

Aspects of the Historical Development of Repertoire for the Guitar:
A Case Study of Hans Werner Henze's *Royal Winter Music, Sonatas on*
Shakespearean Characters

by

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Abstract

This thesis thoroughly examines the contributions Hans Werner Henze has made to the twentieth century repertoire for the classical guitar with the two sonatas that make up *Royal Winter Music*. The background of guitarist Julian Bream's commissioning of the work is discussed in the introduction, taking into consideration both the performer's and composer's interests and circumstances. The first main chapter then gives an overview of the guitar repertoire, starting with its origins in the Classical era, and highlights issues that are particularly pertinent to an investigation of *Royal Winter Music*. The nature of these works of Henze — sonatas based on Shakespearean characters — warrants the in-depth focus on both sonatas and character pieces in the guitar repertoire. In both cases, pre- and post-twentieth century examples are considered separately, given the different approaches of guitarist-composers of earlier eras, and composers since the 1920s dominated by non-guitarists. Of particular importance are issues of shortcomings of both genres, as guitar repertoire has struggled to keep abreast of that which has been available to other instrumentalists. The following chapter then examines each sonata of *Royal Winter Music* and scrutinises the means by which Henze accommodates each work within the genre. A summary of the normative parameters of the sonata is given, followed by an exploration of how Henze utilises and expands these boundaries in each work. For the third and final chapter, a similar approach is taken with regards to music of literary inspiration, starting with an overview of the practice as a nineteenth century phenomenon. The musical content of each movement is then discussed in terms of the character or theatrical episode that Henze had chosen to represent. In considering the overview of guitar repertoire and understanding *Royal Winter Music* from two these two perspec-

tives, Henze's remarkable contribution to the guitar repertoire can be appreciated. It is argued that whilst previous guitarists and composers had done much to advance the status of the guitar, there were vital areas of repertoire that still lagged behind other instruments. In providing these two substantial works that straddle genre boundaries, Henze was able to offer something that would go a long way to fill the void.

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Introduction

Overview and approach

This thesis explores the contribution that Hans Werner Henze's (1926–2012) *Royal Winter Music* has made to the repertoire available to guitarists: two major sonatas written in 1975 and 1980, dedicated to leading British classical guitarist Julian Bream (b. 1933). In describing these works as sonatas on Shakespearean characters, the composer makes clear his intention to cross the boundaries between genres. The first sonata contains six movements, depicts nine characters, and is around thirty minutes in length. The second provides a further three movements and characters, and lasts a little under twenty minutes.¹ Historically, works of such length and breadth have been scarce amongst the repertoire for guitarists, which typically comprises stand-alone works or collections of miniatures and dances. The purpose of this exploration of *Royal Winter Music* is not so much to elucidate Henze's inspiration, but rather to highlight the significance of this contribution to the guitar canon, which must be considered one of the greatest of the recent decades.

During the final stages of writing this thesis, I became aware of a short additional *Ritornello* movement in the first sonata that is supposed to be played in between all of the other main movements. This is not included in the score that was available to me during the course of my research, nor is included in recordings of the work by Bream or David Tanenbaum (who also

¹ These timings for the two sonatas are based on the recordings of Henze's complete guitar music by Franz Halász. *Royal Winter Music, First Sonata on Shakespearean Characters* is featured on the 2010 release, *Hans Werner Henze: Guitar Music Volume 2*, Naxos 8.557345 (tracks 1–6). *Royal Winter Music, Second Sonata on Shakespearean Characters* is featured on the 2006 release *Hans Werner Henze: Guitar Music Volume 1*, Naxos 8.557344 (tracks 1–3).

worked closely with Henze) and is not mentioned in any of the available literature. It is presumably part of a more recent revision of the work by the composer, but I have not been able to ascertain a date or reason for this addition. As such, the following discussions on the first sonata focus on the work as it was initially edited and premiered by Bream. I am not aware of any such added *Ritornello* movement or any other amendments to the second sonata.

As the subtitle that Henze attaches to these pieces is “Sonatas on Shakespearean Characters,” this warrants investigation of two distinct categories. Firstly, the composer has clearly designated the two works as sonatas, implying a multi-movement form that displays profundity in a limited medium (usually one or two instruments). As such, this necessitates investigation of how sonatas have been understood by prior contributors to the guitar catalogue and what Henze’s aims were in providing these two sizeable works. Then, considering the works as collections of pieces based on Shakespearean characters, a similar approach must be taken with regards to guitar music of literary inspiration and the means by which Henze represents his chosen fictitious individuals in the music. This combination of avenues, considering historical examples of these divergent facets of the works as well as Henze’s vision, will be able to suitably position these remarkable contributions within the catalogue of guitar works.

These two works that make up *Royal Winter Music* are bold and expansive in ways seldom explored on the guitar and as such represent hitherto uncharted territory on the instrument. As sonatas, they tend to take non-guitar examples as their model, setting them apart from much of the repertoire available to guitarists. Indeed, guitarist-composers of previous centuries who have contributed sonatas to the catalogue seem to have interpreted the boundaries of its definition somewhat flexibly as compared to the great sonatas usually encountered for more typical

Western concert instruments (such as the piano and violin). Similarly, whilst music for guitar with literary or other extra-musical inspiration certainly exists, historically most of this plays up to the instrument as best suited to intimate performances. Henze's writing on the other hand, really seeks to draw from his experience as a composer of symphonies and theatrical works. These two substantial works therefore reveal a void that guitarist-composers seem to have been unable to fill, and comfortably offers a solution.

For an investigation of the historical classical guitar canon, Graham Wade's *Traditions of the Classical Guitar* (1980) offers a thorough overview of the most important practitioners. Of course the major historical figures are covered in detail, but in addition this also gives reference to some of the easily-overlooked peripheral figures. Whilst discussion of the best-known exponents of the classical guitar can be relatively easy to source, Wade's book gives some extra context that is otherwise difficult to come by. For a more specific discussion of twentieth century figures, David Tanenbaum's "Perspectives on the Classical Guitar in the Twentieth Century" (in *The Cambridge Companion to the Guitar* of 2003) discusses both the major performers and composers since 1900. Tanenbaum's own contribution to the classical guitar in the last thirty years or so has been significant, through his commissioning and dedication to contemporary music.² This gives his chapter a personal insight, without detracting from the factual content.

Literature that deals specifically with *Royal Winter Music* is scarce, although David Harding's 1997 DMA thesis, "A Performer's Analysis of Hans Werner Henze's *Royal Winter Music*, Sonata I," provides some major groundwork for the first sonata. Particularly useful in this

² Amongst the many achievements listed on Tanenbaum's website (www.davidtanenbaum.com) are the premier and first recording of Henze's chamber concerto, *An eine Aolsharfe*, conducted by the composer, a project with Terry Riley involving twenty four guitar pieces, and several other collaborations with composers and ensembles.

very thorough investigation are details offered by Henze himself in an interview with Tanenbaum, providing perhaps the only extensive commentary on the work directly from the composer. Unfortunately, no document exists that covers the second sonata in such detail. There are scatterings of details in Henze's own writings and in some short articles and interviews, all of which has to be pieced together to yield a clear picture. By considering how Henze approached the two composite parts of *Royal Winter Music* as sonatas, then as suites of character pieces, in combination with the background of such pieces already in the guitar repertoire, the remarkable addition to the guitar catalogue can be understood.

The remainder of this introduction gives an overview of the circumstances that instigated the composition of these two sonatas. In particular, there is a thorough discussion of Henze's exploration of the guitar in two major preceding works, *Kammermusik 1958* and *El Cimarrón*. The other major partner in initiating the commission is of course Julian Bream, and so there follows a summary of relevant aspects of his performing career. This includes his pivotal role in expanding the catalogue of contemporary music for the guitar, which has been able to flourish in recent decades largely due to his efforts. The first main chapter investigates historical aspects of the repertoire, situating the origins in the Classical era. (This certainly does not dismiss music from prior centuries, commonplace as it is amongst performing guitarists, but simply demonstrates that earlier repertoire requires adapting and transcribing to be a viable option on the modern guitar.) In considering the double focus of sonatas and character pieces there then follows sections devoted to prior models of each. In the second chapter the focus is on accommodating the *Royal Winter Music* in the sonata genre. First the historical model which Henze was following is identified and surmised — both in a generic sense and with regards to his specific inspiration — and

then the procedure of each sonata is determined and outlined. The third and final chapter follows a similar course considering *Royal Winter Music* instead as collections of character pieces. Again, Henze's inspiration is accounted for, although in this case it is a literary source rather than musical. Then, along the same lines as the previous chapter, each sonata is scrutinised for the means by which Shakespeare's creations are represented in each of Henze's movements. As such, the importance of this sizeable contribution to the guitarist's repertoire can be understood in terms of the void that it has filled in the canon, and the relationship between guitar music and concert music in general.

Background of Henze's *Royal Winter Music*

Julian Bream and Hans Werner Henze are widely recognised as leading luminaries in their fields. No discussion of the classical guitar in the twentieth century would be complete without a substantial focus on Bream's devotion to expanding the repertoire. Likewise Henze remained a driving force in contemporary classical music in a diverse range of genres from his early career right up to his death in 2012. It is an unsurprising consequence therefore, that the result of the collaboration between Bream and Henze is one of the most important contributions to guitar literature. The two sonatas that make up *Royal Winter Music* are not isolated examples of Henze's interest in the instrument, but they are the only stand-alone works he wrote for solo guitarist. His earlier chamber/theatrical works *Kammermusik 1958* and *El Cimarrón* feature the guitar prominently, and he would make further use in later ensemble works such as *Selbst und Zwiesgespräche* for guitar, viola and keyboard (at the performers' option) and *Ode an eine Äolsharfe*, essentially a chamber concerto in all but name. Scholarly writing on these smaller works

is scant, and often serves only to place these projects in the timeline alongside his larger works such as symphonies and operas. It will therefore be useful to consider briefly the origins of these earlier pieces as well as Henze's use of the guitar in them, in order to be able to situate the genesis of the *Royal Winter Music* sonatas more clearly.

The movements that make up *Royal Winter Music* function in a multitude of ways, and take on different historical significance depending on which avenue is considered. As sonatas, they are perhaps the first such works that enable the guitar to equal Beethoven's most ambitious and adventurous offerings for the piano. In this respect, the sonatas 1 and 2 remain separate works, despite the common thread between them. As character pieces, they are a collection of portraits and push the boundaries of the expressive and technical limits of the instrument as few previous such works had. The entire set of pieces could be considered one body of work that happened to be composed in two stages, or equally be viewed as a set of individual movements from which performers may select one or more to perform without the expectation of preserving a complete, multi-movement work (Schneider 1983, 269). In acting as an uncompromising blend of the two genres, this feat of composition tackles longstanding issues of the guitar as a concert instrument with a unique approach.

Kammermusik 1958

Kammermusik 1958 is a chamber work based on the poetry of Friedrich Hölderlin (1770–1843) and originally comprised twelve movements. As indicated by the name, it was completed and premiered in 1958. The original twelve movements are divided into four equal groups. Three movements are for solo guitar, and are often performed on their own as *Drei Tentos*; three

movements are for tenor voice with guitar accompaniment, and are likewise often performed separately as *Drei Fragmente nach Hölderlin*. The whole ensemble — voice, clarinet, horn, bassoon, string quartet and guitar — are involved in three movements, and the remaining three are for instrumental septet, omitting the guitar and voice. (A thirteenth movement that was presumably part of the 1963 revision of the work is for the same septet.) *Kammermusik 1958* was premiered at the Aldeburgh Festival in 1958 and dedicated to Benjamin Britten (1913–1976). Taking the crucial roles of guitar and tenor were Julian Bream and Peter Pears (Henze 1998, 155).

This prompts a mention of some of Bream's other particularly important collaborations and facets of his career. His work with Peter Pears yielded performances and recordings of Renaissance songs, with Bream accompanying on the lute. As a guitar/voice duo they gave rise to a number of works specifically written for them, including Britten's sixth volume of Folksong Settings and *Songs from the Chinese* (Op. 58), and William Walton's *Anon. in Love* (Wade 2008, 58). Britten used his two collections of songs as a sort of "practice run" for a major work for solo guitar, which he eventually offered to Bream as *Nocturnal After John Dowland* (Op. 70), again referencing the dedicatee's other musical outlet as a lutenist (Johnson 2003, 101). For all the diversity of musical styles that Bream was associated with in the late '50s to '70s, there was a strong sense of cohesion and shared vision between several contributors.

The basis of *Kammermusik 1958* was Friedrich Hölderlin's prose poem, *In Lieblicher Bläue* ("In Lovely Blueness"), written in 1822. This poem forms part of a larger novel entitled *Phaeton*, which itself is modelled on Ancient Greek tragedy (Rohr 1982, 15). Although very different from the sources Britten would draw from for his offerings to Bream and Pears, Henze

also sought out a historic influence; and again differing from Britten's use of Chinese poetry, Henze still looks to something exotic by borrowing from Ancient Greece.

El Cimarrón

Henze spent the years 1969 to 1970 in Cuba, where he met Esteban Montejo, an elderly veteran of the Cuban War of Independence. Inspired by the story of this runaway slave joining an army of *cimarrónes* in the 1895 Battle of Mal Tiempo, Henze composed a major chamber/vocal work based on Montejo's life (Henze 1998, 257). The text was taken from Magnus Enzensberger's German translation of *Biografía de un Cimarrón* by ethnologist Miguel Barnet, originally published in 1963 (Becker-Carsten, Wallach and Weaver 1971, 314). Categorising Henze's *El Cimarrón* is problematic, as it conforms neither fully to song-cycle or operatic genres. Henze himself writes "*El Cimarrón* did not turn into a song-cycle, nor was it conceived as such; it was, rather, a trial run for a new type of concert" (172). Although he dismisses the work as a straightforward song-cycle, Henze's need to explain away the issue indicates there is at least partial adherence to the form. Several scholarly sources consider the work a chamber opera, presumably as the strong sense of theatricality lends itself to that designation (Becker-Carsten, Wallach and Weaver 1971, 314). Yet the structure of Henze's composition does not conform to acts, scenes, arias and recitative as one might expect in an opera-type work. Once again, the product seems to elude an easy definition.

Requiring only four musicians for performance, Henze wrote incredibly resourcefully in this work. The ensemble recruited for the world premier in the Berlin Festival in 1970 were flautist Karlheinz Zöllner, Cuban guitarist (and composer of wide repute) Leo Brouwer, Japanese

musician Stomu Yamash'ta on percussion, and William Peterson taking the vocal role. However, the instrumentation of the score is not straightforward, particularly for the flautist who has to play four conventional flute instruments, as well as a Japanese *ryuteki* and a *scacciapensieri* — a sort of Jew's harp from southern Italy — and various percussion instruments (314–315). The guitarist adds further percussive effects on the instrument, as part of the various extended techniques utilised, supplemented by bongos, cowbells, marimba and other percussion instruments (Henze 1982, 173). This, of course, is in addition to the designated percussionist, whose selection of instruments includes Japanese prayer bells, steel drums from Trinidad and African drums, in addition to standard European instruments. And to compete with the demands placed on the instrumentalists, the vocal part requires a range from bass-baritone to counter-tenor, with whispering, humming, laughing and other such sounds atypical of standard opera (Becker-Carsten, Wallach and Weaver 1971, 314–315).

Although there is heavy reliance on this assortment of innovative sounds, often utilising graphic representation in the score, Henze does not totally abandon musical or theatrical tradition in this work. The *habañera* rhythm is incorporated in the second piece, borrowed from Afro-Cuban tradition. Henze has written that the inclusion of *Ave Maria* in the third piece is a particularly theatrical moment in the score. In addition, a seemingly aleatory section (according to the composer's own description) is actually a sort of theme and variations on an Afro-Cuban tune, which quote a *toque* (rhythmic theme) from the Lukumi religion (Henze 1982, 175–6). *El Cimarrón* appears to be an amalgam of apparently divergent ideas: part-opera and part-song-cycle, avant-garde yet partly traditional, small chamber ensemble but with a multitude of instruments, and partly a Western theatrical work, whilst also partly an exotic performance piece. This

method of converging seemingly opposing qualities is a feature that would also make *Royal Winter Music* stand out from any of its competitors.

Leo Brouwer

Given his importance as one of Henze's collaborators and his position in the guitar world, further mention should also be given to Leo Brouwer (b. 1939) and his work around the late 1960s and early 1970s. Although no longer an active performer on the instrument, Brouwer has remained a pivotal figure in the guitar world since the 1950s. His compositions are an integral and vast part of the twentieth century canon, and include small and large-scale works for soloist, several concerti, and chamber works for multiple guitars. Perhaps the one area of guitar composition he has not significantly fulfilled is chamber works with other instruments, (which fortunately Henze has presented in several notable instances). He remains an active composer and conductor and is frequently invited to teach and lecture at guitar festivals worldwide. Brouwer's involvement with *El Cimarrón* brings Henze into the realm of probably the most important contemporary composer for the guitar, and can only add credibility to his own contributions to the canon.

Brouwer's early works for guitar, such as *Danza del Altiplano* and *Elogia de la Danza* (both from 1964) tend to combine twentieth century trends with the vibrancy and rhythm of South American music and remain rooted in tonality. This was at a time when Andrés Segovia (1893–1987) was still very much active and commissioning music of a mature Romantic style. After these two works mentioned, Brouwer wrote no significant guitar works until *Canticum* in 1968. This shows a radical departure from his earlier style displaying varied compositional and

technical devices and unorthodox (yet not quite graphic) notation. *La Espiral Eterna* of 1971 develops this further with aleatory notation and more bizarre extended techniques. By the early 1980s, Brouwer's style returned to tonality, often blending elements of minimalism with South American styles and folklore. The first important piece of this new style, *El Decameron Negro* written in 1981 for Sharon Isbin (b. 1956), would become one of his most frequently performed solo guitar works. Clearly this interaction with Henze around 1969 coincided with a more experimental era in his work as a composer, and *El Cimarrón* seems to be a succinct overlap of these two musical luminaries in this period.

Henze and Julian Bream

By the time Henze came to approach the first sonata that would make up *Royal Winter Music*, he was well-acquainted with Bream's command of the guitar as a solo instrument, and with the instrument as accompaniment or as part of a chamber ensemble: there are sections devoted to each in *Kammermusik 1958*. His interactions with Brouwer and experimental approach in *El Cimarrón* would have greatly expanded the possibilities available to him. Thus, despite the enormity of the sonatas — proportionately larger than most multi-movement works for the instrument — Henze would have had a very firm footing for the undertaking, regardless of his inability to play the instrument himself.

Bream's reputation as a proponent of new music for guitar is solidly established. The first pieces written for him came by and large from fellow Brits: Lennox Berkeley's (1903–1989) *Sonatina* and Reginald Smith Brindle's (1917–2003) *El Polifemo d'Oro* are amongst the earliest examples from the late 1950s. Malcolm Arnold's (1921–2006) *Concerto* was probably the first

such work for guitar and orchestra written in a modern style, although several mature Romantic-type concerti had already found repute, including of course Joaquín Rodrigo's (1909–1999) ubiquitous *Concierto de Aranjuez*, written in 1939.

A pivotal turning point in Bream's career was offered when Britten presented his *Nocturnal After John Dowland* in 1963. As prior commissions had resulted in multi-movement works, usually no more than a few minutes each, Britten's eighteen minute theme and variations in reverse was something of a colossus by comparison. It is arguably overshadowed by Manuel Ponce's (1882–1948) *Variations sur "Folia de España" et Fugue* of around twenty five minutes written for Segovia in 1930. Both pieces share the theme and variations structure, and take their sources of inspiration from the Renaissance, however *Nocturnal* is set apart by its dark and disturbing modern reinvention of Dowland's melody — *Come, Heavy Sleep* — and its unity of form, reflecting a restless slumber with abruptly changing dreamscapes. Unusually, it also places the theme upon which the whole work is based, at the end of the work, as if Dowland's plaintive melody finally releases the subject (and listener) from the tumultuous episodes that preceded it. This work, and Bream's colourful, evocative interpretation of it, were exemplary to composers whom he could approach later, and transformed the landscape of contemporary classical guitar music. Amongst the most important composers who — at least in part — took their impetus to compose for Bream from this standpoint were Peter Maxwell Davies (1934–2016), Tōru Takemitsu (1930–1996), and Hans Werner Henze. Crucially, although there were indeed fellow Brits who offered their services to Bream, he was evidently now able to command commissions from further afield. Although a number of commissions still resulted in relatively short movements — to which the guitar is more readily suited — it is likely that Britten's *Nocturnal*

changed perceptions amongst composers such that extended works which would have been inconceivable some years prior, were now a very real possibility. As well as *Royal Winter Music*, one might consider Davies' *Hill Runes* and Michael Tippett's (1905–1998) *The Blue Guitar* along the same lines (Tanenbaum 2003, 191).

The commission seems to have been one that Henze embraced with enthusiasm. Bream has stated that his request was for “an important piece, something of the profound quality of Beethoven's ‘Hammerklavier’ Sonata,” going on to explain his jovial manner and that he did not expect the idea to carry through. Not surprisingly, he has also revealed that when presented with the six lengthy movements of the first sonata he was “a little terrified of it” and that it is “a pretty tough nut to crack for both performer and listener alike” (Palmer 1982, 83). By contrast, Henze's account of the request appears with a more serious tone, as he reports the guitarist specified: “What the ‘Hammerklavier’ Sonata is to pianists and the keyboard repertory, the *Royal Winter Music* must be to the guitar” (Henze 1998, 344). Of course, this corroborates the essential element of the agreement between the two, but evidently a casual remark by one party resulted in one of the most remarkable contributions to guitar literature.

Against this backdrop of both Bream and Henze's respective positions in their career *Royal Winter Music* can be understood as the culmination of numerous influences. Sonatas appear scattered throughout the composer's output, although he seems not to have been intent on producing new works in the genre with any regularity, unlike the symphonies for example. Yet it arises in a number of different guises, besides the two examples that form the basis of this thesis. Some of these appear to be conventional at least so far as instrumentation is concerned, such as the 1947 sonata for violin and piano, or the 1959 sonata for piano. Others extend the meaning

somewhat, such as the sonata for strings of 1957–8, or the later sonata for eight brass instruments of 1983. In the broad sense of the sonata — a piece of music that is sounded, rather than sung — these chamber works fit comfortably. The sonata for strings, the bulk of which is a set of variations, is perhaps a harking back to a pre-Baroque concept, utilising a historic model of thematic treatment, updated with suitably angular dissonances. Notwithstanding the originality of Henze's work, the categorical designation of his music does tend to be rooted in tradition. Some works indeed are not straightforward, but are unlikely to evade explanation completely.

In terms of Henze's compositions with guitar, his earlier writing shows a marked progression from various chamber works, eventually to these two sonatas. In *Kammermusik 1958*, the writing for guitar is certainly original and striking, but the innovation is restricted to the more natural musical parameters of harmony, rhythm, meter and such. Notwithstanding the difficulty of the score, the composer does not go out of his way to take the instrument to its limits with extreme articulation and unorthodox techniques. His music for the guitar following his encounters with Leo Brouwer in the late 1960s reflect the influence of a composer familiar with the constraints of the instrument, yet intent on broadening the landscape of the repertoire by any means possible. The writing in *El Cimarrón* is far more experimental, relying largely on graphic notation and seem to take Brouwer's extremes as a mere starting point for further exploration. Violin bows and extra percussion being facets of guitar performance not yet considered by Brouwer. A middle-ground between these two modes of modern composition seems to have been found for the *Royal Winter Music*, intent on using the guitar as an uninhibited solo instrument, without the need for superfluous equipment. Given that much of Bream's audience may have already been overwhelmed by the unfamiliarity and complexity of the music, adding in violin bows or other

gadgets may have induced a less than favourable reaction. Yet it still does represent a milestone in the catalogue of music dedicated to Bream and its boldness was rarely ever approached by subsequent composers with whom he worked.

I

Historical Development of the Guitar Repertoire

The following consideration of the history of guitar repertoire, with a focus on earlier sonatas and character pieces, will help make this unique position clear.

Early origins of classical guitar repertoire

The six-course guitar arose around the mid-eighteenth century in Spain, the first published mention dating back to a 1760 Madrid newspaper (Sparks 2002, 195). This however is almost certainly not the first instance of such an instrument, as earlier models of guitars with seven or eight courses exist. In some cases there is evidence of modifications making it impossible to ascertain for certain how many strings the instrument was first intended to accommodate. Regardless, at this point the five-course guitar seems to have been the standard, with further courses being considered elaborations (195–196). By 1790, the six-course guitar had superseded these other variants in Spain (229).

