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# BEETHOVEN 贝多芬

Concerto No.3 for Piano and Orchestra in C minor Op.37



Op.37







# Ludwig van Beethoven

### Concerto No.3 for Piano and Orchestra

in C minor / c-Moll Op.37

Edited by / Herausgegeben von Richard Clarke

### 路徳维希・凡・贝多芬

c 小调第三钢琴协奏曲 Op.37

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#### 图书在版编目(CIP)数据

贝多芬《c小调第三钢琴协奏曲》: 0p.37 / (德)贝多芬(Beethoven, L. V.)作曲. —长沙: 湖南文艺出版社, 2007.10

(奥伊伦堡 CD+总谱)

ISBN 978 - 7 - 5404 - 3999 - 6

I.贝··· II.贝··· II.钢琴 - 协奏曲 - 总谱 - 德国 - 近代 IV. J657.413

中国版本图书馆 CIP 数据核字(2007)第 166139 号

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责任编辑: 孙佳 王雨 湖南文艺出版社出版、发行 (长沙市雨花区东二环一段 508 号 邮编: 410014)

网址: www.hnwy.net/music 湖南省新华书店经销 湖南新华精品印务有限公司印刷

> 2008年1月第1版第1次印刷 开本: 970×680mm 1/16 印张: 8

印数: 1-2,000

ISBN 978-7-5404-3999-6 定价: 34.00元(含CD)

音乐部邮购电话: 0731-5983102

音乐部传真: 0731-5983016

联系人: 沈冰

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### **Preface**

Composed: 1800, Vienna

First performance: 5 April 1803, Theater an der Wien;

Ludwig van Beethoven, piano

Original publisher: Kunst- und Industriekontor, Vienna, 1804 (parts only);

full score, Ph. Fr. Dunst, 1834

Instrumentation: 2 Flutes, 2 Oboes, 2 Clarinets, 2 Bassoons -

2 Horns, 2 Trumpets - Timpani - Strings

Duration: ca. 35 minutes

Seven concertos by Beethoven appeared in print in the composer's lifetime: five for piano, one for violin, plus the 'Triple Concerto' for violin, cello and piano. In addition he is believed to have completed three earlier ones – for piano, violin and oboe respectively – which are either wholly or partly lost. There are also substantial sketches for another Triple Concerto and a Sixth Piano Concerto. However only one of these works is in a minor key: the Third Piano Concerto, composed during 1800–3. It is, moreover, in C minor, often described as Beethoven's 'heroic' or 'Promethean' key. That Beethoven had a marked predilection for C minor is clear enough if one looks at a list of the works he produced in the decade leading up this concerto: there are two piano sonatas in C minor (Op. 10, No. 1, and Op. 13, the *Pathétique*), a string quartet (Op. 18, No. 4), a piano trio (Op. 1, No. 3) and a string trio (Op. 9, No. 3).

The Third Piano Concerto, however, was Beethoven's first orchestral work in C minor, and that in itself can be taken as a sign of the importance he attached to it. When he began working on the concerto Beethoven probably hoped to be able to play it at his benefit concert on 2 April 1800 in Vienna – the concert which saw the premiere of his recently-completed Symphony No. 1 – but it appears not to have been finished in time. Beethoven continued to work on the concerto for another two years: the first performance took place on 5 April 1803, with Beethoven himself as soloist. In fact he was evidently planning the concerto in his mind some time before 1800. An entry in his sketchbook, made during his journey to Berlin in 1796, reads 'To the Concerto in C minor kettledrum in the cadenza' – an idea which eventually came to fruition in the hushed piano-timpani exchanges after the concerto's first movement solo cadenza (I: bars 481–8).

So, all in all, work on the Third Piano Concerto appears to have occupied Beethoven, consciously or unconsciously, for at least seven years. Given the grandeur and originality of the work's conception, plus the fact that this was to be the first big public demonstration of his 'C minor mode', it is not surprising that he should have taken such pains to get it right.

Almost certainly, though, there was another factor weighing on Beethoven's mind. When the 22-year-old Beethoven set off for Vienna from his native Bonn in 1792, his patron Count Waldstein made the following entry in Beethoven's personal album:

'Dear Beethoven. You are going to Vienna in fulfilment of your long-frustrated wishes. The Genius of Mozart is still mourning and weeping the death of her pupil. [Mozart had died in December 1791.] She has found a refuge but no occupation with the inexhaustible Haydn; through him she wishes to form a union with another. With the help of assiduous labour you shall receive the spirit of Mozart from Haydn's hands.'

