetheless, we definitely need a common understanding to be able to discuss about these pieces. Terminology of the "Common Practice Period" (CPP) seems a suitable one for this task, since the genres in that period are probably the most widespread and analyzed pieces in an academic sense until our day. Therefore, the related terminology will also be familiar to nearly all people, who are interested in reading and writing about music. By using these terms, I believe, the content of this work will be understandable for the majority of the readers.

For instance, minuet, rondo, sonata-allegro, etc. all have their clear theme and section structures and these can be used for the analyses of the instrumental ballades. Of course, the boundaries of the descriptions of those terms must be bent a little to fit the purpose of this study by building analogies between the related sections of the pieces. Some terminology might differ at certain points even between the teachings of different scholars. Therefore, for the sake of avoiding any misconceptions, I will mostly stay loyal to the terminology by William E. Caplin as provided in his book “Analyzing Classical Form: An Approach for the Classroom”.

2.3 Notion of Apotheosis

While we listen or analyze a piece of music, we can mark areas with different levels of energy. Usually, there are two main parameters, which diverts our perception of these levels. These are the loudness and the thickness of the music at particular moments. In musical notation, dynamics (ranging from *ppp* to *fff*) are used to adjust the loudness levels of the instruments. And to get an idea about the thickness of the music, one might look at how many different pitches are played at the same time by how many different instruments and what are the registers of those pitches. Wider range and more instruments playing at the same time points out to a thicker sound at that moment in the music. Both of these parameters play a certain role for the occurrence of a climax in music.

In his work about Robert Schumann’s *Dichterliebe*, Agawu describes the concept of climax by bringing in its former and current definitions. As the Greek roots of the word suggests, it means a ‘ladder’ or a ‘staircase’. This brings up the necessity of an ascending movement towards a point. On the other hand, he defines another term, ‘high point’, with which he only wants to point out the top point of a given process. In my understanding, a ‘high-point’ alone, would be far from providing a structural climax to a given musical piece. To be able to serve such a purpose, a combination of factors must be combined such as the ascension towards a point, which is the highest-point in that given section. Moreover, as mentioned in the above paragraph, the thickness and the loudness of the music should also be accompanying this highest-point. A piece might have more than one climax, but then, there would usually be a hierarchy amongst them.

On the other hand, while analyzing romantic music, another term comes into the equation: “Apotheosis”. Etymological roots of the word derive from ancient Greek words *Apo* (from) and *Theos* (God) and together means to “make a god of”. It is started to be used in Latin from the late 16th century onwards and translated as “deification” or “the elevation of someone to divine status”. Thinking of its function, it is similar to a climax, but somewhat more than that. Edward T. Cone describes apotheosis as a “...special kind of recapitulation that reveals unexpected harmonic richness and textual excitement in a theme previously presented with a deliberately restricted harmonization and a relatively drab accompaniment.” (1968, p. 84). He draws attention to a dense texture and harmony here and above all is the necessity of the reprise of a previously heard internal theme. From what I have experienced by studying the Chopin Ballades, an apotheosis frequently resembles some features, which fulfill a sort of expectation in the music. The atmosphere must be prepared beforehand. Tension must rise in terms of harmony progressively together with dynamics and texture. Finally, the peak point mostly coincides with a return of one of the main themes of the piece, which is the resolution point of expectations. In that sense, one could describe apotheosis as an ‘emotional peak point’ in a given piece.

Although the most frequent example of apotheosis occurs as explained above in the ballades of Chopin, an apotheosis does not necessarily have to occur as a burst with loud dynamics. The fulfillment of expectations with richer harmonies can also be achieved through a relaxation in the mood as long as it comes on a reprise of a previously heard theme.

2.4 Iambic and Trochaic Rhythms

The terms iambic and trochaic substantially refer to only two of the five different rhythmic meters to define the combinations of stressed and unstressed syllables in the English poetry (Preminger, 1965). The others are anapestic, spondaic and dactylic. Iambic, trochaic and spondaic are used for two syllable feet; whereas the anapestic and the dactylic are used for three syllable feet. A “foot” is a group of syllables, which consists of the mentioned stressed and unstressed syllables. As far as my research goes, only iambic and trochaic meters are used in music by making some analogies with the syllables in poetry. Therefore these two terms will be used in this study.

A *trochee* is actually a combination of one stressed syllable followed by an unstressed one and an *iamb* is the direct opposite of a *trochee*. The concept translates into musical means similarly. If an accented note is followed by an unaccented note, this will be called a *trochee* and if an unaccented note is followed by an accented note, this will be called an *iamb*. While referring some sections in the music, a section composed of *iamb*s will be labelled as having an “iambic rhythm” and a section with *trochees* will be labelled as having a “trochaic rhythm”.

In poetry, the amount of these feet, which are used consecutively also matters and utilized as a parameter in verse meters. For example there would be an iambic pentameter with five consecutive iambs or a trochaic trimeter with three consecutive trochees. This will be ignored for the sake of simplicity in the conversion to musical analysis. What I will use instead is to expand the definition of stressed and unstressed syllables, while converting the concept into music with the accented and unaccented notes. The clearest understanding of an accented note is the natural strong beats in a certain meter. In the case of Chopin Ballades, these are the first and the fourth beats, since we are mostly in compound duple meter. Another usage is the well-known accent symbol in music, which implies that the indicated note must be struck louder in comparison to others. The next two methods of accentuation are probably less widespread, but they are highly meaningful for this study. One of them is the “agogic accent”, which is the accentuation of a certain note relative to its duration. Since the usage of stressed syllables in poetry does also partly refer to the syllable length while reading, this method is also idiomatic in relation to poetry. The last method is only applicable to musical pieces, since it is the accentuation by harmonization. If a naturally weak beat is harmonized instead of the strong beats in a section, the music tends to sound more syncopated, which would also evoke an off-beat accentuation. Most of the time, more than one of these methods are present in a section with iambic or trochaic rhythms.



3. ANALYSES OF SELECT PIECES

In order to shed light to the arguments I made in my hypothesis, I will have to conduct a detailed analysis on some select pieces. Analyses will be made in terms of harmony and form. Harmonic analyses might be partial, whereas the form analysis will always be complete, since it constitutes one of the most essential points for my study. Furthermore, I will provide some figures and tables as we progress, to help better understanding of the pieces.

3.1 The Four Ballades

First of all, as the name of the study suggests, the four ballades of Chopin will be analyzed in a chronological order.

3.1.1 Ballade No. 1, Op. 23, G Minor

Chopin started to compose his first ballade in 1831 in Vienna and completed it in 1835 in Paris. He has played its premiere in 1836 in multiple cities in Europe and introduced this new genre to the continent. In his new compositional form, he does not use a pre-existing concrete formal structure and goes for a new one. And of course, one of the mysterious sides of this genre is actually its name. Chopin did not clearly indicate what he wanted to mean by calling this work as a “Ballade” or if he has taken any specific literary ballade as an inspiration and left that question open to us. Because of this, there has been some open space for discussion, which has been fulfilled by many music theorists and musicologists.

The piece starts out with a Neapolitan quality octaved arpeggio in G minor, which is the home key to the first ballade. The introduction is in 4/4 meter, tempo is *largo* and there is *forte* dynamics. The arpeggio rises in a range of nearly three octaves and comes to an F# at the end of the 3rd bar with a diminuendo. This F# can be thought of as the major third of the dominant chord, since Neapolitan sonority generally takes the role of a predominant and leads us to the dominant. This view is also backed up by the emphasis on D and F# in mm. 4-5 and the last note of the fifth bar is a D. After this,

there is a relatively long rest of three beats, where it feels like the composer/performer thinks about the next chord and ultimately turns his way to the more theme-oriented structures, where a subdominant and then a second inversion tonic chord leads us into the 1st theme. Although this is not a thematic introduction, it prepares the perfect atmosphere for the first theme, where especially the first 5 measures of the introduction are like a journey, which enables the unique sound of the first theme.

Over the bar line from 7th to 8th measure, as the B-flat is held, meter changes to 6/4 and the tempo becomes *moderato*. Dominant seventh and tonic harmonies underlying the beginning of the first theme, establish the full G-minor sensation. This 6-note right hand motive is probably the most characteristic melody of this ballade, since it will reappear in other places in different keys and modes (Figure 3.1).



Figure 3.1 : Chopin, Op.23, mm. 8-9

The formal organization of the first half of the first theme is like lines and stanzas, which reminds one of the literary ballades. As Parakilas (1992) points out “Chopin is working not only with the idea of ballad lines, but also with that of ballad stanzas”. This is of course a feature, which supports the narrativity of the piece and an important departure point for finding any connections between the melodies of Chopin and the unknown roots of his pieces’ names. While making this interpretation, Parakilas takes the phrase-lengths and the direct repetitions into account. I will instead look at the pseudo-rhyme scheme of these stanzas and therefore I will analyze the endings of the phrases by means of their harmonic structure.

The theme is grouped in 2 bar structures and in each, 2 motives are present, where the second one is always this 6-note motive and it has a V-I harmonic structure underneath. If we take for instance the mm. 9-17 (one stanza) and analyze its 2-bar

substructures'(lines) endings, we come across a familiar "aaba" rhyme scheme as shown in Figure 3.2(i). Except for the 3rd phrase, all endings are a V-I to G minor and the V-I to the mediant gives the contrasting "rhyme b" to the stanza. The harmony also gets interesting at these 2 measures and underlines the contrast. Leading tone is tonicized by its diminished seventh chord, which then becomes the secondary dominant of the mediant. Resolution is also delayed by a suspension, which is constructed as a major seventh chord with the sharp ninth and the eleventh as non-chord tension notes before the mediant is played in its triadic form. The second half of the first theme also starts with the same two lines as the first half did. Then instead of the previous "b rhyme" Chopin opens up a whole different contrast with fragmentations of the first half of the theme and elaborates on it, which then becomes something like a subordinate theme to the first theme. First harmonically interesting point in this section is the tonicization of the subdominant at m. 21. However, the tonal center in the following section is a bit ambiguous due to inversion chords. It can be heard like tonic - subdominant prolongations in G minor or also as tonic - dominant movements in C-minor. Starting with the 25th measure, the mediant and dominant areas are more present in the section, but without any clear-cut tonal establishment. At m. 33 a nice 16th note run is played over the secondary dominant of the mediant and then the section goes to its final cadence. Despite these deviations in the structure and the c section in the second half being far longer than the previous, the second half of the theme also ends with a V-I progression in the key of G minor, which fits to our rhyme interpretation of the 1st theme (Figure 3.2 (ii)).

The section between mm. 37-44 is also included as the closing section of the first theme in some theorists' analyses¹, however I see it more like a part of the upcoming transitional episode, because of two reasons. First, the cadence at m. 36 is a distinctive one, which feels like a clear cut after the first theme's atmosphere and second, the rhythmic structure of the motive here is the same with the figure beginning with m. 44 onwards, which clearly is a part of the transitional episode. It is one quarter note, followed by four eighth notes (Figure 3.3). This section is the most theme-like part of the transitional episode, which stays in G Minor. It is actually an 8-bar period, constructed as 4+4 bars. The first four bars end with a relatively weak imperfect

¹ Samson, J. (1992): Jim Samson includes a formal overview of the Ballade No. 2, in his book *The Four Ballades* and takes the mentioned section as a part of the transitional episode.

authentic cadence. The *agitato* marking at m. 40 is also another aspect, which drives the piece to the *sempre piu mosso* at m. 44.

i)

a (V - I to G minor)
a (V - I to G minor)
b (V - I to B-flat Major)
a (V - I to G minor)

ii)

a (V - I to G minor)
a (V - I to G minor)
b (“Contrasting Theme”)
a’ (V - I to G minor)

Figure 3.2 : Chopin, Op. 23, Endings of 2-bar phrases between mm. 9-17 (i) and 18-36 (ii)

The next four bars are harmonically same with the previous four bars, however, the section ends with a perfect authentic cadence and elides to the next part of the transitional episode. From this point on, the established faster tempo due to the previous acceleration gets to a constant pace and keeps nearly without changing until the end of the episode. At m. 48 the rhythmic figure from the beginning of the episode sets aside and leaves its place to wide ranged arpeggios, which mostly outline the G Minor chord. At m. 63 a common chord modulation occurs and the tonality shifts to E-flat minor. Transitional episode ends with a *smorzando* rising arpeggio at m. 64,

outlining F-major harmony and comes to a rest on an F dyad, which establishes the secondary dominant of the dominant chord in the next theme.

i)



ii)



Figure 3.3 : Chopin, Op. 23, m. 36 (i) and m. 44 (ii)

As the marking *meno mosso* at the beginning of measure 68 suggests, the new theme is with less movement in comparison to the rest of the piece. It can be divided into two sub-themes, both of which being in E-flat Major, thus it would be more appropriate to call this as the “second theme group”. For a better understanding, the formal organization of the piece until now can be seen at Figure 3.4.