Around this time we also find the emergence of now-standard aspects of guitar playing, such as use of the fingernails in the plucking hand, and accurate notation of musical voicing (as opposed to tablature). This latter aspect is attributed to Federico Moretti³ (died c. 1838) — an Italian guitarist who made his career in Madrid — and was praised by Fernando Sor (1778–1839) and Dionisio Aguado (1784–1849), who are recognized as probably the first international-

³ Posterity does not seem to have favoured Federico Moretti, and his dates are seemingly uncertain. His *Principios para Tocar la Guitarra de Seis Órdenes*, which was influential in establishing the six-string guitar as the standard via the more celebrated figures Sor and Aguado, was published in Madrid in 1799.

ly reputed proponents of Spanish guitar music. Moretti also advocated playing on single strings, rather than courses of double strings, although this took longer to become the accepted standard (231–234). Furthermore, it is in this era that the likes of Sor and Aguado — as well as their Italian counterparts, Mauro Giuliani (1781–1829) and Matteo Carcassi (1792–1853) — begin to build much of the repertoire that is now considered core for this instrument. The new music that was produced around the years 1800 to 1850 saw composers break away from the traditions of their lutenist-composer (or other fretted instrumentalist) predecessors and create music in keeping with the musical vogue of the time. The many sonatas, fantasias, variations and such offered some dazzle to the audiences and mimicked the full and robust sounds of the orchestra (Wade 1980, 100).

Graham Wade further holds that Sor and Giuliani — through their wide-ranging musical activities bringing the guitar to royal courts and musical societies and musicians in other fields — represent worthy successors to Luis de Milán (c. 1500–c. 1561), Luis de Narvaez (fl. 1526–1549), Alonso Mudarra (c. 1510–1580) and other such forgotten masters of the preceding era (110). Interestingly, although these are names that are occasionally represented in today’s recital programmes (albeit not especially commonplace either), their music would require some effort to make it suitable for performance on the modern guitar, notwithstanding similarities between historical and contemporary instruments. The late Classical era that introduced Sor and his contemporaries appears to be the first in which guitar music does not require significant transcription. Coupled with the larger genres (fantasias, variations and such) that guitarists were now engaged in which contrasted with the often very brief dances that lute and vihuela composers typically produced, this represents a clear schism between compositional practices.

Problems of large-scale repertoire for the guitar

Although sonatas for the guitar have existed for as long as the term “sonata” has been around, these did not consistently take a familiar form until the twentieth century. In the preceding eras, longer multi-movement forms appeared to be problematic or of limited interest for the guitar. Few composers for the guitar made substantial contributions to the genre, more often using the theme and variations form for their extended works. Many of the sonatas that exist — often in only one or two movements — would likely have been classified as sonatinas had they been composed by any of the more recognisable pianist-composers. Of the guitarist-composers of the eighteenth to nineteenth centuries, Giuliani is perhaps the only one who used the term in a similar way to his better-known contemporaries, such as Beethoven. His only verifiable contribution to the genre, as it is commonly understood is the Sonata in C (Op. 15), in three movements.⁴ At around fifteen minutes, it is of comparable length and breadth to Mozart’s, or perhaps one of Beethoven’s early sonatas. The three Sonatinas of Opus 71 mimic (in miniature) the larger format of the sonata in variety of moods and pace, as is implicit in the name, but do not rely of the precise forms of the parent genre. Similarly the lesser-known *Tre Sonate Brillianti* of opus 96 differ significantly from opus 15, each containing two short movements in bipartite or tripartite song forms (Heck 1995, 182–183).

Giuliani’s contemporary and fellow-Italian composer, Niccolò Paganini (1782–1840), wrote numerous sonatas for the guitar, with and without the violin. There are thirty seven solo sonatas (MS 84), mostly in two movements, and usually not exceeding five minutes in perfor-

⁴ There also exists a *Gran Sonata Eroica* (Op. 150) in one extended movement attributed to Giuliani, although this is of dubious authorship.

mance time. His sonatas for violin and guitar, such as the six in Opus 2, have the same outward appearance. In the context of the concert platform that would exhibit sonatas by Beethoven, Mozart and Schubert, these may more accurately be called sonatinas for the simplicity and brevity. The exception amongst his output is the Grand Sonata in A, which certainly lives up to its prefix in the context of his other sonatas. Alongside the abundance of piano sonatas, it is rather too modest to be called grand. Fernando Sor's (1778–1839) two Grand Sonatas are somewhat more substantial and perhaps deserving of their descriptor, but do not go especially far beyond the expectations of the typical format.

Several composers less often heard on the concert platform today contributed sonatas that, at least in terms of length and number of movements, are substantial additions to the list. However, these are often substandard and are subject to cuts and edits to make the musical content more valid and worthwhile. The scarcity of good quality sonatas — of substantial quality and length — suggests there is either something deficient in the composer(s), or limited in the instrument itself that explains this that makes the genre inherently difficult.

To tackle the first of these possible explanations, it would be easy enough to dismiss some of these names by assuming the limitations on their musical imaginations. The infrequency of Anton Diabelli (1781–1858) and Wenzeslaus Matiegka (1773–1830) on concert programmes in spite of a considerable output for the guitar gives reason to think they have failed to sustain interest in musicians, and audiences have not demanded it. But this does not account for Sor, Giuliani, and Paganini whose music has long been championed by guitarists. Of course Paganini is best remembered for his virtuoso violin works, and his concerti for his preferred instrument evince his capability of working with large forms. Whilst Sor and Giuliani are largely known for

their solo guitar music today, both made valid contributions to larger forms. Sor produced several ballets, including four in London between 1821 and 1823, at least one of which, *Cendrillon*, had some sustained success. It was performed in Paris over a hundred times and chosen for the opening of the Bolshoy Theatre in Moscow in 1823. Other larger works (many of which are now lost) include two early symphonies, two operas (only *Telemaco nell'isola de Calipso* survives) and three string quartets (Jeffery). Clearly this was not a composer incapable of embracing large scale works, and the operatic quality in his two Grand Sonatas represent an extension of his theatrical interests. Although Giuliani did not embark on the extravagances of theatre, he did compose three guitar concerti, and several works for guitar and string quartet. Again, this displays the composer's capabilities in the connected multi-movement forms that he so rarely employed in his solo guitar works. Whilst Sor's two Grand Sonatas (both in C), Giuliani's single Sonata in C, and Paganini's Grand Sonata in A demonstrate that the genre is viable on the guitar, this small selection size stands in contrast to the bulk of the shorter, stand-alone works for the instrument by these same composers, and others. Notwithstanding the limitations of some guitarists to compose in larger forms, it does not seem to be a compelling argument overall.⁵

There is some plausibility to the claim that the instrument itself was a limiting factor in the output. The guitar's dynamic range is far more restricted than on the piano or violin, especially considering the smaller instrument that Sor et al would have been working with. (The piano at the same time was also weaker than that known today, but still easily more powerful than the

⁵ In addition to these composers, and others who remain popular with performers and audiences, names such as Ferdinando Carulli (1770–1841), Francesco Molino (1775–1847), and Anton Diabelli (1781–1858) are encountered amongst student repertoire but are scarcely ever present on concert programmes. Although each of them contributed sonatas, little attention has been paid to them, instead relegating their importance as composers to producers of instructional and pedagogical trifles.

guitar.) In terms of the harmonic capabilities of the instrument, it stands somewhere in between the piano and the violin. There is a strong hierarchy of keys that fit comfortably under the guitarist's fingers, so the bold modulations that Beethoven was able to build into his piano sonatas are mostly unfathomable on the guitar. Giuliani's Sonata in C contains a central movement in G, Paganini's Grand Sonata in A contains a central movement in A minor, both of which are preferable to alternative means of harmonic variety (Giuliani using the tonic minor, or Paganini using the relative minor for example). Sor's second Grand Sonata gives a rare example of an opening movement in C minor, before the rest of the sonata continues in the major. His large single-movement *Grand Solo* (Op. 14) in D major — sometimes referred to as Sonata no. 1 — contains a brief passage in A flat, before returning to the tonic. Remarkable as these instances are amongst the guitar literature, they are few and fleeting. The freedom of keys that pianists take for granted allowed Beethoven to compose a movement of the "Hammerklavier" Sonata in the flattened submediant key (the third movement in F sharp minor), which remains unsettled throughout as it prepares for the following movement's return to B flat. Such deviations are usually difficult for guitarists to employ, so more closely related keys — tonic major/minor or dominant — are usually the bounds of the composer's adventurousness.

Whilst this is true of the violin, and other instruments common to large forms of the sonata, these are usually written with piano accompaniment. With this approach, if the music enters a key area that is more precarious to the soloist, the part-writing may be distributed such that a single-line melody is supported by the piano, or other such simplification. Thus, modulations to remote key areas can take place without loss of texture or substance. The guitar being a predominantly solo instrument, must fill out the entire texture by itself. If a particular modulation makes

simultaneous continuance of melody and harmony difficult, there is likely to be some loss of texture or sustain and so musically logical harmonic developments usually take precedence.

As a further point of consideration, the status that the guitar held within society, and the expectations that audiences had of its repertoire probably provided little impetus for composers to write large sonatas. Whilst the many divertimenti, minuets, waltzes and such that the main players of the nineteenth century contributed probably entertained audiences of the time, the theme and variation works and other longer contributions provided the dazzle. The seriousness and integrity of the sonata was perhaps at odds with expectations, so would elicit comparatively little satisfaction for the time the composer would have to put into its creation. The ultimate reason is probably a combination of all of these factors. Whilst a number of composers were not of the highest musical imagination, a few certainly were capable of grasping the larger forms with mastery. The difficulty of working with the instrument itself, and the demands of the audiences, however, provided little impetus, and so few examples are actually extant.

With the larger instruments of the twentieth century, the guitar was positioned to tackle bolder repertoire. The addition of nylon (instead of gut) strings after World War II aided this as well. Some of the sonatas that aimed to take advantage of this, as well as the virtuoso and personality of Andrés Segovia, added to the scattering of offerings from the early nineteenth century. Whilst these works do extend considerably beyond the output of many of the guitarist-composers contemporary to Segovia that he was so critical of for continually producing miniatures of

limited musical scope, they still do not fulfil everything the genre itself was capable of expressing.⁶

In taking Segovia's method of requesting new music from (usually non-guitarist) composers, Julian Bream continued to expand the repertoire, albeit in a very different musical direction. At the time of requesting a work from Henze, the most important new piece he had presented was Britten's *Nocturnal*, which had only just begun to show the depth and range of sonic and expressive possibilities of the instrument. Considering both of these streams of twentieth-century guitar music (Segovia's and Bream's), the two sonatas that comprise *Royal Winter Music* stand above and beyond anything that had been offered before.

Pre-20th century sonatas for the guitar

Despite the best efforts of these early proponents of the six-string guitar, there is little to offer that might compare to the body of sonatas that Haydn, Mozart, Beethoven and Schubert composed for the piano. Nonetheless, solo guitar sonatas are not unheard of. In considering Henze's contribution of two major sonatas to the guitar repertoire, it is necessary to understand how the genre may have been understood by previous contributors and how it was understood by the present composer. The common three or four movement construction of so many of Haydn, Mozart and Beethoven's sonatas is but one standard form, although it has come to be seen as the benchmark by which other forms of sonata are compared. Guitarists of the Classical and Romantic eras appear to have understood the term "sonata" quite flexibly in many cases, and an imme-

⁶ Whilst Segovia was full of admiration for Tárrega, he was disappointed with the lack of progress in guitar repertoire from the more insular followers and pupils, referring to them as "Jailers of the guitar" (Tanenbaum 2003, 184).

diate comparison between pianists' and guitarists' approaches to the genre is not especially worthwhile.

An early indication of what guitarist-composers understood by the sonata genre comes from Gaspar Sanz (1640–1710). As one of the first pioneers of the guitar (then an instrument quite different from that known today) he is remembered for his many short, often sprightly and lyrical, dances and fantasias for his instrument. His entire output for the guitar is contained in his *Instrucción de Música sobre la Guitar Española*, first published in 1674. It is divided into three parts, and in the prologue he reveals his intention to produce three further books. The first of these subsequent books was to contain numerous variations on *Sones de Palacio*, whilst the second was to provide a vast array of “*sonadas, Italianas, caprichos, fantasias, Alemanas, corrientes, gigas* and a great variety of foreign airs.” The final volume was to focus on the art of bass performance based on the teachings he had learned in Rome and Naples, presumably an extended study of counterpoint (Turnbull 1974, 57). Although he used an unfamiliar form of the word “sonata,” there is little else this could possibly mean. It is unfortunate that these further volumes of works never materialised — or if they did, they have long been lost — as it would give some proper understanding to the genre in Sanz’s mind, but its inclusion with a variety of more trivial forms of music clearly indicates a genre worlds apart from that of the more familiar multi-movement classical sonata. His music is not remembered for profundity, but more for an innocent vitality and expression of Spanish Baroque folk culture. Further, today’s guitarists who include Sanz in their concert programmes are often criticised for approaching the music with too much depth and romanticism, perhaps even adjusting the harmony to give extra fullness to the sound. In addition to editing the music to fill out the texture, the sound of the modern guitar with

its bolder resonance, equally-tempered tuning and variability of timbres, coupled with the now standard use of fingernails, is quite far removed from the light-textured Baroque guitar with each string doubled at unison and the peculiarities of tuning (Wade 1980, 68–70). One might imagine that his sonatas, had they been realised, would have been akin to some of Domenico Scarlatti's (1685–1757) more lighthearted keyboard works. Indeed, Scarlatti's sonatas have been as much at home on the guitar as on the piano since Segovia's frequent inclusion of his own transcriptions to represent the Baroque in his recitals (74).

Whilst the keyboard sonatas of Haydn, Mozart and Beethoven were at the forefront of the genre in the Classical era, they certainly did not have exclusivity, and major composers were becoming increasingly interested in varieties of media. Sonatas featuring the violin or the cello as the solo instrument of similar stature to those for solo piano were common, the viola significantly less-so. Occasional examples for other instruments by major composers include Mozart's K. 292/196c sonata for bassoon and cello, and Beethoven's Op. 17 for horn (or cello), and also one (albeit of dubious authorship) for flute. Besides these, lesser-known composers of the era produced sonatas of a lighter nature for the harp and guitar. As noted, late Classical and early Romantic sonatas for guitar solo can be found by Sor, Giuliani and Paganini and are well-known in performances and on recordings today. A few sonatas for guitar with piano or other accompanying or duo instruments exist by Matiegka, Ferdinando Carulli (1770–1841), and Johann Kaspar Mertz (1806–1856), all of whom made more numerous contributions for solo guitar (Newman 1963, 91–93). Of these names, Sor, Giuliani and obviously Paganini have long made frequent appearances on professional concert programmes and recordings, with Mertz being a more recent addition to concert repertoire. Whilst the other composers are often considered suitable for stu-

dents, they are rarely featured on the concert platform: there appears to be a shared awareness of the inadequacy of some of the larger-scale works for guitar prior to the twentieth century. For his 1968 recording *Classic Guitar*, Julian Bream included a sonata by Diabelli, a composer remembered chiefly for his waltz that formed the theme of Beethoven's *Diabelli Variations* (Op. 120) and for his work as a publisher. However, although Diabelli's considerable output for the guitar includes three large-scale sonatas, Bream considered the musical language deficient, despite the extremely good guitar-writing. For this reason, he combined four movements from two separate sonatas — transposing from F to A major to maintain the correct tonality — to create something Bream considered of suitable musical brilliance (Wade 2008, 92, 100). Interestingly, he also included on his *Classic Guitar* recording the first movement only of Giuliani's Sonata in C (Op. 15), although there was no explanation as to the other movements' absences.

Bream is not alone in making these types of decisions with his repertoire. When David Leisner (b. 1953) released a new recording of works by Matiegka in 2009, he included the first Grand Sonata and another smaller Sonata in B minor (Op. 31, no. 6). Although a second Grand Sonata was also composed, Leisner opted only to include the slow central movement, asserting that the work as a whole does not equal the first such sonata (Leisner 2009). Given that the guitarist was trying to promote the works of Matiegka as equivalent to Beethoven (hence the title of the recording, *Matiegka: The Beethoven of the Guitar*) it speaks volumes that dismissing large segments of major works is considered fair game. A comparison makes the point clearer: the idea of combining mixed movements from different Mozart or Beethoven sonatas deliberately, or ignoring segments of those composers' works due to concerns about the compositional quality would be almost inconceivable to a professional musician.

This sense of insufficient or flawed repertoire was also perhaps partly the impetus for Segovia to commission sonatas according to historical models, instead of exploring genuine sonatas from the eighteenth and nineteenth centuries. The most obvious examples of such works would be Ponce's *Sonata Clasica "Homage a Sor"* and *Sonata Romántica "Homage a Franz Schubert,"* and Mario Castelnuovo-Tedesco's (1895–1968) *Sonata, "Omaggio a Boccherini."* As there are no examples of sonatas from Schubert and Boccherini for the guitar, new works that imitate their style were indeed welcome additions to the repertoire. However, Sor contributed several sonatas, so it is curious that Segovia would commission something in imitation of this key figure of the guitar, rather than explore his original work more fully. The position of such works in the guitar canon will be discussed more fully in the following section.

Sor's output includes four works known as sonatas, often regarded by guitarists as modelled after Haydn or Mozart, rather than Beethoven with whom he was contemporaneous. The situation, however, is not totally straightforward as the first of these, Opus 14, is better known as *Grand Solo* and being in a single movement, is not always considered a sonata. With its slow introduction, followed by the main *Allegro* which includes some daring modulations, it has a more operatic quality and leaves little indication of any typical Classical sonata function, either in general style or in more specific form (Yates 2003, 20–21). The Sonata in C (Op. 15b) is also a single movement, but cast in a clear sonata form, there is far less ambiguity of identity. The final two sonatas (Opp. 22 and 25), both also in C major, are boldly titled *Grand Sonatas*, and are perhaps the largest-scale works of their type prior to the twentieth century. The first of them follows an Austro-French symphonic scheme, at least as far as the design and order of the movements: *Allegro* in sonata form, *Adagio*, *Minuetto allegro*, and a final *Rondo allegretto*. In form then,

there is some vague modelling on Haydn, or at least on the classical sonata in general, although stylistically the music is of a more Romantic character (Yates 2003, 30). The second and final *Grand Sonata* returns to his earlier operatic leanings, but in this case Sor appears to have drawn inspiration from the expressivity of the aria, rather than the overture. This greater sense of expressivity reveals a more Romantic, rather than Classical leaning. Additionally, there is a greater weight given to the minor keys and a sense of connectivity between movements (Yates 2003, 38–41). This sonata seems to treat the scheme with a little more flexibility, as it opens with a slow movement in C minor (a generally unfriendly key for the guitar), before the following *Allegro* establishes the major key that remains throughout the rest of the work, citing a crucial example of the extra importance Sor now placed on minor tonalities. There is then a theme and variations before a final *Minuetto allegro*. This freedom of movement types is perhaps indicative of Beethoven’s influence, as is the inclusion of fast minuets which famously became scherzi in that composer’s symphonies and piano sonatas. What is apparent from Sor’s use of the term “sonata” was that by itself, it does not presume the multi-movement format common to other instruments. Instead, it is more akin to an operatic overture, which may or may not fit into sonata form. Whilst the “Grand Sonatas” do indeed live up to their bold titles — especially when viewed alongside the miniatures and small dances that make up the bulk of the guitar repertoire — they are relatively modest sonatas, according to contemporary standards for other instruments. Notwithstanding the non-standard procedure of the movements in the second Grand Sonata, there is little that highlights any shortcomings of the canon of piano sonatas of the same era.

The sonatas for guitar by Paganini reflect a similar attitude to the terminology that Sor adopted. His Grand Sonata in A — actually written for guitar with violin accompaniment, but

usually performed as a solo guitar work — is a respectable fifteen minutes or so, but nothing that would have warranted its descriptive title in an equivalent work by the likes of Beethoven et al, although it is certainly a markedly bolder offering than the numerous two movement sonatas Paganini wrote for the guitar, often just a few minutes long. Given the variety of meanings behind the term “sonata,” with regards to guitar compositions, affixing “grand” to the title was likely a means of drawing attention to the higher standing of these works, and trying to secure greater sales and interest (particularly with regards to performers’ and audiences’ eagerness for material of more substance).

Of the few composers for guitar who provided multiple sonatas in the late eighteenth and early nineteenth centuries, the term appears to have been considered something of a condensed version of what was understood by other composers. When a multi-movement sonata does have the stature to compete with piano sonatas of the day, they are often appended with “grand” as a descriptor. The obvious reason for the comparatively few sonatas for guitar from this era, is that the instrument (especially when one considers the smaller gut-strung instrument of the day) was better suited to miniatures and shorter works in more intimate settings than complex and searching multi-movement works that Beethoven was able to achieve in his piano sonatas. And yet, as the previous discussion highlights, even the sonatas available, several of which tower above the contemporaneous offerings from lesser composers in abundance, are often considered sub-par and may be subject to edits and division of movements according to the whims of the performer. Of course, the opinion of one or two performers does not constitute substantive proof of lesser quality, but the recurrence of this justification does lend credence to the notion that large-scale forms were problematic for pre-twentieth century composers for the guitar.

20th century sonatas for guitar

The latter part of the nineteenth century did not elicit any further sonatas from any guitarist-composers of repute. The major names in guitar music leading up to the twentieth century, Napoléon Coste (1805–1883), Francisco Tárrega (1852–1909) and Miguel Llobet (1878–1938) produced many stand-alone works, some of them quite lengthy, but the sonata apparently offered little interest to any of them. It is easy to draw parallels between Tárrega’s preludes for the guitar and Chopin’s preludes for piano, or between Coste’s fantasias on operatic themes and Liszt’s for the piano. But consider some of the major piano sonatas of Brahms and Schumann et al, and there is nothing that draws close. This is perhaps part of the reasoning behind this era of Romanticism being considered the least represented by guitarists in the concert hall (Tanenbaum 2003, 183). Additionally, there was an over-abundance of demonstrably exhibitionist flamboyance at the expense of compositional quality by a handful of long-forgotten names⁷ — with some notable exceptions — all in the era of Chopin, Schumann et al, (Wade 1980, 130).

With Segovia’s emergence on the international concert scene in 1919, there was a seismic shift in the landscape of guitar repertoire. His commissions from composers of his day yielded an influx of remarkable music ranging from characteristic miniatures, to advanced large-scale works and much in between. The first piece written for Segovia was the Federico Moreno-Torroba’s (1891–1982) *Danza* in E major, falling into the first category: it would later comprise the second movement of the *Suite Castellana*. The first and third movements, *Fandaguillo* and *Arada*, would be published by Schott in 1926. This was followed by the *Sonatina* in A, which although it con-

⁷ Wade lists the likes of Broca, Viñas, Arcas and Pratten as examples of guitarist-composer-virtuosi who were well-known in their day, but who have failed to sustain longevity in the public’s favour. He sums up this era between Giuliani and Tárrega as a period of “Interregnum” (Wade 1980, 127–130).

stitutes the first sonata-type work for the guitar of the twentieth century, is a brief and modest work. Nevertheless it showed the possibilities of the genre on the guitar for subsequent composers (Wade 1980, 152–153). Perhaps the most important sonatas are the four that survived from the Mexican composer, Ponce — as well as his *Sonatina Meridional* — and the Sonata, “Omaggio a Boccherini” by the Italian Mario Castelnuovo-Tedesco. Of Ponce’s sonatas, the two largest are the *Sonata Clásica* and *Sonata Romántica*, which as mentioned before, were written to imitate the styles of Fernando Sor and Franz Schubert respectively. In addition, a further sonatina was similarly intended to evoke the style of Tárrega — of which only a single movement remains, published as *Homenaje a Tárrega* — and another sonata for guitar and harpsichord is a reference to a historic mould of the genre (Holzman 1999). What emerges through these works is an image of the sonata genre as filling a historic void in the guitar repertoire, with which Segovia aimed to expand on the few “grand sonatas” of past luminaries of the guitar and to more strongly connect the guitar to wider tradition (Wade 1980, 166).

Although Segovia’s disdain for modernism is well-known and would partly explain this interest in presenting music in more appealing formats, his conservatism does not justify the dominance of pastiche sonatas (Tanenbaum 2003, 184). There was a degree of modern musical exploration in works such as the *Douze Études* of Heitor Villa-Lobos (1887–1959) and *Suite Compostelana* of Federico Mompou (1893–1987), both works dedicated to Segovia that met with his approval. Certainly, a few sonatas show a more individual musical language — Ponce’s first such work, *Sonata Mexicana* or Joaquín Turina’s (1882–1949) opus 61 Sonata, for example — but these are typically shorter, and on the whole the genre does not seem to be the composers’ preferred means of presenting their personal style.