One work of Mozart that had made a particularly powerful impression on the young Beethoven was the Piano Concerto No. 24 in C minor, K491. The composer J. B. Cramer recalled Beethoven's excitement after a performance of the Mozart concerto at the Augarten. Vienna, in 1799, the year before he began work on his own C minor Concerto: 'Cramer. Cramer! We shall never be able to do anything like that!' According to Cramer, Beethoven singled out the sighing chromatic phrase in the 6/8 coda of Mozart's finale (K491, III: bars 241-2ff.), a striking echo of which can be heard in the finale of his own Appassionata Sonata (Op. 57, III: bars 86-89). The opening theme of Mozart's concerto also casts an unmistakable shadow over the opening of Beethoven's Piano Trio Op. 1 No. 3, composed in 1794-5, so the Augarten concert clearly was not Beethoven's first encounter with Mozart's masterpiece. Yet the debt to Mozart's K491 is if anything still more obvious in the first movement of Beethoven's Third Piano Concerto. Like Mozart's K491, Beethoven's concerto begins with a theme in octaves, piano (strings alone in Beethoven, strings plus bassoons in Mozart); moreover the first two pitches - C and E flat - are identical. Then in the remarkable piano-timpani exchanges noted above, the soloist's rippling semiquaver figures recall the similar piano figurations (punctuated by piano trumpets and timpani) in the coda of Mozart's opening movement.

In such passages it is hard to resist the impression that Beethoven is fully conscious of himself as the inheritor of 'the spirit of Mozart', and presumably of the responsibility that entailed. However Beethoven is never guilty of mere imitation in his own C minor Concerto, and in more general structural terms the Third Piano Concerto follows a very different course from any of Mozart's concertos. One major difference in approach can be found in the first movement's orchestral exposition, before the piano's arresting first solo entry in bar 111. In his later piano concertos Mozart's orchestral expositions present some, or all, of the first major themes, all more or less securely in the home key. Beethoven's orchestral introduction in Op. 37 is not only of substantial length (110 bars), but also contains two dramatic modulations. The appearance of the second main theme in E flat major (bar 50ff.) is preceded by a long preparation on the dominant of E flat minor (bars 36–48), thus reinforcing the move towards the new key. It is only at bar 61 that the harmony swerves magically back to C – only now it is C major, the move underlined by trumpets and drums. The mode remains uncertain – veering between the tonic major and minor – until bar 85.

Beethoven had already included arresting feints towards new keys in the orchestral introductions of his first and second piano concertos, but here the move is more emphatic – more

in keeping with the kind of dramatized modulation one encounters in his symphonic first movements. It has been argued by some, most famously by Tovey in his *Essays in Musical Analysis*, that this was a mistake on Beethoven's part: 'This is sheer symphonic exposition; it rouses no expectation of the entry of a solo instrument, and [...] leaves nothing essential for the piano when its time comes'. In other words, in a true concerto it is up to the soloist to inaugurate dramatic tonal moves; having the orchestra do so before the pianist enters is stealing too much of his thunder.

This however begs the question why Beethoven's Third Piano Concerto has continued to be so popular with soloists and audiences alike, not to mention why a composer like Brahms one of the most thoughtful of 19th-century composers when it came to matters of structure – should have been inspired to imitate this 'symphonic' attitude to tonality in the orchestral exposition of his own First Piano Concerto in D minor (1854-8). It is true that Beethoven never repeated this experiment in any of his later concertos, but that is not in itself evidence that he reached the same conclusion as Tovey. In any case, Beethoven does leave plenty for the soloist to do in dramatic-architectural terms. Another striking feature of the Third Piano Concerto's opening orchestral exposition is Beethoven's use of silence, notably in bars 1-23. Whatever Tovey may allege, this does create an air of expectancy, only partly allayed by the more continuous nature of the rest of the exposition, and it is further reinforced by the use of rests at the end of the concluding orchestral tutti (bars 109-110). The piano's powerful first entry is similarly punctuated by rests, while the subsequent three-octave unison restatement of the concerto's first theme suggests that the soloist is attempting to present himself as an equal contender to the orchestra. But the piano's version of the theme's second phrase (bars 118-121) is melodically embellished, and leads smoothly into the next phrase, also elegantly decorated. In the expanded version of the exposition that follows, the soloist can be seen as striving to bring a lyrical continuity to ideas which previously were tersely discrete.

