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COLLECTION OF CRITICAL EDITIONS OF THE WORKS OF
Fryderyk Franciszek Chopin
No. 4

Ballade Op. 38

Introduction, Text, Fingering, and Commentary
with an Appendix

by

Franco Luigi Viero



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Franco Luigi Viero © 2016

In the previous page: sculpture of Chopin's left hand carried out following the cast made by Jean-Baptiste Clésinger shortly after the death of the composer.

Foreword

When preparing a critical edition of the second Ballade we encountered a problem we must explain to our Reader.

Of this Ballade, besides the autograph, there is a copy attributed to Gutmann. You find such a copy at the Stiftelsen Foundation in Stockholm. Having never been published a facsimile edition of this manuscript by Gutmann, we turned directly to that foundation for a copy, asking the persons in charge to take a look at our free Chopin editions, which were already on line. For this purpose, on May 7, 2015 we submitted via e-mail our request. On May 22, 2015 we received a reply, in which it was stated that the cost of digital images of the Ballade No. 2 would have been 500 SEK, approximately € 53, but, as for the publication on the web, we had to pay “SEK 1000 / image.” Stunned enough, we asked for a clarification, making it clear that we had no intention to publish whole images but only individual measures, which are fragments of image. After a fortnight we received a second e-mail, with which they confirmed that 1 image = 1000 SEK. Therefore, no distinction between a whole image, that is an entire page of the manuscript, and a fragment, i.e. one measure. It is easy to do the sum: since we would have quoted 28 measures, we had to pay to the foundation 28000 SEK, i.e. approximately € 2995.00. We told ourselves, “But those people are completely out of their senses.”

While on the subject of ‘fair use’ discussions and doubts are still many, all seem agree in considering that there is no crime, that is no violation of any copyright, if citations of any kind are made in criticism and the publications are non-profit (our editions are even free of charge). In other words, we could mention, that is publish on the web, all necessary measures without violating any law. However, the aforementioned Swedish foundation wants us to violate the right of our Reader to be accurately informed.

Now, since we do not want to waste our time and money in fruitless discussions, we decided to copy the text of the measures to be mentioned. Hence, we ask our Reader to check our work by consulting the manuscript on OCVE (see Bibliography), an amazing site that publishes free of charge the Gutmann’s manuscript we are talking about. The owners of that site should have paid—for publishing 9 pages (zoomable, moreover) + 204 fragments of image for each individual measure and the anacrusis—a total of 213,000 SEK = € 22,783 ca. Since we cannot believe it at all, we leave our Reader to comment.

In any case, we have to be unbiased. Swedish customs, in fact, over the past fifty years have changed radically. Thanks to governments that followed one another, they turned from an immoderate sexual freedom, if not compulsory certainly encouraged, to a hardly less dangerous ill-concealed puritanism of American stamp—not to mention other oddities ...—. It is natural, therefore, that people born in the 1960s and 1970s are a bit confused and disoriented. We do not know whether the managers of the aforementioned foundation are to be counted among the ones born in those years, but their crazy request speaks by itself.

At last, we apologize to our Reader for the inconvenience we inadvertently caused.



IT IS STILL widespread opinion that the second *Ballade* was composed during the unfortunate winter spent in Mallorca, where Chopin merely rearranged the notes of this further masterpiece, giving them the ultimate form we know.

In fact, from the diary by Józef Brzowski we learn that on May 28, 1837, being a guest of the Marquis de Custine in Saint-Gratien, Chopin played “his new *Étude* in *A flat*, then the second *Ballade*, and the *Étude* in *F minor*” (cf. *Ch.Pl.* p. 121); not only that, but such direct reference is preceded by an allusion in the diary of December 4, 1836: “That day Chopin was particularly willing and generous towards us—he played without interruption, now mazurkas, now ballades, then a scherzo, then a nocturne, and all this kept us in rapt state of ecstasy” (cf. *ibid.* p. 93). There is, besides, the problematic testimony of Schumann, to which, not to make dull our introduction, we have dedicated the APPENDIX (*v. infra*, p. 17). So, at the end of 1836 the second *Ballade* was already composed, almost four years before its publication!