Theme 2a (mm. 68-75) can be considered as a compound period. First part is an 8-measure sentence, which ends with a half cadence by tonicizing the dominant. The second part also starts just the same way with the first one, but it is a bit truncated and lasts for seven measures and closes with a perfect authentic cadence on E-flat major and gives way to the b part of the second theme group. There are mostly half and quarter note values present and a very few eighth notes. By the indication *sotto voce*

and *pianissimo* dynamics, this first appearance of the second theme group is the most silent section of the piece until now. Only little harmonic chromaticism occurs in this section except the tonicization of the dominant between two phrases of the theme at m. 75, which is actually a repetition of the “standing on the dominant of the dominant” at the beginning of this theme.

Introduction	mm. 1-7
Theme 1	mm. 8-36
Transitional Episode	mm. 37-67
2 nd Theme Group	a: mm. 68-82
	b: mm. 83-94

Figure 3.4 : Chopin, Op. 23, mm. 1 – 93, Formal Organization Chart

There are no tricky fast-moving motives. Instead, there is a nice flow of a simple melody, which is really catchy and joyful. One of the aspects, which gives the section its forward momentum, is probably the offbeat oriented beginnings of the phrases. This formation is also justified by the slurs on the right hand part. Main rhythmic figure is a half note followed by a quarter note and a dotted half note (Figure 3.5).

Two parts of the second theme group are bound to each other with an elision. If we look at the structure of this section, there is only one moving line at the same time. Thus it is a horizontally oriented theme, rather than a vertical one with thicker chord structure. Together with the *sempre pianissimo* marking, this becomes even softer than the beginning of the second theme group. This is a dream-like theme, which mostly outlines tonic arpeggios. The rhythmic structure of the right hand motive is nearly the same as the one in the first theme (Figure 3.1 and Figure 3.6). However, this time in a major key and ends on the fifth scale degree, whereas the motive from the first theme ended on the first scale degree. Another related contrasting feature is that this theme does not really have a tonic-dominant movement in its first eight measures, thus no resolution feeling. This is probably one of the key reasons why this section has a

dreamy atmosphere. Because it does not have the feeling of landing anywhere directly in itself.

Figure 3.5 : Chopin, Op. 23, mm. 63-74 (Theme 2a)

We might label the b part of Theme 2 as a failed compound sentence since the first 8 measures are exactly a compound presentation with a compound basic idea (mm. 83-86) and its repetition (mm. 87-90). However, the following measures do not have continuation characteristics, nor the theme has a cadential closure. The B-flat major chord at m. 92 can be seen as a Neapolitan arpeggio to the a-minor tonality of the second appearance of the first theme, just as it was in the introduction at the beginning of the piece. With the subdominant of A-minor at m. 92, this interpretation becomes stronger, as it refers to the subdominant of g-minor at m. 6, which is now like a transposed harmonic imitation of the section before the first presentation of the first theme. Then the closure of this theme becomes the beginning of the next theme; the original minor version of the six-note motive from the first theme.

Theme 1 is heard in A-minor this time. With the *pianissimo* dynamics and *sotto voce* marking, it begins even softer than its first appearance. The main difference here is that the bass note never falls to the tonic A throughout the theme. In fact, the bass note is always E, the dominant pitch. This, in particular gives a different role to this statement of the Theme 1. This time, it is not a theme on its own with its functional harmonic steps, but it drives the piece to a greater goal. It acts as a long dominant pedal to the second appearance of the second theme group.

The two-bar substructures of the first theme are also similarly organized. At its first statement, the first motives of these substructures were mostly falling second intervals. However, this time, rising seconds are frequent in the theme, which in my view evokes the feeling that the piece wants to move to another place. The first crescendo at m. 99 feels a bit hesitant, which fails to create the momentum for the movement to the next section, since the dynamics fall back to pianissimo again. The F-sharp, at m. 100, over a second inversion A-minor triad further destabilizes the tonal area and there is nearly no feeling of resolution at the A-minor chord at m. 101 due to the absence of the complete E-Dominant seventh arpeggio, which normally used to precede it.



Figure 3.6 : Chopin, Op. 23, mm. 82-83

From this point on, the music continuously gains momentum directed towards the arrival of the apotheosis. Four measure lasting *crescendo* and occasional *forzandos* prepare the atmosphere. The continuous insistence on the rising second interval of F-sharp to G-sharp comes to a quasi-resolution at m. 105, which is further dramatized by the *molto crescendo* marking, gives the last boost to the music before the emotional peak. Apotheosis is on the second presentation of the Theme 2a in this ballade, which creates a big contrast with its first statement, which began softly at m. 68. It is surprising that the music has gained so much power in only a matter of thirty-eight measures. The genius of Chopin enables this much emotional gathering at such an early point in the music, which could otherwise feel a bit premature for an apotheosis in a piece that lasts for 264 measures.

Theme 2a begins in A-major with *fortissimo* dynamics. The E-pedal of the previous theme is justified with the entrance of A-major, the parallel major key of its predecessor. Chords in both hands create a thick structure with at least five pitches ringing at the same time, which is a prominent feature of the apotheosis of a Chopin Ballade. Technically speaking, this is also one of the relatively complex parts of the

piece to play. Therefore, looking from a performance point of view, this should be a section, where the pianist is more concentrated to play the passage, which supports the emotional peak point with the performance effort or vice versa. The form of this section is similar to a compound period like its first statement. The first eight measures form a sentence, which ends with a half cadence. The following four measures are a presentation phrase; however the next four measures deviate from the form and therefore this statement of the Theme 2a becomes a failed compound period. The ending of the theme is abandoned and the Theme 2b is completely omitted this time. Instead, the theme merges into a transitional episode, which drives the piece to the next theme. Theme 2a ends on a tritone interval at m. 124, which is followed by a falling E-sharp half-diminished seventh arpeggio. From the *piu animato* section (m. 126) onwards, B-flat dominant sonority is established. Between mm. 126-129, a B-flat dominant seventh flat-ninth chord is clearly outlined, which directs me to think of Chopin, being the predecessor of the common jazz usage of the dominants. Afterwards, B-flat dominant seventh chord is periodically played in the left hand in different inversions under a rising arpeggio, which also underlines the dominant seventh flat ninth harmony with many chromatic notes in between. At m. 134, a falling arpeggio comes into play over a vii^o-IV-V-(I) progression, going to the tonic E-flat at the beginning of the third theme.

The third theme begins at m. 138 like a waltz and it is in the secondary key of the ballade, E-flat Major. Shapewise, it seems very well organized with decent four bar groupings. The first eight measures are harmonically diatonic, shuttling back and forth between tonic and dominant. Since there is no real cadential closure at these eight measures, we can label them as a compound basic idea and its exact repetition. Thus, the sixteen measures of the theme would look like a compound sentence. The fact that mm. 146-149 resemble continuation characteristics by involving model and sequence technique, further supports this interpretation. However, since the mm. 150-153 does not take the role of a cadential, I would rather interpret the thirteen measures between mm. 138-150 as a compressed sentence, thus also preserving the tonal consistency throughout the theme. In this sense, inside mm. 146-150, the continuation and the cadential are squeezed together. There is a stepwise rising sequence, which employs the first four scale degrees of E-flat major as root notes and building dominant seventh chords over each of them and resolving them accordingly to their tonics, which at m.

149 deviates from the V7-I7 sequence and succeeds a IV-V7-I cadence at m. 150, which closes the compound sentence.

The next sixteen measures also start with the same harmonic structure at its first four measures, where the E-flat/F/G rising root notes are played respectively, but at the fourth measure an A-Major chord comes instead of an A-flat major, which starts a transient modulation deviating from E-flat major tonality. These sixteen measures are a *bravura* section, which is rather developmental in character than thematic. Therefore, I will label the Theme 3 and the transitional episode preceding it together as a developmental middle, where the beginning of the Theme 3 is exactly dividing the piece into two equal parts. Theme 3 can further be divided into two sections: waltz-like theme and the episode, which binds the developmental middle to the recapitulation of the main themes of the ballade. Starting from m. 154, we hear two measures of F-sharp minor, followed by two measures of F-sharp diminished seventh arpeggio. At m. 158, it arrives to a second inversion E-flat major chord and from that point on, the E-flat Major tonality is reestablished with multiple occurrences of a [vii°/V] - [V 4/2] - [I6] harmonic progression under continuous eighth-note scalar runs. Under Figure 3.7, I provide a formal organization chart of the section, which begins from the second presentation of the Theme 1 and goes until the end of the developmental middle.

	Theme 1	Theme 2a	Developmental Middle		
			Tr. Episode	Waltz-like Theme	Episode
Bars	94-106	106-124	124-137	138-150	150-165
Tonal Area	a/E	A	B-flat	E-flat	E-flat

Figure 3.7 : Chopin, Op. 23, mm. 94-165

The last statement of Theme 2 begins powerfully after a fierce falling scalar run at m. 146. Normally the last statement of one of the main themes of a ballade, coming right after the middle section with fortissimo dynamics could point out an apotheosis, just like the case in the A-flat Major ballade. However, in this one, this occurrence can only be considered as a secondary peak point due to multiple reasons. First of all, the section preceding it does not prepare as strong and dense atmosphere as it did in the second statement. Back then, it was preceded by the Theme I with a continuous dominant pedal and the insistence of the pitches, which are driving the music till the

entrance of the second theme. Furthermore, there was the long *crescendo*, which took the tension even higher. Second reason is about the register and the tonal area. One could argue that a statement of a theme in the home key should be stronger than a statement in a different key. However, an apotheosis is not only related with strength in terms of tonal stability. It is more about the emotional state of the piece and a statement in a different key (being a tritone away from the home key further boosts the effect) creates always more tension and color than the home key. The second statement's central alignment between the first and the last statements of the second theme (both are in the home key) gives a natural peak character, which is also summed up with its register, being the highest section in the piece, leaves me no doubt about it being the apotheosis of the first ballade.

The formal organization of the last statement of Theme 2a is the same as its first appearance. It is a compound period, in which the compound consequent's cadential progression is truncated. First eighth measures end with a half cadence and the following seven measures end with a perfect authentic cadence, which elides to Theme 2b. This presentation of Theme 2b is also nearly the same as its first occurrence. There is no *pianissimo* marking and *con forza* is indicated instead, which does not reduce the energy of the piece after the powerful Theme 2a. There are no rests in the left hand and continuous eighth note arpeggios create a thicker texture in contrast to its first statement. The energy starts to fall a little with the decrescendo at m. 190 and falls to its lowest for the last time in the piece with a diminuendo G-minor arpeggio at the beginning of the reprise of Theme 1.

Having the Theme 1 following Theme 2 this time points out to an exchange of the order of themes around the developmental middle, thus to a mirror reprise. The theme is in G Minor in its last occurrence (between mm. 194-208), which brings back the home key. Being the first and the last heard theme of the ballade, it frames the piece both tonally and thematically. On the other hand, the content of the theme is more similar with its second occurrence in the piece. The rising second motives are more frequent except the first four measures, by which the music is prone to move further, rather than being a stable theme. As it was the case in the second statement of Theme 1, this one also has a dominant pedal nearly through the whole section (mm. 194-204), which also supports the instability of the theme. Instead of eliding to the next section

without a cadence, a strong cadential progression with *il piu forte possibile* and *appassionato* markings following a long crescendo section ends the theme with an imperfect authentic cadence. This section is like a dominant to the following section. However, a mode shift does not occur this time and the coda starts at m. 209 in G Minor, separated from the Theme 1 by a caesura.

The meter changes over the bar line before the last G minor chord of Theme 1. This takes us a bit out of the ballade atmosphere, since we lose the compound duple meter feeling, which is a common feature of all Chopin Ballades. In this section, Chopin departs from the previous atmosphere. The *presto con fuoco* section begins like a new dance-like theme. In this sense, it is comparable to the second ballade, Op. 38, in which the *presto con fuoco* section also brings a brand new and unexpected material. However, that was the second theme of the Ballade No. 2 and here it is the coda section. In terms of strict formal organization, this section has an even tighter-knit structure than all other themes in the ballade. First eight measures are a period. The next eight measures (mm. 217-224) form a sentence. Starting from m. 225, an exact repetition of the previous sentence starts, however does not end the same way. Instead, the music takes a different path here and the strict formal structure is no more there. From m. 242 on, the music becomes something like a mixture of sudden gestures and there are predominantly rising and falling fast scalar runs. At m. 252, the coda becomes still for the first time with a piano G minor chord. At the very end of the piece, there is a chromatic falling run with *fff* dynamics and *poco ritenuto* marking, which feels like falling stones. The ballade ends with two successive G minor chords. The formal shape of the whole ballade can be seen at Figure 3.8.