Another 'essential' function left to the soloist in the first movement of the Third Piano Concerto is one that might be called 'formal punctuation'. The stirring rising scales of the piano's first entry return at two key points in the structure: they herald the beginning of the development section at bars 249–252, again after a long orchestral tutti, and, unbroken by rests this time, they bring about the final reinforcement of the tonic (bars 503–5). Significantly, they do not appear in the solo cadenza, however suitable they may be for virtuoso development at this point. Incidentally, the piano's modulations in the first phase of the cadenza (bars 417–433) take it much further from the tonic C minor than at any stage in the opening orchestral exposition.

Still more unusual tonal adventures are initiated by the soloist later in the concerto. It is the piano, unaccompanied, which begins the *Largo* slow movement in the key of E major – a tonality so remote from C minor that it can still create an effect of surprise even today. This time Beethoven may have had a Haydn model in mind: Haydn's String Quartet Op. 74 No. 3 in G minor also has a *Largo* slow movement in E major, producing a similarly startling effect in context. Mozart generally avoided such extreme tonal contrasts between movements in his orchestral and chamber works. But Beethoven's intensely expressive recollection of the first movement's C tonality at the climax of the *Largo*'s opening melody (bar 11) – with a dislocat-

ing melodic leap of a tenth in the right hand and quasi-tremolando tenths in the left – is an entirely personal stroke. So too is the piano's 'reinterpretation' of its repeated A flats as G sharps at bar 261 of the finale, leading to a dreamlike recollection of the slow movement's E major, the romantic fantastical effect underlined by the marking *con Ped*. It is also the piano, again unaccompanied, which achieves the concerto's final clinching move from tragic C minor to joyous, even comedic C major at the beginning of the *Presto* coda, in the process turning the finale's opening G-A flat quavers to a brighter, major-inflected G sharp-A – this after a spectacular protracted solo arabesque which takes in almost the entire range of the piano as Beethoven knew it in 1803.

Other examples of Beethoven's imaginative daring in his piano writing can be found on page after page of this score. Note, for example, the exquisite flowing first inversion triads in bars 156–9 of the first movement: the *legato* three-octave semiquavers passed between the hands in the development (I: bars 295–306); or the liquid multiple trills, with imitations based on the first theme in both hands, at the end of the cadenza (I: bar 470–6) – an effect that looks forward to the quietly ecstatic closing moments of Beethoven's last piano sonata, Op. 111, and poses a greater technical challenge for the soloist than any of the cascading arpeggios in the cadenza's first section. In such passages, Beethoven steps into territory barely visited in the piano works of Mozart and Haydn. Just as remarkable, in a different kind of way, is the cadenza of the *Largo*: a single unaccompanied line for the right hand, florid at first, but growing increasingly vocal in style, and marked *sempre con gran espressione* ('always with great expression') – an effect like that later achieved by Schumann in the piano recitative of his 'Der Dichter spricht' ('The Poet Speaks') from *Kinderszenen*. In such passages it is Beethoven the fully-fledged romantic virtuoso-poet, rather than the inheritor of the 'spirit of Mozart', who stands centre-stage.

Stephen Johnson

### 前言

创作时间与地点:1800年,维也纳

首演:1803年4月5日,维也纳剧院,贝多芬担任钢琴独奏

首次出版: 艺术与工业署, 维也纳, 1804年(只有分谱); 总谱, Ph. Fr. 顿斯特, 1834年

乐队编制:2长笛,2双簧管,2单簧管,2大管-2圆号,2小号-定音鼓-弦乐器

演奏时间:约35分钟

贝多芬生前出版了七首协奏曲:五首钢琴协奏曲,一首小提琴协奏曲,外加为小提琴、大提琴和钢琴而写的《三重协奏曲》。除此之外,据信他早年还完成过三首协奏曲——分别为钢琴、小提琴和双簧管而作,但这些或已部分遗失或已全部遗失。他还留下了大量草稿,要创作另一首三重协奏曲和第六钢琴协奏曲。不过,这些作品当中只有一首采用了小调,这便是 1800—1803 年间完成的《c 小调第三钢琴协奏曲》,而且它采用的还是常常被形容为贝多芬的"英雄"或"普罗米修斯"调性的 c 小调。贝多芬对 c 小调情有独钟是显而易见的,我们只要翻一翻他在这首协奏曲完成前十年所创作的作品目录就能看出这一点:采用 c 小调创作的钢琴奏鸣曲有两首(Op.10 之一以及 Op.13《悲怆》),弦乐四重奏一首(Op.18 之四),钢琴三重奏一首(Op.1 之三),以及弦乐三重奏一首(Op.9 之三)。