The result of staying in Mallorca—a holiday which was to restore the health of Chopin, but, on the contrary, was the beginning of the ordeal that preceded the untimely demise—was to lead the composer close to death,¹ thanks to the lack of interest by his alleged mistress, concerned in particular with the health of her son Maurice—provided that he was really sick²—, her favourite child. Having escaped death by the will of fate, during convalescence Chopin was forced to entrust his business to his old fellow student Fontana, who, in fact, in the letter of July 2, 1852 to Chopin’s sister, Ludwika Jędrzejewicz, asserts that “in 1839–1840, while he [*scil.* Chopin] was in Spain, entrusted me with the publication of all his recent compositions, sending manuscripts, which still I keep in full. At the time, I took care of the publication of the *Preludes*, two *Polonaises* dedicated to me, the *Tarantella*, the *Pièce de Concert*, the second *Ballade*, 3 *Valses* op. 34, etc.”³ Chopin will be back in Paris on Friday, October 11, 1839.⁴

On May 2, 1838 H. Probst, Breitkopf agent in Paris, writes: “[...] As for Chopin, the 24 *Preludes* 1000 fr., the second *Ballade* 500 fr., 4 *Mazurkas* 300 fr. are

to be considered as negotiated.”⁵ Since Chopin was not accustomed to offer not yet finished compositions to his publishers, we must infer that in May 1838 the second *Ballade* was already completed.⁶ In Chopin’s correspondence the first mention⁷ of the second *Ballade* is located in the letter to Fontana of December 14, 1838: “I think I shall soon send you my *Preludes* and a *Ballade* (*Myszę Ci moje Preludia i Balladę wkrótce posłać*)».⁸ Since Chopin was still in Palma, we have here the confirmation that the second *Ballade* was finished and needed only to be copied fair. More than a month later, on January 22, 1839, Chopin repeats almost the same thing to Fontana: “[...] In a few weeks you will receive the *Ballade*, the *Polonaises* and the *Scherzo* (*Za parę tygodni dostaniesz Balladę, Polonezy i Scherzo*)».⁹ What had happened? On one hand (perhaps because of a careless exposure to the treacherous night-wind of Palma), a sudden getting worse of Chopin—who already was not well—; on the other, a forced moving to Valldemossa; in addition, the piano of Pleyel had been slow in coming because of the absurd claims of Mallorcan customs. The same January 22 Chopin wrote to Pleyel that “having you wanted, my dearest, to undertake the burden of being my publisher, I must notify you that there are other manuscripts for you: 1st the *Ballade* [...]”,¹⁰ wholly unaware that Pleyel had decided to take back his word. Inconveniently, Chopin not only realised that too late, but in the meantime, trusting in Pleyel, had dismissed Schlesinger.¹¹ Pleyel’s behaviour determined a real economic disaster:¹² Chopin, not only had shelled out a fortune (5000 francs) for a holiday to hell,¹³ but could not sell ready-made compositions at the desired right price.

⁵ Cf. LENN, p. 94.

⁶ Instead, according to KALLB.[1983] p. 810, both the *Preludes* and the *Ballade* were not yet finished.

⁷ KOB.[1983] p. 411 quotes a letter—we did not find anywhere—to Probst of October 24, 1838, in which Chopin would require the payment of the *Preludes* and the *Ballade* to be delivered to Fontana.

⁸ Cf. KFC I p. 332 = CFC II p. 278—the related phrase in the French edition has skipped, perhaps because the translators Suzanne and Denise Chainaye, comparing their work with the translation of Stéphane Danysz, who had previously translated into French the collection by Opieński, did not realize that that phrase was missing.

⁹ Cf. KFC I p. 334 = CFC II p. 288, where, however, the letter is incorrectly dated January 12.

¹⁰ Cf. CFC II p. 292.

¹¹ See the letter by Probst of March 10, 1839: “Chopin wants nothing more to do with Schlesinger (*C. will mit Schles. nichts mehr zu thun haben*)» (LENN, pp. 61, 106), and also CFC II p. 349–350.

