

THE FLORIDA STATE UNIVERSITY
COLLEGE OF MUSIC

FRANZ SCHUBERT'S CHAMBER MUSIC WITH GUITAR:

A Study of the Guitar's Role in Biedermeier Vienna

By

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ABSTRACT

Centered in nineteenth-century Vienna, the Biedermeier era was characterized by intense political upheaval contrasted by free-spirited social and cultural innovation and style. This treatise focuses on Franz Schubert's chamber music with guitar and the broader cultural context in which his works were performed. Schubert's use of the instrument in varied ensemble settings reveals the guitar as an integral part of the Biedermeier musical experience. This text also explores the domestic musical environment surrounding nineteenth-century guitar luminaries such as Mauro Giuliani.

In addition to this treatise, Stephen Mattingly has recently recorded Schubert's complete chamber music with guitar. This unique recording will be released in spring 2007 with an enhanced, interactive CD-ROM component. The project was made possible under the auspices of the Theodore Presser Foundation.

CHAPTER I

SCHUBERT AND THE GUITAR IN BIEDERMEIER VIENNA: AN OVERVIEW

The Question of Schubert and the Guitar: Original Compositions, Arrangements, Manuscripts

Research on Franz Schubert comprises an array of controversial topics that have garnered exhaustive commentary and debate. Unfortunately, the majority of these divisive studies deal with aspects of the composer's personal life that do not directly enlighten the practical performer on issues of interpretation or fundamental music history. Hidden behind the conjecture and unsupported claims of this dramatic approach to music history, is one subject that has attracted more controversy, confusion, and hyperbolic statements than the sound research it deserves. This contentious subject is the focal point of this project: a survey of Franz Schubert's chamber music with guitar. Critical features of my study include Schubert's relationship with the guitar, its influence on his composition, and the guitar's position in Viennese musical life during the Biedermeier period. Previous research into the role of the guitar in Schubert's work is contained in a variety of articles with conflicting and incongruent viewpoints. In this review, I will illustrate the surrounding historic context and consolidate critical information while clarifying misleading and unfounded statements through primary and secondary source material. Furthermore, by establishing a solid foundation based upon well-documented performance practice, the survey will provide a balanced account of new findings in Schubert research. Additional examination of Schubert's guitar chamber music will be made in the context of Biedermeier style in nineteenth-century Vienna. The best account

on the development of the classic guitar in Vienna is Thomas F. Heck's doctoral dissertation, "The Birth and Cultivation of the Modern Classic Guitar in Vienna."¹

Family and Education

At the turn of the nineteenth century, Vienna was a crossroads of artistic trade with customs from across Europe. The city as Napoleon found it on his conquest of the Prussian Empire was full of culture and on the forefront of the industrial revolution. At 1:30 p.m. on January 31st, 1797, Franz Peter Schubert was born into this volatile world in a small, working-class suburb of Vienna.² Schubert's father, Franz Theodor Florian Schubert (1763-1830), was a disciplined schoolmaster and amateur musician who appreciated music for its enrichment and entertainment, but did not consider it a suitable career. In spite of these concerns, Schubert's early music education came from his father, who taught him viola, and his brother, Ignaz, who taught him violin.³

During these formative years, Schubert may have been exposed to the guitar through one of his father's various ensembles. Schubert's father played the cello with other amateur musicians in the performance of works for domestic use. One of the most popular forms of entertainment in Vienna at this time was the performance and enjoyment of *Haus Musik*, works intended solely for casual performance in the home. One of the musicians with whom Franz Theodor performed was a guitarist.⁴ Musicologist Philip Bone actually suggests that Schubert's father gave him guitar lessons early in his training, but there is no definitive evidence to support this account.⁵

¹ Thomas Fitzsimmons Heck, "The Birth of the Classic Guitar and its Cultivation in Vienna, Reflected in the Career and Compositions of Mauro Giuliani (d. 1829)" (New Haven: Dissertation, Yale, 1970).

² Brian Newbould, *Schubert: The Music and the Man* (Berkeley: University of California Press, 1997), 18.

³ Newman Flower, *Franz Schubert: The Man and his Circle* (New York: Tudor Publishing), 1936.

⁴ Georg Kinsky, forward to *Quartet*, D. 96 by Franz Schubert (New York: C. F. Peters), 1956.

⁵ Philip J. Bone, *The Guitar and Mandolin: Biographies of Celebrated Players and Composers* (London: Schott and Co., 1954), 265-66.

Schubert's formal education began in 1808 at the Jesuit Imperial Seminary (*Stadtskonvikt*). Being in the Imperial court choir was a privilege awarded to just nine boys, and Schubert was among the most talented boy sopranos. After an impressive start in academics, Schubert withdrew to composing and performing in the orchestra, where he later became first violinist and assistant conductor. Composition lessons with Antonio Salieri outside the seminary began before Schubert's admission to the *Stadtskonvikt* and lasted until 1815.⁶ These lessons may have played an important role in Schubert's acceptance at the prestigious school. Salieri's instruction was mostly directed at the fundamental tasks of part-writing and score study. However, Schubert composed new part-songs for rehearsals each Thursday night when he and a few friends would gather to sing popular male voice quartets by Michael Haydn (1737-1806) and Carl Maria von Weber (1786-1826).⁷ Composing quickly began to receive more attention from the young student until finally, in 1812, Schubert was expelled from the school after he failed math twice.

After this disappointment, Schubert returned home to become a certified teacher. Schubert was assigned a position at his father's school in 1814. Although Schubert held a full-time teaching position, he continued to compose and in the same year was writing with alarming fluency, often setting several poems to music in one day. It was at this point that a circle of friends began to gather around the composer. The memoirs written by these close friends provide valuable primary source materials that elucidate biographical facts and document Schubert's composition practices. Schubert's school friend, Josef von Spaun, remembers the composition of "Erlkönig":

On one afternoon (in 1815) I went with Mayrhofer to Schubert's...we found Schubert glowing, reading "Erlkönig" aloud. He went to and from the book, suddenly he sat down and in the shortest time he composed the ballad as fast as one can write. We then went to the seminary, because Schubert had no piano, and there..."Erlkönig" was performed.⁸

⁶ Ernst Hilmar, *Franz Schubert in His Time* (Portland: Amadeus Press, 1985), 15.

⁷ Walther Dürr and Dietrich Berke, ed., *Franz Schubert: Neue Ausgabe sämtlicher Werke* (Kassel: Bärenreiter, 1974), xiii.

⁸ Walther Dürr and Andreas Krause, *Schubert-Handbuch* (Kassel: Bärenreiter, 1997), 190.

The truth of Schubert's facility of composition in this case is questionable considering that he rewrote the work from memory on many occasions. The indication that Schubert did not own a piano at this time is more noteworthy for the project at hand.

In the years that followed, Schubert quit his position as a school teacher to compose full time. During the summer months, he took a position as the tutor to the Esterházy family at their palace in Zeléz. At this post Schubert met Johann Mar, a lutenist whose playing Schubert enjoyed.⁹ Also present at the palace was a member of the Frölich family who studied with Salieri, played the guitar, sang, and composed.¹⁰ There is confusion regarding the identity and gender of this person. Deutsch assumes this is one of the younger Frölich sisters, presumably either Anna or Josefine, while Walter Obermaier cites this figure as a male.

Circle of Friends and the Biedermeier Spirit

Schubert's first major published edition did not appear until 1820 after he returned to Vienna from the Esterházy palace. To this point, Schubert's only publication was the setting of Johann Mayrhofer's "Am Erlafsee" that appeared in a local almanac on February 6, 1818. In the early 1820s, Leopold von Sonnleithner was hosting weekly musical gatherings of over 100 guests. After hearing that Schubert was refused by two publishers including Anton Diabelli, Sonnleithner proposed that he would pay for the publication himself and sell the copies to his weekly guests. Sonnleithner's investment was such a success it paid all Schubert's debts, gave both men a small reward, and paid for the first and second editions of this twice rejected song: "Der Erlkönig"!

In the early 1820s, the musical gatherings expanded from the home of Sonnleithner to include the parlors of Johann Umlauff, Franz von Schlechta, and the Frölich sisters, Kathi and Anna. It was Kathi Frölich who first used the term "Schubertiad" to describe these musical gatherings. The guitar played an important role

⁹ Walter Obermaier, *Franz Schubert: Brief an die Freunde* (Vienna: Doblinger, 1979), 26.

¹⁰ *Ibid*, 27.

in these parlor gatherings. These concerts included works for voice with guitar accompaniment, a style that was in common usage in the Biedermeier. Perhaps more noteworthy is that all the hosts (Leopold von Sonnleithner, Johann Umlauff, Anna Fröhlich, and Franz von Schlechta) were either professional or amateur guitarists.

Today, Schubert is best known as a composer of Lieder. This is not only because of his songs' artistic integrity, but by virtue of the sheer volume of these works: over 600, including alternate song versions. Prominent Schubert scholars have noted that the Viennese public was slow to respond to Schubert's talent as a Lied composer.¹¹ Most proponents of this position cite a contemporary survey of musical life in Vienna, the *Referirende Uebersicht des Musikzustandes in Wien, in dem letzten halben Jahre* (Survey of music society in Vienna in the last six months), which was published in the *Intelligenzblatt zu den Vaterländische Blätter* in March of 1818.¹² In this assessment Schubert is not listed among the most noteworthy song composers in Vienna. Considering that his first published song appeared in a small almanac in February of the same year, the absence of Schubert's name from this list does not seem that remarkable. Posters advertising the 1818 concert season for the *Gesellschaft der Musikfreunde* promote programs that include Haydn, Mozart, Beethoven, Spohr, and Schubert.¹³ This was reputable company for an unpublished, 21-year-old composer with no patron. Unlike his contemporaries, Schubert had the particular challenge of a low socio-economic status to overcome. With no committed patron, he had little resource for promoting his works outside his social structures. In spite of this amateur status, Schubert was usually well received by the Vienna public.

¹¹ Hans Georg Schmidt, "Das Männerchorlied Franz Schuberts" (Cologne: Cologne University, 1928), 4.

¹² Heck, "The Birth of the Classic Guitar...", 119.

¹³ Otto Biba, "Schubert's Position in Viennese Musical Life," *Nineteenth-Century Music*, 3, no. 2 (November, 1979): 107.

The Biedermeier: Definition and Examples

I believe that Schubert's mature writing was established by 1815 with the composition of "Erlkönig" at the age of eighteen. In contrast to the serious nature of Schubert's tragic ballad, Vienna was enjoying a more carefree social lifestyle of post-war celebration, referred to as the Biedermeier period. During this era, citizens among the growing middle-class experienced systems of censorship that discouraged public discussion of the oppressive ruling class. In stark contrast to the harsh political environment, Biedermeier social life was characterized by an air of optimism and relaxed, bourgeois socializing that lasted from 1815-1848 and strongly influenced the course of daily life in Vienna. For the first time in recent memory, middle-class Viennese citizens were able to enjoy simple pleasures in life, such as afternoons in a coffee house, trips to Vienna's surrounding nature parks, and informal parlor visits. Amidst this casual atmosphere was the ever-present sound of a new, lighthearted, musical tradition that included songs, dances, and serenades accompanied by the increasingly popular guitar.

'*Biedermeier*' is a combination of two simple terms that together define the idea itself. The German adjective *bieder* means 'plain' or 'unpretentious', while 'Meier' is one of the most common German surnames. In other words, *Biedermeier* is the plain, unpretentious, common man (comparable to "just plain Smith"). Two poets, Adolph Kussmaul and Ludwig Eichrodt, invented the term in 1855 to use as their pen name, Gottlieb Biedermeier; later authors used the term to define the period.¹⁴ Similar to terms applied to other periods (i.e. Gothic), the term initially carried a derogatory connotation.

Gatherings in the nearby countryside were a favorite pastime for the Viennese in the Biedermeier period. Schubert and his friends especially enjoyed yearly visits to the three-day, outdoor festival at Atzenbrugg palace which lies 20 miles north of Vienna. Acting out charades and impromptu plays at home cast improvisation as a central feature of the Biedermeier period. Such a scenario is seen in the following painting titled *Charade in Atzenbrugg* by Leopold Kupelwieser (1821), which features Schubert at the keyboard with the artist on the opposite side of the music.

¹⁴ Charles Osborne, *Schubert and His Vienna* (London: Alfred A. Knopf, 1985), 133.

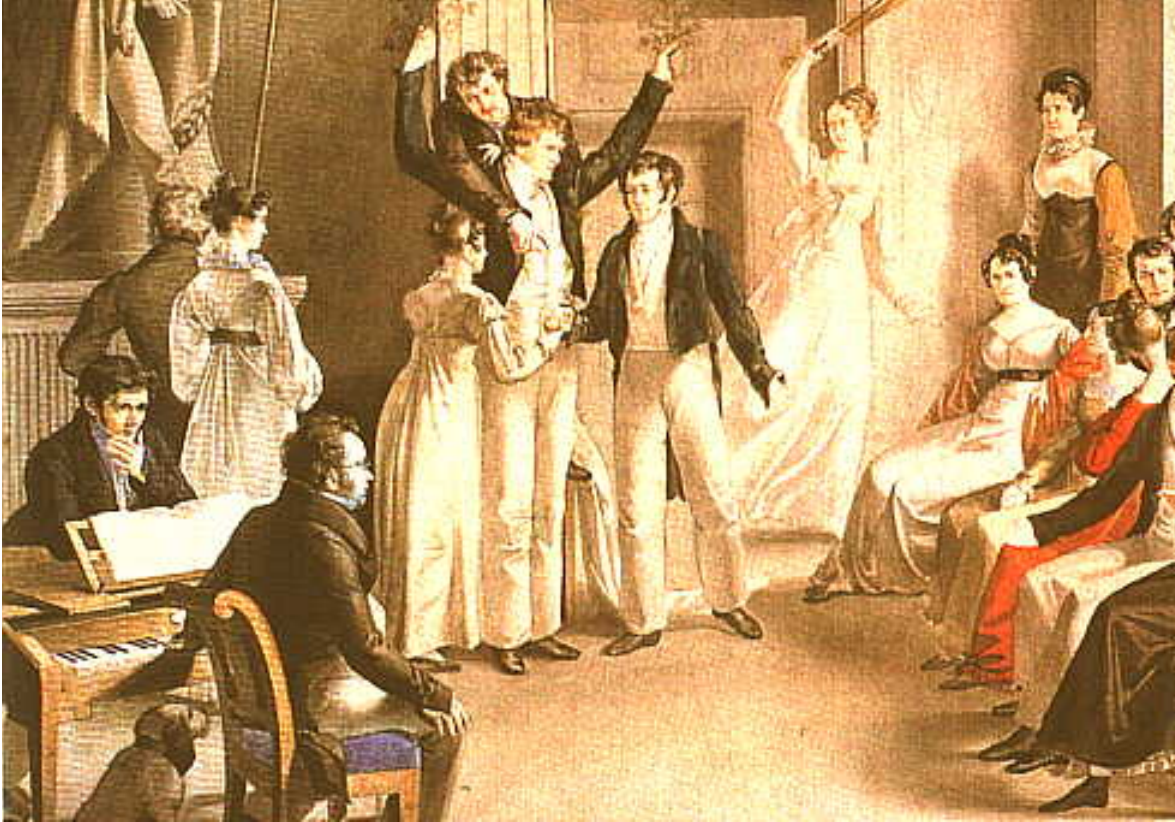


Figure 1: *Charade in Atzenbrugg* by Leopold Kupelwieser (1821). Schubert accompanies his friends' charades.

Characteristic of the period, Schubert and his friends relished the cross-pollination of the arts to imbue their work with limitless inspiration and profound cohesion that defines yet transcends their time. Schubert shared his art with the painter/poet Leopold Kupelwieser and the painter Josef von Spaun; together they were called the “poetic-musical-artistic” triumvirate.

These connections were the source of Schubert's network of collaboration known as his circle of friends. Many paintings from this time depict Schubert providing music to his friends' charades at the Atzenbrugg palace. These outings usually included light sport, games, and dancing accompanied by the guitar and violin. One such festival at Atzenbrugg inspired Schubert to compose his *Atzenbrugg Dances* for piano, Op. 33 and Op. 9; a set of 15 waltzes from Op. 9 were arranged for violin and guitar and published during Schubert's life. A more in-depth study of the 15 waltzes will appear later in this treatise. Schubert was certainly familiar with this duo as we see in the following etching titled *Ballspiel in Atzenbrugg* by Ludwig Mohn (1820), based on a composite drawing by

Franz von Schober who sketched the scenery, and Moritz von Schwind, who drew the figures in the foreground.



Figure 2: *Ballspiel in Atzenbrugg* by Ludwig Mohn (1820). Schubert smokes his pipe while listening to guitar and violin duets.

This piece is particularly significant as a primary source because both Schober and Schwind were close friends of Schubert. Schober was Schubert's roommate at the time this painting was made. Here, the composer is seated next to a guitarist (who is most likely Johann Umlauff, but some assert that it is Johann Vogl) as a violinist plays and dances before them. This piece is typical of developments in painting during the Biedermeier period in Vienna. The themes most utilized by artists were of man depicted in daily life, usually in nature or at home. In another painting by Schwind, titled *The Outing*, a man with a guitar stands on a carriage about to take Schubert and friends to the countryside. Here the guitarist is Johann Umlauff.



Figure 3: *The Outing*, by Moritz von Schwind (c. 1820). Schubert boards a carriage with his friends on an excursion to Atzenbrugg.

While most aspects of Biedermeier style are easily identifiable, the most common characteristics of simple harmonic structure, concise phrases, and optimistic subjects belong to classic and early-romantic compositions.¹⁵ Only a select group of works within Schubert's oeuvre, however, adhere to this definition of Biedermeier music. This genre consists of compositions that were born of necessity and inspired by improvisation rather than crafted as well-planned masterworks.¹⁶ Scholars agree that Schubert's work often presents a dichotomy in mood between that of jovial humor and melancholic drama. An example of this is heard in the contrast between the first and second themes of his Symphony No. 8. In many ways this offers an apt reflection of a tragic composer who participated in the carefree social atmosphere of the Viennese middle-class.

¹⁵ Leopold M. Kantner, "Biedermeier: ein Stillbegriff in der Musik," *Musicologica Austriaca*, 2 (1979): 91.

¹⁶ *Ibid.*

As an integral part of Biedermeier culture, the guitar was introduced to Schubert at a young age. Later investigation will reveal how the majority of Schubert's direct exposure to the guitar was in the casual surroundings of the Biedermeier period and not as a serious instrument of virtuosic capabilities. Therefore, it is specifically Schubert's works aligned with Biedermeier style that include original guitar parts in some capacity.

The Guitar's Role in Viennese Music and the Biedermeier Period

In Vienna during the early nineteenth century the guitar's popularity developed along side the new air of freedom in the Biedermeier spirit. Among various reasons for the guitar's popularity was its portability, which allowed for casual music in local taverns, coffee houses, and parks. Music at these venues was commonly played by *Schrammel* ensembles including violin, clarinet, and guitar. Schubert certainly heard this music when he frequented coffee houses such as Bogner's, a favorite among Viennese artists and composers, including Beethoven.

Popular travel guides of the time cite the proliferation of amateur concerts and salon performances. On the whole, the events ranged from casual house music to well advertised social events. "Very often one hears in a house violin playing on the ground floor, piano on the first floor, flute on the second, singing and guitar on the third..."¹⁷ This commentary passively suggests the guitar's fundamental position during the period as an accompanying instrument that the guitar assumed during this period. Even with the cultivation of the guitar as a concert instrument at the hands of virtuoso Mauro Giuliani, critics were not alone in calling for the guitar to continue playing its role with simple vocal accompaniments.¹⁸ This does not suggest, however, that the guitar wasn't fashionable.

¹⁷ Alice M. Hanson, *Musical Life in Biedermeier Vienna* (Cambridge: Cambridge University Press, 1985), 118.

¹⁸ Heck, "The Birth of the Classic Guitar...", 95-6.

Before considering the guitar's direct significance to Schubert, it is important to note that in the early nineteenth century, the guitar enjoyed remarkable popularity among upper and middle-class society throughout Europe. Notable composers from across the continent provided guitar works for this resounding public demand. These Schubert contemporaries included Diabelli, Giuliani, Hummel, Rossini, Verdi, Paganini, Boccherini, Spohr, Berlioz, and Carl Maria von Weber (who composed more than 90 songs with guitar accompaniment and included the instrument in two operas: *Abu Hassan* and *Oberon*).¹⁹ In his dissertation on guitarist/composer Mauro Giuliani, Thomas Heck cited Vienna as the source of the modern classic guitar's birth and cultivation.²⁰ Moreover, other scholars consider this period in Vienna to be the guitar's "golden age."²¹ Vienna supported many professional guitarists during Schubert's lifetime. Among these were Leonhard von Call, Simon Molitor, Wenzeslaus Matiegka, Joseph Wanczura, Anton Diabelli, Mauro Giuliani, Luigi Legnani, Friedrich Pfeifer, and Wilhelm Klingenbrunner, many of whom arranged Schubert's accompaniments for the guitar. Further evidence of the guitar's status is found in the careers of virtuosi such as Mauro Giuliani, Nicolo Paganini, and Luigi Legnani, who were able to publish, teach, and sell out guitar concerts in Vienna during Schubert's lifetime. Next to the fashionable amateur guitar works, concert repertoire included original solos, chamber music, and brilliant variations set to themes for the vastly popular Italian operas of the day.

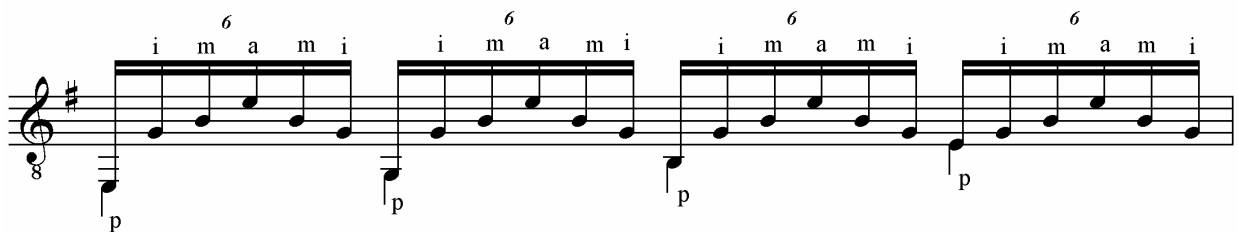
Given the guitar's frequent use in vocal accompaniment and Schubert's exposure to the instrument, it seems natural to consider his relationship with the instrument. Prior research has established precedent for the study of Schubert's Lieder as being composed at the guitar. On the contrary, Schubert's extant manuscripts do not specify the guitar in Lieder accompaniment, although many of the original keys are idiomatic to the instrument and allow the use of open strings, making it easier to play. Interestingly, these guitar-like qualities are most often found in Schubert's strophic songs with Austrian folk

¹⁹ JoAnn Falletta, arr., *Franz Schubert: Die Winterreise* (Boston: E. C. Schirmer, n.d.), 3.

²⁰ Heck, "The Birth of the Classic Guitar...", 2.

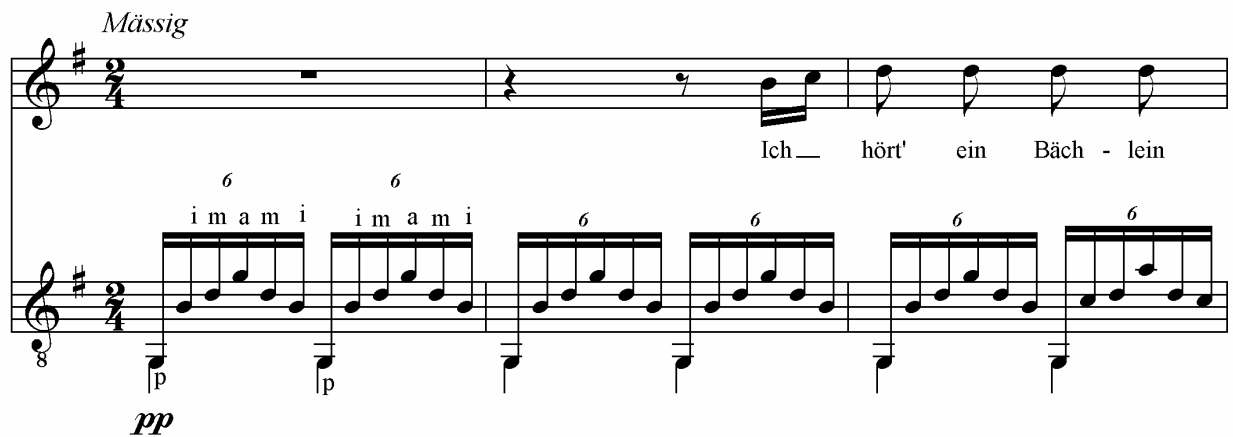
²¹ Vike Schult, "Die Gitarre als Begleitinstrument zur Zeit Franz Schuberts," *Bach & Schubert: Beiträge zur Musikforschung, Jahrbuch der Bachwoche Dillenburg*, 33 (1999): 31.

song qualities.²² While the often repetitive, prolongational harmonies, along with continuous, rustling arpeggios provide figuration that recalls patterns commonly used by other nineteenth-century guitar composers such as Aguado, Giuliani, and Diabelli. Perhaps more intriguing is the close chordal voicing which is a trademark of guitar accompaniments of this period.²³ Below is a comparison of an accompaniment pattern that was used by many Schubert contemporaries including Ferdinand Carulli, Dionisio Aguado, Mauro Giuliani, and Matteo Carcassi. This particular example is from the *Method for Guitar* (1825) by Dionisio Aguado.²⁴



Example 1a: Etude from *Method for Guitar* (1825) by Dionisio Aguado.

The idiomatic sounds of the guitar appear in piano accompaniments as exhibited by the imitation of a flowing stream in “Wohin?” from “Die schöne Müllerin.”



Example 1b: Guitar and voice arrangement of “Wohin?” from “Die schöne Müllerin”.

²² Kay Griffin Belangia, “The Influence of the Guitar and the Biedermeier Culture on Franz Schubert’s Vocal Accompaniments” (Dissertation: Master’s Thesis, East Carolina University, 1983), 37.

²³ JoAnn Falletta, arr., *Franz Schubert: Die Winterreise* (Boston: E. C. Schirmer, n.d.), 3.

²⁴ Right-hand fingering for the guitar is shown in letters: p = thumb, i = index, m = middle, a = ring.

Mässig

Voice

Ich _ hört' ein Bäch - lein

Piano

Example 1c: Original piano accompaniment from “Wohin?”.

One secondary source that examined the guitar’s influence on Schubert’s accompaniments was the Masters thesis by Kay Belangia.²⁵ The fifth chapter, titled “Guitaristic Qualities in Schubert’s Vocal Accompaniments,” highlights several patterns in his piano accompaniment that are more idiomatic to the guitar. Belangia’s chapter introduces a subject in need of further research to develop the study to its fullest potential. The influence of the guitar on Schubert’s compositional process is an area not directly addressed by Belangia’s thesis. Research into the sketches and first editions of Schubert’s vocal accompaniments and instrumental works may provide insight into the influence of the guitar’s role during the compositional process. On the other hand, there are very convincing interpretations presented in the excerpts from various vocal accompaniments. Using Belangia’s approach, support for the guitar’s function in composition may be found beneath the surface of many Biedermeier vocal works.

As supplementary material to her discussion on guitaristic qualities in Schubert’s vocal accompaniments, Belangia compiled an appendix identifying all the Lieder with guitaristic qualities and categorized them by date and type of guitar quality. This interesting list does not, however, provide solid primary source material to determine Schubert’s use of the guitar and may even be coincidental. The appendix shows three main patterns associated with typical guitar accompaniments in the Biedermeier period:

²⁵ Belangia, 33.

arpeggio patterns, chordal patterns, and vamp patterns. Here are just a few examples discussed in chapter five of Belangia’s text.