《c 小调第三钢琴协奏曲》是贝多芬第一首采用了 c 小调的管弦乐作品,而这本身可以被视作一个标志,证明他多么重视这首作品。当开始写这首协奏曲时,贝多芬可能希望自己能够在 1800 年 4 月 2 日自己的慈善音乐会上亲自弹奏它——在这场音乐会上首演了他新近完成的《第一交响曲》——但他似乎没有能及时完成它。这首协奏曲贝多芬又继续写了两年,最后在 1803 年 4 月 5 日举行了首演,并自己来担任钢琴独奏。事实上,他显然早在 1800 年前就已经在脑海里构思这首协奏曲了。他的草稿本上有一条记录,是他 1796年造访柏林时写下的:"c 小调协奏曲华彩段中的定音鼓。"——这一乐思最终在这首协奏曲第一乐章独奏华彩段之后钢琴和定音鼓之间轻盈的应答中得到了实现。

总之,《c 小调第三钢琴协奏曲》有意或无意地总共占去了贝多芬至少七年的时间。考虑到这首作品构思上的宏大与创新,再加上这也是他第一次公开以大曲式展示他的"c 小调调式",他费了这么多心血来确保它成功也就不足为奇了。不过,几乎可以肯定,还有一

个因素压在贝多芬的心头。当二十二岁的贝多芬于 1792 年离开故乡波恩前往维也纳时,他的资助人华尔斯坦伯爵在贝多芬的私人日记中写下了这段话:

"亲爱的贝多芬,你将去维也纳实现你长久以来一直无法实现的愿望。莫扎特的守护神仍然在哀悼,仍然在为她学生的去世而哭泣(莫扎特已于 1791 年 12 月去世)。她已经在不知疲倦的海顿身上找到了庇护所,却没有在他身上找到发挥的余地;她希望能通过他与另一位天才合二为一。借助于刻苦辛劳,你将从海顿的手中接过莫扎特的灵魂。"

给年轻的贝多芬留下特别深刻的印象的一部莫扎特的作品是《c 小调第二十四钢琴协奏曲》K491。作曲家 J.B.克拉默曾经回忆过贝多芬 1799 年在维也纳的奥加腾演奏完莫扎特这首协奏曲后激动的心情,这恰好是他开始写作他自己的《c 小调第三钢琴协奏曲》的前一年:"克拉默,克拉默,我们永远写不出这样的杰作!"据克拉默说,贝多芬特别举出了莫扎特作品末乐章 6/8 尾声中叹息般的半音乐句(K491, III: 第 241–2ff 小节),我们可以在他自己创作的《"热情"奏鸣曲》的末乐章中听到这段音乐给人印象深刻的回应(Op.57, III: 第 86–89 小节)。莫扎特协奏曲的开始主题也毫无疑问地在贝多芬于 1794—1795 年间创作的《钢琴三重奏》(Op.1 之三)的开始处投下了阴影,因此显然不是在奥加腾音乐会贝多芬第一次接触莫扎特的这首杰作。不过,如果说有影响的话,那么莫扎特 K491 的影响在贝多芬《c 小调第三钢琴协奏曲》的第一乐章中更为明显。像莫扎特的 K491,贝多芬的协奏曲也以一个八度主题开始,力度为 p (贝多芬的协奏曲中只使用了弦乐器,而莫扎特的协奏曲中除了弦乐器外还使用了大管),而且最初的两个音高——C 和降 E——完全相同。随后,在上文提到过的钢琴和定音鼓之间出色的应答中,独奏者起伏的十六分音符音型也使人联想起莫扎特那首作品第一乐章尾声中相似的音型(被 p 力度的小号和定音鼓打断)。