Section	Introduction	Theme I	Tr. Ep.	Theme II		Theme I	Theme II	Developmental Middle			Theme II		Theme I	Coda
Subsection				a	b		a	Transition	Waltz-like Th.	Tr. Ep.	a	b		
Measure Number	1-7	8-36	36-67	68-82	82-93	94-106	106-124	124-137	138-154	154-165	166-180	181-194	194-208	209-264
Tonal Area	g	g	g	E \flat		a	A	B \flat \rightarrow E \flat	E \flat		E \flat		g	g

Figure 3.8 : Chopin, Op. 23, Complete Formal Organization Chart

3.1.2 Ballade No:2, Op. 38, F Major

As the successor of his first ballade, Chopin started to compose his Op. 38 around the times he premiered his first ballade in 1836. In those years, he had been in Nohant, France and in Mallorca, Spain. He completed his work and dedicated it to his friend Robert Schumann in 1839. James Huneker (1966, p. 158) includes different critiques of this piece in his book, “*Chopin: The Man and His Music*”. To my surprise, one of the most relentless critiques of this work comes from the very dedicatee of the ballade, Robert Schumann. He clearly found that it lacked the artfulness of the first ballade and thought that its most vigorous sections (he most probably refers to the *Presto con fuoco* section) feels as if they were added later than the first composition date of the piece and points out that he clearly recalls the first time he heard it from Chopin, which included an F minor ending instead of A-minor. A completely contrasting comment is from Frederick Niecks. He considers the very idea of drawing a parallel between such different works as grotesque. I personally also had the tendency to think that the first occurrence of the *presto con fuoco* section feels a bit isolated from the first theme, but after a closer look, I found some binding elements between two themes, which I will present in my analysis. This is of course a contrasting feature of the second ballade to the first one, where all the themes and episodes are very related and bound to each other with smooth transitions. However after the first presentation of the second theme (*presto con fuoco* section), everything becomes very tightly-knit and the piece reaches the coda quite uninterrupted. Therefore the feeling of hesitation between the first theme and the second at the beginning of the piece can be considered as another factor, which adds up to the progressiveness of the piece.

The second ballade starts with the *Andantino* section, which will be called as the first theme in our analysis. The first two measures of the piece feel like a thematic introduction, which anticipates the first theme. Entrance of the theme is just a little delayed by the dominant octaves at the anacrusis and the first bar, which then merges into the first theme at m. 2, where we first hear the tonic chord. The shape of the first theme (mm. 3-45) can be analyzed as a small ternary theme. It has an A-B-A' structure with a span of 16 + 8 + 16 bars. Such a neat theme size and phrase divisions can of course only be assumed if we ignore some measures from the beginning and the end

of the theme. This kind of symmetry would otherwise be impossible to see in a ballade of Chopin, which is a feature we used to see in the classical era. The first sixteen measures comprise two themes, which are the exact repetitions of one another. Both can be considered as a hybrid theme of the first type, in which antecedent phrase is not followed by a consequent, but a continuation phrase. Complete section is in F Major and each antecedent ends with a half cadence, whereas the continuations end with a perfect authentic cadence.

One of the unifying elements of the second ballade is the specific five-note rhythmic motive (Figure 3.9), which is first heard at mm. 2-3. This motive appears at various different spots of the ballade with different functions and in different tonalities. It is so frequent that I have to avoid including all of its occurrences, but at least 3 of them are shown under Figure 3.9. Each of them are taken from different sections of the first theme and the exact repetitions are of course omitted. Further occurrences in the following sections after the first theme will be shown respectively.

The contrasting middle, B section, of the first theme starts at m. 18 in A Minor. The tonality shift is achieved by a common chord modulation in the second half of m. 18, where the first inversion mediant chord of F Major can be reinterpreted as the tonic of A Minor. At m. 19, we hear a perfect authentic cadence in A Minor and then the tonality shifts once more with a common chord modulation and continues in C Major. A sequential repetition of mm. 18-19 is played at mm. 20-21 and the perfect authentic cadence is established at m. 21 in C Major. The coming four bars can be considered as fragmentation and cadential, thus the B section can be labeled as an eight measure sentence. The fact that the last four measures of the B section include the very same phrase from the last four measures of the hybrid themes in A section mystifies the overall formal structure of the first theme. Still, a small ternary interpretation seems the most logical one in this case, since the sections between mm. 2-9 and mm. 26-33 are identical.

A' section starts with the same exact hybrid theme from the A section, bringing back the piece to F Major tonality by a chromatic modulation. Previous section was in C Major and therefore it serves as a dominant to this section. The only difference of this

i)

ii)

iii)

Figure 3.9 : Chopin, Op. 38; mm. 2-3(i), mm. 22-23 (ii), mm. 34-35 (iii)

appearance of the hybrid theme is seen at the end of it. At m. 33, there is a deceptive cadence instead of a perfect authentic cadence. At this point, tonality shifts to A Minor for the second time in the first theme by a common chord modulation. The second half of the A' section starts with a kind of different motive, which is also derived from the second half of the main hybrid theme. A Minor section is closed with a perfect authentic cadence at m. 37. This is followed by a similar cadential progression in F Major to bring back the home key of the first theme and the same cadential progression is repeated between mm. 40-41. After this point, the section until the entrance of the second theme is a set of codettas. There is a *smorzando* sign at m. 43, which lowers the energy of the music towards the end of the first theme. The last measure of the first

theme brings the piece to a nearly complete fade out with a rising F major arpeggio and resting on the third of the chord as the last struck note of this theme.

Even if the first succession of the two themes feel a bit isolated because of the fermata at the end of m. 45 and the sudden key shift, there are some aspects in the first theme, which definitely familiarize the second theme with their affinity to it and are embedded ingeniously by Chopin. First of all, the key of the second theme is established twice before the entrance of the second theme: once in the contrasting middle of the first theme (mm.18-19) and for the second time in the A' section of the first theme (mm.34-47). Thus one would not recognize the A minor as a totally irrelevant key at that moment. Furthermore, the last struck note of the first theme is an A, which is the tonic of the following theme. There we have a common tone modulation, which turns out to be a renowned feature of Chopin Ballades. Another relation is the first notes hit in the second theme, which are F and A, which still would remind the F Major tonality and the fierce falling arpeggio in the first bar of the second theme (m. 46) also outlines an F major seventh chord, in which the intended sound is an A minor chord and the fifth is anticipated by the note F. The G-sharp diminished seventh chord over an A bass pedal at m. 47 further establishes the A-minor tonality of the newly starting theme.

Second theme can be analyzed in two parts. The first part (mm. 46-61) comprises two modulating sentences and it is full of falling and rising sixteenth-note arpeggios. First modulating sentence starts in A minor and utilizes G diminished seventh arpeggios on its path. The last two measures (mm. 52-53) tonicize the tonic of the next modulating sentence with a $vii^{\circ}7/i - V7 - (i)$ progression and arrives at the G minor chord on m. 54. The structure and the phrases of the second sentence are nearly the same as the first one, just transposed a whole step lower. This sentence takes the tonal center from G to A again with a picardy-like cadence because of the expectation of a minor tonality. However, A dominant seventh chord arrives at m. 62 by following a standing on an E dominant seventh chord in the previous two measures, only to resolve to D minor in the same measure. Second half of the second theme (mm. 62-81) has a different atmosphere, where the right hand rhythmic figures (Figure 3.10) become similar to the ones which have dominated the first theme (Figure 3.9) and the sixteenth note arpeggios transfer to the lower register and become scalar runs (Figure 3.10). The frequency of tonal shifts feels somewhat developmental in this section of the theme. It has definitely got the “Sturm und Drang” effect in a developmental sense. D Minor, F

Minor and A-flat Minor regions are visited respectively and all are anticipated by their dominant seventh chords. One might also recognize that all tonal areas are a minor third apart from each other.



Figure 3.10: Chopin, Op. 38, mm. 62-63

The left hand rhythmic figure stays the same for the whole section, with the only exception at mm. 68-69, where the harmony turns to F-flat major seventh and F-flat dominant seventh arpeggios respectively. After this, A-flat Minor is the dominating tonal area until the end of the second theme section, in which nearly every measure starts with an E-flat dominant seventh chord and resolves to A-flat minor. Between mm. 70-77 there is a chordal melody, which has a predominantly falling trend and it is built over alternating inversions of E-flat dominant seventh and A-flat minor chords. At m. 78, the roles of the left and the right hand are exchanged, while the underlying harmony stays the same. The music gets calmer as a result of the long lasting *diminuendo*, which started at m. 70. A similar rhythmic figure to the one on Figure 3.10 is played in the right hand with an increased emphasis and length (mostly due to *rallentando*) on the on-beat E-flat chord. The same figure is repeated three times and then transposed a whole step lower and binds the music to Theme 1 again with a C dominant seventh chord, which brings back the F Major tonality.

The next section, starting at m. 82, is somewhat contradictive to give a functional label. It starts exactly like Theme 1 and it is in the home key, just as we heard it at m. 3. However it is truncated even before the first eight measures are played. After a silence via a fermata on a rest, Chopin takes us directly to the ending of the Theme I, the second half of the A' section. To see the analogy between two statements of Theme I, one should compare mm. 34-41 and mm. 88-95. They are the exact repetitions of each other and the endings are the tonal closure points of both themes. This gives me the

impression that Chopin has truncated the section, but did not want to omit the beginning or the ending. Therefore he gave us some time to complete the missing parts in our mind during the fermata and completed the section with the regular ending. The only exception here is seen at the very last measure, at the restatement of the cadence towards F major. The cadential progression runs without interruption until the expected tonic chord, which instead goes to an F-sharp diminished chord and creates a deceptive closure for the Theme I area (m. 95).

The following section is inarguably developmental. On the other hand, to label such a small part like between mm. 82-95 as Theme I area might be a bit insufficient, since it was normally much longer in size. Therefore, I would rather label that section as an entrance to the development, which utilizes Theme I material and take it from m. 82 on as 'Developmental Middle'. The first thing to realize in this section is again the use of the notable 5-note rhythmic motive of this ballade (Figure 3.11). This time, it is in the left hand and the melodic line is like an inversion of its first appearance in the A section of the first theme. The rising third between the second and the third notes becomes a falling third here.



Figure 3.11: Chopin, Op. 38, mm. 95-96

Next up, we have canon-like structures, starting in the second half of m. 97 in an inner voice on the note B-flat. This is a two measure long motive with a falling trend and it is repeated twice in both hands. By being repeated twice in both hands, this new thematic material forms a four-bar phrase, which we will hear again and again from different pitch levels in this middle section. The material from Theme I is used to fill in between this new thematic material's repetitions. At m. 107, a chordal chromatic rise begins with a *crescendo* and boosts the energy up until *fortissimo* dynamics. Under these rising chord clusters, again we see the rhythmic motive from Figure 3.11. After

that high point, we hear a sequence-like falling melody, which comes to a rest at m. 111 on an inverted B dominant chord, which subtly refers to the measure-long held top note F-sharp in m. 95.

The second half of the developmental middle (mm. 114-139) can be considered as a reprise of the first half. Although it is not an exact repetition and does not match in size, its functional subdivisions come in the same order. It starts at m. 114 with the thematic material from the first theme. It is followed by the canon-like theme of the developmental middle at m. 122 and from this point on, it is literally an exact repetition of the first half of the section, only with alterations of the tonal area. The rising chromatic chord cluster phrase is repeated from m. 132 on with a *crescendo*, which takes the music to *ff* dynamics. Again the underlying five-note rhythmic figure from the first theme is there, which creates the expectation for the second theme. The final *crescendo* supported also with an *accelerando* on m. 139 gives the last boost to the music and we arrive to the apotheosis on the reprise of the *Presto con fuoco* section.

Due to the *accelerando* on that last chromatic fall which binds the two sections, and the first chord of the second theme being an inversion, this gives me a somewhat ‘stumbling apotheosis’ feeling. It is not as grandiose as in the Op. 23 Ballade No. 1 for instance. Maybe this can be explained by the general unsettled feeling of this ballade. Above all, it has a tonal duality, that is to say, there is more than one home key area throughout the piece. For this topic, I would like to cite Samson from his book, *The Four Ballades*, “Here the alternation of clearly-defined F major and A minor regions ... refuses to permit a monotone analysis. It can only be explained as a two-key scheme.” (1992). It is still the most expected and the most dramatic point in my opinion, but as an apotheosis, it has a different atmosphere than other ballades.

Of course, apotheosis notion is not only about one point in the music, but a section. This, in turn brings up another term to my mind and it is a “Rising Apotheosis”. This is a consequence of the stumbling effect of the beginning of the section. Since the entrance of the theme is not stable enough, it leaves space to build up. For instance, we can approach this according to the tonal areas through the section. One of the reasons of the stumbling effect was the false key, in which the *Presto con fuoco* section starts. Although the first struck lowest and highest notes are A, the section begins in D Minor there. It builds up in the first eight measures and prepares the home key of the second theme with an E dominant seventh arpeggio at m. 147. Hence, another

important resolution point occurs in the midst of the section (m. 148), on which the apotheosis is based.

The first section of the *Presto con fuoco* section is structurally identical to its first appearance. Again, we see a modulating sentence, which goes from D Minor to A Minor this time, instead of from A Minor to G Minor. However, the second half of the theme (mm. 156-167) differs from its predecessor. Here, we see the binding rhythmic figure of this ballade in the left hand again and the melodic shape is reminiscent of its occurrence in the developmental middle. At m. 164, we see a long bass note E with a trill, which lasts for two measures. It is followed by falling octaves again with trills, which span a perfect fifth, going down from E to A and that A elides to the next and the last section of the piece.