Much of Julian Bream's career and repertoire overlapped with that of Segovia, often covering the common ground of transcriptions of J.S. Bach and Albéniz, original works of Tárrega and such. However, his personal mission to expand the repertoire of the guitar had the distinction of embracing the radical developments of twentieth century music. Amongst the numerous dedications to him, there are a handful of sonata-type works. Some of the most remarkable examples are Berkeley's *Sonatina* of 1957, one of the first pieces written for Bream, Tippett's "The Blue Guitar" *Sonata* of 1983, and Brouwer's *Sonata* of 1990, the last major piece written for Bream during his performing career. As Bream was aiming to extend the heritage of the classical guitar and bring it further up to date with contemporary music, it can be assumed that he was far less restrictive than Segovia in his commissions (Wade 1980, 204). These sonatas (or sonatinas) can therefore be viewed as a more idiosyncratic expression of the composers' voices, rather than one dictated by the whims and tastes of the dedicatee.

Given the freedoms that the stylistic fragmentation of twentieth century and, in the case of the guitar, Bream's explicit intentions now afforded composers, it is no surprise that those who wrote sonata-type works in response to this guitarist's commissions, have approached the genre in a variety of ways. Berkeley's work, for example, follows the typical fast — slow — fast model and remains tonally-grounded, but could still not be mistaken for anything other than a product of the twentieth century. Brouwer's *Sonata* of 1990 — until recently the only such work in his guitar output — includes a string of homages to composers of previous epochs: Soler, Pasquini, Beethoven, Scriabin, and also Spanish flamenco music. It also follows the typical fast — slow — fast format in its three movements, but despite its references to music of prior eras, it makes no attempt to disguise itself as the work of any of these composers, as Ponce's examples arguably

had. It has become one of Brouwer's most famous concert works. Tippett's sonata takes its inspiration from Wallace Stevens' poem *The Man with the Blue Guitar*, itself inspired by Picasso's famous painting, *The Old Guitarist*. In Tippett's re-invention, he takes three moods from selected stanzas in the poem and creates a musical interpretation. This approach ventures away from the typical sonata structure, and yields a slow — very slow — fast organisation in its three movements (Tippett 1985, preface). These three works display diverse means of utilising the triptych form of the typical sonata, updated for the twentieth century. Likewise Henze's two sonatas for the guitar utilise elements of the expected format, instilled with his own unique musical voice; he thus managed to evoke the past whilst producing works at the forefront of new music.

Character pieces in the nineteenth century

As a set of pieces based on literary characters, *Royal Winter Music* draws from streams of tradition beyond the formal model presented by defining the works as sonatas. Music with literary themes for the guitar has a far shorter history than does the sonata genre. Although the great pre-twentieth century figures of the guitar produced only a handful of sonatas between them, it still fits in with the general vogue of designating composition by the genre, or other such straightforward categorisation. The catalogue of works by Sor and Giuliani contain countless etudes, dances (minuets, waltzes and the like) and rondos. Works of larger scope include fantasias, independent movements with simply a tempo designation (e.g. Sor's *Andante largo*, Op. 5), and theme and variations works. Sor's student in Paris, Coste was perhaps the first significant guitarist-composer to take extra-musical inspiration in his music. His collection of *Les Souvenirs* (Opp. 17–23) is an assortment of evocative titles which conjure images of landscapes such as

“La Vallée d’Ormans” and “Les Soirées d’Auteil.” Many of these are coupled with musical descriptors such as Scherzo, Fugue and Sérénade, perhaps hinting at the composer’s background as a student of Sor, and also functioning as a connective between the older style of composition and the emerging age of Romanticism in the guitar repertoire. Little has been written about *Les Souvenirs*, but the depiction of locations and images, alongside purely musical categories cannot help but invite comparisons with Liszt’s extensive sets of *Années de Pèlerinage*. Any connection between the two sets of pieces is purely speculative, but it is likely that the two composers had similar aims in mind to create landscapes in music and evoke nostalgia through sound.

A contrasting, but not totally dissimilar collection of guitar pieces under the title *Bardenklänge* (Bardic Sounds), Op. 13, was published by Mertz, likewise mixing up the purely musical descriptors with more imaginative titles. Thus, “Fingals Höhle” (Fingal’s Cave) and “Sehnsucht” (Longing) can be heard alongside a scherzo and an etude. Several literary sources provided the inspiration for several of these miniatures, as well as the general vogue of piano writing at the time. Mertz was married to an accomplished pianist, so it is likely he was familiar with the major piano literature of the day. Indeed several titles from *Bardenklänge* are shared with (or are similar to) titles by many of the most recognised names of Romanticism.

Several direct literary sources have been identified in the set. Amongst the most prominent are the various Ossianic works of James Macpherson (1736–96). The first of these published in 1762, was the *Fragments of Ancient Poetry, Collected in the Highlands of Scotland and Translated from the Galic or Erse Languages*. Although purported to be translations of folktales from ancient sources, they were actually original works of Macpherson’s, although there are elements and characters that do indeed derive from folklore. These stories proved to be an inspira-

tion not only to musicians, but also to artists, poets and playwrights (Adams 2004, 27). Nor was Mertz by any means in poor company in taking these poems as inspiration. Indeed, nearly three hundred works have been identified with an identifiable Ossianic impetus. Prominent examples that Mertz would likely have encountered include works by Haydn, Schubert and Mendelssohn, and later examples are to be found by Brahms and Schoenberg. Furthermore, a number of Schumann's pieces hint at an Ossianic narrative, but avoid explicit mention (Moulton 2005, 27).

Opening with "An Malvina," Mertz makes the connection to Macpherson's creations apparent from the start. In the poetry, Malvina acts both as the narrator of, and participant in the action in her role as apprentice to the blind bard Ossian. The stories depict the bard addressing Malvina directly as he tells his stories, accompanying himself on the harp. Mertz portrays this with flourishing arpeggios, imitating Ossian tuning his instrument, and continues much of the piece with an expressive, song-like melody over a continuous arpeggio accompaniment. The reappearance of similar harp-like flourishes and arpeggio accompaniments, and the occasional instruction *Imitation del Arpa*, make this feature something of a unifying idea. These include the "Romanza" (that immediately follows "An Malvina"), "Fingals Höhle," "Gebeth" (Prayer), and "Kindermärchen" (Children's Story). Although there is no recurrent melody or theme across the entire set, these harp figurations return the separate pieces to the image of the bard narrating his stories. "An Malvina" and "Fingals Höhle" form the strongest direct references to Ossianic verses, the latter obviously sharing its title with Mendelssohn's well-known orchestral overture. Although these two works under the same title have little musically in common, they do both stir similar sensations in the listener. Mertz creates a sense of foreboding with the opening bass melody, interrupted several times with diminished and dominant chords. This leads into the main

bulk of the piece, now played at a faster tempo, and based primarily on tumultuously undulating arpeggios, imitating the relentless waves of the sea around and within the cave (Adams 2004, 28–30). This utilises the resources that the guitar has to offer, to convey a similar picture to that portrayed in Mendelssohn’s orchestral overture of the same name.

Beyond these readily identifiable examples in Mertz’s *Bardenklänge*, the influence of Johann Wolfgang von Goethe (1749–1842) is also likely amongst the set. Of course, there is no shortage of musical material that took its impetus from the works of this giant of Romantic literature, and it is very probable that Mertz, during his career in Vienna, would have encountered such works by Beethoven and Schubert. Furthermore, Mertz’s transcription for solo guitar of several Schubert songs provides direct evidence that he was familiar with at least some of these amongst the latter’s output. Of the *Bardenklänge* miniatures, Adams considers the “Variations mignonnes” to be the most directly drawn from a creation of Goethe. Specifically, it refers to Mignon, a gypsy girl character who inspired song settings from Beethoven, Schubert and Brahms, amongst others.⁸ In the main Romanza theme on which the successive variations are based, the melody is simple and balanced with a gentle waltz-like lilt, as if to evoke the sort of Italian folksongs the fictitious Mignon would have been familiar with (Adams 2004, 30–31). However, Adams fails to consider the French meaning of the name. The word *mignon* means dainty or small and so could simply be an apt description of the set of variations. The gentle and simple quality of the main theme that supposedly represents the character could simply indica-

⁸ Adams states that the character is from Goethe’s 1824 novel *Wilhelm Meister*, but it appears both the title and date are erroneous. In fact, Mignon is a minor character in *Wilhelm Meisters Lehrjahre* (Wilhelm Meister’s Apprenticeship) of 1796 (Cave 2011, 1). Further, the song settings by Beethoven that are mentioned in Adams’ article are the four settings of “Nur wer die Sehnsucht kennt,” WoO 134 which were composed in 1808 (Glauert 2011, 195).

tive of the composer's intended quality of the piece, rather than a representation of a character that happens to share a descriptor. Whilst it does seem probable that Goethe provided the impetus for a number of these movements, the lack of reliable information on Mertz means it is unlikely these speculative connections will be proven with any certainty.

Several of the titles are only tentatively linked to literary themes and are simply poetic in nature and aesthetic. Movements like "Unruhe" (Restless), "An die Entfernte" (To my Distant One) and "Abendlied" (Evening Song) may indeed have direct sources of inspiration, but are too vague in the naming to be ascertained with certainty, and Mertz would likely be content with leaving interpretation open.⁹ Other titles could be viewed as borrowings from the piano repertoire that inspired him, and fit generally into the vogue of Romantic instrumental miniatures. "Kindermärchen" (Children's Story) and "Elfenreigen" (Dance of the Elves) could just as easily be titles from Schumann's *Album für die Jugend* for piano. "Lied ohne Worte" (Song without Words) and "Gondoliera" could be borrowings from Mendelssohn's catalogue, even if only in name. In addition, "Gebeth" (Prayer) typifies the non-specific devotional type of music that represented the emotional fulfilment of religion that Mendelssohn was wont to express in his reinvention of Bach's musical language, rather than anything dogmatic (Adams 2004, 32).

It is likely that Mertz's main goal with *Bardenklänge* was to bring the essence of the piano literature of his contemporaries to the guitar. The use of literary sources was an aid to that, but not so integral to the transmission of his goal that each example needed to be explicit and readily identifiable. It does, however, stand alone as possibly the only major collection of nine-

⁹ There is indeed a poem by Goethe entitled "An die Entfernte," but there is no direct indication that this was the inspiration for Mertz's title. Any such poem with this title could be an equal candidate. Speculative sources for many of these titles may be arguable, but difficult to prove.

teenth century miniatures for guitar with literary themes, however tenuous some of those connections may be. These are complemented by a scattering of purely musical genres such as Etude, Romanza and Tarantella that supplement and enhance the body of miniatures, without narrative thread. In tying the works together, the composer tends to emphasise the intimacy of the Romantic guitar (smaller than the classical guitar known today) instead of trying to reposition it and make it stand out on the concert stage. Some movements — notably “An Malvina” and “Variations mignonnes” — are dominated by dynamics in the quieter range, with selective use of the *forte* direction (Adams 2003, 31). Throughout the various movements, instructions like *dolcissimo* and *espressivo* are commonplace, again aiming to draw the listener in rather than impress the power of the instrument. The occasional *agitato* and *fortissimo* and the like are certainly present, but overall these pieces seem to play to intrinsic qualities of the instrument, rather than striving to break out of its comfortable range. This is perhaps another reminder of the connection to the bard, as if narrating to a small audience, rather than presenting to a full theatre.

What both Coste and Mertz added to the repertoire in their respective collections show guitarists keeping the guitar afoot of concert music of their time. They are also probably the first major guitarist-composers to have no strong connection to the Mediterranean countries. Although many major guitarist-composers had made their careers elsewhere in Europe — Sor in Paris, and Giuliani in Vienna — virtually all of them started their lives and studies in Spain or Italy. This is perhaps one reason that sets Coste and Mertz apart from both their musical predecessors and successors, as the major names in the latter part of the nineteenth century tended to draw their chief compositional drive from Spanish traditions. Tarréga and Llobet are both remembered for their dance rhythms, spread chords evoking the flamenco style, and Spanish harmonies, some-

times simply imitative of recognizable styles, and other times directly taking folk melodies as the starting point.

Character pieces in the twentieth century

Once again, it is not until Segovia's entry on the concert scene that the direction of new guitar music is altered and discussion on character pieces can begin anew as little (if any) of the late nineteenth century made explicit reference to extra-musical inspiration. Of all the composers who came to write for the guitar through an encounter with this great guitarist, perhaps the largest body of works comes from Castelnuovo-Tedesco. The two met through their mutual friendship with the Spanish composer Manuel de Falla (1876–1946) in 1932, and Tedesco's creative and ornate style, rooted in tonality, evidently appealed to Segovia (Otero 1999, 41).

Tedesco's single guitar sonata ("Ommagio a Boccherini," already discussed) was one of two major works that he wrote in tribute to a composer of a previous era (the other being *Capriccio Diabolico*, a homage to Paganini). Notwithstanding the importance of this sonata, his most significant multi-movement works for the guitar often had extra-musical impetus. This is perhaps partly as a result of his career as a film composer, having immigrated to the USA in 1939 and settled in Hollywood. In 1955 he composed "*Escarramán*," *A Suite of Spanish Dances from the XVIth Century (After Cervantes)*¹⁰ — published as opus 177 — which mixes a literary inspiration with dance styles of the sixteenth century. The titular character, Escarramán, appears sporadically throughout Spanish literature, and has a reputation as being colourful, but disreputable. The version that Tedesco took for his impetus was from various writings of Miguel de Cervantes (1547–

¹⁰ Also referred to as "*Escarramán*," *Entremeses de Cervantes*.

1616), the Spanish novelist, poet and playwright. This is one of several works that displays the composer's interest in Spanish literature and culture, as a result of his Sephardic ancestry (Long 2001, 10).

In the suite, Tedesco mixes dance movements with literary extracts. Thus, the resultant order of movements is “Gallarda,” “El Canario,” “El Villano” (The Country Bumpkin), “Pésame Dello...” (I am sorry...), “El Rey Don Alonso el Bueno” (Good King Don Alfonso the Good) and “La Guarda Cuydadosa” (The Soldier in Love). Despite the reference to dances in the titles, there is little resemblance to any Renaissance models. Rather what little that is traceable to a historic genre appears to be a springboard for the narrative that is followed in the movements. The subtlety of shifting moods and recurring motifs is attributable to Tedesco's work as a film composer, as if the guitar is serving as the sonic backdrop to his selected texts (11).

Nonetheless dance styles are not completely absent. The opening galliard, begins in a dark minor key, shifts through several key changes before concluding triumphantly (marked *Tri- onfante*) in the tonic major (12). Although the mood is quite contrary to a typical galliard, the 3/4 time signature is consistent, and the characteristic dotted rhythm is at least sporadically evident. The second movement certainly bears a passing resemblance to the canario style many guitarists would be familiar with from Gaspar Sanz, but only makes sparse use of the hemiola — 6/8 sounding as if in 3/4 — that would be typical. Whilst “El Villano” (the third movement) does not specify a dance style, its staccato and often syncopated accompaniment suggests a Polka, which

might indeed be befitting of the eponymous County Bumpkin.¹¹ “Pesame Dello...” follows a loose structure based on imitation, and is reminiscent of a Renaissance fantasy. The fifth movement is a theme and variations, with the opening theme resembling a march with some of the harmony imitative of bugle calls (13). Both of these aspects are in keeping with the movement’s character portrayal of a royal character, the Good King Don Alfonso. Indeed, most of the variations maintain the 2/4 time signature, and no great divergence of tempo is indicated, sustaining the sense of the march for most of the piece. Only the fourth variation is in 3/8 and is marked *Mosso e scorrevole* and thus has a different feel and drive to it. The march tempo and time signature return for the finale that follows immediately. Finally, “The Soldier in Love” is another march, but by mixing the militaristic aspect of the soldier character with his emotive state of being enamoured, the purpose and aesthetic of the movement are quite different from the one that precedes it. What this amounts to is a work with a title that would logically lead the observer to assume that this is a blend of genres: a set of dances that also depict segments of narrative, or perhaps a complete narrative across the set. In reality, the work is more firmly rooted in the narrative stream than in the mould of a dance suite.

Escarramán is not the only example of this sort of writing for the guitar amongst Castelnuovo-Tedesco’s output, but it is probably the most concise, and easily summarised. Another extensive collection of extra-musical inspiration worth at least pinpointing, is the set of *24 Caprichos de Goya* (Op. 195), published in four volumes. Like *Escarramán* it took its inspiration from

¹¹ In Long’s brief description of this movement, he states that this dance almost becomes a waltz. I assume he refers to the opening measures in 3/4 time, (before the more stable 2/4 arrives) in which the triple time signature is not properly felt due to the use of the *fermata* over the quarter note rests. Whilst I understand his observation that the piece could have progressed as such I see no suggestion that it “almost evolves into a waltz” (Long 2001, 12).

a Spanish source, this time a selection of etchings by Francisco José de Goya (1746–1828). Like the earlier work, it incorporated aspects of dances, drawing largely popular Spanish dances such as the fandango, habañera, and tango but also generally typical Baroque styles of Europe such as the minuet, gavotte and bourrée. It also includes a rare example amongst Tedesco's work of a twelve-tone row, although harmonised in a humorous manner and rendered as a gavotte. This has been interpreted as a sign of the composer's disapproval of this mode of composition, and indeed it stands contrary to his typical quasi-Romantic style, and the scarcity of its use supports this (Otero 1999, 111–113). A further key work, this time based on Spanish poetry, is *Platero y Yo* (Op. 190), which is often performed as a stand-alone guitar suite, but which is actually written to include a narrator. The chosen poetry is by Juan Ramón Jiménez (1881–1958), again using a Spanish source (105).

What is interesting to note about these works is that whilst the sonatas by Tedesco and Ponce — composers actively building the guitar repertoire in the first half of the twentieth century — were seemingly making up for the historical gap in the canon, these various collections and suites of the nineteenth and twentieth centuries appear to be striving to be truly fresh additions. The musical language was indeed rooted in tonality and avoided much of the innovation that Stravinsky and Schoenberg et al were constantly driven to, but they do not attempt to fill a niche lacking for guitarists that other instruments have in abundance. Further, in mixing genres — pieces with purely musical descriptors, and others with literary artistic motives — they appear to take a flexible approach to genre definition. A dance suite need only loosely define the parameters of its typical style and need not limit the means by which the composer wishes to portray various facets of inspiration.

II

Royal Winter Music as Sonatas

Towards a definition of the sonata

Composers of sonatas have presented numerous and varied interpretations of the genre throughout European music history and an all-encompassing definition is largely impossible. Nonetheless, a reasonable summation has been proposed as follows:¹²

1. The sonata as purely instrumental, without the (prescribed or optional) participation of voices.
2. The number of players is limited, and every player plays his/her own part.
3. The sonata is not written to serve a specific function; it is art for art's sake or art for entertainment.
4. The sonata consists of several contrasting movements or sections.
5. The underlying musical structure is relatively extended and complex.
6. The sonata is 'absolute' music, i.e. not based on a programme or other extramusical content or model.

Further, the late seventeenth century saw greater specificity associated with the term, generally requiring fewer participants and taking the now-familiar multi-movement format (Schmidt-Beste 2011, 2). These criteria will accommodate the majority of works under the sonata rubric, but it is not difficult to highlight examples that stray from at least one of these conditions. It might be

¹² Schmidt-Beste derives this summation from his detailed scrutiny of William S. Newman's extensive *History of the Sonata Idea*, published in three volumes between 1959 and 1969. The latter two volumes have been referenced elsewhere in this thesis and appear in the bibliography.

more accurate therefore, to speculate that generally sonatas will satisfy most of these key features, but need not fulfil all requirements.

If composers were beginning to reach a common consensus of specific boundaries of the sonata around 1700, then the Classical era can be taken as a guideline for understanding the normative parameters of the genre. The main identifying feature of the sonata is the instrumentation, as other characteristics are generally shared by larger ensemble forces (Schmidt-Beste 2011, 54). The sonata now represented the minimal extreme in instrumental parameters, only permitting solo or duo texture. (In the case of duo texture, this would most often involve melodic solo instrument with a piano accompaniment.) The other extreme, the symphony, encompassed music for full orchestra without a soloist. Music for particular intermediate ensembles was generally specified by genre such as piano trio, string quartet or piano quintet. Such works for chamber ensembles would typically have also been headed as sonatas in prior centuries (15–18). Thus, there is a clear picture of the sonata genre that has taken shape by the start of the Classical era as a work for a solo instrument, likely with a piano accompaniment (but no further supporting instruments), in several contrasting movements that display the composer's ability to produce music of a certain level of complexity and integrity.

The actual formula of the sonata is largely shared with other genres, so an overview of moods, styles and structures likely to be utilised would be near identical to that of a symphony or string quartet. Usually such concert works would open with a movement in sonata form, representing the tendency for Classical composers to present the weightiest musical material at the outset (Rosen 1980, 98). However, despite its prevalence as a first movement form, it was not until the 1820s that theorists began to recognise and formalise a definition (Schmidt-Beste 2011,

54). This definition comprises three distinct sections: exposition, development, and recapitulation. Two themes or subjects are presented in the exposition, the first establishing the tonic key and the second initially appearing in the dominant or other closely related key and typically more tranquil and song-like in character. (If the tonic key is minor, often the second subject will be in the relative major.) The central development section will invariably be the most harmonically adventurous, venturing into remote key areas and — although the two main subjects will provide the core musical material — further themes may be toyed with. Following these forays into unstable territory, the recapitulation seeks to offer a return to the tonic and present the two main subjects without further departures. A brief coda may round off the movement, but is not considered essential to the form (Rosen 1980, 1–2). Although this seems to lend itself to an interpretation of sonata form as an elaborate ternary structure (ABA¹), it actually arose out of earlier binary structures of dance movements, in which the first section would move away from the tonic (typically to the dominant), and the second section explored remoter tonal centres before returning to the tonic (Schmidt-Beste 2011, 55–57).

The opening fast movement in sonata form would be followed by a slow movement. Although there is greater variety in structures that a composer might choose for a second movement, an abbreviated version of sonata form is quite commonplace. In this — sometimes referred to as sonatina form — the development section is omitted or may only be very brief. Additionally, there is generally far less harmonic exploration and key areas are generally stable within sections. Alternatively, a rounded ternary form may be utilised, in which two very similar outer sections frame a contrasting central section. The first section will likely modulate to the dominant,

which will prevail in the central section. The closing section will present much the same material as the first, but will return to and remain in the tonic (91–93).

Before the finale of the sonata, the slow movement may be followed by a minuet, but this is not seen uniformly. Alternatively, the minuet may function as the central slow (or moderate tempo) movement, rather than in addition.¹³ By virtue of its title, style, and structure, the minuet maintains the closest connection to the heritage of the sonata as a derivation from Baroque dance suites. The entire movement should be in 3/4 time, and will usually be structured as a minuet and trio: a tripartite *da capo* form in which the central trio section offers some contrast of mood and tonality, generally being calmer than the surrounding minuet sections and composed in a related key. Both the main minuet and central trio sections will be written in binary form (95).

In the late eighteenth century, the minuet was often replaced with a scherzo. Although the term “scherzo” had been seen in a few earlier musical examples, it is not until appearances in Beethoven’s works that it becomes accepted as standard. Following Beethoven, the minuet was only included in such works as a deliberate archaism, indicating that the scherzo was now normal procedure. Regardless of the its significance as a further departure the dance suite origins, the scherzo maintained a certain continuity in style from the movement it replaced. Overwhelmingly they remain in 3/4 time, and even in the few examples that depart from this, dance-like rhythms still predominate. Additionally, they invariably take the same tripartite *da capo* form that would be expected of the minuet, inclusive of the central section headed as a trio (96).

¹³ All of Mozart’s piano sonatas, for example, maintain the three movement format without the addition of the minuet movement, although two of them — no. 4 in E flat (K. 282) and no. 11 in A (K. 331) — include it as the sole central movement.

Several common traits are found in closing movements, despite the variability of the form. They are typically written to be played at a fast tempo, often being the fastest movement of the whole work. The themes will emphasise home key, as well as subsequent elaborations of those themes (as opposed to exploring remoter tonal areas as themes are developed). Instead of modulating to the dominant, the subdominant often takes precedence where there is departure from the tonic. The mood will often be lighter and less complex than in the opening movement, and so there will be a succession of themes as opposed to elaborate alterations of prior themes. Frequent fugal passages are also commonplace in closing movements, perhaps harking back to the original meaning of the word “fugue” (from the verb to flee), as a fitting way to send off the work. The form that most easily accommodates all of these facets is the rondo, in which a recurring section falls between a number of different episodes. (This too is a remnant of the dance suite format, originally literally meaning a round dance.) In contrast to sonata form, rondo presents contrasting blocks of musical material rather than skillful evolution of themes (97). Only the refrain is expected to return throughout the movement, and without significant transformation. Ideas heard in the intervening sections need serve no further thematic or structural purpose for the remainder of the piece.