¹² According to Eigeldinger the foul deed caused a “temporary coolness” only (see his valuable book, *Chopin et Pleyel*, Paris [Fayard] 2010, p. 117). Really, their relations resumed for two reasons: 1st Chopin had absolute need of Pleyel pianos, which were the only ones sensitive to the touch; 2nd he was not a vindictive man. Had it not been for pianos, Chopin would have elegantly begun to ignore his treacherous pretended friend.

¹³ Cf. S. ET D. CHAINAYE, *De quoi vivait Chopin*, Paris (Deux-Rives) 1951, p. 77.

¹ Cf. HÉLÈNE CHOUSSAT, *Souvenirs*, Palma (Gráficas Bristol) 2010, p. 112: “Finally, after a winter spent among the mountains, during which the health of Chopin did nothing but get worse, the departure was decided [...], because he [*scil.* Chopin] was dying.”

² On November 9, 1838 Marie D’Agoutt writes to Ch. Marliani: “I have never been worried about the health of Maurice. In any case, the sun of Spain would be a strange remedy for heart palpitations.” (cf. CFC II p. 262).

³ Cf. M. OLIFERKO, *Fontana i Chopin w listach*, Warszawa (Narodowy Instytut Fr. Chopina) 2009, p. 153f.

⁴ Cf. KFC I p. 366 = CFC II p. 372.

Finally, after almost two years of empty talks, for which Fontana had done his best in the name and on behalf of Chopin, on April 23, 1840 the latter wrote to his fellow: "Troupenas has bought my 7 compositions, and will conduct business with Wessel direct, so do not bother about it".¹⁴ For seven opus numbers he received in payment 2,100 francs, *i.e.* 300 francs each. For the same compositions Breitkopf had paid 2,500.¹⁵

We collated the following documents:

- A** autograph, *cf. Katalog* p. 71, whose facsimile was published several times: by P. Catin in 1930, by Dorbon Ainé in 1932, by P.W.M. in 1952, by Henle (FRÉDÉRIC CHOPIN, *BALLADE F-DUR OPUS 38, Faksimile nach dem Autograph im Besitz der Bibliothèque Nationale de France, Paris, München* [Henle Verlag] 1999) and, recently, by N.I.F.C.
- C^G** copy ascribed to Gutmann, *cf. Katalog* p. 72. At first, we had the intention of writing out by hand the necessary measures, but it would take too long; therefore, we wrote the music text by *Finale*®, using, though, a different font and trying to respect distances and proportions. The Reader can anyway check our copy consulting the manuscript, which is online thanks to the site *OCVE* (see Foreword).
- FP** proofs of **F1** printed by Troupenas in October 1840 with the no. 925, *cf. ACCFE* p. 310 (we consult the exemplar put online by the site *CFO*).
- F1** first French edition, publisher and number like **FP**, late 1840 (we consult **F1^J**, see here below), *cf. ACCFE* p. 310.
- F2** second French edition, publisher and number like **F1**. In *ACCFE* (*ibid.*) its publication date is not specified, but, being issued after **F1**, it must be of early 1841 (we consult one of the two copies from the so-called *exemplaires Dubois-O'Meara*, *cf. EIGELD*.[2006] pp. 257ss.).
- G** first German edition, printed by Breitkopf & Härtel, Leipzig, no. 6330, early October 1840 (we read the copy put online by the UNIVERSITY OF CHICAGO LIBRARY, call number M25.C54B21), *cf. ACCFE* p. 312.
- E** first English edition, printed by Wessel, London, no. 3182; registration date: October 1, 1840 (we consult the exemplar put online by

the site *CFO*), *cf. ibid.* p. 314.

F2^D a copy of **F2** from the so-called *exemplaires Dubois-O'Meara* (*cf. EIGELD*.[2006] pp. 257ss.).

F1^J a copy of **F1** from the so-called *exemplaires Jędrejewicz* (*cf. ibid.* pp. 276ss.).

F2St a copy of **F2** from the so-called *exemplaires Stirling* (*cf. ibid.* pp. 245ss.).