The *Agitato* section is the coda of the piece. It is predominantly in A Minor. There are thematic elements from all parts of the ballade scattered in it. However, the first half has some new material, which is a waltz-like theme and includes trochaic rhythms. Including a waltz-like theme is the common feature of all four Chopin ballades, but this one has a different orientation. This ballade is the only one, which has the waltz-like theme in the coda. The other three have it in their middle sections. The section between mm. 168-175 forms a period. Then we have a different phrase, in which a middle voice gives the melody. This one can also be analyzed in two four-bar subsections (mm. 176-179 and mm. 180-183), but since there are only half cadences on the endings, a concrete theme type cannot be attached. There is a transition-like section between mm. 184-187, in which there is a full twelve tone chromatic rise from F to F in the bass, which prepares a tense atmosphere. This helps in turn to imitate a minor version of the apotheosis by bringing in the thematic material from second theme here. A truncated version of the second theme is positioned between mm. 188-196. Finally, Chopin takes us to the very beginning of the piece and brings in the A Minor section of the first theme (mm. 197-200). A rather silent perfect authentic cadence closes the ballade in A Minor. Complete formal organization of the Ballade No. 2 is given under Figure 3.12.



Section	Theme I				Theme II		Developmental Middle			Theme II		Coda					
Subsection	A	B	A'	Cl.Sect.	A	B	Th. I	Episode	Th. I	Episode	A	C	Waltz-like Th.	Th. II	Th. I		
Measure Number	1	2-17	18-25	26-41	42-45	46-61	62-81	82-97	98-114	115-122	123-139	140-155	156-167	168-187	188-195	196-200	201-203
Tonal Area	F	a → C	F → a → F	F	a → g		F	D ^b → G ^b	E → G	C → F	d → a	a	a				

Figure 3.12: Chopin, Op. 38, Complete Formal Organization Chart

3.1.3 Ballade No. 3, Op. 47, A-flat Major

Chopin composed his third ballade, Op. 47 in 1841, at the beginning of the fourth and the last decade of his life. The meter of the piece is 6/8 and the key is A-flat Major, which is also to be seen at the end of the ballade in contrast with its predecessor Op. 38, where Chopin begins it in F Major, but ends it in A Minor.

A different aspect of this ballade is that there is only one right-hand note at the beginning, whereas the first sound of all other Chopin Ballades is an octave, regardless of the pitch. Another point to mention would be the lack of introduction in this ballade. Theme I begins directly from the first measure. In all other Chopin Ballades, there is an introduction, whereas one might speak about the second ballade a bit reluctantly, since there are only two measures anticipating the entrance of the first theme. Although it would be superfluous to label any part of the first 52 measures in this ballade as a totally separate functional unit other than a Theme I, thinking of it in some subdivisions would help to have a better overview of Theme I in my opinion. The first eight measures of the piece feel more like an opening theme, since this section actually directs the piece to the ninth measure. However, this theme will be the one, which will get a more structural role as the piece unfolds. Despite the fact that the first eight measures are also in A-flat Major, the music is not yet rooted in that key, because the tonic is omitted in the bass in this section until the cadence at m.8 and even there, it establishes a weak closure. Instead, the dominant tone E-flat is emphasized at the end of every two measures (mm. 2, 4, 6), where the music lands on the dominant pitch and rests there for a while. This quasi “standing on the dominant” actually grants this section the drive to the beginning of the m. 9, where the quadruple A-flat with *fortissimo* dynamics leaves no hesitation about the tonic feeling of the following section. There is also a motivic connection with the following section and this is probably why the first 52 measures feel as a whole. It is the falling second interval in the right hand at m. 2 and in the left hand at m. 6 (Figure 3.13). This figure is a crucial part of the first theme, which appears at various different places. This section has the form of a period with a half cadence at the end of the fourth bar and an imperfect authentic cadence at the eighth. The melodic figure of the basic idea is first presented

in the right hand, which is then heard in the left hand in the second half of the opening theme.



Figure 3.13: Chopin, Op. 47, mm. 1-6

The next eight measures, which I will label as Theme 1a, also start out like a period, however there is no real cadential closure at the ends of the four bar substructures in it. The texture is plain and the same falling second motivic figure, which we underlined in the opening theme is presented as part of the melodic structure in the foreground (Figure 3.14(i)). The section between mm. 13-16 is actually an exact repetition of the previous four bars, except some little rhythmic nuances and right hand embellishments. The falling second motive is presented at each and every measure between mm. 9-25, which in fact underlines a great portion of the thematic material from Theme I.

The b section of the Theme I (mm. 18-25) also has a period-like shape, but this one has the exact same cadence at the ends of both four bar phrases in it. The only differences between the subsections of Theme 1b are that the second part is played one octave higher than the first one and a little rhythmical variation in the falling second motive. The first note is anticipated by a sixteenth note on the same pitch. This little rhythmical change also appears between the two sections of Theme 1a, showing us another one of the poet-like symmetrical organizations of Chopin. In the b section, the falling second figure becomes subtle and takes an accompanying role under the melodic lines of the right hand, nevertheless retaining the atmosphere of the Theme I (Figure 3.14(ii)). Another aspect from this section to point out is the grace note at m. 22. This becomes a characteristic melodic feature as the ballade unfolds. By being part of the two alternating themes in Theme II, the grace note in the third ballade has a different role than just an embellishment, which creates a contrast with the other three ballades.

i)

ii)

Figure 3.14: Chopin, Op. 47, mm. 9-10(i) and mm. 17-21(ii)

The cadence at m. 25 closes the Theme 1b. Then, the music turns into a series of codetta-like cadences, which drives the music to C-Major through a chromatic and scalar approach. Directly after the A-flat, we hear a quadruple G-flat, which gives a chromatic feeling by altering a scale degree and leads to an F-dominant seventh arpeggio and tonicizes B-flat. Bass line moves another half step higher and the B-natural becomes the third of a G dominant seventh arpeggio, which then tonicizes C. So the overall bass movement between mm. 25-28 becomes A-flat/B-flat/B-natural/C spanning a major third and moving mostly in a chromatic manner and shifts the tonality to C-Major. After a couple more tonicizations of C, a sixteenth note C Major arpeggio runs for three measures and ends on a low C. This time, a chromatic bass movement from C to E-flat shifts the tonality back to A-flat major, again spanning a third interval and reminding the bass movement at the beginning of the codettas. This kind of small reminiscences are all around the ballade and gives it a unifying aspect, which makes the piece sound as a whole. That being said, from m. 37 on, there is a prolonged version of the opening theme in A-flat Major, which forms a frame around the Theme I area and the same ending of the opening theme is presented at the lower register this time. This feels as a referral to the very beginning of the piece, where it was presented in the right hand. The following A-flat octave in the right hand over a first inversion A-flat

major chord evokes the beginning of the Theme 1b, but this time, it rings for two measures and directs the piece to Theme II. At this point, I provide an overview of the Theme I area in Figure 3.15, as described until now.

	Theme I				
	Opening Theme	Theme 1a	Theme 1b	Closing Section	
				Modulating Episode	Opening Theme
Bars	1-8	9-16	17-25	26-36	37-52
Tonality	A-flat Major	A-flat Major	A-flat Major	C Major	A-flat Major

Figure 3.15: Chopin, Op. 47, formal overview of mm. 1-52

Following the last chord of the Theme I, C octaves fade in on the right hand and brings in the C major tonality by a common tone modulation, which was already shortly introduced in the closing section of Theme I. Theme II area includes two different thematic sections, which are alternately presented in an “a-b-a-b-c-a” form -“c” being a modulating episode- between mm. 53-115. The first theme in this section, which I will label as Theme 2a (Figure 3.16(i)), is a dance-like joyful melody. It repeats itself twice in the course of eight measures. Therefore it would be appropriate to name it as a compressed period, since the conventional period would last for eight measures per se. Theme 2a is in C major and acts as a dominant to the Theme 2b, which will first be presented in F minor. The A-flats at cadence points in Theme 2a, anticipate the third of F minor and also destabilize the C Major tonality, thus granting C major no fundamental role in the theme else than being the dominant of F minor. Another view to these A-flats might be as the flat ninth of the G dominant seventh chord, which leads to C major. Dominant seventh flat ninth chords are common in modern jazz music and since Chopin uses the seventh and ninth chords much more frequently than they were used throughout the 18th century, this might also resemble the roots of some harmonic aspects of jazz music coming out of 19th century music. A further remark, which should be made for this theme is the role of the grace note in the melody. It occurs at certain points in the contrasting idea of the Theme 2a and adds up to the lively and

moving atmosphere of the music. The mm. 63-65 acts like a bridge to the Theme 2b, where the C Major and F minor tonalities converge. The inner voice line in the right hand summons the F minor tonality and the Theme 2b by reaching to a root position F minor triad at m. 65 (Figure 3.17(i)).

i)

ii)

Figure 3.16: Chopin, Op. 47, mm. 48-60 (i), mm. 61-70 (ii)

The celebrated grace note of the third ballade appears directly at the beginning of the Theme 2b (Figure 3.16(ii)), which binds the first and the second note in the first motive (basic idea). This time, it supports the epic mood of the entrance of the theme. Theme 2b is also a period, which begins in F minor. The basic idea (mm. 66-67) is stated in F minor, however the contrasting idea (mm. 68-69) tonicizes the mediant, which feels

like a transient modulation to the relative major. The restatement of the basic idea turns back to F minor, though to be concluded with a cadential, which tends to go to C minor, but ending up with a picardy cadence on C Major instead.

Restatement of the Theme 2a begins at m. 74, this time in minor mode, thus losing its function as “a standing of the dominant” to the second presentation of the Theme 2b. Although the theme preserves the core rhythmical and melodic motive, there is no sequential repetition of the basic idea and the repetition of the period is omitted.

i)



ii)

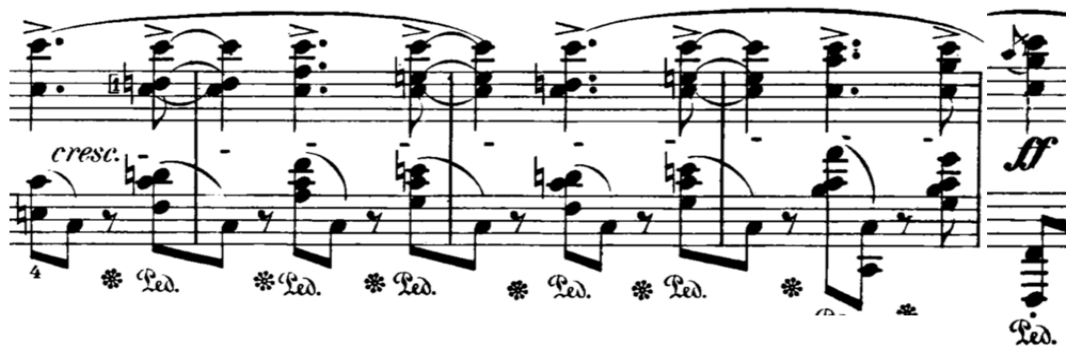


Figure 3.17: Chopin, Op. 47, mm. 63-65 (i); mm. 77-81 (ii)

Another inner voice line (Figure 3.17(ii), this time the highest line in the left hand is doubled with the middle voice in the right hand (mm. 78-81), leads the music to the Theme 2b, which brings back the F minor tonality (mm. 78-81). Just as the octave shift of the melody in the opening theme, Theme 2b is also heard from a higher register, the inner voices transferred to the higher octave and the melodic line doubled with its higher octave. It retains its periodic structure, however this time the cadential part directs the theme to an imperfect authentic cadence on D-flat Major. This is the beginning of a transitional episode, which first explores the D-flat Major area and then

C Major area by V7-I harmonic progressions. Starting on m. 95, the same motive from mm. 78-81 (Figure 3.17(ii)), which led the Theme 2a to Theme 2b appears again, metrically shifted and sounds more on-the-beat. Here, Chopin tricks us and lets the same motive rise again, but does not lead to Theme 2b, but to a cadence on F minor. Followed by a caesura, the same motive from the beginning of the transitional episode (mm. 90-91) appears again. This time, it is diatonic and has a flow for itself rather than binding two sections of the theme. The motive directs the music into two successive cadences. At its first occurrence, it takes the tonal area to A-flat major and in the second to C-Major, which would prepare the entrance of the Theme 2a. Again, the third relations in between the tonal shifts are not to miss at this section. D-flat Major goes to F Minor, then to A-flat Major and finally to C Major. Here, the last presentation of Theme 2a is almost no different from its first appearance. Opening C octaves are played without a considerable crescendo. C major prolongations at the end of the theme are rather steady, since there is no melody under it this time, which has always led the music to Theme 2b until now. Before starting to comment on Theme 3, to give an overview of Theme 2 (Figure 3.18) would be appropriate.