Although rondo form is the most frequent choice for a finale, it is not inflexible. A common alternative was the sonata-rondo form, which as the name suggests combines elements of typical first and last movement forms. In this, the rondo theme contains the first subject, the first episode takes the second subject (likely in the dominant key), the first subject is restated (as would be proper in rondo form) before the second episode consisting of development of previous subject matter. This is the main departure from standard rondo form in which the episodes are not

ordinarily expected to draw from prior musical material. Following this, the main theme (first subject) will be presented as the recapitulation before the second subject appears in the final episode, now remaining in the tonic. As with other forms, there may be a coda appended to the movement (99).

The expected course of a typical sonata is therefore, a substantial movement in sonata form at a fast tempo, a slow movement in a related key perhaps in an abbreviated sonata form, an optional minuet and trio (later replaced with a scherzo), and closing with a flashy rondo or sonata-rondo. It can be seen that it is quite possible that (versions of) sonata form could dominate the entire work. Of course it is not difficult to find examples that deviate from these normative parameters, or indeed with those laid out by Newman (as reported by Schmidt-Beste) presented earlier. Nonetheless, even twentieth century and more recent works under the guise of a sonata will most likely conform to some, if rarely all, of these expectations.

Henze's road to the sonata

As already highlighted, the body of sonatas for guitar differs substantially from those of other instruments. The Classical and Romantic repertoire that is commonly heard today contains relatively few sonatas that adhere to the principles laid out and scarcely any compositions offered by guitarists could keep abreast of the musical innovations and expansion of genres in piano repertoire. In aiming to produce a sonata (later, two) of the magnitude and profundity that Beethoven's sonatas are capable of, Henze clearly had something of the traditional model in mind. Whilst Classical and early Romantic era guitarists appear to have had a flexible interpretation of the genre, some of the first non-guitarists to write for the instrument in the twentieth cen-

tury seem to have had a more consistent and recognisable approach. Henze's sonata-writing certainly builds on this traditional model outlined, but manages to surpass the expected structures and movement layout, without eschewing them completely. Through a brief account of Beethoven's precursor (the "Hammerklavier" Sonata) and how it expanded the capabilities of the sonata genre, it is possible to glean some understanding of how Henze — responding to the comments from Bream noted above — might have approached casting something in the same mould for the guitar. Further, by a similar focus on another major sonata that took impetus from the same source (Boulez's second piano sonata), the following discussion is intended to clarify the position these two sonatas of Henze's occupy in the catalogue of twentieth century guitar music.

At the time Henze began his first sonata for guitar, the most critical work that had been written for Bream (or for contemporary guitar in general) was *Nocturnal* by Britten. The guitar sonata genre had yet to find a major place amongst the new music that was being composed. Of the major works offered to Bream until this point, only Berkeley's rather compact *Sonatina* pre-dates Henze's contributions: a welcome addition to the catalogue, but not a work that would provoke disbelief of the capabilities of the instrument. In order to garner this reaction — as Britten's contribution had done — Henze took for his model a historical example that had done exactly that for the piano: the "Hammerklavier" Sonata. Henze's first sonata contains six movements, and so takes a more flexible approach to the sonata genre, in much the same way Beethoven did in several of his later sonatas. The second such offering from Henze is made up of three movements, so ostensibly at least fits the sonata mould more comfortably, but there is little else than indicates the typical fast — slow — fast format that might be expected. Perhaps extending the

second sonata to six movements would have felt excessive to the composer, and may have laboured the magnitude of the set more than he felt necessary. Instead, Henze found other means through form to reconsider the confines of the genre.

Beethoven's "Hammerklavier" Sonata (no. 29 in B flat, Op. 106) as the musical springboard for Henze's major sonatas for the guitar, in many respects is a conventional solo work in four movements, albeit much larger than any others in his catalogue. It opens with a movement in sonata form followed by a scherzo (both in the tonic key of B flat) then an *Adagio* movement in F sharp minor and finally a substantial fugue (*Allegro risoluto*) that returns to the tonic via its harmonically unstable *Largo* introduction (Tovey 1931, 215–242). Whilst this concluding movement differs from the typical rondo or sonata form, there is some precedence with this in other genres such as Haydn's opus 20 string quartets (nos. 2, 5 and 6). Less frequently, the fugue form appears as the finale in symphonies as well, such as the same composer's famous "Clock" Symphony, no. 101 in D (Hob. 1/101). This could either indicate the aim to make the sonata compete with larger forms of concert music, or alternatively imply an attempt to take one facet common to final movements of sonatas — the tendency to include fugal passages — and utilise it to its fullest capabilities, rather than as a fleeting moment.

Whilst Henze did not set out to mimic the procedure of the "Hammerklavier," he sought to create a sonata that would seem as daring and expansive as Beethoven's work had done to audiences and pianists of that era. Thus, the formulae expected of the genre remain evident (in both Henze's and Beethoven's works) but are pushed to the extremes, and both composers borrowed elements from larger forms. In Beethoven's case, there are echoes of symphonic writing in the sonata, and in Henze's music for the theatre exerts some strong influence. As one of his later

sonatas, the “Hammerklavier” was likely written as Beethoven explored the expanded six-octave range of the Broadwood piano he received in 1817. Further, his precision in marking the use of the *una corda* pedal in his later piano works indicates his great consideration for timbre, supporting the orchestral quality of this sonata (Rowland 1998, 37–38). Likewise, timbre and dynamics are very precisely notated throughout *Royal Winter Music*, indicating that Henze had given similar consideration for the overall sound and effect of the two sonatas.

Before Henze identified the “Hammerklavier” Sonata as his inspiration for his new guitar composition, French composer Pierre Boulez (1925–2016) had chosen this same piano work as his springboard for a further expansion of the genre (Jameux 1991, 29). In his second piano sonata, written in 1948, Boulez mimics Beethoven’s model of the sonata at the extremities, but recasts it in a distinctly twentieth-century vein, as Dominique Jameux’s analysis shows. The first movement, *Extrêmement rapide*, resembles sonata form, with distinct exposition, development and recapitulation sections built on two contrasting themes. The second movement, *Lent*, falls into eight-bar sections and appears to combine Classical phrasing with a distinctive Webern-style quality. Boulez considered the third movement, *Modéré, presque vif*, to be the most conventional; it functions as a scherzo, but is combined this with variations. As such, there are four scherzo sections with trio sections falling in between, all in the space of around three minutes making it the most compact of the four movements. The final movement, *Vif*, is largely comprised of a rondo, with a preceding introduction and fugue, and a brief coda. This satisfies the expected construction of a closing movement in rondo form, with the added innovation of a fugue based not on melodic themes, but rather on rhythmic cells. It also gives a nod to several of Beethoven’s late

works — including the “Hammerklavier” Sonata — which took the fugue as an antiquated form and updated it in a completely inimitable manner (Jameux 1991, 240–256).

These monumental examples of sonatas by Beethoven and Boulez — works that stretch the boundaries of common understanding of their genre — could be heard as showing that the piano is perhaps the instrument best suited to the task. Its range of pitch, power of sustaining and dynamic contrast, and its ability to clearly articulate single line melodies, rich homophony and complex counterpoint are all taken for granted by pianists and composers. The improvements in technology enabled both of these composers to write for instruments far more powerful than those available to their predecessors. In the case of Beethoven’s sonata, this was written specifically to demonstrate the possibilities of a markedly different instrument, fresh out of the workshop. The guitar of the twentieth century, however, is also a far cry from the type of instrument that predates Segovia, thus creating a further void in the canon that both he and Bream sought to fill. By highlighting the progress Boulez was able to make on Beethoven’s model, Henze’s effort is made all the more remarkable.

Royal Winter Music in context

The legacy of solo sonatas that Henze navigates through in completing the two *Royal Winter Music* sonatas is complex. As perhaps the pinnacle of the genre, the model of Beethoven’s piano sonatas looms large. Guitarist-composers contemporary (or near contemporary) to Beethoven had by-and-large struggled to match the length and depth of these works. Adding the descriptor “Grand” to a guitar sonata, whilst exceeding the scope of much other repertoire for the instrument of the time, tended only to indicate that the work in question may be approaching par

with some of Beethoven's sonatas. Yet amongst his piano sonatas, there is no shortage of works that reach heights of profundity and scale that would be unfathomable on the guitar. Besides the "Hammerklavier" already discussed, the "Tempest" Sonata (Op. 31, no. 2) and "Appassionata" Sonata (Op. 57) might also warrant mention. The drive to bring about a change in the fortunes of the guitar is attributable to Segovia, who at the outset of his career (in his own words) "found the guitar almost at a standstill — despite the efforts of Sor, Tárrega, Llobet and others — and raised it to the loftiest levels of the musical world" (Tanenbaum 2003, 184). Critical to this were his "five purposes aimed at the redemption of the guitar." The first three are relevant to the present discussion: "My prime effort was to extract the guitar from the noise and disreputable folkloric amusements. This was the second of my purposes: to create a wonderful repertoire for my instrument. My third purpose was to make the guitar known to the philharmonic public all over the world" (205–206).

As has been demonstrated, some of the sonatas of the first half of the twentieth century worked at closing the divide between concert music for the guitar and piano, but the formal structure and antiquated styles that many of these were written in gives a sense of making up for lost time, rather than bringing the two onto an equal platform. Certainly with both Segovia and Bream working tirelessly to build a more complete canon of guitar repertoire — each with their own separate but overlapping goals — the gap was narrowing. But the model provided by the "Hammerklavier," and expanded upon by Boulez in his second piano sonata, remained out of reach for guitarists until Henze undertook the challenge.

At the time of beginning the first sonata in 1975, Henze had included the guitar in two major chamber works. The earlier of these, *Kammermusik 1958*, included the guitar in a solo set-

ting for three movements, and in various ensemble and accompaniment roles in the others. The writing for the instrument, whilst musically interesting, used conventional performance techniques and notation. The writing for the guitar in the latter, *El Cimarrón* (1969–70), would barely be recognisable to the average guitar enthusiast, such is its extreme use of extended techniques. In a sense, the writing in *Royal Winter Music* occupies a middle ground between these two positions, but that may be rather more a consequence of the composer's aims rather than a deliberate attempt to situate the work stylistically. The title of *Kammermusik 1958* offers little to the audience, other than the broad genre and the year of its composition. Thus, what can be expected is a small number of musicians performing music that has a clear sense of blend and ensemble, in a style firmly placed well beyond the Romantic era. In restricting the innovation to the choice of ensemble and musical parameters of harmony, texture and such rather than the extremities of sonic possibilities, Henze delivers exactly what the title demands. Whereas *El Cimarrón* straddles genre boundaries — part opera, part song-cycle, part chamber work, part theatrical — and the composer seems intent on defying a simple categorisation in the music. Thus, the demands put on each performer are somewhat strenuous and are likely to leave the audience musically disorientated. Although the writing for guitar appears in some complex ensemble scenarios in these two substantial chamber works, the instrument was permitted some opportunities to stand alone and above the other instruments. In a sense, these sonatas approach the guitar in the opposite manner: it has to function as the entire ensemble through the skillful specification of dynamics and timbre that Henze considers with great accuracy. Additionally, in approaching a sonata in a manner befitting the latter half of the twentieth century, he not only had to accommodate the

traditions of prior eras, but also to build on the genre as Beethoven and Boulez had done (and arguably previous guitar sonatas had not).

As the sonata genre had become increasingly linked to orchestral colouring, Henze's writing for the guitar would have to strive for the richness and variety of tone that one might hear in his symphonies, six of which he had completed by the time *Royal Winter Music* was composed.¹⁴ This naturally places the ideal compositional process and style somewhere between the two aforementioned chamber works. There would be modern melody and harmony, conventionally notated, as indeed there was in *Kammermusik 1958*. Yet, it would also need to transcend any sense of typicality of guitar repertoire in order to approach the orchestral ambitions that now typified the sonata genre. Having extended the range of possibilities on the guitar in *El Cimarrón*, Henze was well-equipped to strike a suitable balance to this end. In the preface for the first *Royal Winter Music* sonata, Henze acknowledges the limitations of the guitar, but also "many unexplored spaces and depths within these limits." To conjure up the richness of sound of a gigantic contemporary orchestra, "one has to start from silence" (Henze 1976, preface). The composition certainly utilises silence and space to great effect. The opening low F, played *fortississimo*, must puncture the silence in the concert hall with great drama when presented live. This half note is followed by a precisely notated rest (eight, sixteenth and thirty-second) then a major seventh in the higher register, played *piano*. These initial gestures are indicative of the expansive canvas he is working on in these two sonatas, both in terms of the dynamic range and the intervallic distance covered.

¹⁴ Having admired Gustav Mahler since his early studies and compositional career, it is little wonder that the symphonic form has played a central role in Henze's output (Henze 1982, 157–158). As such, he is thus a continuation of the Austro-Germanic lineage of great symphony composers that stretches back to Haydn through to Bruckner in addition to Mahler.

The expansive and orchestrally-inspired writing, however, does not in itself exhaust the works' qualifications as sonatas. Indeed, Giuliani, Coste and Tárrega became quite adept at evoking the aesthetic and atmosphere of the nineteenth-century symphony orchestra and opera theatre in their numerous opera-fantasy works. Just as Boulez's second piano sonata mimicked elements of the Classical sonata, so too do Henze's two sonatas for guitar. The expected structures are not immediately obvious, but Henze does not completely disregard typical formulae and the tradition of sonata-writing runs through Henze's pen in a suitably updated manner, much as it had through Boulez's pen earlier in the century. The orchestral spectrum utilised in the two works is just one of these means of honouring the sonata tradition since Beethoven, and positioning them in the latter twentieth century. In completing these two sonatas, Henze balances formal structures with the continuing tradition of guitar sonatas, making leaps of innovation with both.

Sonata no. 1

A thorough analysis of the first sonata has been undertaken by Michael David Harding, which highlights many of the facets that ground the work as a sonata. Expected structures, such as sonata form and rondo, may not be overtly obvious, but are evident with closer inspection. Additionally Henze manages to utilise the constrictions of the classical sonata, without compromising the representations of the characters he chose. Characterisation will be discussed properly in the following chapter, but some ideas are covered here where necessary.

The opening movement, dedicated to Gloucester, whose famous speech — “Now is the winter of our discontent” — provides the title for the work as a whole, is written in sonata form.

The first subject is characterised by harsh angular dissonances, irregular rhythms and predominantly loud dynamics (Harding 1997, 20).

The image shows a musical score for three staves, likely for a piano and two other instruments. The tempo is marked 'Majestically'. The first staff contains the main melodic line with various dynamics including *fff*, *p*, *sf*, and *ff*. It features complex rhythms with many accidentals and some circled numbers (1, 2, 3, 4). The second and third staves provide harmonic accompaniment with chords labeled VII, X, III, and XIII. Dynamics here include *fff*, *mf*, *sf*, *pont.*, *nat.*, and *fff*. Performance instructions like 'lento' and 'nat.' are also present. The score is highly detailed with many accidentals and articulation marks.

Figure 1: Movement I, b. 1–11

The contrasting second subject takes over in bar twenty nine, and is based on chords highlighting thirds and fourths, and so is far less dissonant. The dynamics, now focused in the *piano* range, create a much calmer atmosphere than before (25).

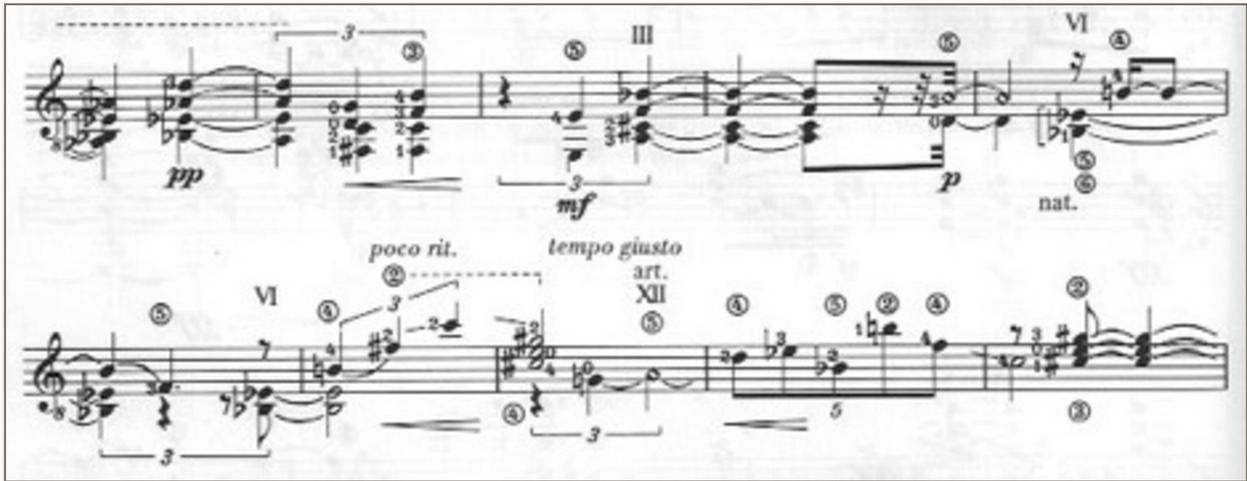


Figure 2: Movement I, b. 30–39

The development section, signalled by a double bar-line, does not function in the same way as its Classical counterpart. Instead, many of the motifs that were heard earlier are freely mixed up, either identically or directly transposed, with few alterations (27–28). This free recycling of material creates a kind of kaleidoscope of fragments heard in the prior sections of the movement. The harsh, jagged chords of the first subject now appear not quite as forcefully. The dynamic level is lowered slightly, and they are typically held for longer durations, with longer rests. The aggression associated with the first subject has become slightly exhausted, or softened around the edges.

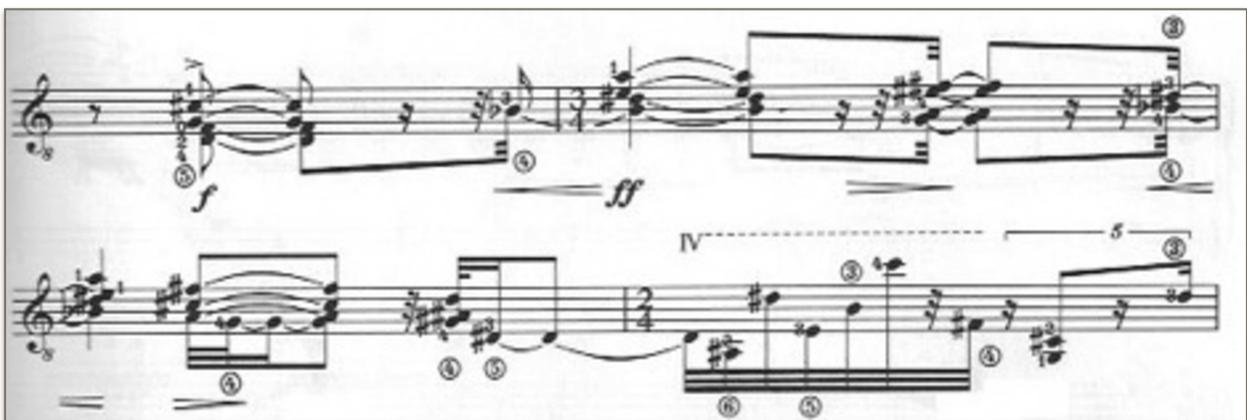


Figure 3: Movement I, b. 91–94

The second subject is now performed with a *tambora* technique, whereby the performer sounds the chords by hitting rather than plucking the strings.

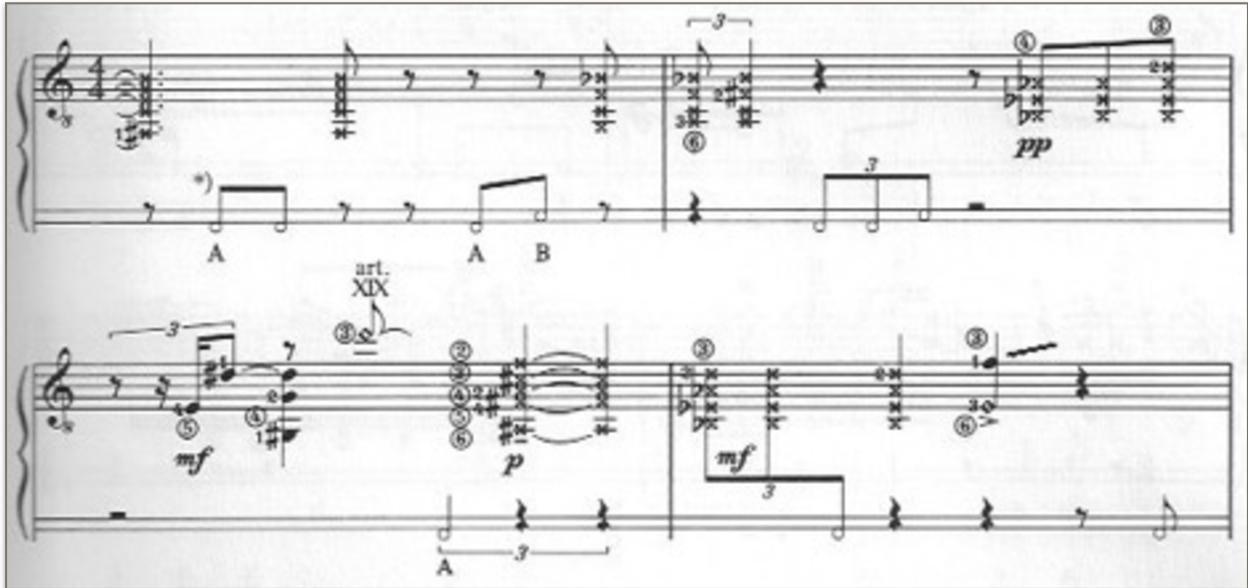


Figure 4: Movement I, b. 98–101

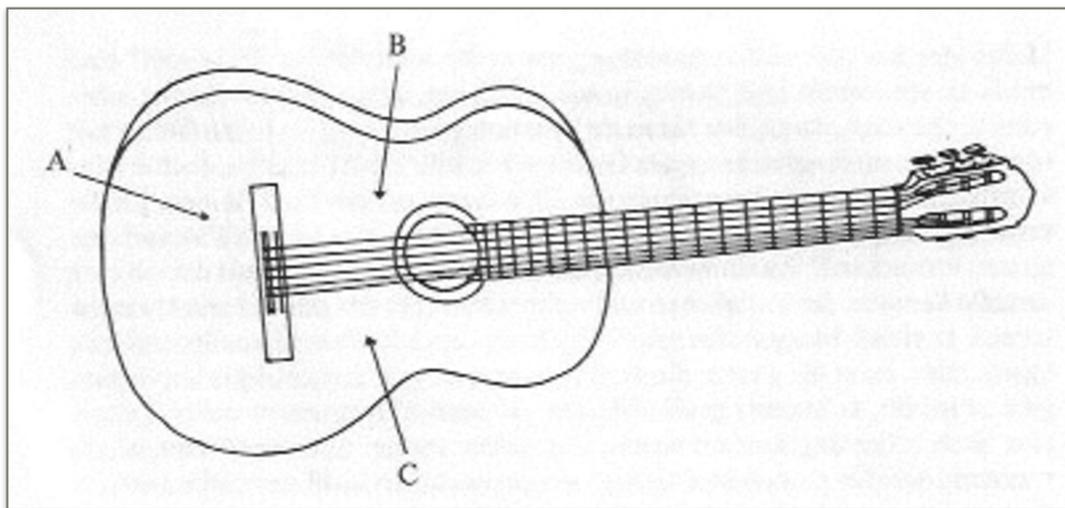


Figure 5: Editor's instructions for positions of percussive effects, worked out in consultation with the composer.

This gradually disintegrates into a purely percussive finale on specific points on the front of the instrument (32).



Figure 6: Movement I, b. 157–167

In combining narrative drama with sonata form, Henze brings a unique approach to a historic cliché, with a clearly twentieth-century aesthetic. There is no sense of the two aims — to represent a character or segment of story, whilst also being true to sonata form — competing with or undermining each other.

Romeo and Juliet form the subject of the second movement. The writing is very conversational and song-like, imitating a moment of exchange between the two titular characters. Often melodic motifs and intervals are transferred from the upper to the lower register, or vice versa, in a call-and-response pattern (Harding 1997, 33).