在这些乐句中,我们很难消除这样一种印象,即贝多芬完全意识到自己就是"莫扎特灵魂"的继承者,并且可能也意识到了相应的责任。不过,贝多芬从来没有在他的《c小调协奏曲》中一味地模仿,他的《第三协奏曲》在整体结构上走了一条与莫扎特任何协奏曲都截然不同的道路。其中一个主要的区别便是第一乐章中的乐队呈示部,独奏声部引人注目的第一次进入到第111小节才出现。在他的后期钢琴协奏曲中,莫扎特的乐队呈示部几乎全部采用本调来呈示第一主部主题的一部分或全部。贝多芬在 Op.37 中的乐队引子不仅相当长(一百一十小节),而且包含了两个戏剧性的转调。降 E 大调第二主题(第50小节起)出现前还有一段很长的降 E 小调属调做铺垫(第36—48小节),从而巩固转为新调的过程。和声只是在第61小节才神奇地转回到 C 调上——但现在是 C 大调,这一转调过程由小号和定音鼓完成。这里的调式有些不确定,一直在主音的大调和小调之间徘徊,而且要

#### 一直延续到第85小节。

贝多芬已经在第一和第二钢琴协奏曲的乐队引子中转为新调处使用了一些引人入胜的伪装,但这里的转调更加突出——更接近于人们在他的交响曲第一乐章中所见到的那种戏剧化的转调。有些评论家认为这是贝多芬的一个错误,最著名的便是托维<sup>①</sup>在其《音乐分析论文集》中的评论:"这是纯粹的交响呈示部,它激发不起任何对独奏乐器进入的期待,而且……当钢琴真正进入时,它已经没有了任何重要的东西。"换句话说,一首真正的协奏曲总是由独奏声部奏出戏剧性的主调变化;让乐队在钢琴家进入前就这样做简直是釜底抽薪。

但是,这又带来了一个问题:为什么贝多芬的《c 小调第三钢琴协奏曲》一直深受钢琴家和听众们的喜爱,更不用提为什么像勃拉姆斯这样的作曲家——19 世纪在作品结构方面最有创见的作曲家之———会受其启发,在他自己的《d 小调第一钢琴协奏曲》(1854—1858)的乐队呈示部中模仿这种"交响性的"调性处理手法。的确,贝多芬在他后来创作的协奏曲中再也没有重复这种尝试,但这本身并不能证明他得出了与托维相同的结论。不管怎么说,从戏剧性——结构性的角度而言,贝多芬确实给独奏者留下了许多空间。《c小调第三钢琴协奏曲》开始处的乐队呈示部的另一个显著特点是贝多芬对休止的使用,尤其是第1—23 小节。无论托维怎么解释,这的确制造了一种期盼的气氛,只是部分被呈示部其余部分更加连贯的特性所缓解,而且这又因为呈示部结束处乐队全奏(第109—110 小节)后的休止而得到进一步的加强。钢琴强有力的第一次进入同样被休止打断,而此后出现的这首协奏曲第一主题的三个八度齐奏再现,暗示着独奏者在企图呈现自己为乐队平等的竞争者。但是钢琴奏出的主题的第二乐句(第118—121 小节)在旋律上有了一些装饰处理,并且平稳地过渡到了下一个同样优美地装饰过的乐句中。在紧跟其后出现的扩展呈示部中,独奏声部可以被视作在努力给前面简短出现的乐思带来一种抒情的延续。

《c 小调第三钢琴协奏曲》第一乐章中留给独奏者的另一个"重要"功能是可以被称做"曲式标点"的作用。钢琴第一次进入时激动人心的上行音阶在结构中两个关键的地方再次出现:它们在第 249—252 小节宣告着展开部的开始,而且又是在很长的乐队全奏之后,然而这次没有被休止中断就带来了主调最后的加强(第 503—505 小节)。非常重要的是,不管它们在这地方多么适合炫技式的展开,它们都没有出现在独奏声部的华彩段中。附带说一下,华彩段(第 417—433 小节)第一阶段中的各种钢琴转调比开始处乐队呈示部中的任何阶段都更远离 c 小调。