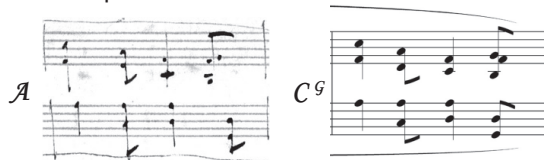
T1 *Collection des Œuvres pour le Piano par Frédéric [sic!] Chopin | 1 BOLERO - 4 BALLADES - 1 BARCAROLLE, 6.^e Livraison, publié par T. D. Tellefsen, Paris (Richault) s.d. (but 1860), pp. 16÷23 (see the site *www.polona.pl*).*

Mk *Fr. Chopin's Pianoforte-Werke, revidirt und mit Fingersatz versehen (zum größten Theil nach des Autors Notirungen) von Carl Mikuli, Band 4, Balladen, Leipzig (Fr. Kistner) s.d. (but 1880), pp. 22÷31.*

In his beautiful thesis Grabowski says that "the manuscript and the Gutmann's copy were used respectively for Troupenas and Breitkopf edition."¹⁶ The editor of the site *CFO* writes that "G was based on a copy most likely prepared by Gutmann, which was corrected by Chopin before its dispatch to Leipzig. F and E were based on the same autograph manuscript, which is quite exceptional. The fact that Chopin allowed Troupenas to make his own arrangements with Wessel (see his letter to Julian Fontana of 23 April 1840) means that the existence of a third manuscript source can be more or less ruled out." Müllemann specifies that the changes in **F2** "probably stem from a publisher's editor who was reading the first edition against the autograph."¹⁷ Samson repeats more or less the same things.¹⁸ However, the collation shows that the only correct statement is that **G** was based on **C^G**.

§ 1. — First of all, we have to check if **C^G** is a real copy of **A**.

— M. 4:¹⁹



Note **D⁴** instead of **E⁴**; the error is repeated in m. 12, where, however, someone, probably Chopin, enlarged the notehead to make it be like **E⁴**. Either the copyist did not know the handwriting of his Master, or really was reading **D₄**.

¹⁴ *Cf. CFC* III p. 22.

¹⁵ *Cf. LENN.* pp. 71, 112 (January 10, 1840): «Chopin called on me today and finally agreed to 2,500 fs (*Chopin war heute bei mir u. willigte endlich mit 2500 fs ein*)»; and pp. 73, 113 (March 25, 1840): «Chopin sold the seven works to Troupenas for 2,100 fs (*Chopin hat an Troupenas die 7 Werke verkauft für 2100 fs*)».

¹⁶ *Cf. GRAB*.[1992] I p. 98.

¹⁷ *Cf. HN* p. X÷XI.

¹⁸ *Cf. PE* p. 63.

¹⁹ As for the correct measures' numbering of a music piece, see Commentary, m. 1.

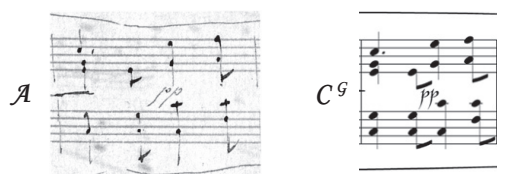
— M. 13:



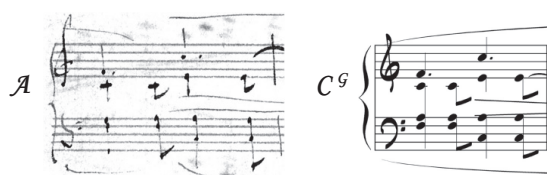
C^G neither closes nor reopens the slur of the right hand, and does the same in lower staff of m. 19:



and in m. 21 too:



— M. 17:



C^G neither closes nor reopens the slurs in both staves.

— M. 32:



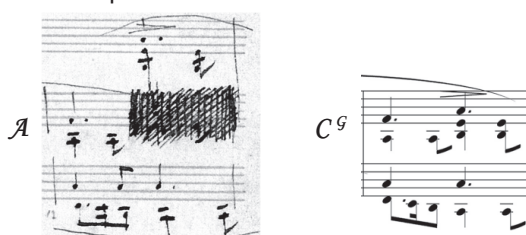
In C^G the hairpin starts before the fourth eighth.