	Theme II					
	A	B	A'	B	Transitional Episode	A
Bars	53-65	66-73	74-81	82-88	89-103	104-115
Tonality	C	f	c	F	D-flat,f, A-flat,C	C

Figure 3.18: Chopin, Op. 47, mm. 53-115, Formal Overview

The entrance of Theme III is not tonally prepared, but it does not feel unexpected either if we would compare it to the Theme I-Theme II relation in Chopin's second ballade, Op. 38. The E-natural of the prolonged C major chord is lowered by a half step and a chromatic modulation is seen, where the lowered third becomes the fifth of the following tonality, A-flat Major. Theme III is a tonally enclosed theme, however there are some transient modulations in the course of it. This *dolce* section brings in an unprecedented dreamy atmosphere to the piece. For this theme, one cannot really speak about clear-cut theme structures except the first eight measures, since the thematic structures are not organized strictly overall. It definitely has got some thematic

material, but it is also somewhat developmental with all the modulations and virtuoso sixteenth note runs.

In the first eight measures of Theme III, the texture is plain and the distance between the notes in the left and right hand is large, which provides clarity to the sound and uncloaks the bass line. Therefore one can clearly hear an inversion of the falling second motive from Theme I (Figure 3.13 and Figure 3.14) in the left hand at m. 116 (Figure 3.19). The section between mm. 116-124 is a period. Thematic material is a fast rising arpeggio, followed by a scattered and rather slow falling line (Figure 3.19). As another common feature of this ballade, the range of the basic idea is directly shifted one octave higher at the contrasting idea. The contrasting idea does not particularly contrast from the basic idea, except the anticipating fast rising arpeggio, which gives a hybrid theme feeling between a period and a sentence. First four measures (mm. 116-119) are in A-flat Major, which ends with a half cadence by tonicizing E-flat major. The second half of the period starts in E-flat major, which then ends with an imperfect authentic cadence in A-flat major. The melodic phrasing is almost completely the same as the first half, only transposed to E-flat major. The register shift is also to be heard between the two subphrases of the second half of the first eight measures.

From m. 124 onwards, it would probably not be reasonable enough to label the following 20 measures as a compound sentence, but maybe a loosely organized version of it. First four measures are a compound basic idea and the next 4 measures are the sequential repetition of it. Here, the tonal area shift is similar to the first section of Theme III. It starts in A-flat Major and turns into D-flat major after 4 bars. Here, the thematic material of the compound basic idea is an arpeggio, which turns into a scalar run in the contrasting idea. The end of the compound presentation merges into the compound continuation at m. 134, where the successive trills are played over a supertonic chord. After the trills, sixteenth note arpeggios transfer to the left hand and stay in the subdominant and dominant region of A-flat major. Starting from m. 142, the final cadence of Theme III is prepared with a VI-ii-V-I progression to end on A-flat major, enclosing the tonality of the theme.

At this point, a sonata-allegro interpretation of this piece would most probably suggest that the second occurrence of the Theme II would point out to a recapitulation, since the middle section (Theme III) is over now. This assumption would of course fall short from a strict sonata-allegro perspective and since Chopin has created a fairly new genre

by the composition of his ballades, he would not be satisfied with that approach either. However, in my opinion it is more than valuable to be able to use the terminology of such a widespread genre, since it is the most common understanding point for those, who are at least somewhat interested in the form-analytical approach in classical music. Therefore, it is a useful syntax to explain the concepts and functions related to music theory. In order to be able to use this terminology, we have to loosen the boundaries of some terms. The loosening of the boundaries of these terms is something I utilize for all of the analyses in my work. For this particular case, it will be the recapitulation. The order of Theme I and Theme II is reversed, thus this will be a symmetrical reprise with reference to the middle section. If we look at the tonal relation between the exposition and recapitulation, it is also similar to the sonata-allegro interpretation, where the recapitulation should be in the home key, although it was not in the dominant key at the exposition.

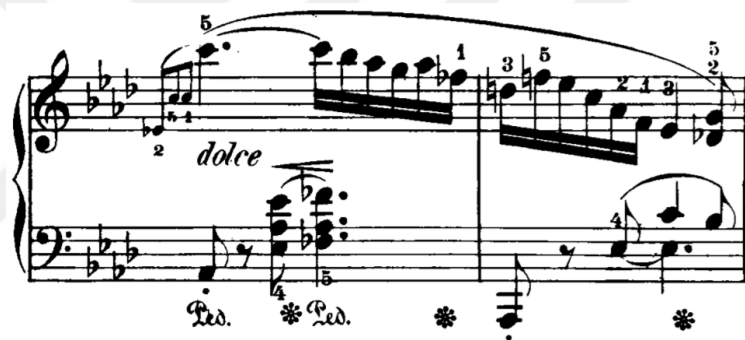


Figure 3.19: Chopin, Op. 47, mm. 116-117

Theme II begins its second presentation exactly the same way as the first one, except being in A-flat major this time or better expressed as C-sharp minor, which will be the overall tonal area of the Theme II between mm. 145-183. The length of the Theme 2a is also the same as it was between mm. 53-65. Theme 2b starts at m. 158 and it is anticipated by the same melodic motive from mm. 63-65 (Figure 3.17(i)). Starting with m. 157, we see an enharmonic notation on the score. Just as the V-i relation between Theme 2a and Theme 2b at their first occurrences, the A-flat major was supposed to resolve to D-flat minor. Instead, it becomes enharmonically C-sharp minor, thus saving too many flats on the staff. Theme 2b is altered in some ways with respect to its presentation in the first half of the piece. Although the outline of the melodic material stays the same, the grace note figure is omitted here and some repetitively struck notes on the same pitch are rather tied and become longer note values. This somewhat

lowered significance of the right hand is compensated with an elaborated left hand motive. These are mostly scalar sixteenth note runs, which creates a fuller and a mellow sound and at some points, it is heard like a counter-melody against the melody of Theme 2b.

The recurrence of Theme 2a starting at m. 165 has also some alterations. Just like in Theme 2b, melodic embellishments are omitted. The melody is transferred to the left hand and again it is in the parallel minor key (G# minor / A-flat minor) in relation to the first statement of the section in the second half of the piece, which was between mm. 145-157. The sixteenth notes are transferred to the right hand to span a two octave range only with G-sharps from three different registers. This quasi-tonic pedal raises the tension in comparison to the previous section's scalar runs in the left hand. The *marcato* markings and an 8 measure long *crescendo* are further preparing the stage for something grandiose coming. Ultimately, the *molto crescendo* at mm. 171-172 adds up to the power of the binding motive in the left hand (Figure 3.17(ii)) at mm. 169-172 and conveys the section to Theme 2b's last full statement in the ballade. This is the apotheosis of the third ballade, where all the expectations are fulfilled and the emotional state is at its highest. *Fortissimo* dynamic is reached and the melodic motive is played from a higher register than all of its previous statements. It is also stacked up with thick-structured chords both in the left and right hands, where also the characteristic trochaic rhythms are given underneath. Theme II area is closed with a very long circle of fifths, which feels like an expanded cadential progression at the end of Theme 2b. It starts on m. 179 with a C-sharp minor chord and last for four measures with a harmonic speed of four chords per measure and ends up on a B major chord, which ends the Theme II area and the music pauses only instantaneously with a caesura before the next section enters. Accordingly, the formal shape of this Theme II area is an "a-b-a-b" form, which is a bit shortened than the first Theme II area in the piece.

Although we still hear some thematic material from Theme 2 starting around m. 185, it would not be appropriate to include this section into the Theme II area, since this material is now merged with the thematic material from Theme I and becomes a new section together. Chopin has adjusted the motives from both themes in a way and thus, they have a new role here and evoke a coda-like feeling. Therefore I will label the section from m. 184 till the end of the piece as a closing section. To analyze this section

in two subsections will probably be more suitable, but still the whole section is actually a perfect blend of truncated thematic material from all of the themes in the ballade.

The motive between mm. 185-188 is from Theme 2b and the motive from Theme I's opening theme takes the next four measures by eliding to it at m. 189. Sixteenth note octaves are supporting these first eight measures except the last measure and also the first measure of the next eight measure, where a sixteenth note scalar run is heard. These two motives alternate for another time between mm. 193-200. From m. 194 on, the notation changes back to the previous model, where we have the A-flat major accidentals. After the second alternation of both 4-bar motives, the length of the motives is shortened once again to half the size, where only the first halves of both melodies are used. In this part, two more alternations of both motives occur between mm. 201-208. The grace note is again included in the motive from Theme I, which was omitted at its first two statements. The next four measures are like a transition, which carries the tonality back to A-flat major with a rising chromatic run. Starting at m. 213, we hear a different blend between Theme II and Theme I. The motive from Theme I is played first and the motive from Theme II is the second half of the 4-bar phrase at the beginning of the closing section. M. 213 can be considered as a secondary peak point in the piece, since the recapitulation of Theme I is heard in the home key and with *fortissimo* dynamics and it was also prepared by a tense chromatic run, which created a rising expectation to it, since we already heard it multiple times in this last section of the piece, but in different keys. Between mm. 222-230, there is an episode, which directs the music to the last subsection, in which the thematic material from Theme III is used. This subsection between mm. 231-238 is a sentence. It is followed by a rest, which precedes the last cadence of the ballade. A complete formal organization of the Ballade No. 3, Op. 47 is given under Figure 3.20.



Section	Theme I				Theme II						Theme III	Theme II				Coda				
Subsection	Opn. Th.	A	B	Cl. Sect.	a	b	a'	b	Tr. Ep.	a		a	b	a	b	Th. II + Th. I	Th. I	Tr. Ep.	Th. III	
Measure Number	1-8	9-16	17-25	26-52	53-65	66-73	74-81	82-88	89-103	104-115	116-144	145-157	157-164	165-173	174-183	184-212	213-222	223-230	231-239	239-241
Tonal Area	A \flat	A \flat	A \flat	C \rightarrow A \flat	C	f	c	f	D-flat,f, A-flat,C	C	A \flat	A \flat	c \sharp	g \sharp	c \sharp					A \flat

Figure 3.20: Chopin, Op. 47, Complete Formal Organization Chart

3.1.4 Ballade No. 4, Op. 52, F Minor

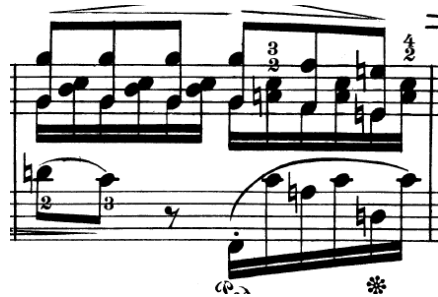
Chopin's Op.52, the fourth ballade was composed in 1842 and it was dedicated to Charlotte de Rothschild. Charlotte was a member of the renowned Rothschild banking family of France. At those times the Rothschild family had patronized some great figures of the art community, including Gioacchino Rossini, Heinrich Heine, Honoré de Balzac, Eugène Delacroix and also Frédéric Chopin. In 1841, Chopin had become the piano teacher of Charlotte de Rothschild. He played his fourth ballade in the Rothschild family's Parisian residence at a convention, where he was invited by Charlotte to be introduced to the nobility and aristocracy. As with all the other Chopin Ballades, there is also a belief that the fourth ballade was inspired from a literary ballade of Adam Mickiewicz². The name of the ballade for this one is "The Three Brothers Budrys" and it is about a man, who sent his three sons to battle, but after some time all three brothers have returned home with women to merry instead of participating in the war. However this is only a rumor, since there is no real evidence or a commitment on the subject.