The following example, “Andenken” (example 2) contains arpeggio passages that are well suited to idiomatic fingering on the guitar. Thus, these passages are considered to have “guitaristic” qualities. The accompaniment of “Andenken” can be played with the right hand fingering pattern (p-i, m, a, m). Here, the thumb plays the bass line of the piano part and the three fingers play the arpeggio pattern on the three highest strings.

The image displays two musical examples, labeled 'a)' and 'b)', both in 2/4 time and marked 'Allegretto' and 'pp' (pianissimo). Example 'a)' shows a piano accompaniment with a treble clef staff containing a continuous eighth-note arpeggio pattern and a bass clef staff with a simple bass line of quarter notes. Example 'b)' shows a guitar arrangement with a treble clef staff containing an eighth-note arpeggio pattern with fingerings 'i m a m' indicated above the notes, and a bass clef staff with a bass line of quarter notes. The bass line in 'b)' is marked with an '8' below the first note, indicating an octave shift.

Example 2: Piano accompaniment and the guitar arrangement from “Andenken”.

The accompaniment of “Heidenröslein” is characterized by what Belangia calls vamp patterns. In this pattern a similar distribution of the right hand fingers is used to comfortably perform the piano accompaniment on the guitar. The thumb plays the bass line while the fingers play chords on the off beats in blocked fashion.

a) *Lieblich*

pp

b)

Example 3: Piano accompaniment and the guitar arrangement from “Heidenröslein”.

The chordal texture employed in “An die Musik” is similar to the vamp pattern in that the thumb plays the bass line while the fingers provide steadily pulsing chords on the treble strings. Contrary to “Heidenröslein,” the rhythmic pulse is provided more by the steady eighth notes in the treble than rhythmic alternation between treble and bass.

a) *Mässig*

pp

b)

⑥ = D

Example 4: Piano accompaniment and the guitar arrangement from “An die Musik”.

Belangia's list is an excellent starting point for any guitarist interested in transcribing vocal accompaniments. Some of the more convincing examples are "Sehnsucht," two different settings of "Trinklied," "Liebesbotschaft," and "Das Fischermädchen." Nineteenth-century guitarist/composers such as Johann Kaspar Mertz have made this observation as well in transcribing these accompaniments for guitar. The guitaristic idioms explored in "Liebesbotschaft" are arpeggio patterns. As in the piano accompaniments displayed above, certain arpeggio patterns would easily and comfortably transfer to the guitar with minimal alterations to the original.

CHAPTER II

SCHUBERT AND THE GUITAR: A RESOURCE FOR ACCOMPANIMENT AND COMPOSTION

Schubert's Circle and the Guitar: Guitarist Friends

During studies at the Imperial Seminary, Schubert began to gather a close company of friends that would mature, develop, and expand throughout his life. As mentioned earlier, Schubert was exposed to the guitar through several of these devoted friends and acquaintances. The contributions and influence these guitarists had on Schubert's career are presented here.

(Karl) Theodor Körner (1791-1813) - Early in 1813, Schubert became acquainted with the Dresden poet Theodor Körner, who has been characterized by his biographers as a kind of nineteenth-century troubadour. Körner traveled with a guitar which he recalls in a letter. "...I always take my guitar and ramble through the neighboring villages...the guitar...occupies me in moments when I'm resting."²⁶ Schubert's friend and roommate Johann Mayrhofer recalls in his memoirs that Körner gave Schubert lessons.²⁷ Schubert's acquaintance with the poet-guitarist may be partially or wholly responsible for the increase of guitar-like arpeggios in Schubert's song accompaniments composed after 1813.²⁸ Körner also shared his poetry and played for Schubert, but unfortunately this friendship was short lived because the poet was killed in battle late in 1813. Giuliani later honored the poet with a setting of "Der treue Tod".

²⁶ Philip J. Bone, *The Guitar and Mandolin: Biographies of Celebrated Players and Composers* (London: Schott and Co., 1954), 167.

²⁷ Otto Erich Deutsch, *Schubert; memoirs by his friends* (London: A. & C. Black, 1958), 97.

²⁸ Belangia, 34.

Johann Mayrhofer (1787-1836) – Schubert met the poet/guitarist Mayrhofer in 1814 through their mutual friend Josef von Spaun. The meeting is recounted in Mayrhofer's memoirs. "(My apartment) was scarcely a place of inspiration. There was a decrepit piano, a guitar, pipes, and many scattered papers..."²⁹ Schubert later lived with Mayrhofer and continued to set his poetry to song.

Franz Xaver Schlechta von Wschehrd (1796-1875) - Franz von Schlechta (his abbreviated name) was a lawyer by trade. Schubert was acquainted with this poet/guitarist from studies at the Seminary where they sang male voice quartets together. In 1815 Schubert set Schlechta's work in "Auf einen Kirchhof", D. 151. Schlechta's poem "An Herrn Franz Schubert" was published in 1817 in the *Wiener Allgemeinen Theaterzeitung*; this was the first time Schubert's name appeared in print.³⁰ Later in life, between 1840 and 1842, Schlechta compiled 39 volumes of Schubert's Lieder with guitar accompaniment. These versions were largely arrangements, but may include new additions to this area of Schubert research.

Johann Umlauff (1796-1861) – Schubert became acquainted with Umlauff in 1816. He was an excellent singer and became known as a guitarist of some accomplishment. In the 1820s, Umlauff hosted several *Schubertiads* at his home. During three well-documented meetings, Umlauff accompanied himself as he sang Schubert's songs before the composer. This happened at Schubert's apartment and three times in cited performances.³¹

Leopold von Sonnleithner (1797-1873) – This member of the Viennese upper-class and host to *Schubertiads* owned a guitar; all accounts suggest he was an amateur performer.

²⁹ Newman Flower, *Franz Schubert: The Man and his Circle* (New York: Tudor Publishing, 1936), 56.

³⁰ Walther Dürr and Andreas Krause, *Schubert-Handbuch* (Kassel: Bärenreiter, 1997), 236.

³¹ Johann Umlauff visited Schubert on his way to work in the morning. It is conceivable that Umlauff would have used Schubert's guitar for these performances. Maurice John Edwin Brown, *Schubert: a critical biography* (Da Capo Press, 1988), 109. See also, Vike Schult, "Die Gitarre als Begleitinstrument zur Zeit Franz Schuberts," *Bach & Schubert: Beiträge zur Musikforschung, Jahrbuch der Bachwoche Dillenburger* 33 (1999): 31.

Further association with the guitar included his active involvement in acquiring and transcribing an extensive collection of music that he left to the *Gesellschaft der Musikfreunde*.³² These works often include or even feature the guitar.

Anselm Hüttenbrenner (1794-1868) – Hüttenbrenner was a close friend of Schubert and housed him while Schubert was writing the *Trout Quintet*. Hüttenbrenner played guitar and, as a composer himself, sketches for his works for various ensembles, including his String Quartet in G major, suggest that he may have composed at the guitar.

Franz Grillparzer (1791-1872) – Schubert set his poems and knew him through the Frölich family, and his uncle Leopold von Sonnleithner. Grillparzer also owned a guitar.

Johann Michael Vogl (1768-1848) – The tenor, who performed many of Schubert’s songs with the composer at the piano, owned and played a lyre-guitar. Some scholars believe Vogl played the guitar for Schubert.

Mr. [?] Schmidt – Guitarist who accompanied the performance of male choruses, “Das Dörfchen,” “Die Nachtigall,” and “Geist der Liebe” on August 27th, 1822. Unfortunately, contemporary accounts failed to record this guitarist’s first name.

Mauro Giuliani (1781-1829) – This preeminent guitar virtuoso became a Vienna resident in 1806. On March 12, 1818 Schubert performed one of his overtures for two pianos on a concert at the “Roman Emperor” ball room in Vienna. Also on the program was Giuliani’s “Variations for Guitar.” It is not clear which variations these were, but they were performed by Giuliani’s student, Mr. Mendl, accompanied by a quartet. This work was likely his Variations, Op. 101, on themes from Rossini’s *Othello*. Without evidence against the tradition of public performance, it is assumed that Giuliani was present. A later encounter between these men occurred at the house of a Frau von André. Meetings at Frau André’s were more formal with serious musical performances. In an account of the evening, Schubert’s friend Eduard von Baurenfeld recalls the company at

³² <<http://www.aeiou.at/aeiou.encyclop.s/s655307.htm>> (Accessed 20 September 2003)

the gathering. "...music was made until past midnight, and the company included...Carl Czerny, the Giulianis (Mauro and Emilia), and a number of others who formed a male-voice choir." Further meetings occurred at the home of Ignaz Sonnleithner where Giuliani and Schubert met with guitarist Johann Umlauff, opera singer Josef Barth, and pianist Carl Czerny.³³

Schubert's Guitar: Instruments and Guitar Instruction.

The most controversial point about Schubert's relationship with the guitar lies in the fundamental question of whether he played the instrument. Due to unsubstantiated assumptions by guitar enthusiasts such as A. P. Sharpe, fictitious statements have filled the gaps in music history and cast Schubert as a practicing guitarist who relied upon the instrument to compose. In his Schubert biography, Sharpe states that "For years Franz Schubert, not possessing a piano, did most of his composing on the guitar which hung over his bed and on which he would play before rising."³⁴ Sharpe's infamous quote is not supported by evidence in any form and amounts to nothing more than myth. Sadly, guitarists continue propagating this falsehood today, which degrades guitar scholarship and serves as a barrier to discovering the truth behind Schubert's relationship with the instrument. In the following portions of my study, I will illustrate how the guitar influenced Schubert's working methods, his known ability as a guitarist, and what capacity the guitar played in his career. These observations, which I believe are more realistic and sober than romantic, will contribute to a more profound appreciation for the significant contribution the guitar made to Schubert's work.

Understanding the social context in which Schubert encountered the guitar is helpful to our broad appreciation of the topic, but is also helpful to concentrate on Schubert's direct contact with the guitar. According to Belangia, estate records show that

³³ Marco Riboni, "Mauro Giuliani (1782-1829): profilo biografico-critico ed analisi delle trascrizioni per chitarra" (Dissertation: Thesis, Università degli Studi di Milano, 1992), 105.

³⁴ A. P. Sharpe, *Story of the Spanish Guitar*, 3rd ed. (London: Clifford Essex Music Co., Ltd., 1968), 10-11.

Schubert owned two guitars during his life.³⁵ Other sources including Spring Ulrike at the Vienna Museum and the Vienna *Schubertbund* have confirmed Belangia's report, but I have not yet personally inspected the instruments. The Vienna Museum has one of these guitars in its collection, an instrument built in circa 1805 by Bernard Enzensperger. Again, this instrument is attributed to Schubert by the museum and other scholars, but I have not personally inspected the instrument, nor has any supporting material been published. The Vienna *Schubertbund* also has a guitar built in 1815 by Johann Georg Staufer that was presumably in Schubert's possession. This particular instrument has frequently been depicted in editions of Schubert's Lieder with guitar. Conclusive evidence of Schubert's connection with this guitar must be found to support these claims. Schubert had further connection with Staufer when he composed the *Arpeggione Sonata* in 1824 for the builder's newly invented instrument. This work will be discussed later in the capacity of the Arpeggione. An example of the Staufer guitar can be seen in the photo below from the Vienna Schubert society museum archives.



Figure 4: Guitar by J. Staufer (1815) from the Vienna *Schubertbund* collection.

After initially building traditional instruments, Staufer made several innovations to the guitar. The most notable change was the invention of the bowed guitar. Other improvements—no less remarkable—include patents for a raised fretboard that extended onto the soundboard, new fret designs, and more accurate, efficient metal tuning machines. All these developments are noted in the *Adressenbuch der Tonkünstlern*,

³⁵ Belangia, 33.

Dilittanten, Hof - Kammer - Theater - und Kirchenmusikern (Address book of Composers, Dilatants, Palace – Chamber – Theater – and Church musicians) written and compiled by Anton Ziegler in 1823.³⁶ Further changes in Staufer’s guitar construction came with the instruments built “*nach dem Model Legnanis*” (after the Legnani model). The Legnani model referred to by Staufer included three distinct differences from the traditional instrument: the headstock was reshaped to fit all six tuners on one side, the strings were tuned with metal tuning machines, and the action was adjusted by manipulating a mechanism near the bridge. According to the Vienna *Schubertbund*, the guitar featured above was in Schubert’s possession. Some consider this a “Legnani” model although it does not include changes to the action.

Further confusion was added to this issue when Schubert biographer Otto Deutsch discredited Schubert’s ownership of these instruments and offered no supporting evidence other than his own opinion. Deutsch’s suspicion for the authenticity of the “Legnani” guitar is likely due to a lack of clarity for how Johann Umlauff came to possess an instrument similar to that in the Schubert Society archives. Interestingly, other contemporary accounts place a guitar in Schubert’s possession as well.³⁷

Several scholars have approached the issue by questioning why Schubert may have owned a guitar. While this approach is based on significant assumptions, profound insight to the common use of the guitar in the Biedermeier period exists under the superficial discussion. John Duarte’s explanation of why he thinks Schubert owned a guitar seems reasonable. He believes that since Schubert moved 17 times during his short life, it would have been much more practical to move with a guitar rather than a piano.³⁸ All but one of those moves occurred in the 12-year period between 1816 and 1828. The guitar would also have been more affordable for Schubert, whose annual salary often wasn’t enough to pay rent. This would leave the composer with no instrument available as a tool for composition. On the other hand, there is also primary source material to

³⁶ Ziegler, Anton. *Adressen-Buch von Tonkünstlern, Dilettanten, Hof- Kammer- Theater- und Kirchen-Musikern, Vereinen, Lehr- und Pensions-Instituten, Bibliotheken zum Behufe der Tonkunst, k.k. priv. Kunst- und Musikalien-Handlungen, Instrumentenmachern, Geburts- und Sterbtagen vorzüglicher Tonkünstler & co., in Wien* (Vienna: Gedruckt bei Anton Strauss, 1823).

³⁷ Newman Flower, *Franz Schubert: The Man and his Circle* (New York: Tudor Publishing, 1936), 56.

³⁸ John Duarte, “Notes from Europe: Schubert Revisited,” *Soundboard* 8 (August 1981): 192.

discredit this seemingly reasonable theory. In a letter to his family dated October 29, 1818, Schubert writes his sister from the Esterházy palace in Zelèz asking her to “...By all means have my pianoforte moved over to you...”³⁹ This statement from Schubert himself negates any claim that he did not own a piano, thereby negating the necessity of owning a guitar purely for lack of a compositional tool. Nonetheless, Schubert may well have owned a guitar for reasons more in line with his Biedermeier poet friends: for casual accompaniment and folk music settings at Atzenbrugg.

Furthermore, as previously mentioned, Schubert was often seen composing at a desk without a piano. Combined with Spaun’s account of Schubert not owning a piano in 1815, it seems that Schubert must have acquired it some time between 1815 and 1818, just as his frequent moves began. Schubert’s father supposedly gave him a piano in 1815 shortly after the young composer completed his teaching certification. The notion that Schubert would be willing to give up his piano is interesting: this is not something that a composer who writes at the piano would readily do.

Performance Practices used in Guitar Accompaniments by Schubert’s Contemporaries

This survey will attend to a particular segment of the guitar’s chronicle known as the “Guitar’s Golden Age,” which was at its peak between 1800 and 1850. Documenting the unique pedagogical contributions of Viennese guitarists will clarify the terms and significance of their developments, while further summation and assessment of the most pertinent outside sources will reinforce a contextual appreciation for Vienna’s central role in guitar history, thereby providing a more profound appreciation for Schubert’s unique position and experience within guitar history.

In general, several transitional periods of intense innovation have promoted guitar pedagogy and design in response to exterior artistic and public demands. During

³⁹ Otto Erich Deutsch, ed., *Franz Schubert’s Letters and Other Writings* (Westport: Greenwood Press, 1970), 48.

Schubert's lifetime, the emergence of guitar virtuosos in Vienna and Paris inspired popular interest in guitar study and performance among a rising middle-class society that had the economic means to support artistic and intellectual advancement; Schubert was a member of this particular socio-economic group. An environment of civic patronage set guitar pedagogy and apprenticeship on a level of codependent exchange that, in turn, established more organized and cohesive centers for guitar tutelage.

Through these channels, renowned guitarists Fernando Sor (1778-1839) and Mauro Giuliani (1781-1829), published methods that documented and expounded upon the principles of guitar technique that had been refined over decades of study. In addition to this direct teaching, their public recitals provided an exemplary showcase of their technical facility in performances that were celebrated across Europe. Schubert not only attended guitar performances, but had works performed on several programs that included Mauro Giuliani.

The fundamentals addressed in early guitar methods were not necessarily independent philosophies, but a cultivation of the pedagogy that preceded their own. In a broad view, it is apparent that developments made between 1778 and 1850 established new pedagogical systems and instrument designs that would define the modern classic guitar. The most notable advancement in guitar design during this period was the metamorphosis from double-strung courses to single strings. Schubert and other Lied composers such as Carl Maria von Weber would have recognized the significance of this deceptively subtle alteration. By 1830, guitars across Europe were strung with six single strings over metal frets. However, the change from earlier classical and baroque instruments was slow and inconsistent with distinct regional tendencies. Prior to 1800, fundamental modifications in the instrument's construction were not a central issue. Guitarists were more concerned with the debate on whether to use single strings or some arrangement of double-strung courses on their current guitars. The trend toward using six single strings and metal frets was gaining prevalence among guitarists who were most interested in improving the virtuosic and expressive elements of the solo repertoire. Their goals of increasing the instrument's virtuosic capabilities and expressive response were more easily attained with single strings. Generally speaking, the practice of double-strung courses was abandoned to allow for better clarity in pitch and greater versatility in

musical content as guitarists continued to move away from strumming chords in their accompaniment toward the more articulate patterns in the late Classic era. Without this change, Schubert would have likely overlooked the instrument altogether.

During the Baroque and Classic eras, the guitar was primarily employed in the accompaniment of solo song or in the continuo of a chamber orchestra. Hoping to contend with the acoustic balance of the chamber orchestra, it was common practice to string the guitar with five or six-courses which increased the resonance of its characteristically fragile sound. Many guitarists continued the tradition of accompanying solo song throughout the nineteenth century. They, like their soloist counterparts, enjoyed the practical benefits of single strings which were manifest in faster tuning, more accurate intonation and better response to articulation, especially in arpeggios. The preceding cursory account drastically generalizes the complexities of this transition, but a detailed report of eighteenth-century guitar construction is beyond the scope of this study.

Niccolò Paganini (1782-1840) recognized a relative scarcity of the six-string guitar in the years 1797 to 1804 when he published his *Sonatas for the French Guitar*, M.S. 84. At this time the increasing popularity and acceptance of the six-string guitar in France led the Italians to make such distinctions. Curiously, the Viennese sources of this period avoid such specific references to the origins of the six-string guitar in common use throughout the Holy Roman Empire. In Vienna, Johann Georg Staufer patented his improvements to the guitar's tuning mechanism and fret construction in 1818. His use of metal gears for the tuning mechanism made tuning easier and more reliable while metal frets improved the guitar's intonation and tactile response.⁴⁰

The Broader Nineteenth-Century Context

Sadly, extensive research proves that during the guitar's "Golden Age" no major composer wrote any substantial work for solo guitar. This is perhaps the greatest paradox of the period. On the one hand, considering the popular view of the guitar's accompanimental role, this is hardly surprising. It is in this secondary capacity that Michael Haydn, Josef Haydn, and Franz Xaver Süssmayer employed the guitar for their

⁴⁰ Ziegler, 296.

quintets for violin, guitar, oboe, horn, and cello. This was an ensemble that developed in their native area of Steyer, Austria. Later, Franz Schubert was influenced by the popular trios for flute, viola, and guitar as these ensembles were native to Vienna and Prague. Schubert's earliest and most notable use of guitar accompaniment is in the "Terzetto", D. 80 which agrees with traditions that originated in Steyer in the 1760s. Contemporary arrangements of Schubert's songs for guitar accompaniment reflect the continued relationship between the guitar and solo song, a tradition that dates back to the eighteenth century.

Method Overview

In the course of everyday musical study, method books provide much needed guidance to the diligent student's technical and musical development. Like snapshots of current musical trends, these texts later provide unique insight into performance practice from a musicological perspective. Well-known contributions in this area include texts by Leopold Mozart and Joachim Quantz. Their methods can inform modern readers of the intricate details that are fundamental in the art of interpretation. Yet from a generalist's viewpoint, method books provide valuable primary source material that reveals a community's interest in a particular instrument. Furthermore, these texts can offer sound evidence of the student's practical use of the instrument in contemporary practice.

Some may argue that the guitar's role in Vienna during the Biedermeier period was not significant enough to merit attention from a composer of Schubert's stature. In the course of this survey, the content and publication of method books contemporary to Schubert's time and place will unveil the degree to which the guitar permeated Viennese culture and occupied the musical interests of the general public.

The pedagogical aim of most nineteenth-century guitar methods was to provide guidance in technical development for guitarists who had little or no basic musical knowledge. These primary assumptions vary among the authors in this survey. These differences cover a vast range of pedagogical triage with Mauro Giuliani proposing that his readers have already learned music fundamentals, while Simon Molitor, in the introduction to his method, begins with the history of related instruments in ancient Greece! In this respect there is no rule of regional tendency.

These methods can be grouped into three main categories, each with constituent sub-categories. The distinction in each lays in the fundamental pedagogical purpose inherent in each text's approach. Along these lines the methods belong to one of the following groups:

1. Technical Reference Manual – All or mostly verbal descriptions of technique.
2. Applied Technical Resource – Mostly musical examples with few words.
3. Comprehensive Methods – Written instructions, exercises, and short pieces.

Both the reference manuals and comprehensive methods impart a basic knowledge of instrument construction, technical principles, and rudimentary music theory. On the other hand, the applied technical resources along with the comprehensive methods provide practical application and development of guitar technique. Among the comprehensive methods there are varying degrees of inclusive studies in addition to exemplary solo and chamber music. The sections on ensemble music include instructions for composing a song accompaniment along with examples. This section is an invaluable resource for anyone interested in the improvisatory approach to accompaniment that was typical of the period. Also featured are simple guitar duets and duets for violin and guitar.

In addition to these methods, all the authors wrote a variety of small-form pieces and studies to supplement and reinforce the instruction found in their method books. The pedagogical approach in using didactic pieces to reinforce study was not a new idea. Centuries earlier, students of the *vihuela* would have found relevant instruction in both treatises and short pieces. In contrast, the late Classic and early Romantic eras mark the first time in history that highly organized pedagogical material was presented with a well structured relationship between methods and studies that would foster and enrich the student's technical and musical development.

In order to more effectively assess and compare the methods in this select group, I have established several key technical and musical subject areas to consider with each text. Aside from studying the overarching layout of these methods, observed subject areas include:

- Music fundamentals and theory
- Use of right hand nails and their role in performance

- Left hand and right hand fingering and placement – especially in regard to scales, arpeggios, and melodic lines
- Slurs and Ornamentation
- Any relevant explanation of performance practices. (i.e. interpretation of expressive marks, timbre, tempos, rubato)
- Song accompaniment and the manner of its presentation

Some of the items on this list were chosen for their proximity to unique features of nineteenth-century guitar performance. Surveying these central issues will offer a tableau within which to compare the methods with each other and with modern performance standards. Explaining some of the comparative elements inherent in these subjects seems useful. The short section below critically summarizes these issues.

Right Hand Fingering and Position:

Each of these methods indicates specific right hand fingering with some combination of letters and/or symbols. As David Walker cites in his thesis on French methods, “[the use of] older lute notation for right hand indications, | = thumb, . = index, .. = middle, ... = ring, is fairly central to most [eighteenth-century] treatises.”⁴¹ This survey will observe that each of these authors vary from the modern approach to right hand technique. The most notable differences between the nineteenth and twentieth century right hand technique is the former’s propensity toward resting the little finger on the soundboard and the reluctant use of the ring finger. Iconographic evidence from Schubert’s time supports these instructions to rest the right-hand, little finger and is most likely how his accompaniments were performed.

⁴¹ David Walker, “The Guitar in the Eighteenth Century: with primary emphasis on Parisian publications”, (unpublished thesis, Indiana University: 2005), 4-5.

Left Hand Fingering:

The greatest fundamental difference in this area involves the left-hand thumb. It is currently outside the realm of common practice that guitarists employ the left-hand thumb. When used today, the thumb is usually brought around the neck in the manner developed by cellists. However, each of these methods addresses the left-hand thumb and use it for playing bass notes on the fifth or sixth string.

Slurs, Ornamentation, Expressive Markings:

In some cases, these methods shed light on the nineteenth-century interpretation of expressive markings and how musicians embellished their performances with ornamentation. Executing these instructions today with the nineteenth-century understanding creates informed performances that sound fresh and original.

The subsequent survey is laid out in chronological order. For a quick overview of the methods studied, refer to the “Timeline of Prominent nineteenth-century Guitar Methods” in Appendix A. Appendix B provides an annotated list of extant methods and etudes that were available to guitarists in Vienna during Schubert’s lifetime.

Simon Molitor (1766-1848) - Vienna

Versuch einer vollständigen methodischen Anleitung zum Gitarrespielen (1799)

Simon Molitor is perhaps the central figure in early Viennese guitar history. Although he held an official military post for most of his career, he devoted himself to guitar scholarship and performance. His work compiled and codified the teaching of previous guitar pedagogues which was to portend the tidal changes by later generations of virtuosos in the city. This early method was co-authored with Wilhelm Klingebrunner who was a guitarist, flutist and *csakan* player. As a virtuoso *csakan* player, collaboration with Klingebrunner came in the duets for guitar with flute or *csakan*. The publisher wrote a forward to the method that makes a comparison of Molitor’s influence from C. P. E. Bach’s treatise on figured bass playing. In so doing he suggests that guitarists study the subject seriously with the aid of Molitor’s lengthy appendix on music theory and realizing figured bass.

Molitor's primary objective was to relay music fundamentals and guitar technique in a clear style and with thorough direction so that every guitarist could study and interpret the text without the assistance of a teacher. In accepting this pedagogical challenge, Molitor chose not to include any exercises or studies within the text. This 73-page method is all text with sparse notation of examples.⁴² The student, therefore, had to consult other sources for etudes and studies. Perhaps in answer to this need, Molitor published his *Grosse Sonate, Op. 7: für die Gitarre allein als Probe einer bessere Behandlung dieses Instruments* (Grand Sonata, Op. 7: for solo guitar as practice for better handling of this instrument).

The method is divided into 11 parts with an introduction on guitar history from ancient Greece to the 1700s. In later editions, Molitor includes a discussion of the new notation systems for the guitar, but does not mention Federico Moretti's role in this development.⁴³ Also in later editions, he cites Giuliani's impressive virtuosity and well-crafted compositions.⁴⁴ Finally, Molitor ends the introduction with brief instructions on how to make a more complete, sophisticated, and tasteful guitar accompaniment that gives attention to the melodic line and its nuances.⁴⁵ This approach would likely have been applauded by a composer such as Schubert to whom the relationship between the soloist and accompaniment was so important.

A substantial appendix addresses all the topics covered in the first semester of a music theory curriculum. In rapid succession and with little room for example or application, Molitor introduces and explains the concepts of scale degrees, basic voice leading, counterpoint, triads, dominant seventh chords, and cadences. Each of the 11 chapters that comprise the core of the method focuses on some vital element of guitar study.

⁴² N.B. Molitor's method is not published in an English translation. All discussion in this survey is based on my own unpublished translation of the original German text.

⁴³ Simon Molitor, *Versuch einer vollständigen methodischen Anleitung zum Gitarrespielen* (Vienna, 1808), 12.

⁴⁴ *Ibid.*, 13.

⁴⁵ *Ibid.*, 14.

