Trends and Patterns in Chopin's Evolving Compositional Conception of Rhythm and Metre Practice: A Case Study of the 17 Waltzes (ca. 1829-1847)

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Abstract

This dissertation examines Chopin's 17 waltzes as a collection of miniature works, which I broadly categorise into either 'Virtuosic' or 'Sentimental' pieces, while also paying attention to the melancholic subset found within the sentimental waltzes. Musicologists and analysts have paid limited emphasis on these waltzes, only singling out and focusing on Chopin's published waltzes, with limited scrutiny of his unpublished dances.

I derive five rhythmic and metric principles which this study centres around: 'Unity and Contrast', 'Vibrancy', and 'Tension and Release'. Trends and patterns are uncovered while tracing the evolutionary journey that Chopin undertook in composing his waltzes from 1828 to 1847. These 20 years are broken down into three periods: Warsaw, mature, and the later years.

I further argue that the Warsaw waltzes play significant roles in how musical ideas originate, which Chopin uses in his later works, whilst varying them in his terms. As such, insights are drawn, enriching, and enhancing our understanding of Chopin's compositional practice of these waltzes. I also draw parallels between his waltzes and his miniature works found in his other genres (e.g., Mazurkas, Nocturnes, Preludes), and the works of other nineteenth-century composers. Lastly, I establish a weighted hierarchy comprising three levels (essential, frequent, and idiosyncratic), distinguishing how often Chopin uses these stylistic features.

This study raises several insights when examining Chopin's waltzes as a collection of dances, which otherwise would not have been brought to clarity. Key findings include how Chopin recollects distinct patterns when he wrote his waltzes, often culminating in more sophisticated ideas in the later waltzes like those in Op. 64. The melancholic subset including Chopin's own favourite (Op. 34, No. 2) comprise distinct rhythmic ideas used exclusively. Likewise, Chopin favoured the use of single-tone repetitions, acciaccatura motifs and multi-bar trills in the virtuosic waltzes. The oompah-pah was often varied in all his waltzes, while various metrical dissonances were used in both groups.

Within the waltz oeuvre, Chopin's compositional thought process is clearly mapped out through thoroughly investigating his more recognised published pieces and those in his private collections. This study affirms his relentless drive toward reinventing his rhythmic and metric ideas, while at the same time, opening possibilities for how he interpenetrates these notions across his other miniature works.

Table of Contents

Trends and Patterns in Chopin's Evolving Compositional Conception of Rhythm and Metre Practice: A Case Study of the 17 Waltzes (ca. 1829-1847) 1
Abstract 2
List of Figures 6
List of Tables 7
List of Examples 8
Acknowledgement 9
Author's Declaration 10
Chapter 1 Introduction 11
1.1 Approach 11
1.2 Research aims and objectives 11
1.3 Selecting a primary source(s) 13
1.4 Categorising the waltzes 16
1.5 Dates of compositions 18
Chapter 2 Unity and Contrast 20
2.1 Form and sectional analysis 20
2.1.1 Use of proportional frameworks 25
2.1.2 Forms used in Chopin's five melancholic waltzes 35
2.1.3 Weighted hierarchy of stylistic features of waltzes 39
2.2 Oompah-pah: variations and frequency 41
2.2.1 Three trends in how Chopin varied the accompaniment 45
2.2.2 The accompaniment's extended role 49
2.2.3 Classifying the oompah-pahs 50
2.3 Introduction and Coda 51
2.3.1 The waltz's introduction 51
2.3.2 Coda 54
2.3.3 Classifying the Introductions and Codas 58
2.4 Foreground rhythmic themes and motifs 60
2.4.1 Single-tone repetitions 60
2.4.2 'Grief motif' in Chopin's waltzes 64
2.4.3 Melodic arches: A musical representation of waltzes 67
2.5 Multipartite publications of Op. 34 and 64 70
2.6 Key takeaways 72
Chapter 3 Vibrancy 75
3.1 Hypermetrical analysis 76

3.1.1 Introductions and codas 77
3.2 Phrase enlargements 81
3.2.1 Other phrase groupings 85
3.2.2 Classifying Chopin's phrase enlargements 87
3.3 Accents 88
3.3.1 Harmonic rhythm 89
3.3.2 Ornamental accents 94
3.3.3 Acciaccaturas 98
3.3.4 Multiple bars of trills and fioritura 99
3.3.5 Conventional and Long Accents 102
3.4 Mazurka rhythms featured in waltzes 104
3.5 Rhythmic and ornamental variants 107
3.6 Counterpoint 112
3.7 Key takeaways 115
Chapter 4 Tension and Release 118
4.1 Metrical dissonances 118
4.2 Hemiolas 127
4.3 The conflict between harmony and metre 129
4.4 Metrical disruptions and ambiguities 135
4.4.1 Fermatas 137
4.4.2 Rests 139
4.5 Overcoming the 'tyranny of the four-measure phrase' 141
4.5.1 Phrase asymmetry and phrase overlaps 142
4.5.2 Slurring against phrase structures 146
4.5.3 Phrase enlargements 148
4.6 Multiple points of tension 149
4.7 Key takeaways 152
Chapter 5 Conclusion 154
5.1 Reflections: An autobiographical perspective 154
5.2 Alternative approaches to analysing Chopin's waltzes 156
Bibliography 159

List of Figures

Figure 2-1 Formal tendencies in Chopin's waltzes 23
Figure 2-2 Proportional Expansion and Contraction in Chopin's waltz forms 25
Figure 2-3 Op. 18's form 27
Figure 2-4 Op. 42's sectional proportions 29
Figure 2-5 Op. 64, No. 1's sectional proportions 29
Figure 2-6 Forms of waltzes with proportional sectional contractions 34
Figure 2-7 Forms of Chopin's five melancholic works 36
Figure 2-8 Summary of formal and sectional themes 38
Figure 2-9 Weighted hierarchy of forms and sectional features 40
Figure 2-10 Summary of oompah-pahs found in Chopin's waltzes 48
Figure 2-11 Hierarchy of accompaniments featured in Chopin's waltzes 50
Figure 2-12 Summary of introduction and codas featured in Chopin's waltzes ... 59
Figure 2-13 Hierarchy of introduction and codas featured in Chopin's waltzes .. 59
Figure 2-14 Summary of single-tone repetitions found in Chopin's waltzes 63
Figure 2-15 Melodic arches in virtuosic and sentimental waltzes 70
Figure 3-1 Summary of phrase enlargements in Chopin's waltzes 87
Figure 3-2 Classifying phrase enlargements used in Chopin's waltzes 88
Figure 3-3 Juxtaposing bars 1 to 8 with bars 29 to 36 of Chopin's Op. 34, No. 2. Hamburger, *Frederick Chopin*. 93. 89
Figure 3-4 Changes in harmonic rhythms found in Chopin's waltzes 93
Figure 3-5 Various harmonic rhythms employed in Chopin's waltzes 93
Figure 3-6 Three common signs that Chopin uses 95
Figure 3-7 Evolution of trills and fioritura in Chopin's Waltzes 102
Figure 4-1 Metrical dissonance in sections C and E, Op. 18 121
Figure 4-2 Metrical dissonance in sections A and the coda of Op. 18 123
Figure 4-3 Metrical dissonances that appear in Chopin's waltzes 126
Figure 4-4 Hierarchy of metrical dissonances in Chopin's waltzes 126
Figure 4-5 Hemiolas that appear in Chopin's waltzes 128
Figure 4-6 Comparing the melodic arches of the waltzes in E major, E minor and D-flat major 132
Figure 4-7 Example of a 'loud rest' positioned as a downbeat. London, *Hearing in Time*, 87. 139
Figure 4-8 Metrical disruptions and ambiguities in Chopin's waltzes 140
Figure 4-9 Ambiguous divisions in Schumann's antecedent and consequent, Kreisleriana, Op. 6's first movement, bars 1 to 8. Schmalfeldt, *Oxford Handbook*, 325. 142
Figure 4-10 Phrase ambiguity in Chopin's mazurka Op. 59, No. 1, bar 42. Rothstein, *Phrase rhythm in Chopin's nocturnes and mazurkas*, 129. 145
Figure 4-11 Long slurs established in Chopin's waltzes 148
Figure 4-12 Sources of tension in Chopin's virtuosic waltzes 150
Figure 4-13 Sources of tension in Chopin's sentimental waltzes 152
Figure 5-1 Significant trends and patterns in Chopin's waltzes 154
Figure 5-2 A summary of rhythmic and metric features in Chopin's waltzes 156

List of Tables

Table 1-1 Primary source(s) of Chopin's 17 waltzes 16
Table 1-2 Categorising Chopin's waltzes in chronological order by date of composition 18
Table 2-1 Frequency of oompah-pahs in Chopin's waltzes.....43
Table 2-2 Parallel themes established between introductions and the main body 53
Table 2-3 Motivic parallelisms between codas and earlier sections in virtuosic waltzes 57
Table 2-4 Motivic parallelisms between codas and earlier sections in sentimental waltzes 58
Table 3-1 : Alternating harmonic rhythms in A-flat major waltz, autograph version 91
Table 3-2 Frequency of ornamental accents in Chopin's waltzes.....97
Table 4-1 Metrical and tonal emphasis juxtaposed with the accompaniments from Waltzes E major, E minor and D-flat major..... 133
Table 4-2 Metrical dissonance and consonances generated by phenomenal accents in both hands of waltzes E major, E minor and D-flat major..... 134

List of Examples

Example 2-1 Op. 18, bars 180 to 188. Grabowski, *Chopin Waltzes*, 6. 28
Example 2-2 Op. 18, bars 1 to 4 28
Example 2-3 Op. 64, No. 1, bars 69 to 76 30
Example 2-4 Comparing Op. 34, No. 2, bars 152-153, and bars 188-189 37
Example 2-5 Op. 34, No. 2, bars 179 to 186 47
Example 2-6 Two-quaver motif from Op. 34, No. 2, bars 1 to 3 65
Example 2-7 Three-quaver motif from Op. 34, No. 2, bars 29 to 31 66
Example 2-8 Four-quaver motif from Op. 34, No. 2, bars 33 - 46 66
Example 2-9 Weber's *Der Freishutz*. McKee, Decorum of the Minuet. 149. 68
Example 2-10 Melodic arches in Op. 34, No. 3, bars 81 to 88 69
Example 2-11 Weber's *Aufforderung zum Tanz*, bars 1 to 9, Kohler, 794. 70
Example 3-1 Op. 34, No. 1, bars 1 to 17 78
Example 3-2 Comparing Op. 18's phrase prototype (bars 221 to 228) with its phrase extension (bars 229 to 238) 84
Example 3-3 Op. 42's 12-bar phrase, bars 153 to 164 86
Example 3-4 Op. 64, No. 3's harmonic structure, bars one to eight 92
Example 3-5 Op. 70, No. 1, bars one to three 96
Example 3-6 Use of trills in E major waltz, bars 29 to 32 98
Example 3-7 Use of acciaccaturas in E minor waltz, bars 13 to 16 98
Example 3-8 Chopin's use of trills in the B major Nocturne, Op. 62, No. 1, bars 68 to 70. Walker, *Fryderyk Chopin A life and times*..... 100
Example 3-9 Use of accent from the B minor waltz, bars 25 to 28 (versions C1, C2 and P) 103
Example 3-10 Use of accents from the Op. 70, No. 1 waltz (versions A1 and A2) 104
Example 3-11 A typical mazurka rhythmic feature employed by Chopin. Samson, *Music of Chopin*, 111. 106
Example 3-12 Variations of the Waltz in B minor's C1, C2 and P versions, bars 12-13 109
Example 3-13 Variations of Op. 69, No. 1's A1 and A3 versions, bar 3 110
Example 3-14 Variations of Op. 70, No. 2's A3 version, bars 22 and 30 110
Example 3-15 Comparing the introductory gestures of Op. 64, No. 1 (bars 1 to 4, and bars 69 76) 111
Example 3-16 Op. 42, bars 9 to 13 114
Example 4-1 Metrical dissonance in Op. 18, bars 80 to 82 120
Example 4-2 Two metrical interpretations of bar 17 to 22, Op. 34, No. 3 122
Example 4-3 Metrical dissonance in Op. 64, No. 1, bars five to eight..... 123
Example 4-4 Metrical dissonance in Op. 69, No. 1, bars 41 to 48..... 124
Example 4-5 Metrical dissonance in Chopin's Mazurka Op. 17, No. 1, bars 49 to 52 125
Example 4-6 Chopin's use of fermata in Mazurka, Op. 24, No. 3, bars 1 to 10. Palmer, *Chopin Mazurkas for the Piano*, 46. 138
Example 4-7 A pause dividing the reprises of Sections A and B, Op. 42 139
Example 4-8 Phrase ambiguity in the opening of Op. 34, No. 2's section A and its reprises 144

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'Thy Word is a lamp unto my feet and a light unto my path', Psalm 119:105

The above is one of my favourite bible verses and its promise has constantly assured me during the last year. God has indeed kept his promise. His steadfast love has kept me focused, persistent and undeterred, and I am most thankful for His unmerited favour.

My late father, a prominent academician in the field of medicine and a medical practitioner, was my inspiration. His passion and dedication to his field of study have reminded me that hard work always pays off. My late Godfather, who passed on last year, took on the responsibility of fathering a naïve, wide-eyed younger me when my father passed on earlier. I fondly and affectionately dedicate this dissertation to him. My mentor, Mr Ng Kok Cheow, has also inspired me to continuously quench my thirst for knowledge.

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Author's Declaration

I declare that, except where explicit reference is made to the contribution of others, that this dissertation is the result of my own work and has not been submitted for any other degree at the University of Glasgow or any other institution.

Printed Name: John Monteiro

Signature:

Chapter 1 Introduction

1.1 Approach

In my thesis, I adopt an approach which is analytical, rather than hermeneutical, studying the waltzes' structures and centring on five fundamental principles: unity, contrast, vibrancy, tension, and release, and examining the varied and interconnected roles of rhythmic and metric features in the waltzes, as classified under two main types: 'virtuosic' and 'sentimental'. This procedure takes into account the waltzes' formal overview, their distinctive rhythmic ideas and foreground themes common amongst waltzes. At times, hypermetrical analysis is performed to examine alternative metrical interpretations that may conflict with the 'oompah-pah' patterns, that would be expected to prevail in these dances. Finally, I examine the dances' critical transitional sections including introductory passages and codas, discussing how Chopin utilises them in both his published and unpublished works.

In addition to the formalist approach, I also examine Chopin's overall compositional process from 1829 to 1847, observing trends and patterns in the virtuosic and sentimental groups, and examining how the composer revisits and varies rhythmic gestures across these groups. Although my research does not centre on the listener's experience, there is much potential in this area to cross-reference between scores and recordings, giving rise to a deeper understanding of the relationship between music analysis and perceptual experience, and reconciling empirical approaches with performance studies.

1.2 Research aims and objectives

This study aims to analyse Chopin's rhythmic and metric practices in his waltzes and thus contribute to understanding a dimension of his compositional concern hitherto subjected to minimal analytical attention. My primary approach is analytical, rather than hermeneutical, studying the waltzes' structures and centring on five fundamental principles: unity, contrast, vibrancy, tension, and release, and examining the varied and interconnected roles of rhythmic and metric features in the waltzes, as classified under two main types: 'virtuosic'

and ‘sentimental’. I also draw on analytical approaches to significant aspects of rhythm and metre postulated by such scholars as Charles Burkhart, Christopher Hasty, Harald Krebs and Justin London, to name a few.

While scholars have often investigated the more established waltzes (i.e., the published ones), they also tend to view these dances in isolation rather than collectively. Chopin’s waltzes are also often viewed as lightweight. However, by consolidating key concepts and analysing how the waltzes interact, I shall present an alternative approach to looking at Chopin’s dances. This process allows one to perceive Chopin’s waltzes as a set of dances rather than individual, miniature works and understand how these compositions evolve and change over time. This study demonstrates alternative perspectives of his compositional practice, including common techniques and concealed nuances, leaving his fingerprints on nineteenth-century waltzes.

Objectives

1. To establish and expound on the five principles: unity, contrast, dynamism, tension, and release, which are used to examine the interconnectivity between dances within and across the virtuosic and sentimental types; highlighting rhythmic and metric trends and patterns; postulating their origination and tracing their evolutions across three periods: Warsaw, mature and later years; thus, laying the groundwork for (2) to (4).

2. To propose that Chopin’s waltzes be viewed as a collection of dances, rather than in isolation, highlighting pivotal waltzes that shape and define the overall development of each type, arguing that the dances be perceived as serious components of Chopin’s achievement and integral to what he achieved as a whole. As such, this enriches the picture of Chopin as a composer, illuminating further his compositional practises of miniature works [1].

[1] Kallberg argued that Chopin’s Preludes – another genre that represented the Polish musician’s smaller works, be given greater importance. See Jeffrey Kallberg, ‘Small “Forms”: In Defence of the

3. To establish the importance of the Warsaw waltzes as instrumental works where ideas were created, developed, and recollected over 18 years from 1829 to 1847; hence contributing to the scholarly understanding of a relatively neglected area in Chopin's musical *oeuvre*.

4. To develop a weighted hierarchy of stylistic features, delineating three characteristics: 'essential', 'frequent' and idiosyncratic' that define Chopin's evolving approach to this particular dance genre and drawing distinctions amongst waltzes.

1.3 Selecting a primary source(s)

Selecting an accurate, scholarly edition is critical in conducting an in-depth study of Chopin's waltzes. After Chopin's death, numerous editions have been published, factoring in Chopin's habit of continuously revising his works. According to Jeffrey Kallberg, Chopin also inconsistently altered one or another engraver's manuscript or printed edition and not the others.[2] An abundance of manuscripts, sketches, original editions, and later alterations transpired, hence offering many varied – sometimes contradictory - insights into his compositional styles. As if this set of circumstances was not already complex enough, the lack of copyright protection in the nineteenth century compelled him to publish distinct versions in France, Germany, and England. Fortunately, users currently are not overwhelmed by the many variations of any single work, primarily because of the web resource Chopin Online (www.chopinonline.ac.uk).[3] This easily accessible depository with state-of-the-art features allows users to access and conduct a bar-by-bar comparative analysis of his early editions, including the 17 waltzes.[4]

Prelude', in *The Cambridge Companion to Chopin*, ed. Jim Samson, Cambridge Companions to Music (Cambridge: Cambridge University Press, 1992), 124–44, https://doi.org/10.1017/CCOL9780521404907.008.

[2] Jeffrey Kallberg, 'The Problem of Repetition and Return in Chopin's Mazurkas', in *Chopin Studies*, ed. Jim Samson (Cambridge: Cambridge University Press, 1988), 1.

[3] Homepage | Chopin Online', accessed 20 November 2021, http://www.chopinonline.ac.uk/.

[4] The Chopin Online was conceived more than 20 years ago, when John Rink, Christophe Grabowski and a team of experts had a vision of designing a digital resource that synthesises Chopin's first editions and later works for scholars and musicologists.

In 2011, a 'New Critical Edition' of the Chopin *Waltzes* was produced by Christophe Grabowski for the Edition Peters *Complete Chopin*, furthering the work undertaken in the Chopin Online project. This edition gives a comprehensive analysis of leading international Chopin scholars and retains many of Chopin's original notations of the music text, dynamics, articulation, fingerings, and pedalling. A team of scholars comprising John Rink, Jim Samson, Jean-Jacques Eigeldinger and Christophe Grabowski worked on the premise that there was no single established version of Chopin's work, and there should not be any conflation of readings between multiple sources. This edition selects a primary source for each work but multiple sources are provided in cases where the differences between sources are extreme. Variants in each waltz feature within the primary source and are supported by a 'Critical Commentary', offering vital insights for both performers and musicologists. The principal source(s) were selected from a range of Chopin's early works, including autograph manuscripts, proofs, first editions and editions of pieces for which no source material survives. Other influential factors in selecting principal sources included Chopin's presence in Paris, where he had more control over the publication process than in England or Germany. In this case, the authors preferred the French first edition.[5] As such, the Peters edition of the waltzes will be my principal source, with a list of each waltz's primary source(s) put forward in Table 1-1. The waltzes are listed in chronological order by date of composition.[6]

[5] Christophe Grabowski, *Waltzes*, A New Critical Edition for The Complete Chopin (London: Edition Peters, 2011), 123.

[6] Jim Samson, *Chopin* (New York, United States: Oxford University Press, 1996), 301.

S/N	Name/date of composition	Primary source (s)
1.	Waltz in B minor, Op. 69, No. 2 (1829)	C1: copy attributed to Wojciech Zywyn C2: copy prepared by an unidentified copyist P: Polish first edition, 1842
2.	Waltz in D-flat major, Op. 70, No. 3 (1829)	F: French first edition, July 1855
3.	Waltz in E major, KK 1207-8 (1829)	P1: Polish first edition, 1861
4.	Waltz in A-flat major, KK1209-11 (1830)	A: Autograph from the album of Mrs Le Brun G: German first edition, 1902
5.	Waltz in E minor, KK1213-14, (1830)	P2: Corrected reprint of Polish first edition, 1868
6.	Waltz in E-flat major, Op. 18 (1831-32)	F2: Corrected reprint of French first edition, June 1834
7.	Waltz in G-flat major, Op. 70, No. 1 (1832)	A1: Autograph, dated 'Paris 8/8/32' A2: Autograph, 1833
8.	Waltz in A minor, Op. 34, No. 2 (1834)	Working autograph
9.	Waltz in A-flat major, Op. 69, No. 1 (1835)	A1: Autograph, dedicated and dated 'pour M Marie, Drezno Sept. 1835 A3: Autograph, dedicated and dated 'a Mademoiselle Charlotte de-Rothchild, homage F. Chopin, Paris 1842
10.	Waltz in A-flat major, Op. 34, No. 1 (1835)	F2: Corrected reprint of French first edition, December 1838
11.	Waltz in F major, Op. 34, No. 3 (1838)	F2: Corrected reprint of French first edition, December 1838
12.	Waltz in A-flat major, Op. 42 (1840)	F: French first edition, June 1840

S/N	Name/date of composition	Primary source (s)
13.	Waltz in F minor, Op. 70, No. 2 (1842)	A3: Autograph, dedicated 'a M Elise Gavard A5: Autograph, bequeathed by the Rothchild family P: Polish first edition, 1852
14.	Waltz in D-flat major, Op. 64, No. 1 (1847)	F1: French first edition, November 1847
15.	Waltz in C-sharp minor, Op. 64, No. 2 (1847)	F: French first edition, November 1847
16.	Waltz in A-flat major, Op. 64, No. 3 (1847)	F: French first edition, November 1847
17.	Waltz in A minor, KK 1238-9 (1847)[7]	A2: Autograph

Table 1-1 Primary source(s) of Chopin's 17 waltzes

1.4 Categorising the waltzes

Traditionally, music scholars have categorised Chopin's waltzes in several ways, such as published or unpublished, or as 'concert' or 'salon' style. Grabowski accredits Chopin's eight published waltzes first, followed by nine unpublished ones.[8] On the other hand, in the Fryderyk Chopin Institute website established in Warsaw in 2001, Arthur Bielecki, a musicologist and graduate of Warsaw University, categorises the dances as 'concert' and 'salon' waltzes to distinguish between Chopin's grander and more significant contributions to the genre and the more miniature, sentimental works.[9] Finally, in a much earlier book, *Chopin's Musical Style*, Abraham generally comments on Chopin's common form employed in his compositions. He observes that the Polish composer's 'elementary formula ABA is the structural basis of most of his pieces, albeit, at

[7] Although four waltzes were composed in 1847, Waltz in A minor is listed after the three waltzes of Op. 64 as it was published later in 1955.

[8] Chopin, *Waltzes.*

[9] 'Narodowy Instytut Fryderyka Chopina', accessed 16 November 2021, https://nifc.pl/en/o-nas.

times, with the ternary form transfigured.[10] Chopin closes most of his virtuosic works with a bravura coda. He often provides variations to the ABA musical form in his other waltzes, basing it on the rudimentary principles of departure and return.

For this dissertation, I believe it is helpful to establish a chronology as an added dimension, charting the waltzes by periods whilst refining the categorisations scholars have put forth. An exact sequence of compositions makes it possible to trace the evolutionary changes and gain a sharper perspective on how the different waltzes coexist. In Table 1-2, I break down the waltzes into two compositional groups under slightly different labels than those so far proposed: 'Virtuosic' and 'Sentimental', rather than 'Concert' and 'Salon', thus distinguishing the principal styles (rather than the ostensible performing locations) of both groups. This form of categorising brings clarity when the stylistic features of each group are provided. The 'Virtuosic' compositions - typically significantly grander works - usually feature a relatively distinct prefatory gesture and coda. 'Sentimental' waltzes, by contrast, offer a sensitive portrayal of emotions and are generally shorter, with much of their lyricism ascribed to Chopin's love of early nineteenth-century Italian opera.[11] The naming of both categories does not in any way imply a pejorative attitude towards these miniature works. 'Virtuosic' implies skill and performative display, not superficial technical prowess; 'Sentimental' implies an embodiment of human feeling, not forcibly or overly emotional in a self-indulgent way.

Furthermore, five of the waltzes within this group have a deep sense of sadness in character, which I classify into a subgroup I call 'melancholic subset'. Some waltzes within the sentimental group are joyful (Op. 70, No. 1), while others are graceful and elegant (B minor waltz and Op. 64. No. 3).

Most of the dances can easily be organised into these two basic categories, although there are instances when a waltz bears characteristics of both. To take one example from the sentimental group, the E major waltz composed in 1829

[10] Gerald Abraham, *Chopin's Musical Style* (London: Oxford University Press, 1939), 48.

[11] Jim Samson, *Music of Chopin* (New York, United States: Oxford University Press, 1985), 81.

carries features similar to Op. 18, with a hemiola-driven prefatory section and acciaccatura motifs. Yet, the outer sections - which feature the waltz's main theme - are lyrical with a seamless interplay of diatonic and chromatic melodies.

Beyond the two categories, Table 1-2 also places the waltzes in chronological order, according to three periods: Warsaw, Mature and Later years. For clarity, I denote published waltzes with their opus number. As shown in the table, most virtuosic waltzes were written in the mature period, which led to publications after 1830. On the other hand, there were consistently three or four sentimental waltzes written in each period.

	Warsaw (1829-1830)	**Mature (1831-40)**	**Later Years (after 1841-1847)**
Virtuosic (7)	A-flat major (1830) E minor (1830)	Op. 18 (1831/32) Op. 34, No. 1 (1835) Op. 34, No. 3 (1838) Op. 42 (1840)	Op. 64, No. 1 (1847)
Sentimental (10)	B minor (1829) D-flat major (1829) E major (1829)	G-flat major (1832) Op. 34, No. 2 (1834) A-flat major (1835)	F minor (1842) Op. 64, No. 2 (1847) Op. 64, No. 3 (1847) A minor (1847)

Table 1-2 Categorising Chopin's waltzes in chronological order by date of composition

1.5 Dates of compositions

The inconsistency of the compositional dates quoted by different scholars requires discussion, although the differences are minor. For example, Eric McKee established that the first waltz, in A-flat major, was written between 1826 and 1830, whereas Samson indicated '1830' in his 1996 book, *Chopin*.[12] Currently, there is no edition with a definitive set of dates. Scholars have tried to address this, including Teresa Turło, a Polish musicologist who called for a 'modern

[12] Samson, *Chopin*, 1996, 304.

catalogue' to establish a precise chronology of Chopin's works, observing that Chopin's extant works are 'scattered' and 'incomplete'.[13]

In contrast, Samson provides a proposed list of the compositional dates of Chopin's works, including his waltzes from the 'List of Works' located in Appendix B of his 1996 book. This list, primarily based on extensive research from Chominski and Turło, *Katalog Dziel Frederyka Chopina,* also refers to the examination of Jeffrey Kallberg's dating of autograph manuscripts in the nineteenth century.[14] As such, Samson's proposed dates of Chopin's compositions will be the primary reference for this study.

[13] Teresa Dalila Turło, 'On the Chronology of Chopin Works', Polish Music Centre, accessed 20 November 2021, https://polishmusic.usc.edu/research/publications/polish-music-journal/vol3no1/chronology-of-chopin/.

[14] According to Z. Szweykowski in the *Grove Music Online*, Jozef Chominski was a Polish musicologist whose main interest was in Polish music and Chopin in particular.

Chapter 2 Unity and Contrast

This section analyses how Chopin establishes unity and contrast in various musical dimensions, beginning with an examination of his formal waltz structures and the deployment of introductions and codas. At the surface level, I shall also investigate Chopin's use of the accompaniment layer and motivic parallelisms existing amongst the waltzes, including single-tone repetitions, moto perpetuo passages and other rhythmic themes.

2.1 Form and sectional analysis

19th-century early forms

Before reviewing the various forms that Chopin employed in his waltzes, it is helpful to provide a brief background on other nineteenth-century composers' approaches to dance forms. At the turn of this century, it continued to be common for many musicians to compose such dance pieces in a simple ternary form. For example, many of Schubert's waltzes took a straightforward ABA form, comprising sections spanning 8 to 24 bars (e.g., *Erste Walzer* D365). At other times, his waltzes featured a distinct Trio section (e.g., *Letzte Walzer* D146).

According to McKee, whose 2012 book on triple metre dances is one of the key resources on the subject, by 1810, the waltz had become widely accepted as a popular music composition, and its role as a dance rivalled its predecessor, the minuet. The waltz then quickly 'ascended the terpsichorean ladder as the most popular ballroom dance in Europe and beyond'.[15] Its acceptance was primarily due to Johann Strauss Sr. and Joseph Lanner's contributions, which significantly expanded the dimensions of this genre. Strauss's *Täuberln-Walzer*, Op. 1 (1826) was an example, consisting of seven different waltzes, all comprising two eight-bar sections, to which a final extended 16-bar section was added.[16]

Michael Tusa further observes that in 1819, Carl Maria von Weber's waltz composition, *Aufforderung zum Tanz,* represented the 'first significant attempt

[15] Eric McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time* (Bloomington & Indianapolis: Indiana University Press, 2012), 91.

[16] Andrew Lamb, 'Waltz (i)', Grove Music Online, accessed 29 November 2021, https://doi.org/10.1093/gmo/9781561592630.article.29881.

to transform the dominant social dance of the day, the waltz, into a concert piece for piano'. This waltz comprises a formal introduction and coda that flanks the main body, making it the 'progenitor for the concert waltzes of Chopin and later pianists.'[17]

Warsaw years

During Chopin's youth, dance was a vibrant and popular activity in Warsaw, deeply woven into its society's social and economic fabric. McKee asserts that the Polonaise was Poland's favourite dance in the early years of the nineteenth century, but the waltz overtook it from 1815 to 1825.[18] Reinforcing this point, Halina Goldberg further proposes that Chopin's proficiency as a dancer enhanced his compositional output in which dances made up a significant portion of his oeuvre.[19] McKee went one step further, demonstrating in detail how the physical motions of these dances influenced the Polish composer's musical structures. In particular, he argues that in some of Chopin's waltzes, he 'strategically highlights the bar of the woman's twirl and captures its dynamic energy'.[20]

Chopin's experimentation with the waltz form commenced in Warsaw when he cautiously relied on the simplest version of the ternary form, writing his first two virtuosic waltzes and three sentimental waltzes. He uses not more than three or four distinct themes in these waltzes. The relatively unsophisticated form of the Warsaw waltzes offers a useful point of comparison for later works; their simple forms operate as a basic ground plan from which he later deviates. The strategy of repeating earlier materials through the ternary forms, in the words of Lawrence Zbikowski, 'takes music out of time' by interrupting the flow of musical events and holding them up for reflection, suggesting the 'conditions

[17] Michael C. Tusa, 'In Defense of Weber', in R. Larry Todd, ed., *Nineteenth-Century Piano Music*, 2nd ed, Routledge Studies in Musical Genres (New York: Routledge, 2004), 169

[18] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 138.

[19] Halina Goldberg, *Music in Chopin's Warsaw* (New York, United States: Oxford University Press, 2008), 64.

[20] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 165.

for their emergence are in some way significant'.[21] However, there was a predictable nature to this form; listeners anticipate a literal repetition signifying a form of closure to the dance. As Kallberg explains, complete returns of earlier sections provoke an ambivalent response: The repetition magnifies individual themes but represents a termination that stops rather than closes. Eventually, Chopin opted to explore other variations to form in the waltzes during the mature years and ceased utilising the pure ternary form.[22] In contrast, he continued to favour complete returns in the mazurka's opening sections even in the mature years, as reflected in two Mazurka examples: Op. 7, no. 2 in A minor (1830-32) and Op. 17, no. 1 in B-flat major (1833).

Chopin's two versions of the non-sophisticated A-flat major waltz - the German first edition in ABA format and the autograph edition in ABA' format – deserve mention. In these two waltzes, two oddities reveal the composer's early compositional ideas destined to find fertile development in the mature and later years. Composed in 3/8 time, the dance comprises a disproportionately short eight-bar Trio (the shortest of middle sections amongst his works) against a much lengthier 64-bar A section, eight times longer. Chopin would never curtail the central material of his future waltzes to such an extent, nor would he return to the 3/8 metre, opting instead for the more expected 3/4 metre in his other 16 waltzes.

The E minor waltz – the virtuosic counterpart of the A-flat – joins an abbreviated reprise to a coda, hence taking on a linear approach leading towards a goal-oriented climax contrasting with the ABA form of the waltz in A-flat. This dance was the first time that Chopin flanks his music with both an introduction and coda (the latter violating the rule of four-bar symmetry) and foreshadows the more mature style that Chopin began to use consistently in his mature years. As part of this mature stylistic form, the reprise's role serves as a transition to the coda, representing the culmination of the waltz.

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[21] Lawrence M. Zbikowski and Elizabeth Hellmuth Margulis, 'Review of On Repeat: How Music Plays the Mind, Margulis Elizabeth Hellmuth', *Music Theory Spectrum* 39, no. 1 (2017): 124, http://www.jstor.org/stable/90012445.

[22] Todd, *Nineteenth-Century Piano Music*, 229.

Mature years

After Chopin departed from Warsaw in November 1830, Rink observes that Chopin had a 'greater awareness of tonal architecture' and as such generated a greater sense of sophistication in his waltz compositions. One also notices that Chopin began to use the abbreviated and extended ternary form in both groups of waltzes, abandoning the pure ABA format altogether (see Figure 2-1). At the same time, he also began to use the rondo form in his compositions.

Rink offers several other possible explanations for this maturity in stylistic development, including Chopin's receptivity to the influence of Vienna's cosmopolitan society and his new devotion to composing after abandoning the idea of advancing his career as a performer.[23] Halina Goldberg provides an alternative hypothesis. She suggests that Weber, Hummel and Szymanowska, as well as other active composers based in Poland (e.g., Franciszek Siekierski, Ignacy Chudoba, and Piotr Siegristto), influenced and inspired Chopin in transitioning to a non-utilitarian approach to dance, distancing from the sectional, melodic and harmonic simplicity of the Warsaw waltzes.[24] Rink's and Goldberg's viewpoints are not mutually exclusive, attributing to Chopin's influences and leading him to refine his waltzes.

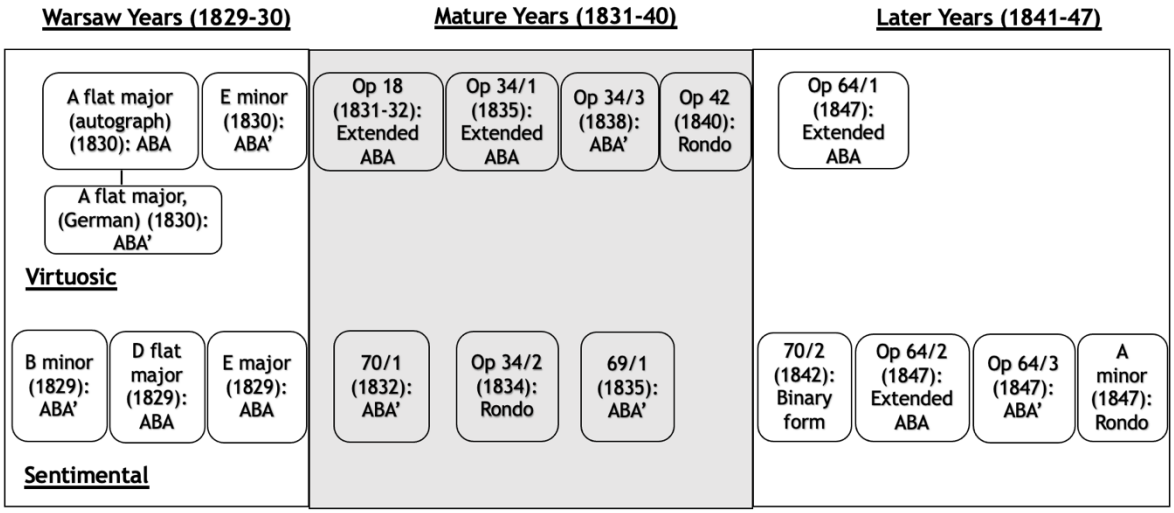


Figure 2-1 Formal tendencies in Chopin's waltzes

[23] Samson, Jim, *The Cambridge Companion to Chopin* (Cambridge: Cambridge University Press, 1992), 212, https://doi.org/10.1017/CCOL9780521404907.006.

[24] Goldberg, *Music in Chopin's Warsaw*, 78.

Particularly in the case of Chopin's sectional returns, scholars have largely agreed on a common explanation for his intent. Rink rationalises that Chopin wished to add greater variety and interest and prevent a 'dissipation of momentum generated by the closure of the symmetrical structural progression when the tonic key returns'.[25] In his essay 'Hearing Poland: Chopin and Nationalism', Kallberg discusses Chopin's mazurkas in terms that could be similarly applied to waltzes when he suggests that Chopin aims to provide functional differentiation by tampering with the final statement (see Mazurka Op. 6, No. 3 and E major, Op 7 No 3 F minor for examples); a similar treatment applied in the Warsaw years.[26] Both Chopin's sentimental waltzes (B minor) and virtuosic ones (A-flat German edition and E minor waltz) involve abbreviations of the final statement. When he began using the coda for the first time in the E minor waltz, the reappearance of the tonic key coincided with the downbeat of the coda's initial bar – a feature Chopin would later vary in his later works.

In his book, *Chopin*, Samson summarily observes two contrasting formal tendencies in the Polish composer's music: a 'continuous, strongly directed form' that climaxes typically in a coda and a 'sectionalised ternary design'.[27] He also recognises interpenetration of both tendencies in Chopin's ballades and scherzos but does not address this approach that Chopin also uses in his waltzes. For instance, the first and third compositions in Op. 34 are ideal examples of how Chopin combines a ternary formatted collection of waltz themes that culminate with a bravura coda. [28] The permeation of both tendencies aligns with Rink's and Goldberg's earlier observations that Chopin increased the sophistication of his waltz forms after he left Warsaw. However, one cannot presume that codas in Chopin's waltzes are one-dimensional. Especially in the

[25] John Rink, 'Tonal Architecture in the Early Music', in *The Cambridge Companion to Chopin*, ed. Jim Samson, Cambridge Companions to Music (Cambridge: Cambridge University Press, 1992), 84, https://doi.org/10.1017/CCOL9780521404907.006.

[26] Jeffery Kallberg, 'Hearing Poland: Chopin and Nationalism', in R. Larry Todd, ed., Nineteenth-Century Piano Music, 2nd ed, Routledge Studies in Musical Genres (New York: Routledge, 2004), 230.

[27] J. Samson, *Chopin* (Oxford University Press, 1996)., 183.

[28] In Op. 34, No. 1, Abraham, *Chopin's Musical Style*, 50 proposes an alternate form (AX BX AX) whilst retaining a ternary-formatted structure.

sentimental oeuvre, codas also play expanded roles; their unconventional functions are discussed in detail in subsequent sections.

In his book *Frederic Chopin: Profiles of the man and the musician,* Alan Walker summarily crystallises Chopin's approach to waltz form and structure in how he abandons the 'orthodox recapitulation', choosing never to repeat when one could vary.[29] As such, a close reading of the waltz oeuvre gives illuminating insights into Chopin's specific techniques.

2.1.1 Use of proportional frameworks

During the mature years, Chopin began using clear proportional frameworks to expand and contract his forms in some of his key waltzes. Reprises vary either in a 1:0.5 or 1:2 relationship, as reflected in Figure 2-2, summarising a cross-pollination of ideas between both the virtuosic and sentimental works.[30]

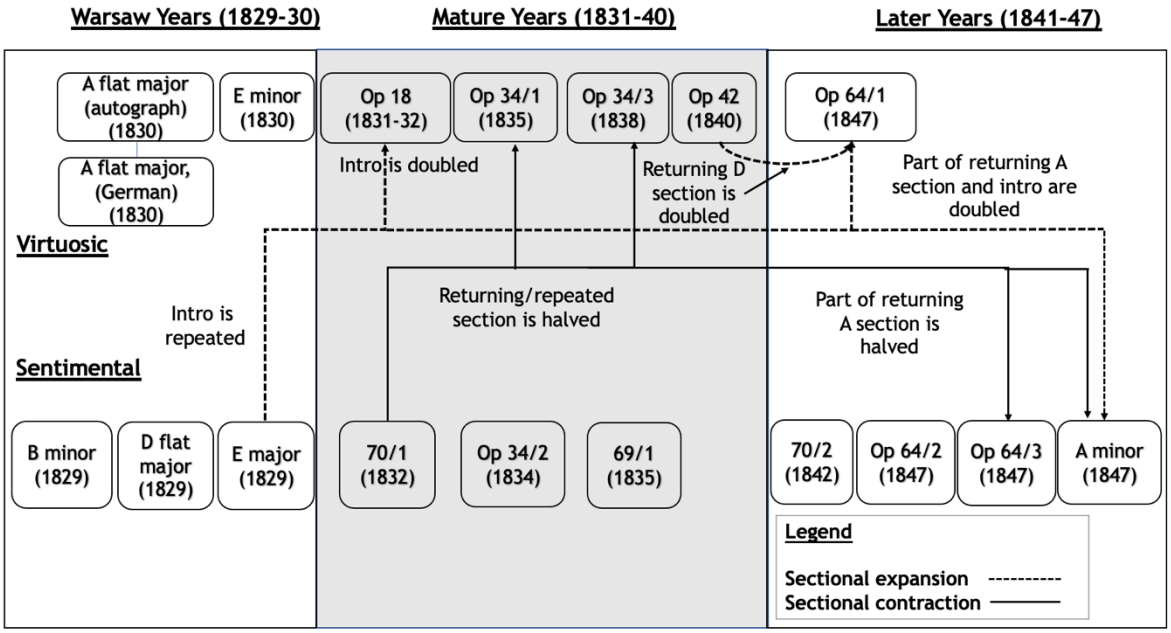


Figure 2-2 Proportional Expansion and Contraction in Chopin's waltz forms

[29] Alan Walker, *Frederic Chopin: Profiles of the Man and the Musician* (New York: Taplinger Publishing Co. Inc., 1967), 243.

[30] In other cases, the abbreviated A section was disproportionate to the original section: The E minor waltz (23 reprised bars vs 48 original bars), Op 69, No. 1 in A flat (16 vs 40) and Op 64, No. 3 (40 vs 48).

This strategy was not novel; other composers also used a similar approach to form. For instance, during Chopin's time, Strauss doubled the final section to 16 bars in his Täuberln-Walzer (1826), following seven earlier waltz themes of two eight-bar sections structured more simply. Ulrich Siegele, in his analysis of Bach's Fugue in C minor, identifies a similar proportional approach the composer took involving the creation of a balance of thematic and non-thematic sections, with both sections harmonically and tonally related, hence establishing a proportional dimension. The form takes shape from these thematic designs and evolves by maintaining proportionate ratios with the former.[31] Given his admiration for the latter, Chopin could probably have intuited this from Bach's Well-tempered Clavier.

In the Etude in E major, Op. 10, No. 3, Chopin's works, Rink discovered an approach Chopin took from the simple to the complex. He observes how Chopin derives the sectional weightings of 1:2:1 from the rhythmic properties of the first three notes of the left-hand part (semiquaver-quaver-semiquaver motif). This relationship underlines the concealed parallelism of these notes with the music at large.[32] Chopin's idiomatic approach here is an isolated case, not seen in any other etudes.

Sectional expansion

Chopin's idea of sectional expansion, explored mainly in the virtuosic group, finds its origins in a sentimental waltz. First, the idea of literally repeating the opening passage note for note appeared in the E major Waltz, with the eight-bar introductory material together with the 48-bar A section reprised identically. Next, this concept was replicated across the virtuosic group of waltzes, appearing in Op. 18 with the introductory passage expanding by two (see Figure 2-2).

[31] Ulrich Siegele, 'The Four Conceptual Stages of the Fugue in C Minor, WTC I', in *Bach Studies* (Cambridge, UK: Cambridge University Press, 1989), 197–224.

[32] John Rink, 'Chopin's Study in Syncopation', in *Bach to Brahms: Essays on Musical Design and Structure*, ed. David Beach and Yosef Goldenberg (Cambridge, United Kingdom: Boydell & Brewer, 2015), 132–42, https://www.cambridge.org/core/books/bach-to-brahms/chopins-study-in-syncopation/A1B6E494F8078B13FEF46786B707920D.

Op. 18 in E-flat major - Chopin's longest waltz composition – was the first of eight waltzes eventually published. Three hundred and seven bars long, it comprises two ternary formatted mini waltzes ('CDC' and 'EFE'), flanked by outer materials based on the A and B themes as illustrated in Figure 2-3, taking the shape of an extended ABA' form.