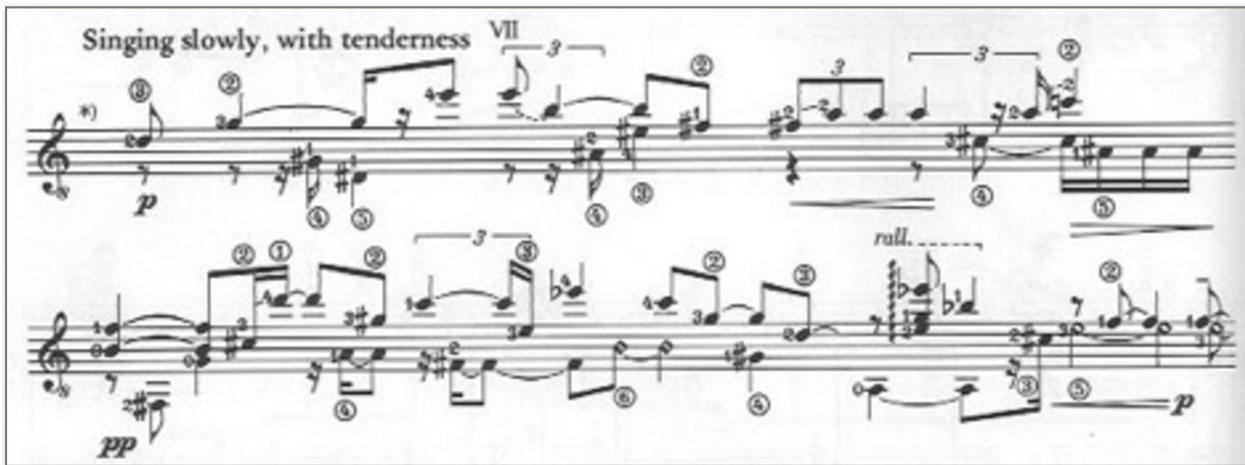


Figure 7: Movement II, lines 1–2 (accidentals apply to one note only)

The exchange between these two voices gives rise to a series of tetrachords, based upon a twelve-tone row (Century 2004, 30).¹⁵ Although not following strict fugal methods, this manner of imitation is certainly indicative of some aspects of fugal composition. As one of the shortest movements of the work, this could perhaps be viewed as a brief *Arioso* interlude between the larger pillars of the sonata.

The third movement takes Ariel from *The Tempest* as its subject matter, and despite its steady pace, maintains a gentleness throughout. In this movement, Henze combines two important facets of the character. In Shakespeare’s play, Ariel is a fairy, and so the pace and contour of the melody — often written in thirty-second and sixty-fourth notes — imitates the swift movements that might be imagined of this mythical being. Secondly, Ariel’s sadness is highlighted in the movement with some of the most tonal writing in the whole sonata, usually emphasising the minor.

¹⁵ This will be discussed in more detail in the next chapter.



Figure 8: Movement III, b. 1–4

The harmonic progression is certainly not what would be heard in music of previous eras, but there is more than one passage of clear triadic harmony (Harding 1997, 45–47). This perhaps provides this movement’s role as the emotionally-heightened centre of the sonata.

Another brief interlude follows with the fourth movement, based on the *Hamlet* character Ophelia. Featuring gently swirling arpeggios underneath a slow song-like melody, this could be viewed as complimentary to the second movement, and gives the sonata a certain level of symmetry.

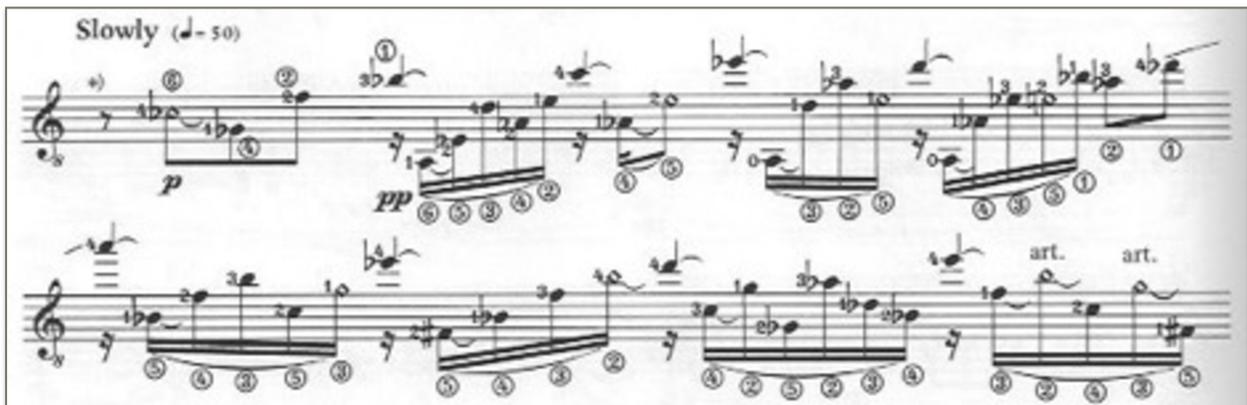


Figure 9: Movement IV, lines 1–2 (accidentals apply to one note only)

Alternatively, it may also be viewed as a sort of prelude to the movement that follows, as its near-constant run of arpeggios has a certain reminiscence to the style of many of J.S. Bach's preludes. The closing harmony is tantalisingly close to an E flat triad, repeating the root and third pitches of the chord several times, albeit disrupted by a B natural.



Figure 10: Movement IV, line 15 (accidentals apply to one note only)

The final G leads neatly into the A flat that opens the following movement, despite the E natural in the bass behind the G that undermines some of the dominant function that may otherwise have built up. If this were a pure sonata without literary connection, there might be strong grounds for viewing these two movements as a connected whole.

The fifth movement by itself is quite easy to accommodate within the sonata framework. It is written mostly in 3/4 time, and is marked “With humour”: this is the scherzo of the work. This is fitting, considering one of the characters for whom it is named, Touchstone, is a clown. Taken from the play *As You Like It*, Touchstone is joined in this movement by two further peripheral characters, Audrey and William. Henze used a scherzo and trio form for the movement, modified to also act simultaneously as a theme and variations. Touchstone forms the basis of the first section of the scherzo, which opens with a nine-bar phrase that is followed immediately by its variation (Harding 1997, 64–68).

With humour (♩-108)

Musical score for Movement V, measures 1-10. The score is in 3/4 time and features three staves. The first staff contains the melody with various ornaments and dynamics like 'p' and 'mf'. The second staff shows complex chordal textures with fingerings and articulation marks. The third staff includes a section marked 'art. 8va' and 'III'.

Figure 11: Movement V, b. 1–10

The following section, representing Audrey, opens with two eight-bar phrases, the second being a variation of the first (70).

Musical score for Movement V, measures 20-27. The score is in 3/4 time and features three staves. The first staff shows a melodic line with ornaments and dynamics like 'p'. The second staff contains complex chordal textures with fingerings and dynamics like 'mf' and 'p'. The third staff includes a section marked 'poco rit.' and 'III'.

Figure 12: Movement V, b. 20–27

The final section of the scherzo belongs to William, elevated from his minor position in Shakespeare's play (as a competitor with Touchstone for Audrey's attention) as a character with whom Henze identifies and sympathises. Three phrases allow for two variations of this character's music, in contrast to the single variation that was given to Touchstone, ostensibly a more pivotal character in the original play (71–73).

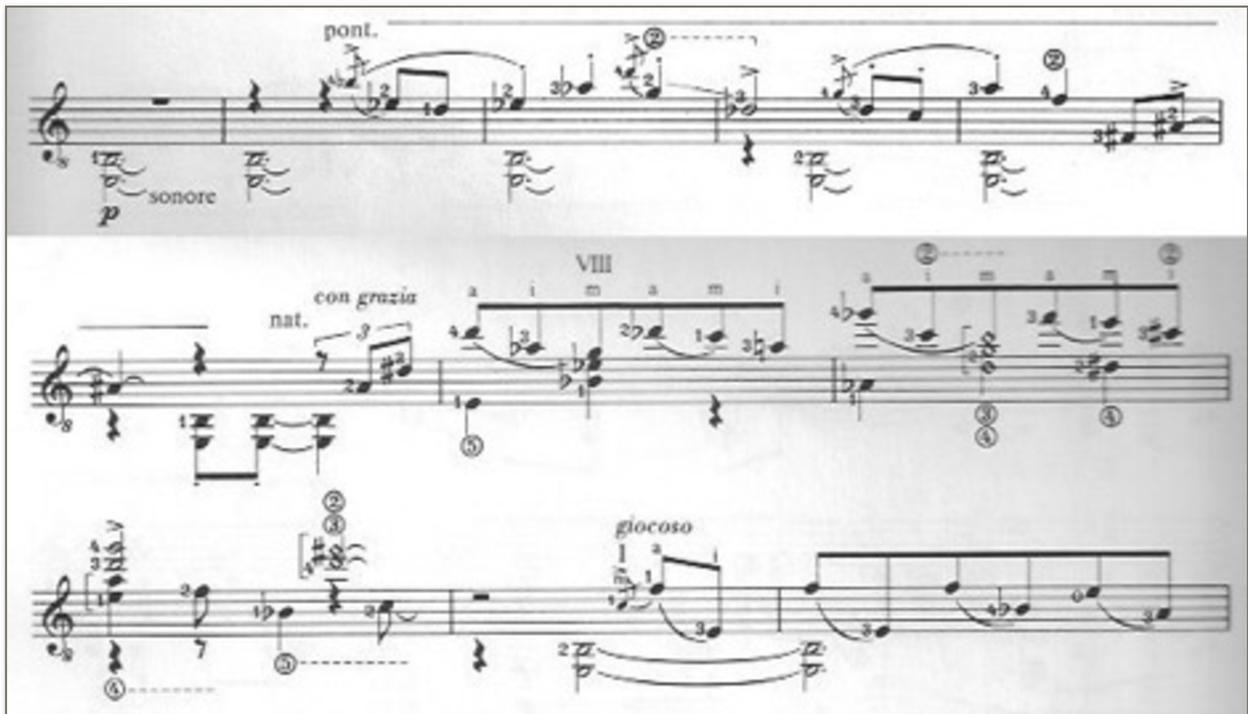


Figure 13: Movement V, b. 36–46

The trio section mixes up these characteristics freely, frequently shifting between motifs from each of the preceding sections. This is not dissimilar to the approach Henze took with the development section of the first movement, once again creating a sense of unity between different movements.



Figure 14: Movement V, b. 60–63

The final section and coda completely eliminates William’s music, allowing Touchstone to completely dominate, reinventing the material from the opening section in a somewhat more frantic manner (75–76).

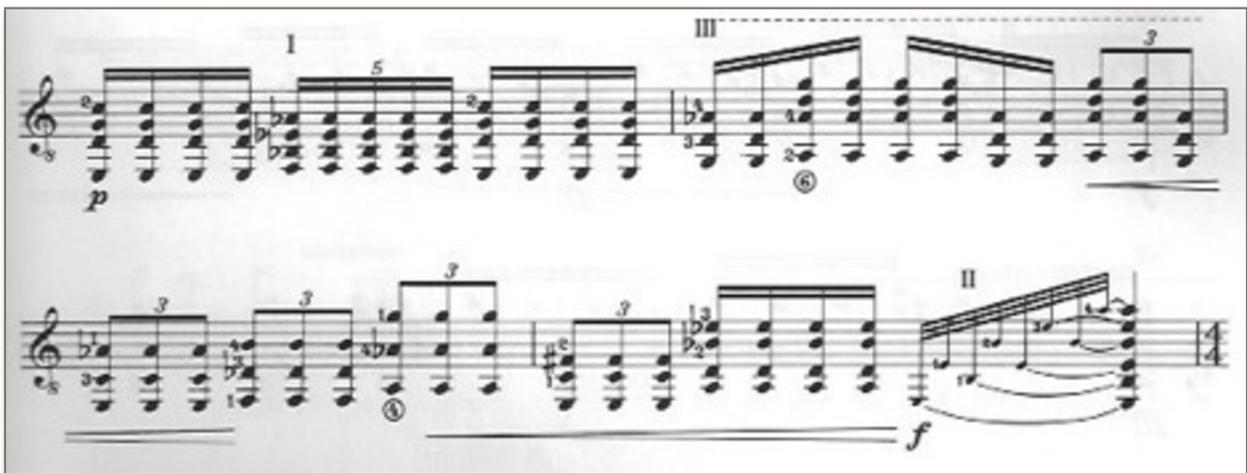


Figure 15: Movement V, b. 72–75

A return to mystical subject matter forms the basis of the closing movement, based on Oberon from *A Midsummer Night’s Dream*. Oberon is the King of the Fairies in the play, and so there is at least a superficial relation to the subject matter of the third movement, Ariel. Whereas Ariel was depicted with sadness, as well as the obvious mystical character that would be expect-

ed of her creature-type, Oberon as a monarch and authority figure must be depicted in a different light. Assigning a structure to the movement is more problematic as it appears to be quite fluid, aided in part by its lack of bar-lines. Although written with a 12/8 time signature, this is only fleetingly clear and so is presumably meant as an aid to pace and emphasis. In addition to representing Oberon, there is also music associated with Puck and their interactions within the play. The initial exchange between these two characters recurs modified several times throughout the movement. This gives an indication of rondo form, but far from a strict one (Harding 1997, 81–82). The rondo form is certainly a very loose interpretation of its possibilities, and the free metering of the movement and the general flow of musical material gives rather more the impression of an improvisatory fantasia movement. This does not preclude it from fitting in with the sonata model, as Beethoven's two *Quasi una fantasia* sonatas (Op. 27) evince. Instead, this is perhaps another method by which the sonata is built upon post-Beethoven sonata-writing: hinting at traditional forms, rather than outright displaying them.

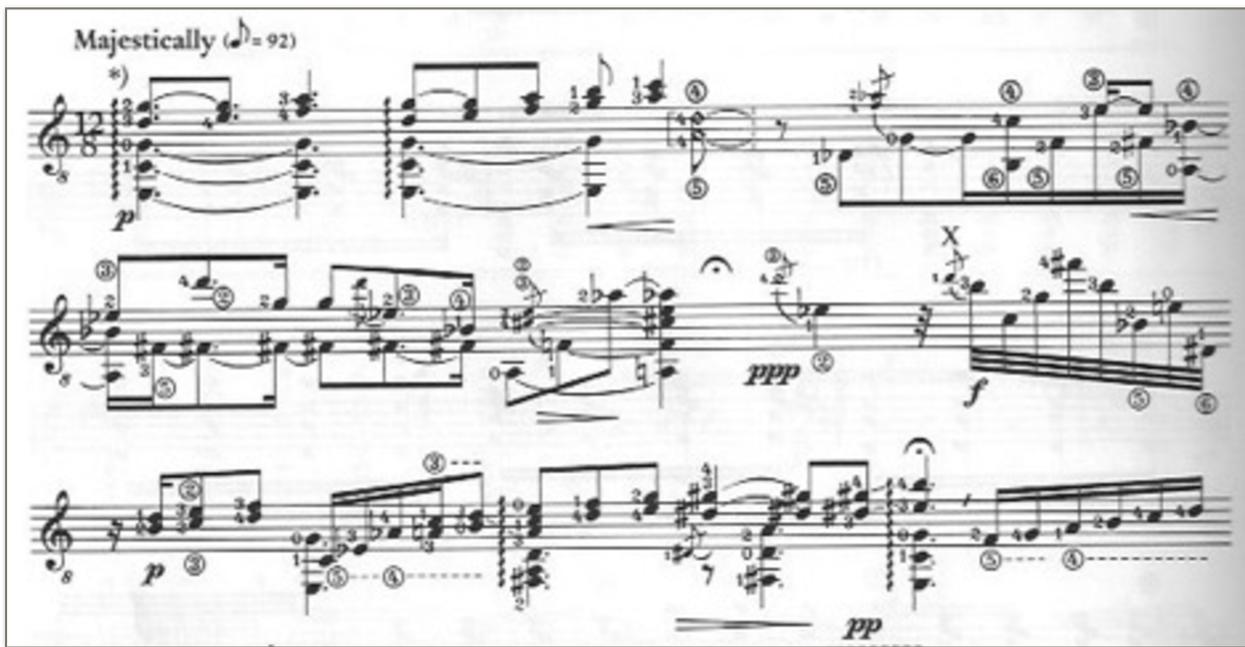


Figure 16: Movement VI, lines 1–3 (accidentals apply to one note only)

Sonata no. 2

The second sonata differs from the first in a few obvious ways. The first is its brevity, being just three movements instead of six. At the outset at least, this makes it more likely to fit into the confines of a sonata. Secondly, whereas the first sonata gave the main tempo and performance marks in English, the second uses Italian, apart from the third movement, which includes some important directions in English. These are superficial differences, but do indicate that each work is very much its own product.

Opening with a funeral march for Sir Andrew Aguecheek, further sets this work apart from the first sonata. For the first time there is a specific reference to a historic generic model. Although there are moments of flexibility and relaxation with the timing, including two labelled cadenzas, the opening march rhythm returns frequently. This style of sombre opening to a sonata is not unlike Beethoven's "Moonlight" Sonata — no. 14 for piano in C sharp minor (Op. 27 no.

2) — and the manner in which improvisatory passages give way to the opening melody in different key areas is also similar. In terms of tonality, this is by far the most tonal and triadic-based music so far in the entire *Royal Winter Music* series.



Figure 17: Movement I, b. 1–7 (accidentals apply to one note only)

Henze writes in the preface for this sonata that none of the movements are in sonata form¹⁶, thus alleviating the need to find this framework in the work (Henze 1983, preface). Certainly, if there is a traditional form in this movement, it is perhaps most closely connected to *ritornello* form, whereby the main theme returns in different key areas, in between sections of music that explore and depart from stable key areas.

¹⁶ In the original German text: “...[D]ieser 2. *Wintermusik*, die ohne dialektische Sonatenform auskommen mußte...” Or in the English translation by Stefan de Haan, this reads: “...[T]his new *Winter Music*... has to manage without the dialectic form of the sonata...”



Figure 18: Movement I, b. 39–44 (accidentals apply to one note only)

The central movement again provides its own distinctive marker in the title. By calling the movement “Bottom’s Dream,” Henze offers the audience an outright narrative thread beyond the character for the only time in either work. But by drawing on a dreamscape, the composer is able to escape the confines of a rigid structure. Describing the dream scene from which he drew his inspiration, Henze concludes that “this is Shakespeare the romantic, the pastoral poet...” (Henze 1983). The movement therefore seems to function as a central *romanza* or *pastorale*, albeit with a somewhat other-worldly and occasionally erratic quality.



Figure 19: Movement II, b. 1–10 (accidentals apply to one note only)

The closing movement chooses Mad Lady Macbeth as its subject matter, and is given the instruction “Fiercely.” This could almost be understood as rondo form (like the conclusion of the first sonata), as the opening flurry of notes returns periodically. This is usually at the same pitch, but two occurrences in the middle of the movement shift this around. After two statements of this motif, the music progresses differently each time, and a double bar-line indicates the completion of that musical segment, the first two times only.

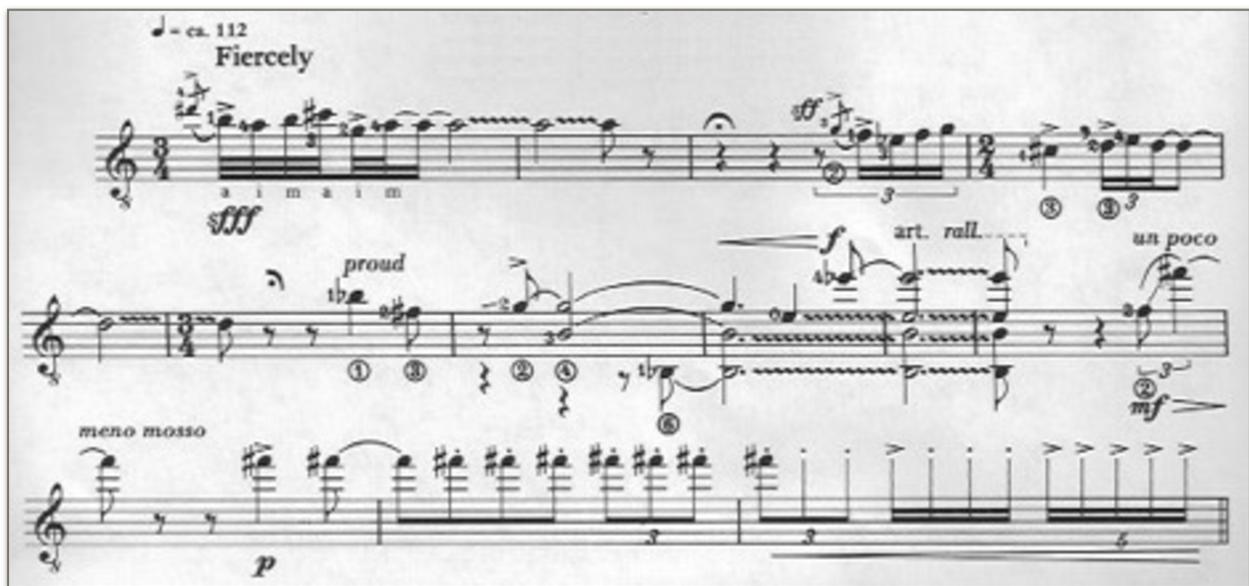


Figure 20: Movement III, b. 1–13 (accidentals apply to one note only)

If this is considered the main theme of this rondo-like movement, the statement of that theme seems to become more fragmentary on each repetition. Furthermore, the later deviation from the pitch of the first statement of the theme suggests that this movement begins as something akin to rondo, but concludes closer to the *ritornello* form.

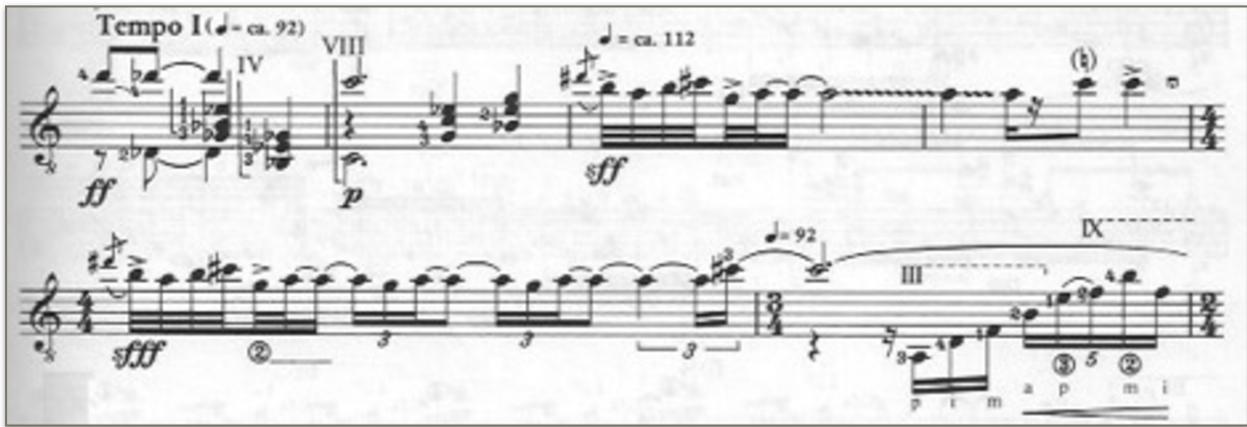


Figure 21: Movement III, b. 31–36 (accidentals apply to one note only)

The second entry of this main motif leads to one of the stand-out musical ideas in the work. An *Allegretto* section begins at a *piano* dynamic, repeating the same bar of music, based on open-sounding chords of fourths and fifths. Eight repetitions of this bar build in volume and intensity, climaxing on two final statements, each elongated by sustaining the chord for two extra bars. The first of these is written at *fff*, the second at *ffff*: dynamics the guitar can rarely muster.



Figure 22: Movement III, b. 42–57 (accidentals apply to one note only)

After eventually settling briefly on the main theme again, there is a second example of a specified historical musical topic: this time the segment is labelled as a *Gavotta*. This material is not as readily identifiable with its label as the first movement was with its designation as a funeral march. This is perhaps another example of a musical detail as an indication of tempo, feel and general flow, rather than actual musical markers of the style.



Figure 23: Movement III, b. 74–80 (accidentals apply to one note only)

Indeed, even when the meter changes from 2/4 to 3/8 (atypical of a gavotte), the instruction “♩ = ♩ della Gavotta — Molto irrequieto” is given, suggesting that the manner of the dance should somehow continue, despite the incorrect time signature.

After several episodes and recurrences of the main theme motif, the chordal idea from the *Allegretto* section makes a return, this time beginning and *pppp* and rising to *ffff*, with a continuing *crescendo*. Instead of the bare sound of fourths and fifths, this time an F minor chord is heard over an E minor, the latter formed of the three open upper strings of the instrument.