Part One begins with a physical description of the guitar. Within this verbose description, Molitor describes the strings he used. This is significant information since there is little detailed documentation of nineteenth-century guitar strings. His bass strings were silk wrapped in gauged wire and his treble strings were gut. The instructions on how to read tablature further confirms the overlap in notation systems during this period. Molitor ends the chapter with instructions on how to tune the guitar. These instructions contrast those given by other nineteenth-century methods. Molitor's advice is as follows:

1. Tune the 3rd string to a piano.
2. Press the 4th fret, 3rd string to tune the 2nd string.
3. Press the 5th fret, 2nd string to tune the 1st string.
4. Press the 2nd fret, 3rd string to tune the 5th string.
5. Press the 5th fret, 5th string to tune the 4th string.
6. Press the 2nd fret, 4th string to tune the 6th string.
7. Adjust this with perfect 5ths and octaves in various positions on the neck.

In Part Two sitting position along with basic left and right hand techniques are discussed. Some aspects of his description are significant enough to feature here.

Molitor's prescribed left hand position:

The left hand must be on almost the same level as the eyes, and not stand far from them (about one foot, or less) . . . The thumb must be placed so that it is ready to push down the sixth string when needed; although in some situations it must fall behind the neck to support the fingers.⁴⁶

Molitor's prescribed right hand position:

The right hand little finger is placed on its tip next to the first string, so that the hand will be supported . . . The other four fingers (including the thumb) are placed so that the thumb plays the three bass strings and the others attend to the treble strings . . . the fingers should not approach the strings in a flat angle, but should be somewhat curved; however do not exaggerate this, therefore the strings *will not* be struck with the nails instead of the soft part of the fingertip.⁴⁷

⁴⁶ Ibid., 19.

⁴⁷ Ibid., 20. Italics my own.

Part Three imparts the basic ideas of melody, harmony, scales, and intervals. Left hand fingering symbols are shown by roman numerals for position, Arabic numerals for fingers and 1/d for the thumb. As for right hand fingering, it is suggested that beginning students start with the thumb on bass strings only, a pedagogical practice with some currency today.

Part Four discusses chord construction, consonance, and dissonance without notating anything. The majority of the chapter deals with figured bass practice.

Part Five emphasizes arpeggios and rolled chords. Because this material has particular merit to the study of Mauro Giuliani's method and its use in Vienna, I will summarize Molitor instructions for playing arpeggios here.

1. Set right hand in position with one finger on each string with the thumb on a bass string.
2. With melody and multiple or moving basses, the thumb plays all the bass notes and the ring finger is not used.
3. In triplet arpeggios, use p-i-m, because m and a are too slow. Practice these arpeggios a lot. Also use p-i-a.
4. Practice moving the thumb from one bass string to another.

Part Six expands the discussion of figured bass to include barrè chords. Long and verbose instruction continues in this section.

Part Seven returns to scales and intervals with more emphasis on their application. Molitor presents scales in a very interesting order of tetrachords and rotations of these orders to fit in particular positions on the guitar. He never evokes the term "modes" though that is what he was writing. In addition to advocating scale practice in a single position, he stresses the importance of playing them with multiple shifts. His method of shifting involves careful planning of open strings in the left hand fingering. Finally, Molitor introduces a complicated system for playing every interval on the guitar in

multiple positions. His suggested uses for practicing this with solfege are particularly interesting.

Part Eight is a valuable resource that details the nineteenth-century concern for careful articulation and damping. The main issues at hand are holding and damping notes, slurs, legato, and right hand finger alternation. His simple rules for holding and damping notes are so easy to follow that they almost seem intuitive.

1. Observe note values carefully.
2. Hold chords only until the next harmony.
3. Between one full chord and the next, it is not necessary to damp the tones.
4. Do not try to stop every melody note. Use principles of legato.
5. Damp chords with the same fingers that played them or with the flat hand.

It is intriguing to consider how the simple instructions on this short list would refine the guitarist's technique and enhance an accompaniment whether improvised or carefully practiced.

Molitor accounts for two types of slurs: adjacent or distant. For slurs between adjacent tones, he suggests using adjacent fingers. However, for distant tones, one should either slide the finger along the same string or play the two tones on separate strings. He contrasts Johann Kaspar Mertz's instructions on this point.

Part Nine is a compendium of nineteenth-century ornamentation and their articulation on the guitar. Grace notes are described in standard fashion of a quick, slurred note before the beat. Trills are often a contentious issue in guitar performance practice, and Molitor provides useful primary source material on the issue. He states that some guitarists "perform trills on a single string, while a better way to execute the trill is on two strings in the manner recently developed."⁴⁸

Part Ten explains the developments in contemporary guitar notation as described above.

Part Eleven is directed to those wishing to compose for the guitar. Molitor offers a selection of comfortable keys for the guitar. His list includes: C, D, E, F, G, A, Am, Dm,

⁴⁸ Ibid., 63.

Em, Gm, and Bm if it is not for long. A comparable list of keys can be found in the editions of Schubert's song published during the composer's lifetime.

Ferdinando Carulli (1770-1841) - Paris

Méthode complète de guitarre ou lyre, Op. 27 (1810)

Virtually every nineteenth-century guitar method addressed to some extent the fundamentals of music theory. Carulli, however, is the only guitar pedagogue to write an entire volume on the subject of music theory and the guitar. In his *L'Harmonie appliquée à la Guitare*, Carulli explains the principles of harmony and how to extract accompaniments for the guitar using chords and their inversions. He relays this to an audience of amateur guitarists and states that chords and arpeggios are the only two reasonable means of creating an accompaniment on the guitar.

Carulli's *Complete Method* (1810) was translated to German and published in Leipzig in 1829. Although this did not guarantee its availability in Vienna, it offers strong support for the hypothesis that guitar methods, like other cultural products, freely crossed the borders between France and Austria. Carulli enjoyed great success with this method. During his lifetime it was published in five editions in French, English, and German. One later publication was the *Neue praktische Guitarre Schule* which appeared at some point between 1810 and 1857. Upon preliminary study, it is apparent that the "new, practical" aspect of this guitar school is that it is a reduced version of Carulli's *Complete Method*. For the most part, longer exercises and pieces have been omitted while the text remains generally the same except for revisions that attempt to condense the text to charts or more succinct definitions. For this reason, the two texts will be addressed as one in this survey.

The preface introduces music fundamentals and defines expressive markings, tempo indications, and dynamics in two pages. Clearly, this overview is meant to be fleshed out by a teacher. In the first part, Carulli illustrates the physical description of the guitar with a chart plotting all the notes on the instrument. His system of tuning is the same as a method used today with adjacent strings compared in unison pitches. Some of the most salient features that compare to the Viennese publications are his instructions for holding the guitar and right hand fingering. Carulli advocates the use of a footstool, something Molitor had not addressed. Similar to his predecessors Moretti and Molitor, he places the

right hand little finger on the soundboard, uses the left hand thumb for notes on the sixth string and avoids using the ring finger except in arpeggios. Molitor avoids the latter issue altogether.

Carulli's method continues with material in a pedagogical organization that likely influenced Giuliani. Scales in single notes, thirds, and octaves are written out in first position. The organizational system of this method follows a pattern set around the circle of fifths. Scales, exercises, and studies are introduced in major keys up to E major. Continuing with his consideration for commonly used keys on the guitar, Carulli applies the same format to the keys of F, A minor, D minor, and E minor. Arpeggio studies included in the method are introduced by a short tutor on "The Manner in which to Strike Chords" which shares the principles laid out in Molitor's method where the thumb plays all notes on the bass strings while the fingers take notes on the treble strings.

Mauro Giuliani (1781-1829) - Vienna

Studio per la Chitarra, Op. 1 (1812)

Shortly after his arrival in 1806, the citizens of Vienna lauded Giuliani's mastery and flamboyant virtuosity. On the other hand, some audiences had difficulty accepting the guitar in a soloist's role alongside the piano. As one contemporary critic stated:

Herr Mauro Giuliani has brought this instrument to a height which never would have been thought possible before him. Only with him does one forget that [the guitar], according to its nature, is intended for the accompaniment of a voice, or of some instrument, and that it loses its essential character when it attempts solos, sonatas or concertos.⁴⁹

Within the study of arpeggios in these methods, it is important to remember that there are only a finite number of possible combinations of six strings that are physically practical. Furthermore, only a selection of these possibilities results in comfortable, idiomatic patterns. Therefore, similarities among these arpeggio studies are only a result of the inherent nature of the instrument and common practices at the time of their composition.

⁴⁹ *Vaterländische Blätter*, VII (31 May 1808), 53, quoted in Thomas F. Heck, "The Birth of the Classic Guitar and its Cultivation in Vienna Reflected in the Career and Compositions of Mauro Giuliani" (Ph.D. diss., Yale University, 1970), 96.

In opposition to the inconsistent development of guitar design, right hand technique, with its roots in late eighteenth-century practices, follows a generally smooth course of development throughout the early nineteenth century. While differences on this issue are apparent among these methods, there is an overarching trend that can describe the cultivation of modern guitar technique. That trend is streamlining. One nineteenth-century tendency was to achieve balance in all areas of technique. Guitarists confronted the inadequate response and control in the ring finger, and developed its capabilities which, in turn, minimized technical challenges and maximized the available solutions to handle those challenges. While the challenges were ostensibly the same for all nineteenth-century guitarists, they cultivated this finger in varying degrees and contrasting modes. These differences are exemplified by the manner in which Fernando Sor and Matteo Carcassi practiced a method of avoidance, while Dionisio Aguado and Mauro Giuliani crafted their right hand technique to become balanced in tone, articulation, dexterity, and response. To this end they cultivated their ring fingers extensively for use in both arpeggio and melodic playing.

Giuliani planned his *Studio per la Chitarra*, Op. 1 with didactic aims intent on producing the most efficient and comprehensible method available. These plans began before publication when Giuliani reserved the significant “Opus 1” for his technique method.⁵⁰ Giuliani was already up to Op. 36 at the time of the method’s publication in 1812. When measured against the exhaustive textual instruction of Aguado and Sor that spill over more than 100 pages, Giuliani’s 52 page method seems like a mere pamphlet. To pass judgment on the method for its size, however, would be misguided. Giuliani’s goals for the method are clearly expressed in his preface. He writes that the purpose of his method is “to preserve [students] from misdirection, by putting in order my ideas on this subject and providing [students] with a guide which is short, certain, and new. . .”

Some may question whether a slender volume that is titled “Studies for the Guitar” could be considered as a fully developed method. The answer, simply, is yes. One vital difference between a collection of studies and a method is that studies provide a resource for technical development, but do not necessarily emphasize particular goals or

⁵⁰ Brian Jeffery, Introduction to “Studio per la Chitarra, opus 1,” by Mauro Giuliani (London: Tecla Editions, 1984).

impart any instructions on how to conduct the study. Giuliani uses succinct guidelines to direct the student's attention toward the purpose of each study. Then, through careful indication of his right and left hand fingering, the student can observe and discover the deeper didactic merit of each exercise.

Before delving into the 120 arpeggio exercises contained in Part One, Giuliani clarifies his symbols for the fingers. The right hand fingering is similar to lute symbols.

Signs for the right hand fingers are:

^ = thumb . = index .. = middle ... = ring

Signs for the left hand fingers are:

* = thumb 1 = index 2 = middle 3 = ring 4 = little

The inclusion of the left-hand thumb is in keeping with the practice during the early nineteenth century. This tradition actually continued through the publication of all the methods in this study. Giuliani uses the left hand thumb sparingly throughout the method. These and other instructions in the method are written in Italian, French, and German. This tacitly suggests that Giuliani was aware of an international interest in his method and that the text would be available outside Vienna.

As Giuliani explains, the 120 arpeggio studies are organized in two groups. The first 100 exercises minimize left hand involvement with a repeated I - V7 - I motion to allow for concentrated development of the right hand. Then, the remaining 20 exercises grow progressively difficult for both hands. In the first 100 exercises, Giuliani cycles through every non-redundant finger combination possible, beginning with three-note chords played with p-i-m at once in exercise no. 1. This exercise teaches the fundamental rules of preparation, balanced chord voicing, and perfectly aligned attacks. Based on the frequency and detail of discussion, careful attention to articulation is an issue that would likely have concerned nineteenth-century guitarists as they prepared accompaniments.

Giuliani gives no specific right-hand fingering for the final C major chord in exercises nos. 1 through 10. However, in exercises nos. 11 through 110, the final chord is marked with a diagonal line. This denotes that the chord should be strummed with the

thumb.⁵¹ The omission of this symbol in exercises nos. 1 through 10 and 111 through 120 is likely a misprint.

The general rules that guide Giuliani's procession through the different arpeggio patterns are simple yet malleable. First, a pattern is established. Then the pattern is played in inversion, rotation, and retrograde in whatever way possible.⁵² As the exercises progress, certain peculiarities and unique traits emerge. The following list will document some of the most salient examples from the 120 exercises in Part One.

120 Arpeggios - Salient and Pertinent Features: (See Appendix C for Examples)

Exercises 107 and 108 use the ring finger on the first string and the middle finger on the second string for the melody, accompanied by an Alberti bass with the thumb and index finger. This is another accompaniment pattern that may have its origins in keyboard literature, but is equally idiomatic to the guitar.

Giuliani repeats fingers on adjacent strings. Just as the thumb would move across adjacent strings in ascending motion, the index finger would play consecutive, adjacent strings in descending order as in exercise 89. As David Walker mentions in his thesis, this was a technique commonly used in the seventeenth and early eighteenth centuries by French and German lutenists.⁵³

Exercise 100 foreshadows the late Romantic tremolo technique involving alternation between thumb in the bass, followed by ring, middle, and index fingers on the top string. Exercise 110 employs a similar musical idea realized with alternating middle and index, omitting the ring finger from the "tremolo" patterns. The development of difficult and idiomatic techniques such as this helped the guitar claim its place among instruments on the concert stage during the age of virtuosity in Vienna and throughout the European continent.

Giuliani refers to the unsuccessful attempts to explain technique before his publication of Op. 1. Strong influence from his predecessors is manifest in the striking

⁵¹ N.B. This symbol is relayed in both the Molitor and Carulli methods, predecessors to Giuliani's method.

⁵² See Appendix C, Example 1.

⁵³ Walker, 5.

connections between their methods and Giuliani's. In example 5, I will align the verbal instructions of Simon Molitor with the applied exercises of Mauro Giuliani.

1. Set right hand in position with one finger on each string with the thumb on a bass string.



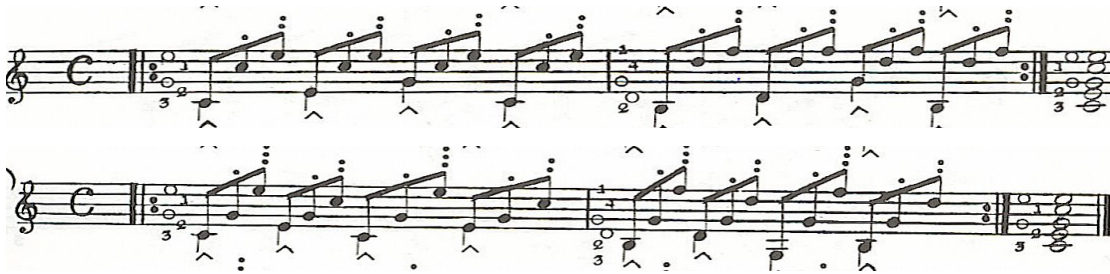
Example 5: Giuliani, Op. 120, No. 1

2. With melody and multiple or moving basses, the thumb plays all the bass notes and the ring finger is not used. (Giuliani breaks this rule in Exercise 107)



Example 6: Giuliani, Op. 120, No. 107

3. In triplet arpeggios, use p-i-m, because m and a are too slow. Practice these arpeggios a lot. Also use p-i-a.



Example 7: Giuliani, Op. 120, No. 2

4. Practice moving the thumb from one bass string to another.



Example 8: Giuliani, Op. 120, No. 108

Part Two consists of 20 left-hand studies built on scales in thirds, sixths, octaves, and tenths in C, G, D, and A major. These studies train right-hand p, i alternation with increasingly wide stretches, and train accurate left-hand shifting, finger exchange, and stretching. Studies such as these were one of the newest developments of the nineteenth-century guitar pedagogical tradition. Scales in thirds, sixths, octaves, and tenths serve to extend the cultivation of left hand technique toward elements of solo performance in ways not seen extensively in eighteenth-century treatises.

Part Three provides exercises that emphasize particular technique not covered by Part One or Part Two. The primary features of guitar technique are covered in this part with the exception of scales. Giuliani gives clear and concise direction on the performance of each exercise. The overall groupings by technical emphasis are:

Sustaining Long Tones: No. 1

Damping of Bass and Treble: No. 2

Right Hand Finger Alternation: No. 3

Ascending Slurs: Nos. 4, 6, 7, and 10

Descending Slurs: Nos. 5 and 9

Turns: No. 8

Shifting/Glissando: No. 11

Finally, Giuliani implements (but does not explain) a few expressive markings such as tempo markings, dynamics, and tone indications. These are all employed in 12 pieces that feature some element of the technical material covered in parts one through three.

Supplemental Studies by Mauro Giuliani:

In addition to his *Studio per la Chitarra*, Op. 1, Giuliani published four other volumes intended to further technical development. These texts maintain a consistency in their approach that reflects Giuliani's unwavering technical mastery and, perhaps, confidence in his method. The individual works are generally progressive in their organization, but a comparison between publications does not reveal any large-scale academic aims.

The *24 Exercises*, Op. 48 are directed toward more advanced students. This collection starts in the upper positions of the guitar and includes studies with faster tempo

markings and that demand great technical facility. The sextuplet patterns employed in studies five and twelve are comparable to those found in the methods by Aguado and Carcassi.

With the *18 Progressive Lessons*, Op. 51, Giuliani provides short studies that engage elements from the *Studio per la Chitarra* such as Alberti bass, brisk arpeggio patterns, and bass-note damping. These studies are cast in a manner intended to advance the student's technique from an intermediate to advanced level. In this regard, the *18 Progressive Lessons* can serve as a bridge between Op. 100 and Op. 48.

Simpler, more approachable studies are directed at the intermediate student in Giuliani's *Etudes Instructives*, Op. 100. These instructional studies are perfect companion pieces to Giuliani's Op. 1. Technical principles learned in op.1 are applied to short pieces with seamless fluidity. In some cases the similarities are striking. All of these studies use the same p, i, m, a, m, i arpeggio pattern in some form. Over the course of this volume, the lessons become increasingly more complex in form and harmony. Especially interesting are Studies 17-21, which are short cadenza solos meant to help cultivate the practice of improvising a cadenza through exemplary study. Such cadenzas would have been improvised at appropriate points such as at a fermata as seen here in Schubert's *Quartetto*, D. 96

The image shows a musical score excerpt from Schubert's *Quartetto*, D. 96, measures 38-41. The score is for four instruments: Flute, Guitar, Viola, and Violoncello. The Flute and Viola parts are mostly rests. The Guitar part features a complex arpeggiated pattern in the right hand and a bass line in the left hand. The Violoncello part features a complex arpeggiated pattern in the right hand and a bass line in the left hand. A fermata is marked over the final measure of the excerpt, which is circled in red.

Example 9: Excerpt from *Quartetto*, D. 96, mm. 38-41.

The *24 Prime Lezioni Progressive per Chitarra Sola*, Op. 139 presents a reworking or review of the technical exercises presented in the previous publications.

These studies are generally easy, but harder to read due to increased use of chromatic, non-chord tones in keeping with the developments of compositional style during the early nineteenth century.

Notation⁵⁴:

In the early nineteenth century, guitarists were searching for a way to more accurately notate the complex texture of guitar music. Most problematic was the notation of separate voices. The composers of this period wanted the distinction between melody and accompaniment to appear as clearly on the page as it should sound in performance. In answer to this need, the system of alternating stem directions was adopted from chorale writing. Under these modified notation rules, upper voices were indicated by upward stems while lower voices were denoted by downward stems. This also loosely conveyed right-hand fingering. Downward stems were generally played by the thumb and upward stems were usually played by the other fingers, as Giuliani and Mertz point out in their methods. This development occurred over many years dating back to the late eighteenth century. Aguado traced this improvement to guitar notation in his method. Unfortunately, he fails to mention Giuliani's contributions to the change.

Don Federico Moretti was the first to begin to write guitar music in a manner in which two parts were separated, one part for the melodic line, the other for the accompaniment. After him came Don Fernando Sor and in his compositions he showed us the secret of making the guitar an instrument both harmonic and melodic.⁵⁵

Johann Kaspar Mertz (1806-1856) - Vienna

Schule für die Gitarre (1840?)

While the publication date of this method likely falls outside of Schubert lifetime, its contents are based on principles developed by Schubert's contemporaries.

⁵⁴ For an engaging and more complete discussion of the development of classical guitar notation, see the doctoral dissertation by Thomas F. Heck, "The Birth of the Classic Guitar and its Cultivation in Vienna, Reflected in the Career and Compositions of Mauro Giuliani (d. 1829)" (New Haven: Dissertation: Thesis, Yale, 1970).

⁵⁵ Dionisio Aguado, *Escuela de la Guitarra*, 2nd Edition, (1843), 1, quoted in Graham Wade, *A Concise History of the Classic Guitar*, (Pacific, MO: Mel Bay, 2001), 71.

Mertz divided his method in two parts: theoretical and practical. His section on fundamentals is fairly consistent with the methods of his contemporaries, with a few notable exceptions. Mertz is the only author to make abundantly clear description of the staff including five notes on lines and four notes in the spaces. When explaining meter and time signature, Mertz includes conducting patterns. This is the only method in this survey to do so. The theoretical section closes with an overview of intervals, keys and well-defined expressive markings.

The practical portion of this method was clearly influenced by the principles Giuliani established in his method nearly 30 years earlier. By the time Mertz published his method in the 1840s, Giuliani's technical practices were probably common knowledge among guitarists in Vienna. Comparisons between these two methods give insight into the breadth of Giuliani's influence. A list of right-hand fingering rules at the beginning of this section precedes and explains his arpeggio exercises. This list could easily be used to summarize Giuliani's most fundamental principles of observing stem direction and alternating fingers of the right hand. Like Giuliani, Mertz uses i, m for notes on the same string and p, i for notes on adjacent strings.

In the subsequent section, Mertz presents scales in two octaves with cadences in keys up to four sharps and four flats. Similarities with Molitor are also shared in Mertz's explanation of slurs. Molitor denoted two forms of slurring distant notes: across two strings or sliding on a single string. Molitor preferred the cross string variety for both adjacent and distant notes. Mertz preferred to slide along the same string in order to play a slur between distant notes. Furthermore, Mertz wrote that one should not rearticulate the note upon arrival at the higher position. Such slurs are prominently featured in his *Hungarian Fantasie*.

Mertz rounds off the method with short etudes in binary forms. Although Mertz does not explicitly note their focus, each study emphasizes one or two elements of guitar technique.

Luigi Legnani (1790-1877) - Vienna

Metodo per la Chitarra, Op. 250 (1850)

This survey aptly concludes with a virtuoso who pushed guitar technique to new heights beyond the astounding achievements of his predecessor, Mauro Giuliani. Legnani's capabilities as a guitarist and his struggle to advance the instrument beyond its perceived technical limits brought him to identify with the emerging spirit of the virtuoso in the mid to late Romantic period. His respect for Paganini influenced him to compose the *36 Caprices*, Op. 22 for solo guitar. Like Paganini's famous collection for the violin, Legnani's set is a bombastic display of virtuosity that demands the most refined technique and expressive sensitivity.

Legnani's *Metodo*, Op. 250 was published in Milan, but was likely a popular resource in Vienna. Given that earlier works were published in Vienna and his celebrated fame in the city during a long stay during Schubert's life, Legnani's method was probably sold there as well. Legnani was certainly influenced by his experiences in Vienna. His system of right-hand fingering closely follows the Viennese system in its terms, symbols and application. Like his predecessors, Legnani uses the left hand thumb to depress notes on the lower strings.

Scales must have played an important role in Legnani's technical development. The largest portion of technical material involves diatonic scales up and down the neck followed by chromatic scales in one position and across the first string. Legnani interrupts the strict technical exercises to explain intervals, note values, expressive markings, ornaments, relative keys, and cadences. The information conveyed in these sections does not extend any unique knowledge. Arpeggio exercises similar to Giuliani's 120 end the method. However, these are unmeasured exercises and do not show the cohesive organization of Giuliani's approach.

CHAPTER III

SCHUBERT'S REPERTOIRE WITH GUITAR

Manuscripts and Works Published/Arranged: 1797-1828

In the nineteenth century, it was common for publishing houses to make guitar arrangements of vocal accompaniments. Not only was the guitar closely associated with vocal accompaniment, but the public demand for so-called *Haus Musik* made the inexpensive scores an excellent promotional tool for any composer's career. During this period, however, there were no copyright laws and publishers often took advantage of the arrangement. In Schubert's instance this is most notable in the case of Diabelli's publication of "Der Wanderer" in 1822. Following the success of "Erlkönig", Schubert naïvely sold Diabelli all the rights to the published songs for about \$5,300 USD. In the next few years, Diabelli made over \$132,000 USD on "Der Wanderer" alone. In contrast, Schubert's lifetime earnings from all his published compositions were only \$25,300 USD.⁵⁶ These amounts were converted to the modern U. S. currency value based on the 2004 retail price index.⁵⁷

While over 20 of Schubert's Lieder were arranged for the guitar during his lifetime, many are more idiomatic to the piano and do not represent the guitar accompaniment style typical to the period. One of the most celebrated characteristics among Schubert's Lieder accompaniments is the role that the accompaniment plays in providing vivid text painting. Just a couple well-known examples include the driving octave triplets representing a horse's hooves in "Erlkönig", and the enharmonic spelling of harmonies in "Der Doppelgänger" alluding to the subject of the text.

⁵⁶ Newman Flower, *Franz Schubert: The Man and his Circle* (New York: Tudor Publishing, 1936), 129; 205.

⁵⁷ Lawrence H. Officer, "What Is Its Relative Value in UK Pounds?" Economic History Services, October 30 2004, URL: <<http://http://www.eh.net/hmit/ukcompare/>> (Accessed June 30, 2005).

These accompaniments not only illustrate the text, but also instill an active dialog between the voice and instrument. On the other hand, most guitar accompaniments of the time more closely resembled the style used in “Gretchen am Spinnrad”. In this Lied, Schubert uses the perpetual rustling of a sextuplet arpeggio pattern to suggest the spinning wheel mentioned in the text. A similar pattern is used in “Die Nacht”.

The image shows a musical score for the song "Die Nacht". It consists of two staves. The top staff is the vocal line, written in G major (one sharp) and 4/4 time. The lyrics are "Die Nacht bricht an, mit". The bottom staff is the guitar accompaniment, also in G major and 4/4 time. It features a sextuplet arpeggio pattern in the right hand, with the notes i, m, a, m, i. The pattern is repeated six times per measure. The left hand plays a simple bass line with chords. The dynamic marking is piano (p).

Example 10: Excerpt from “Die Nacht”, mm. 1-3.

Guitar Performance Practice in the Biedermeier Period

Over the past 100 years, performance practice and interpretive instructions have become much more exacting than during the nineteenth century. Current trends in performance lead many to consider what the composer intended. This approach has led some to argue that since Schubert did not leave manuscript evidence of guitar accompaniment in his Lieder, then arrangements should not be allowed. In his seminal article, “Schubert with guitar...Permissible?”, Thomas Heck suggests that nineteenth-century practices proven by contemporary advertisement and publication of guitar arrangements should allow for modern interpretations of Schubert Lieder with guitar. In addition to further developing Heck’s work, I have approached this subject by studying the behavior and culture of the Viennese musical traditions in the Biedermeier.

There was great flexibility in music performance during Schubert’s lifetime. Accompaniments could be altered to suit the performer, as Schubert did himself with “Erlkönig”. It was not only accepted, but expected that a performer would alter or arrange

an accompaniment to meet the needs of a particular performance. Whether these alterations were made for practical or technical reasons was not a concern of the common listener.⁵⁸ It seems to me that this alone invites accompaniment on the guitar.