Intro (A B A B) (C D C) (E F E) (G) Intro (A B A) Coda

Figure 2-3 Op. 18's form

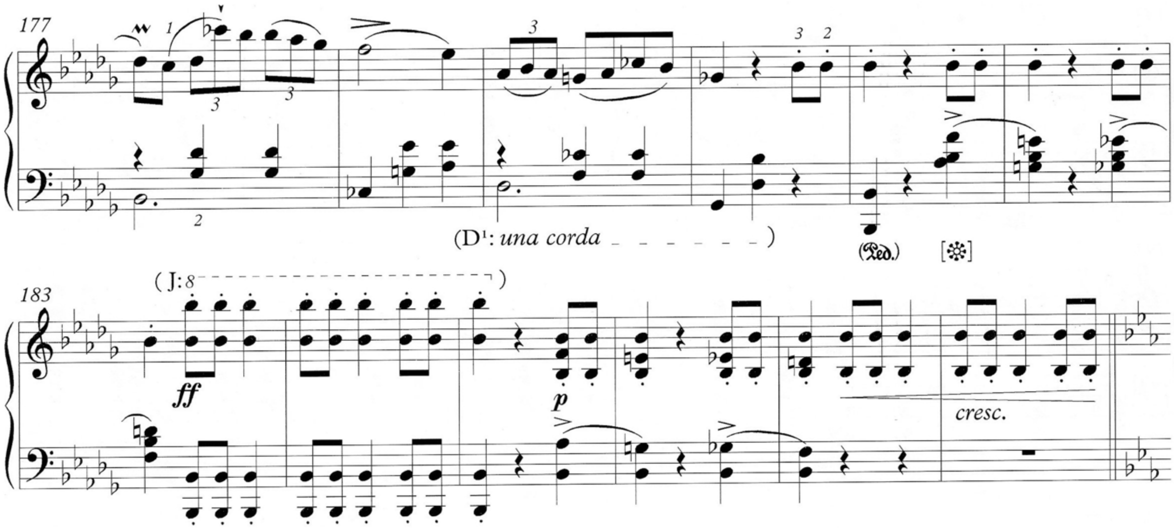
According to Sevin Yaraman, Chopin borrowed the idea of the formal framework of these waltzes from the Viennese waltzes.[33] The connection between Op. 18 and the E minor waltz finds further reinforcement in McKee's account of Chopin's likely exposure to such pieces during his two visits to Vienna in the summer of 1829 and November 1830. His Vienna experiences potentially inspired him to write both works in forms similar to their Viennese equivalents, although written in different periods, with Op. 18 published and the other remaining part of Chopin's private collection.[34] The parallel between Op. 18 and other sentimental Warsaw waltzes (i.e., E major) also affirms that Chopin transfers ideas across both notional groups of waltzes. In other words, there were no constraints in Chopin's flow of compositional ideas.

Abraham has described the annunciatory passages that often feature at the beginning of Chopin's waltzes as 'harmonic curtains', lifted eventually when the tonality reveals itself in the first section. How does this change one's approach to an introduction when repeated? Under closer examination of Op. 18's introduction, one finds the expanded repeat of the introduction to twice the length of the initial one, presenting a pair of hemiola-driven materials in the right-hand layer, in bars 183 to 188 (see Example 2-1), advancing more urgently towards the reprise of A. This eight-bar harmonic curtain reflects an iambic (weak to strong) metrical profile (potentially also an anapaest), unlike the original four-bar rhythmic introduction (bars 1 to 4), which has a trochaic (strong

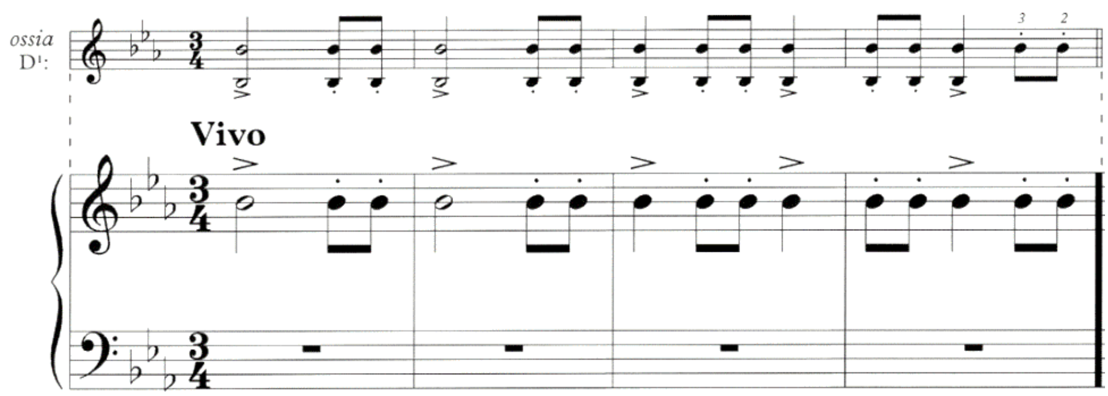
[33] Sevin H. Yaraman, 'Liberation from the Steps: The Concert Waltzes', in *Revolving Embrace: The Waltz as Sex, Steps, and Sound* (New York: Pendragon Press, 2002), 74.

[34] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 180.

to weak) metrical profile. Repeated fifth-degree notes in octaves are also rhythmically amplified in the reiteration of the announcement. Further, Chopin includes an ossia in his four-bar introduction that resembles the eight-bar passage, giving performers an option to either demonstrate unity or contrast between both passages (see Example 2-2).



Example 2-1 Op. 18, bars 180 to 188. Grabowski, *Chopin Waltzes*, 6.[35]



Example 2-2 Op. 18, bars 1 to 4

In 1840, Chopin continued his proportional sectional expansions, augmenting the D section reprise of Op. 42, his lengthiest dance in rondo form (see Figure 2-4 below). Yaraman locates an 'interesting precedent' for Chopin's treatment of Op. 42 in Weber's *Aufforderung zum Tanz* waltz; both composers using the

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[35] All music examples are drawn from Grobowski's *Chopin Waltzes* unless otherwise noted.

similar rondo form.[36] Along similar lines, Samson, who describes Weber's composition as a 'potpourri of contrasting tunes', observes similarities between this waltz and that of Chopin's Op. 18.[37]

Section	**Intro**	**A**	**B**	**C**	**B**	**D**	**B**	**E**	**B**	**A'**	**B'**	**D'**	**B'**	**Coda**
No. of bars	8	32	16	16	16	**16**	16	44	16	32	16	**32**	16	13

Figure 2-4 Op. 42's sectional proportions

A close investigation of the expanded D section in Op. 42 reveals a series of free-flowing ascending quaver passages in bars 240 to 243, positioned at the heart of this 32-bar passage without an accompaniment layer. This juncture serves plausibly as a point of intensity, leading to the eventual precipitation of the coda as a part of Chopin's end-weighted strategy.

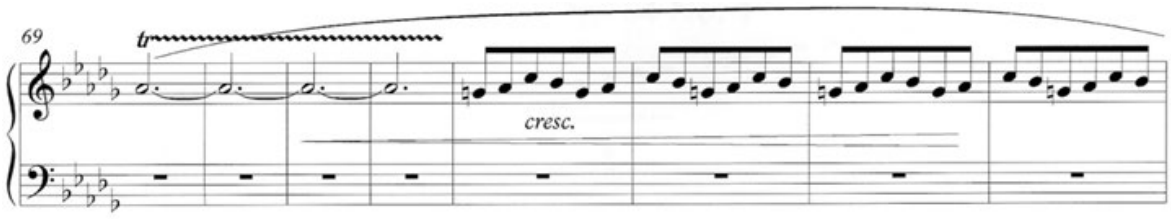
In 1847, two years before his death, Chopin's experimentation with form reached a higher level of sophistication when he doubled multiple sections, as demonstrated in Op. 64, No.1 (see Figure 2-5). The number of bars in the introduction increased from four to eight bars (a moderate resemblance to Op. 18). Example 2-3 reflects the expanded eight-bar passage (bars 69-76) comprising a four-bar trill followed by a four-bar quaver passage, generating intensity leading towards the reprise of section A'. Similarly, but less discernibly, the second 16-bar phrase of the A section is also doubled, generating fresh experiences for listeners through an evolution of form.

Section	Intro	A	B	Intro	A
No. of bars	4	32 (16+**16**)	32	8	48 (16+ **16x2**)

Figure 2-5 Op. 64, No. 1's sectional proportions

[36] Yaraman, 'Liberation from the Steps: The Concert Waltzes', 75.

[37] Samson, *Chopin*, 108.



Example 2-3 Op. 64, No. 1, bars 69 to 76

Sectional contraction

The sectional contraction in a 1:0.5 ratio also originated in Chopin's sentimental compositions, as seen in the posthumously published Op. 70, No. 1, in the unusual key of G flat major (see also Figure 2-2). Here, Chopin abbreviates the reprise by exactly half, creating a combination of unity (similar opening theme) and contrast (abbreviated reprise), giving listeners a mix of familiar and differentiated experiences.[38]

This idea then crosses over to the virtuosic group when Chopin subsequently shortens the respective sections of Op. 34, No. 1 (section D) and Op. 34, No.3 (Section A), halving each from 32 to 16 bars. In contrast to the earlier ternary formatted G flat major waltz, which has no counterweight to the reprised material, both Op. 34, No. 1 and Op. 34, No. 3's ensuing codas provide an end-weighted climax.

Chopin's experiments with proportional contractions reach full maturity in the later years when his sectional contraction returns to a sentimental work, the A flat major waltz (Op. 64, No. 3) written in 1847. Here, the reprise evolves to comprise both earlier and fresh material. Initially, it literally reprises the first half of section A. Next, the original theme modulates in the next eight bars before joining to a new motif eight bars in length. The waltz displays some parallels with some of Chopin's mazurkas, in particular, Op. 59, No. 2 (written in 1845 and composed in the same key in A-flat major) in the way the reprise becomes abbreviated, which Kallberg describes as a form of 'radical

[38] There were two versions of G flat major: both were autograph versions dated 1832 (A1) and 1833 (A2). The reprises are precisely half of the original sections although the number of reprised bars look deceptively different: A1 has 8 reprise bars from the original 16 and A2 had 16 bars from the original 24 (final 8 bars from Section A was to be repeated).

foreshortening'.[39] However, one key difference between these two works is that while Chopin revoices the mazurka's central theme in the tenor register, he opts to modulate Op. 64, No. 3's melody within the same register.

According to Kallberg, Op. 64, No. 3 in A-flat major also represents a lacuna in Chopin's late and last style.[40] In *Chopin's Last Style,* Kallberg defines the late style as 'a compositional phrase of general reappraisal, preparing the way for his last style'. According to the author, the late style was a time when Chopin reviewed and reshaped the older waltz forms, while the last style reflects a time when new artistic ideas took shape. Kallberg does not specify the exact period of the late style, but in the last style, he does observe a significant shift in Chopin's artistic style from 1842 onwards.[41] Central to this style were *Polonaise-Fantasy*, Op. 61 (1846), and the F-minor Mazurka (1847) – written around the same time as Op. 64 (1847). The stylistic features during this period include independent part writing (counterpoint), greater restraint in ornamentation, rhythm used to increase tension, and harmony extensively repeated as a unifying device with similar chordal progressions.[42]

Op. 64, No. 3 features two of the four distinct features that characterise the last style. Firstly, this dance uses far fewer ornaments (20%) compared to the other virtuosic waltzes (e.g., 50% for Op 34, No. 3).[43] Additionally, the repetition of harmony was prevalent. To add interest, Chopin rewrites the waltz's opening four-bar motif to modulate across both relative and remote keys, the harmony often taking the same shape. The familiar melody reiterates what Leonard Meyer, as quoted by Kallberg, defines at the surface level as 'repetition' within

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[39] Kallberg, 'Hearing Poland: Chopin and Nationalism', 228.

[40] Jeffrey Kallberg, 'Late Style, Last Style, and Chopin's Waltz in A Flat Major, Op. 64, No. 3', in *Chopin and His Time: Proceedings of the " Harmoniques " International Congress, Lausanne 2010*, Edited by Vanja Hug; Thomas Steiner (Pieterlen, Switzerland: Peter Lang AG, Internationaler Verlag der Wissenschaften, 2016), 34.

[41] Jeffrey Kallberg, 'Chopin's Last Style', *Journal of the American Musicological Society* 38, no. 2 (1985): 266, https://doi.org/10.2307/831566.

[42] In the Polonaise-Fantasy, Edward Cone further observes another device Chopin uses, which he calls an 'apotheosis' used to recap an earlier theme in more harmonically and textually sophisticated means, as reflected in the chief theme of this work. See Edward T Cone, *Musical Form and Musical Performance* (New York: W.W. Norton, 1968), 84.

[43] The percentage is derived from the formula: the number of ornament occurrences divide by the total number of bars. This topic is expanded in the following section on 'Vibrancy'.

ensuing bars and phrases and 'return' of thematic ideas in later sections.[44] The principles of unity and contrast elegantly featured through a four-bar motif represent a common theme running throughout the waltz.

Finally, a comparison between the transition and coda sections of Op. 64, No. 3 brings into view one last feature that Kallberg does not raise, adding to the distinct ways in which Chopin differentiates this late dance from the earlier ones. As reflected in his insertion of a 23-bar transition between sections A and B, Chopin's radical quest for symmetry of form carries forward into the coda. Here, the coda bears thematic content similarities and is of the same length as the transition. Comparing the coda and the transition is noteworthy because both violate the typical duple bar phrase symmetry, unlike most of the other sections found across Chopin's other waltzes.

It is plausible that Chopin continued to be inspired by Weber's *Aufforderung zum Tanz,* which also employs a transition before the main theme returns.[45] According to Santa, transitional sections (typically found in sonata forms) are usually unstable and non-thematic, bridging the main theme in the primary key to a second theme in the dominant key.[46] In the case of Chopin's waltz, the section commences on the dominant of A-flat major (the primary key), modulating to unrelated keys before reaching C major at the start of section B.

This approach to waltz form also goes against the genre's convention that typically employs a ternary or rondo form, with no transitional material between sections. The radical approach to form resonates with what Kallberg hypothesises, who argues that around 1830, in general, 'musical genres started losing their factual and historical relevance because functional music began giving way to individual works and the idea of aesthetic autonomy'. In other words, individual works of art presented themselves as 'unrepeatable unica

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[44] According to Leonard B. Meyer, 'repetition' gives rise to formal and processive relationships, feelings of impending change and the awareness of the *differences* between like events. 'Return' serves to articulate structural units, emphasising the point of arrival and departure and to drawing attention to the *similarities* between like events. (As quoted in Kallberg, 'The Problem of Repetition and Return in Chopin's Mazurkas', 2).

[45] Tusa derives the transition from bars 223 to 300. See Tusa, 'In Defense of Weber', 172.

[46] Matthew Santa, *Hearing Rhythm and Meter: Analyzing Metrical Consonance and Dissonance in Common-Practice Period Music*, 1st ed. (New York; London: Routledge, 2019), 134, https://doi.org/10.4324/9781351204316.

rather than examples of the genre'.[47] In Op. 64, No. 3, Chopin expresses both variation and symmetry of form as reflected in the sectional curtailment of the opening section, and the sectional balance between transition and coda. As such, both principles of unity and diversity coexist.

The freedom to express his artistic ideas to waltz form certainly did not limit Chopin to vary them to only the more sophisticated and often published waltzes. A case in point is the technically undemanding A minor Waltz, written in the same year as Op. 64, No. 3. In this dance, Chopin applies both sectional expansion and contraction. He first reduces its A section by half before expanding it back to its original 16 bars (1:0.5:1). This approach coincides with Chopin's Etude in E major, Op. 10, No. 3, when he also expands its sections before returning it to its original length (1:2:1). Chopin conceivably integrates both these features into this last waltz, perhaps as a 'closing' gesture to this motif. The A minor waltz's form represents Chopin returning to a simpler structure last seen in his Warsaw compositions. Yet, the treatment of its sectional weighting proportions remains more sophisticated than his other works.

In Figure 2-6, the forms of all five waltzes reflect the increased sophistication of Chopin's ternary form against a consistent pattern of curtailing his reprise material in a 1:0.5 relationship. The contractions consistently serve to provide a distinction between reprise and original material.

[47] Jeffrey Kallberg, 'The Rhetoric of Genre: Chopin's Nocturne in G Minor', *19th-Century Music* 11, no. 3 (1988): 239-240, https://doi.org/10.2307/746322 .

Op. 70, No. 1 (A1 autograph edition)

Section	**A**	**B**	**A'**
No. of bars	16	24	8

Op 34, No. 1

Section	**Intro**	**A**	**B**	**C**	**D**	**E**	**D**	**C**	**A**	**B**	**C**	**Coda**
No. of bars	16	16	16	32	32	*16*	16	32	16	16	36	61

Op 34, No. 3

Section	**Intro**	**A**	**B**	**A'**	**Coda**
No. of bars	16	**32**	32+32+16	16	29

Op 64, No. 3

Section	**A**	**Transition**	**B**	**A'**	**Coda**
No. of bars	48	23 (8+7+8)	36	40 (comprise first 24 bars from A)	23

A minor waltz

Section	**A**	**B**	**A**	**B**	**A**
No. of bars	16	8	8	8	16

Figure 2-6 Forms of waltzes with proportional sectional contractions

As Kallberg explains, the fundamental musical significance of Chopin's last style 'remains obscure' despite being examined almost a century ago by Abraham and again much later by Walker and Paul Hamburger.[48] Studies on Op. 64, No. 3, together with the other two works that comprise Op. 64, present an opportunity to investigate if the dances could also be a lacuna in late and last style. Finally, how Chopin bridges two critical eras in his life deserves more attention. The first is the early 1830s period, when the musical influences in Vienna inspired Chopin to compose both Op. 18 and the E minor waltz. The second era commences from 1842 onwards when his last style emerges and when he establishes radical shifts in compositional thought. During this time, there remains much potential for

[48] Jeffrey Kallberg, 'Chopin's Last Style', *Journal of the American Musicological Society* 38, no. 2 (1985): 267, https://doi.org/10.2307/831566.

examining how Chopin transfigured his early waltz style, eventually culminating in the last style.

Finally, there appears to be a lack of systematic historical evidence shedding light on Chopin's decision-making process in his proportional treatment of his sections.[49] Given that both mazurkas and waltzes share interpenetrating characteristics, a formal overview of Chopin's mazurkas might be useful in deriving more insights into Chopin's variation of form.

Thus far, I have illustrated Chopin's sectional variations transferred across both the virtuosic and sentimental collections. In the next section, I shall demonstrate how a melancholic subset coexists with other works within the sentimental set.

2.1.2 Forms used in Chopin's five melancholic waltzes

Five of the ten sentimental waltzes represent a distinct melancholic subset, written in the minor mode across Chopin's compositional journey. These waltzes that belong to this forlorn subset feature all four basic formal types (abbreviated ternary form, extended ternary form: AX BX CX, rondo, and the binary form) (see Figure 2-7).

[49] The only exception is found in Prelude Op. 28, No. 20. In the autograph *Stichvorlage* found on the Online Chopin Variorum Edition (OCVE) website, there is a note to the publisher ('éditeur') of the rue de Rochechouart, i.e., Camille Pleyel. Jean-Jacques Eigeldinger's surmise is that this note has to do with the repetition of bars five to eight in the following four bars. There are surviving versions of this prelude with only 9 bars in total, and thus the repetition of the second phrase might conceivably have been recommended to Chopin by Pleyel.

Waltz in B minor (Ternary: ABA')[50]

Section	**A**	**B**	**A**
No. of bars	48	32	16

Op. 34, No. 2 in A minor (Rondo: ABACA)

Section	**A**	**B1**	**B2**	**B3**	**B4**	**A**	**Coda**	**A**
No. of bars	16	20	16	16	16	16	20	16

Waltz in F minor (Binary: AB)[51]

Section	**A**	**B**
No. of bars	**20**	**32**

Op. 64, No. 2 in C sharp minor (Extended ternary: AXBXAX)

Section	**A**	**X**	**B**	**X**	**A**	**X**
No. of bars	32	32	32	32	32	32

Waltz in A minor (Rondo: ABABA)

Section	A	B	A	B	A
No. of bars	16	8	8	8	16

Figure 2-7 Forms of Chopin's five melancholic works

From the formal overview of the melancholic oeuvre illustrated in Figure 2-7, one observes that the sectional weightings of Op. 34, No. 2 and Op. 64, No. 2 appear broadly equal. An absence of end-weighted sections (e.g., coda) in these compositions reinforces the principle of departure and return of thematic ideas (except for the binary formatted dance in F minor).

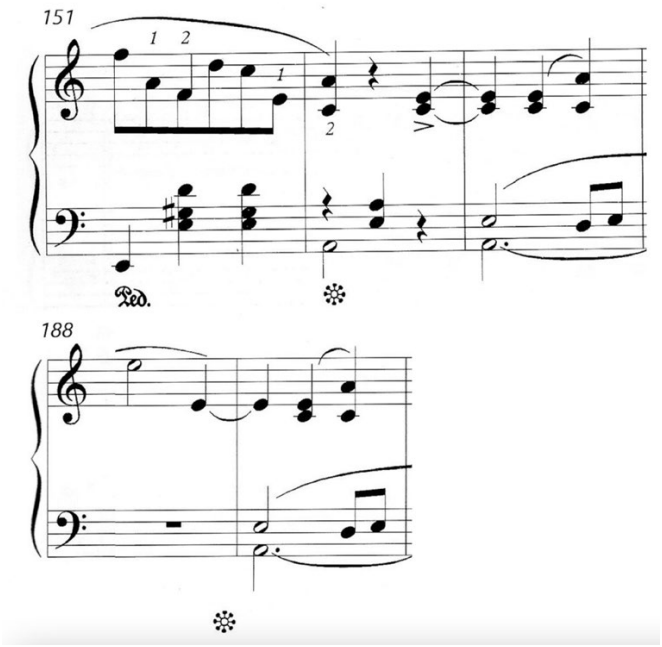
It is significant to note that the coda located in the penultimate section of Op. 34, No. 2, functions as a synthesis (instead of a culmination) before leading to the all-important first section. In the *Music of Chopin*, Samson describes the 'flowering of the left-hand melody into a consolatory quaver line in the coda'.

[50] All three early editions, including the Polish edition bear identical forms.

[51] All three early editions bear identical forms.

The new material represents a high point of the waltz, but it is arguably the theme in section A that Chopin views as most paramount.[52] McKee describes the coda passage as 'an improvisatory bass melody' that 'imbues the music with a sense of newfound hope, all of which makes the final return of (section A) sound all the more inevitably tragic'.[53] Here, the coda's attempt to brighten the waltz's mood falls short of expectations.

In the thrice-repeated theme, Chopin subtly avoids literal repetition by varying the anacrusis leading to the second and last repeat of the opening theme, opening possibilities of phrase ambiguity (see Example 2-4).[54] From Chopin's phrase indications, notice how the earlier sections before the return of section A end on the downbeat (bar 152) and upbeat (bar 188), giving rise to various interpretations of where the reprise material starts.



Example 2-4 Comparing Op. 34, No. 2, bars 152-153, and bars 188-189

Juxtaposing the sectional expansion and contraction of ideas in Chopin's waltzes with the melancholic subset reveals how Chopin deliberately avoids proportionately varying sections in most of his gloomier compositions (see Figure

[52] Samson, *Music of Chopin*, 125.

[53] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 207.

[54] Kallberg observes a similar approach by Chopin in mazurka Op. 7, no. 4 where he changes the dynamics (forte to piano) and adds a fermata to the rest in the penultimate bar. See Kallberg, 'The Problem of Repetition and Return in Chopin's Mazurkas', 18-19.

2-8). Instead, he opts to weave in aspects of phrase rhythms (e.g., devices that include phrase overlaps, lead-ins, and phrase expansions) to invoke phrase asymmetry and even ambiguity, perhaps an artistic expression of culturally familiar emotions, in this case, a dark, sombre mood.

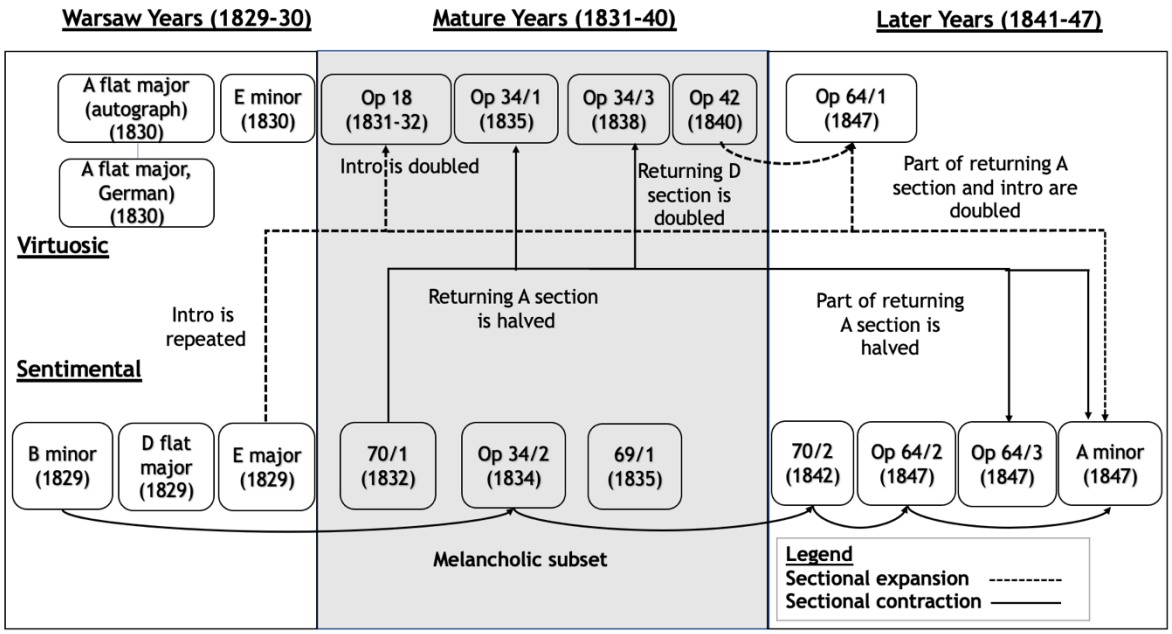


Figure 2-8 Summary of formal and sectional themes

To date, scholars have not paid much attention to this subset. Instead, they have focused mainly on Chopin's published works, namely Op. 34, No. 2 and Op. 64, No. 2. There is untapped potential for further research on the 'grief motif' artistically expressed in these five waltzes and on Chopin's other works found in other genres that portray the same sadness. A comparison with other composers' expressions of grief deserves attention too. For instance, Mendelssohn (1809 to 1847), another nineteenth-century composer belonging to the same era as Chopin, embodies a deep sense of pathos, particularly in *Songs without Words*, Op. 19, No.2 and No. 6, and Op. 30, No.6. In addition, in other Chopin's works from other genres – for instance the Prelude in E minor - Schachter observes how Chopin further employs several grief motifs, including fifth and sixth-degree neighbour note figures long related to sorrow and the descending bass that permeates with 'the dark colour this bass lends to the prolonged tonic

harmony'.[55] These could potentially be used as a case study to investigate further how Chopin uses grief motifs similarly and differently across his genres.

2.1.3 Weighted hierarchy of stylistic features of waltzes

To differentiate the various features that Chopin uses in his waltzes, I propose formulating a weighted hierarchy consisting of three levels – essential, frequent, and idiomatic – distinguishing the importance of the stylistic features in Chopin's waltzes. I base this hierarchy on Johanna Frymoyer's study of Schoenberg's Ironic Waltzes, in which she categorises hierarchic levels of Schoenberg's waltz features. Essential features are the 'common denominators' that permeate all waltzes, arguably distinguishing waltzes from other dances. Frequent characteristics are neither distinctive nor pervasive but contribute to the waltz's markedness. Lastly, idiosyncratic features serve as unforeseen nuances, occurring the least often in Chopin's works and unlikely to appear in other composers' repertoire.[56]

A weighted hierarchy of Chopin's approach to form and sectional features is illustrated in Figure 2-9. Specific features in each group are highlighted, with the number of waltzes that carry each characteristic provided in parenthesis. One observes that the number of different idiosyncratic features is numerous, demonstrating the attention to detail Chopin furnishes in redefining the waltz genre on his terms. The repeat of introductions is particularly striking; its traditional role of an opening passage leading to the first section becomes expanded to prepare a reprise material, allowing performers to reintroduce it in its original or varied state.

[55] Carl Schachter and Joseph Nathan Straus, *Unfoldings: Essays in Schenkerian Theory and Analysis* (New York: Oxford University Press, 1999), 163.

[56] Johanna Frymoyer, 'The Musical Topic in the Twentieth Century: A Case Study of Schoenberg's Ironic Waltzes', *Music Theory Spectrum* 39, no. 1 (1 April 2017): 83, https://doi.org/10.1093/mts/mtx004.

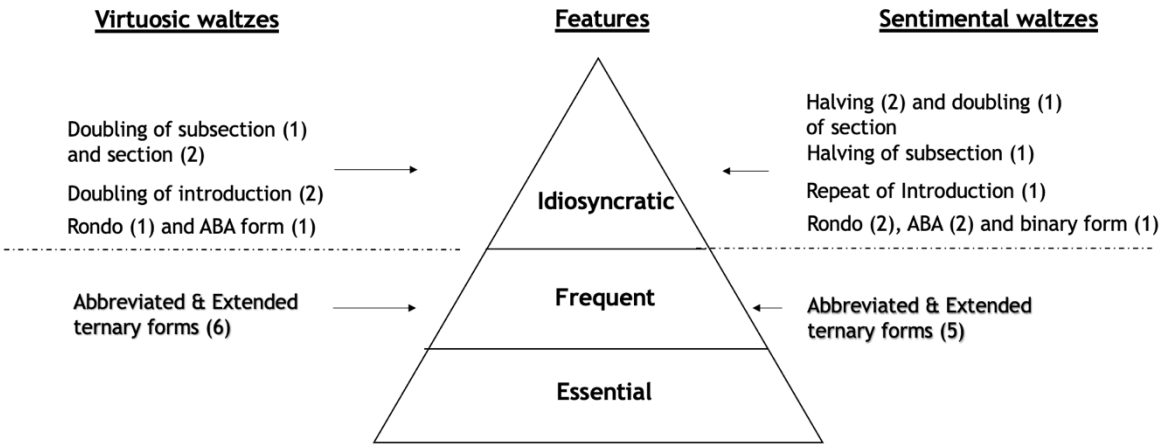


Figure 2-9 Weighted hierarchy of forms and sectional features

In the later sections, I shall also include other rhythmic and metric 'nuances' into this hierarchy, forming an exhaustive framework, and eventually providing a holistic set of stylistic features found in Chopin's waltzes.

In summary, Chopin follows neither strict, consistent criteria nor wholly haphazard procedures in constructing his waltz forms. He employs the abbreviated ABA frequently in both the virtuosic and sentimental types and loosely structured them. In the virtuosic collection, Chopin leans more towards the frequent use of the extended ternary form. His formal approach contrasts with the sentimental collection where he employs the Rondo form twice.

In the later years, Chopin conceives the less sophisticated Waltz in A minor, which represents the climax of Chopin's proportionate framework concept. The distinct trends of doubling and halving of sections give coherence to the seemingly disparate group of work that culminated during the last style. Each theme emerges from an original idea, eventually developed, and refined in the later years, revealing a narrative that otherwise would not be distinct.

Finally, the 'last style' is a period that presents an opportunity for further investigations. Although Chopin's production rate dropped drastically by nearly half, from five-and-a-half opuses a year to slightly less than three, his last

remaining waltz works remain critical in understanding his shift in artistic style.[57]

2.2 Oompah-pah: variations and frequency

Derek Scott and Eric McKee have examined the social and musical settings of how the waltz originated, eventually evolving into a favourite pastime in the nineteenth century.[58] In particular, McKee offers fresh analytical insights into Chopin's waltzes, viewing them in light of early nineteenth-century urban dance practices in Europe and, more specifically, Warsaw.[59] According to Frymoyer, by the second quarter of the century, the waltzes had gained widespread recognition as a distinct dance genre, both musically and choreographically, and had come to feature frequently both in concert halls and salons.[60] Before this period, Scott suggests that the traditional oompah-pah accompanimental rhythm was 'rare' and 'scantily applied'; around this time, Strauss Sr. and Joseph Lanner's influence brought the waltz, with its familiar accompaniment to newer levels of prominence in Vienna.[61] During Chopin's two visits to Vienna, he realised the popularity of the Viennese waltzes, as evidenced by his letters written in 1830 and 1831 to his family and Joseph Elsner, his composition teacher, respectively.[62] By then, the oompah-pah, used as a standard feature as an accompaniment to a melody typically in the right-hand register, provided a constant 'strong-weak-weak' pulse in triple time, hence potentially representing the waltz's repetitive continuity as an 'aesthetic hallmark' of the dance.[63]

While this accompaniment undoubtedly stands as the most distinguishing feature in a typical waltz, the extent to which it was used in a nineteenth-century waltz

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[57] Kallberg, 'Chopin's Last Style', 264.

[58] Derek B. Scott, *Sounds of the Metropolis: The Nineteenth-Century Popular Music Revolution in London, New York, Paris, and Vienna* (New York: Oxford University Press, 2008).

[59] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 130.

[60] Frymoyer, 'The Musical Topic in the Twentieth Century', 83.

[61] Scott, *Sounds of the Metropolis*, 119.

[62] Henryk Opienski, *Chopin's Letters* (United States -- New York: Dover Publications Inc., 1988), 129, 137.

[63] McKee explains that once the dance commences, there are no changes in direction or steps, and no intermediary beginnings and endings, as there are with most other ballroom dances. See McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 99.

repertoire has received little discussion. For instance, in his *Grove* 'Waltz' article, Andrew Lamb recognises it as a 'dance in triple time' but avoids elaborating on how nineteenth-century composers use accompaniments in waltzes.[64] Established scholars like Samson, Rink and Kallberg have written insightful articles analysing some of Chopin's more famous waltzes. However, none have provided literature that embodies specific studies of the occurrence of the accompaniments used, together with their implications.

Notwithstanding, two scholars have examined how Chopin varies the oompah-pah pattern in his dances, typically in the left hand.[65] In the E minor waltz, McKee observes that Chopin uses an accompaniment where the second beat peaks at the highest register, subsequently arpeggiating down to the beginning of the next bar.[66] Frymoyer also points out how Chopin varied his accompaniment, albeit to a lesser degree, in the Waltz in F minor (Op. 70, No. 2), extensively varying the oompah-pahs as illustrated in bars 3, 6 and 8.[67]

While McKee and Frymoyer raise relevant points of interest, a quantitative frequency analysis of the percentage of typical oompah-pahs used in each waltz would clarify how Chopin altered his accompaniments in all his dances.[68] Further analysis could also address how often he differentiates a frequently used accompaniment from an essential feature. To this end, I have employed a simple formula: the frequency of oompah-pahs divided over the number of bars in each composition. See Table 2-1 for a summary of findings, grouping the data obtained under the virtuosic and sentimental waltzes.

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[64] Lamb, 'Waltz (i)'.

[65] In many instances, the introductions before the all-important first section is devoid of any oompah-pah. At times, the left-hand register is also absent.

[66] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 149.

[67] Frymoyer, 'The Musical Topic in the Twentieth Century', 91.

[68] I define 'typical oompah-pahs' as those with downbeats located at a lower register followed by two repeated chordal notes in a higher register. Three crochets denote the rhythm of these three beats, with the 'pah-pah' notes identical to one another.

Period	Virtuosic (form)	Frequency of oompah-pahs	Sentimental (form)	Frequency of oompah-pahs
Warsaw (1829-30)	A flat (ABA) Autograph German	 69% 72%	B minor (ABA') **C1:** C2: P:	 **83%** 72% 73%
	E minor (ABA')	0%	D flat major (ABA)	14%
			E major (ABA)	31%
Mature (1831-1840)	Op. 18 (Extended ABA)	44%	G flat major (ABA') A1: A2:	 50% 29%
	Op. 34, No. 1 (Extended ABA)	31%	Op. 34, No. 2 (Rondo)	21%
	Op. 34, No. 3 (ABA)	46%	A flat major (ABA') A1: A3:	 9% 0%
	Op. 42 (Rondo)	52%		
Later (1841-1847)	Op 64, No. 1 (ABA')	52%	F minor (Binary) A3: A5: P:	 58% 60% 21%
			Op. 64, No. 2 (Rondo)	48%
			Op. 64, No. 3 (ABA')	48%
			A minor (Rondo)	**82%**
Averages		46%		44%
Range of oompah-pahs in published and unpublished works[69]		31% - 72%		9% - 83%
Range of oompah-pahs in published works		31% - 52%		21% - 48%

Table 2-1 Frequency of oompah-pahs in Chopin's waltzes

The results illustrate that Chopin employs the traditional accompaniment form slightly less than half of the time in both groups: 46% amongst the virtuosic waltzes and 44% within the sentimental type. Only two unpublished sentimental waltzes – the B minor (first copy edition) and A minor (1847) waltzes feature the oompah-pah pattern at least 75% of the time. In the rest of the waltzes, where the frequency of the oompah-pahs is lower, deviations from typical oompah-pah

[69] Except for E minor and Op. 69, No. 1's A3 version which does not contain any oompah-pahs

provide an alternative texture to the accompaniment, usually in the form of repeated chords, arpeggiated chords, quaver passages, etc.

The range of usage in the virtuosic collection stretches between 31% to 72%, with the one exception of the Waltz in E minor, which is devoid of any oompah-pahs.[70] This range is more tightly bound with the lower limit remaining unchanged when factoring in only the published works (31% to 52%). On the other hand, all the waltzes within the sentimental group feature oompah-pah accompaniments at a frequency varying from 9% to 83%, except for Op. 69, No. 1's A3 autograph version where no typical oompah-pah is found. The smaller subset comprising the three published dances represents a narrower range between 21% to 48%, also reflecting Chopin's inclination toward more significant variations in these waltzes. Two of these waltzes are from Op. 64, written in the later years, aligning with Samson's observation of how Chopin re-examined his artistic goals, producing richer and more complex music after 1840.[71]

In retrospect, analysing the two earlier waltzes examined by McKee and Frymoyer in isolation does not reflect the larger picture of how Chopin varied his accompaniments in the respective groups. As highlighted by these two authors, the Waltzes in E minor and F minor represent the exceptions rather than the rule.

An inspection of other nineteenth-century waltzes by Schubert and Brahms also provides a valuable basis for comparison. In his two well-known collections of dances in *Valse Sentimentales* D770 (1823) and *Valse Nobles* D969 (1827), Schubert relies on a heavier usage of oompah-pahs in most of them. On the other hand, Brahms wrote 16 waltzes in 1865 – all contained in Op. 39 – varying the accompaniment substantially using arpeggiated accompaniments, descending octaves, and rhythmic motifs that include crochet rests in the middle and final beats. In only four of his waltzes did he employ oompah-pahs. Brahms and

[70] McKee explains that without the most distinguishable characteristic of a waltz (i.e., oompah-pah), what then defines the E minor dance lies in the circular design of the melodic arches, 'particularly apt as a musical vision of the rotating dancers: its beginning and ending points are the same, or nearly the same and its pitches move at a relatively even rate around a fixed axis'. See McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 148.

[71] Jim Samson, 'Chopin, Fryderyk Franciszek', Grove Music Online, accessed 2 December 2021, https://doi-org.ezproxy.lib.gla.ac.uk/10.1093/gmo/9781561592630.article.51099.

Schubert represent different ends of the spectrum, each offering to vary the accompaniments in their distinctive ways.

2.2.1 Three trends in how Chopin varied the accompaniment

In line with the above analysis, I shall examine how Chopin alters his accompaniments uniquely in three ways: using an arpeggiated accompaniment, swinging the oompah-pah to the right-hand register and instilling a syncopated rhythm on the third beat.

In the first form of variation, I return to the E minor waltz that utilises an accompaniment arpeggiating down from the highest register on the second beat. Chopin also employed this feature one year earlier in the E major waltz from the sentimental group, thus generating a parallel theme between both collections. In this waltz, the motif receives cumulative treatment. Chopin initially utilises this approach in two bars in the middle of Section A (bars 27 to 28), and subsequently over several bars later in the same section (bars 35 to 40), before using this motif as an unbroken stream in the Trio. In the same year that Chopin composed the E minor waltz, the arpeggiated accompaniment also appears in the A-flat major waltz before reappearing in various stages of Op. 69, No. 1, particularly in the Trio, where Chopin also inserts double stops (like a violin), thereby leaving this section devoid of any oompah-pahs. In 1840, the motif appears one last time in the waltz Op. 42. Here, Chopin was more selective, only using the arpeggiated accompaniment in Section C, in a waltz that deploys no less than five themes. In sum, one should recognise the arpeggiated motif in the accompaniments as one of the more common characteristics in Chopin waltzes, used with a frequency second only to the traditional oompah-pah.

In addition, Samson recognises these arpeggiated accompaniments used in Chopin's other works, establishing a parallel with those found in waltzes. He observes that the 'E-flat major waltz of the first Ballade and the E major waltz of the second Scherzo' represent a 'counterpoint of genres'.[72] This waltz element, as such, constitutes a referential code, establishing links with other

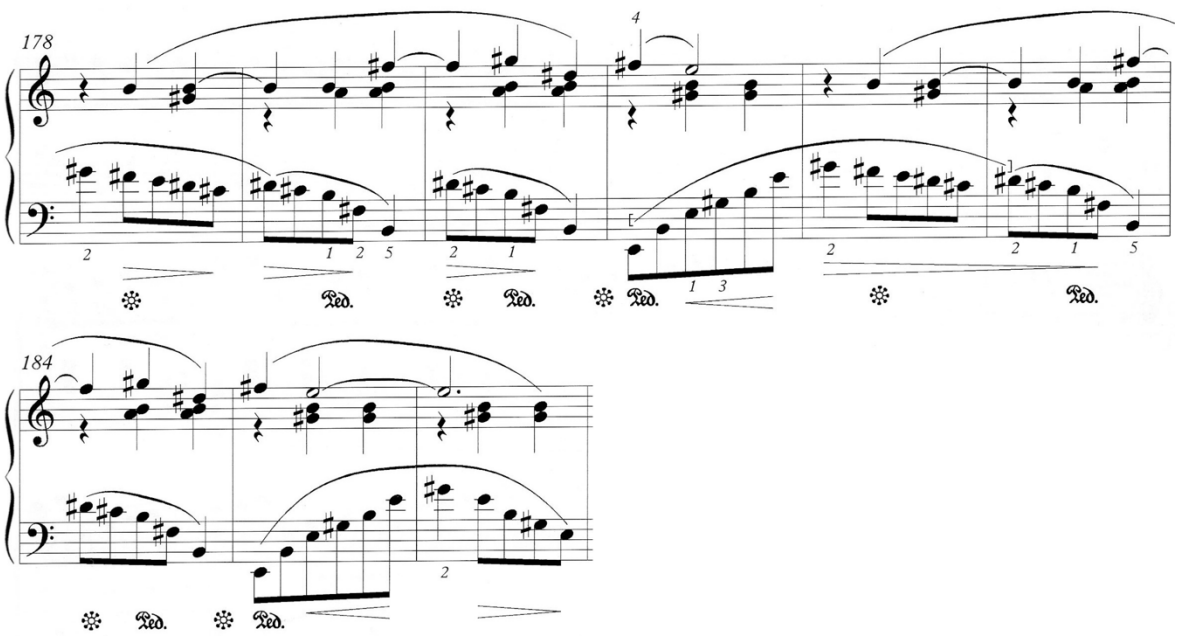
[72] Jim Samson, 'Chopin and Genre', *Music Analysis* 8, no. 3 (1989): 225, https://doi.org/10.2307/854288.

works. Also in Chopin's mazurkas, there are numerous occurrences of both oompah-pah and arpeggiated accompaniments, more so of the former as seen in his earlier works (Op. 6 and 7) and his later ones. The frequency of oompah-pahs occurring in mazurkas can also be derived based on the above formula to comprehend the extent to which a typical waltz theme infiltrates a mazurka. This examination could develop an alternate approach to perceiving Chopin's waltzes and mazurkas as two distinct genres that share a set of common features. Also, an analysis conducted in reverse is helpful to study mazurka elements penetrating the waltzes. For example, a typical mazurka rhythmic thumbprint comprises accents on the second and third beats compared to a waltz, which often features a dactyl pulse that emphasises the downbeat. The juxtaposition of both features is examined later.

The second variation of accompanimental procedure originates in the D-flat major waltz when Chopin swings the melody to the lower register from bar 33, repositioning the oompah-pah in the right-hand treble register. Here, the 'oom' resides in the uppermost register, with the 'pah-pah' represented in the alto voice. Five years later, this feature reappears twice in Op. 34, No. 2, both times concealed. The first instance occurs at the beginning of the waltz. At first glance, the 16-bar introduction appears to launch the proceedings in a typical, straightforward triple metre. The recurring downbeat minims in the left hand could hardly be more apparent in their strong durational accents, with the melody in the tenor voice oscillating between the fifth and sixth degree. Upon closer observation, these downbeat minims, when interpreted as the 'ooms', and the crochet chords in the right hand similarly deduced as the 'pah-pahs', represent a split in accompaniment between both hands whilst embracing the melody in the tenor voice.