— M. 35:



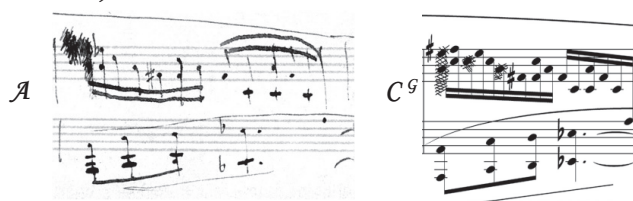
The \sharp , which was not added by Chopin, is missing in C^G . In other words, A would have been revised, not by Chopin, after Gutmann copied it.

— M. 41:



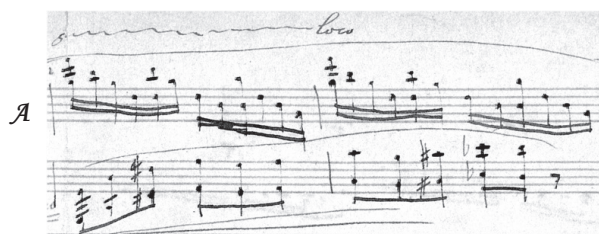
C^G does not copy the quaver C^3 and omits the slur in the lower staff. The erasure is due to the fact that Chopin, inadvertently, was copying m. 39.

— M. 52:



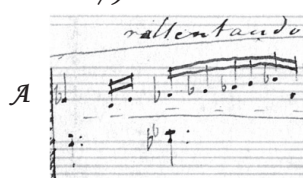
In A Chopin changed $(A^4-)F^\sharp$, which was written out from the parent of A , into $(A^4-)E\flat$. The editor of the site *OCVE* claims that in C^G Chopin changed again $A^4-E\flat$ into C^5-F^\sharp ; which is probable, being in our opinion the harmony best solution, although, to be sure, we should examine the original manuscript with the aid of a lens.

— Mm. 58÷59:



Here C^G omits the hairpin, in mm. 63÷68 the slurs in the upper staff, and in m. 67 the pedalling too; in mm. 76÷77 the slurs in the lower staff are missing.

— M. 79:



C^G places the expression "rallentando" in m. 78.

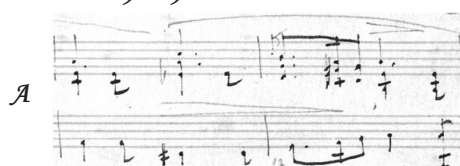
— Mm. 86÷87:



C^G omits "slentando". Is this a negligence of the copyist? No, because the handwriting is not that of Chopin; which forces us to assume that

C^G would have been prepared before someone added in A the expression *slentando* (v. *supra* m. 35).

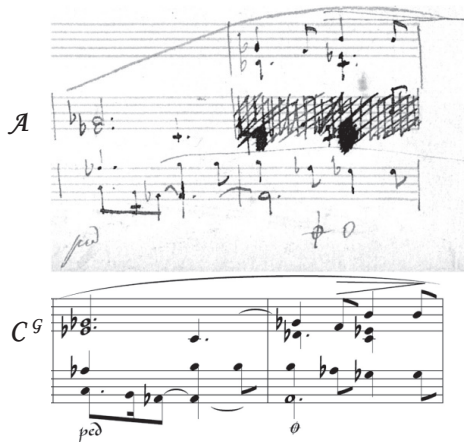
— Mm. 91÷92:





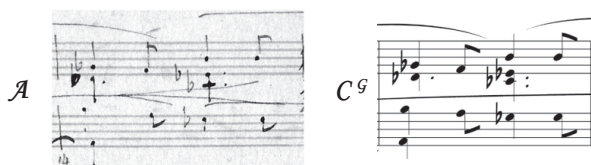
In C^G the hairpin ends within m. 91, whereas in \mathcal{A} it is prolonged until the semiquaver. Besides, C^G adds to the appoggiatura of m. 92 a curved line, which in \mathcal{A} is missing.