Still other factors account for the trend toward considering the guitar suitable for such accompaniment. Relative similarities in the acoustic properties between the nineteenth-century guitar and fortepiano offer another factor contributing to the use of the guitar as an accompanying instrument. During the early nineteenth century, leather-covered hammers, and lighter construction softened the timbre and diluted the attack of the fortepiano. The timbre and balance between the guitar and fortepiano must have complemented each other because composers during the Biedermeier paired the guitar and piano in ensembles with greater frequency than any other time in music history.⁵⁹ Finally, there is sound documentation that the guitar was frequently used to accompany Schubert's part-song and Lieder in Schubert's presence. Later discussion of this issue will address how common performance practice may have led this to occur.

In spite of controversy, there is primary source material proving that Schubert wrote for the guitar. The following works exist in manuscript with guitar accompaniment: "Terzetto", D. 80, *Quartetto*, D. 96, and "Das Dörfchen", D. 598a (first version). This first version of "Das Dörfchen" is not included in the *First Complete Schubert Edition*. In place of this version is the second version ("Das Dörfchen", D. 598b) which is featured in the *Schubert Edition* as Op. 11, no. 1. Each of these pieces includes all or part of Schubert's own writing for the guitar. Portions of these works provide evidence of the extent of Schubert's ability and knowledge of the instrument. It is therefore reasonable to suggest that Schubert referred to the guitar while composing these works. While the "Terzetto" and *Quartetto* have been published in numerous editions, the manuscript of the first version of "Das Dörfchen" was never studied in an academic setting or published due to lack of popular interest in its genre after the Biedermeier period.

⁵⁸ Maurice John Edwin Brown, *Schubert: a critical biography* (London: MacMillan, 1961), 47. When performing "Erlkönig" with tenor Josef Barth (dedicatee of the male voice quartets, Op. 11), Schubert would play octaves in the left hand as eighth notes, not triplets.

⁵⁹ Schult, 35.

Composition at the Guitar

Schubert lived with poet Johann Mayrhofer from 1818 to 1820, which was an incredibly productive period for the composer. Schubert's friend, Anselm Hüttenbrenner, recounts Schubert's workday: "...Schubert...set himself down at the desk daily at six in the morning and composed through until one o'clock in the afternoon. During this a few pipes would be smoked. In the afternoons, he would go to the coffee-house, drink, smoke, and read the papers for a few hours."⁶⁰ Guitarist Johann Umlauff visited Schubert on his way to work in the morning and often found Schubert composing. Umlauff recounted in his memoirs that he would perform the freshly composed accompaniments on the guitar.⁶¹

Although Schubert likely referred to the guitar while writing the "Terzetto" and possibly the *Quartetto*, he did not usually compose at the instrument as some might assume. A class mate at the Imperial Seminary, Anton Stadler, confirms that Schubert composed at the desk with no piano and no guitar.

It was interesting to see him compose. Very rarely did he use the piano. He often said that would interrupt the train of his thoughts. Quietly and little troubled by the talking and noise of his fellow students...he sat at his little table, a sheet of notepaper in front of him, and closely stooped over...chewing the pen, sometimes playing (as if trying a passage) with his fingers on the table, and writing easily and fluently without many corrections, as if it had to be just so and not otherwise."⁶²

⁶⁰ Walther Dürr and Andreas Krause, *Schubert-Handbuch* (Kassel: Bärenreiter, 1997), 190.

⁶¹ Schult, 32.

⁶² Osborne, 11.



Figure 5: Painting of an origin unknown at time of publication, accessed October, 2006 from www.wnyc.org. Schubert composing at his desk.

Together with the previous contemporary accounts from Mayrhofer and Spaun regarding the composition of Lieder, we can extinguish the myth that Schubert composed at the guitar – or at the piano for that matter. Of course, this does not rule out any reference he may have made to one of the instruments. Still, one conclusion regarding the guitar’s role in composition seems reasonable. Stadler mentioned that Schubert “rarely used the piano” and Mayrhofer along with Spaun recounted that Schubert did not own a piano, but did own or have access to guitars. Therefore, a fairly reliable conclusion can be made that Schubert very rarely used the guitar to compose. Despite the claims of some earlier researchers, my conclusion is based on two reliable primary sources. There is, on the other hand, no identified, much less reliable, primary source that reports the popular (and even romanticized) conjecture of Schubert composing at the guitar.

Philip Bone reported that Schubert composed all his accompaniments for the guitar and later arranged them for piano at the request of his publishers.⁶³ This would appear to be a complete falsehood, not based on any historic evidence. At the other extreme, Otto Erich Deutsch discredited virtually all of Schubert’s involvement with the guitar off hand without well-documented evidence to support his confident criticisms and assertions.⁶⁴ Three notable examples of this are found in his supposition that Schubert did not own a guitar, his discrediting of Schubert’s original work in the *Quartetto*, and his misleading comments regarding arrangements in the first Schubert complete edition.

⁶³ Philip J. Bone, *The Guitar and Mandolin: Biographies of Celebrated Players and Composers* (London: Schott and Co., 1954), 97.

⁶⁴ Deutsch in Reinhard van Hoorickx, “Schubert’s Guitar Quartet, D. 96,” *Revue belge de Musicologie* 31 (March-April 1977): 122.

Further survey of these reports will reveal how twentieth-century research has made Schubert's relationship with the guitar more of a mystery behind the facade of musicological quandary.

CHAPTER IV

SCHUBERT'S VOCAL WORKS WITH GUITAR ACCOMPANIMENT

Male Voice Trio and Quartet

Today, Schubert's works for guitar and solo voice are better known than his chamber ensembles with guitar. Aside from the Lieder arrangements published through Diabelli, Schubert composed several part-songs with guitar accompaniment included in the score or intended for performance. Unlike, the polyphonic Renaissance works of this genre, nineteenth-century part-songs were usually written in a homophonic style where lower parts support virtuosic, melodic voices in the upper register.

Part-songs were written for all varieties of vocal ensembles in the nineteenth century. Works for male voice trios and quartets were especially popular in Vienna. By the time Schubert began composing works for male vocal ensemble, he was already familiar with the works by Michael Haydn and Carl Maria von Weber; both of whom established the male vocal quartet as a popular ensemble of the Biedermeier period. Because he wrote early examples in this setting and developed the genre throughout his career, Michael Haydn is considered the father of the male vocal quartet. He published works from the city of Styer, Austria as early as 1788. Such works are closely associated with the Biedermeier period and were immensely popular in Vienna from 1815 to the 1860s.⁶⁵

Schubert's contemporaries, such as Leonhard von Call, Felix Mendelssohn, and Robert Schumann, also wrote works for male vocal quartet. This form attracted public acclaim at all levels of society. Though claiming the interest of the discerning bourgeois public, Schubert's works for male quartet achieved a state of refined Biedermeier folk

⁶⁵ Hans Georg Schmidt, "Das Männerchor Lied Franz Schuberts" (Cologne: Cologne University, 1928), 33.

music. The musical treatment of natural scenes and humble sentiments are in agreement with observed changes in the visual arts and convey the social spirit of the time. Overall, the resemblance to a musicologist's definition of folk music is astounding. Charles Haywood summarizes folk characteristics as follows:

These are, briefly, a prevailing emphasis on the major mode, a diatonic sequence of melodic configuration, a regular pattern of tonal structure, a close correlation of syllabic stress with accented beats of the bar, and a strong predilection for part-singing.⁶⁶

Even a cursory analysis of Schubert's male quartets reveals that these characteristics prevail. Works in this collection include the male voice quartets of Op. 11 and Op. 16. Further study later in the article will address how these pieces align with this definition of folk music and relate to the character of the Biedermeier period. It would be naïve, however, to suggest that Schubert was a composer of folk music. In the following study of these pieces I will highlight these similarities and explain Schubert's departure from this broad definition of folk music.

Over 70 works of this genre are found throughout Schubert's career from 1813 to 1828. While later part-songs brought Schubert public recognition and acclaim, he did not seem to take great interest in the genre during his school years. He would often arrive at the weekly rehearsals with other Salieri students without a work prepared. Hüttenbrenner recalled how Schubert briskly wrote a part-song at one meeting to allow a reading of the new work. At these rehearsals and performances, Schubert learned the characteristics of part-song and became familiar with the contemporary Biedermeier style. These experiences were essential to Schubert's later work in the genre. Additional influence may have come from the contact with schoolmate and guitarist Franz von Schlechta who participated in these rehearsals.

Between 1819 and 1822, Schubert was writing in the part-song genre quite frequently and was gaining popularity from performances of these works. Unfortunately, by 1823 the public's interest had waned as Schubert attested in a letter to guitarist Leopold von Sonnleithner in January, 1823: "You know yourself how it was with the reception of the latest [vocal] quartets: people have had enough of them..."⁶⁷

⁶⁶ Charles Haywood, *Folk Songs of the World* (New York: The John Day Co., 1966), 109-110.

Schubert's work in this manner developed over the course of his career into larger ensembles and larger forms. His early works in this genre between 1813 and 1815 are all trios (T.T.B.). Later, between 1815 and 1816, in this genre he composed only quartets, and thereafter Schubert composed quartets and quintets until the end of his life. Most of these pieces were intended for *a capella* performance, however, some exist with guitar or piano accompaniment. In many cases, these accompaniments were added just before publication by Schubert or his publisher, Diabelli. Although professional choirs and vocal ensembles would easily perform the works *a capella* after regular rehearsal, accompaniment was needed for impromptu performances and amateur gatherings that included the pieces for light entertainment. For these reasons, Diabelli and later publishers saw the addition of piano or guitar accompaniment as a necessity.

General traits of these works are marked by the use of homophonic texture with the melody carried not only in the upper voice, but passed through the parts. The usually simple harmonic language more characteristically agrees with the homophonic texture. This texture is spread over slower harmonic rhythm where insistent meters carry greater weight on the downbeat. On occasion voices enter in canon, but the device is never carried out to a full, polyphonic development. Schubert imbues the limited harmonic vocabulary of these works with more sophisticated intermediate harmonies, tertian key relationships, and smoother voice leading—all these traits suggest the composer's transcendence of the Biedermeier style.

As previously cited, one extant manuscript is the "Terzetto," D. 80 for male trio and guitar. There are two important points about this ensemble that are often overlooked by scholars. One fact that is often taken for granted is that the male trio, performed by one singer per part, was a product of the Biedermeier period and even the Austrian folk tradition extending back to the 1780s. Another significant fact that to my knowledge has not been considered is the performance practice of Biedermeier male part-songs. While the "Terzetto" includes guitar accompaniment, most of Schubert's works for this ensemble were written *a cappella* and survive in manuscript without accompaniment. This does not mean, however, that the ensemble sang without any form of

⁶⁷ Otto Erich Deutsch, ed., *Franz Schubert's Letters and Other Writings* (Westport: Greenwood Press, 1970), 65.

accompaniment. Johann Herbeck, in his introduction to the *New Edition of Choruses by Franz Schubert* (published by C. A. Spina in 1865), relates that during Schubert's time "changes were made to the accompaniment as needed" and that "it doesn't matter which accompaniment form one uses whether you are met with a piano or a guitar." More remarkable is his observation that "Schubert himself thought of the accompaniment more as a harmonic basis or simple support of the voices..."⁶⁸ This sentiment was shared by one Biedermeier singer who attested that the accompaniment did not have to be supplied. He wrote: "If an instrumental accompaniment is given, then one uses it to perform on a cembalo, piano, guitar or whatever...if an instrumental accompaniment is missing, then it would be improvised."⁶⁹ This lies in stark contrast to Schubert's planned use of the accompaniment in solo Lieder for text painting and dramatic emphasis.

This information begs the questions: How many of Schubert's part-songs like "Das Dörfchen," D. 598b were performed with an improvised guitar accompaniment in accordance with Biedermeier performance practice and tradition? Might Schubert have left the works without accompaniment, based on the knowledge that an instrumentalist would simply improvise the part? It is likely that whether these accompaniments were provided or not, the guitar would provide acceptable accompaniment at parlor gatherings and the outdoor social gatherings where these works were often performed. In any event, these jocular quartets with light-hearted texts provided perfectly suited entertainment for Schubert's amateur yet discerning audience. Accompaniment patterns such as those included in "Terzetto," D. 80 are found throughout Schubert's Lieder and, as observed in Lieder accompaniments, these patterns are a standard feature of guitar parts throughout the Biedermeier. Recall the example discussed from Dionisio Aguado's *Metodo para Guitarra*, 1825 which elucidates how the guitar accompaniments patterns of the period so closely related.

The works for male quartet that make up Schubert's Op. 11 are "Das Dörfchen" (D. 598b),⁷⁰ "Die Nachtigall" (D. 784), and "Geist der Liebe" (D. 747). Manuscripts to

⁶⁸ Dietrich Berke, *Franz Schubert: Neue Ausgabe sämtlicher Werke* (Kassel: Bärenreiter, 1974), xxii.

⁶⁹ Walther Dürr and Andreas Krause, *Schubert-Handbuch* (Kassel: Bärenreiter, 1997), 278.

these pieces are written for four male voices without accompaniment. “Geist der Liebe” was performed at a *Gesellschaft* concert on March 3rd, 1822 and again on August 27th, 1822 with the guitar accompaniment played by a Mr. Schmidt.⁷¹ Guitarists such as Johann Umlauff participated in the first performances of these works.⁷² At a more intimate gathering, Mauro Giuliani was among the company that formed male voice quartets.⁷³ This occasion apparently included more than one voice per part.

It was only to meet demands of his publishers that Schubert supplied piano accompaniments to the choruses; and Diabelli requested piano accompaniments for the works published between 1822 and 1827. The publication of Op. 16 including “Naturgenuss” (D. 422) and “Frühlingsgesang” (D. 740) carried the words “*mit willkürlicher Begleitung des Pianoforte oder Gitarre*” (with obligato accompaniment of piano or guitar). The *First Schubert Edition* and contemporary publications with guitar accompaniment established a precedent for this practice. This edition was followed by a spurious alternate edition. This composite publication combined copied versions of Schubert’s *Trauer Walzer* with verses from Matthisson’s poem “Naturgenuss.”

All together there are six works for male voices with guitar accompaniment: “Terzetto” (D. 80), “Das Dörfchen” (D. 598b), “Die Nachtigall” (D. 784), “Geist der Liebe” (D. 747), “Naturgenuss” (D. 422), and “Frühlingsgesang” (D. 740). Through the success of these works in public performance, Schubert became known in Vienna as a first-rate composer of male quartets. Performances of this popular genre played a vital role in his contemporary success but remain secondary to the repertoire that has become a staple of the classical canon. These performances were usually included on concerts consisting of potpourris of various genres and were used to provide stylistic balance and relief from works of a more serious nature as seen in the programs included later in this discussion.

⁷⁰ Formerly listed as D. 641 in the Schubert Thematic Catalogue, this work is now referenced as D. 598b. See Maurice John Edwin Brown with Eric Sams, “Schubert, Franz” (work-list), *Grove Music Online* ed. L. Macy (Accessed 21 December 2005), <<http://www.grovemusic.com.proxy.lib.fsu.edu>>

⁷¹ Deutsch in Reinhard van Hoorickx, “Schubert’s Guitar Quartet, D. 96,” *Revue belge de Musicologie* 31 (March-April 1977), 122.

⁷² Newman Flower, *Franz Schubert: The Man and his Circle* (New York: Tudor Publishing, 1936), 345.

⁷³ *Ibid.*, 335.

These works for male voices helped Schubert foster a close relationship with the *Gesellschaft der Musikfreunde* (Friends of Music Society), one of Vienna's most influential art foundations. Founded in 1812,⁷⁴ the *Gesellschaft* set forth in its *Statuten* (Statutes) a detailed account of how the society would run its concerts and business.⁷⁵ The guitar is included on a list of acceptable performing forces for society concerts found in the statutes' rules and bylaws. In fact, many of the society's members were guitarists, including Schubert's friend Leopold von Sonnleithner. Although the *Gesellschaft* performed his works, Schubert witnessed the exclusive nature of the society's membership when his application was denied in 1818, perhaps because he was neither a well-published composer nor a capable performer.

Historic changes in Vienna's concert experience fostered a remarkable connection between the *Gesellschaft* bylaws, the society's concerts, Schubert's Lieder and part-songs, and the role of the guitar. In 1818, the *Gesellschaft* launched a second concert series titled *Abendunterhaltungen* (Evening Entertainments) devoted to Lieder, polyphonic vocal works, and chamber music. Prior to this date, the *Gesellschaft* concerts were restricted to society members and consisted primarily of concerti, symphonies, and selections from solo works—all genres where the guitar was less often utilized. After the reform in the new concert series, the guitar played a greater role in the evening concerts. Works for male voices were frequently performed with an improvised or arranged guitar accompaniment.⁷⁶ Popular acclaim for "Das Dörfchen," D. 598b was so great that it was repeated for an encore performance. Similar success with his part-songs played an important part in Schubert's relationship with the *Gesellschaft* and Viennese music society at large. After years of rejection, Schubert was finally admitted to the society in 1821 and assigned the status of composer and performer on viola and piano.⁷⁷ This

⁷⁴ Walther Dürr and Andreas Krause, *Schubert-Handbuch* (Kassel: Bärenreiter, 1997), 56. Some scholars cite 1818 as the founding date of the *Gesellschaft*. Neither is sensible since the *Statuten* were written in 1814. Writing in 1823, Anton Ziegler cited that the *Gesellschaft* was founded in 1813.

⁷⁵ Gesellschaft der Musikfreunde in Wien. *Statuten der Gesellschaft der Musikfreunde des österreichischen Kaiserstaates* (Vienna: Anton Strauss, 1814), 31.

⁷⁶ Josef Zuth, "Franz Schuberts Gesänge mit Gitarrebegleitung. Eine Übersicht und Absage," *Der Neue Pflug* 3, no. 7 (1928): 68.

suggests that he cannot be considered an accomplished guitarist, because the guitar was a noted performing force and Schubert did not register as a capable guitarist. Further support for the composer came when his works were performed with great acclaim at the *Gesellschaft* concerts with guitar accompaniment in 1822.⁷⁸

Sample programs from the *Abendunterhaltungen* concert by the *Gesellschaft* elucidate the important role of the vocal quartet in concert programming. Below are two programs that illustrate the variety and depth of repertoire included on the typical *Gesellschaft* concert. Together these programs are evidence of the genre's popularity over a number of seasons.

Concert Program - March 3rd, 1822⁷⁹

Great Symphony in C "Jupiter"	-Mozart
Vocal Quartet "Geist der Liebe"	-Schubert
Concerto for Violin I	-Mayseder
Overture to <i>Egmont</i>	-Beethoven
Finale from <i>Silvana</i>	-C. M. von Weber

Concert Program - November 10th, 1825⁸⁰

Quartet	-Mayseder
Variations	-Molinara
Polonaise	-Mayseder
Duet from <i>Elisa und Claudio</i>	-Mercadante
Potpourri for Cello	-Romberg
Vocal Quartet "Geist der Liebe"	-Schubert
Trio with Choir from <i>Der Freischütz</i>	-C. M. von Weber

⁷⁷ Otto Biba, "Franz Schubert und die Gesellschaft der Musikfreunde in Wien," *Schubert-Kongress Wien 1978: Bericht*. Brusatti, Otto ed., (Graz: Akademische Druck, 1979): 25.

⁷⁸ Idem, "Schubert's Position in Viennese Musical Life," *Nineteenth-Century Music* 3, no. 2 (November, 1979): 107.

⁷⁹ Raymond Erickson, *Schubert's Vienna* (New Haven: Yale University Press, 1997), 106.

⁸⁰ Ibid.

“Terzetto,” D. 80 (1813): Schubert’s First Work for Guitar

Schubert had undoubtedly attained some level of understanding for the guitar when he completed a “Terzetto” for two tenors and bass with guitar accompaniment on September 27th, 1813. This work is one of his earliest for male voices, but was not his first. At 16 years old Schubert composed the music and the words, which convey the boy’s love for his father. Also titled “Kantate” by Schubert, this work was dedicated to the honor of his father’s name day in Schubert’s own words at the end of the manuscript: “zur Namensfeier meines Vaters.”⁸¹ Reliable sources backed by previous investigation show the premiere was given on October 4th, 1813 by brothers Ignaz, Karl, and Ferdinand accompanied by Franz on the guitar.⁸² Some scholars believe this was not the only instance in which Schubert accompanied his brothers on the guitar.⁸³ This early work is a simple melodic setting of Schubert’s predictably rhymed text. The guitar part consists of idiomatic arpeggio figures and simple chord patterns which, except for a brief solo, do little more than support the vocal trio. The accompaniment patterns are comparable to those used in other guitar works from the period and include the three main forms discussed previously:

- Arpeggio patterns idiomatic to the guitar.
- Chordal patterns that lie within the first few positions on the guitar.
- Vamp patterns that are characteristic of folk music from the period.

⁸¹ In the Catholic tradition children are often named for saints. A name day celebrates a saint’s holiday on the Catholic calendar.

⁸² Otto E. Deutsch and Donald R. Wakeling, *Schubert Thematic Catalogue of all His Works* (New York: Edwin F. Kalmus, 1950), 33.

⁸³ Marcel Schneider, *Franz Schubert. In Selbstzeugnissen und Bilddokumenten, aus: Rowahlt’s Monographien, herausgegeben von Kurt Kusenberg* (Hamburg: 1968). Cited in Vike Schult, 31.

Arpeggio Pattern mm. 8-10

Musical score for Arpeggio Pattern mm. 8-10. The score is in treble clef with a key signature of three sharps (F#, C#, G#) and a common time signature. It consists of three staves. The top staff contains vocal lines with lyrics: "A - pol - - - lo,". The middle staff is a bass line. The bottom staff features a piano accompaniment with a repeating arpeggio pattern of eighth notes, marked with a piano (*pp*) dynamic and a triplet of eighth notes.

Chordal Solo Interlude mm. 34-39

Musical score for Chordal Solo Interlude mm. 34-39. The score is in treble clef with a key signature of three sharps (F#, C#, G#) and a common time signature. It consists of two staves. The top staff shows a series of chords, including a piano (*p*) chord and a fortissimo (*sf*) chord, with a melodic line. The bottom staff shows a series of chords, including a fortissimo (*sf*) chord and a piano (*p*) chord, with a melodic line.

Vamp Pattern mm. 63-69

Musical score for Vamp Pattern mm. 63-69. The score is in treble clef with a key signature of three sharps (F#, C#, G#) and a common time signature. It consists of three staves. The top staff contains vocal lines with lyrics: "End - - - -". The middle staff is a bass line. The bottom staff features a piano accompaniment with a repeating vamp pattern of chords, marked with a piano (*p*) dynamic and a fortissimo (*ff*) dynamic.

Example 11: Excerpts from "Terzetto", D. 80.

The image shows a musical score for Schubert's "Terzetto," D. 80. It consists of three staves. The top two staves are for the vocal line, and the bottom staff is for the guitar accompaniment. The key signature is A major (three sharps) and the time signature is 2/2. The vocal line has lyrics: "los, end - - - los wie - der" and "i m a m i". The guitar accompaniment features triad inversions. Dynamics include "p" (piano) and "p" (piano).

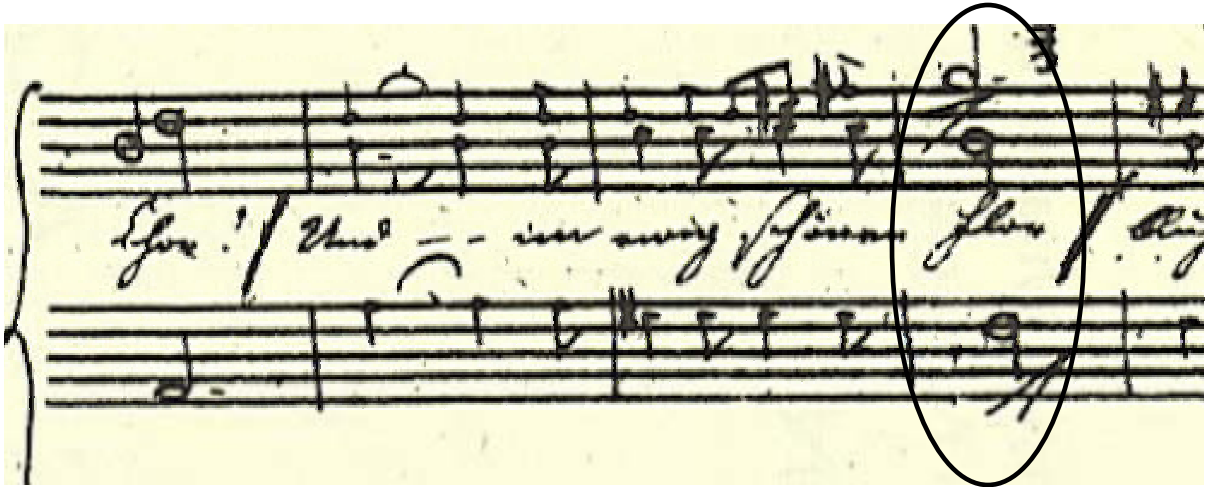
Example 11 continued.

The “Terzetto,” D. 80 is set in A major and begins with a short introduction marked “Andante” in $\frac{2}{2}$ meter. Reference to the lyre is made in the introduction with the words: “*Ertöne Leier zur festes Feier*” (Lyres ring out for the festive celebration). The lyre is represented by Schubert in the guitar accompaniment. This is a particularly interesting choice of words, considering the lyre-guitars at the time. This declamatory preamble moves on to a flowing Allegretto in $\frac{6}{8}$ that holds the core of the work’s festive message.

Pieced together through a series of triad inversions, the guitar solo does not live up to the instrument’s true potential and has little or no thematic and motivic connection to the previous material. The only commonality between the established Allegretto and the guitar solo is the gently lilting rhythm created with the alteration of quarter-notes and eighth-notes. On the other hand, the writing in this passage includes a particular character of Schubert’s guitar writing. By restricting the guitar’s range and carefully writing within the structure of diatonic harmonies, Schubert avoids any part-writing faults in his composition while using the instrument idiomatically. There is a certain grace in the passage that is illustrated by the tonic pitch A acting as a common tone to approach a German augmented-sixth chord. This highly unstable harmony is later respelled as an Italian augmented sixth chord (perhaps to avoid parallel fifths just before resolving to an E-major chord). Many modern editions mistakenly rewrite this portion without observing

the movement to the Italian augmented sixth, thus including the parallel movement. This is a common matter of voice leading that Schubert would have learned from Salieri.

A peculiar and often misinterpreted notation appears frequently in this work. Throughout his manuscripts for virtually all genres, Schubert wrote rather long accent marks that appear at various angles, sometimes stretched over several notes.



Example 12: Excerpt from manuscript to “Terzetto”, D. 80, mm. 27-30.

At times, these appear similar to be decrescendo markings. This, however, is not intended. The marks are meant to produce, in a sense, a blend between the two markings. Scholars including Walther Dürr, the editor of the *Schubert Handbuch*, hold the position that Schubert considered the decrescendo and accent marks to have a similar effect.⁸⁴ Examples of this marking are found in the “Terzetto” mm. 30, 42, 65, 67, 87, and 89. These instances are marked on the manuscript below.