Towards the end of the waltz, the oompah-pah is concealed in the right-hand material in bar 169, with a crochet rest replacing the 'oom' downbeat followed by the 'pah-pah'. The second half of the coda then subtly splits into two voices in bar 179, with the oompah-pah now lodged in the alto layer, giving rise to a counter melody in the top voice against the main melody in the left-hand terrain (see Example 2-5). This waltz example vividly explains what Samson maintained;

Chopin extends the accompaniment to an ‘interactive’ rather than ‘supportive’ role through the diversity of the keyboard layout.[73]



Example 2-5 Op. 34, No. 2, bars 179 to 186

This idea of relocating the oompah-pah to the right hand culminates in Op. 64, No. 3. In section B of this waltz, the accompaniment begins with repeated tonic chords against a sustained inverted dominant pedal across the first five bars in venturing to the right-hand register. In some cases, the third beat ties to the next beat of the following bar, an idea borrowed from Op. 64, No. 2. In other occurrences, the ‘oom’ features a crochet rest, reminiscent of the coda in the middle work of Op. 34. The ‘pah-pahs’ are sometimes differentiated, reconceptualising the accompaniment layer.

In a third variation to the basic procedure, Chopin radically redefines the rhythm of the oompah-pahs. In his earlier works, he adheres to the stable dactyl pulse most often used in triple metres (strong-weak-weak) and gives equal values to all three beats of the accompaniment. However, in 1847, Chopin altered the rhythm of the accompaniment in his C sharp minor Waltz (Op. 64, No. 2), 18 years after his first waltz composition. The middle section uses syncopations

[73] Samson, ‘Chopin, Fryderyk Franciszek’, Grove Music Online

that carry the second ‘pah’ across the beat by tying it to the downbeat of the following bar.

In section B of Op. 64, No. 3, more ideas from earlier works converge. In the first half of this section, the second or third beats often tie to the downbeat of the following bar, an idea borrowed from Op. 64, No. 2. Kallberg further describes this middle section as an ‘improvisational moment’ when the oscillating fourths in the left-hand melody provide a spontaneous introduction to the section against the varied accompanying layer described earlier. This oompah-pah pattern could represent one of the ‘final bursts of stylistic innovation’, a phrase he uses to describe the last style.[74]

Figure 2-10 summarises all the points described above, detailing the respective oompah-pah frequencies for each waltz, and revealing how most variations are found within the sentimental waltzes. The two published melancholic waltzes prove particularly significant in the evolution of these accompanimental variants. Further, the percentage of oompah-pahs for each waltz highlighted in bold represents waltzes that employ the accompaniment more than 75% of the time. Logically, these dances did not participate in the accompaniment’s variations.

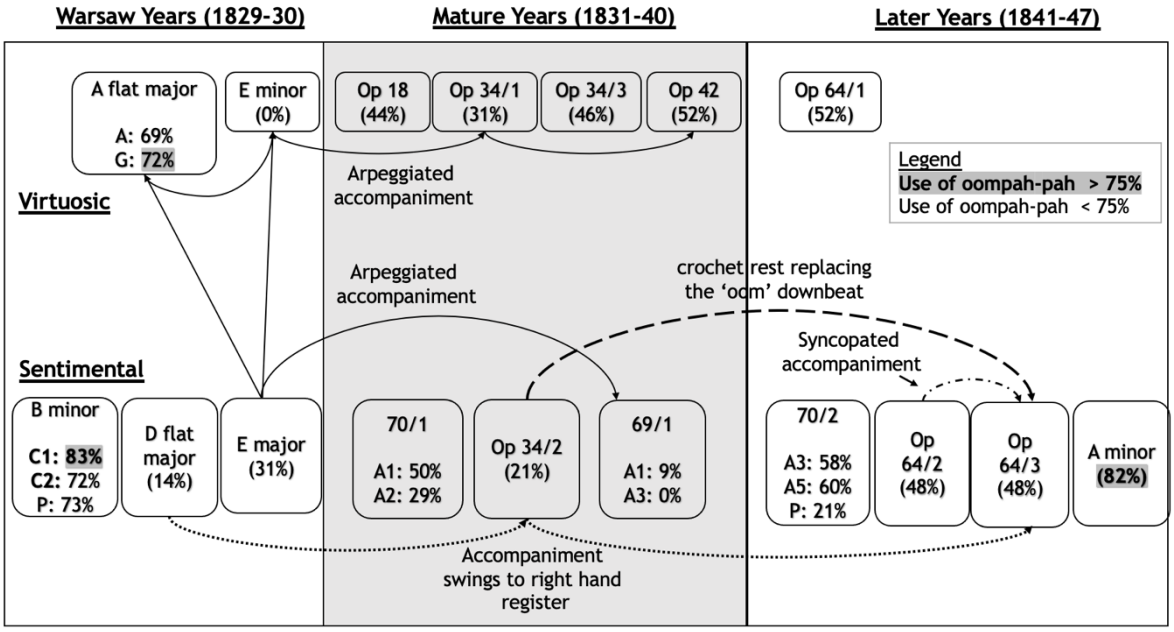


Figure 2-10 Summary of oompah-pahs found in Chopin’s waltzes

[74] Kallberg, ‘Late Style, Last Style, and Chopin’s Waltz in A Flat Major, Op. 64, No. 3’, 33–34.

Examining the forms of the melancholic group in the previous section alongside the above findings gives rise to further observations (see Figure 2-7 and Figure 2-10). The middle works in Op. 34 and 64 exhibit common traits on the surface. Both are in minor keys and published with an almost uniform number of bars; both express a deep sense of sadness. Yet, Op. 34, No. 2 also shares a close affinity with Op. 64, No. 3. Both transcend the traditional practice of a left-hand accompaniment, inserting a crochet rest to replace the 'oom' downbeat. Evidently, Chopin's favourite waltz (Op. 34, No. 2) left a deep impression in these two later works.[75] This interconnectivity between works demonstrates how Chopin refines his compositional ideas and approaches across a wide selection of waltzes. In the case of varying the accompaniment, Chopin continued to refine them 17 years after their inception during the Warsaw years.[76]

2.2.2 The accompaniment's extended role

The texture of Chopin's 17 waltzes typically comprises a right-hand melody and a left-hand accompaniment. Even though his waltzes were not meant for dancing, Chopin consistently ensures that there exists the distinguishable oompah-pah feature in almost all his waltzes. However, Chopin extends the role of the accompaniment in one of his waltzes. Op. 42's A section reprise represents the only time Chopin unites the roles of accompaniment with the melody, producing bare octaves in bars 210 to 212. According to James Parakilas, 'phrases in bare octaves conventionally represent a solo voice, singing, or even speaking'.[77] As such, the three-bar passage gives the perception of nuance, halting the oompah-pah rhythm sustained for more than 200 bars. This idiosyncratic feature is found only in Op. 42, and is one of several metrical disruption devices used, which I shall elaborate on in the 'Tension and Release' section.

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[75] Frederick Niecks, *Frederick Chopin as a Man and Musician*, vol. Volume 2 (London: Novello, 1902), 249.

[76] Op. 70, No. 2 in F minor, A5, is an ideal showcase of Chopin's extensive alteration of the oompah-pahs. Here, various other alternatives to the treatment of the left-hand is featured in Grabowski's *Chopin Waltzes*, with examples juxtaposed in versions A1, A2, A3, and A4.

[77] James Parakilas, 'Disrupting the Genre: Unforeseen Personifications in Chopin', *19th-Century Music* 35, University of California Press, no. 3 (2012): 168, https://doi.org/10.1525/ncm.2012.35.3.165.

2.2.3 Classifying the oompah-pahs

The same hierarchical structure used in the previous section – classifying waltz features into essential, frequent, and idiosyncratic categories - can also be used to group the various accompaniment variations into different categories. Chopin uses oompah-pahs as a frequent feature in both groups, avoiding the use of them in only one waltz in each group. Arpeggiated accompaniments appear four times amongst waltzes within the virtuosic collections compared with twice amongst dances in the sentimental collection. Crochet rests replacing the 'oom', classified as an idiomatic feature, are used twice only amongst the sentimental pieces. These features are reflected in Figure 2-11, delineating the different variations that appear in key waltzes.

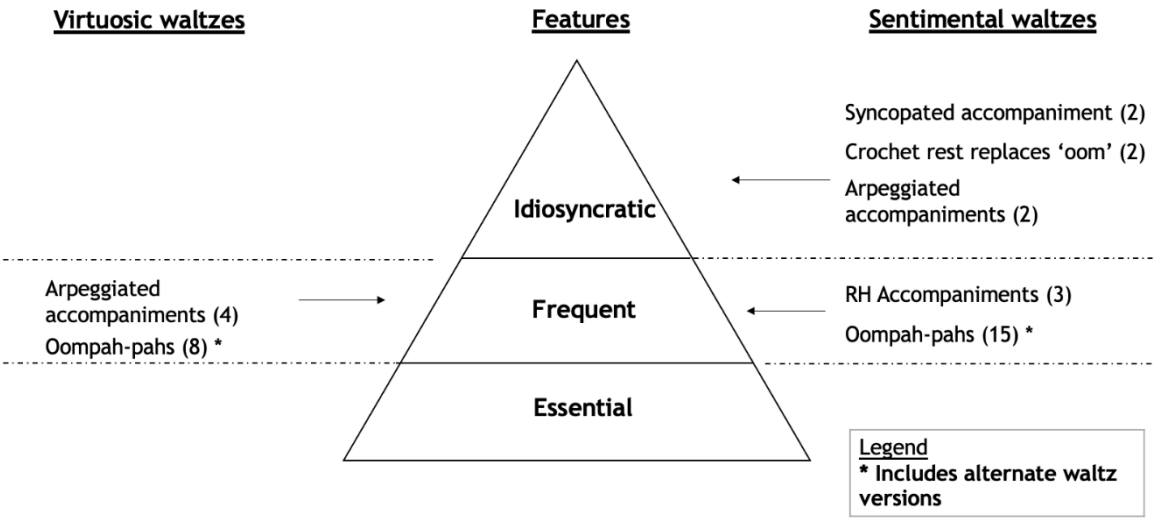

Figure 2-11 Hierarchy of accompaniments featured in Chopin's waltzes

The existence of the oompah-pah - albeit not appearing consistently in a work – gives insights into the extent to which Chopin uses them across 17 years of composing. The frequently occurring arpeggiated accompaniment and the other idiomatic alterations also serve as starting points in further understanding Chopin's stylistic characteristics used in his waltzes.

The Warsaw waltzes play a pivotal role in developing later works. The arpeggiated accompaniment used frequently in both virtuosic and sentimental works first appears in the E major waltz written in Chopin's youth. Similarly, the idea of melody and accompaniment reversing roles also originates in the Warsaw

years. These ideas extend across Chopin's compositional life, culminating in a multiplicity of ideas in Op. 64, No. 3. To trace and evaluate this sequence of events is to discover Chopin's constant efforts to refine and perfect his works and gain a richer appreciation of the waltzes as a field for unexpectedly rich compositional exploration.

2.3 Introduction and Coda

In this section, I offer an in-depth analysis of Chopin's introductory passages and codas, highlighting various techniques Chopin employs in unifying these sections with the main body of the waltz. I shall also demonstrate how Chopin reinvents the roles of these passages within the virtuosic and sentimental groups.

2.3.1 The waltz's introduction

Introductory passages primarily serve as announcements, preparing for the opening statement of the main thematic material. Edward Cone distinguishes two types of introductions: a shorter 'expanded upbeat' and a longer 'introductory frame' operating as a self-contained component of the composition comprising a full cadence; the choice of either type of introduction is usually independent of its length.[78] As an illustration, Cone compares Beethoven's longer seventh symphony, which contains an 'expanded upbeat', with Mendelssohn's much shorter *Song without Words* Op. 9, which briefly uses the I-V-I tonal structure. Closely resembling Cone's definition of the introductory passage as an 'expanded upbeat', Grosvenor Cooper defines introductions as 'anacrustic in nature', leading towards the opening events found in the initial section.[79]

In seven of his waltzes, Chopin uses introductions: six from the virtuosic collection and a single sentimental waltz (E major waltz). Most of them match Cone's 'expanded upbeat' definition, with the V-I tonal structure forming only when each initial section begins. In contrast, Weber's *Aufforderung zum Tanze* -

[78] Edward T Cone, '"Musical Form and Musical Performance" Reconsidered', *Oxford University Press* Music Theory Spectrum, Spring, 1985, Vol. 7, Time and Rhythm in Music (1985), 156.

[79] Grosvenor Cooper W. and Leonard B. Meyer, *The Rhythmic Structure of Music* (Chicago, United States: University of Chicago Press, 1960), 73.

representing a miniature courtship ritual - commences with a 35-bar long passage resembling an ‘introductory frame’, perhaps given greater prominence as it depicts the male dancer’s all-important first attempt to persuade the female to dance with him.[80]

Chopin’s shorter introductory gestures usually join seamlessly to what follows, with a straightforward objective of building urgency and momentum. The exception lies with the E minor waltz, where two crochet rests separate the two sections, signalling the abrupt termination of the opening gestures. Perhaps learning from this experience, Chopin introduces a perfect cadence in his later compositions that bridge both introductory passages and opening sections as illustrated in Op. 34, No. 1 and 3. On such occasions, the dominant is frequently elaborated in the opening bars before resolving to the tonic on section A’s first bar (i.e., the metrically strong downbeat).

These general tendencies aside, Chopin conceives the rhythmically seamless merging of introductory material to section A in unique ways, drawing parallels to how he varies his accompanimental devices. He also always recalls the prefatory gestures in the later sections of all his waltzes, except Op. 42. In this waltz, Chopin inserts rather ambiguous harmony in the left-hand register devoid of any oompah-pahs. These could draw some resemblance to the capricious bare octaves found later in bars 210 to 212, which I shall comment on more in the later sections. Table 2-2 summarises how he establishes coherence between the introduction and main body.

[80] Tusa, ‘In Defense of Weber’, 171.

Waltz	Parallel themes established
Virtuosic waltzes	
1. E minor waltz	In section A, bars 9 to 15's left-hand downbeats (accented passing notes and tonic arpeggiation E-G-B) are varied repetitions of the first two quavers in bars 1 to 3.
2. Op. 18	The introduction's single-tone repetition theme is varied in various sections of the main body.
3. Op. 34, No. 1	Bars 49 to 51 and 53 to 55 of section C represent a varied motif of bars 1 and 2.
4. Op. 34, No. 3	Introduction's moto perpetuo quavers join and continue to section A.
5. Op. 64, No. 1	Introduction's moto perpetuo quavers join and continue to section A.
6. Op. 42	None.
Sentimental waltzes	
7. Waltz in E major	Introductory gestures joins section A and return as part of da capo ternary form.

Table 2-2 Parallel themes established between introductions and the main body

In Section 2.1, I raised one way of understanding how Chopin repeats and varies the opening passage of Op. 18 – to which I shall now return for a closer examination of section G, where the introductory passage is reiterated. Samson observes that section G also represents an extension and an 'anacrusic phrase implanted in (section) D'.[81] Section G, located just before the reprise of sections A and B, it does not cohere with the rest of Op. 18, unlike the rest of the sections, which according to Samson, share motivic, textual, and rhythmic links. He does not specify any connection between sections D and G. Nonetheless, the 'anacrusis phrase', given prominence by virtue of new material, builds momentum, culminating in the structural downbeat when section A returns in bar 189. Here, characteristics of both 'introductory frame' and 'expanded upbeat' coexist in section G, representing a fundamental shift from the

[81] Samson, *Music of Chopin*, 123.

conventional role of introductory material as typically located exclusively at the beginning of a composition.

Perhaps sensitive to the length of Op. 18 – his longest waltz, with 308 bars in total – Chopin prepares listeners with upbeat material for the much-awaited reprise, an approach he replicates again in Op. 64, No. 1 where the first four bars of introduction are expanded to eight bars just before the reprise of A. These expanded repeats of the opening gestures represent the first of many conventional 'rules' that Chopin breaks.

2.3.2 Coda

It is common for musical forms like sonatas, fugues, minuets, and trios to feature codas. In several of his miniature compositions across the genres, Chopin uses these concluding sections. Charles Burkhart has identified a twofold role for codas: the first is more 'traditional', like a 'tail trailing off from the main body' as he puts it, providing essential structural and aesthetic satisfaction.[82] Here, the composition reaches its climax before the coda begins. In contrast, the second type of coda embodies a climax within, constituting an additional important section to the work, representing more than just a section that revisits earlier ideas.[83] In both instances, the codas summarily perform the following roles: first, they represent a reflective epilogue, an opportunity for re-interpretation and development of ideas already heard, which brings coherence retrospectively to earlier sections. They also bring the work towards an exciting and dramatic closure, often following a varied (or literal) repetition of earlier ideas.

Rosen has a different view, describing Chopin's use of codas in waltzes as a 'convention', a traditional ending compared to the conclusions of his larger-scale mazurkas.[84] He must be referring to Chopin's virtuosic waltzes, where five

[82] Charles Burkhart, 'The Phrase Rhythm of Chopin's A-Flat Mazurka, Op. 59, No. 2', in *Engaging Music: Essays in Music Analysis* (New York: Oxford University Press, 2005), 11.

[83] Burkhart gives credit to Beethoven who invented this coda, which adds a fourth 'form-section' to the exposition, development, and recapitulation of his sonatas. Examples are seen in his *Appassionato* Sonata and the first movements of the *Eroica Symphony.* See Burkhart 'The Phrase Rhythm of Chopin's A-Flat Mazurka, Op. 59, No. 2', 12.

[84] Charles Rosen, *The Romantic Generation* (Boston: Harvard University Press, 1995), Chap. 7.

of the seven waltzes use codas with climactic conclusions. The other two waltzes (the melancholic Op. 34, No. 2 in A minor and the graceful Op. 64, No. 3 in A-flat major) from the sentimental group employ codas that are anything but conventional; neither fit into the definitions put forth by Burkhart or Rosen.

In Op. 34, No. 2, the coda relinquishes its traditional concluding role to the reprise of section A, giving listeners a different experience from anything the rest of the codas found in the virtuosic waltzes prepare us for. Here, Samson observes the coda comprising a new melodic idea of continuous quaver passages found in the left hand - the first occurrence of such figuration in this waltz – which migrates through various keys, bringing fresh intensity to the piece through the foreground harmonic complexity.[85] However, there are no significant climaxes or tension points along the lines of a typical bravura conclusion that recapitulates preceding themes. This new 20-bar passage broadly divides into an eight-bar and 12-bar phrase, seamlessly modulating between major and minor modes. In some ways, the passage resembles what Kallberg calls an 'epigrammatic theme', within a discussion of certain closural devices in Chopin's mazurkas (see Mazurka Op 59, No. 3 in F-sharp minor, bars 147-154). Such themes, whose range is restricted, employ mainly congruent motion with diatonic harmonies, using highly stable and unambiguous musical material. The 'special and maximally closed melodies' in codas are typically found in the last number of an opus set, thus offering closure at the end of the work and the opus level.[86]

According to Kallberg, Chopin occasionally essayed similar epigrammatic themes at the ends of codas in the Nocturne in E major Op. 62, No. 2, and Prelude in D-flat major Op. 28 No. 15, although not as fully formed as those in the mazurkas. He also suggested that Chopin may have learned the technique from Beethoven, whose epigrammatic themes represent the opening variation of the Sonata in A-flat major, Op. 26, a favourite teaching piece of Chopin's.[87]

[85] Samson, *Music of Chopin*, 125.

[86] Todd, *Nineteenth-Century Piano Music*, 226-227.

[87] Todd, *Nineteenth-Century Piano Music*, 254.

By concluding Op. 34, No. 2 with the reprise of section A, Chopin positions the main theme as the central point of focus. The literal repeat of the first 16 bars of this dance brings the melancholic mood back to focus. Here, Chopin chooses an abrupt end, like many of his other miniature compositions found in his other genres. However, this piece seems most familiar in formal procedure with the mazurka in A minor, Op. 17 No. 4, composed in 1823 (a likely coincidence that both were written in the same key). As Kallberg observes, the mazurka's opening and closing four bars are almost identical, except for the performing direction *perdendosi* (which means dying away) indicated in the conclusion.[88] Both waltz and mazurka establish a style where 'tension' gives way to 'release', more closely associated with Chopin's nocturnes, rather than the typical ending of the virtuosic waltzes where the bravura codas generate a climactic conclusion to the dance. In these examples, a nocturne's characteristics permeate both waltz and mazurka.

The other sentimental waltz – Op. 64, No. 3 in A-flat major - also employs a radically distinct coda but does not feature an epigrammatic theme. Instead, the 23-bar coda operates as an end-weighted climax to the dance, performed with only a slight acceleration (*poco a poco accel. al fine*), introducing a new melodic idea in its moto perpetuo quavers that join continuously from the previous section. As discussed earlier, the 23-bar transition between sections A and B of Op. 64, No. 3 offers a counterweight to the concluding section. The transition passage's running quavers combine with two-bar trills and asymmetrical 8 + 7 + 8 bar phrase structure arguably generate as much intensity as the concluding section. This parity in sections raises two questions: can two climactic sections coexist in a waltz? And: is there a subtle affinity between both sections, with one set of passages imitating the intensity gestures of the other?

Undoubtedly, Op. 64, No. 3's coda offers a telling illustration of Chopin's idiosyncratic use of concluding material. Of the two sentimental waltzes that use these concluding materials, Op. 64, No. 3's coda employs a strategy closely resembling Chopin's five other virtuosic waltzes that employ end-weighted sections. These dances were all published, except for the E minor waltz, the

[88] Todd, *Nineteenth-Century Piano Music*, 234.

first waltz to employ a coda that completes its tonal structure at the beginning of the section, to which the latter functions literally as a tail.[89]

McKee and Abraham have differing views as to where the E minor waltz's coda commences. On the one hand, McKee argues that the curtailed A Section divides 8 + 14, leading to a 13-bar coda that begins on the metrically strong 135th bar.[90] On the other hand, Abraham asserts a larger coda of 27 bars, reducing section A's reprise to only eight bars.[91] While both interpretations are plausible, the first possibility seems more likely, given that the eight and 14-bar passages contain similar harmonic language for a 22-bar reprised section. Details of how the codas in both groups recall earlier rhythmic ideas are illustrated in Table 2-3 and Table 2-4.

	1. E minor waltz	**2. Op. 18**	**3. Op. 34, No. 1**	**4. Op. 34, No. 3**	**5. Op. 42**
Earlier materials recalled in codas	The E-G-B tonic arpeggiation from the introduction	Rhythmic motifs from section A and B; acciaccatura motif from section F	Moto perpetuo quavers from section B; triplets as a rhythmic variation of mordents from section C	Acciaccatura motif from section C	Quaver motif from section A

Table 2-3 Motivic parallelisms between codas and earlier sections in virtuosic waltzes

[89] Rink, 'Tonal Architecture in the Early Music', 89.

[90] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 184.

[91] Abraham, *Chopin's Musical Style*, 28.

	1. Op. 34, No. 2	2. Op. 64, No. 3
Earlier materials recalled in codas	Downbeat crochet rests that substitute the 'oom' in the right-hand register from Section A	Oompah-pahs from Section A; syncopated accompaniment from Section B

Table 2-4 Motivic parallelisms between codas and earlier sections in sentimental waltzes

Of the waltzes mentioned above, Op. 34, No. 3 deserves some attention. Here, Chopin, in addition to literally recalling earlier materials, also derives a varied rhythmic idea by combining motifs from sections A and B. From the dotted minims representing dominant chords in the beginning 16-bar introduction and the moto perpetuo quavers that continues onwards in Section A, he derives a syncopated rhythm repeated in bars 144 to 156 of the coda before a capricious rhythmic disruption erupts by virtue of two bars of rests. Listeners may first conclude that the coda's rhythm is novel when it is more likely a concealed marriage of earlier ideas, brought forth only at the conclusion to generate a sense of energy and dynamism.

2.3.3 Classifying the Introductions and Codas

Chopin employs introductions and codas to frame the main body of a waltz, creating a coherent musical narrative representing the first and last impressions. In five of his virtuosic works, Chopin uses both introductory and coda material within the same waltz (see Figure 2-12). In his sentimental works, Chopin uses either an introduction or coda - but not both - on three separate occasions: E major uses only an 8-bar introductory gesture, Op. 34, No. 2 applies a coda before an ensuing return to the main theme, and Op. 64, No. 3 uses a coda conventionally as a climatic end statement. In only the Op. 64, No. 1 does Chopin use only an introductory passage without any coda.

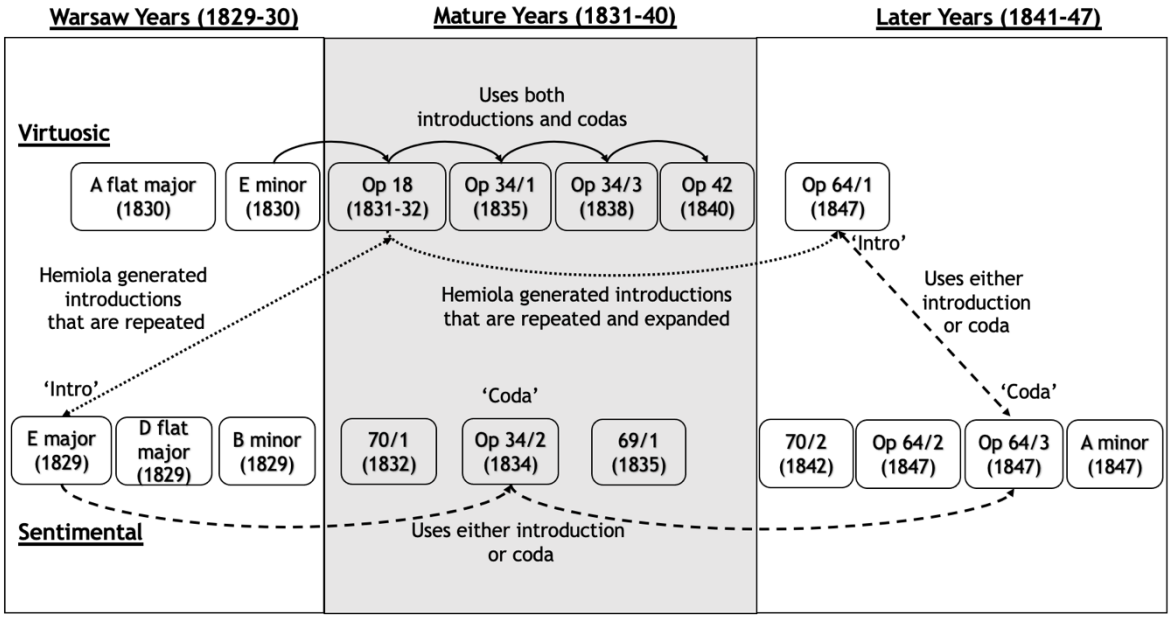

Figure 2-12 Summary of introduction and codas featured in Chopin's waltzes

Chopin ceases the use of both introductions and codas within the same waltz – one of several prominent Viennese characteristics – towards the end of the mature years. Subsequently, he uses introductory and coda material more selectively in the later years: once as the prefatory gesture used in Op. 64's first work and another time as a coda concluding the last work of Opus 64.

Summarily, these 'outer sections' are illustrated in Figure 2-13, representing 'frequent' features when used together and 'idiosyncratic' features when occurring singly.

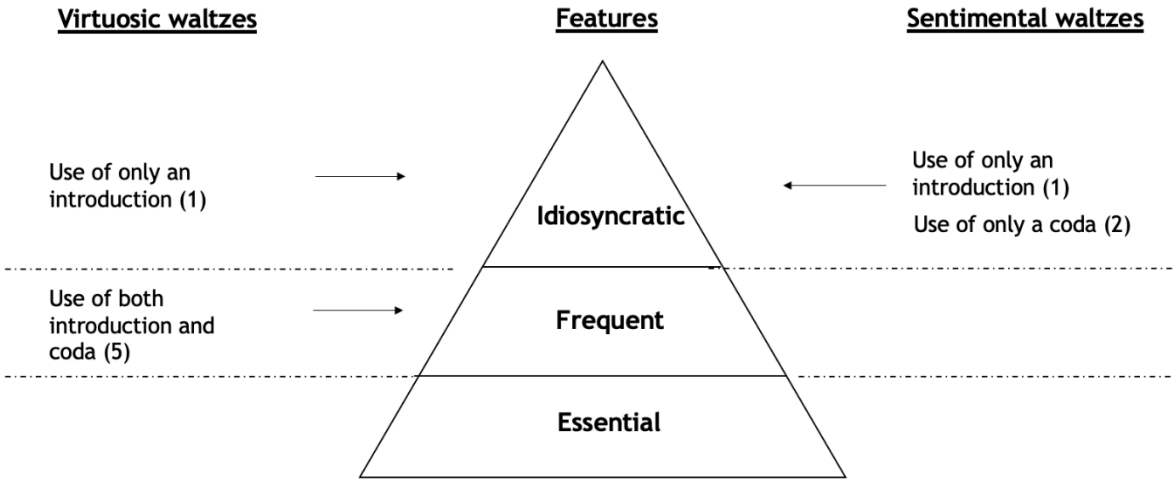

Figure 2-13 Hierarchy of introduction and codas featured in Chopin's waltzes

Chopin employed introductions and codas to different effects, particularly in three waltzes. In Chopin's longest virtuosic waltz (Op. 18) and the rondo-formatted Op. 42, he radically alters the role of the introduction, repeating it as part of an anacrusis phrase in Op. 18, and expanding it in Op. 42. He also transforms the role of the coda as a bridging rather than an end-weighted section in the darker, gloomier Op. 34, No. 2. While the repeat of introductions is a relatively straightforward approach, it was how Chopin shifted the location of codas in Op. 34, No. 2 which draws light on how he re-evaluated the traditional function of the coda.

2.4 Foreground rhythmic themes and motifs

The principles of unity and contrast are also demonstrated through rhythmic themes and motifs established in the foreground. In Arnold Schoenberg's words, motifs are generally considered the 'germ' of a composition's idea, usually appearing in a 'characteristic and impressive manner at the beginning of the piece'.[92] In Chopin's waltzes, such rhythmic ideas found at the structural level include single-tone repetitions, moto perpetuo melodies, 'grief' motifs (ideas suggestive of established expressive rhetoric) and melodic arches. I shall investigate each separately.

2.4.1 Single-tone repetitions

In *Unfoldings: Essays in Schenkerian Theory and Analysis*, Schachter defines three roles of single tone repetitions (which he calls durational rhythms): to generate forward momentum, to impede forward momentum by moving away from the preceding strong beat rather than toward the next one, and to create continuous motion from one strong beat to the next, all conceived through different combinations of stresses and durations used.[93]

In the earlier twentieth century, Abraham had also observed Chopin's 'stylisation' (as opposed to imitation) of the Italian bel canto by repeating a note instead of sustaining it, producing 'marvellous pseudo-cantabile effects'.[94]

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[92] Arnold Schoenberg, *Fundamentals of Music* (England: Faber and Faber, 1967), 8.

[93] Schachter and Straus, *Unfoldings*, 38.

[94] Abraham, *Chopin's Musical Style*, 64.

Chopin utilises this across his genres, including his nocturnes (the opening of the B flat minor Nocturne, Op. 9, No. I, is one of many examples).

In the waltzes, Chopin began using single-tone repetitions as motifs in two waltzes: the E minor waltz and Op. 18. The parallel in Chopin's approach to these two dances is distinct; the features used at the beginning of the E minor waltz's opening themes reappear in the published works of Op. 18, taking on more significance. In Op. 18, the introductory gestures open with repeated notes comprising hemiola characteristics and are recalled again in the opening of section B. McKee calls them 'repeated note spiccato melodies', arguing that Chopin adapted these features from Lanner's Op. 42, No. 3 waltz, another demonstration of how the Polish composer imitated Viennese works.[95] The spiccato melodies, used in string instruments as a bowing technique where the bow bounces lightly upon the string, exemplify how violinists Lanner and Strauss Sr. scored the waltz for the violin. In Op. 18, the repeated note theme reappears in section C before representing a recapitulation of earlier material in the coda, extending the motif-generated melody throughout the waltz. This theme extends to later waltzes; the rhythmic pattern from Opus 34's first and last works parallels with those of Op. 18, an example of Samson's observation that Op. 34 modifies several of Op. 18's gestures.[96]

Building on Samson's discovery, Op. 34, No. 1 further establishes itself as a 'highpoint' amongst both collections of waltzes in how Chopin rhythmically varied the motif. The single-tone repetition reappears in bars 49 and 50; this time, a rhythmic emphasis is placed on the upbeat, tying to the downbeat of the following bar. Next, the theme establishes its presence in the tenor voice in the following section before concluding as part of the end material in the coda, modified to syncopated rhythms (see bars 281 to 292). In 1838, single-tone repetitions appeared one final time in Op. 34, No. 3; its introduction includes the dominant chord, alongside repeated fifth-degree notes, generating a hemiola pattern joining the next section.

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[95] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 188.

[96] Samson, *Music of Chopin*, 123.

Like many of Chopin's compositional practises raised earlier (e.g., halving and doubling of sections), the repeated single tones find their origins in the sentimental collection in the E major waltz, composed in 1829. Although used only a single time in the 72-bar miniature dance, it represents Chopin's early attempts in Warsaw to craft continuous melody and overcome the four-bar barrier. In bar 40, the repeated tonic (crochet-two quavers-crochet sequence) in this G-sharp minor passage seamlessly modulates the melody back to E major. One year later, Chopin employs the same technique in the A-flat major waltz at the beginning of the Trio, albeit he uses a different set of rhythmic sequences comprising quavers and semi-quavers on this occasion.

Although Chopin's primary objective in using single-tone repetitions in the waltzes is to establish forward momentum, it was not necessarily always employed in his other genres. The more tranquil and lyrical nocturnes are a case in point. To take one example, the G minor Nocturne, Op. 37, No. 1's repeated note theme signals the return of reprise material, interpreted with a ritardando as a performing direction before giving way eventually to the reprise. However, Chopin avoids using this gesture to impede the advancing movement in his melancholic subset of waltzes.

Single-tone repetitions joining to moto perpetuo passages

In addition, Chopin uses moto perpetuo - defined as a continuous flow of melodic passages, often using quavers or semi-quavers – to create continuity. He employs these passages in two virtuosic waltzes: Op. 18 and Op. 34, No. 3. In sentimental waltzes - particularly more sorrowful compositions – Chopin establishes motifs performed at a slower tempo with a presence of long, sustained notes, creating an effect contrary to the intentions of the faster, momentum-building moto perpetuo passages of their virtuosic counterparts (see the openings of B minor and Op. 34, No. 2). Notwithstanding, moto perpetuo themes are also used for expressive or dramatic effect. For example, Michael Tilmouth, in his review of

Moto Perpetuo, singles out how a sense of desperation enhances Schubert's *Erstarrung* Winterreise, No. 4.[97]

Notably, Chopin extends the momentum generated by joining single-tone repetitions to moto perpetuo quavers, found in Op. 18's opening passage in section B and Op. 34, No. 3's introduction and ensuing section. This combination of features remained absent in the later years, coinciding with a period when Chopin's aesthetic creativity centred more on sentimental waltzes. After 1840, only one other virtuosic work was written, found in Op. 64, No. 1. Chopin's later styles developed through the evolution of sentimental waltzes, particularly Op. 64, No. 3. As such, the absence of moto perpetuo and single-tone passages made way for the composer's shift in focus towards reinventing several techniques on his terms, as brought forth in the earlier sections. Figure 2-14 provides a snapshot, revealing the evolution of the single tone repetition and those adjoining moto perpetuo passages primarily centred in the mature years.

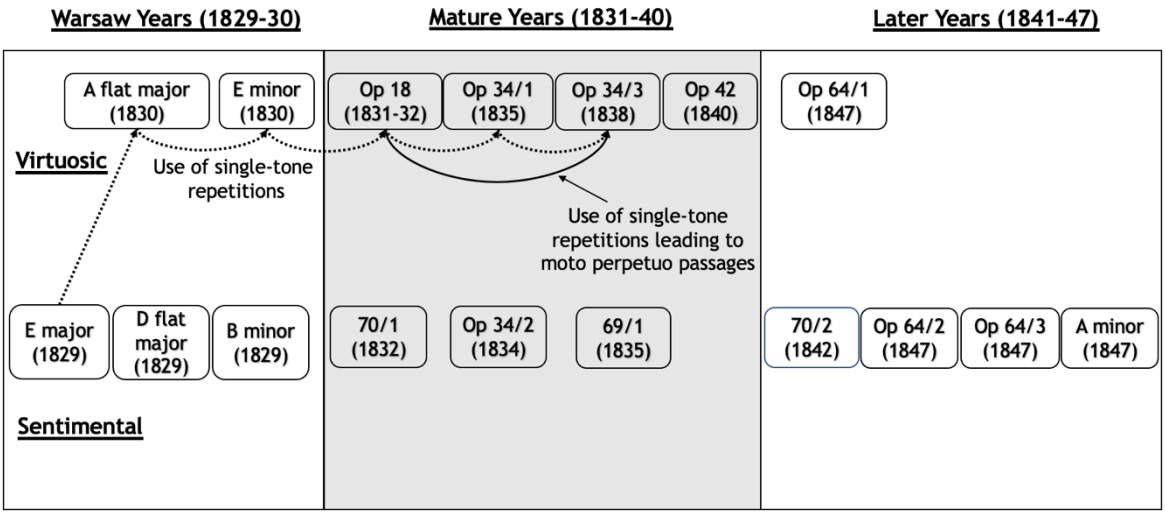


Figure 2-14 Summary of single-tone repetitions found in Chopin's waltzes

Classifying single-tone repetitions and moto perpetuo passages

Chopin's preference for utilising single-tone repetitions followed by moto perpetuo passages is distinctively used in his virtuosic compositions. He uses

[97] Michael Tilmouth, 'Moto Perpetuo', in *Grove Music Online*, 2001, https://doi-org.ezproxy.lib.gla.ac.uk/10.1093/gmo/9781561592630.article.19224.

these motifs just once in a sentimental waltz (E major) and seems to deliberately avoid using these continuous passages in his melancholic waltzes, the same way he evades varying the sections in these works in proportional forms. The question of how Chopin engraved these doleful waltzes represents the following section's point of departure.

2.4.2 'Grief motif' in Chopin's waltzes

In *Aspects of Schenkerian Theory*, Schachter describes the semitone motive, derived from the fifth and sixth degree of the minor mode, as a central depiction of grief in many of Schubert's songs as reflected in *'Gretchen am Spinnrade'* (D.118, composed in 1814) and *'Tiefes Leid'* (D.876, 1826). The motif commonly associated with death, grief, and lamentation is reflected especially in the descending half step; its downward motion assumes both semitonal intensity and a 'sighing' quality.[98] Walter Everett extended this idea, postulating that in another Schubert composition (*Winterreise*, D.911, 1827), various textual references were given motivic treatment by virtue of the fifth-scale degree's decoration and its semitone upper neighbour note.[99]

Although Schachter and Everett do not address this motif found in Chopin's more sombre waltzes, it is possible to observe some striking parallels found in the sombre pieces written by Chopin and Schubert. To add, Rosen, in '*Virtuosity Transformed'*, the sixth chapter of *Romantic Generation,* goes to some extreme, describing Chopin's style as 'macabre', referring to the salon-style as magnified and exaggerated to the point of morbidity.[100] Although Rosen avoids referring to any specific work, he draws reference to some of Chopin's etudes and scherzos, observing an occasional mood of 'concentrated exasperation, a despair sometimes ironic, sometimes disdainfully proud'.

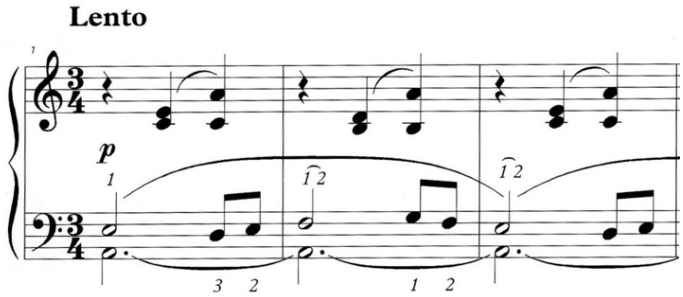
Other scholars have explored what Walker calls a 'grief motif' found in the initial bars of Chopin's *Funeral March*, the third movement of his piano sonata in B-flat minor. For instance, David Witten identified the notion of a despondent theme in Chopin's ballades at the melodic and structural level when he observed

[98] Carl Schachter, *Aspects of Schenkerian Theory* (Yale University Press, 2011), 70.

[100] Rosen, *The Romantic Generation*, Chap. 6.

the motion from the sixth to the fifth degree as an essential feature in Chopin's four ballades, calling it a 'motivic metaphor'.[101] In the *Funeral March* (Sonata, Op. 35, No. 2.), one of Chopin's more significant works, Walker argues that this grief motif 'pass(es) into the conscious symbology of music' when the opening bars draws its melodic contour found in the first movement's initial subject.[102] This 'latent idea' could also represent Arnold Schoenberg's concept of a *phraseff*.[103]

Chopin's lugubrious works cannot be ignored. Half of Chopin's sentimental collection of waltzes project a generally dark mood (see Figure 2-8). In his favourite waltz – Op. 34 No. 2 - Chopin illustrates Schoenberg's *grundgestalt* concept, where the two-quaver motif expands to eventually three and four-quaver motifs later in the waltz (see Example 2-6 to Example 2-8). The sense of grief, unconstrained by the common four-bar phrasing, permeates the piece from beginning to end. For instance, the three-quaver motif found in bars 27 to 35 is part of a 12-bar phrase expansion augmenting the darker mood. Incidentally, Chopin also uses phrase overlaps in the B minor waltz, the first melancholic work written by Chopin in 1829.[104]

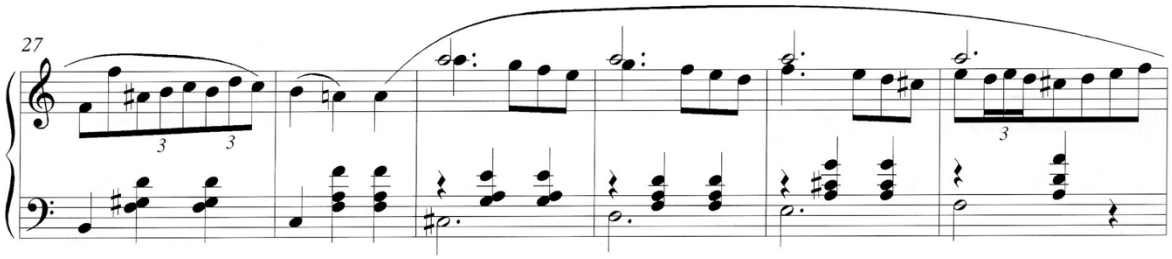


Example 2-6 Two-quaver motif from Op. 34, No. 2, bars 1 to 3

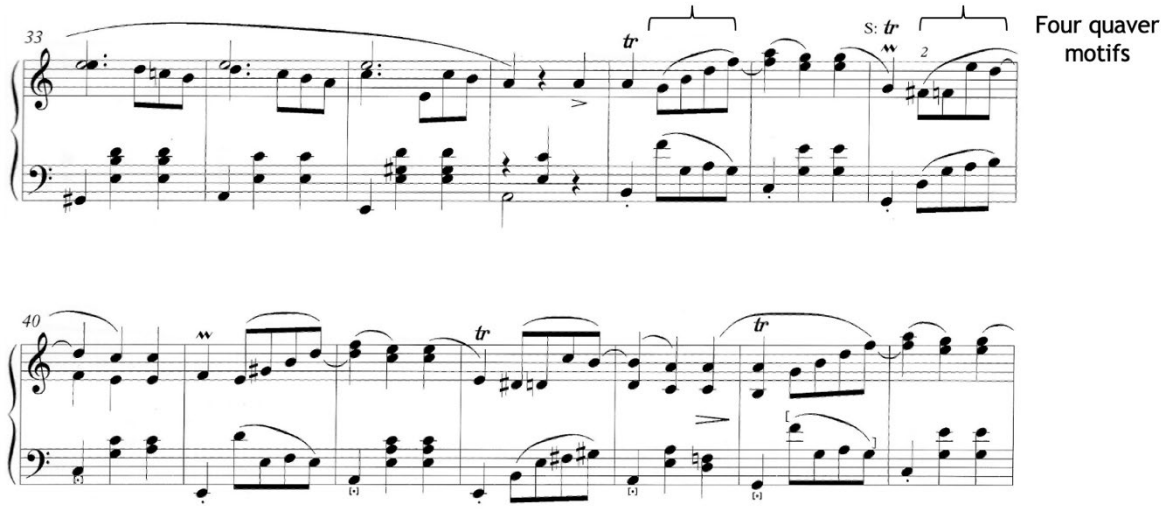
[101] David Witten, 'The Coda Wagging the Dog: Tails and Wedges in the Chopin Ballades', in *Nineteenth-Century Piano Music: Essays in Performance and Analysis*, edited by David Witten (New York: General Music Publishing Co., 1997), 120.

[102] Walker, *Frederic Chopin: Profiles of the Man and the Musician*, 246.

[104] McKee offers several interpretations of phrase overlap in the opening bars of the B minor waltz with different interpretations of where antecedent and consequent commences and ends respectively, within the 16-bar first section. See McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 177.