— Mm. 97÷98:



First of all, the impossibility to read (on the facsimile) what lies behind the thick deletion prevents the reliable chronology of the various corrective interventions. In C^G the missing dot to $A\flat^3$ (m. 97) does not seem negligence, because in \mathcal{A} the dot appears to have been added afterwards. Also the missing dots to C^4 - $E\flat^4$ might not be negligence. About the omission of the slur you can think the same. The different positioning of the pedal release suggests that C^G would have been prepared when in \mathcal{A} the pedalling was still missing: in fact, it is unlikely that the copyist, *i.e.* Gutmann, seeing an incomplete pedal release under $G\flat^3$, and a complete one under $A\flat^3$, could arbitrarily decide to place it under $A\flat^2$. In C^G Chopin himself probably added the tie between the two $G\flat^4$.

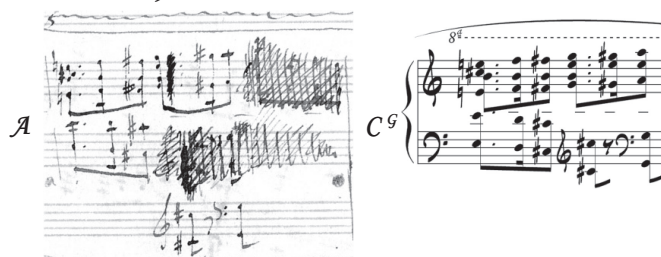
— Mis. 100:



This measure does not leave us many choices: either C^G is not a copy of \mathcal{A} , or—a far-fetched hypothesis, that is little probable—, just before being copied, \mathcal{A} had neither the slurs in the lower staff nor the central hairpin; hence, both the central hairpin and the two slurs of \mathcal{A} were added in a subsequent time and independently one from the other. But where did Gutmann see the individual slur?

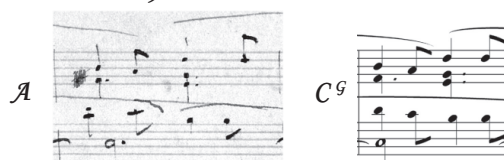
On the contrary, the missing slur in m. 103 may be a really careless omission.

— M. 109:



In C^G most likely it was Chopin himself who added E^6 in the two last octaves of r. h.

— Mis. 129:

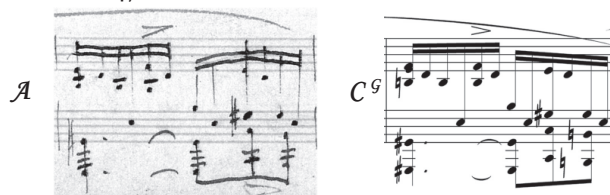


If C^G is a copy of \mathcal{A} , the slur in the lower staff was divided after copying (?!).

Going by the reproduction put online by the site OCVE, in C^G something changes from m. 136—four measures of the lower staff seem written with a different pen and a different ink; from m. 140 both staves give the same impression till the end. Some differences suggest even a change of hand, but to be sure one should inspect the original.

In mm. 141 and 143 of C^G the pedalling is missing. Hence, in \mathcal{A} was it added later?

— M. 147:



In \mathcal{A} the accidental to G^2 was added subsequently, whereas in C^G the \sharp to G^1 was put after copying. The naturals, too, were added to B^1 and B^2 by a different hand: that to B^1 may be attributed to Chopin. But, notice the first sixteenth note of right hand: despite the copyist had written a clear E , someone (Chopin), going over the pen, turned it into F .

In mm. 152÷156 C^G omits the slurs you find in \mathcal{A} .

— M. 157:



In C^G the incorrect placement of *ped* should be considered an oversight.

— Mm. 176÷177:

It was not Chopin who in C^G added the two slurs in the upper staff, but the copyist himself, who could not have seen them in A .

— Mm. 201÷203:

Initially, Gutmann had copied the corrected end of A , but then Chopin, recycling part of the first version, changed it again, or so it would seem. It was certainly he who made the correction, because instead of $E\flat$ he wrote C ; we have already observed elsewhere how troublesome were to him the notes outside the staff.