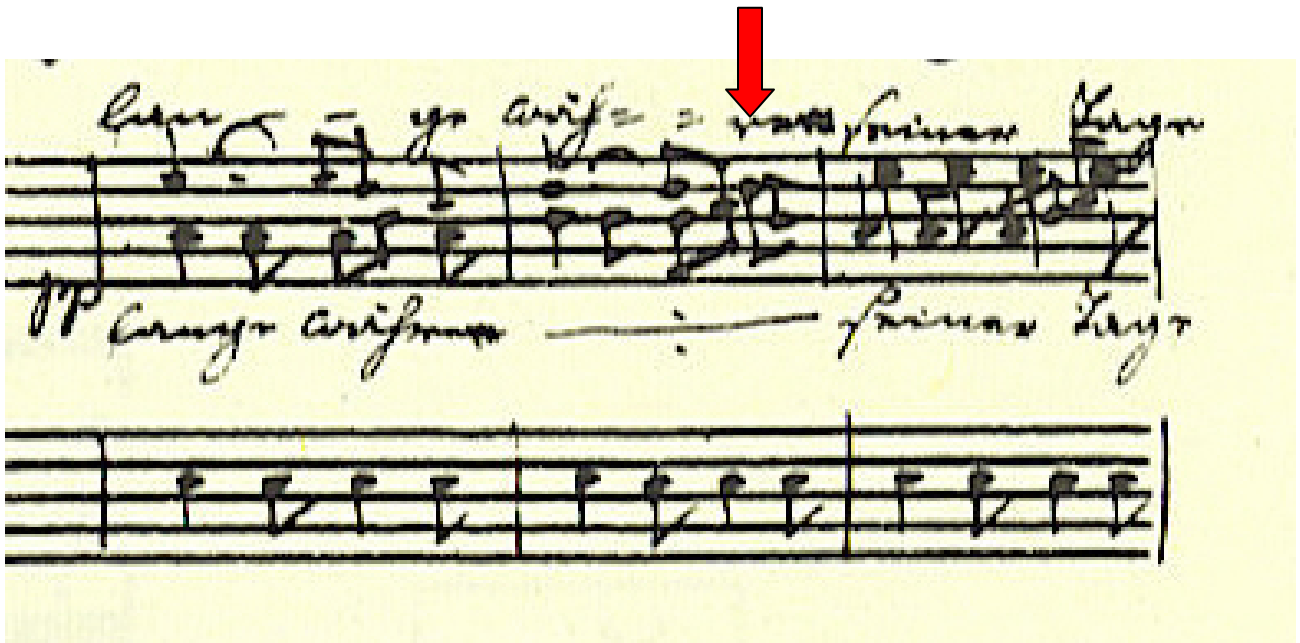
⁸⁴ Walther Dürr, *Franz Schubert: Neue Ausgabe sämtlicher Werke*, Dietrich Berke, ed. (Kassel: Bärenreiter, 1974), xiv.

(10) *Opfer* *and* *and* *and*
 (11) *Opfer* *and* *and* *and*
 (12) *Opfer* *and* *and* *and*
 (13) *Opfer* *and* *and* *and*
 (14) *Opfer* *and* *and* *and*
 (15) *Opfer* *and* *and* *and*
 (16) *Opfer* *and* *and* *and*
 (17) *Opfer* *and* *and* *and*
 (18) *Opfer* *and* *and* *and*
 (19) *Opfer* *and* *and* *and*
 (20) *Opfer* *and* *and* *and*
 (21) *Opfer* *and* *and* *and*
 (22) *Opfer* *and* *and* *and*
 (23) *Opfer* *and* *and* *and*
 (24) *Opfer* *and* *and* *and*
 (25) *Opfer* *and* *and* *and*
 (26) *Opfer* *and* *and* *and*
 (27) *Opfer* *and* *and* *and*
 (28) *Opfer* *and* *and* *and*
 (29) *Opfer* *and* *and* *and*
 (30) *Opfer* *and* *and* *and*
 (31) *Opfer* *and* *and* *and*
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 (35) *Opfer* *and* *and* *and*
 (36) *Opfer* *and* *and* *and*
 (37) *Opfer* *and* *and* *and*
 (38) *Opfer* *and* *and* *and*
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 (82) *Opfer* *and* *and* *and*
 (83) *Opfer* *and* *and* *and*
 (84) *Opfer* *and* *and* *and*
 (85) *Opfer* *and* *and* *and*
 (86) *Opfer* *and* *and* *and*
 (87) *Opfer* *and* *and* *and*
 (88) *Opfer* *and* *and* *and*
 (89) *Opfer* *and* *and* *and*
 (90) *Opfer* *and* *and* *and*
 (91) *Opfer* *and* *and* *and*
 (92) *Opfer* *and* *and* *and*
 (93) *Opfer* *and* *and* *and*
 (94) *Opfer* *and* *and* *and*
 (95) *Opfer* *and* *and* *and*
 (96) *Opfer* *and* *and* *and*
 (97) *Opfer* *and* *and* *and*
 (98) *Opfer* *and* *and* *and*
 (99) *Opfer* *and* *and* *and*
 (100) *Opfer* *and* *and* *and*

Example 13 continued.

If the performer interprets these markings as simple decrescendo marks, an interesting incongruence occurs. Some of the melodic lines are rising and reaching a climax just as these markings appear. By interpreting them as decrescendos, the performer would interrupt the natural goal of the melodic line.

The male vocal quartet as a form may suggest to some listeners a similarity to chorale-style writing. Contrary to the strict rules of chorale texture used by J. S. Bach, Schubert's vocal trios and quartets are characterized by much greater independence of vocal line. Schubert learned from Antonio Salieri, in the tradition of the male voice quartets by Michael Haydn, that each voice was independent within the ensemble. This meant that voices were able to cross each other, such motion occurs frequently in the "Terzetto." One prominent example is found in measure 25, where a voice exchange is literally composed out as a voice crossing.



Example 14: Excerpt from manuscript to "Terzetto", D. 80, mm. 24-26.

After this exchange the two tenors remain crossed until the end of the phrase. Schubert's use of voice crossing allows the upper voice freedom from the responsibility of carrying the melody at the expense of an interesting contour and offers greater variety in the inner voice. In a well blended trio these voice crossings are not disturbing and are in fact pleasant. Because Schubert was writing for two separate parts of the same vocal timbre and range, he was able to weave the parts together without interrupting the

attention to broad contour that is a trademark of his vocal writing. This is what Hugo Riemann called the “Emancipation of the Upper voice” in his study of male part-songs.⁸⁵

The art of interpretation is a central concern among musicians. An effective performance relies upon the communication of clear ideas in a highly subjective context. As a matter of course, analysis of a particular work’s formal structure and harmony offers a vital aid that the interpreter can draw upon to solidify his/her fundamental concept of a piece. The analytic method developed by Heinrich Schenker embraces linear and structural elements of tonal music to highlight the most structurally significant, events in a particular work while framing certain precepts necessary for more generalized comparison. Because Schenkerian analysis interprets significant structural events, it provides a suitable intersection between performance and analysis. One of Schenker’s students, Franz Eibner (1914-1986), published several analyses of Schubert’s work. The following is commentary on Eibner’s analysis of the “Terzetto,” D. 80, published in *Die Musikerziehung* (1966) and should be read in conjunction with that article. Appendix D contains my English translation of the original German text. Later, my own Schenkerian sketch is offered as an original interpretive analysis in effort to provide contrast to Eibner’s interpretation.

Comparative Analysis of “Terzetto,” D. 80 with a Survey of Previous Analysis by Franz Eibner

In comparison to Schubert’s complete oeuvre, the “Terzetto,” D. 80 garners little interest among Schubert scholars in the theory and musicology fields. But this work carries significant importance in the course of guitar history and is a perennial favorite in discussions among students and scholars of guitar history and literature. In his 1966 article for *Musikerziehung*, Franz Eibner not only cites the work’s significance as Schubert’s only complete extant manuscript for guitar, but goes further to say that the

⁸⁵ Hans Georg Schmidt, “Das Männerchorlied Franz Schuberts” (Cologne: Dissertation, Cologne University, 1928), 33.

piece holds a unique place within Schubert's repertoire as a vibrant example of the young composer's talent.

While I agree with Dr. Eibner's statements on the important role this work plays in the classical guitar repertoire, I believe that his review of the work's compositional integrity is eclipsed by his personal interest in ameliorating the guitar's chamber music repertoire by means of positive—sometimes hyperbolic—critique and analysis. My analysis of the work includes a mid-level sketch of the most salient features in the guitar and voices. The most notable difference between my interpretation and Eibner's is the significance of the mediant harmony. Eibner's analysis (found in Appendix D) places an artificial importance on the mediant harmony that seems forced. It seems to me that the G major chords in mm. 47 to 50 do not provide sufficient support for a new tonal area. However, Eibner uses their occurrence to illustrate a bass arpeggiation of the minor dominant harmony. This also seems highly improbable considering the relative infrequent use of the lowered mediant harmony and the incongruent nature of a minor dominant bass arpeggiation within the context of an otherwise major, diatonic tonal area.

Franz Eibner's sketches seem particularly awkward considering that he was a student of Heinrich Schenker. Eibner's desire to illustrate a bass arpeggiation of the minor dominant results in forced and impractical interpretations in the surface and mid-level analyses. Although Eibner offers a wealth of interesting points about the text and interpretative symbols throughout his analysis, this portion of his paper seems to suggest that he became seduced by how his analysis looked rather than how it sounded. One significantly confused portion of his analysis is at the mid-level at mm. 64. Here a C-sharp major harmony is analyzed as a major mediant harmony in A major. This would be a highly unusual alteration of a relatively rare chord. Given that the chord precedes an F-sharp minor harmony, I would tend to here the altered chord as an applied dominant. Unfortunately, this is only one among many misleading examples within Eibner's text. My own sketch is offered in the spirit of interpreting the same section of the piece for comparative analysis on the part of the reader. Eibner's sketch is found in Appendix D.

The image displays three systems of handwritten musical notation for a Schenkerian sketch of "Terzetto", D. 80. Each system consists of a vocal line (T) and a piano accompaniment line (B+G). The key signature is two sharps (F# and C#), and the time signature is 3/4. The systems are numbered 17-29, 34-46, and 54.

System 1 (Measures 17-29): The vocal line features a melodic phrase starting with a circled measure 17. The piano accompaniment provides harmonic support. Roman numeral analysis below the system is: A: I IV I V⁷ I vi IV I.

System 2 (Measures 34-46): The vocal line continues with a circled measure 34. The piano accompaniment includes some chromatic movement. Roman numeral analysis below the system is: I⁶ IV ^bVI IV E: I V⁷ vi | V⁷ I i ^bVI. A boxed-in section of the piano part is labeled B:ii.

System 3 (Measures 54): The vocal line has a circled measure 54. The piano accompaniment features a complex chromatic passage. Roman numeral analysis below the system is: Ger^{4b} vii^o/I V⁶⁻⁵_{4-#} E: V vi⁶IV⁶⁻⁵V IV vi⁶IV⁶⁵_{4#} V.

Example 15: Schenkerian sketch of "Terzetto", D. 80.

Handwritten musical notation for the first system, featuring a Treble (T) and Bass (+G) staff in D major. The Treble staff contains notes with circled measure numbers 63, 65, and 72. A slur labeled "3rd" spans across measures 64 and 65. The Bass staff includes a circled measure number 64. Below the staves, Roman numerals indicate the chord progression: V V⁶ Vⁱⁱ V⁷ I IV⁶ V I V $\frac{6}{5} \rightarrow$ VI. A circled measure number 64 is also present below the Bass staff.

Handwritten musical notation for the second system, featuring a Treble (T) and Bass (+G) staff in D major. The Treble staff contains notes with circled measure numbers 71 and 72. Fingerings are indicated above the notes in measures 71 and 72. The Bass staff includes a circled measure number 71. Below the staves, Roman numerals indicate the chord progression: V N₄ V I N V₄⁶ = ⁷/₅ VI I N V₄⁶ - ⁵/₃ I. A circled measure number 71 is also present below the Bass staff.

Handwritten musical notation for the third system, featuring a Treble (T) and Bass (+G) staff in D major. The Treble staff contains notes with a circled measure number 76. The Bass staff includes a circled measure number 76. Below the staves, Roman numerals indicate the chord progression: V I.

Example 15 continued.

The image shows two systems of handwritten musical notation. Each system consists of a treble clef staff, a bass clef staff, and a guitar chord diagram staff. The key signature is two sharps (F# and C#).

System 1:

- Treble Staff:** Contains a melodic line starting with a whole note G4, followed by quarter notes A4, B4, C5, B4, A4, G4. A dashed line indicates a slur over the notes from A4 to C5.
- Bass Staff:** Contains a bass line starting with a whole note G2, followed by quarter notes A2, B2, C3, B2, A2, G2.
- Chord Diagram Staff:** Shows guitar chords: A: I ————— E: I ii V# V ii V I V I. A bracket under the second 'ii' chord is labeled 'A:vi'.

System 2:

- Treble Staff:** Contains a melodic line starting with a whole note G4, followed by quarter notes A4, B4, C5, B4, A4, G4. A dashed line indicates a slur over the notes from A4 to C5. Fingering numbers are written above the notes: ^5, ^4, ^3, ^3, ^2, ^1.
- Bass Staff:** Contains a bass line starting with a whole note G2, followed by quarter notes A2, B2, C3, B2, A2, G2.
- Chord Diagram Staff:** Shows guitar chords: A: I II V vi I II V I.

Example 15 continued. Mid-level sketch.

Male Voice Quartets with Emphasis on “Das Dörfchen”

Manuscript and the First “Sketch,” D. 598a (1817)

The standard thematic catalogue of Franz Schubert’s compositions was written and compiled by the art and music historian Otto Erich Deutsch in 1951. The Deutsch catalogue lists two versions of the male voice quartet “Das Dörfchen.” The complete version is assigned D. 641; however, another version exists in manuscript at the *Wiener Schubertbund* (Vienna Schubert Society). This “sketch” version, as Deutsch calls it, was written in 1817 and is assigned D. 598. Deutsch correctly documented that this work exists in an earlier version, but failed to realize that the later version is not only complete, but is longer, with a different B section that includes more verses than the later work. A likely cause of Deutsch’s confusion was the manner of repeated text that appears to end after just eight measures. More significantly, what Deutsch also failed to mention is that the manuscript to D. 598 includes guitar accompaniment.

The other extant manuscripts of male voice quartets in this select group include “Geist der Liebe” (D. 747), “Frühlingsgesang” (D. 709 - first version), “Frühlingsgesang” (D. 740 - second version), and “Naturgenuss” (D. 422). These works were completed *a cappella*, and before Diabelli’s publication of these works Schubert was asked to prepare piano accompaniments. Schubert’s revision of “Frühlingsgesang” (D. 740 - second version) indicates that he fulfilled the request but did not give much attention to the task. The piano accompaniment in this part-song includes a simple, guitar-like accompaniment with block chords that agree with Schubert’s manuscript writing for the guitar. He was obliged to meet Diabelli’s request, but likely preferred that the accompaniments be improvised in accordance with the performance practice of the time. Editors for later publications of these quartets picked up on Schubert’s use of guitar accompaniment in “Das Dörfchen” and published the works with guitar and piano accompaniment.⁸⁶ Whether it was Schubert himself or one of the professional Viennese guitarists mentioned

⁸⁶ Schubert, Franz. “Das Dörfchen”, “Die Nachtigall”, “Geist der Liebe”. (Vienna: Diabelli and Co., 1822). First Publication of the Guitar Accompaniment.

above, whoever arranged the published guitar parts had an intimate understanding of the instrument and its relative limitations.

There are certain expected differences between the piano and guitar accompaniments in these works for male voices. Although these deviations are subtle, they offer profound hints to the authorship of the guitar accompaniments. First, there is evidence that the arranger knew the guitar well. In m. 32 of “Geist der Liebe” the arranger used an enharmonic respelling of the piano’s A-flat minor chord, changing it to G-sharp minor. The broader context on this section suggests that the A-flat minor spelling was originally intended. However, the guitarist arranger wisely anticipated that a guitarist would prefer to read sharps rather than flats, especially when open strings would be involved with C-flat.

The image shows a musical score for the piece "Geist der Liebe", measures 31-32. It features a vocal line and piano/guitar accompaniment. The vocal line is in 6/8 time and has the lyrics: "wirkt und strebt, wo nur ein Puls der". The piano/guitar accompaniment is in 6/8 time and features a circled area in measure 32, highlighting the enharmonic respelling of the A-flat minor chord to G-sharp minor. The score includes dynamic markings of *p* (piano) and a fermata over the circled area.

Example 16: Excerpt from “Geist der Liebe”, mm. 31-32.

Second, poor voice leading in the guitar part in mm. 45-46 suggests that it was not Schubert who made the transcription. Here, a G-sharp diminished triad falls on the last eighth note of m. 45. In the piano, the $ii^{\circ} - V - I$ is suitably fulfilled. On the contrary, the guitar's voice leading travels an augmented second from D to E-sharp in the upper voice. While other composers for the guitar during this era would take liberties with voice leading, Schubert usually strived for smooth resolutions. As previous examples from the "Terzetto" have shown, Schubert took great care with voice leading even when writing for guitar.

The image displays a musical score for the excerpt from "Geist der Liebe" (mm. 45-46). It consists of four staves. The top two staves are vocal lines (soprano and alto) with the lyrics "Wog' in Wo - ge fließt, _____ im". The bottom two staves are piano accompaniment. The piano part shows a harmonic progression from a diminished triad (ii°6) in measure 45 to a dominant chord (V) and finally to the tonic (I) in measure 46. The guitar part, indicated by a 'g' on the staff, shows a voice leading that includes an augmented second interval (D to E-sharp) in the upper voice.

Example 17: Excerpt from "Geist der Liebe", mm. 45-46.

Schubert composed his works for male voice quartet during the period from 1818 to 1824. The select works that were published in the *First Complete Schubert Edition* with guitar accompaniment are from Op. 11 and Op. 16. Schubert dedicated Op. 11 to his colleague Joseph Barth, the tenor with whom Schubert performed “Erlkönig” and an active member of the *Gesellschaft der Musikfreunde*; he later sang at the first performance of “Das Dörfchen.”

Schubert is often quoted as being concerned with experimenting with new musical forms. His adventurous spirit is evident in the setting of the texts for these works. It was typical of the Biedermeier period for vocal quartets to begin with a brief introduction and continue with a larger body of the work generally set in binary or through-composed form. “Das Dörfchen” doesn’t follow this principle. In contrast, the work is cast in a tripartite ABC form with nested rounded binary thematic structures. The sections, approximately balanced in length, are marked *Allegretto*, *Andantino*, and *Andante con moto*; contrast between the three sections makes the short work seem to consist of three distinct movements.

In “Das Dörfchen,” and typical of all the male voice quartets included in this study, Schubert devoted the entire *Andante con moto* to the final line of text. Here, voices enter in canon with one another, making a pleasant round that emphasizes the final sentiments of the text and provides a lively ending.

As previously observed, Schubert commonly used unusual accent markings. In contrast, standard accents over single notes sometimes show Schubert’s intention to mark the downbeat rather than make a pronounced accent. Examples of this are found in “Das Dörfchen” and “Frühlingsgesang.”

Except for “Das Dörfchen” (D. 598a) and “Frühlingsgesang” (D. 740 - second version), all these part-songs exist without a well-documented source of the guitar accompaniment. Diabelli was the first publisher of these works and likely arranged the guitar parts from Schubert’s piano accompaniments. Deutsch even lists the piano accompaniments to “Das Dörfchen” (D. 598b), “Die Nachtigall” (D. 724), and “Geist der Liebe” (D. 747) as “dubious.” However, Schubert’s piano accompaniments to “Naturgenuss” (D. 422) and “Frühlingsgesang” (D. 740 - second version) were added by Schubert in 1822 and may have included the guitar part as well. Without the manuscript

accompaniments, it is unclear whether Schubert included a guitar accompaniment or indicated to the publisher that one should be added. Based on the publication practices standard during this epoch, it is likely that the guitar arrangements were required by public demand. In this case, Schubert likely knew that guitar arrangements were being made based on his agreement to write out the uncharacteristic piano accompaniment.

While most of the manuscripts for these works have been found (although without accompaniments), the complete manuscript and accompaniments to “Das Dörfchen” (D. 598b) and “Die Nachtigall” (D. 724) are lost and therefore cannot provide indication of the accountability of the guitar part. In the first *Complete Schubert Edition*, published by Breitkopf and Härtel, editors Eusebius Mandyczewski and Johannes Brahms decided to include the previously published guitar accompaniments with these vocal quartets.⁸⁷ One previous edition was published by Friedrich Schreiber in 1867 based on “original scores.”⁸⁸ It is likely that these original scores were acquired from the C. A. Spina Company, which was bought by Schreiber. The C. A. Spina Company is directly related to the Diabelli Company through business inheritance, thus finally placing the original works in the hands of Schubert’s long-time publisher.

Diabelli’s guitar parts to these works were arrangements of what Deutsch considered “dubious” or questionable piano accompaniments.⁸⁹ Interesting changes in the guitar part as found in “Geist der Liebe” (D. 747) in mm. 32 and 45 allowed ease of reading and playability for the guitarist. Such considerations were most likely decisions of a professional guitarist such as Diabelli or one of the transcribers he employed.

It is interesting that these performances include only one man on each part. No standard doubling was practiced for the performance of the vocal quartets during this time. However, there are cases when 12, 14, 16, even 40 voices would sing in the quartets.⁹⁰ It seems, however, that Schubert’s works were usually performed by

⁸⁷ Mandyczewski, Brahms, et al., *Franz Schubert: Complete Works* (Wiesbaden: Breitkopf & Härtel, 1897), vol. 16.

⁸⁸ Mandyczewski, Brahms, et al., *Franz Schubert: Complete Works* (Wiesbaden: Breitkopf & Härtel, 1897), vol. 19.

⁸⁹ Otto Erich Deutsch, *Schubert Thematic Catalogue*, 284. Each entry for the male voice quartets with guitar includes the same commentary: “The first edition contains accompaniments for pf. or guitar; the former is dubious, the latter spurious.”

soloists.⁹¹ This partitioning recalls the group of students with whom Schubert sang during his studies at the Seminary and offers better dynamic balance with guitar accompaniment. The male voice quartets on my recording were performed by soloists in keeping with this well-documented performance practice.

I believe that Schubert's decision to perform the works with just four voices provides a more intimate texture suitable for appreciating the subtleties in each voice and complements the guitar accompaniment. Even as the guitar frequently doubles the vocal lines and provides little means of text painting, its timbre and articulation supplement the ensemble with more precise rhythmic cohesion. The guitar, with its chordal accompaniment, provides security for the first tenor and second bass that are required to sing a range of nearly 2½ octaves in some works.

“Das Dörfchen,” D. 598b (1819): Most Celebrated Part-Song

“Das Dörfchen,” Schubert's most celebrated work for male vocal quartet is scored for two tenors and two basses. The first performance of “Das Dörfchen” was given at the *Gesellschaft der Musikfreude* on April 8, 1821. This performance was so well received that the work was repeated again at the end of the concert and again on April 22, 1821. While no mention of the accompaniment exists in the review of the premier, later performances included accompaniment on the guitar.⁹² These performances are so well documented that the performers' names are known; the most notable in a later performance of male voice quartets were Mauro Giuliani, Carl Czerny, and Luigi Legnani.

Historical Context and Performances in Schubert's Presence

Aside from the *Gesellschaft der Musikfreunde* (Friends of Music Society), Schubert was also a member of another less reputable *gesellschaft*: the *Unsinnsgesellschaft* (Nonsense Society). This group of Bohemian artists consisted of

⁹⁰ Hans Georg Schmidt, “Das Männerchorlied Franz Schuberts” (Cologne: Dissertation, Cologne University, 1928), 33.

⁹¹ Robert Elvin Pluckner, “The Part-Songs for Men's Voices of Schubert, Mendolssohn, and Schumann” (DMA thesis, University of Washington, 1969), 9. Cited in Belangia.

⁹² Richard van Hoorickx, “Schubert's Guitar Quartet,” *Revue belge de musicology*, vol. 31 (1977): 122.

some of Schubert's closest friends, each of whom had adopted an alter-ego for club meetings. Aside from Schubert's close friends, famous members of the secret society included the composer Carl Maria von Weber (*Agathus, der Zieltreffer, Edler von Samiel*), Court Cantors Antonio Salieri (*Don Tartar di Palmire*) and Ignaz Assmayer (*As Dur, Es Bemol*), and guitarist Mauro Giuliani (*Vilac Umo Capodastro*).⁹³ Schubert became a member of this group in spite of being only marginally involved in the pranks and mischievous activities. Some more surprising activities included drunken brawls and dressing in drag for their inspired games of charades. It was for this unruly crowd that Schubert originally wrote "Das Dörfchen," D. 598a in 1817.

A ridiculous inside joke pivoted around the work's innocent text by Gottfried August Bürger. The original text, written in 1771, portrays a sweeping nature landscape of a little village (*Das Dörfchen*), a subject that is in close harmony with the Biedermeier aesthetic for such an early text. In an intellectual play on words, Schubert used the text as homage to the *Unsinnsgesellschaft* member Ferdinand Dörflinger, whose alter-ego was Elise Gagernadl: an old beer drinking woman as depicted in this painting by Leopold Kupelwieser.⁹⁴



Figure 6: A Contemporary Portrait of Elise Gagernadl by Leopold Kupelwieser.

⁹³ Heck, "The Birth of the Classic Guitar...", 117.

⁹⁴ Rita Steblin, *Die Unsinnsgesellschaft: Franz Schubert, Leopold Kupelwieser und ihr Freundkreis* (Vienna: Bohlau, 1998), 33-34.

When verses seven through ten were omitted in the later edition, the reference to Elise was lost and the public never knew what “Das Dörfchen” actually represented.

Works for Solo Voice and Guitar

During the confluence of the Biedermeier period and the guitar’s golden age, business savvy publishers like Diabelli were aware that the Viennese public often sought out the inexpensive, convenient, and easy guitar accompaniments for all their favorite Lieder. Editions with guitar accompaniment were cheaper to print and sold for half the price of the versions for piano.⁹⁵ In response to the popular demand, publishers were eager to arrange accompaniments for amateur guitarists; 26 such Lieder appeared during Schubert’s life.⁹⁶ One collection that was popular during Schubert’s lifetime was titled *Philomele, eine Sammlung der beliebtesten Gesänge mit Begleitung der Gitarre, eingerichtet und herausgegeben von Anton Diabelli* (Philomele, a collection of the favorite songs with guitar accompaniment, arranged and edited by Anton Diabelli).⁹⁷ The series also included 19 works transcribed by Friedrich Schreiber – another Viennese publisher.

“Der Wanderer”, D. 493, 489, 698 (October, 1816): Guitar arrangement

Again, these and other arrangements were not prepared by Schubert, but by professional guitarists. Unfortunately, the publication of versions with guitar accompaniment was made without Schubert’s consultation and does not even suggest that Schubert approved of the practice. On the other hand, Schubert attended performances of these Lieder with guitar and made no objections. In any case, the arrangements played a central role in popularizing Schubert’s work. As previously stated, this was certainly the

⁹⁵ Thomas F. Heck, “Schubert Lieder with Guitar...Permissible?,” *Soundboard* 3, no. 4 (1976), 72.

⁹⁶ Idem, “Schubert Lieder with Guitar...Permissible?,” *Soundboard*, 4, no. 2 (1977), 39.

⁹⁷ Josef Zuth, “Franz Schuberts Gesänge mit Gitarrebegleitung. Eine Übersicht und Absage,” *Der Neue Pflug* 3, no. 7 (1928): 61.

case with “Der Wanderer”. This particular Lied was advertised with a guitar accompaniment that was not identified as an arrangement; the accompaniment is possibly by Schubert himself.⁹⁸

There is one piece of contemporary evidence that may suggest that the edition of “Der Wanderer” published with guitar accompaniment was not an arrangement at all. As guitar scholar Thomas Heck has reported, Schubert’s works were advertised to the public through a variety of sources. One such source was the *Handbuch der Musikalischen Litteratur* [sic] (Handbook of Musical Literature) by Carl Friedrich Whistling and Friedrich Hofmeister.⁹⁹ In their 1822 edition of this book, Whistling and Hofmeister advertised an edition of “Der Wanderer” with guitar accompaniment, but did not specify this version as an arrangement. This is interesting given that all other arrangements in the advertisement carried the abbreviation “arr.” next to the work. Whether typographical error, or intentional advertisement, bibliographic evidence such as this can not answer the questions this citation raises, on the other hand critical analysis of the first edition which is advertised may begin to reveal some clues to the origin of this piece. It’s fairly simple to see how this work in its original key of E major would suit the guitar so well. Comparative analysis would illustrate how well the guitar version is able to retain the harmonic structure present in the piano version.