Example 2-7 Three-quaver motif from Op. 34, No. 2, bars 29 to 31



Example 2-8 Four-quaver motif from Op. 34, No. 2, bars 33 - 46

Further explorations of grief motifs

Parallelisms can be forged between Chopin's grief motifs and those of other nineteenth-century composers. Schubert's works, for instance, present a starting point to examine how Chopin could have derived the fifth and sixth-degree motifs from the latter's compositions. In the same way, one can also consider how Chopin may have influenced Brahms. As Rosen observes, one distinct allusion forms between both composers' works: Brahm's Scherzo in E-flat minor, Op. 4 and Chopin's Scherzo in B-flat minor, Op. 31.[105] Kevin Korsyn further details how Chopin's C-sharp minor waltz (Op. 64, No. 2) also presents intertextual themes with Brahms' Scherzo, Op. 4. He further argued for a framework as a critical prerequisite for selecting parallels (which he calls

[105] Charles Rosen, 'Influence: Plagiarism and Inspiration', *19th-Century Music* 4, no. 2 (1 October 1980): 94, https://doi.org/10.2307/746707.

intertextuality) amongst works that should include tradition, history, and originality.[106] To that end, Chopin's grief motif could be a subject worthy of this model that expands before and after his lifetime, forging a series of lugubrious works amongst nineteenth-century composers.

Other noteworthy grief themes can be explored. For instance, Schachter raises the descending bass and the dark colour it establishes as another gesture, one found in Chopin's E minor Prelude, Op. 28, No. 4. Semitonal intensity coupled with a generally downward motion and minor mode basses that descend chromatically to the fifth degree are other examples of musical analogues that can be further examined to produce 'feelings associated with loss, sadness and death'.[107]

2.4.3 Melodic arches: A musical representation of waltzes

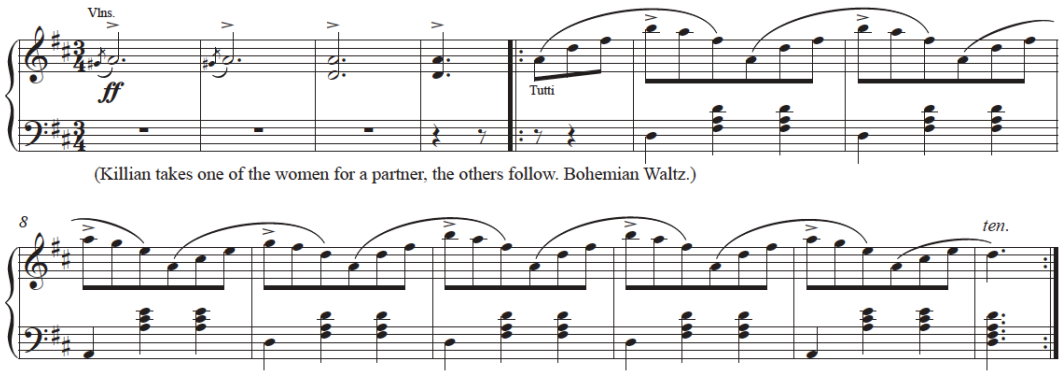
McKee, Yaraman and Lawrence Zbikowski have significantly contributed to establishing how melodic arches play a prominent role in waltzes, determining a relationship between written composition and dance steps. In traditional waltz compositions, the arches' circular designs usually consist of common starting and ending points with pitches moving at even rates around a constant axis. As such, these melodic themes draw similarities with the physical motions of the dance, although the latter has no fixed point, providing a revolving spectacle on the dance floor.[108] German composer and theorist Adolf Bernhard Marx explains in detail that 'the waltz has two movements: first, each pair of dancers turns itself in a circle around its centre; second, the pair progresses with these continuous turns in a greater circumference until it reaches its starting place, and the circle is closed. Each little circle is performed in two-times-three steps and is, as it were, the motive of the dance', second only to the oompah-pah

[106] Kevin Korsyn, 'Towards a New Poetics of Musical Influence', *Music Analysis* 10, no. 1/2 (March 1991): 6, https://doi.org/10.2307/853998.

[107] Schachter and Straus, *Unfoldings*, 162.

[108] Yaraman and Lawrence Zbikowski have both contributed to comparisons between the circular dance motions and musical representations of them. See Yaraman, *Revolving Embrace: The Waltz as Sex, Steps and Sound*, 18-19 and Lawrence M. Zbikowski, 'Dance Topoi, Sonic Analogues and Musical Grammar: Communicating with Music in the Eighteenth Century', in *Communication in Eighteenth-Century Music*, ed. Danuta Mirka and Kofi Agawu (Cambridge: Cambridge University Press, 2008), 289, https://doi.org/10.1017/CBO9780511481376.011.

accompaniment.[109] Marx further cites Weber's *Der Freischutz* (from his opera, act 1, scene 3) as the model of a waltz motif, as shown in Example 2-9.



Example 2-9 Weber's *Der Freishutz.* McKee, Decorum of the Minuet. 149.

McKee and Yaraman stress the importance of melodic arches in Chopin's waltzes. According to McKee, the significance of melodic arches is second only to the oompah-pah pattern.[110] Yaraman, in his thesis, *The waltz: A musical interpretation through the steps,* argues that a close examination of the sophistication of melodic arches – their repetitive circularity, which he describes as intoxicating – is essential to gain a full appreciation of Chopin's dances.[111] However, both scholars confine their observations to a selected list of waltzes that employ melodic arches. McKee observes melodic arches found in most of Chopin's waltzes but excludes those present in the G-flat major (Op. 70, No. 1) and A-flat major waltzes (Op. 69, No. 1). Similarly, Yaraman singles out Op. 42 and the classical rondo form it imitates but does not elaborate further on the significance of melodic aches at the motivic level.

How do the melodic arches evolve across the years? Was there a balanced approach Chopin took when he frequently utilises this principle in both groups of waltzes? Two observations can be made of Chopin's melodic arches, both strongly tied to the oompah-pah patterns. Firstly, Chopin varies and eventually

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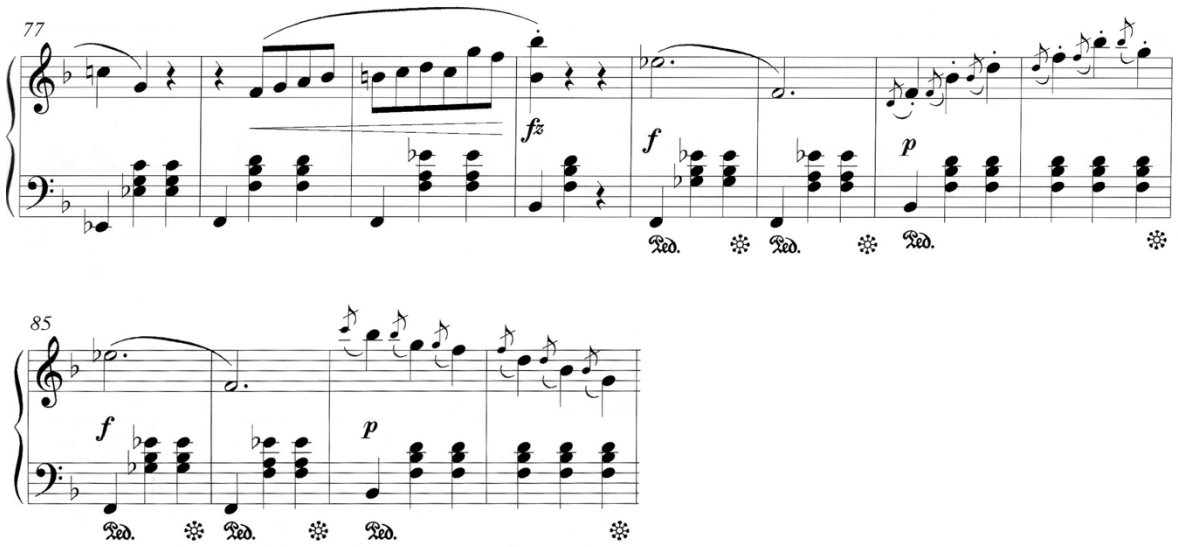
[109] Adolf Bernhard Marx, *Die Lehre von der musikalischen Komposition* (Leipzig: Breitkopf und Hartel, 1838), 55.

[110] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 149.

[111] Sevin H. Yaraman, 'The Waltz: A Musical Interpretation through the Steps' (Ann Arbor, University Microfilms International (UMI), 1998), 102.

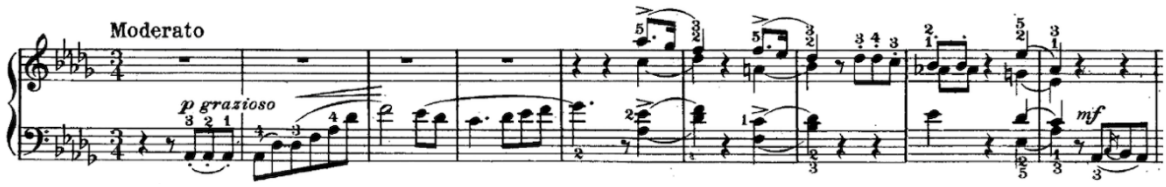
redefines melodic arches on his terms. For example in Op. 18, Chopin initially creates a melodic arch in bars 5 to 12 using the rhythmic motif of a crochet-quaver-crochet. However, the next session comes unexpectedly in the piece, beginning with a reverse melodic arch when the melody descends first before climbing up (see bars 21 to 24). In Op. 34, No. 3, Chopin uses a melodic arch on the metrically weaker 83rd bar. The arch, interrupted by the dotted minim motif, resumes its downward movement thereafter (see Example 2-10).



Example 2-10 Melodic arches in Op. 34, No. 3, bars 81 to 88

Finally, in the graceful and elegant waltz in D-flat major (Op. 70, No. 3), another melodic arch in the left-hand register variation shows rhythmic similarities with the opening section of Op. 18, capturing the properties of a typical melodic arch (see bars 33 to 40).

Chopin radically recreates melody arches on his terms, a transformation from the straightforward arches in Weber's *Der Freishutz*. However, there are parallels between Chopin's varied melodic arches and those of Weber's, as found in *Aufforderung zum Tanz*. In Weber's dance, the left-hand opening bars start on the dominant key through a four-quaver single-tone repetition, ascending for almost two octaves, before the right-hand melody, in response, commences its downward arch also from the same dominant key (see Example 2-11).



Example 2-11 Weber's *Aufforderung zum Tanz,* bars 1 to 9, Kohler, 794.

The second observation derived by analysing the sentimental collection leads one to discover fewer melodic arches in these waltzes. The melancholic subset within the sentimental group of waltzes also does not feature melodic arches This approach suggests the obvious question: why did Chopin omit them amongst his sombre works? Were they deemed uncharacteristic in grief compositions? There may never be a straightforward explanation as idiosyncratic features tend to be used by most composers.

Summarily, the melodic arches are found in all seven virtuosic waltzes and five of the ten sentimental waltzes (see Figure 2-15). In many occurrences, Chopin considerably varies the melodic arches.

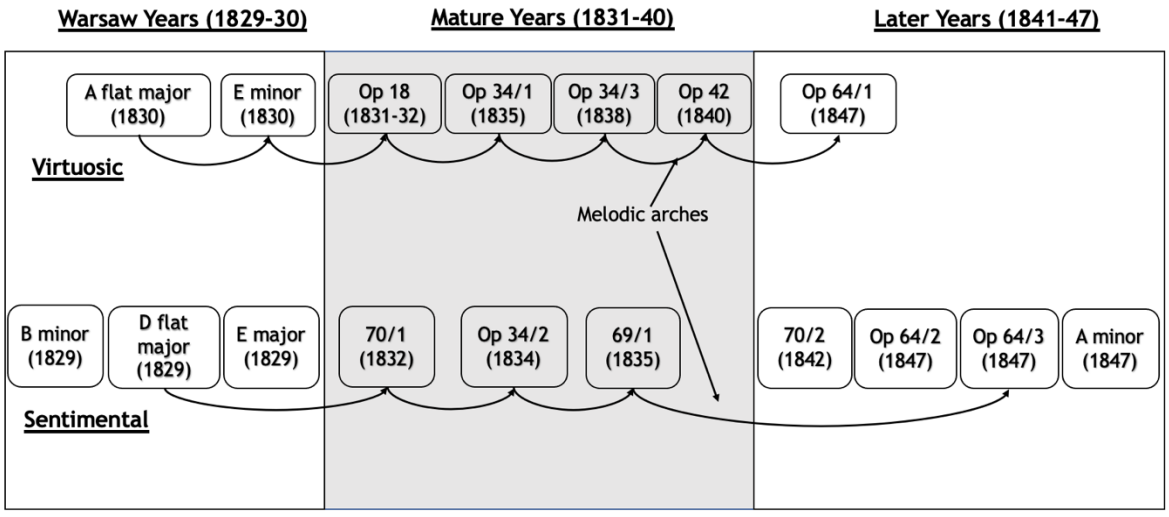


Figure 2-15 Melodic arches in virtuosic and sentimental waltzes

2.5 Multipartite publications of Op. 34 and 64

Kallberg is one of the few Chopin scholars who has studied the coherence of Chopin's multipartite opuses. Through his documentary research, he finds limited evidence to support an analytical approach to such collections as integral units. However, he observed some tonal links between works and noted in three

multipartite opuses (nocturnes Op. 27, 37 and etude Op. 10) a sense of larger closure established at the level of the complete collection.[112]

Kallberg does not discuss Chopin's waltzes in detail, although there are parallels between the works within each opus and common themes established at the opus level. Thus far, I have argued by analysing the evolution of Chopin's waltzes that it is unlikely he composed these works randomly. Likewise, it is unlikely that Chopin grouped his waltzes by chance in both Op. 34 and 64. One could argue that publishers tend to produce collective works because individual pieces were too brief, but this is not a plausible explanation since each of Chopin's waltzes was also published and sold separately.[113]

A close reading of both Op. 34 and Op. 64 reveals distinct and subtle parallelisms between them. One distinct trend is the alternating major and minor modes in each collection. The two melancholic works published are also centrally inserted in Op. 34 and 64, ascertaining a grief motif, plausibly symbolising Chopin's principal struggles in his life.

Kallberg's only observation relevant to Chopin's waltzes describes the composer's tendency to reserve his most complex codas for the concluding numbers of his opuses.[114] This observation does not seem to hold for Op. 34 and 64., since the codas in both opuses' last works are unsophisticated. However, Chopin might have intended to use the introduction of the initial work of Op. 64 and the coda from the final work of this same opus to frame the entire Opus.

The compositional dates of each set of works also give light on why Chopin grouped them. Op. 34's three waltzes were written between 1834 to 1838 in the mature years when Chopin was still primarily influenced by Viennese culture, experimenting with form, variation of accompaniment patterns and employing single-tone repetitions together with moto perpetuo passages. On the other hand, Chopin wrote the entire publication of Op. 64 in 1847 during the later

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[112] Jeffrey Kallberg, 'Compatibility in Chopin's Multipartite Publications', *The Journal of Musicology* 2, no. 4 (1983): 395, https://doi.org/10.2307/763687.

[113] Kallberg, 'Compatibility in Chopin's Multipartite Publications', 391.

[114] Kallberg, 'Compatibility in Chopin's Multipartite Publications', 407.

years, the third period of his compositional journey. To this end, it appears both opuses represent a snapshot of the respective periods.

2.6 Key takeaways

Upon investigating the formal overview and foreground levels of Chopin's sentimental and virtuosic waltzes, the evolution of the 17 waltzes spanning the period from 1829 to 1847 reflects three main compositional trends and patterns that embody the concepts of unity and contrasts in the waltz genre.

Firstly, I shall differentiate between waltzes that play the role of 'starting points' from those that assert a 'centre of gravity'. Written in Warsaw, the E major waltz proves to be a significant composition, from where hemiola-generated introductory passages and single-tone repetitions as motivic themes first appear before evolving in later works. The arpeggiated accompaniments and the oompah-pah pattern are also common features that Chopin initially used in three Warsaw waltzes – The E major and minor waltzes, together with the A-flat major waltz. This observation also brings to light the significance of unpublished works, which otherwise are lesser recognised than published ones.

Op. 64, No. 3 represents a culmination of oompah-pah variations that Chopin developed through the years. The waltz's sophisticated accompaniment is an outcome following a systematic approach to varying this accompaniment, stretching from the early Warsaw years to the later years. In Chopin's approach to the proportional doubling and halving of sections, the A minor waltz written in 1847, although an unpublished work that is technically undemanding, proves significant when Chopin applies both these approaches to this composition, the first and only time he does this. As such, prominence is given to this dance, composed in the same year as the more recognised opus 64. The above examples arguably add importance to Chopin's unpublished waltzes as starting points conceived in his early compositional life and as centres of gravity in his later years. Their roles are just as important as Chopin's published works, charting the waltz oeuvre's development over nearly 20 years.

The second key observation involves how Chopin approaches both groups of waltzes. In many instances, Chopin employs specific compositional ideas for

each group. He expands and contracts the sections in proportional terms across waltzes in both groups but avoids using them in all but one waltz in the melancholic subset. In the same way, while Chopin uses arpeggiated accompaniments in both groups, he also chooses to radically redefine the oompah-pah pattern, more so within the sentimental group. He frames most of his virtuosic works using both introductions and codas but uses either of them in some sentimental works. In the case of single-tone repetitions, including those that join to moto perpetuo passages, Chopin exclusively uses them only in the virtuosic waltzes. The E major waltz is the only exception.

He is more balanced in his approach to compositional forms and the use of melodic arches. In both groups, Chopin employs a variation of the ternary form (i.e., abbreviated or expanded forms). Most of his waltzes in the sentimental group contain melodic arches while all his virtuosic dances comprise melodic arches.

The melancholic subset also deserves some mention. Here, Chopin exhibits his clearly designed intentions for this group of waltzes, incorporating distinct and subtle approaches to this emotionally charged set of works. This observation is only evident when all five forlorn pieces are collectively analysed and compared alongside the other sentimental works and their virtuosic counterparts. In this subset, Chopin establishes the minor mode as the primary key played in a slower tempo than their virtuosic counterparts and conceals the fifth and sixth-degree grief motifs in various rhythmic forms in these forlorn pieces. He includes other features like codas that operate unconventionally compared with the five codas derived from the virtuosic waltzes and distinctly avoids single-tone repetitions, moto perpetuo passages and melodic arches in these dances. Chopin also establishes the grief motif as a central theme at the opus level by inserting the two published melancholic dances that form the middle works in Op. 34 and 64.

While Chopin groups his waltzes into two main groups, his approaches described above demonstrate how he further shaped his compositional thoughts, threading unique paths across the years and at times cross-pollinating ideas across the virtuosic and sentimental waltzes. This approach results in the interleaving of ideas in the later works on many occasions.

Thirdly, by charting the patterns and trends across Chopin's complete collection of waltzes, one differentiates his essential and frequent features from the idiosyncratic ones. Thus far in this study, melodic arches are the only essential feature that appears in all of Chopin's virtuosic waltzes. Yet, an alternative perspective is unravelled by observing Chopin's waltzes in different groupings. For example, one observes that only two waltzes, all unpublished, use the oompah-pah pattern 75% of the time or more. Both dances appear in Chopin's unpublished melancholic waltzes: once in the B minor waltz (found in the C1 copy) and once in the A minor waltz. This observation allows one to deduce that Chopin favours using oompah-pahs extensively in his melancholic unpublished works. His approach to using oompah-pahs amongst published waltzes in this subset is radically different, opting to use this feature only 21% (Op. 34, No. 2) and 48% (Op. 64, No. 2) of the time.

Chopin uses all other compositional approaches to technique and approach frequently or selectively, avoiding applying them consistently in all the waltzes within either group. While Chopin prefers to give unique identities to selected waltzes, he was still able to instil unifying ideas within different combinations of waltzes.

These findings, conceived by examining the principles of 'unity' and 'contrast' bring into focus the boundaries, limits, and exceptions to the understanding of the waltz 'genre', through attention to a relatively neglected dance genre that makes consistent use of quite familiar devices. Next, I compare the results derived from the other three principles: 'vibrancy' and 'tension and release', to either reinforce or provide a counterargument to my earlier observations.

Chapter 3 Vibrancy

Introduction

This section examines how Chopin generates rhythmic vibrancy at various dimensions. When a traditional waltz is set in motion, it is characterised by the basic oompah-pah metre, usually formed within the quadratic grouping of phrases. However, in Chopin's waltzes, rhythm is not just an inert element that forms an accompanimental tempo. It is also a source of energy that sets different forms of moods to the piece (e.g., bright, uplifting, tension-building, etc.), particularly in Chopin's melancholic waltzes, where he exhibits emotional vibrancy, often reinforcing the sorrowful mood in the melody. Within these dances, Chopin also demonstrates rhythmic vibrancy by adding richness and colour, giving each piece its unique rhythmic DNA, the nuances of which are sometimes concealed.

In the virtuosic waltzes, Chopin demonstrates vibrancy by instilling liveliness and dynamism, often building momentum and tension to lead towards a concluding section that serves as a culminating point. The energy expressed is filled with vitality and purpose, at times with the hemiola passages in the introductory passages foreshadowing a goal-directed objective throughout the waltzes, which is especially seen in the published dances.

As such, I shall analyse Chopin's rhythmic vibrancies in detail, building on the previous section at the formal level, and addressing how the prefatory passages generate momentum leading to the opening section. I will also investigate how Chopin establishes climatic endings near the concluding sections. In exploring phrase enlargements in both the main body of waltzes and those located near the codas, I will draw references from Schachter's observations that Chopin accepts the four-bar grouping as a given yet creates 'free rhythmic patterns that work counter to (the) larger periodicities' in the waltzes.[115]

[115] Carl Schachter, review of *Review of The Music of Chopin; The Music of Brahms*, by Jim Samson and Michael Musgrave, *Music Analysis* 8, no. 1/2 (1989): 189, https://doi.org/10.2307/854332.

At the surface level, I examine how accents add liveliness and dynamism to the overall rhythmic blueprint of each waltz. Three accents grounded on Lerdahl and Jackendoff's hierarchal classification are studied: phenomenal, structural, and metric. I shall also investigate how Chopin injects rhythmic features associated with the mazurka into the waltzes. These include key mazurka characteristics that emphasise the second and third beats, the use of grace notes and triplets, and establishing a dotted rhythm on downbeats. Several rhythmic variants (e.g., trills vs mordents) that Chopin uses across his waltzes are also explored. When applicable, multiple first editions of his waltzes are highlighted to reflect Chopin's extensive use of variants within a particular composition. I also examine how Chopin experiments with ornaments, suspensions, and irregular rhythms to generate rhythmic variety and complexity again adding to the overall vibrancy of the waltzes. Lastly, Chopin's use of counterpoint by expanding melodies into multiple voices to create rhythmic diversity is examined.

3.1 Hypermetrical analysis

In *Tonal Architecture in Early Music*, Rink postulates how Chopin approaches 'structural momentum' in his works with a new sensitivity after spending eight months in Vienna. He also explains how towards the end of the 1820s, Chopin links work sections through all-encompassing harmonic progressions and structural voice-leading, thus generating momentum and forward impulse.[116]

A hypermetric analysis is another approach to studying how Chopin generates forward momentum in his formal structures. According to Santa, a hypermetre is a 'sounding meter in which the grouping of the tactus spans more music than the grouping of beats indicates by the notated time signature and bar lines'.[117] Rehding and Rings, for example, interpret Chopin's waltzes using 'four-bar hypermeasures'.[118] Here, waltzes can be notated in 12/4 rather than 3/4, giving listeners a different mode of hearing. In general, Schachter limits the number of levels in which hypermetric analyses are carried out. He explains that it is too difficult for listeners to 'perceive hypermetre that is too large, or that stretches

[116] Samson, Jim, *The Cambridge Companion to Chopin*, 183, 202.

[117] Santa, *Hearing Rhythm and Meter*, 21.

[118] Alexander Rehding and Steven Rings, eds., *The Oxford Handbook of Critical Concepts in Music Theory* (New York, NY: Oxford University Press, 2019), 328.

over too large a time span'.[119] Notwithstanding, Schachter's observation may not be relevant in the case of Chopin's miniature waltzes, which often span less than 300 bars.

3.1.1 Introductions and codas

Conducting a hypermetric analysis of Chopin's introductions is straightforward since the introductory passages are only four to sixteen bars long. Of the seven annunciatory passages found amongst the 17 waltzes, those from Op. 34's first and third works are worth investigating.[120] I shall demonstrate how these two examples can deduce various interpretations of a hypermetric approach.

The prefatory passages of the first and third works of Opus 34 draw their origins from the opening and concluding sections of the E minor waltz written in Warsaw. Op. 34, No. 1's introduction that concludes on a metrically strong 17th bar draws parallels with E minor waltz's concluding passages. Here, the E minor waltz's section A reprise achieves an end-weighted closure when its 12-bar phrase expansion ends on the metrically strong 135th bar, for which the coda also commences on the same bar. Further, the chromatic ascent of Op. 34, No. 3's opening passages in bars 9 to 16 parallel the chromatic neighbour tones in the E minor waltz's introduction and the subsequent chromatic bass line in section A.

In Op. 34, No. 1, what appears to be a straightforward 16-bar introduction, reveals a more complex set of metric groups when examined under the hypermetric angle. For instance, McKee divides the opening passage into the following groups of bars: 4 + 4 + 9.[121] He includes the ninth bar in the last group to represent a culmination of the five-quaver grouping that commences in bar 13 and concludes on bar 17's downbeat, forming an elision whilst maintaining the succession of strong hyper beats after every four bars.[122] Based on Rink's

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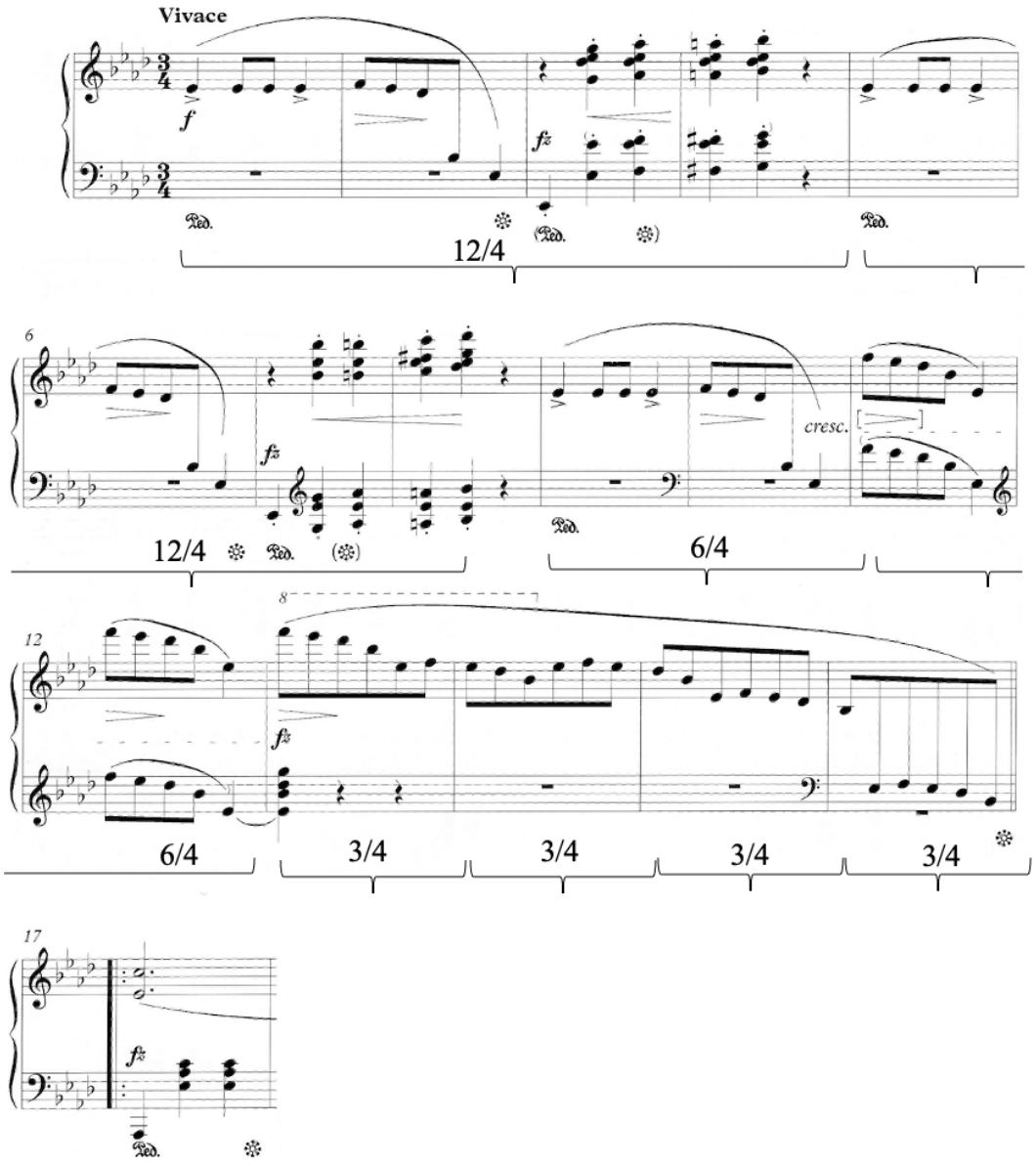
[119] Andrew Davis, 'On Schachter, Schenker, and the Reading of Musical Expressivity', *Indiana Theory Review* 20, no. 2 (1999): 3, http://www.jstor.org/stable/24045434.

[120] The other four annunciatory gestures are shorter in length and rhythmically more straightforward. As such, a hypermetric analysis is not required.

[121] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 200.

[122] According to Santa, an elision is formed when the end of one melodic group and the beginning of the next share one or more notes, forming a rhythmic overlap. See Santa, *Hearing Rhythm and Meter*, 31.

hypothesis of Chopin's responsive approach to 'structural momentum' mentioned earlier, I propose an alternative metric approach as illustrated in Example 3-1 which generates momentum towards the metrically strong downbeat of section A. The first eight bars divide into two hypermeasures four bars long, while the next four bars (bars 9 to 12) divide into two-bar hypermeasures. Finally, the last four bars of the introduction are based on the primary time signature of 3/4. This grouping of bars generates metric acceleration through a succession of progressively shorter metres: 12/4, 6/4, and 3/4, demonstrating a form of vibrancy that Chopin were to also use in other waltzes.



Example 3-1 Op. 34, No. 1, bars 1 to 17

In the same way, one can also derive a sequence of metric accelerations from the opening passages of Op. 34, No. 3 by using a metrically higher level of interpretation. Extending on McKee's observations of the opening 16 bars, I offer a different metrical interpretation that generates forward momentum in the introductory passages: 6/4, 3/4, and 6/8. Using the same approach, I propose another set of metric readings in the opening passages of section A: 3/1, 3/2, and 3/4. McKee presents an alternative interpretation, suggesting that this passage metrically reads as 3/1, 3/2 and 6/4, which is also plausible.[123] Hamburger offers the third translation when he derives the opening passage from the 'feline shifts' of an eight-quaver motif in the systematic order, first to the second and finally to the third beat of the bar, giving birth to its nickname, the 'Cat-Waltz'.[124] In the later years, Chopin reproduces these hemiola patterns in Op. 64, No. 1's opening four-bar introduction, which continues into the next section. These examples reflect the critical discretion involved in using hypermetric analysis, offering several possibilities for interpretations.

Chopin also clearly demonstrates his intentions to secure goal-ending climaxes in the seven codas used across virtuosic and sentimental pieces, as indicated by his performing directions. In Op. 18, Chopin specifies '*poco a poco cresc.', 'cresc' and 'accel'* in his 66-bar coda and in Op. 64, No. 3, he instructs the same passage to be played with '*poco a poco accel. al fine'*. While accelerations exhibit an unmistakable sense of urgency, *crescendos*, through the change in loudness, add intensity to the rhythmic design of the end passages.[125]

Hypermetrically grouping the bars in the concluding sections also gives rise to insights like those derived earlier from the introductory passages. In doing so, one needs to factor in Chopin's use of an odd number of bars in all his codas, except Op. 34, No 2's coda, which is 20 bars long and is in the penultimate section of the waltz. The other codas serve as concluding sections, ending on the metrically stronger beat (typically the odd number of bars), thus ensuring a

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[123] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 204.

[124] Paul Hamburger, 'Frederick Chopin: Profiles of the Man and the Musician', *Taplinger Publishing Co. Inc*, 1967, 94.

[125] Schachter explores in his subsection 'Texture, Dynamics, Timbre and Rhythm' how these characteristics can exert a significance upon the thematic design of works. Schachter and Straus, *Unfoldings*, 40.

climactic finale. On the surface, these waltzes avoid the eight-bar phrasing, a topic that scholars like Burkhart and Schachter, who have examined much of Chopin's phrase rhythms in his waltzes, do not explain. Only Rothstein, in his observations of Op. 42's coda material explores establishing 'three bars of silence following the notated end', an approach that ensures Chopin adheres to the four-bar symmetry.[126]

McKee further observes 'crisis points' in these concluding passages. He postulates that these features are a signature technique that Lanner and Strauss Sr. uses to disrupt the rhythmic continuities of waltzes and are employed near or within the codas of published, virtuosic waltzes to draw attention to the impending closure.[127] For instance, in the E minor waltz, McKee describes a crisis point on the downbeat of bar 124, where a fully diminished seventh chord replaces a tonic chord that appears earlier in a similar theme.[128] However, a closer examination of crisis points found in the other virtuosic waltzes – all published – reveals that they do not always exist as a particular 'point', the way McKee describes. For example, in Op. 34, No. 1, he observes this feature commencing on the hypermetrically strong 273rd bar and extending to a four-bar phrase, harmonised in a diminished seventh chord. Again in Op. 34, No. 3, McKee suggests two slightly different interpretations of where he locates these features. On one occasion, he defines them within a broader range found in bars 155 to 160; in another instance, he describes them only in bars 159 to 160. Here, there is a break in momentum when Chopin inserts two bars of rest, disrupting the momentum generated from the waltz's beginning. The presence of two bars of silence generates harmonic ambiguity without closure of a full or half cadence.

In the middle of Op. 42, McKee describes another crisis point found in bars 210 to 212, in an unusual position, farthest away from the coda that commences

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[126] William Rothstein, 'Analysis and the Act of Performance', in *The Practice of Performance*, ed. John Rink, 1st ed. (Cambridge University Press, 1995), 233, https://doi.org/10.1017/CBO9780511552366.011.

[127] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 182.

[128] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 184, 199.

more than 50 bars later in bar 277.[129] However, McKee does not explain how this crisis point draws attention to the coda that begins more than five sections later. Notwithstanding, these three bars disrupt more than 200 bars of continuous oompah-pah accompaniment and represent an unforeseen melodic feature using bare octaves with the left-hand notes echoing the right-hand melody one octave lower. In addition, this passage also abruptly breaks the four-bar phrase symmetry.

Through the employment of crisis features, Chopin generates vibrancy through harmonic intrigue, phrase asymmetry and periods of tension as part of his efforts to create goal-ending conclusions on most occasions. These features occur exclusively in his virtuosic pieces, especially among those that are published.

McKee's notion of 'crisis points' can be more accurately defined as 'crisis moments'. This is because, at times they occur at a particular juncture of a piece while at other times, they stretch over a few bars. On the dance floor, these crisis moments could be translated into waltz couples performing an unconventional form of waltz dancing, perhaps in the form of the couple pausing momentarily before continuing.

3.2 Phrase enlargements

This section expands on how Chopin circumvents the four-bar symmetry that he often prescribes for his waltzes by enlarging the phrases as part of his compositional technique. As such, Chopin often further disrupts the symmetry of reprised material, a technique he employs in both the mature and later years.

Burkhart defines two types of phrase enlargements as practised by Chopin. He calls the first a 'phrase expansion', which comprises additional bars usually in the middle of the phrase before the cadence is secured. He defines another variation of this expansion, occurring just before the coda, as 'concluding expansions'. As Chopin often employs these expansions across his genres,

[129] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 239.

Burkhart considers this feature 'an element of Chopin's style'.[130] In particular, Goldberg further raises the possibility that during the Warsaw years, Elser could have influenced Chopin to develop concluding expansions to abandon phrase symmetry at conclusions to create closure. To borrow Elser's words:

> The lengthening of the final or the penultimate bar (meaning phrase or hypermeasure), or the repetition of the last idea, which was heard several times straightforward within a period, does not contradict the above-indicated principles of symmetry, but rather, for logical aesthetic reasons, helps and in some ways is necessary for the concluding punctuation in symphonies, arias, etc.[131]

Burkhart defines the second form of phrase enlargement as a 'phrase extension', consisting of the addition of extra bars after the cadence resolves. In both scenarios, phrase expansions and extensions are heard with reference to an earlier eight-bar phrase, which Burkhart calls 'prototype phrases'.[132]

A close examination of the 17 waltzes reveals the different approaches Chopin takes in incorporating them into his virtuosic and sentimental waltzes. In his sentimental waltzes, he establishes phrase expansions (Op. 34, No. 2, Op. 64, No. 3) and phrase extensions (Op. 70, No. 2). Among the virtuosic waltzes, he prefers to employ concluding expansions leading to bravura codas in the concluding sections of the E minor waltz and the published waltzes of Op. 18 and Op. 34, No. 1. To borrow Burkhart's word, Chopin's various approaches to phrase enlargements collectively promote growth, development, and climax amongst the virtuosic and sentimental waltzes.[133]

Consider the B section of Op. 34, No. 2, to give one example of a phrase expansion. In the expanded consequent, as a response to the eight-bar antecedent, Chopin repeats the inverted dominant pedal as dotted minims on the downbeats in the melody over a four-bar phrase in bars 29 to 33, quite

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[130] Charles Burkhart, 'Chopin's "Concluding Expansions"', in *Nineteenth-Century Piano Music: Essays in Performance and Analysis*, edited by David Witten (New York: General Music Publishing Co., 1997), 95, 97.

[131] Elsner, 'Rozprawa o Melodyi i Spiewie' (Biblioteka Czartoryskich, Krakow, n.d.), cited in Halina Goldberg, 'Phrase Structure in Chopin's Early Works in the Light of Elsner's Instruction', Indiana Theory Review 28, no. 1/2 (2010): 10 http://www.jstor.org/stable/24046495.

[132] Burkhart, 'Chopin's "Concluding Expansions"', 95.

[133] Burkhart, 'Chopin's "Concluding Expansions"', 96.

possibly leading to what Samson refers to as Chopin's 'written-out rubato' in this waltz.[134] The gesture is echoed in the next three bars, in bars 33 to 35, using the same approach but employing inverted dominant pedals in the primary key. The prolongation of the dominant pedals also establishes a familiar link with the opening theme, where tonic and dominant pedals are likewise used in the first eight bars.

Chopin employs concluding expansions near the waltz codas in three distinct ways. In the first scenario, the E minor waltz's 15-bar concluding expansion in section A's reprise ends on the metrically strong 135th bar whilst establishing an elision with the opening phrase of the ultimate section, joining both sections seamlessly. He also secures tonal stability from the onset of the coda located on the downbeat of this bar.

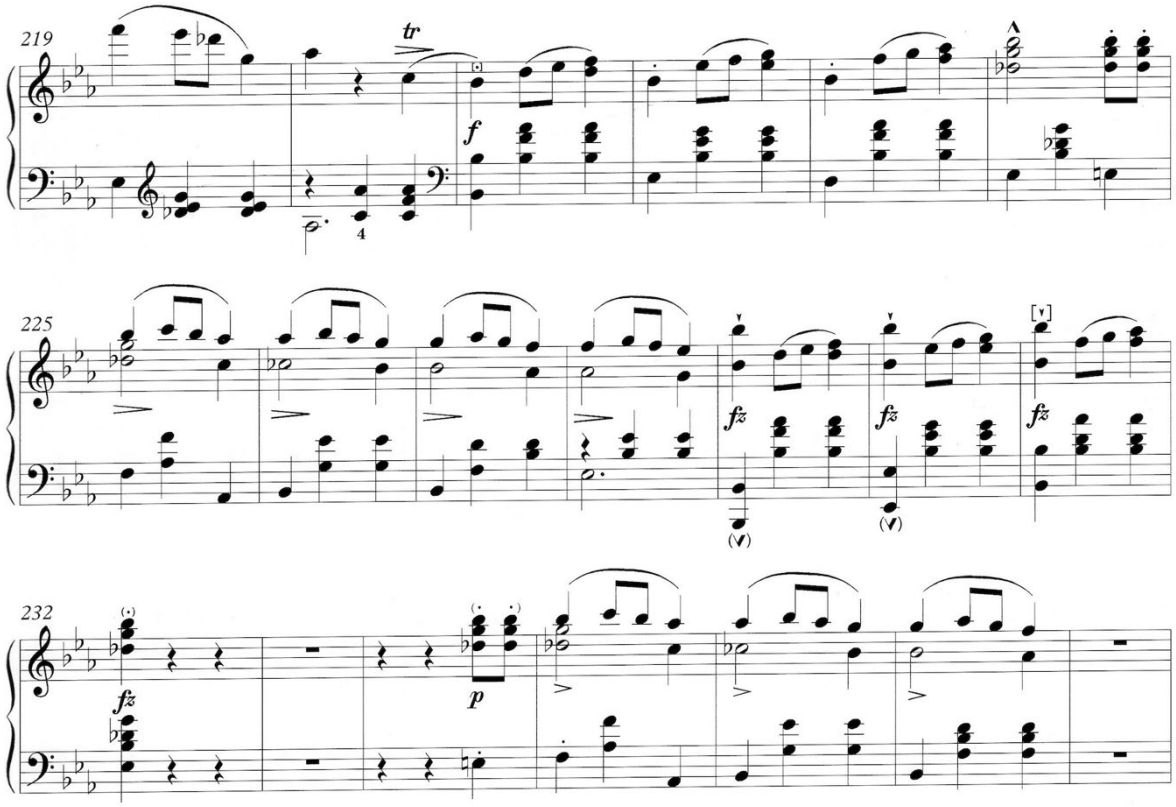
In the second scenario in the 233rd bar of Op. 34, No. 1, Chopin uses a 12-bar concluding expansion. The additional rhythmic material is found in the middle of this passage which is reiterated perhaps to signal the impending concluding section. Burkhart argues that Chopin uses a similar approach in his other genres. For example, in nearly half of his 24 etudes, he describes how Chopin uses identical techniques to initiate the concluding expansion within a coda, thus describing this as a 'time-honoured Classical rhythmic technique' that Chopin employs.[135]

In the third scenario, Chopin employs a 10-bar concluding expansion in Op. 18. There is nothing subtle in how Chopin goes against the grain of using a typical four-phrase rhythm. He expands the eight-bar phrase prototype to 10 bars by inserting full bar rests after every four bars in a deliberate attempt to disrupt the music flow (see Example 3-2). Nothing prepares us for this metric disruption during the previous two hundred and thirty bars. One can compare this unconventional and capricious treatment of the metre to Mozart's piano concerto in C major, K. 467. Here, Rothstein describes Mozart's use of 'expansion by composed-out deceleration or fermata' to slow up the harmonic

[134] Samson, *Music of Chopin*, 125.

[135] Burkhart, 'Chopin's "Concluding Expansions"', 99.

rhythm.[136] However, in Op. 18, it is unlikely that Chopin shared the same intentions as Mozart since Chopin indicates that this virtuosic waltz is played in a fast tempo (*vivo)*. To add, concluding expansions typically prepare for the impending culmination of the end material. Chopin inserts a full bar rest plausibly as a form of compositional technique to add an unexpected 'break' in momentum rather than infer a deceleration.



Example 3-2 Comparing Op. 18's phrase prototype (bars 221 to 228) with its phrase extension (bars 229 to 238)

Finally, a unique type of phrase enlargement is found in Op. 34, No. 2's coda, which seems to be neither a phrase expansion nor a phrase extension. Although the 20-bar coda consists of a stream of unbroken quaver passages in the melody derived in the left-hand register, the phrase divides into two groups of eight and 12 bars, respectively. These 12 bars comprise three sets of four-bar melodic arches grouped by their arpeggiated melody derived from the tonic triad in the remote key of E major and do not constitute a phrase expansion of the original eight bars. Unlike the other codas that establish a forward generating momentum, this waltz's triad of four-bar groups could be interpreted as another

[136] William Rothstein, *Phrase Rhythm in Tonal Music* (New York: G. Schirmer, 1989), 83.