From the above, the filiation between A and C^G appears problematic. Fontana had received the manuscript of the *Ballade* (and that of two *Polonaises*) on early March 1839.²⁰ In August, Chopin asks Fontana:

«[...] send me (*przyslij*) [...] my last *Ballade* in manuscript, for I want to look at something (*moją ostatnią Balladę w manuskrypcie, bo chcę coś widzieć*)».²¹ The composer will bring the manuscripts back to Paris on October 11, 1839. Since on December 14, 1839 Chopin wrote to Breitkopf: «I have in my portfolio a long *Sonata*, a *Scherzo*, a *Ballade*, two *Polonaises*, 4 *Mazurkas*, 2 *Nocturnes*, an *Impromptu*»,²² C^G might have been made between those two dates. Perhaps it was Chopin himself to entrust Gutmann with copying the *Ballade*; Fontana, in fact, was busy doing preparations for his departure to Bordeaux.

But we can do another hypothesis. Between March and August 1839 Fontana could have taken care of making a copy, which was prepared either by himself or perhaps by Wolff;²³ a copy, which after October 11 was updated against A . In this case, C^G might be even a copy not of A , but of that hypothetical first copy. The existence of such a copy would be supported by the expression “in manuscript (*w manuskrypcie*)” (see above) apparently not necessary—with this expression Chopin would have wanted to mean, “Not the copy you or Wolff have in case prepared.”

§ 2. — Now we must examine the connexion between FP and its alleged antigraph, i.e. A .

The first surprise is that the slurs of mm. 13, 19, and 21 agree with C^G not with A :

as for m. 17 (here on the right), however, the slurs in the upper staff agree with A , while that in the lower staff agrees with C^G :

— M. 40:

Here, too, as for the *arpeggiato*, C^G and FP agree in contrast with A . Notice in FP also the different orientation of stems (l. h.) and the absence of the hairpin.

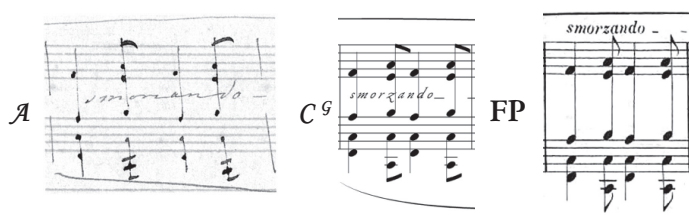
²⁰ Cf. CFC II p. 303. According to KOB.[1983] pp. 164 & 412, the date of March 7 has no foundation, because “the letter was written either in the last days of February or just early March.”

²¹ Cf. KFC I p. 354.

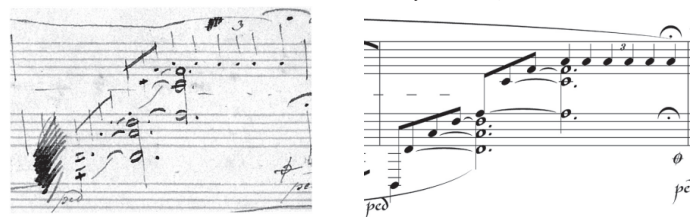
²² Cf. CFC II p. 376.

²³ Cf. CFC II p. 287 (letter to Fontana of January 22, not 12, as CFC writes): «My dear, I send you the *Preludes*. Copy them, you and Wolff». Then, Fontana was not the only copyist.

— Mm. 43 and 45:



Among the licenses an engraver may afford, the displacement of agogic-dynamic expressions (*smorzando*) is barely tolerable, but it is absolutely unacceptable arbitrariness like that witnessed by m. 45:

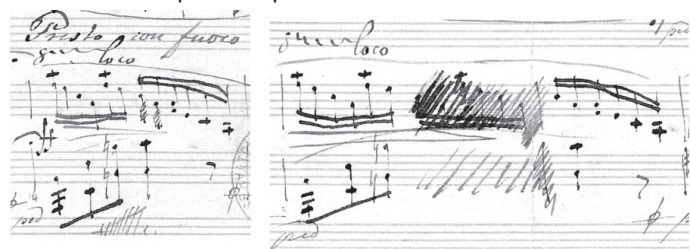


Chopin writes a dotted minim, which C^G copies. FP, instead, adopts another time division. We deny an engraver could afford such a whim; so, we are forced to assume he was not writing out A , but a copy of its, whose author thought it were preferable to divide the *arpeggio*

chord of dotted minim into two chords of dotted crotchet, understanding as here on the right:

On the other hand, we can hardly ascribe to Fontana or Wolff such a change. Moreover, during proofreading the previous time division was not brought back. But let us go on.