The 4th ballade, Op.52 is in F Minor, even though its introduction indicates a major key area and this is only the first of all the contrasting and unpredictable elements in the piece. The first 2 measures of the 7-measure introduction gives a feeling of a never-ending postponement of the entrance of a melody with the exchange of roles between the right and the left hands in the melody and accompaniment structure. Simple right hand eighth note octaves on G tend to start a melody until the entrance of the left hand at the second half of the first measure with a descending line, which also seems to go further and form an independent melodic line. The binary division of this left hand melody is also another contrasting and disorienting factor to the right hand lines. Only after the second half of the second measure, the main melody of the introduction comes into play in the right hand and continues. The melody plays around a C major triad by a scalar descent. At the end of the introduction, with the help of the held note C with a fermata, a common tone modulation occurs over the bar line between m. 7 and m. 8, which turns the tonality from C Major to F Minor. In this way, the tonic of C Major,

² In the notes of Alfred Cortot's edition of the scores of the four ballades by Chopin, he shortly introduces the overtold sources of inspirations of Chopin Ballades (Chopin, F. (1842))

becomes the fifth in the new key, F Minor. The repeated four note figure at measures 2 and 4 is a binding figure, which appears at several places throughout the piece at different pitch levels (Figure 3.21).

i) Introduction



ii) 1st Theme and all its variations except the IV. Variation



iii) 2nd half of the transitional episode



iv) Transition section before the reprise of the introduction

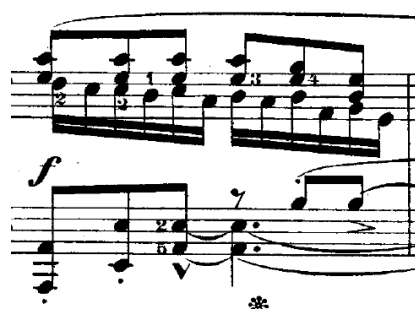


Figure 3.21: Chopin, Op. 52; m. 2 (i), m. 11 (ii), mm. 46-47 (iii), m. 125 (iv)

Following the common tone modulation at the eighth measure, Theme 1 is introduced in F Minor. This is a 14-measure theme and it can be examined as a tripartite theme in three different key areas. These are F Minor, A-flat Major and B-flat Minor respectively. The subdivisions according to key areas would form a 4 - 4 - 6 bar structure. The first four measures in F Minor can be considered as a conventional sentence (not an 8 measure sentence, but a compressed one by dividing all the measure lengths by two), which consists of a 1 measure basic idea, the repetition of it, then 1 measure fragmentation and a one measure cadential idea. The next four measures are nearly an exact repetition of the same sentence, only this time in A-flat major. The last part of the theme is also based on the same sentence; just the continuation phrase is also added as a prefix to it. After the first appearance of Theme 1, a transition or a second theme would be expected in a conventional classical full movement form such as sonata, rondo or a large ternary. Instead of it, a variation of the first theme takes its turn directly after the Theme 1. This, of course, shall not be interpreted as if the piece has Theme & Variations form. In a conventional Theme & Variations form, such as a 'chaconne' or a 'passacaglia', the piece would consist of only the variations of one theme (just a coda may be added) and all the variations would fit in the strict same amount of measures, which can vary from 8 bars to 32 bars in length. Jim Samson interprets the section from the end of the introduction till m. 71 as "...an extended multi-sectional paragraph, whose organization already owes something to variation-form" in his book, *The Four Ballades* (1992). This is also a clue to the idea that a "Chopin Ballade" as a form might be seen as a mixture of some classical forms. The section between mm. 23-37 is a variation of the Theme 1 with some slight embellishments, which also has the same 14 measures size as the Theme 1. The same key areas also remain unchanged as F Minor, A-flat Major and B-flat Minor. A transitional episode follows the first variation of the Theme 1. According to Samson, this episode can also be interpreted as a variation of Theme 1, but until m. 46, I cannot spot a serious relation between this episode and the first theme.

However this section reminds me of another piece by a different composer, who is a contemporary of Chopin. It feels as if the main motive of Franz Liszt's *Sposalizio* from *Deuxième Année de Pèlerinage: Italie* has slipped into this transitional episode of the 4th ballade of Chopin. Specifically the section, starting with m. 77 in the *Sposalizio* (Figure 3.22 (i)) shows significant similarity with this episode by means of both the

pentatonic descending arpeggiation in the left hand and the rhythmic structure in the right hand. Rhythmic values are only divided into two in the Ballade example due to the meter difference between 6/4 and 6/8 (Figure 3.22 (ii)).

i)

74 *Quasi allegretto mosso*
ff
dolce armonioso
legato

78

82
con grazia pp
pp

ii)

dim. *(m.d.)* *pp*
molto legato

dim. *mezzo voce*

Figure 3.22: Liszt, Sposalizio (i); Chopin, Op. 52, mm. 38-48 (ii)

Continuation phrases from the Theme 1 are fragmented after m.46 until the end of the episode, which is then followed by another variation of the first theme, beginning at m.58. This time, the structure is embellished with a contrapuntal structure, still remaining loyal to the 14-measure theme length. Until this point, the overall scheme of the piece can be viewed almost as a monothematic section under Figure 3.23.

- Introduction	mm. 1-7
- Theme 1	mm. 8-22
- Var. I (Th. 1)	mm. 23-37
- Tr. Episode	mm. 38-57
- Var. II (Th. 1)	mm. 58-71

Figure 3.23: Chopin, Op. 52, mm. 1-71, Formal Organization

After the second variation of Theme 1, following a short eight-measure transition, the only real section to create a contrast with the first theme comes into play, which is the Theme 2 starting at m. 80. This theme has a chordal structure and is in B-flat major. Here we see an example of a trochaic rhythmical structure, which will be elaborated more in the next chapter.

At m. 99, a developmental section starts. If this were a conventional sonata form, this would just be the expected place for a development to start. This section certainly contains some properties, which a standard sonata-allegro development would be expected to have. One of these is making use of the model and sequence technique by introducing a model first in G Minor and then restating it in A Minor. Furthermore, the fact that it employs chromatic harmony which creates tonal instability, also has a developmental effect. However it falls too short to create that tonally instable, tense atmosphere in the piece. It lasts only 13 measures and then elides to a waltz-like theme. This waltz-like section, starting with m. 112, can be seen as Theme 3, ignoring the fact that it is relatively short, when we compare it with the overall length of the piece. It is in A-flat major and lasts for 10 measures. It is definitely the happiest and most dance-like section in the midst of the ballade. The perfect authentic cadential closure on A-flat major at the end of the waltz-like theme elides into a transitional section, which then starts to feel like a new theme including the four repeated note figure. However this is just another wit of Chopin, since this section brings back the introduction,

starting again with the reprise of the same material from the beginning of the piece. At m. 129, the introduction feels like it came out of nowhere. The introductory material is heard in A major this time, which is then used as a dominant to D Minor. This is the starting key of the next section, the third variation of the Theme 1. It is actually the same relation as in the beginning of the piece, where the C Major introduction is followed by the F Minor theme, just a minor third lower. This is probably no surprise, since Chopin exploits the third relations in the majority of his works.

The third variation of Theme 1 has a canon-like character with some alterations, mostly in the rhythmic structure. The left hand has an imitative texture in this section. It imitates the basic idea of the theme, starting following the right hand and sometimes anticipating it. This variation lacks the quarter notes or the eighth note rests in the rhythmic structure, which gives a sense of restlessness to the theme. This feeling is further supported by the canon-like structure, in which melodies from the left and right hand leave no sunlight between phrases. With all these alterations, this variation does not have the same length with the preceding ones. Another variation of the first theme directly follows the third one, just like the first variation followed the Theme 1 at the beginning of the piece, which seems like a perfect reprise of the material. The fourth variation of the first theme is embellished in every way possible and thus becomes the fanciest section of the ballade. It creates a dreamy feeling with its rhythmic figures, the triplets fitted into eighth notes.

As we draw close to the end in our analysis, one would feel the absence of an apotheosis in a Chopin piece till now. An “apotheosis” is a specific kind of a reprise of a theme, which also has a functional analogy with a climax. This notion is explained in more detail in the second chapter. The apotheosis of the Ballade No. 3, op. 47 shows a great example of an apotheosis with a functional analogy to a climax. Almost 10 measures prior to the apotheosis, a continuous sixteenth note passage starts with a G# pedal point, which is the dominant of the awaited theme in c# minor. There is a long crescendo during those measures, which rises till *fortissimo* at the moment of the apotheosis and the Theme 2B is played in a higher octave than before with a fierce manner. In the current example, the Ballade No. 4, an apotheosis could most likely be awaited on the reprise of the second theme after the fourth variation and everything seems running as expected starting with the crescendo at m. 162. At m. 163 *poco a poco accelerando* sign helps to raise the tension. At this point, the texture calls for an

apotheosis, but with the decrescendos and the descending lines starting in mm. 164&165, the *diminuendo* sign and a further decrescendo steals the chance for a bursting apotheosis. Instead, Theme 2 is played in a calm manner, with piano dynamics. In this sense, this one is a failed apotheosis in comparison to the other Chopin Ballades. However, it still includes all the features, which Cone has attributed to an apotheosis in a romantic work. It has a more elaborate accompaniment than its first presentation and the textual excitement is also there. Theme 2 tends to continue the dreamy state of the fourth variation of the first theme. It even enhances the dream-like, silky atmosphere by using the rhythmical structure of the embellishments from the fourth variation as a left hand accompaniment. This time, the theme is stated in D-flat Major, a minor third higher than its first statement, as one would expect from Chopin.

As I try to conceptualize the general structure of Chopin Ballades, a different view to the subject would be of some help by Michael Klein (2004), which forms a relationship between the key of the apotheosis and the end expressive state of the piece.

“Regarding the key of the apotheosis, when it appears in the tonic major in Chopin’s music, the end expressive state is never tragic. The apotheosis of the Barcarolle... is of the third theme in the tonic, and its expressive end might be described as perfectly fulfilled joy. The apotheosis of the third Ballade is of the first theme in the tonic, and the end state is one of exalted happiness. In both the First and Fourth Ballades, the apotheosis is of the second theme...it appears in the submediant... As expected, the expressive end of these two ballades is tragic.”

This is a nice relation regarding the apotheosis. In this regard, one might try to simplify this approach by relating the end expressive states of Chopin’s pieces directly to the tonalities of them. To get clearer, a major tonality would indicate a happy end-expressive state and a minor tonality would do the opposite. In that case, the Barcarolle and the Ballade No. 3 would have a non-tragic end expressive state, because they are in major keys and the 1st and the 4th ballade would have a tragic end expressive state, since they are in minor keys. However, this simple approach can be proven wrong by taking the example of the Ballade No. 2, which is mainly accepted as being in F Major, but still having an ending in A Minor. Of course, the dual tonality concept of the second ballade must also be taken into consideration in this sense, but there is not much sense to go deeper there for my study of the ballades.

Through the end of Theme 2, the tension of the piece rises again and at m. 201, there is a triple *forte* sign, which is the only place in the piece having this loud dynamics and could naturally be labelled as a climax. However, from my point of view, this only creates a sense of closure together with m. 202, since the section does not have a functional importance in the general structure of the piece. Now, having a complete structural chart of the Ballade No. 4 (Figure 3.24), it is easier to make some last remarks about the form of the piece. To consider the piece having a sonata-allegro form would not fit completely, since there is no real development section in the middle. Instead Chopin has written a short developmental middle to the piece. Regarding this, another claim could be to read the piece as a Sonata without development, which is actually a form specific to slow movements. This interpretation could make some sense, regarding the small middle section and a truncated recapitulation, when we compare it with the exposition, but it would still be farfetched to label the piece as a sonata without development. About the usage of the variation form, I have already talked about in the middle of this subsection. Therefore, it is definitely more accurate to assert that each Chopin Ballade has a peculiar form, that draws on not one, but a multiplicity of classical forms.



Measure Numbers	"1-7"	"8-22"	23-37	38-57	58-71	72-79	80-99	99-111	112-121	121-128	129-134	135-151	152-168	169-210	211-239
<i>Sonata-Alle gra Interp.</i>	<i>"Exposition"</i>							<i>"Developmental Middle"</i>			<i>"Recapitulation"</i>				
Sectional Label	Introduction	Theme 1	Var. I (Theme 1)	Episode (Transitional)	Var. II (Theme 1)	Transition	Theme 2	Episode (Dev-like)	(Theme 3)	Transition	Introduction	Var. III (Theme 1)	Var. IV (Theme 1)	Theme 2	Coda
Key Area	C	f	f		f		B flat	g	A flat		A	d -> f	f	D flat	f

Figure 3.24: Chopin, Op. 52, Complete Formal Organization Chart

3.2 Select Lieds From Chopin

There are 19 Lieds of Chopin, which are preserved until today. There are some others, which are probably lost. All of them are set to Polish texts. There is not a certain time span, where he has written them all. Thus the composition dates are pretty much scattered throughout his lifetime; the first one being composed in 1829 and the last one in 1847, 2 years prior to his death. Chopin as himself, was able to publish 16 of them under Op. 74 and the rest was included after he died.

Two main reasons seem essential, why referring to the lied of Chopin might be useful for our purpose on this subject. First off, the roots of the lied form come from the same centuries (14th and 15th) as all the *formes fixes*, one of them being the ballade. Secondly, there are also 2 Lieds of Chopin, in which he used poems of Adam Mickiewicz (the poet, from whom it is said that the ballades of Chopin are inspired from) as text to his music. These lied is the No: 6, “*Piecz Z Moich Oczu!*” and the No: 12, “*Moja Piesczotka*” from Op. 74.

3.2.1 “*Piecz Z Moich Oczu!*”, Op. 74, No: 6

This is one of the very early lied of Chopin. It is composed in 1830, which is prior to his first Ballade No:1, in G minor, Op. 23. Therefore this one is probably the first official artistic collaboration of the two. The text is about two lovers, who probably have to live apart from each other. It expresses how it does not matter how far they are from each other, the stronger they feel their love and presence. The form of the piece can be categorized as binary and the tonality is mainly in A-flat Major/f minor region. The Part I is in 3/4 meter, whereas the Part II is in 2/4 (Figure 3.25).

	Part I	Interlude	[: Part II :]
Key	f	f -> A-flat	A-flat
Meter	3 / 4	3 / 4	2 / 4

Figure 3.25: Chopin, Op.74, No:6, Complete Formal Organization Chart

Part I starts out with a 4-bar introduction in f minor. The whole Part I is actually in f minor except a few tonicizations. The first vocal sentence is a 4-bar phrase, which sounds like a question and an answer. The first 5-note motive is strong and prolongs

the tonic with a subdominant chord in between. It is followed by a rather slow and soft answer, which ends with a half cadence. There is an exact repetition of this sentence, only with different text to the music this time. This 5-note motive actually exists in all following phrases in Part I, but it is somehow transformed after the third occurrence. This is a unifying structure of this section.