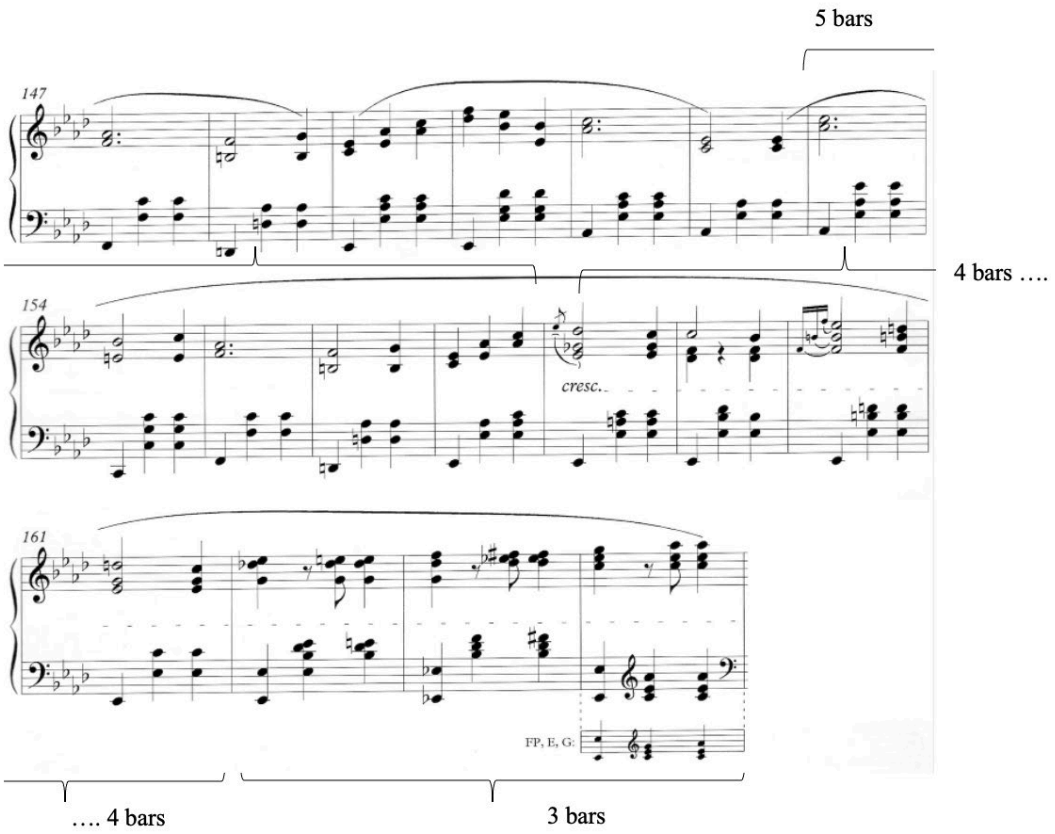
example of a written-out rubato and played with some degree of rhythmic freedom.

3.2.1 Other phrase groupings

This section examines how Chopin employs asymmetrical groups of phrases, an approach he also applies in other genres. Schachter observes how Chopin also utilises 12-bar phrases that do not always divide equally into three groups of four-bar phrases in his mazurka openings, representing a prominent stylistic feature found in this genre.[137] In Chopin's waltzes, he employs this compositional resource to circumvent the four-bar rigidity as reflected in Op. 42's 12-bar phrase (bars 153 to 164), found in the middle of this composition in section E. Interestingly, there is symmetry in the positioning of this section. Before section E, there are 112 bars (seven, 16-bar groups) in addition to the eight-bar introduction. Likewise, 112 bars follow this section before the 13-bar coda closes. Within section E, two 16-bar phrases develop before the 12-bar phrase emerges. Here, Chopin divides the phrase into three subgroups of five, four, and three bars based on the rhythmic themes within each group. As a result, the unbalanced grouping of bars disrupts the basic duple structure of a phrase unit (see Example 3-3). It is the only section in this waltz, apart from its 13-bar coda, that avoids the eight-bar phrase symmetry (see Figure 2-4). This unusual grouping of bars also exhibits tension at this juncture, thus serving as a counterweight to its end material.[138]

[137] Carl Schachter, 'Idiosyncrasies of Phrase Rhythm in Chopin's Mazurkas', in *The Age of Chopin: Interdisciplinary Inquiries* (Bloomington, IN: Indiana University Press, 2004), 101.

[138] Recall Op. 64, No. 3's transitional material that serves as a sectional balance to its coda.



Example 3-3 Op. 42's 12-bar phrase, bars 153 to 164

To recall, Op. 64, No. 3's 13-bar transitional and coda sections is another example of a waltz with multiple tension points. In addition to a phrase expansion, as earlier discussed, Chopin also inserts an asymmetrical phrase found in its transitional section that bridges sections A and B. The oddity of Chopin's bar groupings of the transitional section is open to several interpretations. McKee perceives this section stretching from bars 58 to 72, its 15-bar passage broken down into seven and eight-bar groups.[139] I suggest an alternative interpretation that finds the transitional section commencing eight bars earlier from bar 50, coinciding with Chopin's phrase markings. Here, the moto perpetuo quaver passages that begin from bar 50 draw similarities with the coda's melody, set in motion in bar 149.

Figure 3-1 summarises Chopin's different types of phrase enlargements in his waltzes. He uses concluding expansions earlier in the mature years and employs phrase expansions towards the second half of his compositional life. Chopin uses

[139] McKee, *Decorum of the Minuet, Delirium of the Waltz, A Study of Dance-Music Relations in ¾ Time*, 213.

asymmetrical phrase groupings selectively in only two of his published works, found in Op. 42 and Op. 64, No. 3. Consistent with earlier findings, Chopin also merges multiple ideas of phrase enlargements, incorporating them in Op. 34, No. 2 and Op. 64, No. 3. He inserts phrase expansion in section B and a unique phrase enlargement in its coda in the first waltz. In the second waltz, Chopin employs a phrase expansion in section B and an unbalanced group of bars in its transitional section.

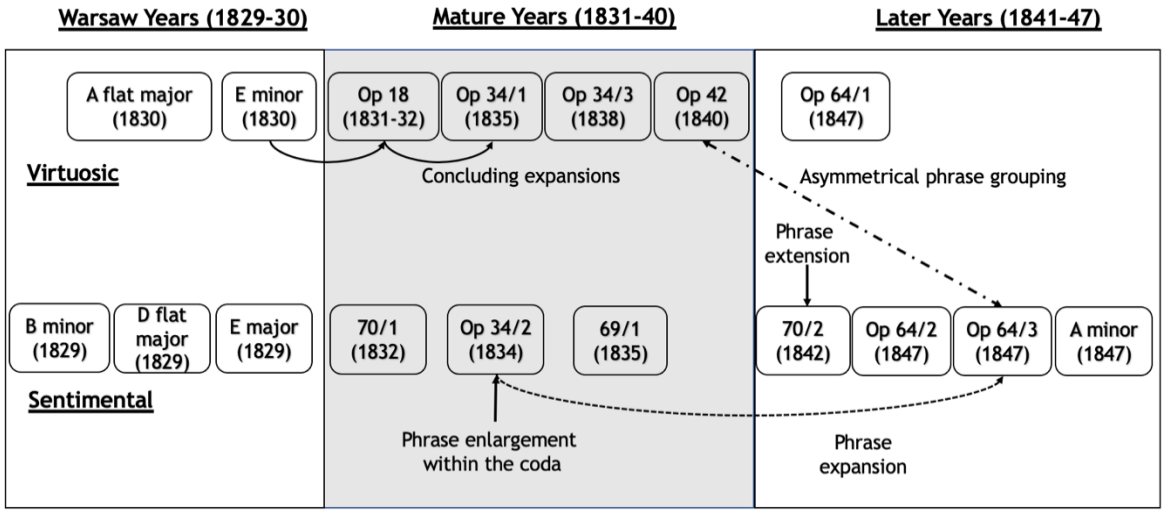


Figure 3-1 Summary of phrase enlargements in Chopin's waltzes

3.2.2 Classifying Chopin's phrase enlargements

On all accounts, Chopin uses various techniques of phrase enlargements only in selected waltzes. He also approaches the use of various techniques systematically. For example, he explores phrase asymmetries only once in each group and favours using phrase expansions in published sentimental waltzes (Op. 34, No. 2 and Op. 64, No. 3). He employs phrase extensions in only one unpublished work (Op. 70, No. 2) and uses concluding expansions exclusively in three virtuosic waltzes written in succession: Waltz in E minor, Op. 18 and Op. 34, No. 1. Figure 3-2 groups these features summarily into frequent and idiosyncratic features.

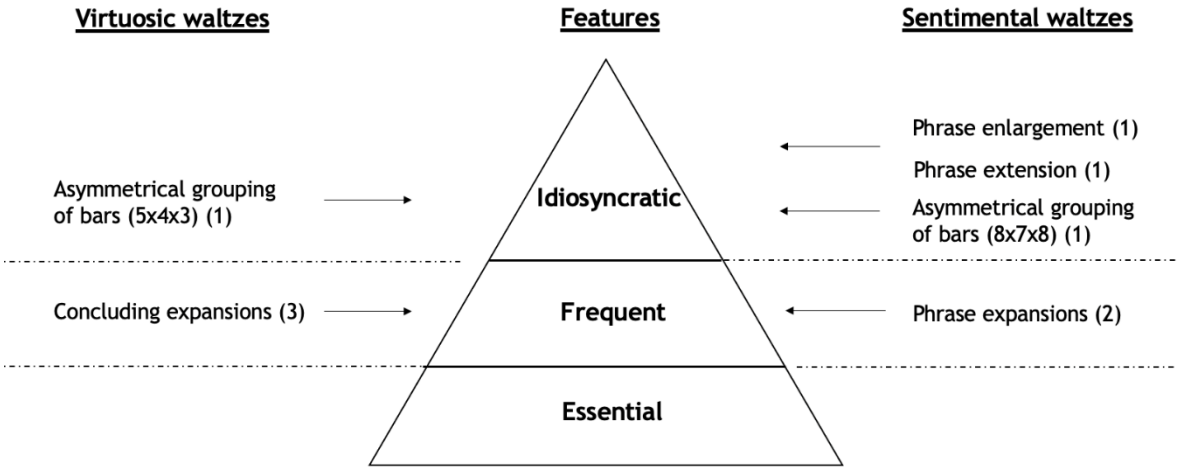


Figure 3-2 Classifying phrase enlargements used in Chopin's waltzes

3.3 Accents

In Cooper and Meyer's *The Rhythmic Structure of Music*, the authors concisely define accents as a stimulus 'marked for consciousness'.[140] To add, Lerdahl and Jackendoff categorise accents into three hierarchal levels: phenomenal, structural, and metrical.[141] Phenomenal accents stress the musical flow at the surface level (e.g., dynamic markings like *sforzando*). In *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann*, Harald Krebs gives examples of the different types of phenomenal accents, namely dynamic accents, agogic (or durational accents), density accents, registral accents and accents created by affixing an ornament to a note (which I shall henceforth call 'ornamental accents').[142] Structural accents – the second group - produce melodic or harmonic gravity points in phrases or sections. Santa also refers to structural accents as a form of harmonic rhythm where changes in harmony generate rhythm.[143] Finally, metrical accents accrue to a 'beat that is relatively strong in its metrical context'.[144]

[140] Cooper and Meyer, *The Rhythmic Structure of Music*, 8.

[141] Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (Cambridge, Massachusetts: MIT Press, 1983), 17.

[142] Harald Krebs, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann* (New York: Oxford University Press, 1999), 23.

[143] Santa, *Hearing Rhythm and Meter*, 10.

[144] Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, 17.

In examining Chopin's waltzes, I shall focus on three specific accents that he uses to generate vibrancy, based on the frequency Chopin uses them while arguing for their rhythmic and metric significance in his works: harmonic rhythms derived from the changes between the tonic and dominant chords, ornamental accents, and dynamic accents that emphasise a particular note (or notes), commonly denoted as '>'.

3.3.1 Harmonic rhythm

According to Grove, harmonic rhythms (sometimes also known as 'harmonic tempos') are literally 'the rhythm or rhythmic pattern of harmonic progression in a musical passage', therefore articulated by the chords that make up the progression.[145] In other words, rhythms can be derived from the change in harmony. If a passage changes chords in every bar compared to another, which changes chords twice in every bar, the latter is said to have a faster harmonic rhythm than the former. In all cases, I refer to chords – the harmonic set of pitches – in their root positions unless otherwise stated.

By drawing comparisons between Op. 34, No. 2's opening sections in bars 1 to 8 and section B's bars 29 to 36, Hamburger draws melodic and rhythmic links and a 'harmonic relation' between both passages. He demonstrates this by placing the left-hand melody of the former set of bars together with the right-hand melody of the latter passage, as shown in Figure 3-3.

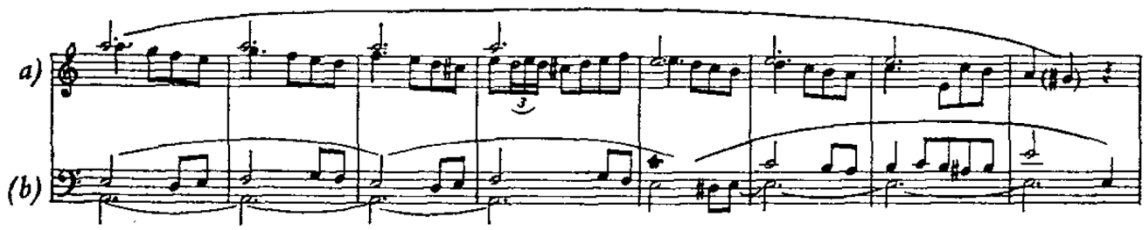


Figure 3-3 Juxtaposing bars 1 to 8 with bars 29 to 36 of Chopin's Op. 34, No. 2. Hamburger, *Frederick Chopin*. 93.

Moritz Rosenthal observes how Chopin 'carried (pieces) in his mind', when later waltzes establish familiarity with earlier works. One of the examples he gives is

[145] 'Harmonic Rhythm', Grove Music Online, accessed 19 February 2022, https://doi-org.ezproxy.lib.gla.ac.uk/10.1093/gmo/9781561592630.article.12387.

found in Op. 42, bars 57 to 70, which bears a striking resemblance to the melody found in Op. 69, No. 1's A-flat major Trio section (bars 40 to 48), composed five years earlier.[146] Harmonically, both of these phrases are not identical; the Op. 69, No. 1 has a more distinct and predictable V-I harmonic pattern than the harmonic progressions found in Op. 42.[147] In another set of passages found in Op. 42, Walker in *Frederic Chopin: Profiles of the Man and the Musician* observes that the V-I harmonic pattern also features in section B (bars 41 to 44) and section D's reprise (bars 245 to 248). As such, Chopin establishes melodic diversity in these two different sections while basing both passages on a common harmonic background.[148] This is yet another approach to how Chopin harmonically unifies both sections while contrasting both passages using a diversified melody.

In examining Chopin's collection of waltzes, one notices that he was particularly fond of using the V-I harmonic progression in many of them. At times he varies the dominant and tonic chords, forming the first, second and third inversions, but for the most part, he uses these chords in their root positions. He also employs the I-V harmonic pattern at times, although to a lesser extent. This approach finds its origins in the virtuosic and sentimental waltzes during the Warsaw years when Chopin used the V-I prototype in four of the five waltzes. With this prototype, he began establishing changes in harmonic rhythm in the A-flat major waltz. The opening bars of this waltz establish a V-I harmonic pattern over a two-bar hypermeter. In other words, Chopin establishes the dominant chord over two consecutive bars, followed by the tonic chord in the next two bars. A sense of acceleration is generated in bars 17 to 20, in the middle of section A when the waltz begins to pick up its harmonic tempo by alternating the dominant and tonic chords after every bar. In bars 25 to 28, the original harmonic rhythm returns. Chopin establishes a forward-generating momentum

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[146] Moritz Rosenthal, 'Chopin's Masterly Valse in A-Flat, Op. 42 (1934): A Detailed Lesson Analysis by the Eminent Virtuoso', *Translated by Florence Leonard Polish Music Center* 6, no. 1, accessed 14 July 2021, https://polishmusic.usc.edu/research/publications/polish-music-journal/vol6no1/chopin-op-42/.

[147] Abraham also observes a common harmonic progression found in the E minor waltz (bars 25 to 32, and bars 33 to 41), calling them 'a characteristic of Chopin's melodic style". See Abraham, *Chopin's Musical Style*, 28.

[148] Walker, *Frederic Chopin: Profiles of the Man and the Musician*, 232, 233.

before receding to the original harmonic tempo. Table 3-2 provides a synopsis of how Chopin varies the harmonic tempo in this waltz.

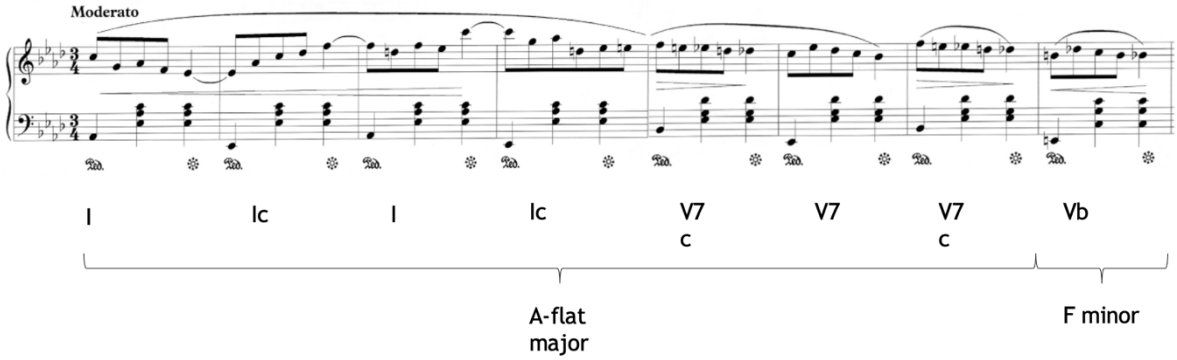
Bar no.	**Chord progression**
Bars 1 – 4 (Section A)	V-V-I-I
Bars 17-20	V-I-V-I
Bars 25-28	V-V-I-I
Bars 41-44 (Trio section)	V-I-V-I

Table 3-1 : Alternating harmonic rhythms in A-flat major waltz, autograph version

Chopin continues to use this feature in his published waltzes, although the changes in harmonic rhythm are not always juxtaposed. Consider the V-I-V-I prototype established in Op. 18's opening section in bars five to eight, and the slower harmonic rhythm (V-V-I-I) found later in sections C and E. Chopin uses the same approach in Op. 34, No. 1, this time between consecutive sections. In this waltz, the harmonic tempo slows from section C (V-I-V-I) to D (V-V-I-I), then picks up again when the sections reappear in the reverse order. In the later years, Chopin recalls the same approach, using the V-I-V-I approach in Op. 64, No. 1's second half of section A written in B-flat minor, before slowing the harmonic tempo in the opening bars of section B (V-V-I-I), this time written in D-flat major. On one other occasion, in the introductory gestures found in the Waltz in E major, Chopin adds a hemiola-generating effect to the V-I progressions, quickening the harmonic tempo leading to the opening section.

Finally, Chopin also explores a harmonic rhythm in the mature years by establishing tonic and dominant pedals over four consecutive bars. In the opening bars of Op. 34, No. 2, Chopin maintains a tonic pedal across the opening theme over four bars, then establishes a dominant pedal in the next four bars. In the next section, he develops the idea further. This time, the inverted dominant pedal in the modulated key of D minor features in bars 29 to 32 before the same feature, this time in the primary key reappears. Chopin then harmonises bars 33 to 50 using the V-I prototype, quickening the tempo by alternating each bar with a different chord.

In 1847, Chopin recalled the same sequence in Op. 64, No.1. In section A of this waltz, he harmonises the first four bars based on the tonic chord while deriving the next four bars from the dominant chord. Section B opens with two bars harmonised in the dominant, followed by the following two bars in the tonic chord. Chopin employs the same approach in Op. 64, No. 3 but adds a harmonic surprise. The waltz opens in the tonic chord in the opening four bars, although bars two and four are not in their root positions, harmonised based on the second inversion of the tonic. Chopin establishes the dominant chord in bars five to seven in the primary key, then creates a new dominant chord in the eighth bar, when he modulates it to F minor (see Example 3-4). In the closing section, he chooses to harmonise the coda with only the tonic and dominant chords at the end of the waltz. In the middle of the coda, he uses the Ic-V7 harmonic pattern found in bars 157 to 164 before concluding the waltz in varying tonic inversions. From these passages, one gains a deeper understanding of Kallberg's observations when he commented that this waltz expands 'obsessively on a few melodic and rhythmic motives scrambling their intervallic orderings, and unfolding them over different harmonic backgrounds'.[149]



Example 3-4 Op. 64, No. 3's harmonic structure, bars one to eight

In the above scenarios, Chopin develops vibrancy by creating different perceptions of harmonic tempo as a rhythmic alternative to the omnipresent 'strong-weak-weak' oompah-pah accompaniments found in most waltzes. Charting the evolution of this approach illustrates Chopin's approach undertaken in both groups of waltzes (see Figure 3-4). Op 64, No. 1 serves as a consolidation point when Chopin uses many harmonic rhythms to enrich the waltz. He uses the

[149] Kallberg, 'Late Style, Last Style, and Chopin's Waltz in A Flat Major, Op. 64, No. 3', 36.

V-I harmonic progression less often amongst the sentimental waltzes, opting to use the harmonically slower rhythms in Op. 34, No. 2 and Op. 64, No. 3. Lastly, the various V-I harmonic rhythms unify passages within a waltz and form harmonic links between waltzes, reflecting the increased sophistication of Chopin's approach leading to the later years.

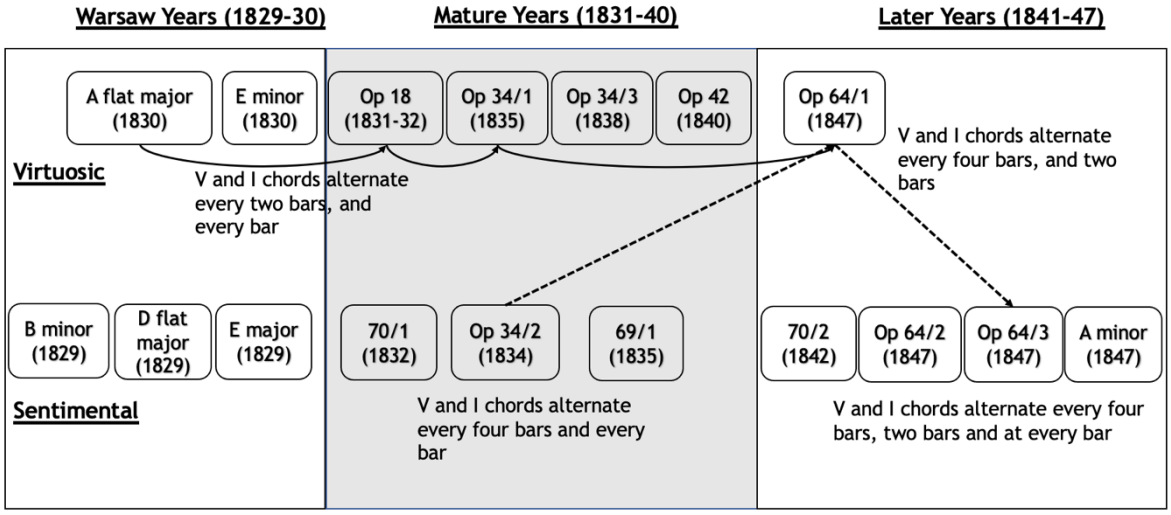


Figure 3-4 Changes in harmonic rhythms found in Chopin's waltzes

Weighted hierarchy of harmonic rhythms in Chopin's waltzes

Figure 3-5 illustrates all three variations of the V-I harmonic progression found across Chopin's published waltzes. The V-I harmonic patterns that change every four bars are used the least often, appearing twice within the sentimental waltzes found in Op. 34, No. 2 and Op. 64, No. 3, and once in the virtuosic waltz of Op. 64, No. 1.

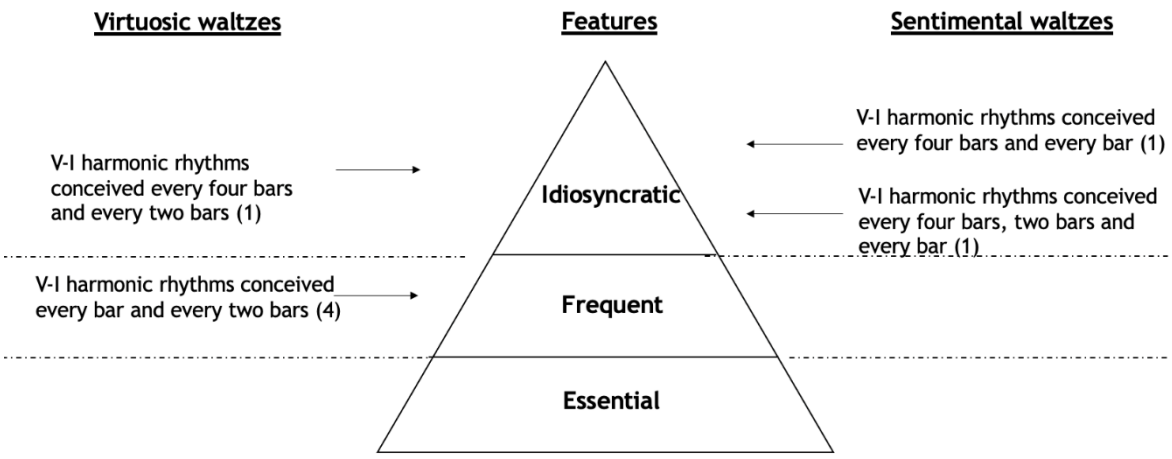


Figure 3-5 Various harmonic rhythms employed in Chopin's waltzes

3.3.2 Ornamental accents

According to Clive Brown, ornaments used as signs went through an extensive transformation between the middle of the 18th century and the beginning of the 20th century. During this period, perceptions toward the 'role, function and usage of ornaments underwent a radical transformation'. Brown explains that the ornament, 'an aesthetic in which almost all music involved an element of free ornamentation gradually gave way to one in which, for the most part, composers expected ornaments to be introduced only where specifically marked'. Further, Brown observes that nineteenth-century composers used ornament signs as shorthand for precise figurations, unlike their eighteenth-century predecessors who left it to the realisation of the performer. In the use of trills, some nineteenth-century composers indicate the beginnings of trills, particularly to show a start from below, although Chopin, Weber and Mendelssohn generally favoured an upper-note start.[150]

Chopin extensively uses ornamental accents throughout his waltzes. Abraham argues that Chopin inherited a rich collection of ornaments comprising trills, turns and mordents from several predecessors, including C. P. E. Bach, Johann Hummel, and John Field. He further postulates that grace notes (and triplets) are characteristic of the folk mazurka inherited from Polish folk music, found continually in Chopin's polonaises and mazurkas, which Chopin also uses in his waltzes.[151]

Thomas Fritz in *How did Chopin want his ornament signs played?* writes with insight, highlighting three problems associated with Chopin's ornamentation particularly the rolled chords, trills and turns. He suggests challenges found in 'the variety of Chopin's ornament contexts, the pronounced changes in established ornament practices that occurred during his lifetime, and the conflicting individual interpretations that arose after his death'.[152] George Kiorpes also adds, observing how Chopin's 'short trill and snap' raises several

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[150] Clive Brown, 'Ornaments', Grove Music Online, accessed 19 April 2022, https://doi-org.ezproxy.lib.gla.ac.uk/10.1093/gmo/9781561592630.article.49928.

[151] Abraham, *Chopin's Musical Style*, 69, 70.

[152] Thomas Fritz, 'How Did Chopin Want His Ornament Signs Played?', *The Piano Quarterly* 29, no. 113 (1981): 45.

questions for both researchers and performers (see Figure 3-6). For example, were these signs 'arbitrary' and 'enigmatic'? And if there were not, did Chopin use them interchangeably or were there clear differences in how they were to be used? Kiorpes further argues how today's performing methods may differ from Chopin's time based on the piano's touch and tone, especially since Chopin preferred a lighter touch which more easily facilitated the 'performance of an effective downbeat snap on a note of short duration'.[153]

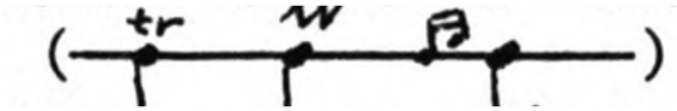
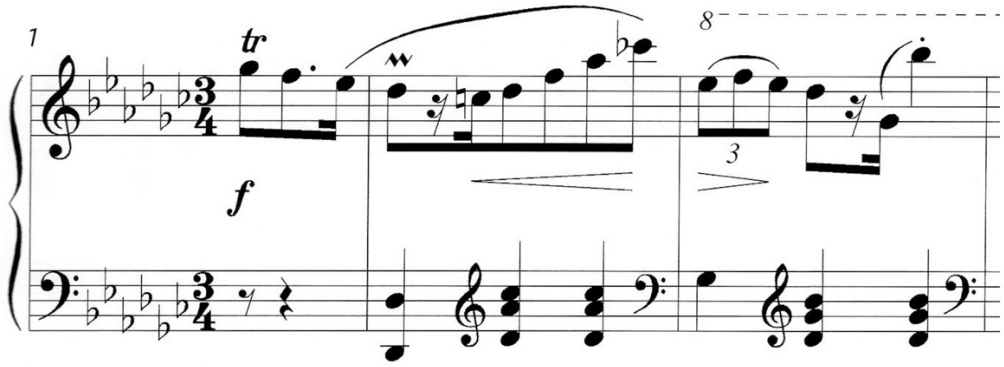


Figure 3-6 Three common signs that Chopin uses

Jan Holcman offers several examples in Chopin's waltzes, explaining the ambiguity in how Chopin's notations could either be played by anticipation or on the beat. He notes that in some scenarios, Chopin's indications are clear. According to Holcman, Chopin indicates in the autographs of Op. 34, No.1, bar 26, that the appoggiatura is placed before the bar to indicate anticipation, despite Grabowski's Peters Edition which indicates an acciaccatura located next to the downbeat minims after the bar.

On the contrary, another example found in Op. 70, No. 1, features how Chopin's two favourite ornaments - the mordent written as a sign, and the other written in small grace notes – pose a more difficult problem (see Example 3-5). In the opening passages of this waltz, Chopin uses two small grace notes – a trill and a triplet - to generate rhythmic vibrancy. Although Chopin clearly uses different indications for these embellishments, they share identical characteristics. Musicologists and performers alike have difficulties in deciding how these embellishments should be analysed and performed.

[153] George Kiorpes, 'Chopin's Short Trills and Snaps: An Insoluble Enigma?', *Journal of the American Liszt Society* 13 (1983): 59, 70.



Example 3-5 Op. 70, No. 1, bars one to three

In section 2.2, I conducted a quantitative frequency analysis of oompah-pah patterns found in Chopin's 17 waltzes. The same approach is equally valuable in measuring how often Chopin uses ornaments in both the virtuosic and sentimental waltzes. This study gives an overall perspective of the degree to which Chopin uses these embellishments in each group. I base this analysis on the following formula: the number of ornamental accents divided by the number of bars in each composition. The findings illustrated in Table 3-2 reflect how Chopin uses ornaments the most among his published virtuosic waltzes; this is especially so in the mature years when he uses embellishments up to 52% of the time.[154] The findings are also consistent with Holcman's observations, who argues that Chopin favoured using trills much more than mordents from 1826 to 1829.[155] In the case of Chopin's waltzes, the mordent was used just once in the E minor waltz, but trills were much more frequently employed, used on numerous occasions, especially in the D-flat major waltz.

[154] In cases where ornaments, for example trills and fioritura, extend beyond one bar, the frequency of the ornaments is increased to include the additional bars. For instance, the frequency of a two-bar trill is twice; a four-bar trill is four, etc.

[155] Jan Holcman, 'The Labyrinth of Chopin Ornamentation', *Pianists, on and off the Record; the Collected Essays of Jan Holcman*, 2000, 186.

Period	Virtuosic (form)	Frequency of ornaments	Sentimental (form)	Frequency of ornaments
Warsaw (1829-30)	A flat (ABA) Autograph German	 0% 0%	B minor (ABA') C1: C2: P:	 3% 12% 8%
	E minor (ABA')	36 %	D flat (ABA)	8%
			E major (ABA)	15%
Mature (1831-1840)	Op. 18 (Extended ABA)	33%	G flat major (ABA') A1: A2:	 25% 21%
	Op. 34, No. 1 (Extended ABA)	21%	Op. 34, No. 2 (Rondo)	19%
	Op. 34, No. 3 (ABA)	50%	A flat major (ABA') A1: A3:	 14% 14%
	Op. 42 (Rondo)	52%		
Later (1841-1847)	Op 64, No. 1 (ABA')	20%	F minor (Binary) A3: A5: P:	 17% 21% 33%
			Op. 64, No. 2 (Rondo)	22%
			Op. 64, No. 3 (ABA')	7%
			A minor (Rondo)	30%
Averages		27%		17%
Range of published and unpublished works		20% - 52%[156]		3% - 31%
Range of published works		20% - 52%		7% - 22%

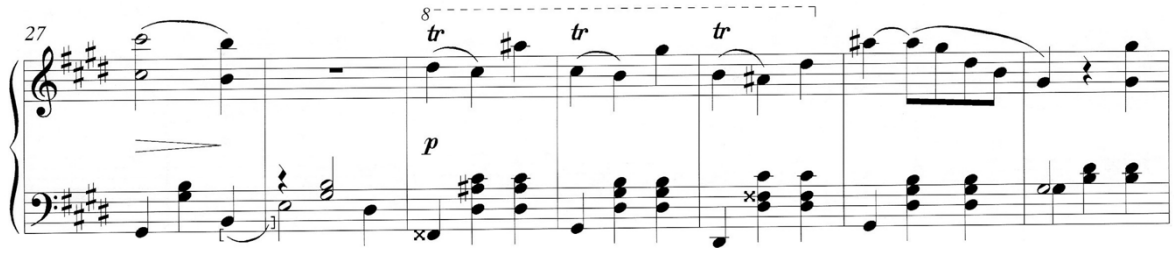
Table 3-2 Frequency of ornamental accents in Chopin's waltzes

[156] Except for the A-flat major Waltz (0%).

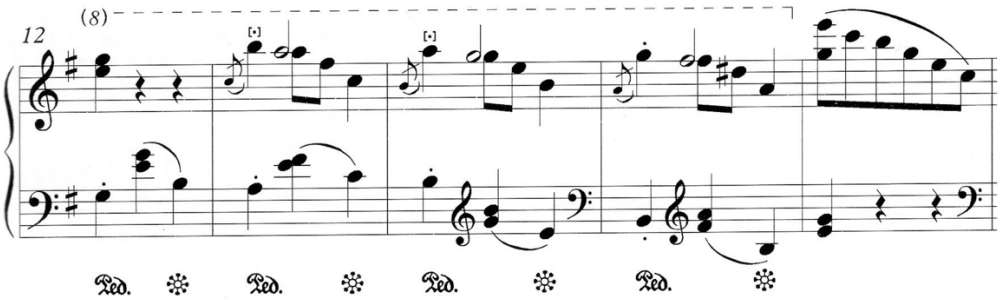
3.3.3 Acciaccaturas

Of the many ornaments that Chopin uses as symbols, he often favours using acciaccaturas. This approach aligns with Scott's observations that Chopin's use of grace notes is a regular feature of waltz melodies.[157] Samson went one step further, identifying acciaccaturas as one of several 'fingerprints' of Chopin's waltzes and other significant features, including moto perpetuo melodic arches and the use of Italianate thirds and sixths.[158]

In 1829, before Chopin started using acciaccaturas, he first experimented with trills to decorate his supple melodic arches in the E major waltz. One year later, he used acciaccaturas in a similar approach in the E minor waltz. Example 3-6 and Example 3-7 illustrate how Chopin substitutes the trills for acciaccaturas in two parallel melodic passages.



Example 3-6 Use of trills in E major waltz, bars 29 to 32



Example 3-7 Use of acciaccaturas in E minor waltz, bars 13 to 16

[157] Derek B. Scott, *Sounds of the Metropolis: The Nineteenth-Century Popular Music Revolution in London, New York, Paris, and Vienna* (New York: Oxford University Press, 2008), 126.

[158] Samson, *Chopin*, 108.

From 1830 onwards, Chopin began establishing acciaccaturas as motivic features in his virtuosic works. In Op. 18, Chopin employs acciaccaturas as hemiola-generating motifs in section D and as ‘sleigh bells’, as Walker describes, that pervade in section F. These streams of acciaccaturas return in the coda, continuing to decorate the concluding material with staccatos to enforce articulation. In the shorter but equally virtuosic works of Op. 34, No. 3 and Op. 64, No. 1, Chopin continues using this grace note as a motif, establishing it as a frequent stylistic feature. In Op. 34, No. 3, the melodic arches in the middle section are sprinkled with acciaccaturas coiled around the notes. Similarly, in Op. 64, No. 1, Chopin inserts acciaccaturas to the reprise of the melody found in bars 54 to 63, emphasising the dominant chord on every downbeat of this passage.

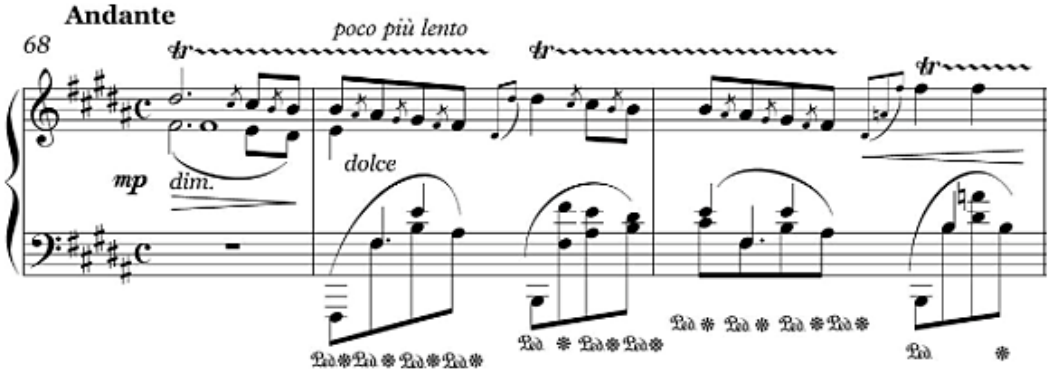
Chopin also employs acciaccaturas in the sentimental waltzes, but not as frequent. One of the published waltzes - Chopin’s most well-known waltzes, Op. 64, No. 2 – opens with a four-bar theme, using acciaccaturas to emphasise the second beats of bars three and four.

3.3.4 Multiple bars of trills and fioritura

On other occasions within the virtuosic collection, Chopin rhythmically intensifies key passages of his works by employing trills extending over several bars instead of decorating a single note with the ornament or alternatively decorating his melody with fioritura. The first instance of a multiple bar trill is found in Op. 34, No. 3. Here, a two-bar trill concludes the middle section (bars 127 to 128) before the abbreviated reprise returns. This passage generates intensity without any discernible rhythm, generating ‘dissonance’ with the left hand’s continuous oompah-pah accompaniment that unifies sections B and A’s reprise. In Op. 42, Chopin offers a different approach to multiple trill bars. Here, the waltz opens with an eight-bar trill, starting with four bars of the unaccompanied introductory gesture based on the fifth degree of A-flat major. The passage continues for another four bars, accompanied by two-note chords (dyads) in the left-hand register while avoiding the tonal destination. Parakilas describes this passage as having lost its beat, resulting in ‘the most obviously

unforeseen thing that can happen in a dance piece'.[159] In these opening eight bars, Op. 42 bears no resemblance to a typical waltz, unlike Chopin's other introductory gestures in his waltzes. The trills create intrigue and mystery, in addition to rhythmic vibrancy, without any oompah-pah or arpeggiated accompaniment until section A arrives. Only then does the oompah-pah in the left-hand terrain open this section while the tonic key is secured. In the later years, Chopin expands this idea, reproducing another four-bar trill in Op. 64, No. 1 that extends the repeated annunciatory passage in the middle of the waltz found in bars 73 to 76. Like the role of the trills described in Op. 34, No. 3, this four-bar trill is a bridge leading to Op. 64, No. 1's section A's reprise.

One of Chopin's other ways of using the trill, the nocturne Op. 62, No. 1 is worth mentioning to compare his use of this embellishment with those from his waltzes. In bars 68 to 81 of this nocturne, Walker identifies how Chopin employs these ornaments to decorate the entire melody instead of the traditional method of embellishing individual notes (see Example 3-8).



Example 3-8 Chopin's use of trills in the B major Nocturne, Op. 62, No. 1, bars 68 to 70. Walker, *Fryderyk Chopin A life and times*

This technique, according to Walker, is one of several ways in which Chopin connects to the operatic singers of his time by enshrining in his nocturne melodies the singing of Sontag, Catalani, Schröder-Devrient and Malibran, to name a few.[160] It appears that Chopin gives more liberty to his trills used to

[159] Parakilas, 'Disrupting the Genre', 166.

[160] Walker, Alan, *Fryderyk Chopin A Life and Times* (New York, United States: Farrar, Straus and Giroux, 2018), Google Books, 402.

imitate operatic singing in this nocturne. He uses them more conservatively in his waltzes, perhaps to comply with this genre's more defined dance movements.

Chopin also uses fioritura – a more complex and lengthy form of ornamental embellishment – in two of his virtuosic waltzes. In Op. 34, No. 1, he employs them as part of section C's overall recurring theme, while in Op. 64, No. 1, he uses them to generate an explosive finale. According to Samson, fioritura 'belongs more naturally to the nocturne', although it is also found in his mazurkas as expressive melodic embellishments. In Chopin's Mazurka Op. 17, no. 4 in A minor, for example, notice how the slow, expressive kujawiak tempo contrasts with the energetic and vibrant fioritura that highlights across several passages found in bars 15, 31 and 55.[161] Chopin chooses to employ fioritura exclusively in his virtuosic waltzes. Using this embellishment in his concluding material (i.e., Op. 64, No. 1) reinforces the goal-directed conclusion that he differentiates his virtuosic pieces from the sentimental ones.

Figure 3-7 encapsulates the above findings, illustrating the evolution of Chopin's use of acciaccaturas as motivic features and how he extends trills across multiple bars exclusively in his virtuosic group of waltzes. One of the last waltzes to be composed - Op. 64, No. 1 - operates as an amalgamating point with all three types of embellishments employed in this piece. This waltz parallels Op. 64, No. 3 in how it recalls and integrates several accompaniment features from earlier sentimental works, as discussed earlier. From the figure, one also observes how Chopin avoids these embellishments (acciaccaturas, trills and fioritura) in his sentimental waltzes, associating them more closely with the virtuosic waltzes.

[161] Samson, *Music of Chopin*, 112.

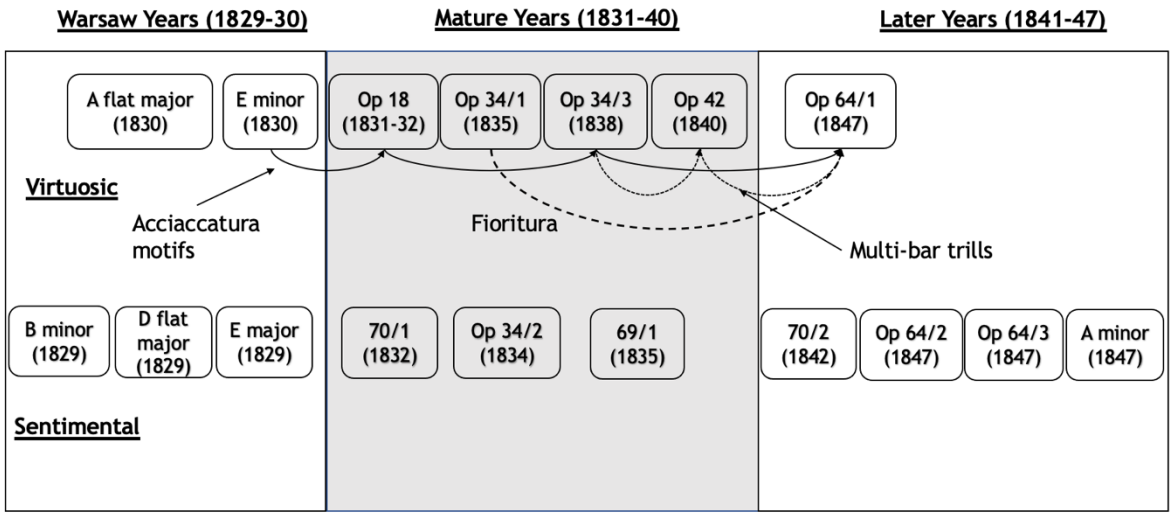


Figure 3-7 Evolution of trills and fioritura in Chopin's Waltzes

Weighted hierarchy of ornamental features in Chopin's waltzes

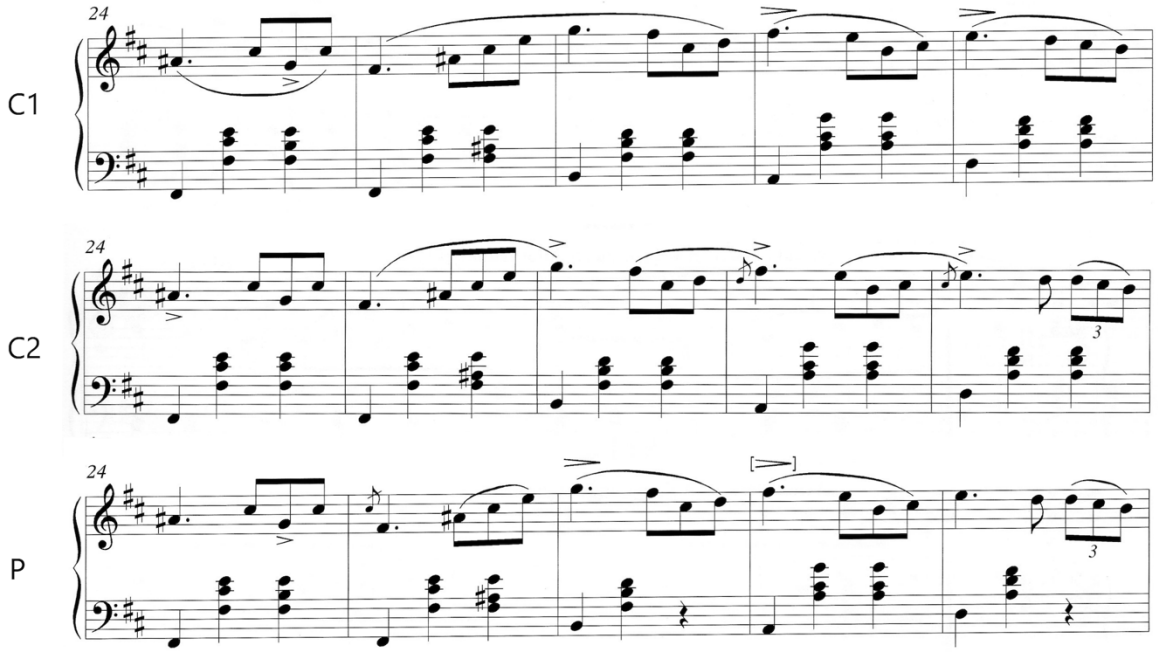
Chopin's approach to ornamental features parallels his employment of phrase enlargements. While he uses acciaccaturas in several of his sentimental works, he generates added vibrancy and intensity in his deliberate and numerous ornamental insertions in selected virtuosic waltzes. He prudently uses fioritura and multiple bar trills, only using them in two and three waltzes respectively.