① 托维(1875-1940):英国钢琴家、作曲家、作家,以6卷本的《音乐分析论文集》著称。

更非同寻常的调性尝试由独奏声部在协奏曲的后部开始进行。"广板"慢乐章以无伴奏的钢琴独奏开始,而且采用了 E 大调——这个调性与 c 小调的关系非常之远,即使在今天也仍然能产生惊人的效果。贝多芬这次可能在心中想着要以海顿为榜样:海顿的《g 小调弦乐四重奏》Op.74 之三中的慢乐章"广板"同样采用了 E 大调,也同样产生了类似的惊人效果。莫扎特在他的管弦乐和室内乐作品中通常总是避开这种乐章与乐章之间极端的调性对比。但是贝多芬在"广板"乐章开始旋律的高潮处(第 11 小节)极富表情的第一乐章 C 调性的再现——右手一个突如其来的十度旋律跳跃和左手类似震音的十度——则完全是他的个人手法。同样的还有,钢琴在末乐章第 261 小节处将反复的降 A 当作升 G 而进行的"重新演绎",将作品引向一个对慢乐章 E 大调的梦幻般的回忆,而 con Ped 记号则更加突出了作品中的浪漫主义幻想般的效果。最终在"急板"尾声开始处将整首协奏曲从带悲剧色彩的 c 小调转为欢快甚至带喜剧色彩的 C 大调的仍然是钢琴,而且再次为无伴奏;在这个过程中,钢琴将末乐章开始处的 G—降 A 八分音符变成了更加明亮、受大调影响的升 G—A——这出现在独奏声部延长的阿拉伯风格曲之后,这段辉煌的阿拉伯风格曲几乎覆盖了贝多芬在 1803 年所知的钢琴的整个音域。

我们可以在乐谱的每一页上发现贝多芬在他的钢琴创作中富有想象力的大胆处理的其他例子,例如第一乐章中第 156—159 小节中极其流畅的三和弦第一转位,展开部中左右手之间交替奏出的 legato 跨三个八度的十六分音符(I:第 295—306 小节),华彩段结束处流畅的多个颤音,双手根据第一主题进行的模仿(I:第 470—476 小节)——这种效果最终将化为贝多芬最后一首钢琴奏鸣曲(Op.111)中宁静但狂喜般的结束乐段,给独奏者提出的技术上的挑战要比华彩段第一乐段中任何急速下行的琶音都更大。在这些乐段中,贝多芬进入了莫扎特和海顿在他们的钢琴作品中几乎从未涉足的领域。同样杰出但又截然不同的是"广板"乐章中的华彩段:右手弹奏出一条无伴奏的旋律,开始时非常绚丽,但逐渐地越来越具有声乐的风格,而且标有 sempre con gran espressione (总是极富表情)的记号——这很像舒曼后来在其《童年情景》之《诗人讲的话》中钢琴宣叙调所达到的效果。在这些乐段中,站到中央舞台上的贝多芬已经不再是"莫扎特灵魂"的继承者,而是羽翼已经完全丰满的大师级浪漫主义诗人。

斯蒂芬·约翰逊 (路旦俊 译)

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## Mozart im Klassensatz



#### Ein Lebens- und Reisebild

Mozart war nicht nur einer der größten Komponisten, sondern auch einer der besten Pianisten des 18. Jahrhunderts. Wie heutige Virtousen verbrachte er große Teile seines Lebens auf Konzertreisen zwischen den führenden Höfen und großen Städten seiner Zeit. Diese kleine Broschüre entfaltet ein Panorama des europäischen Musiklebens, das den Hintergrund für Mozarts Schaffen bildete. Eine Kurzbiographie und ein kleiner Einblick in seine Schreibweise runden das Bild ab.

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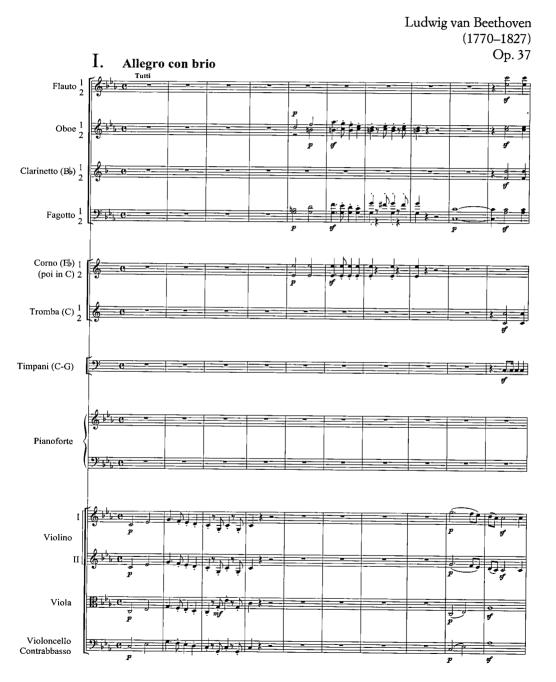


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