The third vocal sentence constitutes the middle of the Part I, where the 5-note motive is sung for the last time (on a different scale degree this time) and the second half of this sentence carries the piece to the refrain-like part. This refrain is repeated twice with same text and nearly the same music, whereas the first repetition ends with an imperfect authentic cadence and the second with a perfect authentic cadence. This cadence ends with a 9-8 suspension. Suspensions are very common throughout the piece. Below is the detailed formal structure of the Part I (Figure 3.26). When the text differs between the phrases, then the upper case will turn to a lower case or vice versa. When the music changes, then the letter will be changed accordingly.

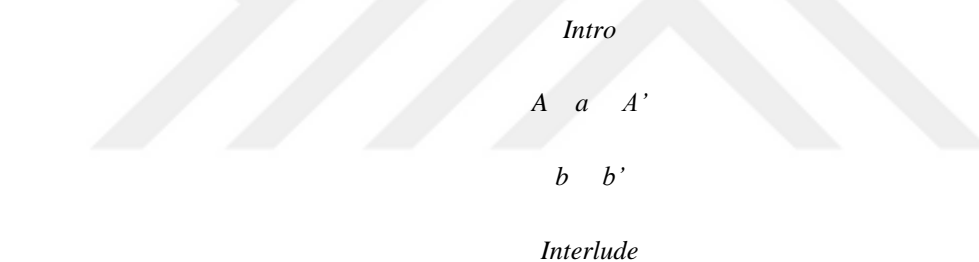


Figure 3.26: Detailed formal structure of the Part I; Chopin, Op.74, No:6

An 8-bar piano interlude leads us to the Part II with a common tone modulation to A-flat at the end. Nearly every aspect of the music changes with the B section. Tempo marking becomes *andantino espressivo*, whereas it was *larghetto* in the Part I. The meter changes from 3/4 to 2/4, which deepens the effect of the tempo increase. The complete Part II stays in A-flat major with the exception of one mediant tonicization at mm. 37-38. In contrast to the Part I, the dynamics are not so dramatic in this part and it stays in *mezzoforte* area for the whole part until the closing section, where the music decays to *piano* dynamics.

In Part II, the motives are not as distinctive as in the previous section. Vocal phrases move more in stepwise motion and there is a constant flow of the piece, contrary to the Part I. This section can be seen as symmetrical to the first one in terms of the length

of the vocal part. Again there are five 4-bar phrases and most of them end with a suspension. In contrast to the Part I, none of the first three phrases have a motivic or a rhythmic interconnections. Only the last two phrases sound like refrain, having the same text and similar music underneath. Part II is repeated twice. Now we can see the phrase structure of the whole piece at Figure 3.27.

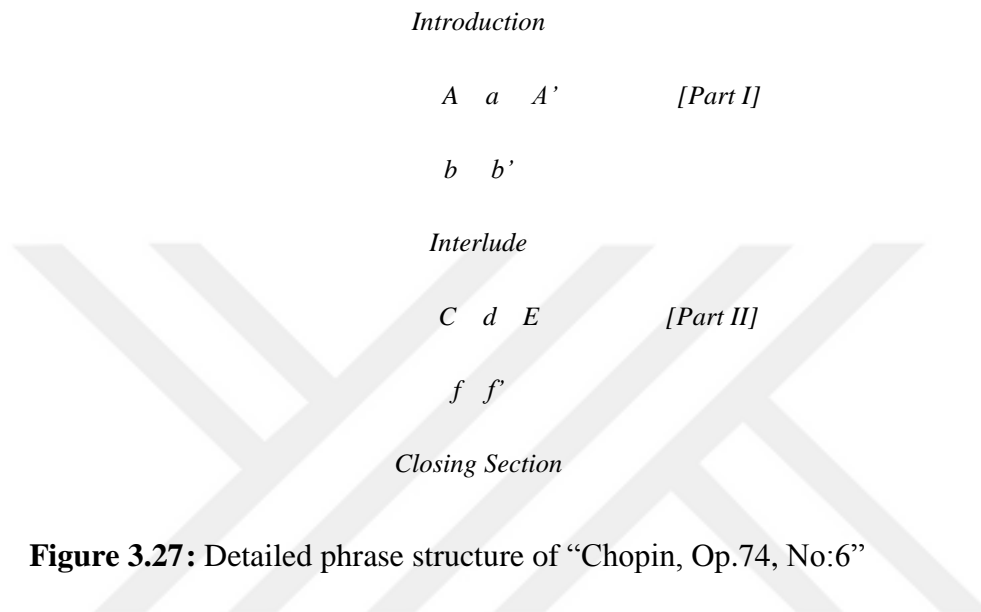


Figure 3.27: Detailed phrase structure of “Chopin, Op.74, No:6”

3.2.2 “Moja Pieszczotka”, Op. 74, No. 12

The year of this composition dates just after the time, around which Chopin has premiered his Ballade No. 1, Op. 23. The poem is written by Adam Mickiewicz in 1825. The meaning of the title is “My Darling” and the poem tells mainly about what a man’s lover does when she is happy and how her mood in turn effects him and fills him with more love to her. The composition is in the key of G-flat Major and the meter is 3/4 throughout the piece.

The lied begins with an eight measure introduction in G-flat Major. The first four measures tonicize the subdominant and the second half ends with a perfect authentic cadence on the G-flat major. The voice enters at m. 9 over a tonic chord. The first vocal phrase is also eight measures long and utilizes mostly the tonic and dominant areas. We only encounter one passing diminished chord on m. 13. At m. 16, the phrase ends with a perfect authentic cadence. The second phrase starts musically the same, but the text is different this time. We have the same passing diminished chord, located at the same place. However, the phrase does not end, where it is expected to be, but

postpones the cadence by tonicizing the supertonic with its diminished seventh chord. Then the real cadence is heard at m. 28 with a 6-5 suspension and the inversions make it an imperfect authentic cadence. Although not so frequent as it were in the previously analyzed Lied (Op. 74, No. 6), there are still some cadences, which end with a suspension as we got used to.

At m. 29, a new section starts, which contains new melodic material in it. Mode-mixture chords are used to create a dramatic atmosphere. In the first four measures, dominant is the resolution point of the mode-mixture chords and in the second half, subdominant is used. Towards the end of this new section, there is the climax of the piece on a high A, which comes with the word *sluchać*, which means “to listen”. The section ends with a half cadence on a dominant seventh chord.

The next section, starting at m. 37 is an exact repetition of the first eight-measure vocal phrase in the piece. In this regard, one would recognize a symmetry around the middle section B in the piece. This A phrase between mm. 37-44 ends with a perfect authentic cadence. The following phrase also starts like other A phrases, however it only keeps like that for four measures and then merges into a different section. The new section is a bit coda-like in character. There are no clear phrase structures and the music does not sound thematic. Instead, there is a tension building up with a chromatic rising trend towards another climax, which consists of two accented high notes. At m. 65, we hear an F with *fortissimo* dynamics and it lasts for more than three measures. Then it is followed by two falling notes and the pitch rises again, this time getting one more step higher, to G. This climax is inferior to the previous one in terms of treble range, however the dynamics are stronger here and the longer note values gives more emphasis to them. These two high notes are attached to the words “to want” and “to kiss”. Here, we see again, that Chopin always attached the emphasized notes to some verbs, which are also integral to the narrative of the poem.

From this point on, the music goes downward towards a perfect authentic cadence at m. 77, which is the last sung section of the lied. Afterwards we hear the instrumental closing section, which is exactly the same as the introduction of the piece. Hence it is appropriate to say that the piece is perfectly symmetrical around the B section. Only the last A section is altered and merged into something different. This symmetry can be better viewed in the Figure 3.28.

Section	Introduction	A	a'	B	a	A''	Closing Theme
Measure Number	1-8	9-16	17-28	29-36	37-44	45-77	78-85
Tonal Area	G ^b			D ^b -C ^b	G ^b		

Figure 3.28: Chopin, Op. 74, No. 12, Formal Organization Chart



4. UNIFYING FEATURES OF CHOPIN BALLADES AS A FORM AND GENRE

4.1 Connections to Literary and Historical Ballades

I was pretty convinced that I would find some inspirational interconnections between the ballades of Chopin and literary ballades, after reading the statement by Lubov Keefer: “Were one to confess total ignorance concerning an alleged tie between the Ballades of Chopin and the poetry of his friend-compatriot Adam Mickiewicz, he would be forever ostracized from among musical conoscianti.” (1946). However, I was unable to find any real evidence to prove it, except the information that the both romantic artists were in each others circle of friends and such an interaction is highly possible.

On the other hand, there are still some features of Chopin ballades that I have encountered during my studies, which definitely are reminiscences of the medieval ballade form. Firstly, we see the stanzaic structure in Chopin Ballades. Small phrase groupings of certain length often come together symmetrically to form larger phrases. At first glance, this might seem like a common feature of all composed music, but by going into a little bit deeper, one does also recognize that there is a rhyme scheme embedded under cadential progressions in those stanzas. I have provided the clearest example of this under my analyses of the Op. 23, First Ballade (Figure 3.2). To me, this is a perfect example, how the literary ballade tradition could be imitated in the music.

Another related aspect is the refrain concept of the medieval ballade form. Since a refrain is the most frequent part of a ballade before Chopin, which is repeated at the end of each stanza, one should definitely look for an analogy also in the Chopin Ballades. In my opinion, the recurring musical motives are the best possible counterparts of refrains in the instrumental music. This might be a melodic or a rhythmic motive. For instance, in the Op. 38, F Major Ballade, one rhythmic motive (Figure 3.9) is heard in every part of the piece. It is present in Theme 1, Theme 2,

middle section and even in coda. This is a direct analogy to a refrain, being present in every stanza in a medieval ballade. Of course, it is not metrically aligned to an extent as it would be in a strict ballade form. However, keeping in mind that this is not the only feature, in which Chopin departs from the regular practice in his compositional process; it is perfectly comprehensible as a stylistic feature.

4.2 Common Features as Agents of the Ballade Sound

In the quest of finding an overarching form between Chopin ballades, it was already obvious from early on, that a one master scheme would not fit for all four of them. Hence, what I was looking for was the features in the micro-scale, which cumulatively create the ballade sound. The sound I was speaking of in the beginning of the second chapter, which one could easily identify by hearing and comparing different genres with a ballade from Chopin, but could not describe it simply with words. Hence, one should look deeper to find those characterizing elements. I will make a list of certain parameters, which to me create this specific ballade sound, when they come together under Chopin's craft.

4.2.1 Role of the middle sections

All of the Chopin ballades have two fundamental themes, which repeat more than once during the unfolding of the pieces. Occasionally, one of the themes is a theme-group, but there is never a hierarchically equivalent section to the two main themes. There is some contrasting thematic material though, which adds up to the character of the piece. This new thematic material always emerges from the middle section in the Chopin Ballades.

In some cases, this new material is a part of the developmental middle and sometimes it opens up a subsidiary theme for itself. To be more specific, there is the waltz-like theme (mm. 138-150) in the G Minor Ballade, which is a part of the developmental middle (mm. 124-165) of the piece. Even though it is an internal theme for the developmental middle, this one sounds like a theme for itself. The middle section in the A-Flat Major Ballade (mm. 116-144) opens up a tertiary theme for itself. Even though it is still subordinate to the other two themes, this is a stand-alone theme in the piece. The fact that these two sections both sound waltz-like and have similar underlying rhythmical patterns are other unifying elements to be mentioned in the

following sections. In the Ballade No. 4, the organization is similar to the Ballade No. 1. The developmental middle starts at m. 99 with an episode and then it is followed by a Theme III, which also has a waltz-like atmosphere. The thematic material here is completely new. Even the last transitional episode contains some thematic material, which sounds melodic.

On the other hand, we have a more development-like middle section in the Ballade No. 2, but there is still fresh thematic material in it. In the F Major Ballade, the developmental middle takes place between mm. 82-139. Although the section begins with the material from the first theme, we see new thematic material starting from m. 98 onwards, which dominates the rest of the section, occasionally alternating with the first theme motives. As we clearly see from these examples, all Chopin Ballades have these contrasting thematic materials in their middle sections. The alternative to this might be to compose a conventional development section like in a sonata-allegro movement, which would develop the ideas from exposition and give a contrast to the piece before the arrival of the recapitulation. However, this would apparently not create the sound in Chopin's mind for his ballades. This must be the reason, why he insisted on this kind of use in all of his ballades' middle sections.

4.2.2 Common tone modulation

How the sections of a piece are bound to each other is an element, which effects the atmosphere of the music. As I analyzed the boundary processes between sections, I realized that the common tone modulation is one of the most frequently used elements by Chopin in the composition of ballades. In order for a common-tone modulation to occur, as described by Leinberger, there must be a sustained tone in the music. This tone must be a member of two different chords from two different tonalities, which are preceding and following the boundaries of this sustained note (n.d.).