3.3.5 Conventional and Long Accents

In Chopin's use of accents, Grabowski observes that Chopin uses different accents throughout his manuscripts and scribal copies to imply different degrees of emphasis. These were difficult to ascertain, given that Chopin was inconsistent in using them. Notwithstanding, the Peters edition preserves two principal types of accents which I shall denote as 'conventional accents' and 'long accents'.[162] I draw upon examples where both are juxtaposed to understand better how Chopin differentiates between the two features. He also tends to use both types of accents more often in the sentimental waltzes, especially in his works comprising multiple versions. As such, I draw illustrations from Chopin's three variations of the lyrical B minor waltz and two variations of the graceful Op 70, No. 1 in G-flat major.

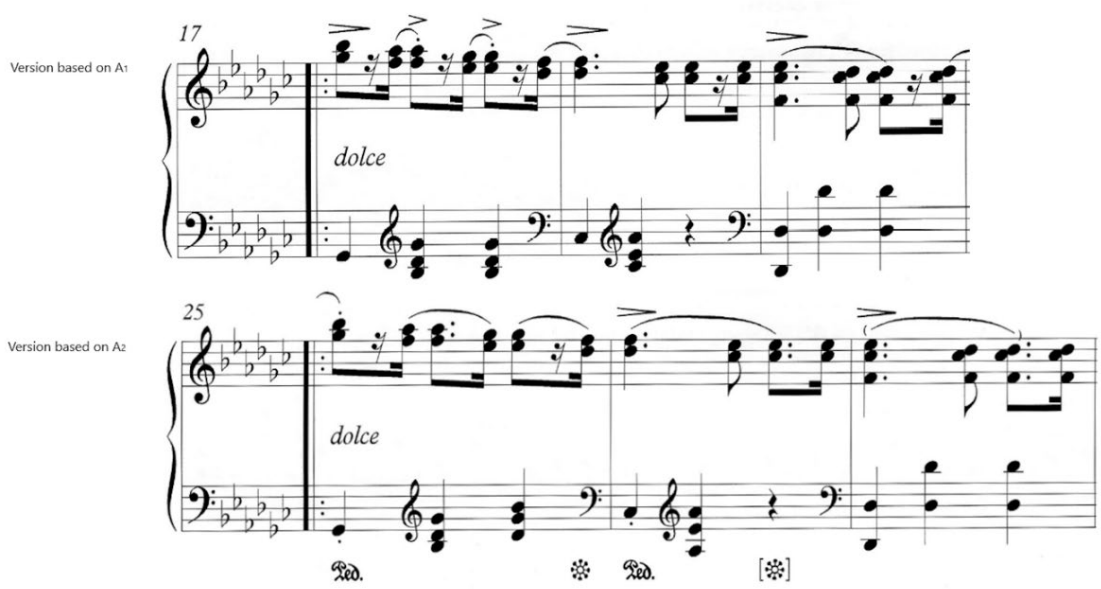
[162] Grabowski, *Waltzes*, 123.

In the three variations of the Waltz in B minor, Chopin sometimes stresses the downbeats with conventional accents (C2); at other times, he uses long accents (C1 and P) (see Example 3-9). As such, while the three variations may have common rhythmic structures, as seen in bars 25 to 28, they are not always emphasised in the same way. Also, in Chopin's second copy (C2) of the B minor waltz, acciaccaturas reinforce the downbeats and are sometimes used together with conventional accents to stress the notes.



Example 3-9 Use of accent from the B minor waltz, bars 25 to 28 (versions C1, C2 and P)

In Op. 70, No. 1, Chopin often emphasises downbeats with longer rhythmic values with long accents. However, he is not always consistent, choosing not to stress the downbeat of the metrically strong 25th bar found in his second autograph version (A2) (see Example 3-10).



Example 3-10 Use of accents from the Op. 70, No. 1 waltz (versions A1 and A2)

At other times, Chopin also abides by the four-bar phrasing, emphasising the metrically strong bar more than the other three bars. The Trio section from the E major waltz is one example where Chopin inserts the long accent on the downbeat of the metrically strong bar of 61 while attaching conventional accents on the downbeats of the following three bars. The sequence in how Chopin prioritises accents is also worth pointing out when earlier melodic material repeats. Consider the 16 bars in the initial section of Op. 18. In the first eight-bar phrase, Chopin indicates a greater dynamic emphasis on the downbeat minims of the first phrase by using the longer accents. Conventional accents are employed when melodic and rhythmic ideas return in the following eight-bar phrases.

Chopin is meticulous in how he draws different emphases in his music notations. The illustrations above reveal that Chopin did not adhere to one particular approach, although he tends to pay more attention to stressing downbeats.

3.4 Mazurka rhythms featured in waltzes

Samson and Goldberg have drawn parallels between nineteenth-century waltzes and mazurkas. After all, both genres represent miniature dances in triple metre time, and use the same set of forms, usually a variation of the basic ternary form. Samson observes that when the waltz craze reached Warsaw and became

vibrant and popular in the early nineteenth century, there were many similarities between a Polish waltz piece and a mazurka. He notes, for instance, that the 'rhythmic and melodic motives from the mazurka invade the more urbane realm of the waltz'.[163] According to Goldberg, of the three types of mazurka dances – the oberek, mazur and the kujawiak - the oberek's quicker spinning melodies draw similarities to the waltz-like melodic lines.[164] She argues that the generic boundaries of both waltz and mazurka were not always apparent.

Samson further suggests a dual role in Chopin's genres in *Chopin and Genres*. Here, I use the waltz genre as an example. On the one hand, Samson perceives Chopin's waltzes as 'structured wholes with their own generic identity', which he also defines as the host. On the other hand, he also refers to them as 'waltz elements' that constituent a referential code, 'cutting across generic boundaries and prising open the closed meanings of the host or controlling genres' (guest).[165] While Samson cites several 'host' and 'guest' examples in Chopin's mazurkas, nocturnes, and preludes, there is limited literature on how the waltzes play host to mazurka's rhythmic features.

Earlier in 2.2.1, I raised how the waltz plays the role of guest, as seen in how the frequently used arpeggiated accompaniments of a waltz feature found in Chopin's first ballade, Op. 23 in G minor and in the second scherzo, Op. 31 in B-flat minor. Before I examine how the waltz genre plays host to mazurka characteristics, it is essential to define some of the distinct rhythmic features of the mazurka, as mooted by Samson, Abraham and Parakilas.

Samson raises one of the most distinct rhythmic accentuations employed in Chopin's mazurkas in the way accents stress the second or third beats, often exemplifying the foot-stamping of the physical mazurka dance. These 'cross accents', as Samson calls them, inject vigour against the frequent strong-weak-weak beats of the accompaniment layer.[166] Another unique mazurka feature that

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[163] Samson, *Music of Chopin*, 120.

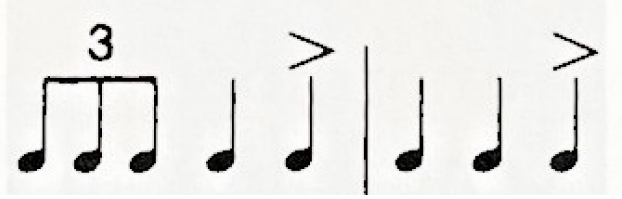
[164] Goldberg, *Music in Chopin's Warsaw*, 67.

[165] Samson, 'Chopin and Genre', 224.

[166] Samson, *Music of Chopin*, 111.

Abraham observes is how Chopin infuses grace notes and triplets (most commonly in three quavers in a group), key elements found in Polish folk music. Finally, Parakilas identifies the dotted rhythm established on the downbeats as a prominent mazurka feature.[167]

Chopin often combines these different mazurka features into his melodies. Example 3-11 illustrates a typical mazurka rhythm combining the use of triplets and accents on the last beat, found in many of Chopin's mazurkas, including Op. 6.[168]



Example 3-11 A typical mazurka rhythmic feature employed by Chopin. Samson, *Music of Chopin*, 111.

In Chopin's waltzes, Samson observes mazurka characteristics found in both groups. He perceives these characteristics among the sentimental waltzes in three melancholic waltzes - Op. 34, No. 2, the unpublished Waltz in A minor and Op. 70, No. 2 - together with the lyrical Op. 69, No. 1 and Op. 70, No. 1, written in the unusual key of G-flat major. In Op. 34, No. 2, Samson specifically associates this waltz played as *lento* to the kujawiak's slow tempo. It also comprises other mazurka characteristics, including the alternating between the primary key and relative major and the employment of both Lydian and diatonic fourths.[169] In bars 37 to 52 of this waltz, Samson further illustrates how Chopin incorporates these mazurka components into the waltz theme.[170] In the opening bars of the non-published sentimental works of Op. 69, No. 1 and Op. 70, No. 1, the featured triplets and dotted rhythms are distinct mazurka characteristics.

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[167] Parakilas, 'Disrupting the Genre', 176.

[168] Samson, *Music of Chopin*, 111.

[169] All three mazurka folk dances have unique characteristics: the lively mazur with a tendency to use irregular accents, the kujawiak often performed in a slower tempo with a tuneful melody, and the cheerful oberek, usually in quick tempo with an animated character

[170] Samson, *Music of Chopin*, 124.

Amongst Chopin's virtuosic waltzes, one finds the third beat accentuations in the passages of Op. 34, No. 1's C section parallels those found in Op. 18's C and D sections. Here, the hemiola-generated opening bars of section D shifts the perception of bars line through accents on alternate beats. Also, in section F of the same waltz, Chopin decorates every beat with staccato articulations attached to acciaccaturas. It is uncertain if Chopin establishes a motif using grace notes to generate an ornamental melody or instills a mazurka-like effect into the work.

There is no certainty in the illustrations given above if Chopin consciously inserts rhythmic mazurka features into his waltz themes or establishes rhythmic features resembling mazurka characteristics. Nonetheless, given the inextricable relationship between both genres, there are grounds for more studies to investigate the relationship between both genres, and how rhythmic vibrancy coexists between waltzes and mazurkas. For example, as much as it is significant to explore how mazurka elements infiltrate the waltz, it is also vital to examine the impact of waltz features within the mazurka genre. As Samson explains, 'Chopin analysts have paid little attention to the plurality of generic allusions'.[171]

3.5 Rhythmic and ornamental variants

Chopin is well-known to be both an inveterate reviser and an improviser. Even while performing, Hipkins - one of his many students - describes Chopin as one who 'never played his own compositions twice alike but varied each according to the mood of the moment, a mood that charmed by its very waywardness'.[172] In novelist George Sand's first-hand encounter with Chopin as a composer, she describes his intense need for perfection, explaining that it was 'not unusual for him to spend six weeks on a single page, pacing back and forth and breaking his pens in frustration'.[173]

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[171] Samson, 'Chopin and Genre', 224.

[172] Jean-Jacques Eigeldinger, Roy Howat, and Jean-Jacques Eigeldinger, *Chopin: Pianist and Teacher as Seen by His Pupils*, 11. Aufl (Cambridge: Cambridge Univ. Pr, 2013), 55.

[173] Alan Walker, 'Chopin: The Voice of the Piano', *American Music Teacher* (Music Teachers National Association, Inc., 2010),

Amongst the 17 waltzes written by Chopin, Kallberg singles out Op. 64, No. 3, describing the waltz and its 'network of relevant sources as the most complicated of any work by Chopin', inferring from Grabowski's study of the waltz's variants from the early sketches to the last printed source (i.e., the French first edition). Specifically, Kallberg explains a 'continuity of conception' in how Chopin produces the various versions of the sketch, for instance, in bars 39 to 40 and the 'chromatically inflected variants' found in the printed sources, in bars 49 and 143.[174]

In Chopin's earlier waltzes, stemming from his formative years in Warsaw to the later years, he also demonstrates his intense affinity for developing and refining rhythmic and ornamental ideas. Chopin frequently employs acciaccaturas, appoggiaturas, mordents, turns and trills, emphasising both downbeats and upbeats. At times, syncopated rhythms are also stressed. At other times, he uses ornaments concurrently. For example, in the E minor waltz, he uses a quaver acciaccatura and a two-semiquaver appoggiatura concurrently in bar 71. In bar 31 of Op. 69, No. 1, he employs a four-quaver turn and a quaver acciaccatura in sequence.

The Peters edition also provides ossias, reflecting Chopin's numerous variations in both the virtuosic and sentimental waltzes. In addition, this edition's multiple versions of a given waltz enable bar-by-bar comparisons to be made, offering the opportunity to analyse Chopin's constant state of compositional change.

Consider the B minor waltz as one of the earlier works worthy of careful examination. Its two original copies (C1, C2) and the Polish first edition (P) reflect Chopin's thought processes of how he possibly mulled over the possibilities of where the acciaccatura could be located. He also perceives the grace note and the turn as substitutes for one another (see Example 3-12).

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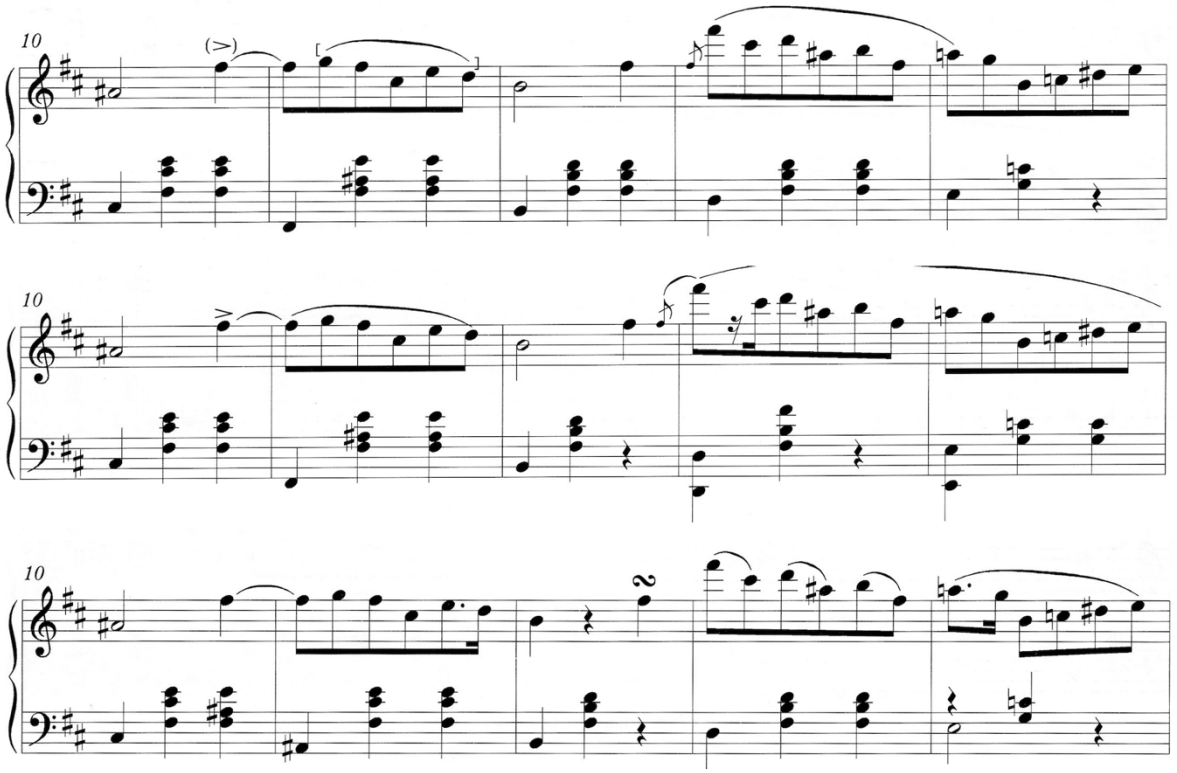
https://link.gale.com/apps/doc/A228440346/AONE?u=anon~e0dac7c4&sid=googleScholar&xid=80d7a6b6.

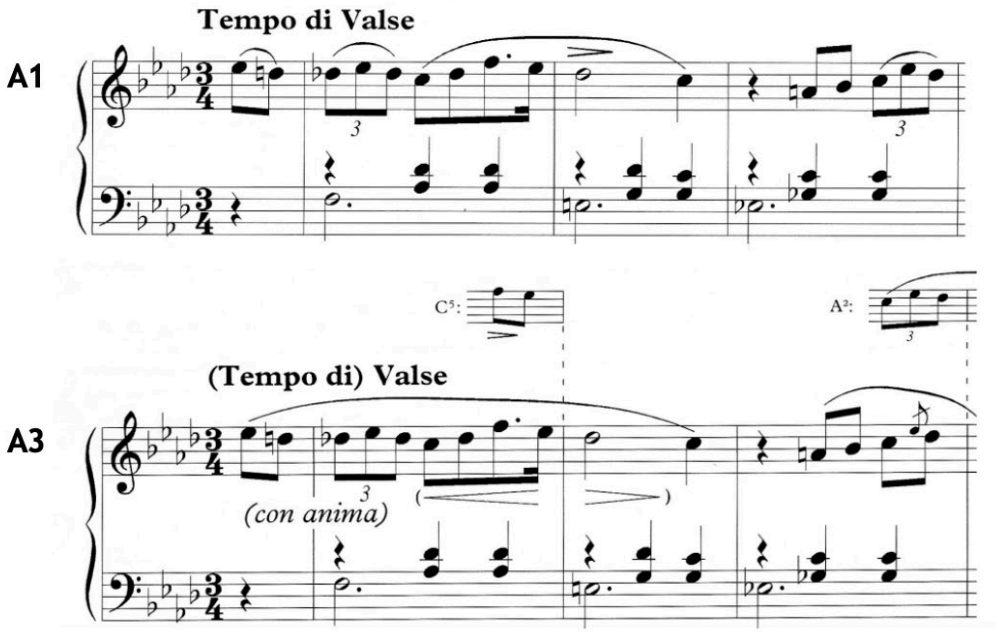
[174] Kallberg, 'Late Style, Last Style, and Chopin's Waltz in A Flat Major, Op. 64, No. 3', 37.



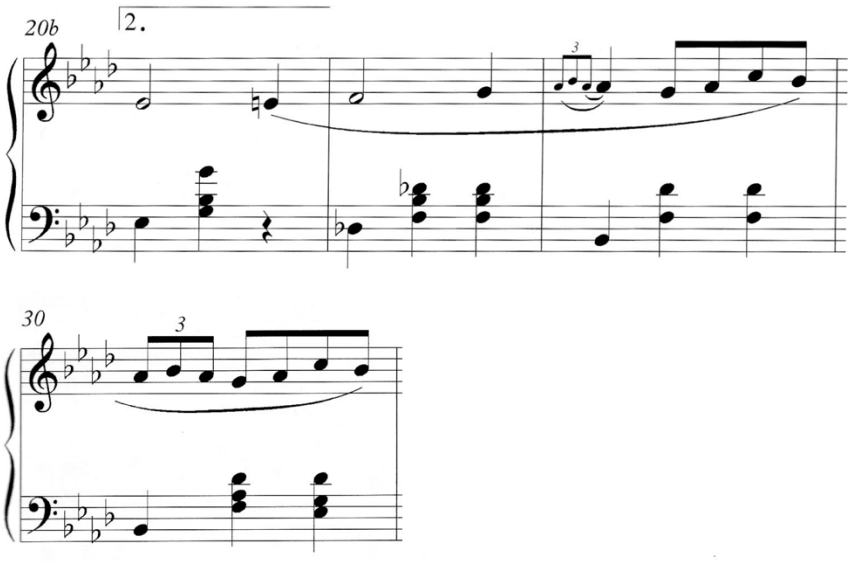
Example 3-12 Variations of the Waltz in B minor's C1, C2 and P versions, bars 12-13

Chopin also alternates in the use of trills and mordents. In the case of Op 70. No. 1, he decorates the downbeat quavers of bar 5 with trills in the first autograph edition, A1 but embellishes the quavers with a mordent in the other autograph edition (A2). In another example found in the principal source of Op. 34, No. 1, (i.e., the corrected reprint of the French first edition), Chopin employs mordents decorating the melodies in bars 40 and 51. Instead, he uses trills in the second autograph version - the *Stichvorlage* for the French first edition.

Chopin also considers alternatives to triplets; at other times, he does not always divide triplets into three equal parts, as reflected in the two unpublished waltzes: Op. 69, No. 1 and Op. 70, No. 2 (see Example 3-13 and Example 3-14).



Example 3-13 Variations of Op. 69, No. 1's A1 and A3 versions, bar 3

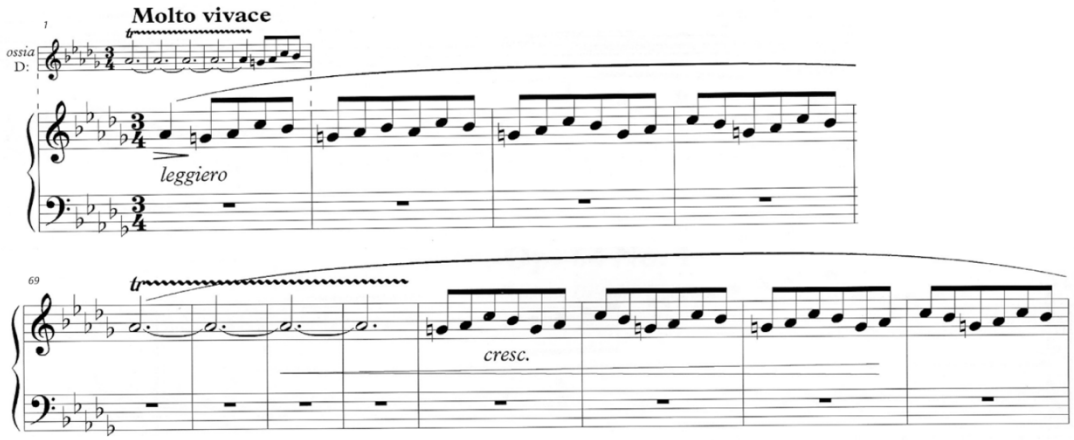


Example 3-14 Variations of Op. 70, No. 2's A3 version, bars 22 and 30

In the opening gestures of several waltzes, Chopin gives undue attention to several approaches used, as reflected by three waltzes from the melancholic subset. The opening passages from the original copies C1 and C2 of the B minor waltz are identical except that the note of anticipation in C1 is accented. This version contrasts with the Polish first edition (P), when Chopin uses a suspension, tying the anacrusis to the downbeat of bar 1. Thirteen years later, Chopin, perhaps in favouring the opening of the Waltz in B minor's Polish first edition, uses the same approach in the opening bars of Op. 70, No. 2's third

autograph edition. However, in his fifth autograph edition (A5) of the same work, he entirely omits the use of an anacrusis. The anacrusis that ties to the opening downbeat is again found in Op. 64, No. 2's French first edition's principal source but this feature is omitted in the second autograph edition.

In the virtuosic group, Chopin also reflects variants in the introductory gestures employed in Op. 18 and Op. 64, No. 1. In Op. 18, the ossia indicates a different opening by using octaves played by the right hand to thicken the texture of the single-tone repeated notes in the dominant of the primary key of E-flat. However, there are no alternative passages when a variation of this opening passage appears before A's reprise. In Op. 64, No. 1, Chopin provides two different opening gestures. Regardless of which opening one uses, the return of the varied introductory gesture unifies with the opening bars in two unique ways (see Example 3-15).



Example 3-15 Comparing the introductory gestures of Op. 64, No. 1 (bars 1 to 4, and bars 69 76)

Although sparingly used in Chopin's waltzes, irregular rhythms deserve some mention. In the A minor waltz, Op. 34, No. 2, Chopin juxtaposes two different sets of septuplets in Section B, bars 24 to 25, joining the antecedent's end to the beginning of the consequent, an example of Chopin's phrase overlapping technique. Chopin varies both septuplets to create a different listening experience: the first set of septuplets is played within two crochet beats. In contrast, the second is performed slightly slower, with seven quavers played in the time of three crochets. In another example found in Op. 42, Chopin also

explores an alternative passage from bars 240 to 243, indicated by an ossia, where eight quavers are played in the time of six quavers.

Kallberg succinctly encapsulates Chopin's compositional practice as fluid and not fixed. He also cites similar fluidity in other composers' works, namely, the multiple texts from Beethoven's *Leonore/Fidelio,* Rossini's three versions of *Tancredi* (1813), and the various forms of Schuman's *Symphonic Etudes*. Kallberg argues that music in the nineteenth-century hinges on an anachronistic notion of what a musical work represents. In other words, scores were not viewed as 'unique, invariable forms of their music'.[175] Hence, a variant in a Chopin waltz should not be favoured over another. Instead, his variants should be embraced as an all-encompassing reflection of his meticulous revisions and thirst for perfection. The different rhythmic gestures that Chopin creates in different versions of a particular waltz demonstrate his attention to the minute details in how he projects vibrancy in these dances.

3.6 Counterpoint

According to Schachter, pianistic counterpoint draws upon two unique factors: the piano's uniformity of sound and the 'characteristic diminuendo' occurring on every note. He explains that these factors 'blur the distinction between the polyphonic implications of a single melodic line and the obbligato leading of two or more real parts'. As a result, this blurring creates the possibility for chiaroscuro effects.[176]

Several authors have attributed Chopin's pianistic counterpoint to the works of Bach. In his review of Walker's *Frederyk Chopin: A Life and Times*, Devoto argues that Chopin, through the influence of Elsner, owes much of his contrapuntal techniques to Bach's keyboard works, which include the famous *Well-tempered Clavier*. Richard Taruskin adds that Chopin paid tribute to Bach when he wrote two sets of publications: the twenty-four preludes for piano (Op. 28) in all the major and minor keys published in 1839 and the first group of 12

[175] Todd, *Nineteenth-Century Piano Music*, 232-233.

[176] Schachter, 'Review of The Music of Chopin; The Music of Brahms', 188.

Etudes published in 1833.[177] Indeed, across many genres, Chopin demonstrates the principles of pianistic counterpoint in his terms, often by expanding a single voice to multiple voices, revealing a wealth of sophistication through harmonic and contrapuntal subtleties. Samson argues that Chopin regarded counterpoint as 'axiomatic', a technique that comes naturally to Chopin. He observes how Chopin developed Bach's 'equal-voiced counterpoint' based on the keyboard, refining to an approach that moulds to the idiomatic nature of the piano, resulting in a distinct hierarchy of voices which Samson 'dynamic shading and layering'.[178]

In *Voice and the Nocturne*, Kallberg explains how Chopin integrates counterpoint into the Nocturne, expanding his melody into two or more voices. He further argues that singing was also an essential cornerstone of Chopin's compositional process, giving several testimonial accounts of Chopin's emphasis 'to the central role of singing in (the) conception of proper musicianship'.[179] In addition to Chopin's nocturnes, Kallberg also observes Chopin developing these vocal backgrounds in his other genres (e.g., mazurkas, polonaises, berceuses, and ballades) but avoiding any reference to the waltzes.

An investigation of Chopin's waltzes reveals several instances where he uses a counterpoint approach. The graceful and charming Waltz in D-flat major, written in the Warsaw years, is the earliest example. He embellishes this waltz from the onset with a counter melody in the alto clef that commences as an anacrusis in this voice, providing an alternative chromatic quaver passage to the lengthier downbeat minims and dotted crochets established in the soprano register. This treatment draws similarities with Chopin's Nocturne in C-sharp minor, Op. 27, No. 1. In this work, the soprano register's repeated note in bar 18 expands to include a tenor melody in the ensuing bars. Walker describes this right-hand passage as taking on the trappings of two human voices; both

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[177] Richard Taruskin, *Oxford History of Western Music:* (Oxford University Press, 2010), 381.

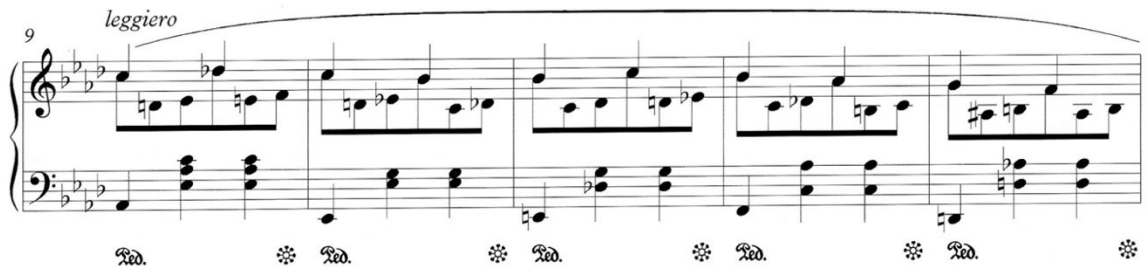
[178] Jim Samson, 'Chopin, Past and Present', *Early Music* 29, no. 3 (2001): 387, http://www.jstor.org/stable/3519182.

[179] Jeffrey Kallberg, 'Voice and the Nocturne', in *Pianist, Scholar, Connoisseur: Essays in Honor of Jacob Lateiner*, edited by Jane Gottlieb and Bruce Brubaker (New York, United States: Pendragon Press, 2000), 43.

melodies contained within one hand, countering Richard Wagner's wrongful assertion that Chopin was only 'a composer for the right hand'.[180]

In the same waltz, Chopin further develops these two voices in the second half of section A, bars 17 to 32, rhythmically synchronising the melodies in both voices. Here, the rhythmic differentiation found in the opening bars of the right-hand melody converges to one of rhythmic consonance. In the Trio section, the melody swings to the bass. The 'oom' resides in the uppermost register as part of the accompaniment. At the same time, the 'pah-pah' primarily features in the alto voice as repeated chords, giving rise to two voices. However, this time Chopin develops the main melody in the bass, providing a counter melody in the soprano register. Both voices generate a melodic and rhythmic theme. At times, they synchronise rhythmically. At other times, each voice assumes its own rhythmic identity. In two other waltzes, namely Op. 34, No. 2's coda and the B section of Op. 64, No.3, Chopin recalls similar accompanimental ideas by establishing a primary melody in the bass, with a counterpoint in the upper register. This approach was always at the back of Chopin's mind, recalling this practice in these three waltzes written in the three respective periods: the Warsaw, mature and later years.

In the opening section of Op. 42, Chopin approaches the counter melody more subtly. The melodic and rhythmic motifs of the waltz's first five bars (bars 9 to 13), as illustrated in Example 3-16, extend throughout section A. Parakilas describes the alto quaver passages as an 'interrupting voice', played against the crochet motifs in the soprano register.[181]



Example 3-16 Op. 42, bars 9 to 13

[180] Walker, Alan, 'Chopin and the Keyboard: The Raphael of the Piano', in *Fryderyk Chopin A Life and Times* (United States -- New York: Farrar, Straus and Giroux, 2018), Google Books.

[181] Parakilas, 'Disrupting the Genre', 177.

Notice how the first two highest notes (C and D-flat) of the melody found in bar nine are repeated in the tenor register later in bars 11 and 12 as part of a string of tenor quaver passages comprising mostly two-note semitonal quavers. These voices are unlike the more sophisticated heterophonic texture in Chopin's other works, like the Ballade No. 1 in G minor, which offers two separate voices outlined in different rhythms but based on the same motif (see bars 36 and 37).

Although Chopin explores pianistic counterpoint in some waltzes, he was more adventurous in establishing them in the ballades and nocturnes that he wrote. Chopin's Nocturne Op. 55, No. 2 in E-flat major is one example, highlighted by Samson for its astonishing rhythmic complexity between soprano and alto registers.[182]

3.7 Key takeaways

In this section, I expand on the insights gathered from the earlier chapter 'Unity and Contrast' by juxtaposing the trends and patterns derived with those established in the current chapter on 'Vibrancy'.

From the many ways Chopin establishes rhythmic vibrancy, he continues to feature virtuosic waltzes written in the Warsaw years as important starting points in his compositional journey. The E minor waltz is instrumental in how Chopin first employs concluding expansions and uses acciaccaturas as motifs that emphasise the downbeats of the waltz's melodic arches' descending passages (e.g., see bars 13 to 15, bars 61 to 64). These motifs serve as 'character marks' giving the virtuosic waltz its identity and are further recalled in the later virtuosic waltzes written in the mature years. Subsequently, he expands and refines these ideas in later waltzes. Similarly, in the A-flat major waltz, Chopin varies harmonic tempos, expanding this idea to five other waltzes in the mature and later years.

In the later years, Chopin integrates several of his compositional ideas into his waltzes. He integrates the acciaccatura motifs, multiple bars of trills and fioritura found in earlier virtuosic pieces into a single piece - Op. 64, No. 1. Chopin also employs different variations of harmonic rhythms in this waltz,

[182] Samson, *Music of Chopin*, 93.

varying the V-I prototype in every bar. In a similar approach found in the third waltz from the same opus, Chopin interlaces ideas of phrase expansion and uses an asymmetrical grouping of phrases within the same waltz. These last works from Opus 64 reinforce Chopin's approach to incorporating earlier ideas, establishing continuity in his evolving compositional ideas. More importantly, it signifies his commitment to finetuning and revising, not just represented in the variants found in multiple early editions of a given waltz but also in how he continuously recalls common themes across different waltzes.

Further, in both groups of waltzes, Chopin's systematic approach to generating rhythmic vibrancy and complexity parallels his approach to establishing unity and contrast. In his treatment of phrase enlargements, he employs the strategy of using phrase expansions and extensions in sentimental waltzes, utilising them in two published waltzes (Op. 34, No. 2 and Op. 64, No. 3). Chopin establishes concluding expansions in the virtuosic ones choosing to use them in three of his earlier works (E minor waltz, Op. 18 and Op. 34, No. 1). Secondly, Chopin decorates his virtuosic waltzes with ornaments (acciaccaturas, multiple bars of trills and fioritura), often establishing them as motifs. Thirdly, he employs the common strategy of decorating both groups with V-I harmonic rhythms, the same way he unifies both groups with melodic arches.

Chopin continues to draw focus to the sombre works in his melancholic subset. Here, he explores various openings in three of them, establishing several possibilities reflected in his multiple early editions. In addition, he uses the B minor waltz as a starting point, applying both conventional and long accents within the same passage and continuing this approach in later works.

Chopin's numerous rhythmic techniques are not essential features that serve as common denominators amongst the waltzes. He consistently varies his approaches and techniques across waltzes, selectively using them in chosen waltzes. Nonetheless, Chopin employs a systematic approach, often differentiating the stylistic features of the virtuosic waltzes from the sentimental ones.

Although Chopin's waltzes are not meant for dancing, it is still worth summarising how these techniques may affect dancers. The use of

embellishments, particular the multiple bars of trills and fioritura, aids in envisioning dancers performing movements of a higher degree of difficulty (e.g., engaging in spin turns).[183] At moments when concluding expansions are used to build up a climactic conclusion to the waltz, one can imagine dancers performing dance movements with greater intensity and skill in response. Finally, changes in harmonic rhythms that alter the tempo of a waltz may be reflected in how dancers either increase or retard their movements in the swirling and twirling that are often seen in waltzes.

[183] A spin turn is a ballroom dance step used in waltzes to turn corners and generally regarded as an intermediary step towards learning pivots

Chapter 4 Tension and Release

'Tension and release' are typically built by generating a sense of unrest or anticipation through rhythm, melody, harmony, dynamics, and even formal structures of music works. This section explores the various dimensions that Chopin creates for these phenomena in his waltzes, primarily through the generation of metrical dissonances and disruptions and through phrasal distortions, giving rise to phrase asymmetry. I shall also compare the different sources of tension that Chopin builds up within a piece, resulting in different degrees of dramatic outbursts at different locations. To this end, I shall study how, in most cases, the intensity generated in a piece eventually dissolves, thus reaching a state of release.

4.1 Metrical dissonances

In *Some Extensions of the Concepts of Metrical Consonance and Dissonance,* Harald Krebs provides an in-depth background of rhythmic phenomena through the contributions of scholars, namely Elliot Carter, Grosvenor Cooper, Leonard Meyer, and Maury Yeston whose ideas form the point of departure of Kreb's article. Krebs further introduces concepts of rhythmic consonance and dissonance, elaborating on two main types of metrical dissonances, which he broadly calls 'Type A' and 'Type B' dissonances. In both cases, a pulse level and at least two interpretive levels provide conflicting pulse groupings.[184]

According to Krebs, Type A dissonances give rise to a combination of different levels of cardinalities that are aligned. In contrast, Type B dissonances form when different levels of cardinalities are superimposed but are non-aligned. Krebs classifies both Type A and B dissonances as examples of 'direct dissonances' when these metrical conflicts are to some degree superimposed. On the other hand, 'indirect dissonances' occur when interpretative levels are juxtaposed. In this case, the first interpretative pulse level, which appears before the second, 'is not immediately effaced upon the appearance of the second but is continued in the listener's mind'.[185] In general, direct and indirect

[185] Harald Krebs, 'Some Extensions of the Concepts of Metrical Consonance and Dissonance', *Journal of Music Theory* 31, no. 1 (1987): 103, 105, https://doi.org/10.2307/843547.

dissonances are usually not heard to be of equal significance; one of the levels is heard as the primary one, the other(s) as secondary.

Metrical consonance results when a consonant collection of levels ensues after a metrical dissonance. Krebs explains that the succession of dissonance to consonance gives an aural impression of tension that builds up before finally reaching a state of relaxation when the former dissipates.[186] Frank Samarotto, in observing how musical passages may involve two or more coexisting metric frameworks, provides an alternative perspective of metrical conflicts when he postulated the theory of a 'Shadow Metre'. In *Schenker Studies 2*, he defines a 'Shadow Metre' as 'the main meter, the meter as written, casts a shadow, as it were, on a subsidiary, displaced meter, which we are drawn to hear as real until it dissolves'.[187]

In *Fantasy pieces: metrical dissonance in the music of Robert Schumann,* Krebs examines various accounts of how Chopin uses metrical dissonances in his scherzos and etudes, observing that Chopin uses these musical phenomena less frequently than Schumann.[188] Rothstein also writes with insight, drawing on a specific type of metrical dissonance in Chopin's etudes. He refers to the 12 Etudes of Op. 10 as the rhythmically boldest of Chopin's early works, postulating how Chopin felt that etudes 'are based on a single rhythmic figure, particularly requiring imaginative treatment of its larger rhythms to avoid monotony'. He details how Chopin, in the Etude, Op. 10, No. 3 in E major, uses syncopations across the bar lines to suggest a shift in metre, resulting in these metrical patterns commencing on weaker beats.[189] According to Santa, syncopation is 'a rhythm that conflicts with any prevailing metre'. As such, he argues that 'any kind of metrical dissonance is a syncopation'.[190]

Although Krebs and Rothstein do not take into account of metrical dissonances in Chopin's waltzes, such features are prevalent in some of his dances. For

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[186] Krebs, 'Some Extensions of the Concepts of Metrical Consonance and Dissonance', 106.

[187] Frank Samarotto, 'Strange Dimensions: Regularity and Irregularity in Deep Levels of Rhythmic Reductions.', in *Schenker Studies 2* (Cambridge University Press, 1999), 235.

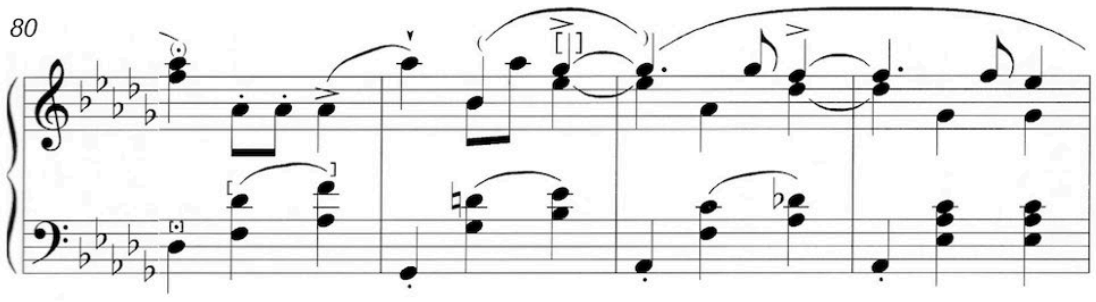
[188] Krebs, *Fantasy Pieces*, 54, 199.

[189] Rothstein, *Phrase Rhythm in Tonal Music*, 221.

[190] Santa, *Hearing Rhythm and Meter*, 54.

example, amongst the virtuosic waltzes, one finds the ‘Type B’ metrical dissonance first appearing in the E minor waltz, in the concluding expansion found in section A reprise (bars 125 to 128). Here, Chopin indicates a metrical dissonance between both hands by stressing the downbeats of the right-hand melody with conventional accents while emphasising the left-hand accompaniment’s middle beats with the same type of accents. That Chopin inserted this metrical dissonance between both hands within the 15-bar concluding expansion to build up further tension leading to the coda is plausible. In the short 13-bar coda, Chopin achieves metrical consonance when both hands return to embracing the primary metre’s strong-weak-weak pulse.

In the next virtuosic waltz (Op. 18), Chopin features two examples of ‘Type B’ metrical dissonances. The first is found within three bars towards the end of section C. This section begins with conventional accents, with the emphasis given on the downbeats of the initial bars. In bars 80 to 82, three consecutive accents in the upbeats indicate a shift in metre. The suspensions in bars 82 and 83 also serve as a pair of rhythmic sequences, reinforcing the stresses on the upbeats (see Example 4-1).



Example 4-1 Metrical dissonance in Op. 18, bars 80 to 82

In section E, Chopin creates another series of metrical dissonances over 12 bars from bars 121 to 132. While the left-hand accompaniment maintains an oompah-pah rhythm, Chopin generates dissonance by inserting conventional accents on the third beats from bars 121 to 125. In bars 126 to 128, Chopin avoids the use of any accents, suggesting that he has returned the waltz to metrical consonance. However, he reinstates the earlier metrical dissonance in the remaining bars of this section before the beginning of the next section (Section F) commences in

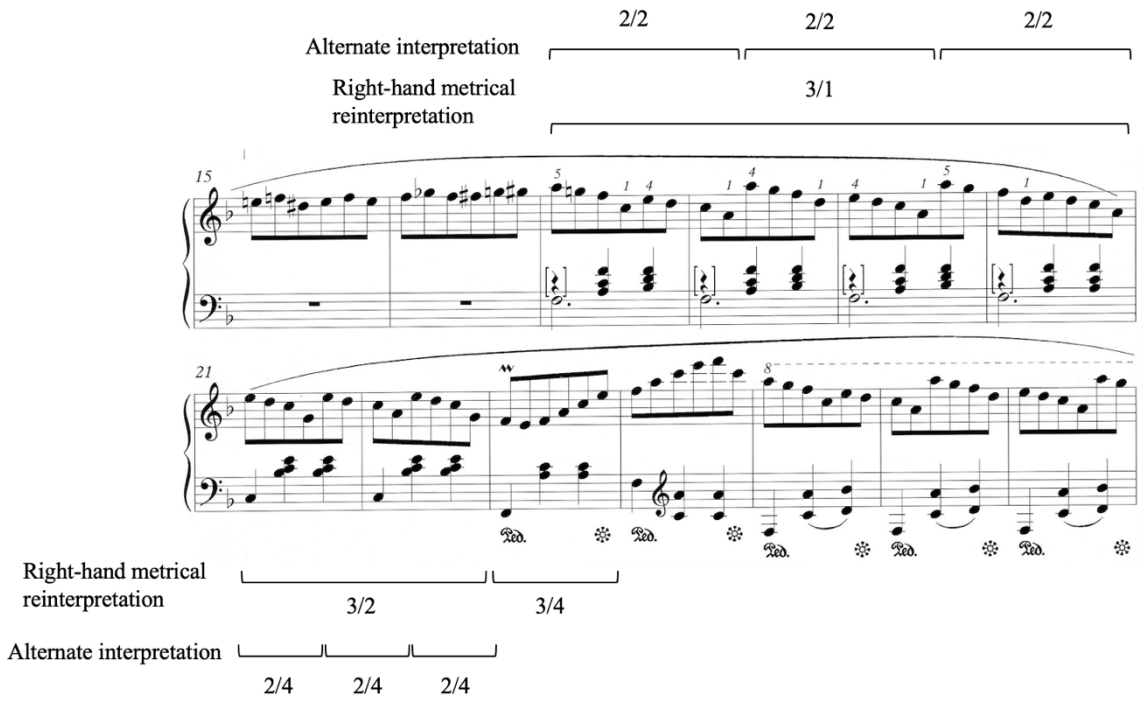
metrical consonance again. In these passages, Chopin generates two instances of tension, each time followed by release.