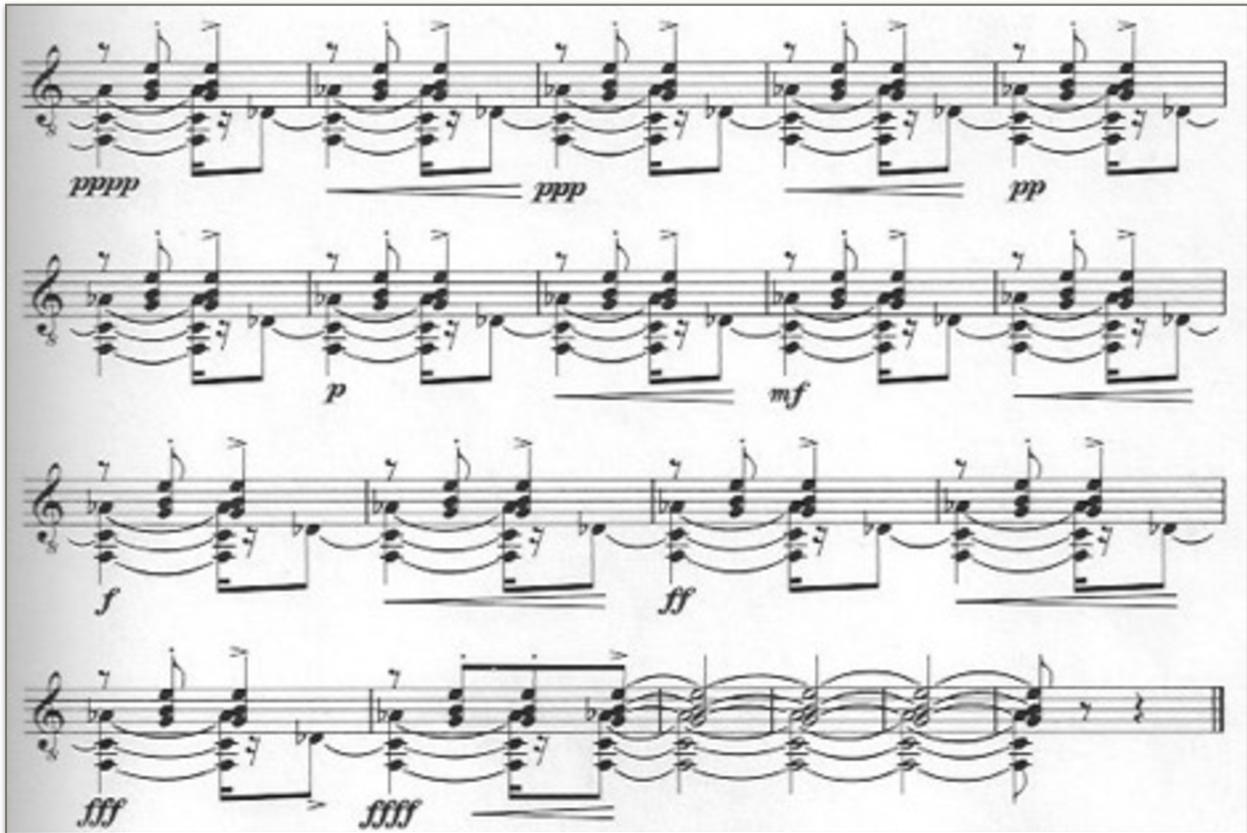


Figure 24: Movement III, b. 293–312 (accidentals apply to one note only)

Whilst rhythmically relatable to the earlier build-up, this becomes far more aggressive due its greater length, greater dynamic range, and the jarring effect of these two chords overlapping. And yet, in contrast to the harshness of this, the sonata can be seen to end in much the same way it began: rhythmically repetitive and based almost exclusively on common triads. In the case of the opening of the sonata, it is the unorthodox progress of the triads that avoids harmonic cliché and keeps the music firmly rooted in the twentieth century. In the case of the close of the sonata, this occurs through the juxtaposition of two very mismatched tonal centres and the intense dynamic span of the build-up.

III

Royal Winter Music as Character Pieces

Character pieces as a nineteenth century trend

The character piece gained new meaning in the nineteenth century, almost as the antithesis of the sonata. Musical miniatures with references to personalities (real or fictional) were not in themselves entirely new and were a particular favourite of many French composers in the Baroque era, as exemplified by François Couperin's (1668–1733) numerous keyboard works. Whilst many leading composers of the nineteenth century still produced sonatas, often building on the large-scale integrated form of Beethoven's legacy, it was no longer at the forefront of music for solo or duo texture. Instead, there was a preference for self-contained forms in one movement, often written in simple ternary structure (ABA) and with frequent use of very lyrical melody: the character piece. To these stand-alone items composers often gave descriptive, poetic or expressive titles (Kirby 1995, 138).

In following extra-musical impetus, many composers produced works that no longer fitted into the well-balanced proportions of Classical designs. Amongst the Romantic composers, the most overtly affected by literature and art were Robert Schumann (1810–1856), Hector Berlioz (1803–1869) and Franz Liszt (1811–1886), but there were few in the nineteenth century that did not respond to such trends. In the case of Frédéric Chopin (1810–1849) for example, his four Ballades (Opp. 23, 38, 47, and 52) for piano demonstrate a certain poetic tone, even if the links to specific narratives are tenuous (Rosen 1995, 78–79). Whilst such works that stem from the spirit of literary movements and ideas but offer little connection to identifiable content was

certainly a significant part of Romantic musical thought, the main interest in this thesis is in works for guitar that provoke more specific poetic images. Amongst the relevant works discussed are some that clearly identify the narrative being portrayed, as in Tedesco's *Escarramán*, and those more vaguely suggested by poetic evocation in the title, as in Mertz's *Bardenklänge*.

Music with literary inspiration perhaps has an even more scattered history on the guitar, having only a handful of examples in the nineteenth and twentieth centuries. As a result of this, the character depictions in *Royal Winter Music* have less to build on in terms of traditions or models for the guitar. Having discussed the approaches these few contributors made to this mode of composition in the previous chapter, Henze's pieces are placed above and beyond these examples in the remarkable theatricality that he achieves. In managing to combine literary representations with the sonata model without compromising either facet of the music, he made a substantial and unique addition to the repertoire that had been problematic to many before him.

Henze's Shakespeare

Tedesco's choice of Spanish sources for *Escarramán* (and other works) is attributable to his Sephardic heritage, and lends itself well to music written for the guitar. By contrast, Henze's choice of a distinctly English source for his character music for guitar may seem odd, yet it is somewhat fitting considering Bream as the dedicatee. Aside from being the first British guitarist to gain international repute, Bream is equally credited with reviving interest in Renaissance music for the lute. Still this does not necessarily explain Henze's intent to develop music from Shakespeare's creations, which he had conceived of as much as ten years prior to beginning the work (Henze 1976, preface). In fact, Shakespeare could almost be considered as much an inte-

gral part of the German Romantic literary stream as Goethe, such is the admiration for his plays that has held sway since the nineteenth century. For several centuries after Shakespeare's death, German theatre-goers had little interest in performances of his works. Goethe's influence transformed the German language, paving the way for August Wilhelm Schlegel's (1767–1845) translations of Shakespeare to be presented in the new readily-understood vernacular. Whereas English-speaking audiences gain a sense of mystique and history from the antiquated speech-forms, German audiences were able to glean an immediate accessibility from these new Romantic-era translations, whilst retaining Shakespeare's wit and genius. Consequently, where English-speakers are left with an ever-more challenging task in interpreting these plays with the passage of time and the evolution of language, German-speakers have more up-to-date and more numerous translations. Furthermore, such was Schlegel's skill in his translations that the Romantic nature of the German text fitted succinctly with Shakespeare's text and the nineteenth-century audiences he was writing for. This has resulted in far more sustained enthusiasm for Shakespeare in Germany than in France, for example, where translations are also widely available (McNamee 1962, 299–300).

Suffice to say that Henze's passion for the English bard was born of this general heroic status of Shakespeare within Germany, nor was he alone in his enthusiasm. Some of his first musical employment involved composing for the theatre in the late 1940s. This often exposed him to preparation for productions of Shakespeare and related discussions with colleagues closely involved (Henze 1998, 80–81). This presumably laid the foundations for his later plans to base his first comic opera on *Love's Labour's Lost* in the 1960s. Ultimately, the comic opera he completed, *Der Junge Lord* (premiered in 1965), was not based on Shakespeare as the librettist, In-

geborg Bachmann, did not share his excitement at the prospect (Henze 1982, 134). Nonetheless there is a clear indication of his intent to draw inspiration from the rich sources provided in Shakespeare's plays. It must have been around the same time that the origins of the *Royal Winter Music* took form in the composer's mind. Prefacing the first sonata, Henze wrote "My idea of developing music from Richard of Gloucester's monologue 'Now is the winter of our discontent,' and of generating more music from that material, was conceived during the 1960s. Ten years later it took a more concrete form, when Julian Bream suggested to me that I should write a substantial new guitar work for him"¹⁷ (Henze 1976, preface). Clearly the framework for this extensive set of pieces had been percolating for some time.

Royal Winter Music, the first sonata as a character suite

In the *Royal Winter Music*, a total of nine movements portray twelve characters from various Shakespeare plays. In the preface to the first set, Henze explains that "[t]he *dramatis personae* of this piece enter through the sound of the guitar as if it were a curtain"¹⁸ (Henze 1976, preface). Presumably the same idea is carried through in the second set. What this statement also sets up is the idea of characters in action, as he describes their physical entry onto the stage, suggesting a strong dramatic sense to his representations, as opposed to being mere portraits. In con-

¹⁷ In the original German text: "Meine Idee aus Gloucesters Monolog 'now is the winter of our discontent' eine Musik zu entwickeln und weitere Musik aus dieser, geht auf die sechziger Jahre zurück, erst zehn Jahre später nahm sie konkretere Formen an als Julian Bream mir vorschlug ein umfangreiches neues Gitarren-Werk für ihn zu machen."

¹⁸ In the original German text: "Die in diesem Stück auftretenden *dramatis personae* treten durch den Klang der Gitarre hindurch wie durch einen Theatrevorhang."

sidering Henze's musical depictions, it is important to observe possible presentation of narrative or active moments, as well as general moods and characteristics.

The work opens with Richard of Gloucester, who also provides the title from his famous monologue that binds the collection of characters together. The character himself is regarded as one of Shakespeare's most depraved and villainous representations, intent on ridding himself of anyone standing in opposition to his power by any means necessary (Harding 1997, 19). The jarring harmonies in the first subject, rife with minor seconds and major sevenths, are the immediate means of depicting this, coupled with the erratic rhythms that imitate the gait of this notoriously hunchbacked and disfigured individual. Harding notes that Gloucester's monologue makes mention of his deformity, reading "cheated of feature, of dissembling nature, deform'd, unfinished, sent before my time...." As he is attempting to marry the sonata form structure of the movement with the content of the monologue (as Henze stated he had observed in the text), this seems to justify his arriving at this conclusion (20–21).

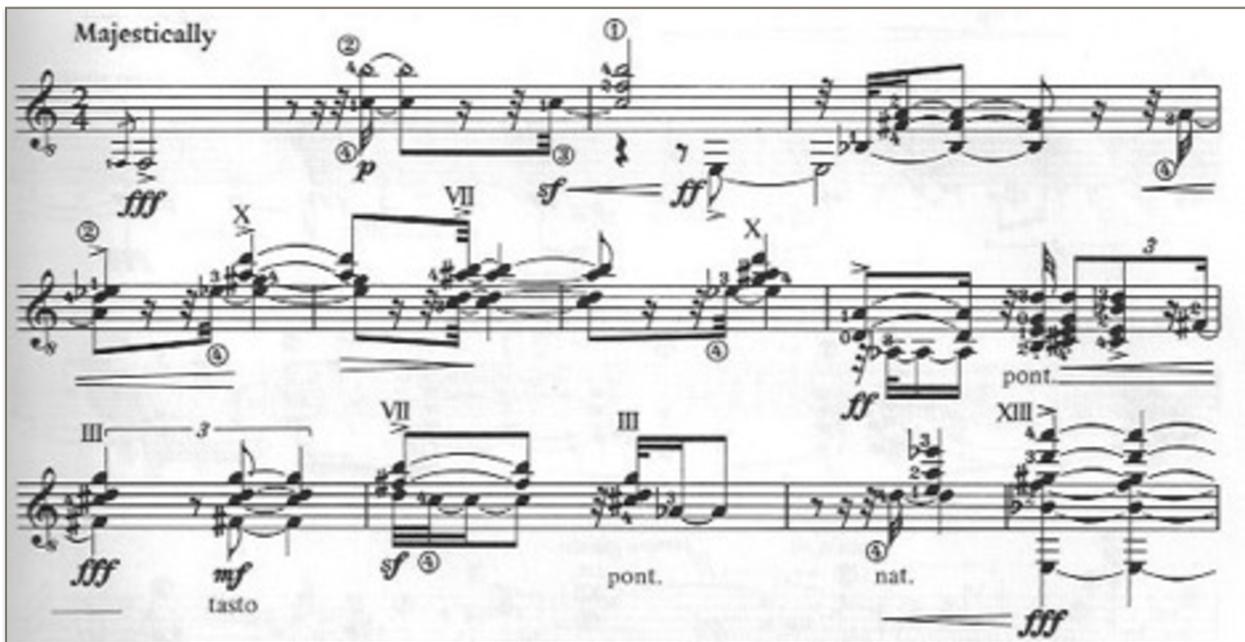


Figure 25: Movement I, b. 1–11

In addition to Harding’s observations and conclusions regarding this first subject, there are a number of other features that may further conjure aspects of this character in the listener’s imagination. The dynamics remain largely in the area of *fortissimo*, and the wide scope of pitch covered gives a general aura of the dominance Gloucester wishes to hold in his position. Furthermore, the movement is headed *Majestically*, fitting for a character that is indeed of royal extraction: a duke at the start of the play, later to become king. In keeping with this characterisation, these opening chords could be indicative of a fanfare, albeit distorted underneath much more angular intervals. Despite the strong dissonance in these opening chords, there are several instances of rising fourths or fifths, which if stripped of their supporting tones would lend themselves comfortably to this idea. The second bar concludes with a C, which leads into an F in the following bar. Similarly, the fourth bar concludes with an A, leading to a D in the following bar. In the sixth bar, there is an E flat followed by an A sharp, which spelt enharmonically as B flat

would be a perfect fifth. In each of these cases the first and lower of these pitches is heard in isolation, whilst the second pitch is disguised amongst a chord, each of which contains a tritone. Although these remain speculative arguments, Henze was clearly able to conjure something regal in keeping with Gloucester the king(-to-be), whilst depicting his physical deformities and representing his ruthless stranglehold on power.

The second subject, immediately contrasting in the predominantly *piano* dynamics and almost triadic harmony, Henze intended to suggest the lute. In his monologue, Richard describes hearing the distant sounds of the lute, whilst elsewhere his men are celebrating a victorious battle. Thus, the portrayal of distant music is sparsely written, lacking the complex rhythms and dense texture that were abundant earlier in the movement, as if to create some distance between the origin of sound and the listener (Harding 1997, 23).



Figure 26: Movement I, b. 30–39

The development section returns to the harsher harmonies of the opening section, just as the monologue returns to Gloucester’s schemes for power (Harding 1997, 27). When the chords of

the second subject return, as they would be expected to in sonata form, they are no longer gentle and coaxing, but are now performed with percussive effects; the only such example in the first *Royal Winter Music* sonata (and sparsely used in only one movement in the second sonata).

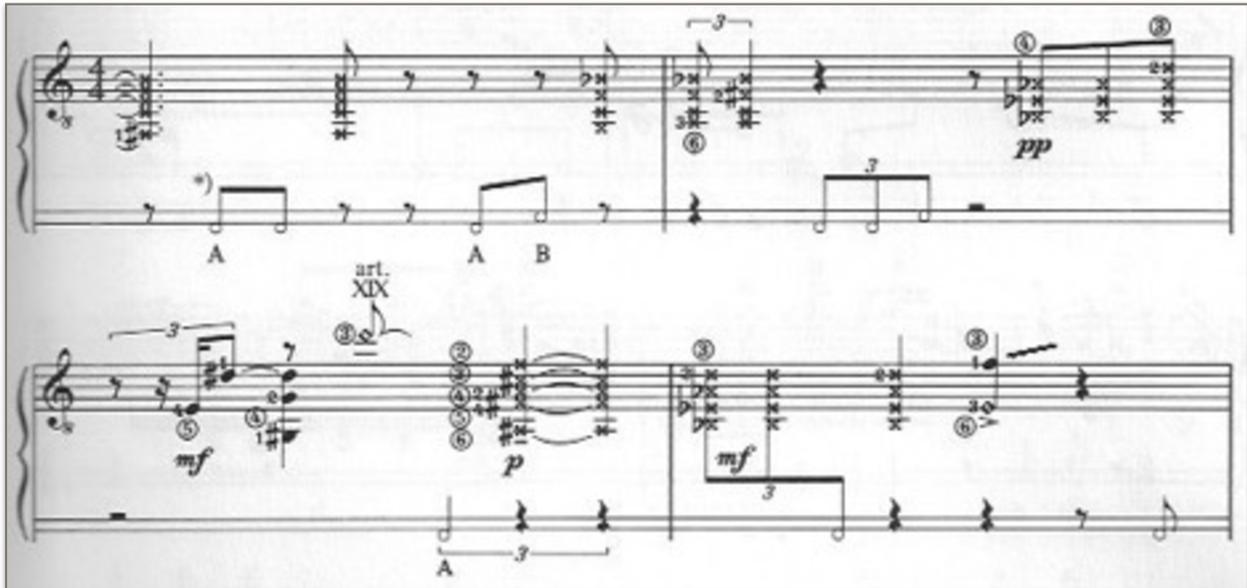


Figure 27: Movement I, b. 98–101

At first these effects are sporadic, and do not particularly interfere with the harmonic progress of the piece. As the music draws to a close, the percussion becomes ever-more dominating, as melodic material and pitched percussive effects are abandoned in favour of strikes in specified positions on the table of the guitar, rising to a triple *forte* by the end. This, Henze has stated, is indicative of Richard's growing frustration and anger that consumes him, eventually leading to his downfall (29–30).



Figure 28: Movement I, b. 157–167

By these various means, Henze is able to portray the many facets of the character, and impart some of the content of the famous monologue.

In representing Romeo and Juliet, the second movement is clearly written in a two-voiced, conversational manner as if the two characters are in dialogue. The lack of bar-lines, and the instruction to play “[w]ith tenderness” allows the performer a degree of freedom with the timing and expression, as one might imagine an affectionate moment between two lovers. The upper voice tends to lead in the “conversation,” seeming to keep in line with the play in which Juliet will typically steer the course of verbal exchanges.

Figure 29: Movement II, lines 1–2 (accidentals apply to one note only)

An obvious example of this is the well-known balcony scene, famously opening with Juliet’s longing utterance, “O Romeo, Romeo, wherefore art thou Romeo?” For most of the movement, intervals in one voice are answered in the other voice by the same interval. Where this rule is broken, the response is typically related to the previous statement by inversion. Instances of both types of response are highlighted in the very opening of this movement. First Juliet’s rising fourth (D to G) is answered by Romeo’s descending fourth (G sharp to D sharp); then Juliet’s falling fourth (E to B) is answered by Romeo’s rising fifth (A sharp to E sharp), an inversion of the fourth (Harding 1997, 33–34). The slight imperfections in imitation do not impede the effect of the call-and-response manner of composition.

Potential for such imitative writing was built into the dodecaponic basis of this movement. Henze constructed four tetrachords from the tone row. The first three tetrachords — A (D, G, G sharp, D sharp), B (E, B, A sharp, F), and C (F sharp, A, C sharp, C) — contain all the notes required for the row. The pitches of the fourth tetrachord — D (G sharp, D sharp, A sharp, E sharp) — are derived from the first notes of the melody in the lower voice.

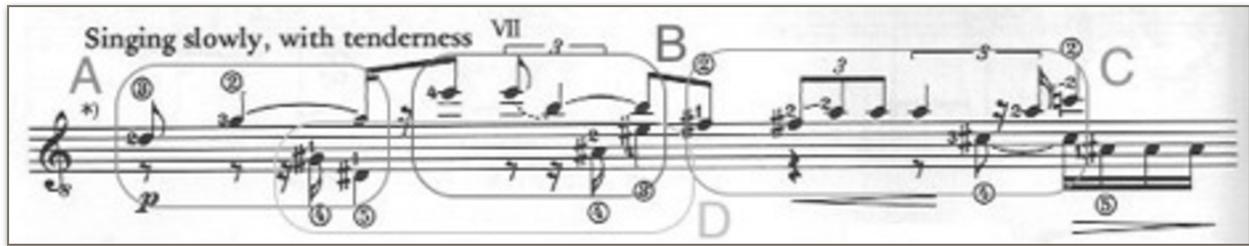


Figure 30: Movement II, line 1 showing tetrachords A, B, C, and D

Each of these tetrachords has a high degree of symmetry often based on perfect fourths or fifths, and so lends itself to equally weighted statements and responses (Century 2004, 30).

Despite Juliet’s usual propagation of material that demands an equivalent reply, there is a single moment where Romeo takes the lead, where a major 7th (B flat to A) in the lower voice is answered by a minor ninth (F to G flat, related by inversion) in the upper voice.

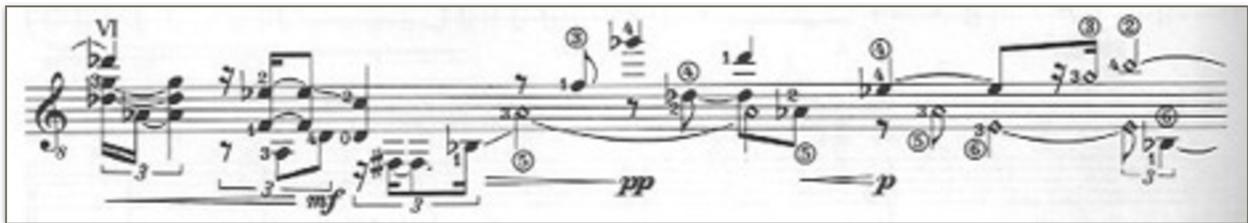


Figure 31: Movement II, line 6 (accidentals apply to one note only)

This has been likened (by Harding) to the single point in the famous balcony scene which is similarly the only instance of Romeo leading the dialogue. In this moment, he asks “O, Wilt thou leave me so unsatisfied?” eventually concluding the scene with their agreement to marry. There is certainly some plausibility to this argument, as the initial wide leap of the major seventh could serve as a sort of question intonation, and the wider — but related — leap of the response could represent Juliet’s shocked retort “What satisfaction canst thou have tonight?” (Harding 1997, 35–36). However, to my knowledge, Henze never openly attributed any direct text to this movement,

and so it remains purely speculative, regardless of how appealing this hypothesis might be. It is also perhaps undermined by the *pianissimo* dynamics, which if trying to suggest Juliet's dismay at Romeo's request for "satisfaction" perhaps ought to have been made to stand out at a more noticeable volume.

As Harding notes, the final unifying feature, which ties the two characters intrinsically to the music, lies in the rhythm of their names. Shakespeare's choice of names are metrically equivalent, Romeo and Juliet containing three syllables each. The last names, Montague and Capulet, are similarly equivalent to each other. Henze's frequent use of triplet rhythms echoes the sound of the titular characters' names, occurring some forty one times in a relatively short movement that covers only two pages (Harding 1997, 41–42). This makes the conversational style of the two voices, seemingly directly address each other by name from time to time.

For the third movement, Henze creates a suitably light air of mystery to represent the fairy-figure Ariel from *The Tempest*. He also contends with the Shakespearean view of fairies, which today's audiences might be unaccustomed to. In Shakespeare's time, the image of a fairy was not viewed with such innocence as modern audiences might assume, but rather would be associated with general mischievousness or often more sinister behaviour, including causing death and serious harm to mortals (43). Ariel fits more into the first category, although there are certainly instances of the latter in other plays by Shakespeare (Wilson 2011, 128).

The opening motif immediately gives the impression of a fluttery spirit-figure, seeming to glide over the higher register of the guitar. It is a quick run of notes that seems to dart out of and immediately disappear into silence. This recurs three times in the movement, with identical pitches but altered timbres and dynamics. The material that immediately follows this first motif,

in the view of guitarist David Tanenbaum, represents Ariel's sadness, as a consequence of being imprisoned and forced to carry out the demands of the magician, Prospero.



Figure 32: Movement III, b. 1–4

The extensive use of minor triads with evocative extra tones is the chief means of achieving this sadness, for example in the third to fourth bars a B minor chord with an added C sharp is held almost continuously. Though the harmony is far from traditional, the considerable use of common triads makes this passage probably the most tonal section in the first sonata (Harding 1997, 45–46). Further, any re-entry of triadic material, centred around minor harmonies typically indicates a recurrence of Ariel's "sadness," as occurs twice later in the movement (48).