Schubert composed this Lied in 1816. The work was immensely popular during the nineteenth century. Schubert published the work under the titles “Der Wanderer”, “Der Unglückliche”, and “Der Fremdling”. Several arrangements were made by Schubert himself, one is in B minor for his employer, Count Esterházy in 1818. The example below is a facsimile of the first published edition with guitar accompaniment. The edition was published by the Diabelli Company and was most likely arranged for guitar by either Diabelli himself or one of a few professional Viennese guitarists who were frequently contracted for such work.

⁹⁸ Thomas F. Heck, “Schubert Lieder with Guitar...Permissible?,” *Soundboard*, 3, no. 4 (1976), 72.

⁹⁹ Idem, “Schubert Lieder with Guitar...Permissible?,” *Soundboard*, 3, no. 4 (1976), 72.

DER WANDERER von SCHMIDT v. LÜBEK,
in Musik gesetzt von Franz Schubert.
Mit Begleitung der Gitarre.
Wien, bey A. Diabelli und Comp. Graben N^o 1183.

N^o 108.

Sehr langsam.

The image shows a page from a music manuscript. At the top, the title 'DER WANDERER' is written in a decorative font, followed by the composer 'von SCHMIDT v. LÜBEK' and the arranger 'in Musik gesetzt von Franz Schubert'. Below this, it says 'Mit Begleitung der Gitarre.' and 'Wien, bey A. Diabelli und Comp. Graben N^o 1183.' The number 'N^o 108.' is on the left. The tempo 'Sehr langsam.' is centered. The score consists of three systems. The first system has two staves: 'SINGSTIMME.' (vocal) and 'GUITARRE.' (guitar). The guitar part has a treble clef and a key signature of one sharp (F#). It starts with a 'ppp' dynamic and includes a '6. pos' marking. The second system continues the guitar part with a 'cresc' marking. The third system shows the piano accompaniment with a grand staff (treble and bass clefs) and a 'Daum' instruction under a G-sharp note in the bass line.

Example 18: First published edition of “Der Wanderer” with guitar accompaniment.

Incidentally, in m. 6 below the G-sharp in the guitar part the word “Daum” (thumb) is written. This indicates that the guitarist should play the G-sharp with the left hand thumb, a practice that was used in the guitar methods of the time, similar to the general concept of guitar practice and instruction in Vienna during Schubert’s life.

Thomas Heck, compiled a useful list of Schubert Lieder with guitar accompaniment in his 1977 article for *Soundboard* magazine: “Schubert Lieder with Guitar...Permissible?”. Among the Lieder with guitar accompaniment, many appeared in two versions (with guitar or piano accompaniment) in close succession. Heck addresses the issue by categorizing the works by publication order as we can see from his list.

- a) Songs in which the piano version preceded the guitar version (Total 8)
- b) Songs in which precedence is not certain (Total 3)
- c) Songs simultaneously issued guitar and piano versions (Total 12)
- d) Songs in which guitar version may have preceded piano version (Total 3)

Considering the huge profits earned from the editions with guitar accompaniment, this brief list further illustrates the status of the guitar and the role it played in popularizing Schubert's Lieder.

In 1928 Josef Zuth published an article titled "Franz Schuberts Gesänge mit Gitarrebegleitung" (Franz Schubert's songs with guitar accompaniment) in his column titled "*Musik im Haus*" or "Music in the Home". This article established a similar vein of work approached by Heck in the 1970s. Zuth examines the plate numbers and publication dates of Lieder with guitar accompaniment and cites a pattern for works appearing in versions for guitar before piano. Focal works to Zuth's study are the *Philomele* collection and works that are well suited for guitar accompaniment such as the Lieder found in the song cycle *Die schöne Müllerin*. Consideration was given to this cycle's suitability for guitar when the *Wiener Zeitung* reported the publication of the song cycle with piano accompaniment on February 17, 1824 and noted that a version with guitar accompaniment would soon follow.¹⁰⁰

The most important detail of Zuth's report is not mentioned by Heck and will require further research. In 1823, Schubert changed publishers because of major financial injustices from Diabelli. Schubert began publishing his works through the publishing house Sauer und Leidesdorf. On April 10, 1823, Sauer and Leidesdorf published a volume titled *Drei Lieder in Musik gesetzt für eine Singstimme mit Gitarrebegleitung von Franz Schubert* (Three songs set for solo voice with guitar accompaniment by Franz Schubert). This edition contains "Sei mir gegrüßt", "Frühlingsglaube", and "Hänflings Liebeswerbung". It is possible that these arrangements are by Schubert himself considering that no arranger is listed (although a common omission) along with the position of Schubert's name in the title which suggests the source of the accompaniment. Further research into the manner of guitar accompaniment used and editor's notation style may help determine the authorship of these parts.

The discussion of Schubert's Lieder with guitar could continue on to the beautiful arrangements by Johann Kaspar Mertz, Napoleon Coste, Dieter Kreidler, or even Arnold Schoenberg's arrangement of the "Ständchen". Unfortunately, following such a path is outside the scope of this study.

¹⁰⁰ Zuth, 62

After thorough review of the primary and secondary sources published in the 30 years since Heck's article and interviewing the Schubert Institutes in Austria, the United Kingdom, and the United States, I would add one category to Heck's list.

- e) Songs in which the piano version was derived from the preceding version with guitar accompaniment (Total at least 1)

The sole member of this category is a previously unknown Lied titled "Die Nacht," edited by Karl Scheit and published by Universal Editions in 1990. This Lied comes from a two-volume collection compiled by poet and Schubertiad host Franz von Schlechta. The Lied with guitar accompaniment appears in the manuscript volumes of Schubert's close friend. It was not until after publication of the guitar version that a piano accompaniment was derived from the pre-existing guitar accompaniment. That the form of this setting is strophic makes a fitting environment for guitar accompaniment. Studying the nineteenth-century collections of popular Biedermeier songs, shows that strophic verse is often reserved for the more simple folk songs with which the Biedermeier guitar is associated.¹⁰¹ Aside from this setting, the Schlechta collection includes 39 Schubert songs, some in here-to-fore unpublished versions for voice with guitar accompaniments. Unfortunately, without access to the manuscripts held in private collections, I can not determine which works are yet unpublished.

"Die Nacht", WoO: A Reliable Manuscript Copy (c. 1840)

Between 1840 and 1842 Schubert's friend and colleague, Franz von Schlechta arranged and copied works for his own performance on the guitar. In all, there are 99 volumes dedicated to guitar music for solo, duo, and vocal accompaniment. While only a few works are included by famous Viennese composers such as Beethoven, Mozart, and

¹⁰¹ Theodor Salzmann, ed., *Volkstümliche Weisen, meist aus der Biedermeierzeit* (Leipzig: Friedrich Hofmeister, 1903).

Haydn, Schubert's works span 39 volumes (51-89) in this project.¹⁰² Other new additions are seven poems that Schlechta wrote with Schubert's music, but were never published. These works appear in Schlechta's volumes with simple, arpeggiated guitar accompaniments typical of the period and similar to other Schubert accompaniments. (i.e. "Wohin?") It seems that Schlechta's reason for copying the Schubert works was that over half of them did not appear in editions with guitar accompaniment during his lifetime. Personal copies such as this were common among amateur Biedermeier musicians. However, the breadth of Schlechta's personal copies is unusual. Perhaps most remarkable is the strophic setting of Karoline Pichler's poem, "Die Nacht". Pichler was a poet central in the *Schubertiads* of the early 1820s. Schubert set the poem in another version titled "Der Unglückliche" (D. 713). The connection between these works was certainly known to the copyist, because he began to write "*U-n-gl*" above the title.

Upon first glance this manuscript seems to prove its place as the only surviving Lied with original guitar accompaniment, but after closer investigation the evidence supporting such claims takes on a more complex form. The most interesting aspect of Schlechta's copy is that, with chords lying easily on the instrument, the accompaniment seems as if it were originally conceived for the guitar.¹⁰³ However, the same Lied appears at the end of the volume transposed to C major. Here, additional text on the title page states that the work was "arranged by J. N. Huber", a known guitar arranger in Vienna during Schubert's lifetime.¹⁰⁴ This may refer to the arrangement of a lost piano manuscript or simply to the transposition from the original key. In any case, this Lied's contribution to the understanding of the guitar's place as an accompanying instrument is immeasurable. Within this single work, the use of characteristic arpeggio patterns and idiomatic chord voicing offer certain indications of the guitar's success in its ability to provide supporting accompaniment to the voice without straining to imitate piano writing that lies beyond the limits of the guitar's natural resonance and physical capability.

¹⁰² Karl Scheit and Erich Wolfgang Partsch, "Ein unbekanntes Schubert Lied in einer Sammlung aus dem Wiener Vormärz," *Schubert durch die Brille: Internationales Franz Schubert Institut Mitteilungen*, no. 2 (January, 1989), 15.

¹⁰³ Christian Ahrens, "Zur Rezeption der Gitarre in Deutschland im 18. und 19. Jahrhundert," *Bach & Schubert: Beiträge zur Musikforschung, Jahrbuch der Bachwoche Dillenburg* 33 (1999): 27.

¹⁰⁴ Scheit, 18

Biedermeier Accompaniment and Schubert's Style: Commonalities between Accompaniment Patterns

The accompaniment in “Die Nacht” employs a characteristic and idiomatic arpeggio pattern similar to that found in the “Terzetto.” Comparative analysis between the works shows the apparent relationship between these accompaniment patterns. These patterns are so similar yet so basic that it is difficult to determine whether these comparable writing styles can suggest authorship. The traditional biedermeier song below includes a simple, arpeggiated accompaniment played by two guitars. Incidentally, this suggests that the two voices would also play the guitar parts.

The image shows a musical score for the song "Ständchen" by J. Schulz. It consists of three staves. The top staff is the vocal line, marked "Altmodisch." and "Voll. ang. Orgel." The lyrics are: "1 Tra = ly = rum, la = rum, hö = re mich! Tra = ly = rum, la = rum, lei = er! Tra =
2 Durch Nacht und Dun = kel komm' ich her zur Stun = de der Ge = spen = ster, es
3 Wann, sprich, o wann ist mir er = laubt, daß ich zu dir mich füi = ge? Daß". The middle and bottom staves are guitar accompaniment parts, also marked "Altmodisch." and "Voll. ang. Orgel." The middle staff shows a rolling arpeggiated pattern with fingerings 7, 3, 4, 3, 3, 0, 2. The bottom staff shows a simple harmonic accompaniment with fingerings 3, 1, 3, 2.

Example 19: Excerpt from first publication of “Ständchen” by J. Schulz.

In performance, the perpetual motion of the guitar’s gently rolling chords suggests a narrow adherence to the tempo with little room for elaborate ornamentation or expressive liberties. According to accounts from his contemporaries, Schubert would likely have performed this Lied with steady tempo and little fluctuation with rubato.¹⁰⁵ The performance on my recent recording of Schubert’s complete chamber music with

¹⁰⁵ David Montgomery, “Modern Schubert Interpretation in the Light of the Pedagogical Sources of His Day,” *Early Music* 25, no. 1 (February, 1997), 107.

guitar departs from strict adherence to tempo with an interpretation that employs subtle rubato to help the phrases breathe with repose and move forward with anticipation.

CHAPTER V

SCHUBERT'S INSTRUMENTAL WORKS WITH GUITAR ACCOMPANIMENT AND PARTS

Quartet for Flute, Viola, Guitar, and Cello, D. 96 (1814)

History and Discovery; Haus Musik – the Kinsky/Deutsch Debate

Further contact with the guitar and compositions for the guitar came through the quartet Schubert's father held with his friends.¹⁰⁴ The ensemble included:

Franz Theodor Schubert - cello,
Family friend, Ignaz Rosner – flute,
Rosner's friend, Friedrich Stenzl – viola,
Stenzl's wife, "Gattin" Stenzl - guitar.
(*Gattin* means "wife" in German. Her first name has not been identified.)

It was for this ensemble that Schubert arranged Matiegka's *Noturno*, Op. 21 [sic] by rewriting significant portions and adding a cello part to the work originally for flute, viola, and guitar. The original trio was published in Vienna by Artaria and Company in 1807, seven years before Schubert dated his manuscript "February 27, 1814".

Some sources question whether this work was in fact written for performance by Schubert's father and cite the difficulty of the added cello parts at the beginning of the *Lento* and in the second variation as being too difficult for Franz Theodor's amateur abilities. Furthermore, Maurice Brown places the manuscript with Ignaz Rosner, the

¹⁰⁴ Georg Kinsky, forward to *Quartetto*, D. 96 by Franz Schubert (New York: C. F. Peters, 1956).

cellist - not the flutist.¹⁰⁵ Whether written for his father or not, the work was certainly intended for use in the performance of *Haus Musik*. Further confusion about the first performances occurs when respectable guitarists and writers cite that Schubert performed the guitar part in this quartet. There is no documented evidence of this assertion and all other Schubert research goes against this position. The virtuosic flourishes in the first movement make it difficult to believe.

Hints to the origins of Schubert's arrangement are found throughout the work, most notably on the title page where Schubert began to write the word "Terzetto", crossed out this and wrote in his own title "Quartetto." Schubert did not however make any direct note of Matiegka's original title *Noturno*. He indicated, nevertheless that several variations in the final movement would remain the "same as in the printed trio". Any astute researcher must question the mention of a "printed" trio. Any "printed" music that may be referred to at this point in Schubert's career is not his own. As previously noted, Schubert was not published until 1818. Matiegka's use of a Hungarian folk tune in the fourth movement is further evidence that this work is not Schubert's original. This particular manner of quotation is unique, if not suspicious among Schubert's oeuvre.

Schubert's arrangement for quartet was discovered in 1918 and published in 1926 at the Drei Masken Verlag in Munich by musicologist Georg Kinsky who hailed the work as an original "masterpiece" by Schubert. Kinsky's position was actually so convincing that for years it carried the title *Guitar Quartet*. The first public announcement of the *Guitar Quartet* was published in the *Zeitschrift für Musikwissenschaft* in December, 1918. Kinsky wrote a forward to the first publication of this work in 1926. Here Kinsky relates how the work was discovered in the attic of a descendant of Ignaz Rosner. Otto Deutsch wrote a critical review of this forward in the *Zeitschrift für Musikwissenschaft* in 1928 and again in the journal *Music and Letters* in 1953. In the former article Deutsch claimed that the work was not original and would prove to be an arrangement of some other composer's trio. Deutsch's suspicions were later confirmed when in 1931 the first edition copy of Wenzel Matiegka's Op. 21 was discovered by Danish guitarist Thorwald Rischel. Twentieth-century authors such as Philip Bone only added to the confusion behind this work's origins. As late as 1954, 23 years after the Matiegka Trio was

¹⁰⁵ Maurice John Edwin Brown, *Schubert's Variations* (London: MacMillan, 1954), 98.

discovered, Mr. Bone continued to assert that the quartet by Schubert might be an original.¹⁰⁶ In light of the obvious source of Schubert's arrangement, Mr. Bone's work is not based on sound primary or secondary source materials and is misleading.

Schubert's *Quartetto*, D. 96 is distinctive for the many hands that have played a part in its composition. Matiegka's original work quoted a popular Hungarian folk tune known as *Verbunkos* in the fourth movement. This movement is titled "Zingara" which is a traditional Hungarian dance.¹⁰⁷ Schubert may have been initially attracted by the work's use of folk song in the "Zingara", because folk tunes were increasing in popularity during the Biedermeier period.

To add a further layer of quotation to the work, Matiegka quoted Friederich Fleishmann's melody "Mädchen o schlummre noch nicht", in the Theme and Variations. Finally, Schubert left his arrangement incomplete and it was only finished in 1926 by Georg Kinsky.

Unfortunately, the manuscript is incomplete and stops after the third bar of the fifth variation in the fifth movement. In the preface to the first published edition, Georg Kinsky went so far as to suggest the possibility of additional movements, but this is highly unlikely since Schubert was primarily arranging a preexisting work. After the third bar of the fifth variation in the final Theme and Variations movement, Schubert wrote "identical to the printed trio". Schubert's decision to stop at this point is a quandary because the cello part in this variation is completely original material and is loosely derived from the guitar part in Matiegka's score. Furthermore, there has been confusion on the part of modern scholars who refer to this fragment as coming from Matiegka's third variation. On the contrary, it is clearly the fourth variation in the first edition published by Artaria and Co.¹⁰⁸ In an effort to provide closure and retain authenticity, Georg Kinsky, who edited Schubert's *Quartetto*, completed the final variation primarily with Schubert's own previously written material. Other editors have chosen to observe

¹⁰⁶ Philip J. Bone, *The Guitar and Mandolin: Biographies of Celebrated Players and Composers* (London: Schott and Co., 1954), 319.

¹⁰⁷ Maria Domokos, "Ungarische Verbunkos-Melodie im Gitarrenquartett von Schubert-Matiegka," *Studia musicologica Academiae Scientiarum Hungaricae* 24, no. 1-2, Hungary, (1982): 112.

¹⁰⁸ Wenzel Matiegka, *Noturno[sic] pour Flute, Viole et Guitarre* (Vienna: Artaria Co., 1812).

Schubert's wishes and continue through the variation as written in Matiegka's original while completing the additional cello part.

The chart below shows the performance order Schubert intended along with the alterations he made to the original work. A more in-depth study of these changes would be useful, but falls outside the scope of this study.

Tema e Variazione

Theme: "Mädchen, o schlummre noch nicht!" by Friederich Fleischmann.

Variation 1 (Vari. 1 in Matiegka) - Schubert wrote "same as in the trio".

Variation 2 (Vari. 5 in Matiegka) - Transposed to Parallel Major Mode, the guitar part is replaced by a similar pattern for the cello.

Variation 3 (Vari. 2 in Matiegka) - Schubert wrote "same as in the trio".

Variation 4 (Vari. 3 in Matiegka) - Kinsky reversed the rhythms on the second beat of mm. 15-17.

Variation 5 (Vari. 4 in Matiegka) - Schubert moved the guitar's descending scale in m. 2 to the cello.

This work holds a special place among Schubert's compositions because it is one of only three works he arranged, and is the only one in which he made significant changes to the original. Musicologist Alfred Einstein questions Schubert's reasoning for copying out such a long work when he could have easily written a similar work of his own. Considering the relative complexity of the string quartets of this early period, Schubert was certainly capable of the task. On the other hand, Einstein wisely points out that Schubert was probably not confident in his ability to write a guitar part with intricate accompaniment patterns and flourishes of technical versatility that Matiegka had included in the *Noturno*. Therefore, Schubert arranged the work out of a desire to provide his father's ensemble with music that featured each musician's abilities to their fullest. In this so-called *Guitar Quartet*, Schubert made notable changes to the guitar part and composed a new second trio to the Minuet.

Here, Schubert, true to his nature, corrects Matiegka's bad voice leading in his arrangement. Originally Matiegka wrote an augmented fourth that moves to a perfect

fourth in mm. 13-14 of the Minuet. Schubert corrected this error by resolving the augmented fourth to a minor sixth.

Minuet mm. 13-14:

Noturno, Op. 21 - W. Matiegka



Quartetto, D. 96 - F. Schubert



Example 20: Excerpts from *Noturno*, Op. 21 and *Quartetto*, D. 96.

In this example Schubert has composed his own second trio. It is unclear why the original by Matiegka was not used, but the guitar part in this trio is simpler with sparse chordal accompaniment.

Trio II mm. 1-4:

Noturno, Op. 21 - W. Matiegka



Quartetto, D. 96 - F. Schubert



Example 21: Excerpts from *Noturno*, Op. 21 and *Quartetto*, D. 96.

Schubert's Contribution: A Survey of Original Material and Significant Changes

Comparative analysis of the guitar's role in the second Trio with the surrounding movements suggests Schubert's true capabilities as a guitarist. In the Trio II Schubert's original writing for the guitar reverts to the more simple arpeggiated figures and block chords like those found in the "Terzetto", D. 80. The reduced texture of the guitar part indicates Schubert's perception of its position in the ensemble, and provides solid evidence of Schubert's narrow, yet capable knowledge of the instrument.

Another change to Matiegka's work is more perplexing. In the final movement, Schubert transposed the fifth variation to the parallel major mode and placed it before the other variations he set. His reasons for doing this are unclear, especially since this would destroy the classic-romantic variation principle of including a minor mode variation somewhere near the middle of a variation set. Another interesting feature in this variation: Schubert took the guitar part and set it for the cello. This change makes the simple, three-note arpeggio figure for the guitarist a challenging romp across the fingerboard for the cellist. Schubert smoothed out the accompaniment pattern with descending scales and other considerable changes interspersed between the arpeggios. Meanwhile, the guitar is tacit in this variation.

Variation 5 mm. 1-2:

Guitar:

Noturno, Op. 21 - W. Matiegka



Cello:

Quartetto, D. 96 - F. Schubert



Example 22: Excerpts from *Noturno*, Op. 21 and *Quartetto*, D. 96.

Original Dances, D. 365 (1816-July 1821): Diabelli's Arrangement

Schubert's relationship to the guitar continues with a set of dances arranged for flute or violin and guitar which were originally for violin and piano. These works were published by Diabelli under the title *Original Tänze für flöte oder Violine und Guitarre*. The *Original Dances* are a selection from the *Atzenbrugg Dances*, Op. 9, D. 365 (1819) for piano. Most famous among these dances was the *Trauer-Walzer* (Mourning Waltz), D. 365, No. 2.¹⁰⁹ This dances appeared as number six in Diabelli's arrangement of 15 "original dances". Although numerous scholars assert that this title was given by the publishers, new evidence shows that the title may have existed before publication.¹¹⁰ Goran Schöllscher and Gil Shaham have recorded these pieces on Deutsche Gramophone. In their estimation, the dances were arranged by Schubert. If this is true, then subtle changes to the accompaniment become questionable. Two clear examples are at the cadences in the Waltz No. 2. Schubert's version for piano places the bass notes after the chord. In contrast, the printed edition for guitar places the bass note on the downbeat. Although this is a small change, it is significant in its effect. The bass note on the second beat allows greater pause between sections and more closure at the final cadence. Even considering the transposition to D major in the guitar version, there is no technical reason for this difference. Similar changes are present in the other dances.

¹⁰⁹ This title was not given by Schubert, but by publishers Cappi & Diabelli during the publication of Op. 9. Schubert found the name amusing. See Maurice Brown, *Schubert: a critical biography* (London: MacMillan, 1961).

¹¹⁰ Maurice John Edwin Brown, *Essays on Schubert* (London: Macmillan, 1966), 294.

*Atzenbrugg Dances, Op. 9, No. 2 (D. 365):*¹¹¹

Trauer-Walzer. (1816.)

Nº 2.

The image shows a musical score for a waltz. It is titled 'Trauer-Walzer.' with the year '(1816.)' in parentheses. The piece is numbered 'Nº 2.' and is marked 'p' (piano). The score is written for piano and consists of three systems of music. The first system is the beginning of the piece. The second system contains a double bar line and a first ending bracket. The third system contains a double bar line and a second ending bracket. Two specific measures are circled in black: one in the second system and one in the third system.

*15 Original Dances No. 6*¹¹²:

Trauer Walzer .

Nº 6 .

The image shows a musical score for a waltz. It is titled 'Trauer Walzer .' and numbered 'Nº 6 .'. The piece is marked 'p' (piano). The score is written for piano and consists of three systems of music. The first system is the beginning of the piece. The second system contains a double bar line and a first ending bracket. The third system contains a double bar line and a second ending bracket. Two specific measures are circled in black: one in the second system and one in the third system.

Example 23: *Atzenbrugg Dances, Op. 9, No. 2 (D. 365).*

More likely than his serving as the transcriber, Schubert may not have even been consulted on the arrangement of these waltzes at all. The manuscript has not yet been found, but a reprint of the first edition is available through Universal Editions. This original publication by Cappi and Diabelli appeared in February, 1822. A later version for guitar solo was published by Diabelli in May 1826. Further evidence of Diabelli's

¹¹¹ Mandyczewski, Brahms, et al., *Franz Schubert: Complete Works*, vol. 19 (Wiesbaden: Breitkopf & Härtel, 1897).

¹¹² Diabelli, Anton, *Original Tänze für Flöte oder Violine und Guitarre componirt [sic] von Franz Schubert* (Vienna: Diabelli and Co. 1820), 3.

shrewd business practice is found in Schubert's letter to the publisher dated February 21, 1823. In this letter, Schubert writes that "The appearance of the two books of Waltzes has somewhat surprised me, as their publication is not in complete accordance with the agreement."¹¹³ Whether referring specifically to Op. 9 and the *Original Dances* or not, this quote provides proof of the disagreements that were common between Schubert and his publisher. Better documented cases of Diabelli's arrangements included his publication of three versions of the Waltzes, Op. 33 in 1825. The alternate versions carry Schubert's name only and are presumably arranged by Diabelli himself.¹¹⁴

As previously mentioned these works are fitting for the outdoor gatherings Schubert enjoyed at Atzenbrugg. Their character is at the heart of his Biedermeier experiences. However, they belie the refined abilities of the composer with their characteristic Biedermeier simplicity in their use of simple homophonic texture and bucolic, folk-like melodies. Dancing was a common part of all *Schubertiads*, where the composer would often improvise waltzes at the piano for his friends' enjoyment. The guitar played a central part in the development of the waltz during Schubert's life. In the Austrian Alps, the Styrians, where the waltz was popularized, musicians performed waltzes in ensembles comprised of violin, clarinet, guitar, and bass.¹¹⁵ Famed waltz composer Joseph Lanner performed his waltzes in ensembles with guitar and violin.

The Role of Dance in Schubert's Oeuvre: Dance in the Biedermeier Period

Ignaz von Mosel, author of *Survey of the current practice of composition in Vienna*, wrote in 1808 that

Here the art of music daily evokes a miracle which, until now, had only been ascribed to love; it gives rise to equality between all classes. Nobility and bourgeoisie are sitting together at one single music stand, forgetting the discord of their classes because of the harmony of music.

¹¹³ Otto Erich Deutsch, *Franz Schubert's Letters and Other Writings*, 67.

¹¹⁴ Hoorickx, 117.

¹¹⁵ E. van der Straeten, "Schubert, Lanner, Strauss, and the Waltz," *The Musical Time* 69, no. 1028 (October, 1928): 894.

Along these lines, new and less formal dances developed to allow participants to mingle between classes.¹¹⁶ The most popular dances included the waltz and a variety of related forms including the *Ländler* and *Deutscher*. These dance forms were apparently interchangeable, because Schubert wrote his popular *Trauer-Walzer*, D. 365 No. 2 with all three titles at various points in time. In contrast, contemporary dance manuals make clear distinctions between these forms.

According to a Biedermeier dance instructor of the time, Johann Kattfuß, “there is no difference between the steps of a waltz and a *Ländler*; waltzing however is faster than dancing a *Ländler*, while the *Deutscher* is fast.”¹¹⁷ Another contemporary dancing manual provides a specific waltz metronome marking of quarter note at 152.¹¹⁸ In spite of specific metronome markings, pronounced fluctuation in the tempo with *accelerando* and *rubato* was a common feature in the interpretation of Viennese waltzes. Dancers were reminded by their instructors to follow the “modulations of musical time”. Among these dances, the waltz was carried out with the most elegant steps. The verb *walzen* means “to turn”, but the choreography was interpreted in many different ways. Dancers were instructed to make light movements because the dancer’s steps should be seen, not heard. In contrast, some forms such as the *Kehraus* included careless leaping.¹¹⁹ Furthermore, dancers and musicians were instructed to take brakes in the performance every 15 minutes to avoid exhaustion. It is perhaps no coincidence then that a performance of the *Original Dances* for violin and guitar at the prescribed tempo of quarter note at 152 lasts approximately 15 minutes.