The sequence of metrically dissonant events in sections C and E is summarised in Figure 4-1 showing where Chopin builds up tension in the middle of the waltz. The different sets of asterisks indicate each section's different sets of dissonant events. Both Sections C and E are repeated, establishing an 'echo' of earlier material. In the background, these dissonances appear in between sections D and F in the following pattern: C-D-C, E-F-E. This observation demonstrates Chopin's contrasting approaches in how he develops tensions in these two virtuosic pieces. He initiates tension much earlier in Op. 18 possibly building up tension in the middle of the waltz before the impending bravura coda.

Section	I	A	B	A	B	C	D	C	E	F	E	G	I	A	B	A	Coda
Metrical dissonance						*		*	**		**						

Figure 4-1 Metrical dissonance in sections C and E, Op. 18

In a later waltz, Op. 34, No. 3, Chopin creates a 'Type A' metrical dissonance in its opening section. As I had earlier raised in the earlier chapter on 'Vibrancy', a metrical reinterpretation of the right-hand melody gives rise to the sequence of metres 3/1 and 3/2 from bars 17 to 22. In bar 23, the earlier dissonance resolves to metrical consonance when both hands operate in the primary metre of 3/4. I suggest another means of interpreting these passages, which reflects the rhythmic fluidity of this passage. The quaver passages of the right hand can also give rise to an alternative metric reading comprising of 2/2 followed by 2/4 metres, as illustrated in Example 4-2. These interpretations represent the fluid vibrancy in Chopin's waltz melodies, as well as its ability to give rise to different tensions based on various metric readings. In both interpretations, he consistently generates momentum that leads to bar 23.



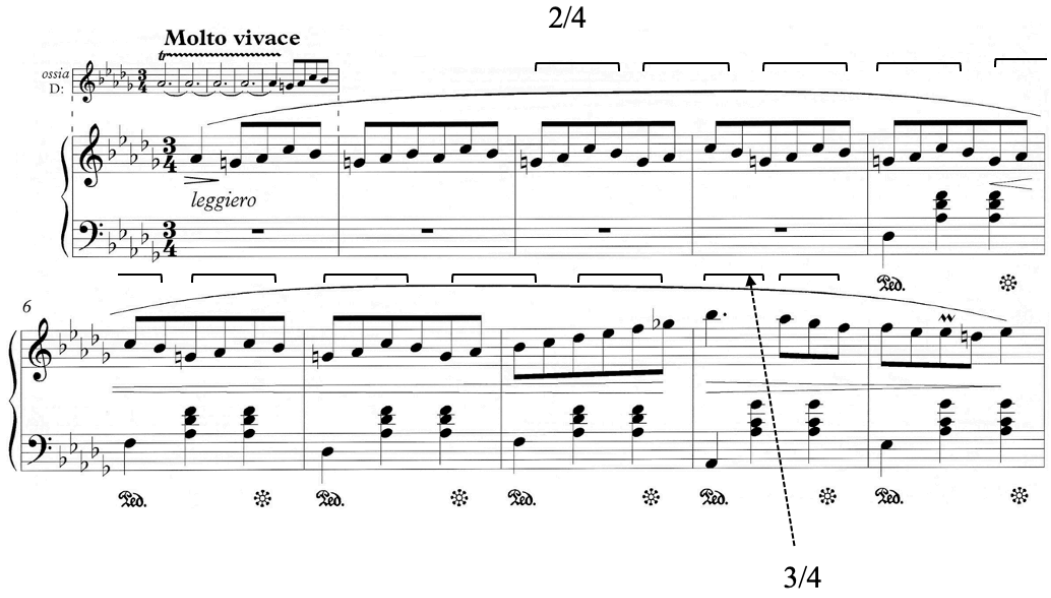
Example 4-2 Two metrical interpretations of bar 17 to 22, Op. 34, No. 3

A 'Type A' metrical dissonance also appears in the opening section of Op. 42 when the right hand's metre could be reinterpreted in 6/8 (duple time), clashing with the triple metre generated by the left hand's oompah-pah accompaniment. Unlike the dissonances developed in the earlier virtuosic waltzes, this phenomenon extends throughout an entire section, covering 32 bars of Op. 42's section A and its reprise. As such, these sectional tensions serve as counterweights to the coda. The coda's opening passages in bars 277 to 280, also echo the rhythmic material of section A with the same type of metrical dissonance reappearing, hence unifying the waltz's end material with its earlier sections. In this waltz, Chopin generates tension through metrical dissonance almost at the beginning of the dance (see Figure 4-2). Here, the rondo-formatted waltz with its repeated B sections provides a contrasting listening experience to the goal-directed tension that builds up in section A. It is also significant that Chopin locates the metrical dissonances in this waltz towards the outer sections of the waltz, in contrast to those of Op. 18, which are concentrated towards the middle. These examples demonstrate Chopin's flexibility in introducing dissonances that seem to generate tension in their own terms, independent of the waltz's culmination in its end material.

Section	I	A	B	C	B	D	B	E	B	A	B	D	B	Coda
Metrical dissonance		*								*				*

Figure 4-2 Metrical dissonance in sections A and the coda of Op. 18

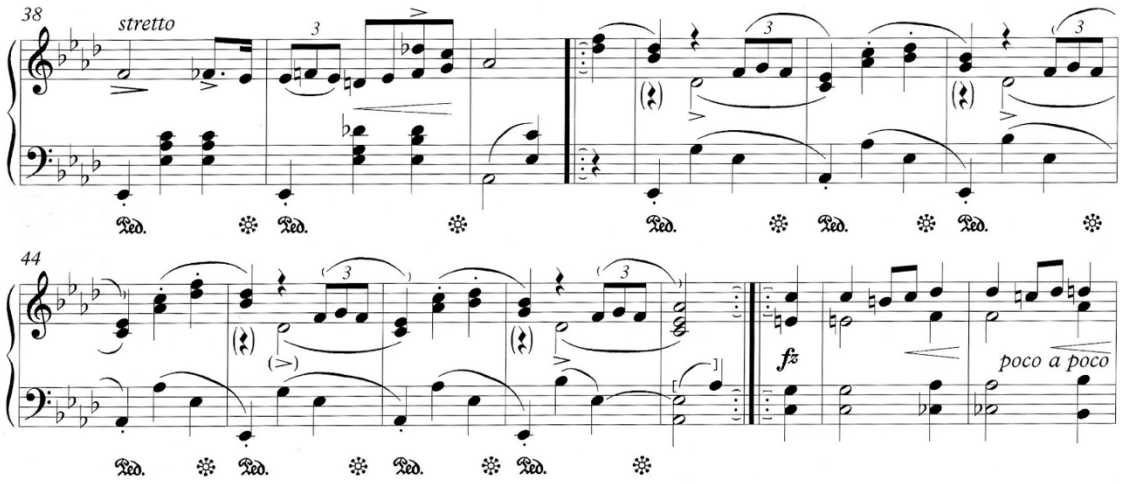
In Chopin's last virtuosic waltz, Op. 64, No. 1, written in 1847, he seamlessly joins the opening bars of the introduction to section A using a four-quaver motif derived from the hemiola generated passages in bars three and four. This approach achieves a 'Type A' metrical dissonance with the oompah-pah accompaniment at bar five, as illustrated in Example 4-3 before a metrical consonance is reached in bar nine. Like the previous waltz (Op. 42), Chopin uses metrical dissonance passages to merge the annunciatory gestures and the ensuing section. In section A's reprise, the metrical dissonance feature reappears, an approach that recalls the earlier virtuosic waltzes raised above.



Example 4-3 Metrical dissonance in Op. 64, No. 1, bars five to eight

In the sentimental waltzes, Chopin utilises metrical dissonances less prevalently than those found in the virtuosic group. In one possible interpretation of Op. 69, No. 1's opening bars of the Trio section (bars 41 to 48), the accents on every alternate bar that stresses the right hand's middle beat appear to give rise to a two-bar hypermeasure in 6/4 time (see Example 4-4). This is assuming that the

accents below the minim D represent only the right-hand melody, instead of both hands. To add, Chopin's left-hand slur indications appear to produce a 3/4 pulse with the accompaniment commencing on its descending arpeggiation on the middle beat. As such, a two-bar hypermeasure in 6/4 time resonant with the accompaniment in 3/4 time.

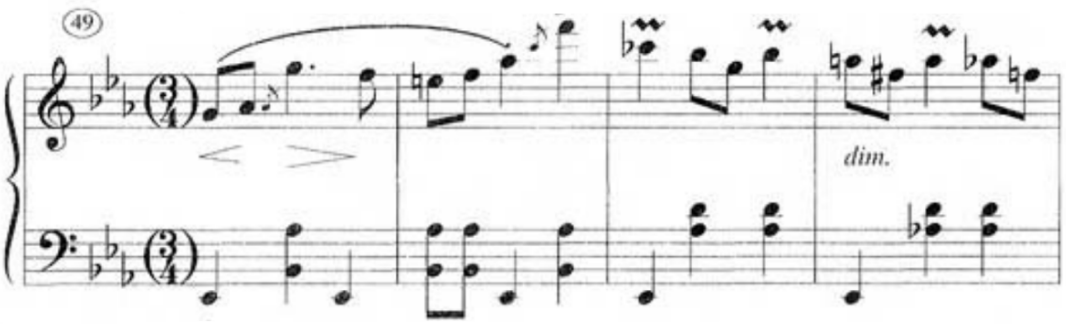


Example 4-4 Metrical dissonance in Op. 69, No. 1, bars 41 to 48

An alternative interpretation of these passages is derived based on the V-I harmonic pattern derived from the downbeats of bars 41 to 48, emphasising the downbeat. In this case, Chopin creates a 'Type B' dissonance; the right hand's emphasis on the middle beat conflicts with the harmonic rhythm derived from the downbeat of this passage, providing yet another illustration of Chopin's rhythmic fluidity found in his miniature waltzes.

According to Krebs, Chopin also explores creating conflicting pulse layers in his mazurkas when he varies the oompah-pah accompaniment - a frequent stylistic feature of the waltz – in Mazurka Op. 17, No. 1. Chopin creates metrical malleability by varying the repeated accompanimental pattern with subtlety. He first generates a two-pulse group through the oom-pah of the left hand (bars 49 to 50) and then swings this same set of pulses to the subsequent bars in the right hand (bars 51 and 52) (see Example 4-5). All this while the other hand maintains a three-pulse tempo in these four bars resulting in both hands generating a 'Type A' metrical dissonance. In the following phrase (bars 57 to 60), when

Chopin expands the ‘oompah’ to ‘oompah-pah’, the right hand now maintains the same pulse as the left hand, signalling a metrical resolution.[191]



Example 4-5 Metrical dissonance in Chopin's Mazurka Op. 17, No. 1, bars 49 to 52

I derive two observations from the above example. Firstly, Chopin varies the oompah-pah pattern - a distinct waltz feature – in a mazurka, exemplifying how the mazurka plays host to the variation of a waltz’s stylistic feature. This unique approach to varying the accompaniment is never replicated in any of his waltzes, demonstrating that Chopin was not restricted to varying a frequently used waltz feature in other genres. Secondly, his approach to varying the oompah-pah raises possibilities of how the oompah-pah, found in many of his other mazurkas, could also be perceived as a distinct feature of this genre. For example, could two genres share a common stylistic feature? This is an area that is also worth further investigating.

Figure 4-3 provides a synopsis of how Chopin uses metrical dissonances in his waltzes, demonstrating how he more frequently uses them to generate tension in his virtuosic waltzes. It is also important to point out that apart from the E minor waltz conceived in the Warsaw years, Chopin reprises his metrical dissonance passages in his virtuosic waltzes, establishing both a unifying theme and multiple points of tension within a work. Like Schumann, who sometimes uses dissonance as a marker at formal dividing points of his pieces, Chopin also places his dissonances in key locations within his waltzes.[192] For example, he locates the dissonance in the E minor waltz just before the coda, where a global

[191] Krebs, *Fantasy Pieces*, 202.

[192] Krebs, *Fantasy Pieces*, 145.

climax anticipates. Also, in Op. 64, No. 1, the metrical dissonance that Chopin generates in the introductory material again appears, leading to section A's reprise.

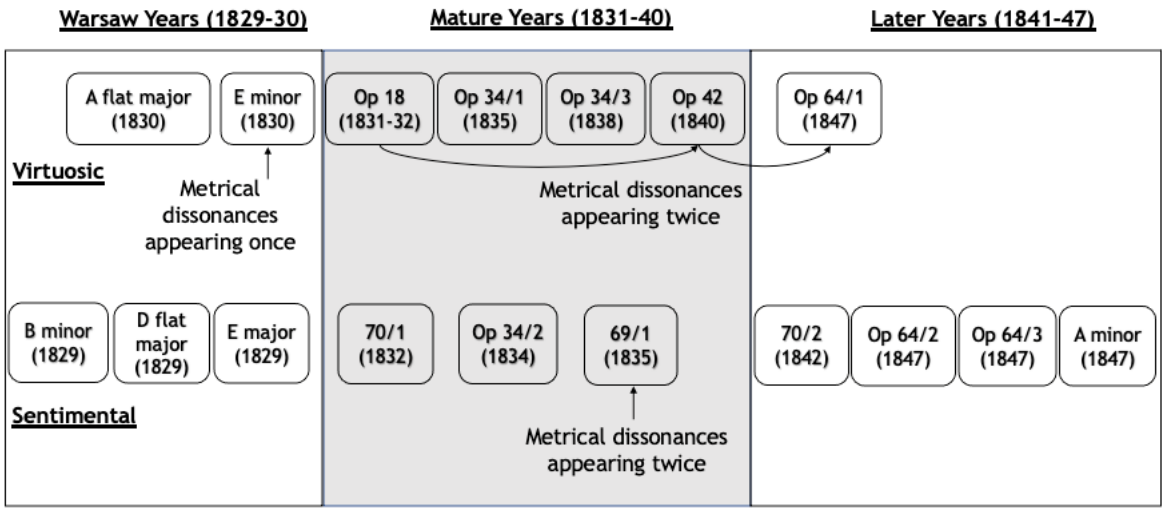


Figure 4-3 Metrical dissonances that appear in Chopin's waltzes

Overall, metrical dissonances are rarely used in Chopin's waltzes. He uses them only once in his sentimental waltzes and a total of four times in his virtuosic waltzes (see Figure 4-4).

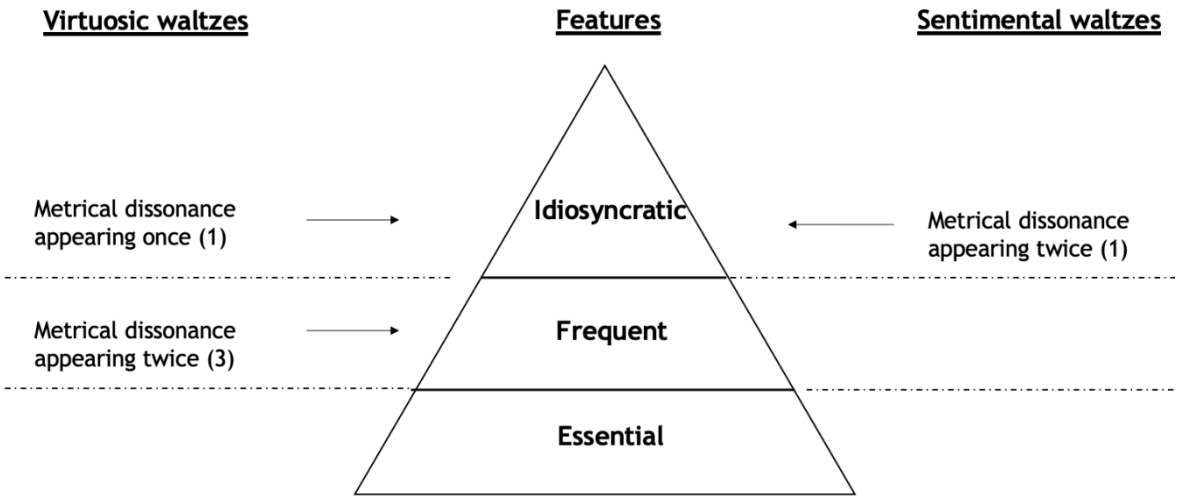


Figure 4-4 Hierarchy of metrical dissonances in Chopin's waltzes

4.2 Hemiolas

Santa describes hemiolas as grouping dissonances so commonly used that they are given this unique name. He observes that hemiolas are notated in two different ways. Some hemiolas place the aligned pulses on every downbeat of every notated bar, while others place the aligned pulses on every other downbeat of the notated bar.[193] According to Cone, hemiolas were frequently used since the Baroque period (as well as the Renaissance period, particularly in the context of the 'hemiola proportion'). In his words, these dissonances were 'virtually a cliché in the first half of the eighteenth century (Handel's *Messiah* is a popular example). Cone further observes that after the Baroque period, classical and romantic composers continued using hemiolas, although they employed shorter periods and phrase paragraphs. Brahms, for instance, uses hemiolas in both antecedent and consequent in the first period in his Intermezzo in A major, Op. 118, No. 2; the second hemiola generates a climatic dissonance in bar 6.[194] As such, later composers gained an enormous heritage from Baroque dances. The courante often includes hemiolas as part of their identity while minuets are designed for a dance pattern covering two bars at a time with hemiola patterns against their instrumental accompaniment.

According to Channan Willner's *Metrical Displacement and Metrically Dissonant Hemiolas*, Brahms, together with Handel and Bach, uses cadential hemiolas to serve as consonant agents. He explains how these hemiolas span the two bars preceding the final tonic or an alternative cadential chord. As such, a metric reinterpretation is required to embrace these two bars as one bar but heard at a slower pulse. The penultimate bar is not viewed as a metrically strong bar as it is part of the weaker half of the hemiola pulse. Willner argues that these cadential hemiolas, which 'intensify the end-accented beats, assert the notated metre, not the metrical displacement'. Hence, they emphasise the basic metrical premise and, in so doing, serve as consonant agents.[195]

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[193] Santa, *Hearing Rhythm and Meter*, 54.

[194] Edward T Cone, '"Musical Form and Musical Performance" Reconsidered', *Oxford University Press* Music Theory Spectrum, Spring, 1985, Vol. 7, Time and Rhythm in Music (1985): 150, 155.

[195] Channan Willner, 'Metrical Displacement and Metrically Dissonant Hemiolas', *Journal of Music Theory* 57, no. 1 (2013): 87, http://www.jstor.org/stable/43305045.

Chopin used hemiolas to create a different effect, unlike composers before Chopin's time who used cadential hemiolas to generate two bars heard in a slower pulse. For instance, in Op. 18, Chopin generates forward momentum instead of retardation in both the opening four-bar passage and the varied, extended reprise of this annunciatory gesture, a feature commonly used in standard dance practises. He uses the same approach in the introduction of Op. 64, No. 1 too. These hemiolas are indirect dissonances when interpretative levels are juxtaposed rather than superimposed.

In addition, Chopin also uses hemiola passages in Op. 18 as a motivic idea, creating a 'Type A' dissonance, which he employs four times in 16 bars of the waltz's D section. Here, the successive metrical dissonances appear near the middle of the waltz, generating tension through metrical conflict only in this section. Among the sentimental waltzes, only the E major waltz features hemiolas; its introductory passages in bars one to four resemble Op. 18's hemiola ideas located also in its introductory passages. Figure 4-5 illustrates the various hemiolas found in Chopin's waltzes, appearing as idiosyncratic features in both groups of waltzes. Op. 18 is the only waltz that features two different types of hemiolas in the same piece.

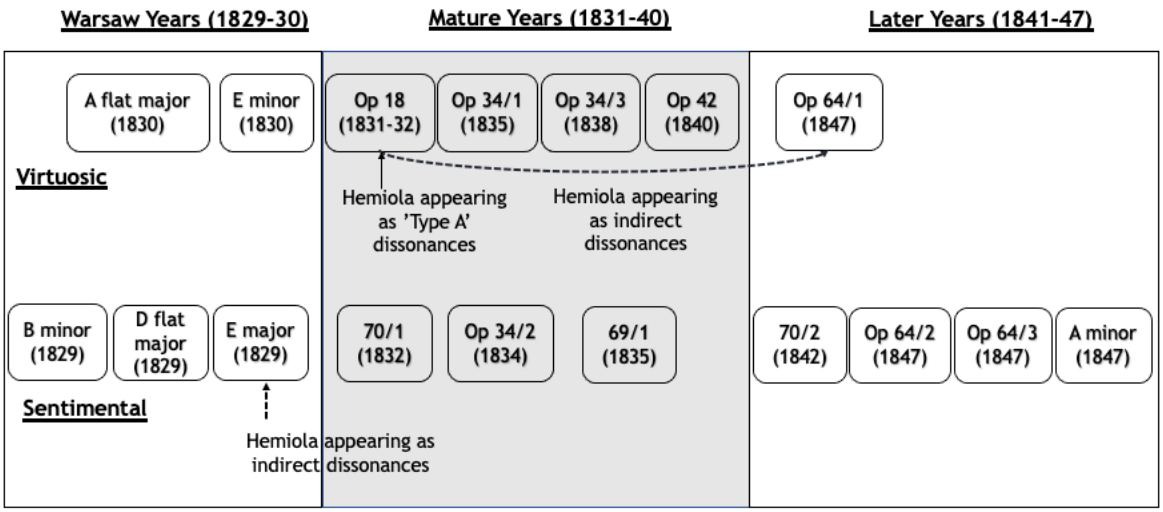

Figure 4-5 Hemiolas that appear in Chopin's waltzes

4.3 The conflict between harmony and metre

Another type of dissonance worth investigating is derived from harmony and metre. As Schachter explains, the tonic note is a pitch that functions as a centre of orientation with which all other pitches form relations, directly or otherwise.[196] Subsequently, the arrival of the first stable tonic affirms the piece's primary key. He further highlights that one of the distinguishable mazurka characteristics lies in how Chopin states an initial tonic in the second bar of a four-bar group, with the initial bar stating either a dominant chord or some other auxiliary harmony. This delay in the initial tonic sets up a conflict with the metrically strong first bar of these square phrase rhythms. Schachter describes this lack of correspondence between metrical accent and tonal structure as one of the sources of the 'remarkable rhythmic fluidity of these marzurkas'.[197]

In *Idiosyncrasies of Phrase Rhythms in Chopin's Mazurkas*, Schachter details how Chopin's non-tonic beginnings feature more frequently in his earlier works. While this feature occurs more times in mazurkas written in the 1830s (12) compared to the 1840s (5), the ratios are identical because in both periods, Chopin uses non-tonic beginnings 41% of the time (12/29 in the 1830s versus 5/12 written in the 1840s). Nonetheless, the percentage represents a significant number of mazurkas that carry this frequently used trait.

Schachter observes that while this feature occurs in Chopin's waltzes, it is too infrequent to be considered a stylistic feature.[198] Nonetheless, it is worth examining in detail how Chopin establishes the first tonic in his waltzes. Akin to Schachter's approach, in observing waltzes that open in non-tonic beginnings, I shall exclude waltzes whose initial tonics appear in the first bar after the annunciatory passages since they do not conflict with the four-bar phrase rhythm.[199] In addition, I shall also investigate if waltzes that open with non-tonic beginnings eventually resolve with a tonic located on a metrically strong bar.

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[196] Schachter, *Unfoldings*, 135.

[197] Schachter, 'Idiosyncrasies of Phrase Rhythm in Chopin's Mazurkas', 99.

[198] Schachter, 'Review of The Music of Chopin; The Music of Brahms', 191.

[199] Schachter, 'Idiosyncrasies of Phrase Rhythm in Chopin's Mazurkas', 99.

Chopin establishes a non-tonic beginning in two of his seven dances in the virtuosic group of waltzes. Both represent the shortest and longest waltzes that Chopin wrote. In the first waltz – the A-flat major piece, Chopin avoids harmonising the tonic in a metrically strong bar throughout the 48-bar dance. Most of the time, the dominant chord is formed in the metrically strong bars. This is the only waltz in which Chopin avoids establishing the stability of a tonic on the downbeat of a four-bar phrase, consistently generating conflict and tension throughout the work. As such, 'release' that comes as a resolution to the built-up tension is never achieved.

In the second waltz - Op. 18 - Chopin avoids forming the tonic chord on the metrically strong bar until the coda is reached, 239 bars later. Even as the waltz develops and modulates into foreign keys (e.g., D-flat major in section C and A-flat major in section D), Chopin maintains the same approach, always establishing the dominant chord in the metrically strong bars. In the opening passages of the coda, the repeated oompah-pahs establish the tonic in the initial four bars (bars 239 to 242, of which the 241st bar is the metrically strong one), underlining the return to the primary key of E-flat major. The tension generated through 238 bars finally resolves, coinciding with the opening of the last section of the waltz.

The E minor waltz also deserves some mention. Although Chopin establishes the tonic pedal throughout the introduction's eight bars, the opening section commences with the even-numbered bars being tonicised (bars 10, 14 and 16). This trend continues in section B, with the dominant chord coinciding with the metrically strong bars. It is only towards the conclusion of the coda in bar 145 (the third to last bar of the waltz) that Chopin presents the tonic for the first and only time in the metrically strong four-bar phase. Although this waltz establishes a tonic beginning in its introductory gestures, Chopin leaves the rest of the waltz in harmonic and metric conflict, only re-establishing tonal-metric stability at the end.

In the other four virtuosic dances, written after the three waltzes mentioned above, Chopin favours establishing the tonic from the onset, coinciding with the metrically strong bar at the beginning of each opening section. All four waltzes exhibit introductory passages of five to 17 bars, generally harmonised in the

dominant chord, leading to the anticipated tonic derived in the first bar of the opening sections.

Chopin's approach to his sentimental waltzes appears to be more straightforward in how he establishes tonic beginnings from the onset in eight of the ten waltzes. The exceptions lie in two waltzes. In the first waltz, Op. 70, No. 1, Chopin delays the tonic arriving on the metrically strong bar until the start of the Trio in bar 25. Chopin's treatment of the second waltz (Op. 69, No. 1) parallels that of the unpublished A-flat major virtuosic waltz. Here, Chopin delays the arrival of the tonic until the metrically weak eighth bar of this dance. He also avoids emphasising the tonic on any metrically strong bar.

Chopin's delay of the tonic statement until the eighth bar of Op. 69, No. 1 resembles two of his mazurkas, known for their unusually long delay of the tonic statement: Op. 17, No. 4 and Op. 56, No. 3. In the former, the tonic chord is avoided until the 21st bar, leading to ambiguity in the governing harmony. As such, several authors have differing interpretations of the mazurka's opening passages. For instance, Samson interprets the mazurka in the tonic of F major leading up to bar 21, while Schachter perceives the governing harmony to be implicitly A minor.[200] The ambiguity of the primary key in this dance contributes to the tension that extends over 20 bars and represents a variation in approach that Chopin uses to generate conflict between harmony and metre.

Exploring the rhythmic fluidity in Chopin's melodic arches

The study of the correspondence between tonal and metrical emphasis is one of several dissonant parities that one can explore in Chopin's waltzes. In addition, one can also compare how phenomenal accents featured in both the right and left hands create dissonance. To illustrate, I draw on the tail end of the melodic arches from three unpublished works - the E major and E minor waltzes and the D-flat major waltz. These melodic arches may appear deceptively similar (see Figure 4-6). All three arches begin on the metrically strong bar, feature rhythmically common ideas in the first three bars, and make up the last four

[200] Schachter, 'Review of The Music of Chopin; The Music of Brahms', 191.

passages of melodic arches. The fourth bar of each melody comprises a different rhythmic idea, plausibly to signal the end of the melodic phrases.

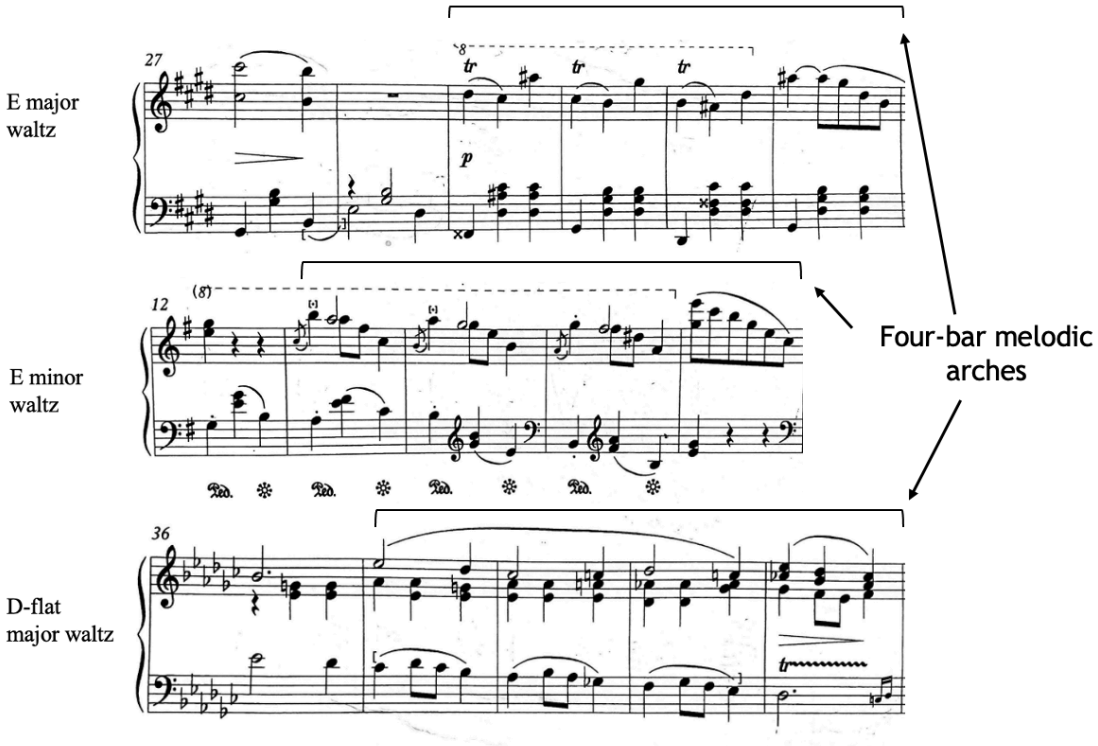

Figure 4-6 Comparing the melodic arches of the waltzes in E major, E minor and D-flat major

I first examine these four-bar passages' tonal and metrical correspondence (see Table 4-1). All three waltzes maintain stresses on the metrically odd-numbered based on the four-bar phrase grouping. On the other hand, the harmonic rhythm generates a tonal emphasis in the even-numbered bars of the E major and E minor waltzes. Here, the harmonic rhythm provides an alternate hearing experience from the metrically emphasised odd-numbered bars. The harmony in the D-flat major waltz is more sophisticated, usually with each bar harmonised in several different chords, with the tonic chord only established in the second bar of the four-bar phrase.

Waltz		Bar 1	Bar 2	Bar 3	Bar 4
E major	Metrical emphasis (RH)	Strong	Weak	Strong	Weak
	Tonal emphasis (LH)	Weak (V7b)	Strong (I)	Weak (V7)	Strong (I)
E minor	Metrical emphasis (RH)	Strong	Weak	Strong	Weak
	Tonal emphasis (LH)	Weak (II7b)	Strong (I)	Weak (V)	Strong (I)
D-flat major	Metrical emphasis (RH)	Strong	Weak	Strong	Weak
	Tonal emphasis (LH)	Weak (Ib, V7c)	Strong (I)	Weak (IVb, sharpened II7C)	Weak (IV/V7, iiib/V7 V7)

Table 4-1 Metrical and tonal emphasis juxtaposed with the accompaniments from Waltzes E major, E minor and D-flat major

Based on the above table, Chopin demonstrates a conflict between the metrical accent and tonal structure correspondences through varied examples found in all three waltzes. However, a different picture evolves when an alternative comparison is made between phenomenal accents derived between both hands of the same three waltzes (see Table 4-2).

Waltz		Bar 1	Bar 2	Bar 3	Bar 4
E major	Melody with ornamental accents (RH)	Emphasis on the downbeat			
	Oompah-pah pulse (LH)	Emphasis on the downbeat			
E minor	Melody with ornamental accents (RH)	Emphasis on the downbeat			
	Arpeggiated accompaniment (LH)	Emphasis on the *middle* beat			
D-flat major	Countermelody in soprano voice (RH) Dyads in alto voice (RH)	Emphasis on the downbeat			
	Melody (LH)	Emphasis on the downbeat			

Table 4-2 Metrical dissonance and consonances generated by phenomenal accents in both hands of waltzes E major, E minor and D-flat major

The ornamental accents derived from the E major and E minor waltzes emphasise the downbeat, but the stresses based on the accompanimental patterns of both waltzes differ. The E major waltz's oompah-pah presents a distinct strong-weak-weak pulse, contrasting with the E minor waltz's accompaniment derived from the registral accent on the middle beat that arpeggiates downwards.

In the D-flat major waltz, a totally unique experience is created for listeners when Chopin varies the oompah-pah, swinging it to the right hand. In so doing, listeners hear the accompaniment in two separate voices in the right-hand register. In the soprano register, Chopin creates a countermelody to the primary melody found in the bass clef, with dyads in the alto register. He also recalls the same rhythmic idea (crochet-two quaver-crochet motif) in the fourth bar alto register which he derives from the earlier three bars' rhythmic construction of the bass melody. Finally, as a form of culmination to the end of this phrase, Chopin inserts a one-bar trill that generates metric ambiguity. The oompah-pah is also temporarily absent in this bar.

The above two case studies highlight how Chopin, through his technically undemanding waltzes, conceals multiple dissonances that give each waltz its unique identity. Each case study provides unique insights into how Chopin generates subtle levels of tension in his unpublished waltzes. It is therefore plausible that Chopin approached these private collections of waltzes with a different plot line or narrative, distinct from the published ones.

As raised by Krebs, other forms of how dissonances involving rhythm, pitch and harmony are also worth investigating. He suggests the possibility of exploring the coexistence between metrical and pitch dissonances, which can be extended to Chopin's waltzes. In his words, by studying the various combinations of how metrical and pitch consonances and dissonances interrelate, 'one could trace a pitch/rhythm counterpoint through a work which would reflect varying amounts of tension and relaxation'. Here, Krebs refers to the maximum tension attained when dissonance appears in both domains of pitch and rhythm.[201]

4.4 Metrical disruptions and ambiguities

In the previous chapter on 'Vibrancy', I observed two occasions when Chopin produces rhythmic richness and dynamism in Op. 42. In these same examples, Chopin also succeeds in creating tension. At the beginning of the waltz, the eight-bar trill generates a startling passage of intensity with no recognisable waltz feature being established. In doing so, he avoids establishing the primary metre until the opening section, giving rise to metric ambiguity over the eight introductory bars that generate intrigue and mystery. Two hundred bars later, the continuously sustained oompah-pah is abruptly truncated later in the same waltz in another illustration of how Chopin establishes metrical disruption and ambiguity. Parakilas compares this waltz phenomenon to bars 176 to 192 of Chopin's B minor mazurka, Op. 33, No. 4. In this dance, Chopin breaks off the full texture, leaving just a left-hand melody that continues in a single voice in a melody previously written three octaves higher, in the distinct dotted rhythm mazurka characteristics. While the Op. 42 waltz's interruption is far shorter (three bars long) than its mazurka counterpart, Parakilas argues that this feature

[201] Krebs, 'Some Extensions of the Concepts of Metrical Consonance and Dissonance', 119.

presents ‘comparable music continuity between the interruption and what it interrupts’.[202]

Chopin employs the same approach in generating metric ambiguity in two other virtuosic waltzes, namely Op. 34, No. 3 and Op. 64, No. 1. In Op. 34, No. 3, a two-bar trill found just before the return of section A’s varied reprise generates rhythmic discord with the unbroken stream of oompah-pahs, continuing to the reprise of section A. On the other hand, the trills used in Op. 64, No. 1 draws similarities with those of Op. 42. The multiple bars of trills generate intrigue and suspense in anticipation of a new section. These three waltzes, written in succession, represent Chopin’s compositions during the second half of the mature years and the later years.

Schachter defines ‘free rhythm’ as a rhythmic gesture operating ‘free from any large periodicities’ constraints. Based on Schachter’s description, Chopin’s trills that continuously span several bars could also be interpreted as ‘free rhythm’. An example of free rhythm that Schacter gives is found in Schubert’s *Wanderers Nachtlied*, Op. 96. No. 3. A poem by Goethe, it comprises only 14 bars. Yet, according to Schachter, ‘Schubert does not permit even a 4/4 measure to punctuate the flow of the music with any consistency’.[203] If Chopin was alluding to the same approach as his counterpart, he did it in a much smaller dimension, using trills spanning eight bars long. In *Attending to Free Rhythm*, Mitchell Ohriner provides insight in arguing that even in musical passages of free rhythm (or ‘flowing rhythm’ as he calls it), entrainment can still occur, though not in the same way as metred music. Ohriner argues that this is plausible despite the conventional opinion that periodicity, the basic feature of entrainment, is said to be lacking or occurring only intermittently in music with free rhythm.[204] Ohriner’s hypothesis raises alternative possibilities in interpreting Chopin’s use of extended trills at some level of periodicity, while at the same time being reflected as a possible extension of free rhythm.

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[202] Parakilas, ‘Disrupting the Genre’, 169.

[203] Schachter, *Unfoldings*, 89.

[204] Mitchell Ohriner, ‘Attending to Free Rhythm’, *Indiana Theory Review* 32, no. 1–2 (2016): 2, https://doi.org/10.2979/inditheorevi.32.2.01.

4.4.1 Fermatas

Besides trills, Chopin also employs fermatas and rests to establish musical tension in his waltzes. Before I elaborate on them, it is noteworthy first to distinguish several ways of interpreting fermatas. Santa observes that fermatas prevent any sense of a regular pulse from emerging. As such, all levels of metric flows are interrupted. This argument for a suspension of metric flow intensifies when repeated fermatas are used, as reflected in the opening five bars of Beethoven's String Quartet, Op. 127, I. The succession of the three fermatas in every odd bar literally prevents the 2/4 primary metre from being heard.[205]

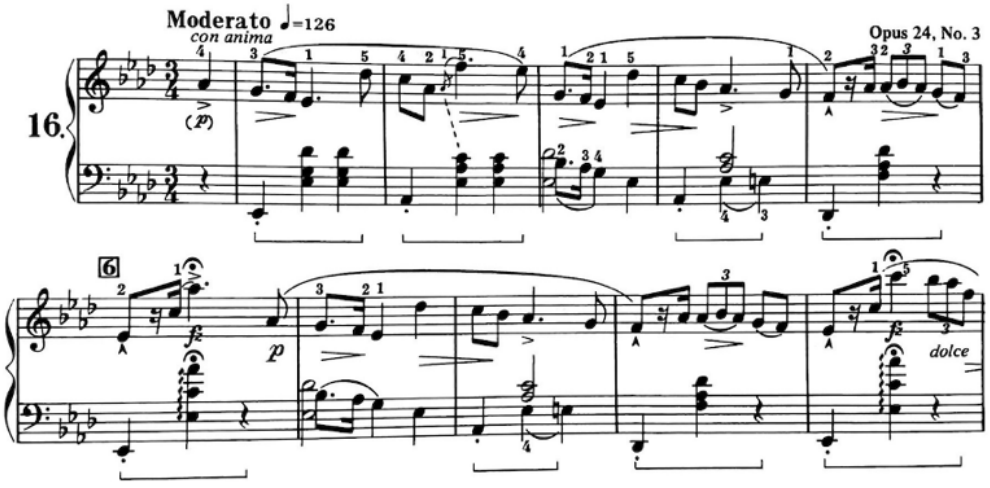
Schachter further argues that fermatas also emphasise various sentiments when used in emotionally charged works. He gives the example of Chopin's E minor Prelude, Op. 28, No. 4, whose 'overpowering pathos inheres in how it reveals its tonal field' through a descending bass that reaches its lowest register only at the end of the work. In bar 23, two bars before the end of the prelude, a fermata is sandwiched between an ambiguous harmony and the final cadence, which Schachter describes as 'a fitting symbol of the unknowable', plausibly enhancing the effect of grief.[206]

Schachter further examines how the effects of fermatas also reconceptualise the typical four-bar phrase rhythm in another of Chopin's works - the A-flat major Mazurka, Op. 24, No. 3 (see Example 4-6). In this dance, Chopin inserts a fermata in bar six of the opening section. In additional, he repeats bars three to six almost literally in bars seven to ten, thus dividing the 12-bar phrase into two equal groups of six bars, as such, reconfiguring the phrasing in the beginning of this mazurka. [207]

[205] Santa, *Hearing Rhythm and Meter*, 3.

[206] Schachter, *Unfoldings*, 165.

[207] Schachter, 'Idiosyncrasies of Phrase Rhythm in Chopin's Mazurkas', 103.



Example 4-6 Chopin's use of fermata in Mazurka, Op. 24, No. 3, bars 1 to 10. Palmer, *Chopin Mazurkas for the Piano*, 46.

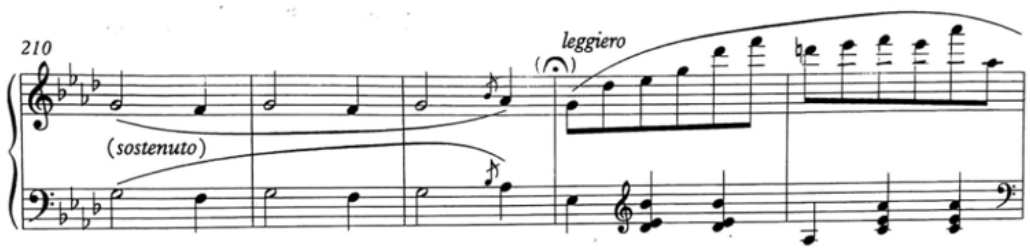
In Chopin's waltzes, he uses fermatas only twice. The first is found in the unpublished Op. 69, No. 1 in bar 56, near the middle of the waltz, located in the heart of the Trio section. From bar 49, the bassline consists of ascending double stops (liken to the technique of playing two notes simultaneously in string instruments) that culminate in bar 56 in an imperfect cadence (I-V7b), coinciding with where Chopin inserts a fermata. The expressive elements of the waltz are indicated by the performing directions *cresc. ed appassionato* (bar 51) and the dynamic indication for *fortissimo* (bar 56). Here, the fermata suspends the climax momentarily - in an approach very similar to that of Chopin's E minor Prelude, Op. 28, No. 4 - before the opening eight bars of the Trio are repeated.

Chopin utilises the fermata differently in Op. 42. This time the fermata is not positioned directly to a note (see Example 4-7).[208] Instead, Chopin locates it in bar 212, in between the reprises of the A and B sections, indicating a sectional pause leading to the start of a new section. It is further illustrated in round parenthesis, signifying that it is part of 'designate additions or variants from other authorised sources'.[209] Chopin plausibly inserts the fermata immediately after the metrically disruptive bare octaves of bars 210 to 212 to heighten the

[208] Willard A. Palmer, *Chopin Mazurkas for the Piano*, Alfred Masterwork Edition (United States: Alfred Publishing Co., Inc., n.d.), 46.

[209] Grabowski, *Waltzes*, 123.

tension at this point of the waltz, bringing closure to the section through a momentary pause before the next section starts.



Example 4-7 A pause dividing the reprises of Sections A and B, Op. 42

4.4.2 Rests

According to Santa, rhythm comprises not just note durations but also rests.[210] At times, both rests and note durations form evenly spaced pulses establishing a metre. In addition, London explains how the location of a rest on a downbeat creates short term metric ambiguity between the established metre and rhythmic figures like rests. He calls these 'loud rests', created when the established primary metre with melody and harmony generates a metric surprise. In Figure 4-7, London illustrates how the 'accented' rest in bar eight heightens the absence of the tonic G.[211]

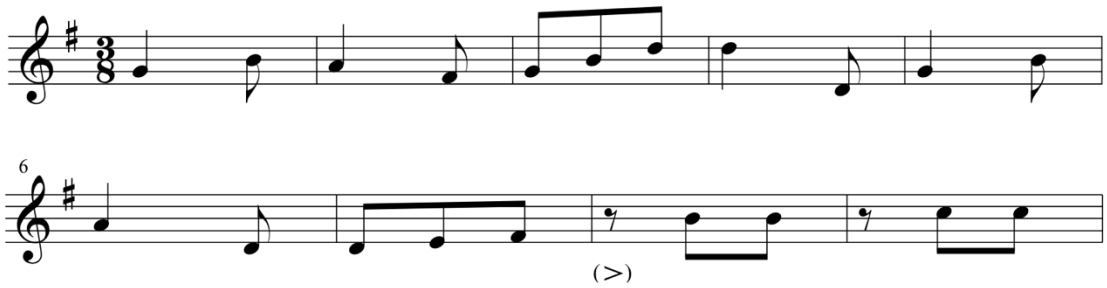


Figure 4-7 Example of a 'loud rest' positioned as a downbeat. London, *Hearing in Time,* 87.