The final feature that indicates a strong musical tie to the character are the harp-like arpeggios that dominate three sections of the movement. The arpeggio figures act as pillars in the structure of the piece, allowing the freedom of a fantasy-type movement, with a sense of cohesion. As well as their structural importance to the movement, Harding also considers these direct representations of the three occasions in *The Tempest* that Ariel sings to his own accompaniment on the harp (43–44).

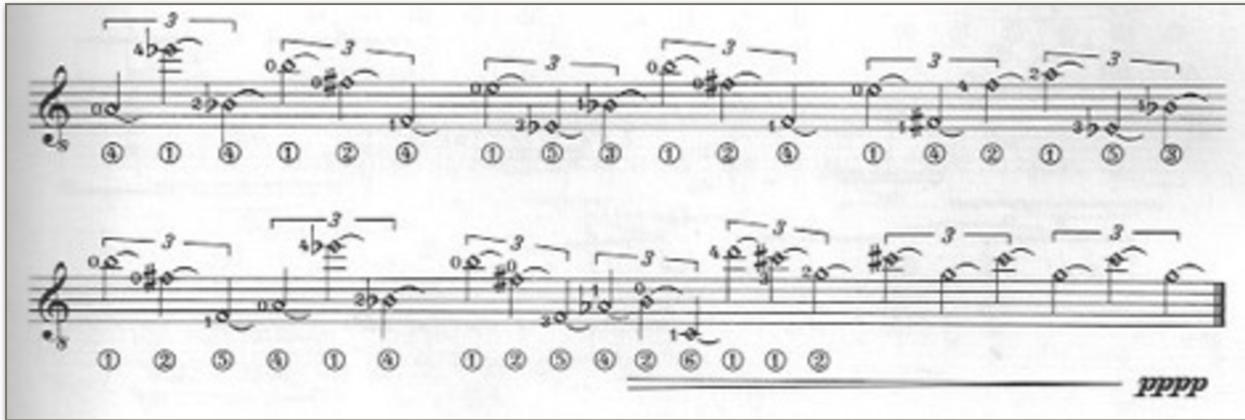


Figure 34: Movement III, lines 46–47

In Renaissance understanding, mystical creatures such as fairies were thought to exist as a construct of the elements. The name Shakespeare chose is an obvious hint as to the character’s origins from the air. Further, whilst the acoustic behaviour of sound was little understood, the transmission of music through the air was revered and was intrinsically connected to the mystical creatures that dwelled therein (Wilson 2011, 128–129). Harding considers these final lines of harmonics, eventually receding to *pppp*, to signify Ariel’s release from the mortal world and ultimate vanishing (Harding 1997, 50).

For the fourth movement, Henze selected the death of Ophelia in *Hamlet* as the focal point. Curiously, this is an event that takes place off-stage, but is described in detail by Gertrude. She conjures an image of Ophelia obliviously wandering to the water’s edge whilst weaving wild flowers, and drowning with seeming calm and inattention to her fate. This movement is in two voices, the upper voice presenting a song-like melody, and the lower forming an undulating accompaniment. Henze has stated that this represents Ophelia singing, as the waves surround and eventually drown her. Indeed, it is not difficult to see the wave-like formations in the accompaniment, irregular and unpredictable as waves against the shoreline would be (54–56). Further-

more, according to Tanenbaum, the frequent use of the *appoggiatura* in the melody is suggestive of Ophelia's grief, which has built up through both the loss of her father and her continued misunderstanding of Hamlet (Schneider 1983, 268).



Figure 35: Movement IV, lines 1–2 (accidentals apply to one note only)

The first of these *appoggiaturas* is ascending, from B flat to C, but generally the descending form is more common. In the first four lines for example, after this initial ascent these melodic figures descend from E flat to D twice, from E natural to E flat, and from F sharp to E. The fifth line then states three recurrent downward steps from C sharp to B. This device is scattered throughout the movement, as the accompaniment swirls underneath.

There is, however, a further possible interpretation of this accompanying voice not considered by Harding or Tanenbaum. Ophelia is seen to play the lute in *Hamlet*, and accompany herself singing. This is her means of giving voice to her feelings, which are otherwise stifled (Wilson 2011, 164–165). The near-continuous arpeggio patterns in this lower voice are not unlike the improvisatory fantasias of lute composers such as John Dowland (1563–1626) — an English contemporary of Shakespeare — or the later Sylvius Leopold Weiss (1687–1750) from

Germany. Whilst I do not dismiss the imagery of the waves — especially considering Henze has been documented commenting as such¹⁹ — it is possible that this serves a dual purpose. By imitating the lute, these arpeggios could represent Ophelia taking the opportunity to express herself in the only way she is able to, and because of the waves that ultimately engulf her, this becomes her final opportunity to do so.

Three characters from *As You Like It* are represented in the fifth movement. Of the three, Touchstone has the most central role in the play; the other two, William and Audrey, are peripheral characters, raised in status in this movement. As discussed in the previous chapter, this movement functions as the scherzo and trio (appropriate given that Touchstone is a clown and so presumably holds at least a partially comedic role in the play) with some elements of a theme and variations. Harding has attributed sections to each of the three characters which, are presumably of his own deduction as he does not cite the composer giving these specifications. However, his very thorough outline of the movement does agree with Tanenbaum's brief remarks, and given this guitarist's working relationship with the composer, Harding's summation is likely accurate (Schneider 1983, 268).

Leading off the movement with this character, Henze expresses Touchstone's sharp tongue with harsh intervals of tritones (A flat and D in the lower voice) and semitones (A flat to G in the upper melodic voice).

¹⁹ Harding has cited a lecture given by Henze with guitarist David Tanenbaum, in New York, 1987 (Harding 1997, 55).

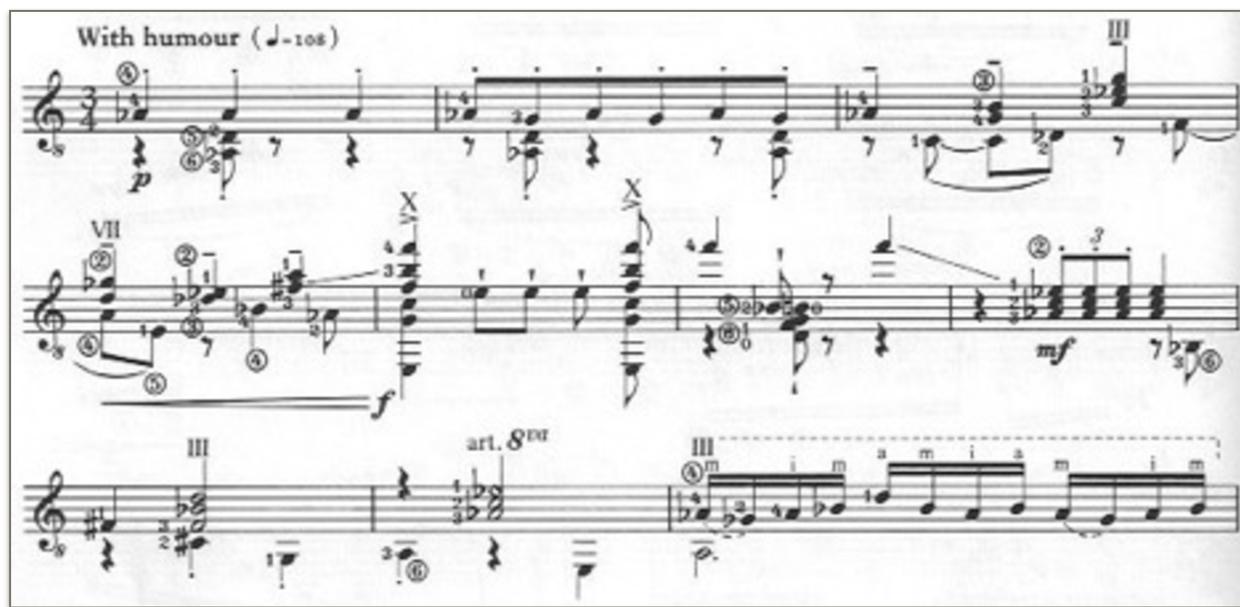


Figure 36: Movement V, b. 1–10

There are also hints of bitonality that suggest his split personality (Harding 1997, 64–66). There is little here that offers a stable tonality, but the A flat triad appears in the melody periodically. This includes bars 7, 9 and 15 to 16, and closing the first section in bars 18 to 19. There is therefore, some sense of revolving around the key of A flat in this first section, yet the chord in bar 9 is accompanied by a bass voice alternating between the open A and E strings, giving a tonic and dominant suggesting of the key of A (major or minor). Bars 15 to 16 also feature a rapid interchange between the A flat major triad and a D triad, containing both the major and minor third (67–68).



Figure 37: Movement V, b. 14–19

This use of bitonality, with A flat supported by the key area of either A or D (major or minor), mirrors the harsh intervals of the opening phrase, with its tritone and semitone. The tritone between A flat and D is the same, but the semitone is inverted: A flat to G in the opening bars, and A flat to A natural in the later bitonal areas. It appears Henze is keen to take advantage of these particularly jarring intervals by any means available to him. To add to this effect, *staccato* and accent marks are scattered liberally throughout this section.

The second section of the scherzo, according to Harding, introduces Audrey, a simple character of the rural underclass. In contrast to the biting clashes of Touchstone’s music, Audrey is represented by a far smoother flow, aided by triplet rhythms and less dissonant harmony, often built on thirds (68–69).



Figure 38: Movement V, b. 20–24

Audrey is followed by William, who is likewise of the countryside, and competes with Touchstone for Audrey’s affection. The minor position he occupies in the play is elevated to offer some competition to Touchstone, at least in terms of duration. This is contrary to the text in which the latter’s sharp wit easily cuts through William’s presence, and is typical of Henze identifying with the underdog characters. William’s music opens with a perfect fifth drone, thought by Harding to represent his posturing for Audrey’s attention. These drone pitches (low E and B) last for five consecutive bars, and continue to make occasional appearances, although they no are no longer sustained in the same manner.

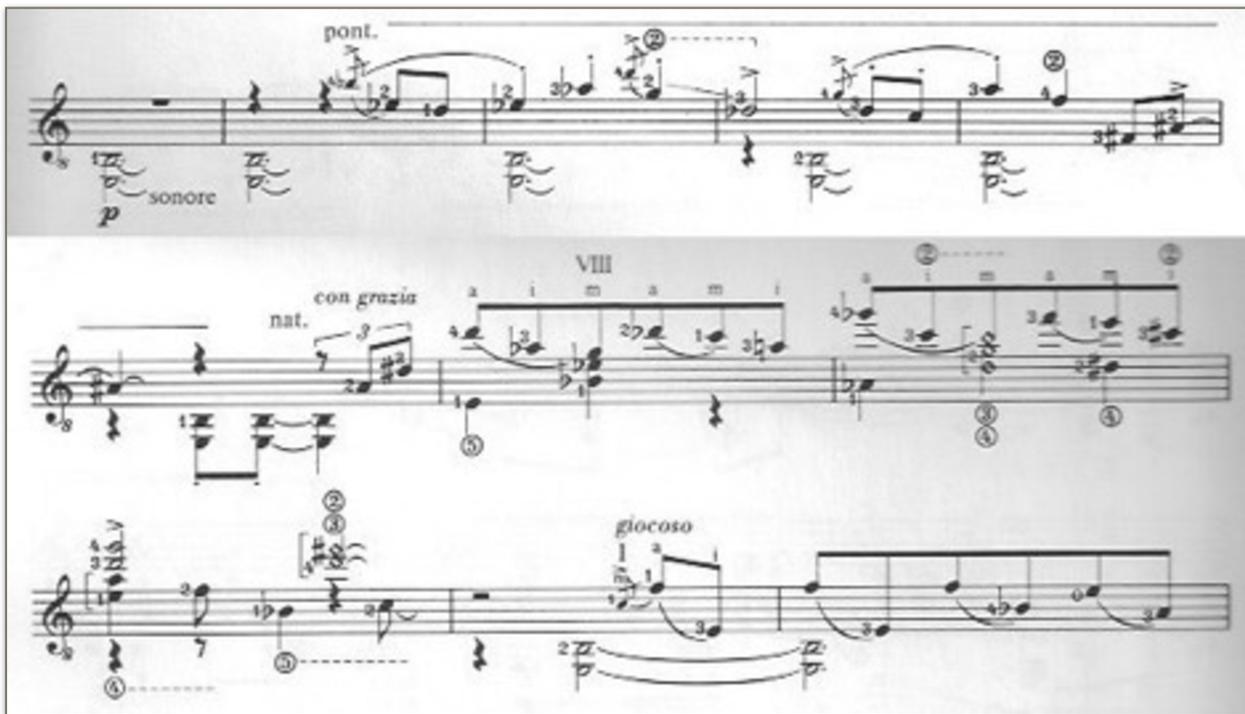


Figure 39: Movement V, b. 36–46

The melody that is heard over the top is initially quite jovial. When the drone ceases, a rising melodic sequence, marked *con grazia* is introduced. Successive phrases are marked alternately with *con grazia* and *giocoso*, musically indicating the variations of the opening phrase. In representing William’s calm demeanour, his music is never allowed to rise above *piano* in dynamics (Harding 1997, 70–71).

The brief trio section mixes up musical material representing all three characters. Henze has stated that the final section of the movement — and longest, undivided by double bar-lines — depicts a fight between the two male characters, bringing to a head the competition for Audrey’s affection. In the play, Touchstone’s quick wit easily overwhelms William’s mild manner and the text includes a substantially larger word count for the former than the latter. The few words that William offers in the scene are mostly polite responses to Touchstone’s probing en-

quiries. In Henze's interpretation, it is clear that Touchstone has won the confrontation, as his material completely dominates, with much more aggression than the teasing, yet harsh opening section (75–76).

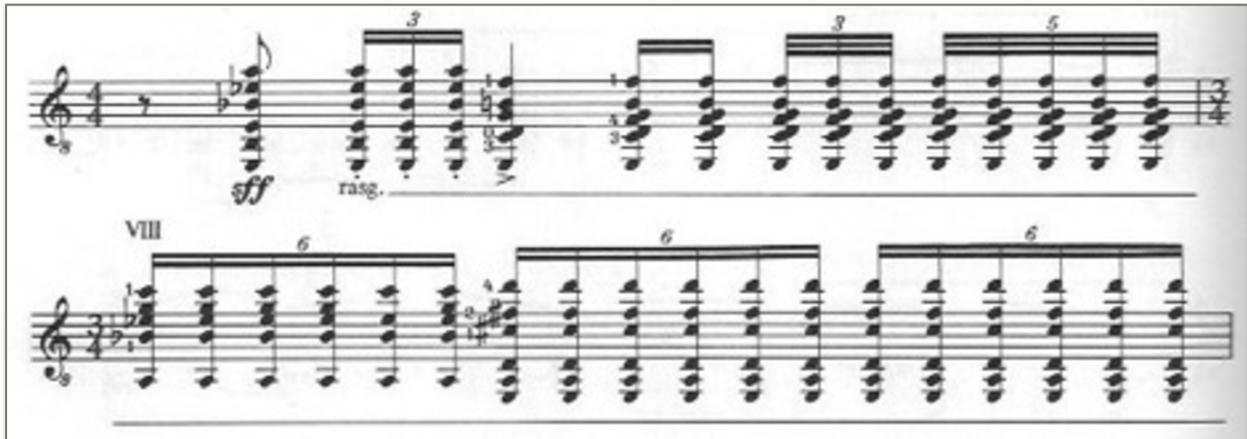


Figure 40: Movement V, b. 76–77

To achieve this ferocity, rapidly strummed *rasgueado* chords are frequent, with *sforzando* and double and triple *forte* marks appearing several times, along with numerous accent marks including a *martello* direction in one instance (bar 85). To conclude the movement, an *accelerando* builds up before eventually fading to *niente*.

According to Harding's understanding, the last movement is arguably something of a misnomer, owing perhaps as much to Puck as it does to Oberon, although only the latter is used for the title. Taken from the play *A Midsummer Night's Dream*, Oberon's role as King of the Fairies permits him certain supernatural powers such as shape-shifting and influence over the weather. He is limited in his means to affect people's behaviour and nature, however. Puck is a fairy that serves under Oberon, but is wont to misbehave and causes a certain amount of difficulty for his master (79–80).

Like the opening movement, which was also based on a monarchical character, this final movement is marked “Majestically.” In contrast to the aggression that introduced Gloucester, however, Oberon is presented with gentle triadic chords. The inner melody presents the notes D to E to F, which are then repeated, continuing to G and then A. The end of Oberon’s first musical moment is marked by a dotted bar-line, the only one in the movement. What follows is an abrupt change, and disrupts the dignified, calm mood of the opening phrase. Although the dynamics remain in the *piano* range, much else is different. The first phrase is mainly eighth notes, whereas the second is mainly sixteenth notes. The first phrase includes a melody that rises stepwise, whereas the second jumps around erratically. The first phrase includes no accidentals and is mainly triadic, whereas the second is highly chromatic and includes much dissonance. Following this, Puck makes himself known with a *forte* run of disjointed thirty-second notes.

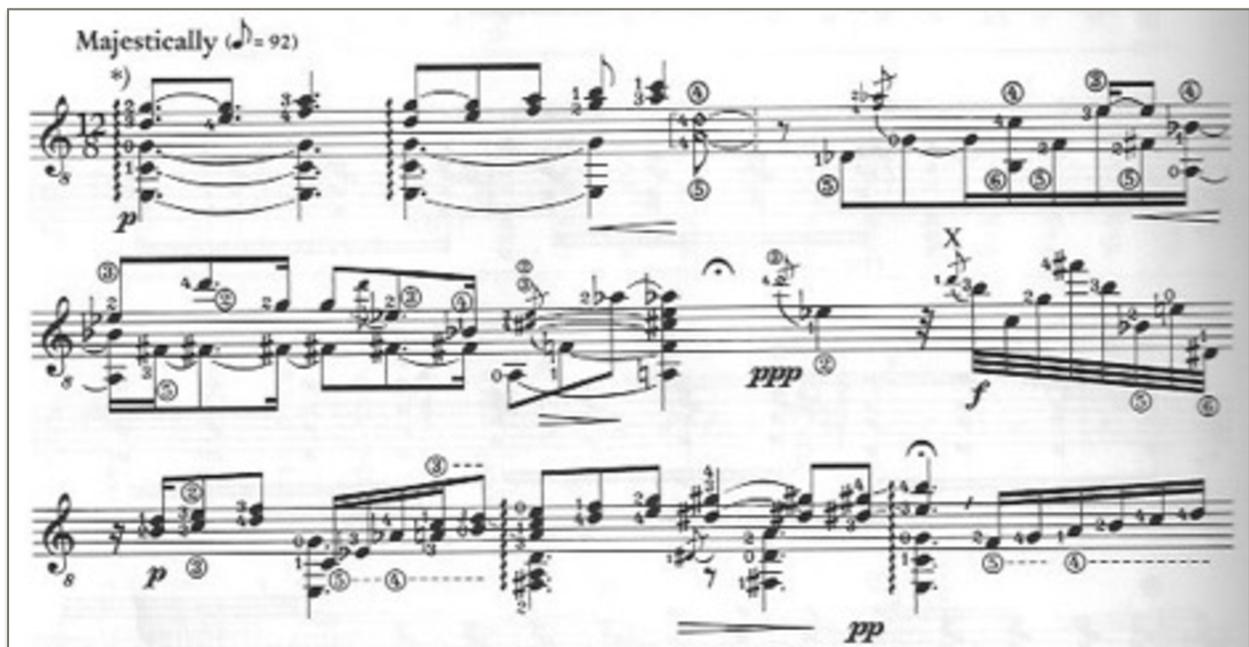


Figure 41: Movement VI, lines 1–3 (accidentals apply to one note only)

Not unlike Ariel's first musical statement, also on thirty-second notes, this musical figure is in the higher register of the instrument. As Puck and Ariel hold a similar status as fairies, it is not surprising that their motifs have common ground, but whereas Ariel's was light and airy, the abruptness of Puck's gives a wholly different impression (Harding 1997, 80–81)

These two themes appear, slightly altered, throughout the movement, usually connected. For example, the ninth line of music is a spread chord with a stepwise rising melodic line representing Oberon, sandwiched between two statements of Puck's thirty-second note motif, with identical notes but very different timbral indications.

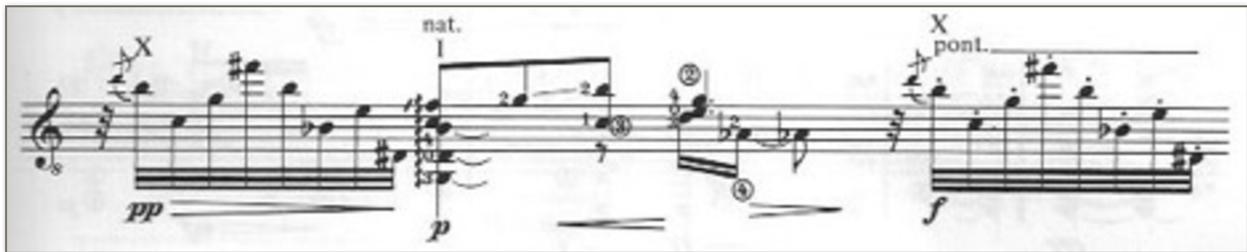


Figure 42: Movement VI, line 9 (accidentals apply to one note only)

A similar event occurs in the nineteenth line, but the melodic content of the thirty-second note runs is now quite different. These means create a sense of rondo structure to the movement, albeit rather loosely (82–83). Much of the material in between these clear references to Oberon and Puck is derived from these themes, but increasingly disguised as the piece progresses. This could perhaps be interpreted as Oberon attempting to carry out or contemplate his schemes, but under the constant distraction of Puck. For example in line 12, there are sustained chords with an initial melodic fragment played in harmonics. This seems to be a reference to the lightly-strummed chords and rising melody of the very beginning of the movement. When the chord arrives at the

G minor triad in the upper register of the instrument, a disruptive sixteenth-note pattern is heard underneath, which in the following line becomes thirty-second notes. Still there is an attempt to maintain a stepwise melody in eighth notes on top, which appears to become increasingly difficult amid the provocation underneath.

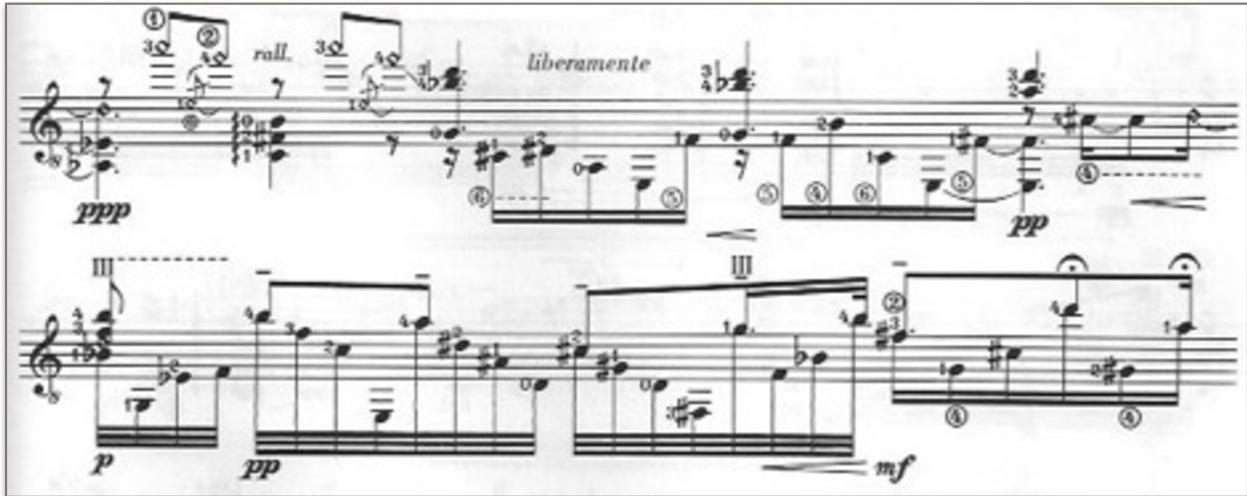


Figure 43: Movement VI, lines 12–13 (accidentals apply to one note only)

In lines 34 to 35, there is another attempt to bring out a melody in eighth notes, but it appears to struggle even more against the erratic scattering of arpeggios underneath it. In this way, it appears Puck is always to cause some interference to Oberon’s thought-process.