The most common formal design for waltzes during the Biedermeier period was a 16- or 32-bar binary form. While Schubert’s works are cast in either a lyrical or scherzo character, most typical waltzes were more conservative in their melody and rhythm. Schubert extended the form, used richer harmonic vocabulary, and anticipated the later developments of Johann Strauss Sr. and Josef Lanner. In Schubert’s waltzes there is often a series of themes that seem to have startling similarities. However, upon closer

¹¹⁶ Walburga Litschauer, “Dances of the Biedermeier,” *Schubert durch die Brille* 21 (June, 1998): 19.

¹¹⁷ Raymond Erickson, *Schubert’s Vienna* (New Haven: Yale University Press, 1997), 131-133.

¹¹⁸ Walburga Litschauer, 19.

¹¹⁹ Raymond Erickson, *Schubert’s Vienna* (New Haven: Yale University Press, 1997), 132.

inspection, it becomes clear that Schubert was able to create a sense of seemingly endless thematic variety with a modest selection of thematic material. The sparse nature of the motivic material provides an organic connection among the short dances that collectively make up the larger work. This selection of themes from the *Original Dances*, illustrates similarities in contour and rhythm that suggest their improvisatory nature.

Similar melodic contour, contrasting articulation - Dances 1 and 5:

Similar melodic contour, varied ornamentation - Dances 2 and 3:

Example 24: Excerpts from *15 Original Dances*.

(Note that mm. 7 and 8 of both dances contain identical pitches and rhythms.)

Another common concern for the performer of nineteenth-century music is proper use of ornamentation. Much debate has been made specifically on the manner in which trills were produced. As a general rule, one may have learned that main note trills (trills moving from the written pitch to a step above) are played in music from Beethoven's time and thereafter. Does this mean then that Schubert's works require main note trills? On the contrary, numerous manuals from Schubert's time suggest that four different versions of the trill were in use. Primary among them was the upper note trill.¹²⁰ Friedrich Starke provides the most complete table of ornaments and their execution in his *Wiener Piano-Forte Schule* (Vienna, 1819-21). Based on this research I have chosen to perform trills with upper note execution unless otherwise marked by Schubert. Often the execution is determined by a grace note prior to the trill.

In contrast to other works, Schubert's small collection of *Original Dances* resembles transcribed improvisation rather than carefully crafted pieces. Being readily familiar with the form, Schubert's friends (both musicians and dancers) would have had no problem making such interpretative decision in the moment of inspired performance. While it fell upon the creativity of the musician to provide variety in performance, in practice the audience of dancers would have been more concerned with the consistency of tempo and meter than melodic ingenuity. The following quote provides primary source material to support this position.

[“. . . man mache keine zu große aber auch nicht zu kleine Schritte; man tanze bald schneller bald langsamer, wie es die Modulationen der Musik mit sich bringen, denn gewöhnlich wird ein Theil des Wlazers rascher gespielt, als ein anderer.”]^{121 122}

“. . . one takes steps neither too large nor too small; one dances suddenly faster, suddenly slower, as the fluctuations of the music imply, for usually a part of the waltz is played quicker than the other.”

¹²⁰ Montgomery, 106

¹²¹ Walburga Litschauer and Walter Deutsch, *Schubert und das Tanzvergnügen* (Vienna: Holzhausen, 1997), 79.

¹²² Carlo Blasis and Jean François Blanchard, *Neue vollständige Tanzschule für die elegante Welt* (Ilmenau, Bernh. Fr. Voigt, 1830), 50. (translation my own)

The “Arpeggione” Sonata, D. 821 (1824): The Bogen-Guitarre

One of the guitars attributed to Schubert’s ownership was built by Johann Georg Stauffer, an innovative luthier. In 1823, he invented what he called the *Bogen-guitarre* or bow-guitar. This was a bowed instrument larger than the guitar and smaller than the cello, with 24 fixed frets, and standard guitar tuning: E², A², D³, G³, B³, and E⁴. Its timbre resembled that of a basset horn in the lower register and an oboe in the upper register. The bow provided sustain and added volume missing from the traditional instrument. As an idea this was nothing new since examples of fretted, bowed instruments existed in the *lyricone*, *viola d’gamba*, and *vihuela d’amour*. During its short production history of only a decade, the *Bogen-guitarre* was also known under the names *guitarre-violoncell*, *guitare d’amour*, and as Schubert called it the *arpeggione*. Schubert’s use of this term is, however, the only documented case during his lifetime.

In November, 1824, Schubert composed a *Sonata in A minor for Arpeggione and Piano* (D. 821), known today as the *Arpeggione Sonata*. The premiere was given by guitarist Vincenz Schuster who later wrote and published *Anleitung zur Erlernung des...neu erfundenen Guitarre-Violoncells* (Instructions for learning the newly invented guitar-cello) which suggests holding the instrument between the knees as with a *viola d’gamba*. Schubert may have met Schuster at the musical gatherings of Leopold von Sonnleithner where discussions of the new instrument may have aided Schubert’s composition. Schubert’s seminal work is one of the only known works for the instrument, although Schubert’s contemporary, Heinrich August Birnbach (1782-1840) is documented as having written a work for the *Chitarra col arco*.¹²³ Unfortunately, this documentation exists only in the form of a critic in the *Berliner Allgemeine Musikalisch Zeitung* in 1826. The score to this work has not been found.

Given that the *arpeggione* was a hybrid instrument, its development had to take a course toward either guitar-like or cello-like features. Builders eventually began to make the instrument with lines in place of real frets. This may have made the *arpeggione* less appealing to guitarists who were never fully convinced to trade in their plucked variety guitars. Some of the performers were in fact *viola d’gamba* players; however, they also

¹²³ Veronika Gutmann, “Arpeggione: Begriff oder Instrument?,” *Schubert Congress: Vienna* (1978): 234.

could not save the instrument from extinction. By 1865, Schubert's first biographer, Kreissle von Hellborn, was not even sure what kind of instrument the arpeggione may have been and proposed it was some harp-like, plucked instrument.¹²⁴ Apparently he didn't study the sonata, which clearly prescribes changes between *arco* and *pizzicato*. Schubert's work is more often performed today on viola or cello with piano accompaniment.

In any case, Schubert's *Arpeggione Sonata* is considered a masterpiece by some and was written for a close relative of the modern guitar. Successful attempts have been made to arrange the work for guitar duet, which may be the ideal format for modern interpretation. Other arrangements include those for violin with guitar accompaniment, and my own edition for guitar with piano accompaniment. Naturally, the original includes many passages that are incredibly idiomatic to the modern guitar and require few alterations. As seen in these examples, long periods of scales, barriolage, and broad arpeggio figures lie comfortably under the fingers. The guitar's biggest challenge in performing the work falls in the problems of playing sustained notes and playing legato.



Figure 7: The Arpeggione from Vincenz Schuster's method book.

¹²⁴ Karl Geiringer, "Schubert's Arpeggione Sonata and the 'Super Arpeggio,'" *The Musical Quarterly* 65, no. 4 (October, 1979): 515.

26

cresc. *dimin.*

320 *arco*

224

Example 25: Idiomatic arpeggio passages from the *Arpeggione Sonata*.

115

fz *dimin.*

Example 26: Arpeggione's long, sustained notes that are problematic on the guitar.

CONCLUSION

A SUMMARY OF SCHUBERT'S CONTRIBUTIONS TO THE GUITAR

In conclusion, Schubert's music transcends his own time and the stereotype of simple Biedermeier music, but closely represents the spirit of the period. This view presents a suitable musing of the tragic composer actively engaging the lighthearted reality of the Viennese middle-class. As an integral part of Biedermeier culture and at the height of its popularity, the guitar was introduced to Schubert at a young age. As documented in this treatise, the majority of Schubert's exposure to the guitar was in the casual surroundings of the Biedermeier period and not as a serious instrument of virtuosic capabilities. Therefore, it is specifically Schubert's works aligned with the Biedermeier period that include original guitar parts in some capacity. Their significance in music history lies in the contrast and breadth they provide within the whole of Schubert's oeuvre. Works in the Biedermeier style spanned Schubert's whole career. Whether providing accompaniment for a popular vocal genre or branching off into new and innovative instruments, Schubert's knowledge of the guitar is verifiable and proven in his works for the instrument.

APPENDIX A
A TIMELINE OF NINETEENTH-CENTURY GUITAR METHODS

<i>Timeline of Prominent 19th-Century Guitar Methods</i>		
Date	Author/Title	City
1799	Molitor, Simon and Wilhelm Klingensbrunner. <i>Versuch einer vollständigen methodischen Anleitung zum Gitarrespielen.</i>	Vienna
1799	Moretti, Federico. <i>Principios para tocar la guitarra de seis órdenes.</i>	Madrid
1810	Carulli, Ferdinando. <i>Méthode complète de guitare ou lyre</i> , Op. 27.	Paris
1812	Giuliani, Mauro. <i>Studio per la Chitarra</i> , Op. 1.	Vienna
1820	Bortolazzi, Bartolomeo. <i>Neue theoretische und practische Gitarre-Schule.</i>	Vienna
1825	Aguado y García, Dionisio. <i>Escuela de guitarra.</i>	Madrid
1830	Sor, Fernando. <i>Méthode pour la Guitare.</i>	Paris
1836	Carcassi, Matteo. <i>Méthode complete pour la guitare</i> , Op. 59.	Paris
1839?	Coste, Napoleon. <i>25 Etudes for the Guitar</i> , Op. 38.	Paris
1840?	Mertz, Johann Kaspar. <i>Schule für die Guitare.</i>	Vienna
1843	Aguado y García, Dionisio. <i>Nuevo Método para Guitarra.</i>	Madrid
1850?	Legnani, Luigi. <i>Metodo per la Chitarra</i> , Op. 250.	Vienna

APPENDIX B
EXTANT NINETEENTH-CENTURY VIENNESE
GUITAR METHODS AND STUDIES

Bortolazzi, Bartolomeo. *Neue theoretische und practische Guitarre-Schule, oder, Gründlicher und vollständiger Unterricht, die Guitarre nach einer leichten und fasslichen Methode gut und richtig spielen zu lernen = Nuova ed esatta scuola per la chitarra, ridotta ad un metodo il piú semplice, ed il piú chiaro*. Vienna (Graben Nr. 572): S.A. Steiner und Comp., 1820.

Bartolomeo Bortolazzi (b. 1796) was the son of an Italian mandolin virtuoso. He was a guitar prodigy and won first prize at competitions in London, Berlin and Leipzig in 1803 at the age of seven. He and his father settled in Vienna in 1805, just one year before Giuliani's arrival. Bartolomeo became a well-known teacher in the city and was widely published by the Steiner company.¹²⁵

This particular text includes the note, "*Von allen Guitarre-Lehrern in Wien zum Unterrichte angenommen*", (For all guitar teachers in Vienna to assist with teaching). The method includes studies, exercises and etudes in 27 pages.

Carulli, Ferdinando. *Vollständige Anweisung auf um die leichtste und einfachste Weise die Guitarre spielen zu lernen Op. 241*. Leipzig: H. A. Probst, 1840?.

This edition is a translation of the previous French publication. Cultural exchange between German-speaking countries was frequent in the early nineteenth century. Viennese guitarist most likely knew about this text and could read the lessons in their native language.

_____. *Neue praktische Guitarre Schule*. Hamburg: A. Cranz, 1810-1857?

The title page of this edition continues after the main title with, "*die anfangsgründe der Musik deutlich erklärt und die vorzüglichsten Regeln der Fingersetzung . . .*" (the fundamentals of music clearly explained and the best rules of fingering . . .)

All the elements from Op. 241 are presented in this German translation of the original French edition of the *Méthode complète de guitarre ou lyre: op. 27* in a much more cursory tone. This is due in part to the relationship between this and the later volume.

The date range for publication is based on the deductive reasoning that the French version was not published until 1811 and the German *Reichsthaler* (a form of currency used in Germany and the Holy Roman Empire) was used in Hamburg until 1857. The price printed on the title page is 1 Rthr. (*Reichsthaler*).

¹²⁵ Josef Zuth, *Simon Molitor und die Wiener Gitarristik um 1800* (Vienna: Anton Goll, 1920).

Gabesam, W. *Practische Anleitung für die chromatische Zither: mit Beispielen in allen Tonarten mit bezeichneten Fingersatz ; nebst einen Anhang mit Productionsstücken*. Vienna: s.n., 1830-1850?.

"*Productionsstücke*" (pp. 28-52) contains arrangements for zither and guitar duets.

Giuliani, Mauro. *Studio per la Chitarra*, Op. 1. Vienna: Artaria, 1812.

As one of the first and most prominent guitar virtuosos in history, this method serves as a gateway into a broader and more profound appreciation of his virtuosity and the musical environment in which he was celebrated. In comparison to other early nineteenth-century pedagogues, Giuliani is more reserved in his instruction.

_____. *24 Exercises per la Chitarra, Contente pezzi della magorire difficultá, diversi preludi, passaggi ed assolo*. Vienna: Artaria, n.d.

_____. *Etudes Instructives faciles et agreable pour la Guitare*, Op. 100. Vienna: Diabelli & Co., n.d.

The title continues with "Cadences, Caprices, Rondeaux and Preludes." It's dedicated to Princess Menschikoff. This is a reprint of the first edition.

_____. *18 Progressive Lessons*, Op. 51. Vienna: Artaria, 1814.

This collection of 18 short pieces is an excellent companion to Giuliani's *Studio per la Chitarra*. Because the method book has only 12 studies, the 18 studies in Op. 51 could supplement a student's progress through Op. 1 rather well.

Legnani, Luigi. *Metodo per la Chitarra*, Op. 250. Milan: Ricordi, n.d.

Legnani's great success in Vienna in 1822, 1833, and 1839 led the citizens to hail him as the true successor of Giuliani. This particularly late method was published by Ricordi in Milan and was likely produced around his retirement to his hometown of Ravenna in 1850. In contrast, his *36 Capricci*, Op. 20 (1822) and *Gran Studio*, Op. 60 (1829) were published by Artaria in Vienna. In light of these facts, it is conceivable that Legnani's *Methodo per la Chitarra* was available in Vienna.

_____. *36 Capricci*, Op. 20. Vienna: Artaria, 1822.

These pieces were likely inspired by Paganini's *24 Caprices for violin*, Op. 1. Legnani and Paganini were close collaborators and both collections demonstrate exuberance for didactic virtuosity.

_____. *Gran Studio*, Op. 60. Vienna: Artaria, 1829.

This concert etude acts as an abridged compendium of every left and right hand technique found in the method books of the early nineteenth century. Legnani weaves together scales, arpeggios, slurs, harmonics and octaves into a piece worthy of concert repertoire.

Matiegka, Wenzeslaus, Francesco Gorio, ed. *Studi per Chitarra*. Milan: Suvini Zerboni, 1987.

Francesco Gorio has selected 25 studies from Matiegka's wealth of pedagogical sources and arranged them in a loosely progressive manner. In a comprehensive view of music history, Wenzeslaus Matiegka is a relatively minor figure. Perhaps this is why he has not been the focus of considerable research.

I'm not aware of a bio-bibliography on Matiegka. Therefore, the original source material for Francesco Gorio's select studies is not known. One can surmise, however, that all of these studies come from texts published in Vienna between 1800 (Matiegka's arrival in the city) and 1830 (his death). It is also likely that the studies were published by the Artaria company considering that he remained loyal to the publisher throughout his life.

Mertz, Johann Kaspar. *Schule für die Gitarre*. Vienna: Tobais Haslingers Witwe und Sohn, 1840s.

Mertz did not arrive in Vienna until 1840 and lived there for the remainder of his life until he died in 1856 at just 50 years old. In spite of his relatively short stay in Vienna, Mertz was able to command powerful influence in the city as one of the most renowned virtuosos of his time. This method has striking similarities to the other Viennese guitar methods and studies.

These commonalities suggest a shared technical and practical tradition in Vienna that was otherwise unclear to researchers. On the other hand, and equally intriguing, are the subtle departures in pedagogical philosophy between the Viennese texts.

Molitor, Simon and Wilhelm Klingensbrunner. *Versuch einer vollständigen methodischen Anleitung zum Gitarrespielen, nebst einem Anhang, welcher das Nothwendigste von der Harmonielehre nach einem vereinfachten Systeme darstellt*. Vienna: Chemischen Druckerei, 1799.

Simon Molitor (1766-1848) was born in Württemberg, Germany and moved to Vienna in 1803.¹²⁶ He moved to Austria in 1798 as an officer in the war office. Despite his lack of virtuosic ability, his place in Viennese guitar history is important. He is best known for this text and his Sonatas Opp. 7 and 11.

¹²⁶ Ibid., 11.

This method published together with Wilhelm Klingensbrunner was the first complete guitar method published in Vienna that deals with the serious development of classical guitar technique for the purpose of mastering the performance of solo repertoire. Molitor's co-author was a flutist and *Csakan* player. He probably had more to do with the guitar and *Csakan* duets included in this text.

Molitor, Simon. *Grosse Sonate, op. 7: für die Guitare allein als Probe einer besseren Behandlung dieses Instruments*. Vienna: Chemischen Druckerei, 1806.

Molitor's 19-page introduction¹²⁷ to this didactic sonata begins with a fairly detailed account of the history of the guitar and its related instruments from ancient Greek song accompaniment to his contemporary epoch. Other areas include a range of tangential topics such as troubadours and their instruments to Guido d'Arezzo. More direct discussion of the Lute, Theorbo, Guitar and their contemporary use is of significance to this study. Pages nine and ten are of even greater import as Molitor describes in explicit terms how the instrument was developing from five to six strings at varied rates in Italy, Austria, Germany and France. He also conveys how the guitar was still primarily used as an accompaniment instrument in Germany.

Between pages 12 to 16 he describes basic guitar technique. On page 16 he complains that he has been employed by publishing houses for years with the task of transcribing pieces where the guitar is merely an accompanying instrument. He posits that the current sonata is an attempt to promote the guitar's solo concert repertoire. Following this he relays how to compose for the instrument in a stylistic manner.

Schuster, Vincent. *Anleitung zur Erlernung des von G. Staufer neuerfundenen Gitarre-Violoncells*. Vienna: Diabelli and Co., 1823.

A method for the Arpeggione. Offers insight into the varied and explorative culture in the Viennese guitar community.

¹²⁷ N.B. The full introduction is available in its original German text online at www.guitaronline.it.

APPENDIX C
GIULIANI, "STUDIO PER LA CHITARRA", OP. 1: A COMPARATIVE STUDY

Inversion

Two staves of musical notation in C major, common time. The top staff shows a sequence of eighth-note chords: C4-E4-G4, D4-F4-A4, E4-G4-B4, F4-A4-C5, G4-B4-D5, A4-C5-E5, B4-D5-F5, C5-E5-G5. The bottom staff shows the inverted sequence: C4-E4-G4, F4-A4-C5, E4-G4-B4, D4-F4-A4, G4-B4-D5, A4-C5-E5, B4-D5-F5, C5-E5-G5. Both staves include fingering numbers (1-3) and accents.

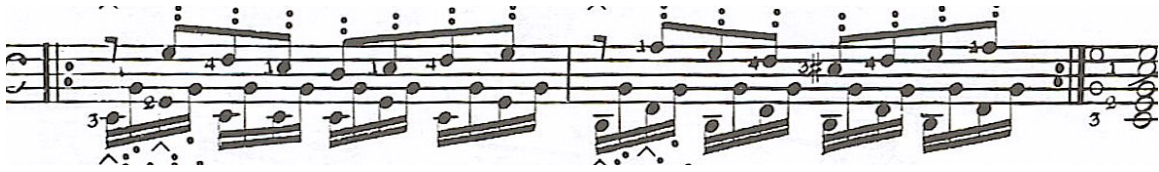
Retrograde

Two staves of musical notation in C major, common time. The top staff shows the original sequence of eighth-note chords: C4-E4-G4, D4-F4-A4, E4-G4-B4, F4-A4-C5, G4-B4-D5, A4-C5-E5, B4-D5-F5, C5-E5-G5. The bottom staff shows the retrograde sequence: C5-E5-G5, B4-D5-F5, A4-C5-E5, G4-B4-D5, F4-A4-C5, E4-G4-B4, D4-F4-A4, C4-E4-G4. Both staves include fingering numbers (1-3) and accents.

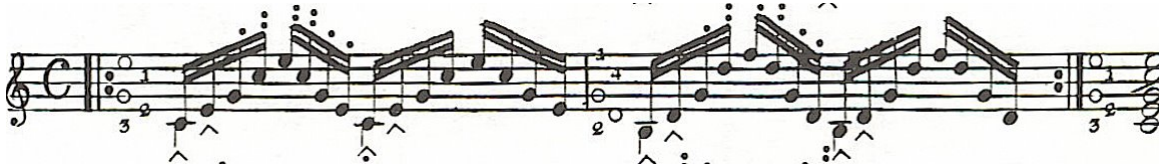
Rotation

Two staves of musical notation in C major, common time. The top staff shows the original sequence of eighth-note chords: C4-E4-G4, D4-F4-A4, E4-G4-B4, F4-A4-C5, G4-B4-D5, A4-C5-E5, B4-D5-F5, C5-E5-G5. The bottom staff shows the rotated sequence: C4-E4-G4, D4-F4-A4, E4-G4-B4, F4-A4-C5, G4-B4-D5, A4-C5-E5, B4-D5-F5, C5-E5-G5. Both staves include fingering numbers (1-3) and accents.

Example 27: Compositional Process in Excerpts from Mauro Giuliani's Op. 120.



Example 28: Melody with Alberti-bass in Giuliani's Op. 120.



Example 29: Repeated i Finger in Giuliani's Op. 120.



Example 30: Tremolo in Giuliani's Op. 120.

APPENDIX D

Schubert's "Terzetto" for Three Male Voices and Guitar, D. 80 - on Principles of the Edition and Interpretation

By: Franz Eibner

Translation by: Stephen Mattingly

Some musicians who do not even specialize in guitar literature or Schubert know this charming little work that carries the note:

“Finished, 27 September 1813

for my Father's Name Day Celebration”¹²⁸

The sheet music is easily obtained from the collection “Guitar Chamber Music/Edited by Karl Scheit” (Verlag Doblinger, GKM Nr. 40).

“Must one know every little detail from the masters?” This is a question I hear sometimes, and at first I want to reply with a question: What then must one know? To begin with, guitarists would not let any original work by Schubert be dismissed, even if it is only by a sixteen-year-old boy. Just considering, of all things, the casting of two tenors and one bass with the modest ranges (1st tenor: C#₃ to F#₄; 2nd tenor: D#₃ to D₄; bass: A₂ to A₃, which is only once in unison [with the 1st tenor] on C#₄)¹²⁹ – a true piece of *Hausmusik* – these days it isn't as easy to put together such an ensemble, as would be desired. Ultimately, Schubert reveals himself more deeply in these few tones than in all the bittersweet love stories, operettas, films...

As Spaun reported, in 1812, Schubert's personal relationships with his father became spoiled due to Franz's outstanding talent and musical vocation.¹³⁰ Only after the death of his mother was Schubert allowed in his parent's house again, which Schubert's father had previously forbidden. “Now all the barriers were down; the father knew the great talent of his son and took him in.” Schubert's mother, “a quiet one, much loved by

¹²⁸ A name day celebration commemorates saints and martyrs of the Catholic Church. The tradition originates from the Christian church calendar and the tradition of naming children after saints.

¹²⁹ Eibner used a different system for naming registers. I have updated his work to the most common register names in usage today. (Acoustical Society of America).

¹³⁰ Franz Schubert's father did not want his son to pursue a musical career.

her children and esteemed by all women” (Holzapfel), died on May 28, 1812; not even a year later, on April 25, 1813, Schubert’s father entered his second marriage, and on October 4 of the same year his name day celebration was held, for which Schubert composed this “Terzetto” with his own text. It was performed for the first time together with the string quartet D. 74 in his father’s house. In the quartet the honoree was able to play the cello himself. In Ferdinand Schubert’s memoirs, this was said of Franz: “for his father and the older brothers it was absolute enjoyment, to play with him in quartets...in this quartet Franz always played the viola, his oldest brother Ignaz the second, Ferdinand...the first violin, and the father the cello.” In the autumn of 1818 came the second disagreement with his father (lasting until 1822).

All this was mentioned here not for the sake of reminiscing about sentimental memories, but because as music teachers it benefits us to consider what a musically saturated atmosphere the young Schubert lived in. Although, there is also to consider that his extraordinary personal talent was used not only to perform his large works, but also for this small piece of *Hausmusik*. The conflict with his father and the failure to achieve the material requirements of this world was the price that Franz Schubert had to pay for this gift. He already showed every bit of talent as a child in the Lichtentaler church choir, where according to Ferdinand Schubert’s testament he “performed everything with the most appropriate expression; also at that time he played a violin solo and already composed small Lieder” or as Spaun reported from their time at the seminary: “his extraordinary participation in the execution of staged masterworks made those around him remark on his considerable talent, and soon the little boy was placed at the front of the orchestra as conductor, so that all the adults were willing subordinates to him...his musical mind was already at that time so great, that upon only one hearing, he not only knew the melody of a piece, but he also noted every exit and mistake of the inner-voices.” (To that end consider, that at that time one did not direct orchestra works with a score, but from the first violin stand, leading only from the orchestra’s sound.) The Court organist Ruziezka said of the figured bass instruction that Schubert took: “This instruction was limited to a few hours for it was apparent, that what others thought was so hard to learn was already innate in the young Schubert, and that he inherently understood

the essence of figured bass completely and only required the knowledge of various designations to appear well informed.”

Schubert’s brother Ferdinand proved with his compositions that it was not the musical atmosphere that spawned this genius. Yet, it was released by such a rich musical cultivation and by the character developing elements, that were found in Vienna not only found in the Schubert residence. For when masterworks had the occasion and the objective of the musicians to be performed, the young Schubert had the opportunity to learn! Spaun told of the time when Schubert came to the seminary: “I sat in the first chair of the second violins, and the little Schubert played from the same sheet music standing behind me. Very soon I accepted the truth, that the little musician surpassed me on security of the meter. I noticed that he was remarkable in the respect that he otherwise was a calm and casual looking boy that gave the most animated of expressions to beautiful symphonies. The *Adagios* of the little Haydn Symphonies moved him profoundly, and he often said to me of the Symphony in G Minor by Mozart, that it shook him, without actually knowing the reason...The Symphonies in D Major and B-flat Major by Beethoven extremely enhanced his delight. He later gave preference to the C Minor Symphony.”

“Also in vogue during this time were the Krommer-like symphonies which, due to their cheerfulness, found their greatest following among the younger people. Schubert was frustrated that such music was staged so often, and during the performance would say almost aloud: ‘Oh how tasteless!’ He didn’t grasp how one could perform such stuff – as he called it – considering that Haydn had written a myriad of symphonies.” As a contemporary of Beethoven (even Haydn was still alive when the youth was enrolled at the seminary), it was not a matter of contemporaries, but of the masterwork! Therefore, a masterwork is not well known because it is played often; it reveals itself to he who analyzes the work in earnest. The distinguished task for music instructors then is to expose masterworks; they are after all not just for their creator’s own generation!