To generate tension, Chopin utilises rests in two of his waltzes: Op. 18 and Op. 34, No. 1. In the earlier section on 'Vibrancy', I raised how Chopin develops a concluding expansion in bars 229 to 238 (see Example 3-2). Within this enlarged

[210] Santa, *Hearing Rhythm and Meter*, 4.

[211] Justin London, *Hearing in Time: Psychological Aspects of Musical Meter* (Oxford; New York: Oxford University Press, 2004), 87.

phrase, Chopin inserts two full-bar rests in bars 233 and 238, disrupting the metric momentum generated by the oompah-pahs, well established through Op. 18's earlier passages. These bars of silence within the concluding expansion aid in further creating tension leading to the coda, following which this tension is immediately resolved in the opening bars of the coda. Here, in bars 239 to 242, Chopin inserts four bars of the familiar oompah-pahs, before recalling rhythmic and acciaccatura motifs from sections A, B and F, recollecting familiar materials as a build-up to the finale of the piece.

In Op. 34, No. 3, Chopin also utilises this approach, creating two consecutive bar rests towards the end of the coda. From the beginning of the coda, the key alternates between B-flat major and F major (the primary key), before the harmony develops ambiguously, leading toward these two bar rests, which is quite plausibly why McKee describes these passages as a crisis point. After this capricious phenomenon, Chopin resolves the tension on the metrically strong 160th bar.

Figure 4-8 illustrates Chopin's use of trills extending across multiple bars, fermatas and full-bar rests that creates metrical disruptions and ambiguities. These features are all found in Chopin's virtuosic waltzes, except Op. 69, No. 1, the only sentimental waltz in which Chopin inserts a fermata to indicate a pause.

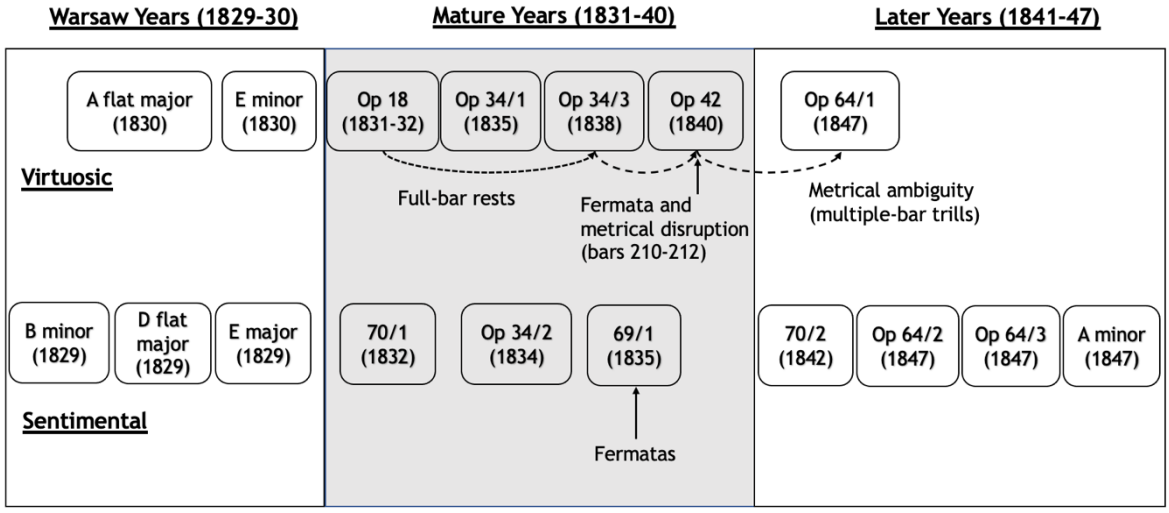


Figure 4-8 Metrical disruptions and ambiguities in Chopin's waltzes

4.5 Overcoming the 'tyranny of the four-measure phrase'

According to Cone, Romantic composers often have over-relied on using the four-bar phrase, which led to him describing this phenomenon as the 'tyranny of the four-measure phrase'. Rothstein further identifies this commonly used phrase pattern as the 'Great Nineteenth-Century Rhythm Problem', describing the approach used as 'predictable' and 'unvarying', often leading to a domineering feature of the four-measure phrase and the eight and sixteen bar phrases.[212] According to Cone, several composers have taken different approaches to counter this monotonous form of phrasing. For instance, Mendelssohn employs elisions, harmonic overlaps, and extensions. On the other hand, Schumann writes long sections of music passages using a systematic approach of 'strong syncopations and cross-rhythms that have consequently become a hallmark of his style'.[213]

Janet Schmalfeldt, in *The Oxford Handbook of Critical Concepts in Music Theory*, elaborates how Schumann undercuts 'foursquareness' in striking ways to camouflage duple hypermetrical patterns. A case in point is found in Schumann's *Kreisleriana,* Op. 16's first movement, where there is a lack of a discernible division between antecedent and consequent. Further, the bass lags the right-hand melody by a semiquaver, not offering any notated downbeats to coordinate with the right hand (see Figure 4-9).[214]

[212] Rothstein, *Phrase Rhythm in Tonal Music*, 184, 185.

[213] Cone, *Musical Form and Musical Performance*, 79.

[214] Alexander Rehding and Steven Rings, eds., *The Oxford Handbook of Critical Concepts in Music Theory* (New York, NY: Oxford University Press, 2019), 325.

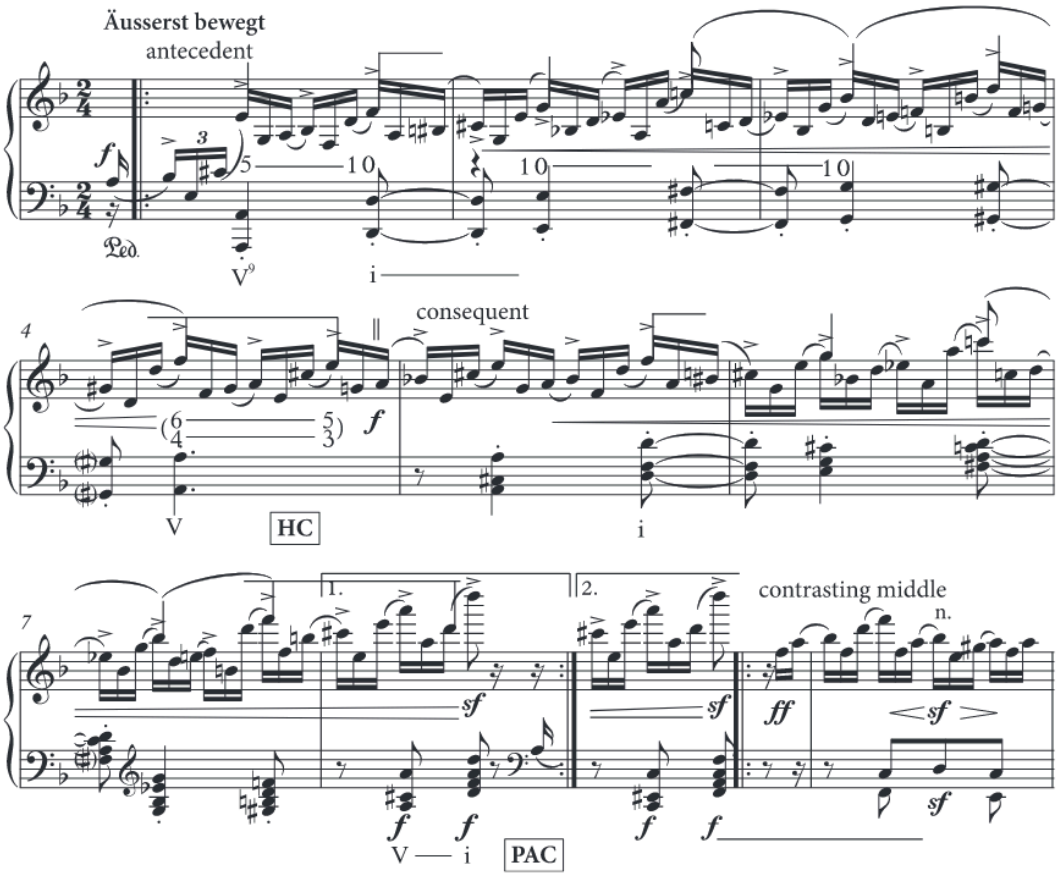


Figure 4-9 Ambiguous divisions in Schumann's antecedent and consequent, Kreisleriana, Op. 6's first movement, bars 1 to 8. Schmalfeldt, *Oxford Handbook,* 325.[215]

4.5.1 Phrase asymmetry and phrase overlaps

According to Cone, Chopin was a composer who 'absorbed, digested, assimilated, and nourished himself on the four-measure concept'.[216] However, other authors like Goldberg and Samson have pointed out that Chopin does not necessarily always adhere to the conventional framework. For instance, Goldberg observes Chopin's use of phrase asymmetries in his mature compositions. She further argues that contrary to 'present-day theorists' who hypothesise that Chopin was 'deficient in theoretical concepts and compositional models known to Western composers', Chopin was influenced by his teacher, Elsner in the principles of phrase structure.

Samson also illuminates how Chopin uses this approach in his other genres. In the Nocturne, Op. 27, No. 2, for example, he observes that the 'A' of bar five

[215] Rehding and Rings, *The Oxford Handbook of Critical Concepts in Music Theory*, 325.

[216] Cone, *Musical Form and Musical Performance*, 79, 80.

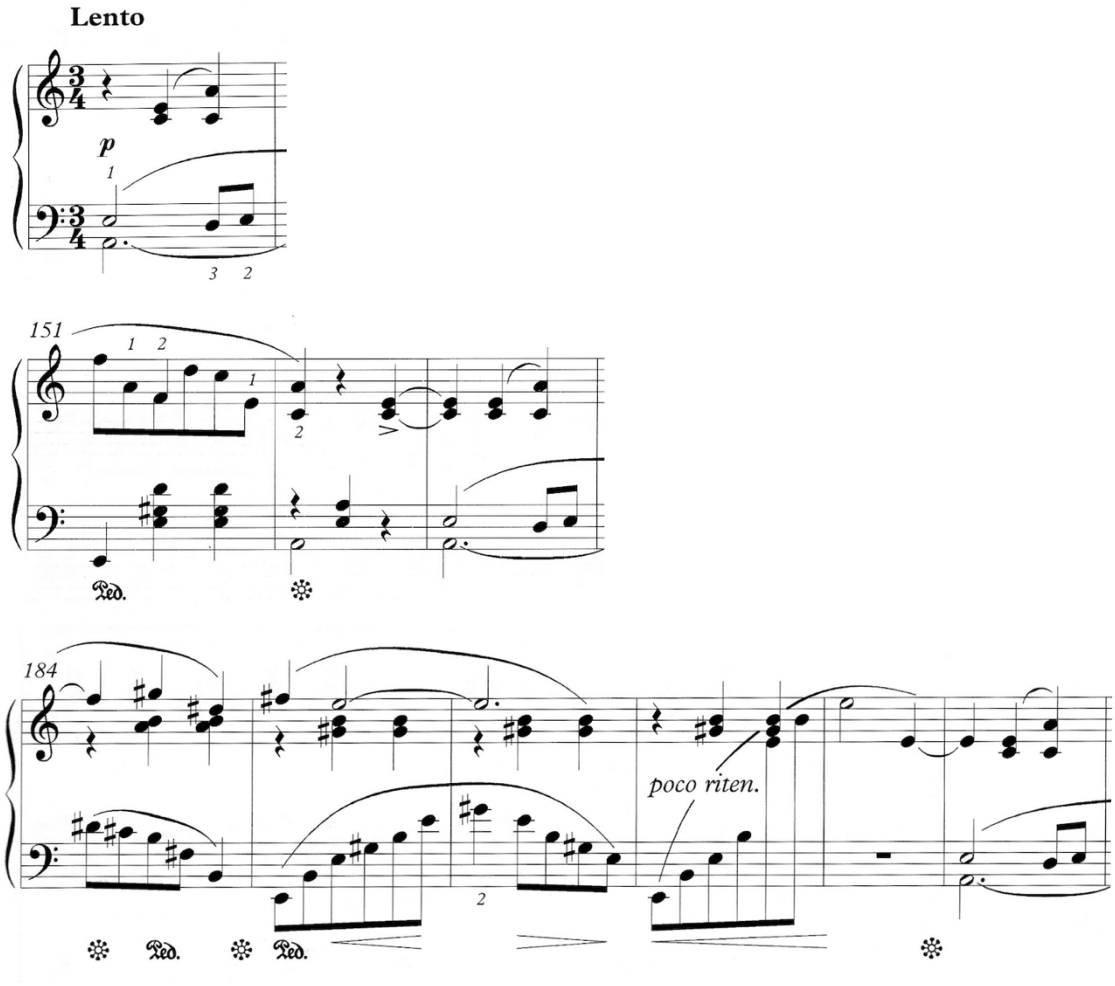
prolongs the first phrase into four and a half bars, and the 'G' in bar 9 temporarily reaches the A-flat tonic before reaching the prolonged F.[217] This illustrates how Chopin inserts shorter unequal phrases within the eight-bar phrase that remains the constructed norm. In *Phrase Rhythms in Chopin's Nocturnes and Mazurkas*, Rothstein notes that particularly after 1840, Chopin uses phrase overlaps and lead-ins even more lavishly to generate endless melodies in his nocturnes and mazurkas.[218]

In his waltzes, Chopin began using phrase overlaps in the Warsaw years, as reflected in the B minor waltz. McKee offers several possibilities of how the phrase overlaps in its opening bars could be interpreted by suggesting different interpretations of where both antecedents and consequents start and end. Similarly, in another sombre waltz, Samson describes the 'powerfully expressive' phrasing in Op. 34, No. 2 when the right-hand's off-beat entry changes from accompaniment to melody.[219] Here, it is plausible that Samson refers to bar 188 at the start of section A's reprise. Example 4-8 illustrates how Chopin subtly varies his phrase divisions through his slurring, giving rise each time to several possibilities of how Section A's reprises commence.

[217] Samson, *Chopin*, 1996, 170.

[218] William Rothstein, 'Phrase Rhythm in Chopin's Nocturnes and Mazurkas', in *Chopin*, by John Rink, 1st ed. (London: Routledge, 2020), 129, https://doi.org/10.4324/9781003075059-33.

[219] Samson, *Music of Chopin*, 125.



Example 4-8 Phrase ambiguity in the opening of Op. 34, No. 2's section A and its reprises

In two other melancholic waltzes, Chopin underscores his preference for establishing a seamless flow of melodic and rhythmic line, this time using suspensions on the offbeats at the end of one section to join to the subsequent section. Again, this approach gives rise to phrase ambiguities. In Op. 64, No. 2, Chopin does this distinctively, as indicated by his slur markings at the end of each section. For example, he joins the offbeat crochet at the end of section A to the start of section B's moto perpetuo quaver passages. In another example, Chopin ends section C on the downbeat quaver of section B's reprise, generating phrase overlaps between sections. He uses the same approach in the binary formatted Op. 70, No. 2. In these melancholic waltzes, it is plausible that Chopin engages phrase overlaps, suspensions and other techniques to extend and prolong the sombre mood of the melody through the seamless connecting of phrases and sections.

To establish a seamless sense of rhythmic continuity, Rothstein also points out that after 1840, Chopin favoured using counterpoint and avoided using both half and full cadences in his nocturnes and mazurkas. For instance, he explains how Chopin employs rhythmic counterpoint in Mazurka, Op. 59, No. 1 in A minor (1845), creating a phrase overlap by contrapuntal means (see Figure 4-10). At the end of bar 42, a cadential motif is established with the tonic 'A' in the alto voice. Yet a new voice is added just before the cadence in the soprano register, 'obscuring the end of the first phrase and beginning a new one'.[220] Although Chopin also employs rhythmic counterpoint in some of his waltzes as discussed earlier in Section 3.6 on 'Counterpoint', he does this in more straightforward terms, without phrase overlaps.

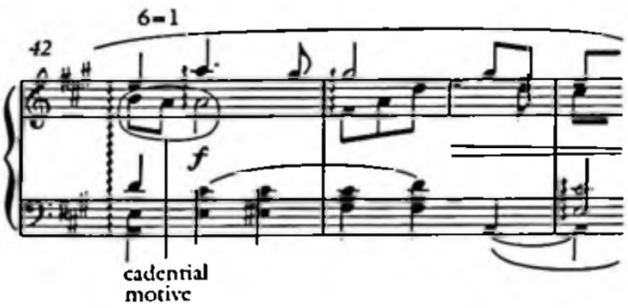


Figure 4-10 Phrase ambiguity in Chopin's mazurka Op. 59, No. 1, bar 42. Rothstein, *Phrase rhythm in Chopin's nocturnes and mazurkas*, 129.

In his later waltzes, Chopin does not avoid half and full cadences in the same manner that he does in his nocturnes and mazurkas. Instead, he creates phrase overlaps by harmonically modulating his melody, as reflected in Op. 64, No. 3. The first 16 bars of this waltz are divided into a pair of phrases eight bars long based on the rhythmic structure. The antecedent starts in A flat major and ends on an imperfect cadence in its relative minor (F minor) (see Example 3-4). The consequent continues in this new key, but in the middle of the consequent, it modulates again to E-flat major before returning to a perfect cadence in the primary key on the downbeat of bar 17, plausibly creating an elision with the following phrase. The common key of F minor, which the antecedent shares with

[220] Jim Samson, ed., 'Phrase Rhythm in Chopin's Nocturnes and Mazurkas', in *Chopin Studies* (Cambridge, UK: Cambridge University Press, 1988), 129, http://search.ebscohost.com/login.aspx?direct=true&db=ram&AN=A124103&site=ehost-live.

the initial bars of the consequent, unifies these passages, generating an overlap between both phrases.

4.5.2 Slurring against phrase structures

In a study of Chopin's nocturnes and mazurkas from 1830 to 1846, Rothstein observes how Chopin slurs against the phrase structure of his music frequently, even suggesting that Chopin did this more than any other composer. Rothstein similarly accounts for a phenomenon called 'endless melody' in which 'melody flows unbroken throughout a long section of music or even through an entire piece'. According to Rothstein, Chopin's endless melody is his 'ultimate response to the Rhythm Problem'. This term also describes a similar phenomenon in Wagner's music: how unbroken streams of melody are written that transcend phrase boundaries. Among Chopin's larger works containing endless melodies are the Polonaise-fantasy, Op. 61 and the middle section of the B minor sonata, Op. 58's Largo movement.[221] In his miniature works, Chopin's late nocturnes and mazurkas exhibit these features more than his more conservative waltzes.[222]

In *Phrase Rhythm in Tonal Music*, Rothstein cautions against assuming that a single long slur covering an entire section constitutes an example of an endless melody. To take one example from Chopin's Nocturne in F-sharp minor, Op. 48, No. 2, he defines bars three to five of the Nocturne in F-sharp minor, Op. 48, No. 2 as an example of an endless melody. Yet in another of Chopin's Nocturne – Op. 37, No. 1 in G minor - he does not constitute the single, long slur that unites the entire middle section as a single uninterrupted melody. The paradox that Rothstein observes reflects how the forces of unity interleave with sources of tension. On the one hand, the long stream of melody is an attempt to overcome segmentation. On the other hand, the melody comprises repeated melodic segments giving rise to tension. In Rothstein's words, 'the segments are *always* ending, but the larger thrust of the melody never allows them to end peacefully'.[223]

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[221] Rothstein, *Phrase Rhythm in Tonal Music*, 233.

[222] Rothstein, 'Phrase Rhythm in Chopin's Nocturnes and Mazurkas', 124, 128.

[223] Rothstein, *Phrase Rhythm in Tonal Music*, 239.

An examination of Chopin's 17 waltzes reveals how he employs long slurs that break the four-bar phrase pattern, as such resulting in a continuous flow of melodies. This phenomenon is exclusively found in all of Chopin's eight published works: five from the virtuosic group and the remaining three from the sentimental waltzes.

Chopin locates these long slurs – particularly those that extend more than four bars – in various sections found in the virtuosic waltzes. This perception of an alternative phrase organisation often conflicts with the four-bar phrase stability. In Op. 18 and Op. 34, No. 1, two waltzes that Chopin wrote earlier in his life, he establishes long phrases towards the end of each work in their respective codas. In particular, the coda of Op. 34, No. 1 deserves some mention. Here, the concluding material commences with three long slurs unconventionally written, with none starting on the downbeats and ending on the last beat of the respective bars. Nonetheless, the first and third phrases bear harmonic importance. The first phrase ends on the downbeat of bar 253, establishing the tonic key for the first time in this section. The third phrase extends for 16 bars before ending with the dominant chord on the downbeat of the 17th bar. From here, Chopin enforces the V-I harmonic pattern that alternates in every bar before the tonic in its various inversions harmonically defines the remaining passages of the waltz.

In Chopin's later virtuosic waltzes, he uses slurs to join different sections. For instance, he unifies the introductory passages to the opening passages of Op. 34, No. 3 and Op. 64, No. 1. In the former waltz, the slur stretches from bars nine to twenty, joining the final eight bars of the introduction to the opening four bars of section A. In the latter waltz, Chopin slurs the opening four-bar annunciatory gesture together with the first six bars of the opening section.

In Op. 42, for the first time, Chopin phrases an entire section in one uninterrupted slur that stretches across 32 bars. It foreshadows Chopin's intentions for the rest of his waltz, in which he continues to feature long slurs extending for multiple bars. Based on Rothstein's arguments, while it may suggest Chopin's intentions to unite the section under one long slur, it remains unclear if he also intended this to be perceived as an endless melody.

In Chopin's published sentimental waltzes, he continues to religiously slur his melodies without any signs of using a consistent pattern. In Op. 34, No. 2, Chopin divides the 12-bar phrase expansion into two slurs. The second slur embraces the last eight bars, further highlighting the two groups of four-bar inverted dominant pedals. On the other hand, Chopin divides Op. 64, No. 3's 23-bar coda into four unequal phrases ranging from two to ten bars.

Figure 4-11 illustrates all of Chopin's published waltzes in which he uses long slurs, avoiding this approach to slurring in his non-published waltzes. Chopin uses longer slurs in his virtuosic waltzes, mainly to join introductions to the opening sections and his codas. On the other hand, he takes on a less defined approach in his sentimental waltzes, employing these slurs in various sections. As Rothstein observes, Chopin's slurs are an 'analytical minefield', and this alternative form of phrasing 'is an attempt, within a basically regular phrase structure, to melt away the seams in that very structure'.[224]

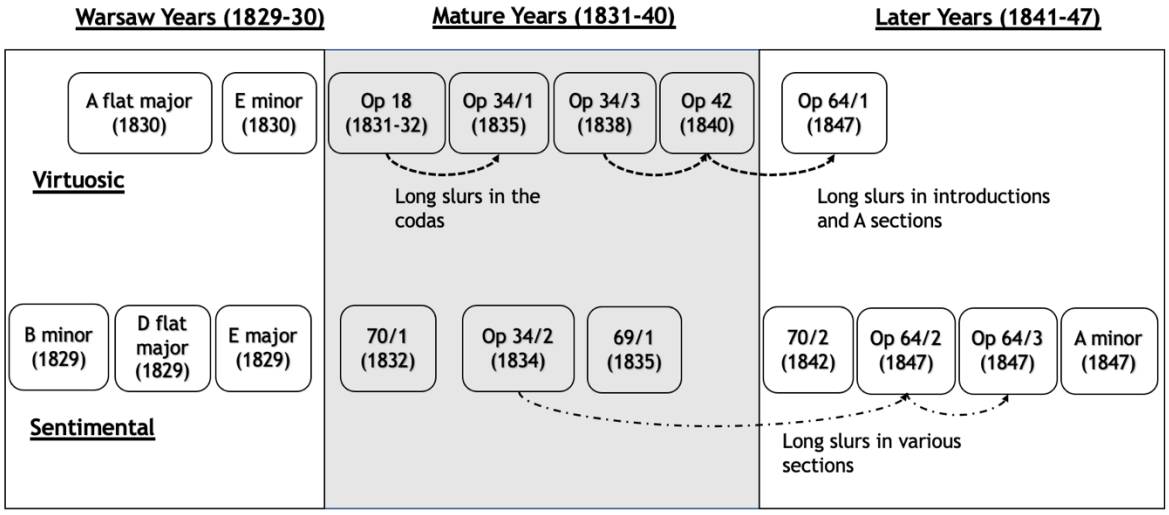

Figure 4-11 Long slurs established in Chopin's waltzes

4.5.3 Phrase enlargements

In the earlier chapter, I raised various approaches that Chopin employs to generate phrase enlargements (see section 3.2). He does this by inserting concluding expansions near the coda of his virtuosic works and using phrase expansions and extensions in his sentimental waltzes. This effect generates

[224] Rothstein, *Phrase Rhythm in Tonal Music*, 220.

rhythmic vibrancy and builds tension when the four-bar phrasing is undermined, particularly when Chopin develops asymmetrical phrase groupings, as found in Op. 42 and Op. 64, No. 3. In other words, Chopin's service of phrase enlargements exhibits both principles of vibrancy and tension. The tension generated dissipates when he returns to the four-bar phrasing, resolving into the familiar quadratic phrasing.

4.6 Multiple points of tension

In *Structural Functions in Music*, Wallace Berry rejects formal patterns in music, identifying music as a continuously flowing state and perceiving motion as the primary force in music. He further defines music structure based on 'its functional and expressive consequences within an "intensity curve" delineated by groupings and controlled associations of events underlying nearly all composed music'. Berry gives an example from the first movement from Brahms, Symphony No. 1 in C minor, Op. 68, detailing the first 37 bars. In these passages, he illustrates paths of growth and decline within an all-encompassing intensity curve, observing how the movement commences with a higher intensity of sonority and textural activity in the opening bars. In addition, a renewed intensity also builds up, leading towards bar 25. Concurrently in the background, Berry broadly observes the I-V progression leading to the Allegro (next movement), in which the entire introductory gesture serves as an anticipatory function.[225]

Samson concurs with Berry that one certainly experiences music as a 'flowing state shaping time through tension and release, growth and decline, intensifying and resolving impulses'. He further observes how material which may be unstable (or dissonant) in the foreground at the phrase level could be stable (or consonant) in the background at the sectional or larger formal level. Particularly in Chopin's miniature works, Samson argues that these works' simple binary and ternary designs act as 'necessary foils' for the appearance of intensity curves.[226]

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[225] Wallace Berry, *Structural Functions in Music* (New York: Dover Publications Inc., 1987), 267, 274.

[226] Samson, *Music of Chopin*, 75, 76.

In investigating the various tension points in Chopin's waltzes, it is noteworthy to compare how he exhibits multiple intensities (some more significant than others) in his virtuosic and sentimental waltzes. The locations of these tension points that heighten one's awareness are significant for two reasons. Firstly, they demonstrate how early and frequent these points appear. Secondly, these earlier tension locations may illuminate how they foreshadow the culmination of the closing material, where tension is usually at its highest. At times, Chopin shifts this point of maximum tension earlier in a piece, thus allowing a longer period of resolution.

I summarise the following sources of tensions illustrated Figure 4-12, derived from my earlier findings: phrase enlargements, crisis points, and various forms of metrical dissonances and disruptions. The tension that is generated before tonal stability is reached on the metrically strong bar is also provided.

Waltz	Introduction	Opening section(s)	Middle section(s)	Reprise section(s)	Coda
1. A-flat major	NA	→	→	→	NA
2. E minor	-	-	-	- Concluding expansion - Crisis point	Metrical dissonance
3. Op. 18	Hemiola	-	- Metrical dissonance in sections C and E - Hemiolas in section D	- Hemiola in introduction's reprise - Concluding expansion - Metrical disruption (2-bar rests)	--→
4. Op. 34, No. 1	- --→	-	-	- Concluding expansion - Crisis point	-
5. Op. 34, No. 3	Metrical reinterpretation --→	Metrical reinterpretation	-	Metrical reinterpretation	- Metrical disruption (2-bar rests) - Crisis point
6. Op. 42	Metrical disruption (4-bar trill) --→	Metrical dissonance	- Phrase asymmetry (section E, b210-2) - Crisis point	Metrical dissonance	Metrical dissonance
7. Op. 64, No. 1	Metrical disruption (4-bar trill) Hemiola --→	Metrical dissonance		- Metrical disruption and dissonance - Hemiola in introduction's reprise	NA

→ Tension persists throughout the waltz; tonic does not assert on metrically strong bar

--→ Tension generated until tonic asserts on metrically strong bar

Figure 4-12 Sources of tension in Chopin's virtuosic waltzes

As illustrated in this figure, Chopin's first virtuosic waltz written - the A-flat major waltz - is the only dance whereby tension is never resolved; the tonic avoids the metrically strong bar throughout the dance. The waltz in E-minor exhibits Chopin's contrary approach; he avoids any tension between the metre and tonal stability by establishing a tonic pedal from the onset in each of the

introduction's eight bars. In Op. 18 – Chopin's longest waltz – he avoids tonic stability on the metrically strong bar for 238 bars until the beginning of the coda in bar 239, thus building up the greatest amount of tension among all his waltzes. In the next four virtuosic waltzes, Chopin embarks on a consistent approach, always achieving tonic stability on the first metrically strong bar of the initial section of each waltz.

Chopin focuses on a goal-directed source of tension in the earlier waltzes found in the E minor and Op. 18 waltzes. In his later waltzes, he introduces metrical disruptions and metrical reinterpretations that build rhythmic intensity and intrigue right from the beginning. Especially in Op. 42, he creates different agents of intensifications across all the sections. Here, the location of crisis points is found close to the centre of the waltz rather than near the end material. In his later waltzes, this observation demonstrates how Chopin explores widening his scope of tension to include the middle and earlier sections of the dance.

In Chopin's sentimental waltzes, he uses different sources of tension to a lesser extent (see Figure 4-13). Of the ten sentimental waltzes, only five waltzes feature points of tension primarily located in the middle of the waltzes. Op. 34, No. 2 waltz deserves some mention as Chopin establishes the coda as the penultimate section of this piece. As such, the coda does not play a traditional role where tension climaxes at the end of the waltz. As I had earlier argued, the coda's material serves more as a bridge towards the final reprise of the first section of this waltz, as opposed to a typical coda that generates a global climax. In this way, Chopin consistently avoids mounting any form of tension at the conclusions of his sentimental waltzes. It carries a distinct hallmark of how Chopin establishes tensions in the middle sections of these waltzes, which are mostly ternary formatted. This approach generates 'cyclical' tension climaxing in the middle of the piece, as opposed to the 'linear' generated tension derived among the virtuosic waltzes with the conclusion as the point of culmination.

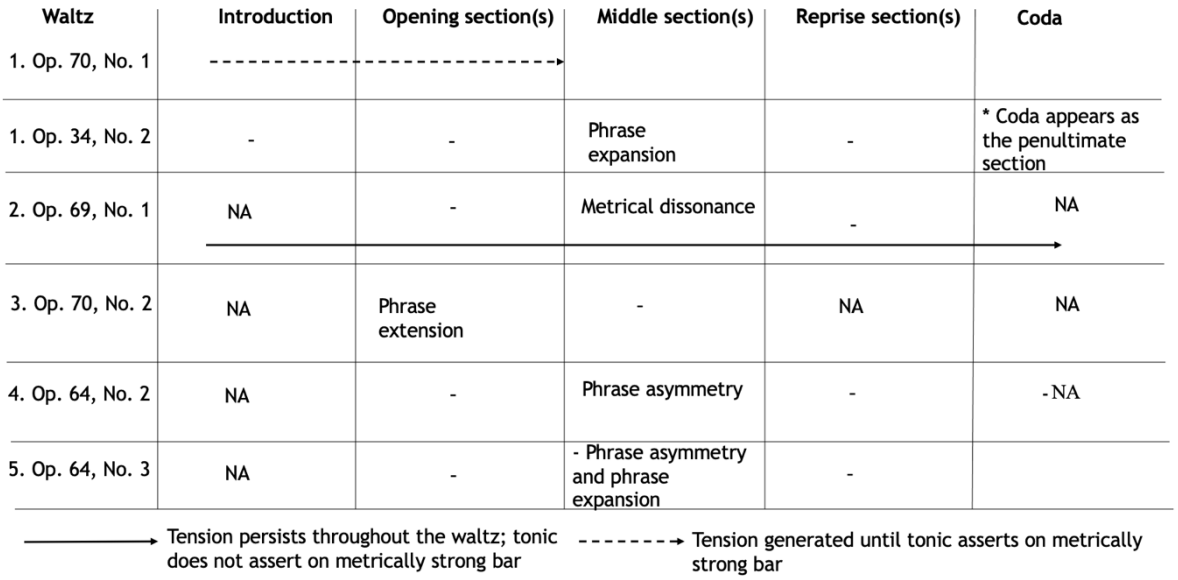

Figure 4-13 Sources of tension in Chopin's sentimental waltzes

4.7 Key takeaways

The study of tension and release in Chopin's waltzes provides an opportunity to compare my findings with those derived from the earlier chapters, namely 'Unity and Contrast' and 'Vibrancy'. Chopin's use of various techniques and musical ideas often demonstrates the interweaving of two or more principles. For example, in his use of metrical dissonances that reappear either as sectional reprises or a repeat of musical ideas, he uses this form of a tension-generating device also as a unifying tool in key published waltzes found in the mature and later years (i.e., Op. 18, Op. 42, Op. 64, No.1 and Op. 69, No. 1). In addition, Chopin's approach to generating phrase enlargements is used to demonstrate both vibrancy and tension in his waltzes, often leading to a resolution at the end of the piece. In one of the last waltzes that he wrote - Op. 64, No. 3 - Chopin reinforces his motif derived from the first four bars, modulating it repeatedly throughout the piece. This approach creates a unifying theme throughout the dance by using contrasting keys including those that are unrelated to the primary key. In Op. 42, Chopin uses musical ideas that represent three different principles. In this waltz, section A's metrical dissonance which generates tension and showcases rhythmic vibrancy reappears at the end of the waltz in the reprise of this section, unifying the material established earlier.

These illustrations demonstrate that the five principles encompassing the rhythmic and metric ideas that Chopin uses do not operate in silos. A musical idea often represents multiple principles, forming a web of interrelated patterns and trends in his waltz oeuvre.

The importance of the Warsaw waltzes continues to be reflected in how many of Chopin's early compositional ideas were written during this time. Metrical dissonances and the use of long slurs first appear in the E minor waltz while hemiolas were first employed in the E major waltz and continued to be recalled in the mature years. Chopin began to create metrical disruptions and ambiguity only in the mature and later years but established and recalled many forms of phrase enlargements throughout his compositional life, from the Warsaw years to the later years.

Chopin establishes unique types of tension in his waltzes, never recalling ideas without varying them.

Chapter 5 Conclusion

5.1 Reflections: An autobiographical perspective

Before embarking on this research journey, I was familiar with many of Chopin's well-known miniature works including the nocturne Op. 9 No. 1 in B-flat minor and the mazurka Op. 17, No. 4 in A minor. Amongst his waltzes, I also found Chopin's favourite piece – Op. 34, No. 2 – deeply affecting with its slow and majestic tempo. However, I was intrigued to discover whether his other waltzes contained the same poise and provoked a similar reaction. Amongst his faster virtuosic dances, I wondered what differentiated them from his more melancholic pieces. Above, all, I was curious if there were trends and parallels that could be drawn within his waltz oeuvre.

Although I had initially grouped Chopin's waltzes into the virtuosic and sentimental groups, in hindsight, I realised that this was by no means the only way of classifying the dances. Figure 5-1 summarises the significant trends and patterns found from the waltzes' interconnectivity, published or otherwise, representing all three phases of his compositional life.

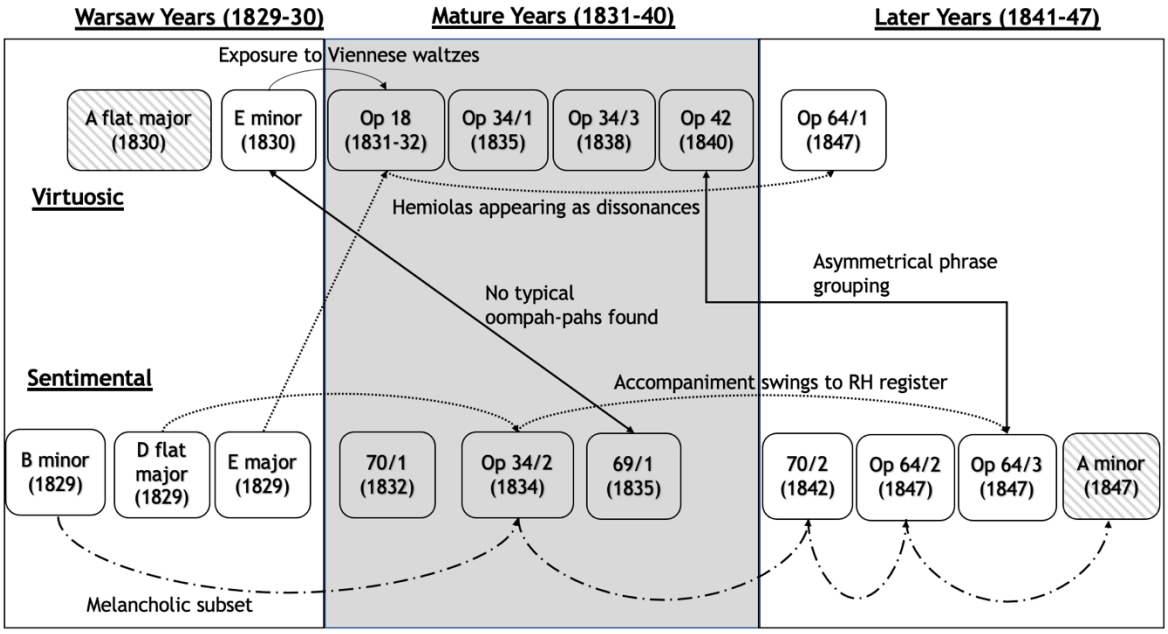

Figure 5-1 Significant trends and patterns in Chopin's waltzes

Notice how Chopin's earliest and latest technically undemanding unpublished ones, the A-flat major and A minor waltz flank the rest of the waltzes. They

represent how Chopin grounds his music in harmonic and melodic simplicity across the span of his career. The fifteen other waltzes written between 1830 and 1847 exhibit rhythmic parallels that cut across both groups. Many themes and patterns were recalled in the later years, reflecting for instance, Chopin's penchant for hemiolas in a waltz's introductions (Op. 64, No. 1) and the swinging of the oompah-pahs to the right-hand register (Op. 64, No. 3). As such, the collective representation of the rhythmic and metric ideas – and their varied nuances – reflects a picture where a later composition was in one form or other, influenced and shaped by an earlier one. A study of Chopin's waltzes that omitted the lesser-known unpublished ones, would certainly not have disclosed these intimate relationships between the published and unpublished pieces.

The Warsaw waltzes – all unpublished – feature many original ideas that Chopin recalls in his published ones written in the mature and later years. The B minor waltz was the first melancholic waltz Chopin conceives, which led to four other equally sombre ones. In the A-flat major waltz, he also derives multiple ways of alternating the V-I harmonic rhythm, an exercise that he continued to apply in the waltzes contained in Op. 64. Finally, Chopin flanks the E minor waltz with both introductory and concluding sections which were replicated in the next four published virtuosic waltzes.

I also discovered how some waltzes contained oddities. For example, the A-flat major waltz written in the Warsaw years was the only piece that Chopin wrote in 3/8 time. It also comprises the shortest section – eight bars long - amongst all his waltz compositions. Moreover, the E major waltz, written in the same period, was the only sentimental waltz that features an introductory passage. It was also the only dance featuring single-tone repetitions. All other waltzes containing an annunciatory passage, or which featured single-tone repetitions were virtuosic.

On the other hand, Op. 42, a virtuosic piece with an introduction and coda drew several parallels with sentimental waltzes. This rondo-formatted dance bears a similar formal structure to Op. 34, No. 2, and features a duet texture in the right-hand register identical to that of the D-flat major waltz. Chopin also recalls its phrase asymmetry in one of his last waltzes, Op. 64, No. 3, yet another sentimental waltz. The approach that Chopin took, in interleaving his ideas across both groups of waltzes draws parallels with how he locates the

oompah-pah features in many of his mazurkas, while inserting numerous mazurka rhythmic features in his waltzes too.

I also expected to confirm that the typical oompah-pah accompanimental pattern is the most distinguishable waltz feature. I assumed that it occurs frequently if not essentially in all the 17 dances. Instead, I discovered that the E minor waltz and the Op. 69, No. 1's third autograph (A3) do not feature any of these patterns. More surprisingly, I observed that only the melodic arch featured as an essential waltz characteristic in all of Chopin's virtuosic waltzes. All other rhythmic ideas were used either frequently or idiosyncratically in both groups. Figure 5-2 illustrates the breakdown of the more significant waltz features identified in this study. Other than the melodic arches, all other phenomena are classified under the 'frequent' and 'idiosyncratic' categories.

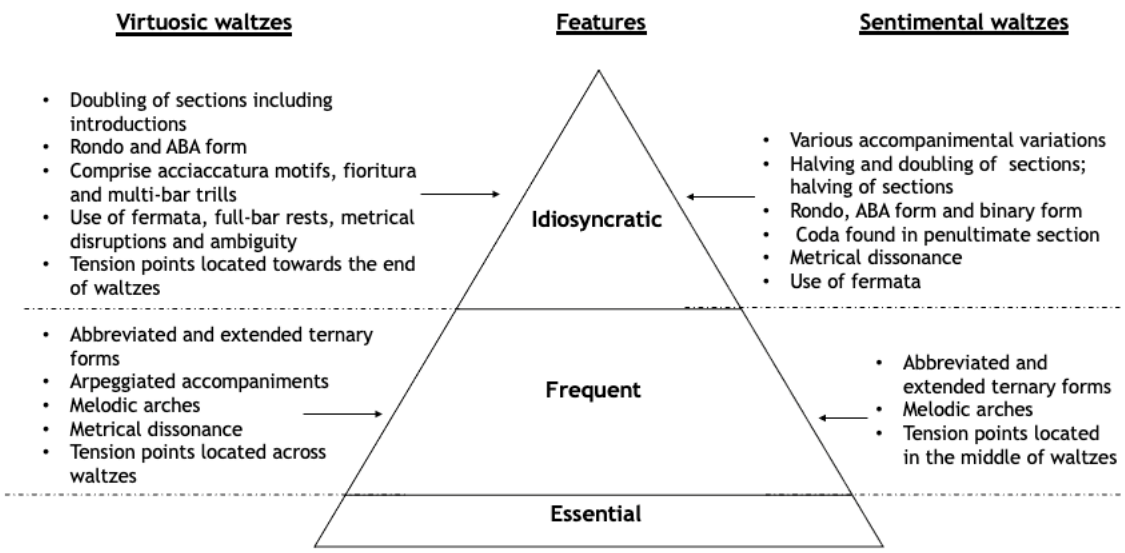

Figure 5-2 A summary of rhythmic and metric features in Chopin's waltzes

5.2 Alternative approaches to analysing Chopin's waltzes

By analysing Chopin's waltzes as a collection of pieces, one gains fresh perspectives on each work. To take Op. 34, No. 2 as an example, I learnt that this lugubrious dance was part of a larger subset of five sombre pieces within the sentimental group. Furthermore, this work draws parallels not just with the other four sombre pieces, but also – in different ways - with the other sentimental works. For example, Chopin incorporated musical ideas (e.g., the swinging of the accompaniment to the right-hand register) from non-melancholic

pieces like the D-flat major waltz into Op. 34, No. 2. He continues this trend by revisiting this pattern in Op. 64, No. 3, another non-sombre work. Nonetheless, Chopin shows the individuality of Op. 34, No. 2, such as in how he positions its coda in the penultimate section of the waltz, the only time in which a coda in the waltz oeuvre does not provide a dramatic ending to the dance.

The above illustration – of how new insights of a single work can be drawn by analysing it as part of a group of pieces - can certainly be extended to include Chopin's other miniature works. His mazurkas, also composed in ¾ metre, with many of them containing similar 'character marks' as his waltzes, provide a point of departure for further examination. Some questions worth addressing include the following: How does Chopin represent the same five rhythmic principles in his mazurkas, and draw similarities (and also differences) with those of his waltzes? How did he infuse the essential, frequent and idiosyncratic ideas into his mazurkas? Should one re-classify Chopin's mazurkas and waltzs into a different genre based on similar rhythmic gestures?

These questions potentially provide new categories of analytical insight and can be further balanced by considering factors relevant to the performance and history of interpreting these works. As such, this proposition expands the reach of formalistic music analysis, rendering the study of potential importance for listeners, performers, and musical scholars.

Michael McClellan, in his review of Kallberg's *Chopin at the Boundaries: Sex, history and musical genre*, establishes that 'a knowledge of Chopin's works as they developed and changed over time will be more useful than any effort to reveal Chopin's "true" intentions as enshrined within a single musical text'. While my study of Chopin's waltzes fully substantiates McClellan's observation, I believe more of Chopin's compositional practices can be brought to greater prominence when his waltzes are analysed alongside his mazurkas and other miniature works from other genres.

From this study, what struck me more than anything else was Chopin's quest for perfection, found in how he continuously remembers former ideas and reworks them, whilst balancing between upholding a waltz's uniqueness and recalling nuances found in earlier dances. In the words of Walker, one recognises that the

approach to interpreting Chopin's music lies in the analysis of studying his works in depth, and not at length; that a Chopin's piece 'lasting just five minutes could contain more musical substance than an entire string quartet of [***]'.[227]

[227] Walker, 'Chopin', 26.

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