A final point of interest in the last movement is the series of harmonic notes approaching the conclusion of the sonata. According to Harding, Henze has stated that these harmonics indicate the re-entry of all the characters presented in the sonata.²⁰ It is likely that each of these pitches is chosen to represent the personalities as they appear in the order listed by the move-

²⁰ Harding does not specify where or when Henze made this claim, but there are references throughout his paper to a lecture given by the composer, with guitarist David Tanenbaum. This is probably the source of this information.

ments. This would render E for Gloucester, F sharp for Romeo, C sharp for Juliet, G for Ariel, D sharp for Ophelia, G sharp for Touchstone, B for Audrey, A for William, and D for Oberon (if repetitions of the same pitch are ignored).



Figure 44: Movement VI, lines 39–40 (accidentals apply to one note only)

Each of these pitches appears at or close to the end of each movement. The percussive section that concludes Gloucester, whilst indicating no pitch, is likely to bring the natural resonance of the guitar’s low E string most prominently. The final chord of “Romeo and Juliet” comprises a C sharp and F sharp, written as one voice. In the harmonics of the final movement, these pitches are written melodically, as a descending fourth reiterating the prominent use of the interval throughout the second movement. The G that concludes Ariel’s movement is sounded an octave lower in the closing movement. The D sharp that represents Ophelia in the last movement is heard as an E flat near the end of the fourth movement. Although not the final pitch played, it is repeated several times towards the movement’s close, and stands out against the B and E natural heard underneath it. Touchstone, who “wins” the fifth movement of three characters, is repre-

sented by G sharp, which is the enharmonic of the A flat triad that concludes the movement. Audrey and William are a little more problematic with their respective pitches, B and A. The B is heard in a chord prior to the A flat that concludes the movement and the note is prominent in Audrey's section of the movement, occurring ten times in two phrases. William's music climaxes on a high A in the penultimate measure, noticeably the highest pitch in the section. The D to represent Oberon is sounded four times in the lines preceding the section of harmonics (Harding 1997, 84–86). Having given every character a grand entrance through the guitar “as if it were a curtain,” they are each given a ghostly farewell through the natural harmonics of the instrument.²¹

Royal Winter Music, the second sonata as a character suite

There is far less written about the second *Royal Winter Music* sonata, but Henze's own preface to the work is quite detailed. This offers some indicators of what aspects of each character inspired him. It is possible to connect some of these points raised with specific musical moments in the score, but much of this remains speculative.

In the second *Royal Winter Music* sonata, three further characters are portrayed. One of these revisits a play already visited in the first sonata — *A Midsummer Night's Dream* — but the others are taken from other sources in Shakespeare's theatrical output. The opening movement represents Sir Andrew Aguecheek, a main character in *Twelfth Night*. In the preface for this

²¹ The use of enharmonics in this section, altering flattened tones to the equivalent sharp pitch, is likely due to greater familiarity guitarists have with the natural harmonics as sharp pitches. The D sharp to represent Ophelia, for example, is sounded as an E flat in the fourth movement. This pitch is a natural harmonic on the second (B) string, at the nineteenth fret. It is far more logical to notate this as a D sharp, as it is the major third of the open string.

work, Henze reveals that the facets of the character that he found the most fascinating were his combination of comic and tragic elements. Aguecheek struggles with the basic ability to survive in the world. This combines with a tenderness and sadness that emanate from him. There is also a strong connection to the natural world, as Henze claims the character carries a floral aroma, and that he also makes his way to become a flower or plant of some sort.²² Henze further posits that perhaps he becomes a thistle or something else quite impossible. It is probable that this portrayal of Aguecheek is as much a portrait of a particularly memorable performance as of Shakespeare's creation. Henze writes: "Perhaps it was not just Shakespeare, but also the producer and actor of Aguecheek who caused me not to miss a single performance of *What You Will* [an alternative name for *Twelfth Night*] at the theatre there [Braunschweig] around 1943"²³ (Henze 1983, preface). As such, these characteristics (and perhaps elements of the story) may be from this particular portrayal that stuck so clearly in the composer's mind, rather than Shakespeare's original play. Regardless, that is the rendition of Aguecheek that Henze worked with in this movement.

The movement is marked as a funeral march, and the signature rhythm that is heard from the very start is never abandoned for too long. Of course the funereal element gives the music a tragic quality, coupled with the melodic motifs that often descend in semitones, perhaps imitative of a mournful sigh. The harmony is very close to being conventionally tonal, but the melodic line appears to just barely disallow conventional expectations. For example, the opening E minor

²² Aguecheek's efforts to transform into a flower are not part of Shakespeare's text. As Henze cited a particular 1943 performance of *Twelfth Night* with enthusiasm, it is probable that this was an aspect of that particular portrayal of the character that was particularly memorable to him.

²³ In the original German text: "Vielleicht war es nicht nur Shakespeare, sondern waren es auch der Regisseur und der Bleichenwang einer Inszenierung von *Was Ihr Wollt* im dortigen Theater, so gegen 1943..."

chord is heard against a C major chord in the first bar. This almost has the effect of an *appoggiatura*, due to the B in the bass at the end of the bar, but the upper C pitch is not released, and in any case, the resolution is in the wrong octave. The second bar makes another attempt at a resolution, but the fall from D to C sharp appears to overshoot the “correct” semitone descent. The third bar finally resolves as the first bar should have, but by now the harmony has changed to an F minor triad, so moving away from the C major triad is again contrary to logic.

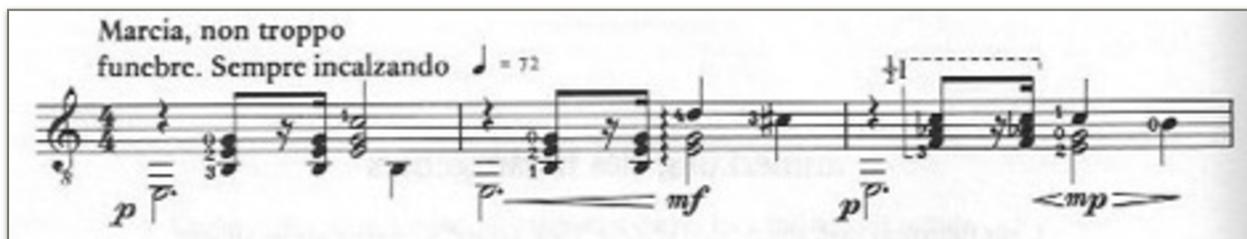


Figure 45: Movement I, b. 1–3 (accidentals apply to one note only)

In this way, this recurrent funeral march theme manages to be both mournful and clumsily humorous. Although this material is never repeated exactly (either at pitch or transposed) on reappearances of this theme, this is the typical manner in which the harmony tends to be approaching conventionality, only to be pushed adrift by a wayward pitch or two.

Interrupting the score from time to time are several brief rapid arpeggio flourishes. These are perhaps a reference to his “long, golden English hair” (Henze 1983, preface). The first of these is in bar 14, but they are scattered throughout the movement. They are always ascending, and tend to arrive at a sustained chord. This could be representative of an innocuous turn of the head that shows off his handsome quality.



Figure 46: Movement I, b. 12–14 (accidentals apply to one note only)

Alternatively, it could simply be another unifying musical feature. It is certainly varied more than the main recurrent theme, but it does breed familiarity in the listener. As these flourishes reappear, they are perhaps able to offer a little grounding to some areas of the score that drift significantly from the funeral march element of the movement.

The other facet that Henze highlights is Aguecheek’s connection to nature, even down to his scent likened to flowers. The frequent use of triplet figures is perhaps a pastoral allusion, as in bars 36 to 37 and also in bar 69, both times in a build-up towards a cadenza.

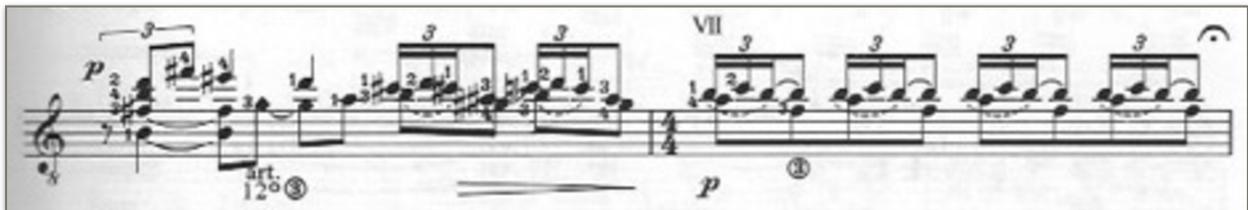


Figure 47: Movement I, b. 36–37 (accidentals apply to one note only)

The second (and far more extensive) of these cadenzas increases in intensity considerably, both with an *accelerando*, and with the dynamics growing from *p* to *fff* within one line of music (the meter having been temporarily abandoned). At the peak of this, there is a run of triplets now in thirty-second notes. This is perhaps Aguecheek’s transformation (either imagined or real) into the flower form he has wished to become. The return of the opening theme suggests that, as with all

things in his life, he has managed this somewhat haphazardly as well, and as Henze posits, has become a thistle or some other undesirable plant variety.



Figure 48: Movement I, cadenza to b.78 (accidentals apply to one note only)

The harmony is quite disorientated in these final lines of music, but with one final turn of the head (arpeggio flourish), the piece arrives at a final chord containing both A minor and F major, suggesting that despite his best efforts, Aguecheek has transformed only minimally.

In “Bottom’s Dream” the listener is provided with a more defined narrative stream to follow. This movement takes its inspiration from *A Midsummer Night’s Dream*, the second piece in

the entire set of *Royal Winter Music* to do so. Henze described the image as one of optimism that all that had encumbered Bottom has finally fallen away. Having been through the trauma of being turned into an ass, he is at last rid of the aches, ills and embarrassments that preoccupied his prior existence. There is also the hope of lying blissfully in Tatiana's arms and so he would prefer not to wake from this dream (Henze 1983, preface).

The free-fantasy style of the composition and the dreamscape inspiration make attributing specifics to the musical features difficult, but the composer appears to be juggling various aspects of the dream he describes simultaneously. Opening with a gentle *Adagietto* pace, the music initially oscillates between two minor third intervals: B flat to D flat, and A to C. The minor third, in various guises, seems to be a recurrent motif that Henze uses with great flexibility. In the first few bars, this creates a serene atmosphere, albeit one that maintains a restless element. It could be imagined that whilst Bottom is sleeping, his mind is active and at times agitated. The expanse outwards that follows is perhaps indicative of his situation when he was transformed into an ass, and comes to rest on a B flat and C sharp, the same minor third interval that began the movement, respelled.



Figure 49: Movement II, b. 1–10 (accidentals apply to one note only)

The following phrases are marked *espressivo*, and feature a melody that appears to be around D major. The harmony, however does little to support this and perhaps indicates many of the struggles from which Bottom is striving to shake himself free whilst imagining the better existence that awaits him.

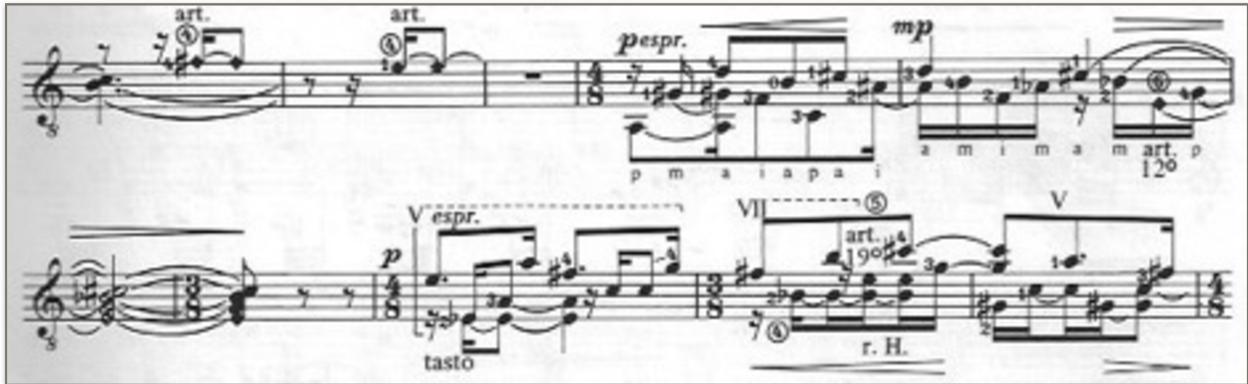


Figure 50: Movement II, b. 11–20 (accidentals apply to one note only)

The section marked *con calore* perhaps represents his affection for Tatiana, as the movement in sixths and gentle contour of the melody, freely moving between eighth notes, triplets and sixteenth notes, generates a feeling of warmth and tenderness.

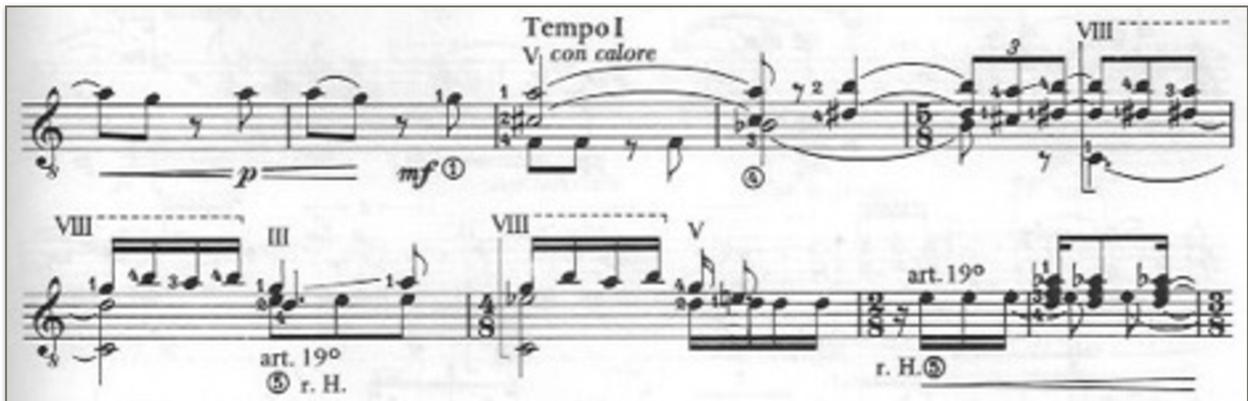


Figure 51: Movement II, b. 42–50 (accidentals apply to one note only)

Generally, although there are moments such as these described, they tend to be fleeting and easily disrupted. Whilst the title appears to offer a logical narrative to the listener, actually the erratic nature of dreams and Henze's representation of this, create a kaleidoscopic array of possible literary allusions.

After two movements of relatively unhurried music, the sonata closes with a representation of Mad Lady Macbeth. Whilst not particularly fast in tempo, its marking of "Fiercely" certainly offers a stark contrast to the prior movements. Like the first movement, this closing piece is as much inspired by a particular portrayal of its namesake as by Shakespeare's creation. In this case, Henze cites Maria Callas in the role, dressed in a long robe with her hair let down. In portraying the insanity of Lady Macbeth, her crazy eyes follow the flickering light of a candle that she holds like a torch, whilst her other hand points a sword towards her breast. A thunderstorm rages outside as she makes her way through the corridors of her cold, dark palace. She talks incoherently, swearing and shouting, yet manages to remain regal. Henze compares her insanity to Ophelia's (portrayed in the first sonata), with which the audience is compelled to sympathise. It is difficult to feel pity for Lady Macbeth; rather listeners (and indeed any guitarist who attempts to play this particular movement) would sooner be drawn to fear and trembling (Henze 1983, preface).

Somewhat like the closing movement of the first sonata, this movement can be viewed as a rather loose rondo form. The motif that emphatically begins the piece recurs throughout, often at the same pitch. The frenzied panic of this motif, heavily accented, likely indicates Lady Macbeth's crazy darting eyes, as they mimic the flickering candlelight.

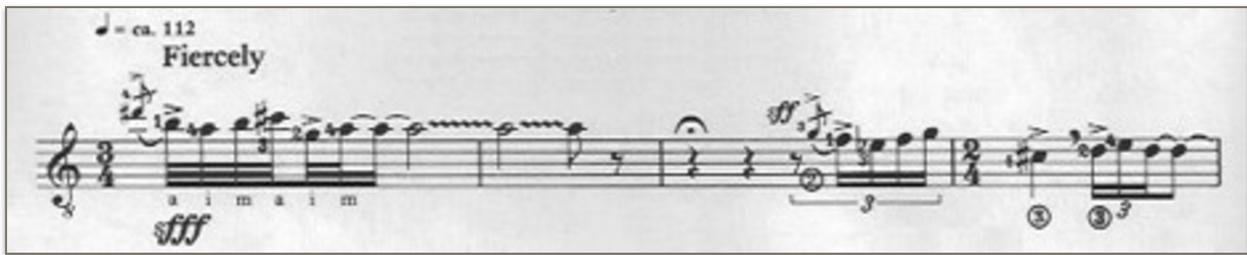


Figure 52: Movement III, b. 1–4 (accidentals apply to one note only)

Bars 33 to 34 (then repeated and extended in bar 35), 74, and 275 to 276 contain this motif in the same register as the original, and in bars 68 to 69 it is transposed down an octave. Bars 138 to 139 contain the same motif, transposed down a minor sixth, and bar 157 moves it down by just a semitone. All of these examples are to be played with different levels of *sforzando* (ranging from *sff* to *sffff*), but there is a single example that differs significantly. In bar 222, this motif appears, raised a semitone from the original statement, to be played *ppp*, and with the further instruction, “weeping.” It appears that most of the time, Henze wishes to inspire fear, but on this one occasion, he was aiming for a little pathos.



Figure 53: Movement III, b. 219–222 (accidentals apply to one note only)

Considering his statement that Lady Macbeth does not elicit sympathy from the audience, this could be viewed as perhaps an attempt to garner pity from the listener that is predetermined to fail.

To bring out the insanity of the character, the musical language is less tonal than the preceding two movements, which generally follow conventional harmony a little more closely than in the first sonata (Schneider 1983, 269). Certainly whilst there are chords that can be understood as conventional triads, there is little logic to their flow or to the melodies that are presented around them. In bars 14 to 22 the chords alternate between C minor and F sharp minor, but the melody seemingly agreeing with the initial C minor tonality, instead appears to settle around the D pitch (bars 18 to 21), implying the Locrian mode.



Figure 54: Movement III, b. 14–21 (accidentals apply to one note only)

This, as one of the few areas that is built upon simple triads, suggests that regular tonality may fight to provide some stability, but is ultimately undermined by the inherent madness.

One of the most memorable episodes in the music is the build-up in the *Allegretto* section of bars 42 to 56 (repeated more ferociously for the conclusion in bars 293 to 312). Rising from *p* to *ffff* across the fifteen bars, the same bar of music is repeated, becoming almost hypnotic in its obsessive rhythmic drive. The use of mostly open strings on the instrument allows a great amount of resonance.



Figure 55: Movement III, b. 42–57 (accidentals apply to one note only)

This, it might be imagined, is Lady Macbeth frantically pacing the halls of the palace, approaching from a distance and arriving with a long sustained chord to announce her anger. The closing section draws this out further, by spreading it out over twenty bars, and by building from *pppp* to *ffff*, with a further *crescendo* indicated after this. Whilst the upper strings remain open, allowing an E minor triad to sound and maintaining a similar level of resonance to the first instance of this idea, the lower strings form an F minor triad, giving a far greater dissonance to the consequent sustained chord at the end.

As for the regal aspect of Lady Macbeth's character that Henze claims she is still able to grasp despite her madness, the *Gavotta* sections (bars 75 to 90 and 142 to 151) are perhaps indicative of her striving to maintain the decorum of her position through courtly dance. As with the sections of loose tonality which struggle to offer stability, so too the rhythm only hints at the regularity expected of a dance. Whilst there are fleeting moments of clearly emphasising the

beat, it fails to take hold for any extended length of time. The first few bars (75–78) seem to approach metric regularity but fail to emphasise the downbeat. The continuation from bar 79 offers a little more rhythmic stability, but the frequent use of ties over the first beat of the bar make this somewhat sporadic.



Figure 56: Movement III, b. 74–86 (accidentals apply to one note only)

In this way, although there appears to be a hint at her royal position, this does little to detract from her insanity. A similar section with a waltz or gigue-like feel in bars 167 to 180 is perhaps intended to have the same effect, although there is no specific dance indication this time. Once again, there is a sense of rhythmic logic, but after bar 171 it is only loosely felt, before a brief and distant reminder in bars 177 to 180.



Figure 57: Movement III, b. 165–180 (accidentals apply to one note only)

Generally, this is a musical portrait of the erratic and unpredictable. The extremes of dynamics, with markings of *fff* and the like appearing frequently, coupled with instructions such as “With noise vulgarity” (bar 211) and the scarcely stable harmony make for a piece that does indeed evoke terror in listener and performer alike. Whilst there is no summation of the whole sonata, as there was towards the end of the first sonata, the heavy emphasis of the final section here recalls the percussive section that closed the first movement of the entire set. Both Gloucester and Lady Macbeth have elements of madness and anger, coupled with royal prestige that make for some demonstrably terrifying portrayals. This gives the whole cycle of *Royal Winter Music* a fitting sense of connection from beginning to end.

Conclusion

The first sonata tackles the model of the genre that had been bolstered and enlarged by Beethoven and updated by Boulez in the new musical environment of the twentieth century. Traditional structures — sonata form, scherzo and trio, theme and variations, rondo — are embraced but treated with the flexibility that the musical atmosphere of the 1970s permitted. Henze manages to transcend the limitations that these models would typically place on the composer, utilising with great precision the array of timbres, articulation and dynamics that the guitar can offer. This great spectrum of sounds, coupled with the expanded sonata formula brings the guitar about as close to a full symphonic quality as might be possible.

The second sonata, whilst shorter in length, continues with the precision of timbral notation and so maintains the symphonic quality in its three movements. Although none of the movements are constructed in sonata form, the final movement is (a version of) a rondo, and the contrast of moods adheres to the expectations of the sonata, or indeed symphony. On first appearances, three movements (instead of six) make it a more obvious fit for the sonata genre, but the atypical structure of the first two movements — the third movement less so — show Henze stretching the boundaries of the genre a little further than in the first sonata.

In considering the position of these two sonatas as character pieces, they again stand apart from previous contributions of that genre. As possibly the only extensive such set for the guitar from the nineteenth century, Mertz's *Bardenklänge* emphasises the intimacy of storytelling and the instrument for which he wrote. This works effectively for the composer's aims, but stands in contrast to Segovia's goal to bring the guitar to the larger concert venues and is per-

haps one of the reasons Mertz was largely ignored by this leading figure of the guitar in the following century. Amongst the repertoire written for Segovia, few have literary connections. Castelnuovo-Tedesco's *Escarramán* evocatively utilises elements of traditional dances to portray aspects of the titular character's life. Whilst there are no extended techniques, and timbral considerations²⁴ are largely left to the discretion of the performer, the suite was clearly intended for the bolder instrument that Segovia was playing and written with the concert stage in mind.

Once again, Henze's writing for his chosen characters uses the guitar in a way that extends beyond the imagery of these earlier examples. Whilst his precision in notating articulation and timbre (as already mentioned) lends itself to the symphonic quality of the sonatas, it could equally lend itself to the theatrical element of the character portrayals. Whereas Mertz and Tedesco were intent on translating stories and poetry into music — characters and events that only come to life in the mind of the reader — Henze of course was translating live characters or dramatic action that takes place in front of the audience into sound. This is a concept through which the guitar is forced outside of its natural intimate setting and for which the composer must take advantage of every facet of the instrument.

Previous works with extra-musical inspiration tend to have at least some emphasis on purely musical designations as well. *Escarramán* of course functions as a suite of dance movements, even if the expected rhythmic inflections are only fleetingly evident. The bulk of the titles

²⁴ A range of timbral changes can be effected by the guitarist's right hand. Usually, he/she will play roughly over the sound-hole on the instrument. By moving closer to the bridge (*ponticello*), where the strings attach to the body of the instrument, a thinner, slightly piercing sound can be achieved. By moving in the opposite direction and playing over the fingerboard to the left of the sound-hole (*tasto*) a warmer, sweeter tone can be achieved. In most cases these decisions are left to the performer, but it is not unusual (particularly in repertoire of the twentieth century and beyond) for instructions to be well-considered by the composer.

in *Bardenklänge* are poetic in style, even if not directly drawn from a literary source, but the scattering of purely musical titles such as Etude, Tarantella, and Capriccio are equally at home amongst the set. Coste's descriptive titles in his set of *Les Souvenirs* are usually coupled with musical descriptors, and so seem to continue the stream of repertoire from Sor (Coste's teacher), whilst looking forward to the nineteenth century. *Royal Winter Music* manages to embrace this trend by functioning completely as sonatas, or equally as a collection of character pieces. It also takes on the challenging task of bringing a segment of the guitar repertoire, not only into line with some of the most challenging piano works (by Beethoven and Boulez), but also with musical worlds of symphony and theatre.

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