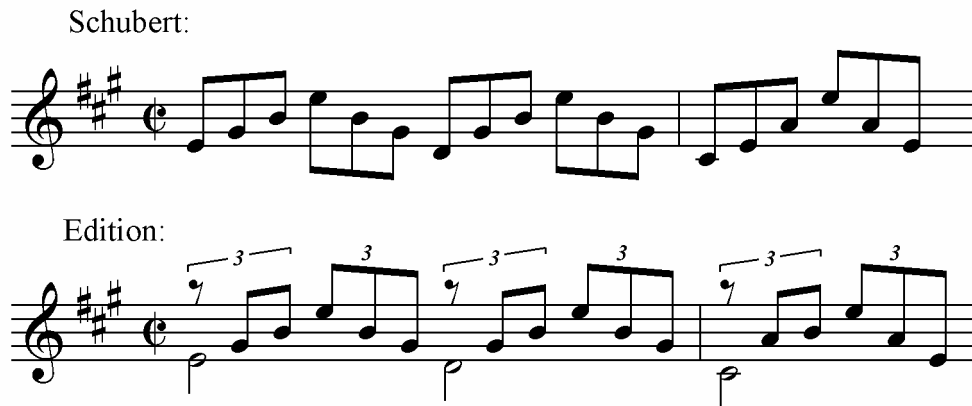
Whoever compares the aforementioned edition of Schubert’s “Terzetto” with its enclosed facsimile of the autograph manuscript, will immediately notice several differences! Consequently, one is very thankful for the facsimile, even though it is a reproduction. Therefore one can appreciate the relatively crude layout of systems renders

Schubert's neat handwriting is unclear in some details. It is a nuisance that one must always flip the pages forward and back to compare [the edition to the manuscript]; a double-sided insert on a single sheet would have been more convenient. Incidentally, the autograph itself also consists of only a single sheet. Unfortunately, no measure numbers are entered in the score. In the following pages, measure numbers will be named whereby the first measure of the *Allegretto* will not be counted (see the reason for this further below). It is practical to posit a few fundamental questions here, so that one gains a general understanding of the relationship between this edition and the autograph example. It is included here in facsimile, because not everyone has the opportunity to study the original in the Vienna Stadtbibliothek, where Schubert's written-out second tenor part is also found, which the Deutsch-Verzeichnis (DV.) mentions, but is not yet properly catalogued.

Next, we must look at the words that Schubert set. The forward-slashes, which in the autograph mark the ends of lines in the poem, prove to be pen strokes inserted later; this can not be recognized in the facsimile under discussion. They can hardly come from Schubert. Was the text originally written specifically for the composition? Schubert was able to make the form of the poem that he set transparent in the musical form of the composition; therefore this is not an insignificant question. His text here indulges freely in classic, sentimental truisms. The brief preliminary strophe is however, itself suitable to a musical introduction. In the following three strophes, the first and third mainly consist of trochee and therefore metrically contrast the middle strophe, where preference is given to the dactyl. Moreover, the text of the last strophe which begins with the words "Infinitely evermore tones, lovely Lyre" (*Endlos wieder töne, holde Leier*) is already foreshadowed at this point by the text with the entrance of the tonic. This is therefore indeed no amateur poem of just any meaning, but is well composed. It is ultimately the music that awakes our interest.

The time signature of the *Andante* is mistakenly given as $\frac{4}{4}$ in the published edition and not *Alla breve*. Editors should be especially attentive with an *Alla breve* time signature; for it is overlooked (or completely ignored) not only by amateurs, but frequently enough by professional interpreters as well. *Alla breve* is not simply, as one often hears, faster than $\frac{4}{4}$ (How fast is $\frac{4}{4}$?), but in cut time there is only one metrical accent

per measure (on beat one), while in a single $\frac{4}{4}$ measure there are two metrical accents (on beats one and three). Therefore the pulse in an *Alla breve* measure has less weight than one in $\frac{4}{4}$. The rhythms, that always carry their own emphases, whether they're marked with an accent or not, receive only half the metric accents in *Alla breve*, than in $\frac{4}{4}$ time. If one tried to set the lines: “*Apollo, steig hernieder, / Begeistre unsre Lieder:*” which have the poetic meter: (u – u – u – – / u – u – u – –) in $\frac{4}{4}$ time, Schubert’s setting would be distorted in performance to become: (u – u – – – – / u – u – – – –). The division and rendering of note values in the guitar part is a concern, because many details are changed. As in the accompaniment in measure eight:



Example 31: Comparison of the “Terzetto” manuscript and edition, mm. 8-10.

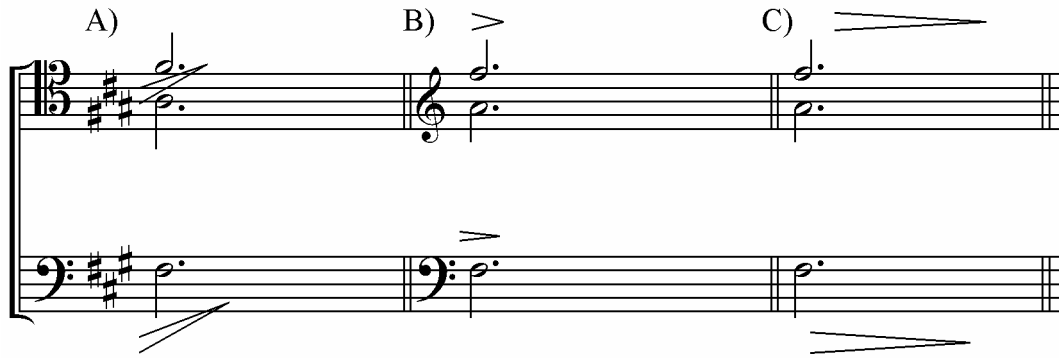
It is unclear in Schubert’s notation, which has eighth-note triplets set in *Alla breve*, where the bass notes should emerge a bit, which the small tenuto marking under the first triplet eighth-note indicates.¹³¹ One would surely notice the difference between the printed edition and the manuscript and perhaps set a number three over the first few triplets. Are any more really necessary? Wouldn’t the eyes become overstrained, if the inserted eighth-note rests in half the triplets are then enclosed in jerky brackets throughout the whole nine measures? Don’t the transcribed half-notes in the bass also seem much too significant when compared to the *Alle breve*?

¹³¹ See “The Birth of the Classic Guitar and its Cultivation in Vienna, Reflected in the Career and Compositions of Mauro Giuliani (d. 1829)” by Thomas F. Heck. His discussion on early guitar notation clarify Eibner’s obvious misunderstanding in this section.

Schubert set “*Lange lebe unser Vater Franz!*” at the beginning of the *Allegretto* with upbeats. Because the second half-note in the last measure of the previous *Andante* (m. 17) carries a fermata, so that the *Alla breve* does not immediately move into the $\frac{6}{8}$ meter, the anacrusis can be interpreted without further action. The published edition includes a half-note rest between the chord with the fermata and the anacrusis motion in the voices, so that a complete measure is made out of the pickup notes, but interpreters will therefore make it impossible to immediately combine the *Andante* with the *Allegretto*, when the printed edition includes something else entirely. Why change the measure when the interpreter should not stop on it? It is also not necessary to write out this caesura after every fermata, they seem indispensable to musicians. If one separates here however, it would be overlooked that we still have the D of the dominant-seventh (first tenor) in our ear from m. 16, and the voices’ melodic anacrusis sounds in the measure immediately following where the resolution moves from the first tenor’s D to a C-sharp in the second tenor. This first measure of the *Allegretto*, which only the published edition has, will henceforth not be counted in the following discussion. The rests are dropped; what remains is a pickup to m. 18, in which the guitar rests. Why the guitar’s E in m. 21 is set an octave lower than in Schubert’s original is not understandable.¹³² It is a funny inconsistency in the transcription, that while the guitar part uses the octave-transposed violin clef, the voices are transferred from the tenor clef as notated to [an octave higher] in the ordinary violin clef throughout.

In m. 29, we encounter a sign that is often found on Schubert’s music and is very important. Unfortunately, the manuscript copy in this edition can only imprecisely represent [what Schubert wrote]. In the following example below a) will show Schubert’s handwriting, b) what is used as a *marcato* in the printed edition’s sole correct transcription, and c) the *decrescendo* sign that is set in our edition instead:

¹³² It could be argued that the lower E played on the open sixth string makes this passage easier for the left hand.



Example 32: Comparison of markings interpreted as decrescendo signs.

What Schubert meant, makes his idiosyncratic handwriting clear: the encountered tone should sound emphasized in a particular way. To that end all the different nuances of dynamics, agogic accents, vibrato, and intonation can be helpful. Therefore the sophisticated, sixteen-year-old Schubert also anticipated that a composer, with every thought that he has, creates a *Tonraum*,¹³³ from which the structure of the whole piece will be created; and it also pushes him in the rendering of details which will leave an audible relationship to the *Tonraum*, so that the detail is superior and manifests itself in the whole. This relates to the F-sharp in m. 29 and the E in m. 31 (first tenor). Likewise, it corresponds to the F in the guitar solo (m. 36), where it would be marked from the *sf* to the leading-tone E. It occurs again in m. 41 from the leading-tone D-sharp to the held E (first tenor). Incidentally, the leading-tone D-sharp here is supported by a chromatic line (B to B-sharp) in the bass; also in this area the marcato sign is found in all voices of the seventh-chords that carry the leading-tone D-sharp.¹³⁴ This obviously means that the way in which Schubert himself wrote out the second tenor proves that in all parts not every voice is equally important or that their nuances are performed with equal intensity!

What appears in m. 29 as a decrescendo sign in the edition, along with an abundance of inserted crescendo signs, steadily diminishes Schubert's misunderstood marcato, which emphasizes the rise in the melody from C-sharp to F-sharp, thus it takes what Schubert wrote out of context and blurs the emphasis on the F-sharp.

¹³³ *Tonraum* is a word that groups concepts of pitch, note-names, harmony, scales, and intervals. It is accompanied by *Zeitraum* – all things dealing with time in music.

¹³⁴ I have not found this to be true.

This statement incidentally has nothing to do with the fact that composers demand crescendos or decrescendos through signs, and even if they should be consistently effective, it is not absolutely *de facto* that they must always be performed smoothly. A classic crescendo or decrescendo, however long, is staggered as it passes. The best understanding of this comes if one comprehends the [*Satzgeschehen*] under each figured bass symbol, whose expressions the young Schubert had more to learn about to appear perfectly informed, yet harmony was innate in him. As his figured bass teacher supposedly said: “*Dem kann ich nichts lehren, der hats vom lieben Gott gelernt!*” (I can’t teach him anything; he learned it from the dear Lord!). The primary significance of figured-bass-oriented harmonic thought is ultimately with the realization of the harmony employed by Schubert, Mendelssohn or Brahms, for they only had figured-bass in their heads, no less important than with the harmony of Bach or Handel, who often enough used the figured-bass numbers in the manuscript of their works.

The setting is very short, the demands that Schubert places on the performers are quite modest, and the musical materials are deliberately in agreement with the strophe structure of the poem that was set. The first of three strophes of the *Allegretto* begins with unaccompanied voices, the second opens with a guitar solo, whose start (between mm. 33 and 34) sounds transposed at the close of each a cappella measure (anacrusis to m. 18 to m. 20). The start of the third strophe marks the entry of the voices with guitar accompaniment. Although Schubert explicitly called for *forte* at the opening of the second strophe guitar solo (see the facsimile), the edition calls for *piano* dynamics. The editor, a quite valuable instrumental teacher, would surely have had the *forte* in his ear, but here he would rather write *piano*. However, can a rigid performance thereby be hindered? In any case the reader obtains a false picture of Schubert’s intentions here from the edition. Wouldn’t the prolonged bass over the C-sharp and E modulating progression from I⁶ – V bring about their cohesion if the solo quietly begins the analogous entrances—marked with *ff* in the first and third strophes in the *Allegretto*?

Measure: 33 38

Prolonged through:

33 34 35 36 37 38

I⁶ - V

I⁶ ----- V

Example 33: Sketch of bass motion and tonic prolongation in “Terzetto”, mm. 33-38.

The *forte* in the guitar applies to the short solo (mm. 33-38) in its entirety. With that dynamic here, it contrasts the succeeding *piano* phrase as in the other strophes. If today we have already come so far away from the objective that the call for the original manuscript frequently turns to enchantment, then certainly such well-intentioned encroachments can not be warned against urgently enough, that not only the detail, but also its overall position in the whole is potentially damaging. One would always like to see the dynamic instructions of a master met with the greatest seriousness! Today we ourselves freely dispute over composers like Schubert, who have a completely different position on dynamics.

In the meritorious writing “*Die Handschriften der Meister*” (Vienna, Gesellschaft der Musikfreunde) we can see, among others, the autograph score of Max Reger’s B-a-c-h Phantasie. (A facsimile of the first page is found in this publication.) As with Schubert, there is no more an obvious connection between his dynamics and the figured bass in Reger’s work — yet Wagner largely dismissed this connection in favor of a subjective, psychologically dynamic lecture. Reger saw it necessary to write effusive amounts of dynamic markings. However, he and his contemporaries still had the egregious, inherent difference in dynamics of classic-period works in their ears. Still Reger missed the extreme impression that his own works had on such measures. By comparison, today we are relatively accustomed to fairly rigid interpretations of classical music, provided that we’ve become acclimated. Yet under certain circumstances some have seen this as correct and therefore also advisable! In order to control the extensive markings, Reger deliberately stipulated large and small writing to the music engraver. In his own handwriting, though, he had inserted most of these signs with red ink, which

gave the impression of slightly elevating the musical phrase to which it was applied, however the printed edition is much easier to read!

It is therefore no wonder, that today we study the specific characteristics of the Classical movement and must learn that from this whole relationship the construction of dynamics is also understood. An editor's interference with dynamics makes itself obvious; with the dynamics of an interpreter, one could always argue over the nuances. Therefore it is not with bad intentions that another example from our edition is offered. Schubert experiences a similar dynamic misinterpretation in mm. 47-49. Three *piano* chords (mm. 45-46) are opposed by three *fortissimo* chords here. The second tenor enters on the third chord. On the entrance, Schubert wrote *fp* for this voice (likewise for the entrance of the first tenor in the next measure). Schubert set the dynamic symbol so that it falls on the first syllable of the words "*Immer getrennt*". However, the guitarist has a *p* written before the third chord instead of a *ff* in our edition; surely to avoid covering the voice's entrance (m. 48).¹³⁵ And perhaps also, both *fp* markings were omitted to avoid an exaggerated declamation (an over emphasis of the word "*Immer*").

As observed above, this argument also deals in principal with the conditions of classical works conflicting with modern practice; whereby it should be considered that this modern practice is understood from its conditions in a modern setting. The *fp* that Schubert wrote before the first syllable of the word "*Immer*" is not through the declamation, but musically dependent because it is, on the one hand, the imitation of the second and first tenors; on the other hand, the entrances of the voices will be distinct from the *ff* chords. Nevertheless, this must always have the effect of a *fortissimo*, although it need not sound exactly as strong as both preceding chords. To make music together means to hear each other and mutually build the dynamics of the work. The *p* however, which our edition explicitly places on the third *ff* chord, must be played with particular accent by some agogic means if it was so intended by Schubert. The dynamics that the composer demands by comparison are lost with the three chords that are immediately repeated. Incidentally, the actual fact that with musical progression in song, accents can emerge as caused by the music itself and therefore fitting the word

¹³⁵ Eibner is referring to the Universal Editions publication of "Terzetto," D. 80 edited by Karl Scheit when he writes "our edition".

declamation, deserves to be solidly fixed in our awareness if we want to finally value the sophistication of classical vocal music as connoisseurs. Such freedom is possible when many elements permeate and correlate to each other.

Marcato notations that are misunderstood as decrescendo markings are found again in mm. 64, 66 as well as mm. 85 and 87 (the last example creates a completely different cadential effect – fading away, instead of being accentuated). In m. 70 (this time incidentally one of the changes in our edition found agreement with the Schubert Complete Edition unlike all other changes) a voice-crossing, that Schubert explicitly called for in the score and is also found in the written-out second tenor part is eliminated. The lower tone of the sixth (C-sharp - E) is sung by the first tenor, the higher tone (the C-sharp) is sung by the second tenor. Incidentally, the written-out part just mentioned contains some variants. Supposedly Schubert had not notated the part from the score, but from memory. Only a single variant appears worthy of mention; it concerns an area where the second tenor comes to lie above the first tenor.

A) B) C)

sei-ner Ta - ge Chor! sei-ner Ta - ge Chor! sei-ner Ta - ge Chor!

Example 34: Analysis of voice crossing in “Terzetto”.

In the second tenor voice this means that in ex. 4a the eighth-note motion does not especially belong to the first tenor. Possibly Schubert believed that the eighth-note motion, that lies in the first tenor voice in the score, later covered the primary melodic voice, and would then perhaps be sung as in ex. 4c by the first tenor. The first tenor and the bass parts are unfortunately missing. Finally, there is something else to compare, as in m. 36 an A in the guitar is doubled in the lower octave, the significance of the slur marking is however not completely clear with this lower voice. Between mm. 37-38 open fifths (“Mozart-fifths”) occur that are not contained in the original, because on the last eighth-note of m. 37 Schubert wrote an Italian augmented-sixth chord with doubled A’s (compare to our figured bass in example three)!

In measure 67, the *pp* is missing in the guitar. In the Schubert Complete Works, a *pp* was added to m. 73 (analogous to mm. 67 and 21), which our edition could have

adopted, but that did not happen. Instead our edition added a *p* to the entrance of the bass voice, but Schubert placed an *f* in the written-out second tenor part, which is not found exactly there in the score. We are not clairvoyants, and whoever does not have the second tenor part lying before them, could not have any idea about this *forte*. As this spot teaches, not absolutely every dynamic sign is of such significant meaning, as in the instance specifically discussed above. A work of art is not arithmetic, a classical composer is no computer, and hence he places all the more demands on our appreciation and understanding of art. A direct result of this is, however the editor's first duty to the greatest possible loyalty to the score. The only feasible way is obviously a text planned with the best knowledge and conscience with a small report added, that notes the most important deviations and also any peculiarities of the original or originals. This way is incidentally already taken in new editions published by Doblinger! Editors and publishers are hereby especially requested to take this all-too-delayed discussion less as criticism (in the bad sense) than as a practical way leading forward for the readership of this periodical to approach problems of interpretation and the combined problems of editions. Namely for whoever wants to seriously think through the tips given, it is necessary to get the aforementioned edition. Because the opportunity of such an instructive comparison is not often given, and furthermore, with a piece presented that with its scale—its feasibility and its construction is not all too great in its demands—I ask the interested reader to obtain this piece!

A word on the sense of modulations in this work that already seem completely strange to the Schubertian model! They profile, as classical modulations overall, only the primary key. Throughout they are altogether much more daring than those modulations, in which really nothing else comes before, but where a key is left. Leading tones are placed just beside one another, however the in the middle strophe of the *Allegretto* the manner they follow each other, without one's interpreting their connection, allows this modulation to be seen only as a temporary key. (Here a phrase sketch [*Satzverlauf*] includes the guitar part and the voice parts, the bass progression [*Bassweg*] is notated in bass clef.)

Measure: 33 38 39 44 45 47 51 52 53/57 56/60 57/61 63 64 65 66 67

Example 35: Large scale bass motion in “Terzetto”, mm. 33-67.

If one tries to embrace the context, then one notices that the tones that follow one another are not all equally important and that the salient tones ultimately depict the arpeggiation I – V – I of the tonic triad, with the root and fifth spelled horizontally in the reduction:

Measure: 18 33 38 39 44 45 47 51 52 53 - 57 64 67

Brechung (Arpeggiation) of the E minor chord

a)

A: I I⁶ - V# E: I - V# G: iii-I# (B: V) B: I⁶ IV V I b: i III#
 A: I----- E: I----- III----- II----- V----- A: III#-----I-----
 A: I-----V-----I-----

b)

A: I-----V-----I-----

Example 36: Mid-level and lower-level analysis of bass arpeggiation in “Terzetto”.

The first line of the previous sketch deals with the middle strophe of the *Allegretto*, for its first strophe expresses the first level which clearly expands the tonic. The guitar solo, with which the setting of the second strophe begins, still presents the first level, through the progression I⁶ – V (compare to example 3). Dominant chords such as this one (m. 38), which in the context of the whole clearly have the task to delineate those tonic triads, are often found in classical music. Traditional theory certainly had not been recognized (a vague notion of it hides in the concept of the harmonic half-cadence, in

which it freely employs the tonic-prolonging dominant not only with harmonic, but also, with voice-leading as when the dominant harmony makes a passage consonant with the outer voices, somewhat as with a half-cadence in the period.)¹³⁶ Without any such differentiation, the effective precedence and subordination of a single chord is certainly not able to be grasped!

With the entrance of the voices (m. 39) the dominant chord obtains its own weight and is no longer in service of the tonic. The B-major chord in m. 44 extends from here (as the secondary dominant) to the E-major chord (the dominant of A major) and just as before (m. 38) the E-major chord to the tonic. In m. 45, the B-major chord of the preceding measure is incorporated, though in its minor version. Thereby the chord quality changes, however the harmonic meaning [*Stufenbedeutung*] of the sound remains untouched by this change. This established B-minor chord in m. 45 however does not push its own weight forward; it prepares the G-major chord in m. 47 and following as a third relation. The meaning of the G-major chord infers to us, if we comprehend, that this section only therefore leads to the F-sharp major chord, because the anacruses to mm. 54 and 61 target the complete composing-out of the B-major chord. “Composing out” means the horizontal presentation of a chord. The chords E-major – G-major – B-major that unfold in the second strophe of the *Allegretto*, are composed out here as the extended minor dominant harmony [*Stufe*] of A major!

The second strophe ends with a B-major chord, the third strophe does not directly deploy with the tonic triad, however with a chord, which is subservient to the composing out of the tonic triad; the C-sharp major chord from m. 64 forms the third above A major. Also, the chord quality appears exchanged with the diatonic mediant harmony in this C-sharp major chord (in A major the mediant/C-sharp harmony is known to be minor).

Did the sixteen-year-old Schubert know all this? He heard it, otherwise he could not have written it down with such certainty (one can also look at the characteristics of his handwriting in the facsimile!)! As a contemporary of Beethoven, Schubert also surely understood that modulations within a tonally closed composition serve the purpose of composing-out the overall key.

¹³⁶ Here Eibner is referring to the global function of the dominant harmony functioning as a harmonic center for a regional event.

Such relationships have been recognized since Heinrich Schenker, nevertheless some want to draw no conclusions from this. Some can not believe that the knowledge of such connections is significant for interpreters of classical works; likewise that the areas of functional theory, from which Schubert really could have known nothing, could not have helped much to foster the understanding of classical music. It is not the concern of this article to belittle the work of a commendable colleague; I am also far from concerned with making a reproach to the musicians of my generation, who have not exposed themselves to Schenker. It is simply concerned with putting forth the concrete example, that our work with the greatest masters of music simply must always put forward new questions, because we have only just developed a real awareness through evolving temporal distance, that is to say if an awareness of their greatness could be attained. Modern music would not be itself if it was “classical”, and nothing appears more metaphoric to me than the phrase “the classics of the modern arts”. What this attempts to express does not depict classical universality; one thinks however, of a cross between the works of [Evard] Munch with Michelangelo! The American saying, “you can’t have your cake and eat it too,” applies here. And the further contemporary music moves away from classical principles, the more it will place us in a point of view, from which the wholeness of classical music as such in all its elements is not definable! Despite the ever-growing distance between the classical arts that we must inevitably continue to gain.

If Zelter wrote this to Carl Loewe in regard to his own composing: “I patiently let it taunt me when laws and intentions don’t always come to fruition,”, then this thought fortunately has its downside as well. For a wrongly refined view must not necessarily destroy the instinct for the appreciation of classical greatness in its entirety! Be that as it may, a wrongly refined view, in which a sphere, a cone, and a disk would only appear as circles, cannot be beneficial under any circumstances. Also remaining to be considered, is that the human is the only living being in nature that must develop its instincts and therefore can deform them as well! And one more word on Zelter is appropriate here; it was Mendelssohn’s mother who said: “As I understand it and henceforth expect, through continuous experience he must necessarily become inherent, assuming that I have wanted to reveal to him the art of eternal inspiration and not just the art from yesterday and today.”

In conclusion, a few more remarks on the piece of *Hausmusik*, that we have in the “Terzetto”. It is ultimately not for us to expect that we let “Vater Franz” live long at all costs. One can at best apply it to music instruction with unchanged text in connection with those biographical details, which I referred to at the beginning. These can also be looked up in O. E. Deutsch’s beautiful source publications or in Werner Jaspert’s nice compendium. However shouldn’t music-making friends and families be mindful of this little piece and celebrate their name days with Apollo, Lyres, Elysium’s shadow, and Schubert? Just as the text from Bruckner’s “*Trösterin Musik*” has been changed from personal to universal meaning, here one could instead of “*Lange lebe unser Vater Franz*” (Long live our father Franz) universally wish: “*Lange strahle deines Sternes Glanz*” (Long shine your stars’ glare) every “*sein*” (his) could be read as “*dein*” (your), “*ihn*” (his) replaced with “*dich*” (your) and instead of “*Vater Franzens Glück*” (Father Franz’s happiness) one could close with “*deines Lebens Glück*” (your life’s happiness).

Should one not have a guitarist at hand, this must not be a hindrance – guitarists please pardon my mortal sin here! The guitar part is easy to adapt for piano; likewise the two tenors incidentally – this is another suggestion for guitarists! – can easily be replaced by two women or girls’ voices! Our all too pedantic quest for the Urtext means: what applies to make the best of it is not the subject, but the enjoyment of music making and the musical content of a composition. This avoids the metronomic coldness, most erroneously so-called perfection that even a bungler is capable of – and prefers personal enjoyment! – if he or she is delighted with enthusiasm in this work!

This testimony is incidentally from Anton Holzappel, a companion of Schubert as a boy in the seminary, who reported:

Generally during this time a relatively solid musical aspiration motivated us, upon which Schubert, who himself only later perfected any significance in piano playing, took an active interest from an early time; for it was by our daily production—year in, year out—of all the symphonies by Josef Haydn, Mozart, then the first two by Beethoven, in addition we regularly performed all the passable overtures, even the *Coriolan* and *Leonore* (the great overture to *Fidelio*), and played through the classical quartets of Haydn and Mozart for the most part. It goes without saying that everything was the most raw and inadequate and on poor instruments, and I know for sure, with what immense pleasure we scratched through the fugues in quartets by Albrechtsberger, Haydn, and Mozart with strict observation of the pulse.”

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BIOGRAPHICAL SKETCH

Stephen Mattingly – guitarist, has been warmly received by audiences in the United States and Europe as a soloist and with the Tantalus Quartet. His performances have aired on WFLA, WLKY, and NPR affiliates. During the 2006-07 season he appeared as guest artist at Valdosta State University and the University of Louisville. As recipient of the prestigious Theodore Presser Award, he directed and performed on a recording of Franz Schubert's complete guitar chamber music. In addition to his performing career, Mr. Mattingly teaches at Florida State University, Chipola College, and Bainbridge College. He also has been a guest lecturer and faculty member at the Guitar Foundation of America Convention, the Iserlohn Guitar Symposium in Germany, and the Acadia International Guitar Festival in Canada. Mr. Mattingly completed his doctoral studies under the tutelage of renowned pedagogue, Bruce Holzman at the Florida State University where he also earned a Theory Pedagogy Certificate. During a two-year residence in Germany, he earned an Artist Diploma with Dale Kavaugh at the Hochschule für Musik in Dortmund. Mr. Mattingly's studies also include master-classes with Oscar Ghiglia at the Accademia Musicale Chigiana in Siena, Italy. Prior to his work in Europe, Mr. Mattingly studied with Nicholas Goluses at the esteemed Eastman School of Music where he earned a Master's and a Bachelor Degree with distinction, a Certificate in Arts Leadership, and a Performer's Certificate. Mr. Mattingly has appeared with the Tallahassee Symphony Orchestra and as soloist with the Kentucky Camerata, the New Harmony Festival Orchestra, and the Youth Performing Arts School Orchestra. Committed to the creation of new music, Stephen has premiered numerous works for guitar and is the dedicatee of *Variations for Solo Guitar* (1999) by Joseph Michaels.

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