In the F Minor Ballade (mm. 7-8), between introduction and the first theme, a modulation occurs via a held note over the bar line. In the F Major Ballade, first and second themes are tied with a common tone modulation (m. 45). Similarly, in the A-flat Major Ballade, the boundary process between the first and the second theme is a common-tone modulation (mm. 53-54, Figure 4.2). Lastly, in the first Ballade, there is a common tone modulation between the transitional episode and the second theme (mm. 65-67). Actually two tones are held on the course of three measures, but the

feeling is like a common tone modulation, because only those two notes are sustained for a long time. What matters in all of the Chopin Ballades is of course the feeling for our purpose. The held note rather suspends the piece for an extra moment and then the atmosphere changes with the new key. The feeling of a common-tone modulation as a boundary process gives a more rounded feeling in comparison to a clear-cut elision or a caesura, which feels more edgy. Hence, such a feeling adds up to the character of the ballade sound either.

4.2.3 Dominating rhythmic figures

One of the obvious things, which one would recognize at once while looking at Chopin Ballades is probably the fact that all of them are written in compound duple meters. Three of them are written in 6/8, with the only exception being the Ballade No. 1 and it is in 6/4 meter, which starts after a 4/4 introduction and ends with a 2/2 coda. Compound duple meter certainly supports the atmosphere of the works. Moreover, it also provides the ground for another unifying rhythmical aspect of the ballades. The concept in question is the iambic-trochaic rhythmic figures, which I already introduced in the second chapter.

The fact that all of the Chopin's ballades are in compound duple meters, creates a natural inequality between the possible rhythmical subdivisions of the beats. For instance, a dotted quarter note or a dotted half note cannot naturally be divided into two equal parts, whereas in a 4/4 or 2/4 meter the subdivisions are normally equal. The inequality between the subdivisions enables the long-short or short-long groupings of note values and this can act as an agogic accentuation element to create trochaic and iambic rhythms. The overarching parameter is of course the accentuation in general in the phrase orientation, which is given in more detail in the second chapter.

In the ballades of Chopin, we see these mentioned rhythmic figures frequently and they are present in each one of his ballades. The waltz-like section of the first ballade (Figure 4.1) for instance, is a characteristic example of an iambic rhythm. In the section between mm. 138-144, one can clearly hear that the accentuation is shifted to the second and fifth eight-note beats via the harmonization of the melody under these beats on the left hand. Another supporting feature is of course the agogic accent, in which the quarter note-half note rhythmic pattern on the left hand plays a role. Thus, we have a short note, followed by a long note in the rhythmic figure and this is an agent of the

iambic rhythm either. Another example of an iambic rhythm can be given from the A-flat Major Ballade's Theme IIa (Figure 4.2). Starting from m. 54, third and the sixth beats are harmonized, which gives the syncopated feeling to the section. So-called weak beats of the compound duple meter are accentuated. This one has an even stronger iambic feeling than the previous example, since the phrase orientation is also deviated from the naturally strong beats.



Figure 4.1: Chopin, Op. 23, mm. 138-141



Figure 4.2: Chopin, Op. 47, mm. 48-60

A trochaic rhythm will be the opposite of an iambic rhythm. Hence, we should be looking for an on-beat oriented and accentuated section. The Theme IIb from Ballade No. 3 is a characteristic example of this (Figure 4.3). This view is also supported by Evgeny Kissin's recording of the piece. Even though the left hand patterns are written as two eighth notes separated by an eight-note rest, the on-beat eighth notes are played longer, which gives the effect of the agogic accent.

For the sake of having at least one example from each ballade, I would like to include the first theme of the F Major Ballade, No.2 and the second theme of the F Minor

Ballade, No. 4 to the list of typical examples of a trochaic rhythm. Starting from m. 2 onwards, one can clearly hear the on-beat oriented quarter note to eighth note patterns in the Ballade No. 2. Similarly, we have the same feeling in the Ballade No. 4, starting from m. 80. Since we see these rhythms in every Chopin Ballade, this is definitely another unifying feature of these pieces, which serves to the ballade sound.



Figure 4.3: Chopin, Op. 47, mm. 81-85

Another feature, which is naturally enabled by the compound duple meter of the ballades are the ‘waltz-like themes’. They are frequently encountered in Chopin Ballades. The most conspicuous examples of these are found in the middle sections of the 1st and the 3rd Ballade. In Ballade No. 1, it is at the center of the developmental middle, between mm. 138-144 (Figure 4.1). This section is also exactly the midpoint of the piece. In the Ballade No. 3, the case is very similar. Waltz-like theme is at the second half of Theme III, between mm. 124-131 (Figure 4.4) and it is the middle section of the piece either.



Figure 4.4: Chopin, Op. 47, mm. 124-127

These are of course not strict waltz examples, but they invoke the waltz feeling and therefore the “waltz-like theme” term is used. In the two examples above, we see quick waltzes. On the contrary, in Ballade No. 4, we hear the first theme in form of a slow waltz and we see another moderate tempo waltz-like theme (mm. 112-121) in the developmental middle. Finally in Ballade No. 2, the beginning of the coda (m. 168) includes a waltz-like theme. Thus, regardless of the placement and the tempo, there is

always a waltz-like theme in all Chopin Ballades and this also brings a certain mood to these pieces, which plays a specific role in the formation of the ballade sound.

4.2.4 Characteristic Implementation of Functional Harmony

In the creation of the sound quality of the ballades, besides Chopin's melodic genius and the masterly built rhythmical patterns, usage of functional harmony definitely plays a role either. In the course of my analyses, I recognized that he deliberately uses certain tonal regions, while avoiding some others. I will discuss two main points in this regard. First one is the usage of third relations in the major sections of ballades. Second one is the avoidance of the dominant as a tonal region.

4.2.4.1 Usage of third relations

By examining the formal organization charts, which I provided under Figures 3.8, 3.12, 3.20 and 3.24, one would recognize that the tonal regions of the major sections of Chopin ballades are organized in a certain manner. Mostly used tonal regions are either a third above or a third below in relation to the tonic.

Reviewing the tonal regions of Ballade No. 3 under Figure 3.20, one would directly recognize how Theme II goes back and forth between C Major and F Minor tonal regions. Both of them are in a third relation with the tonic key of A-flat Major. Similarly by looking at Figure 3.8, the general scheme of Ballade No. 1, we see the first and the last presentations of Theme II, both being in E-flat Major, a third lower than the tonic G Minor. We also see a B-flat Major region included in the developmental middle, which is a third higher than the tonic.

4.2.4.2 Avoidance of the dominant as a tonal region

Despite some sonata-allegro form analogies with ballades, the tonal relations between sections are nowhere similar between the two genres. In a sonata-allegro movement, the main tonal region, which creates the tension with the tonic is always the dominant, if the home key is in a major key. This is not the case in a Chopin Ballade. As already discussed in the previous section, the mediant and submediant tonal regions are used widely in these pieces. The subdominant and even supertonic regions are to be seen, although not as frequently as the mediant and the submediant. On the other hand, one would hardly ever see an occurrence of the dominant as a tonal region.

If we take the example of the Ballade No. 2 for instance, even if this one is the only ballade, which somehow includes the dominant of the home key, it is only for a very short section. Moreover, these occurrences which only last for a few measures do not span a section for themselves, but they are modulatory. So, the tonality never gets rather established. The dual tonic scheme of the second ballade also denies the dominant as a tonal region, since the concerned C Major area is also the upper third of A Minor, which is the secondary tonic of this ballade.

Other than this, the only place we might spot a dominant tonal region is the introduction of the Ballade No. 4. The 7-measure introduction is in C Major, which resolves to F Minor with a common tone modulation. Except this example, there is no place in all four ballades in which the dominant of the home key becomes a tonal region for itself. Therefore, this seems like a specific feature for Chopin, which he deliberately avoids in these pieces and this also supports the idea of a unique ballade sound.

5. CONCLUSIONS AND RECOMMENDATIONS

As we reach the last chapter of my study, I have to admit that I was looking for something more concrete about the relation between Chopin Ballades as I began my research on this topic. However, as I progressed deeper in the work, I came to a better understanding of the subject and found out why this thought was unreasonable in the first place. Up front, if the interrelations between the ballades were so obvious that they create a concrete unifying form, many theorists would already have written some papers and even books about it without leaving any doubts on the issue. This, at first, demoralized me and made me think that my dissertation would not be worth writing. Nonetheless, I also realized that analyzing the ballades would not be this much interesting, if they had a monotonous clear-cut format. This would even not be something to expect from Chopin, who is one of the most innovative composers of the romantic era. Therefore, I enjoyed analyzing all the subtleties I could hear in the pieces and bring out my own inferences about how all Chopin Ballades might be interconnected. Doing so was both more satisfying for me and it was more idiomatic for the language of Chopin's works in my opinion.

5.1 Overview of the Inferences from the Current Study

Comparing the Chopin Ballades with the literary ballades and medieval ballade forms was a part of my study in order to draw some inferences about their possible connections with the ballade sound. The comparison with the romantic literary ballades was for me rather fruitless. In order to dig deeper in this topic, first, one should definitely have knowledge in a wider repertoire of literary ballades. Moreover, one should have already studied about the musical idioms, which have been used by other romantic composers to imitate stories told in literary ballades. Both of these feats, I did not possess at the beginning of this dissertation. Instead, I was able to draw some inferences from the possible connections between Chopin Ballades and the medieval ballade form. Imitation of rhyme schemes inside a stanzaic structure was one of the

successful results and the imitation of the refrain concept via blending in some motives to every section of ballades was the other.

The other part was about defining all the possible unifying features of Chopin ballades in a concrete basis, which are supported by the analyses of the four ballades and this was the more important and larger part of my study. The main parameters I was looking for in these analyses were form, harmony, rhythmical structures and phrase structures. I have categorized the outcomes of this part in three sections. First of them was the role of the middle sections in Chopin Ballades. All four ballades have middle sections, which act as a contrasting middle in the piece. In all of these sections, we see new thematic material, which did not exist previously in that piece. This is a different approach to a middle section, if we would compare it with a sonata-allegro development, in which the material from previous themes is developed. Second, I have mentioned the boundary processes between the sections in the music. I have recognized a recurring method that Chopin utilized, and this is the common-tone modulation. Chopin has adopted this device as a boundary process in his ballades. We see it in every one of them and in some, even more than once. The third and the last category was the dominating rhythmic figures throughout the pieces. Compound duple meter is the overarching meter in all Chopin Ballades and there are some features, which are enabled consequently. Trochaic and iambic rhythms are used widely and we see waltz-like themes in every one of the pieces.

5.2 Further Study

Due to time constraints and heavy workload, I had to downsize the scope of my work, which could also provide some more useful information in this study. I want to mention those points shortly as anchor points, which could later be used as expansions of the current study. One of them is to analyze some large-scale ballades from the 18th century. In this way, one could find out more about how Chopin might have used the roots of the most up-to-date ballade examples until his day. Second, is to have a deeper dive into the romantic literary ballade tradition. By doing this, a completely different study branch can be opened up as I discussed in the previous section. Finally, analyzing some 19th century romantic ballades, which are composed by ‘successors’ of Chopin (for the instrumental ballade genre) like Liszt, Brahms or Grieg. Those could also provide some comparison points to the current study to prove to which extent the other

composers took a Chopin Ballade as a model in their compositions. Another advantageous outcome of this last method would be the ability to interpret different musical motives as a symbol of the literary texts, since most of the following 19th-century instrumental ballades took a certain literary ballade as a departure point.





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CURRICULUM VITAE



Name Surname : Bariscan Senergin
Place and Date of Birth : Istanbul, 08.08.1990
E-Mail : bariscansenergin@gmail.com

EDUCATION :

- **Conservatory** : 2006, Mimar Sinan Fine Arts University, Part-Time Conservatoire Education, Violin Programme
- **High School** : 2007, Darüssafaka Educational Institutions
- **B.Sc.** : 2013, Istanbul Technical University, Faculty of Mechanical Engineering, Mechanical Engineering Department

PROFESSIONAL EXPERIENCE AND REWARDS:

- 2013-2015, Bass Player at “*Los Bosphorus Surfers*”
- 2015-2016, Bass Player at “*Frapan*”
- 2016-2018, Bass Player at “*Change the Password*”
- 2013-2017, Private Violin Instructor
- 2013-present, Bass Player at “*Daycare Underground*”
- 2017-present, Engineer at “*FEV TR Otomotiv ve Enerji Arastirma ve Mühendislik Ltd. Sti.*”

PUBLICATIONS, PRESENTATIONS AND PATENTS ON THE THESIS:

- **Senergin, B., Karaca, E., Emince, Y., Özata, E.** (2013). *ELEKTRİKLİ HAFİF TAŞITLARDA ARAÇ DİNAMİĞİ MODELLENMESİ, KONTROLÜ VE TASARIMI* (Bachelor’s thesis), Istanbul Technical University