— Mm. 46 and 48:



Here, too, the engraver does not respect his alleged anti-graph and in m. 48 eliminates the 8^{va} : it is a change, which, however slight it is, an engraver should not afford, especially if, as in this case, there is no sparing of space. This change is repeated in mm. 54, 56, 142, 148, and 150, but not in m. 140, where the necessity of space for inserting the expression *Presto con fuoco* compels him to apply the 8^{va} .

— M. 57:



In the lower staff, C^G writes out A , but the Parisian engraver adds a slur: whether it makes sense or not, it is still an unacceptable license.

— M. 68:



Note that FP moves back the 8^{va} , neglects Ab^5 and omits ff : three inaccuracies in one only measure!

Together with what we observed in § 1, note that in C^G the pedal release is put backward. An oversight by Gutmann is not to be excluded:

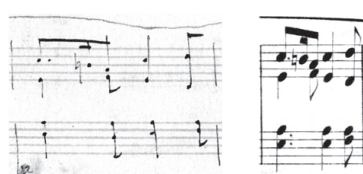


— M. 70:



This is a very important measure. FP has *dim* instead of *dimin*, which we find in A and in C^G . Under *dimin*, however, Chopin had written *dim*. Which means that FP would be engraved before A was revised and corrected. But this makes no sense, because, when Chopin gave the *Ballade* to Troupenas, Gutmann's copy was already in Leipzig. The only logical conclusion we can draw is that Fontana, before sending Chopin's manuscript back to Nohant, had got someone to prepare a copy.

— M. 89:



The reading of FP (l. h.) is surprising indeed, because the correct measure duration ensures that there is no mistake.

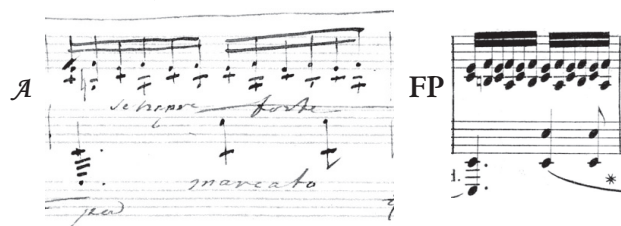
Where did the engraver copy that dotted crotchet from? Certainly not from A . On the other hand, the supposed copy of A (see m. 70) — we might call C^* — could only copy A , where, however, we see a slight dot on the right of first Ab^3 . If it were real ink, we would have a clue, albeit tenuous, of

the existence of a *varia lectio*. But we shall see below how it originated.

— M. 100:

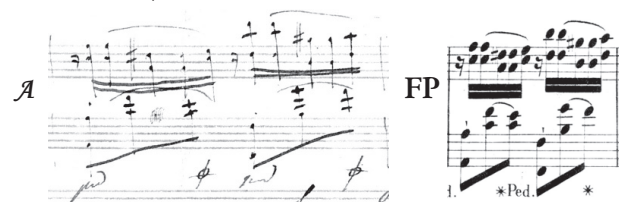
Above, to justify the discrepancy between *A* and *C^G*, we expressed a hypothesis, which the collation of *FP* allows us to reject: in fact, the perfect correspondence of *C^G* with *FP* bears out the suspicion that their antigraph was different from *A*.

— M. 156:



The engraver does not write out the slur (r. h.) or the expressions *sempre forte* and *marcato*, which Gutmann transcribes diligently.

— M. 172:



The mistake of *A* (2nd quaver in l. h.), which ends up both in *C^G* (> *G*) and in *FP* (and in *E* too), will be corrected in *F1*. It ensures that all the witnesses, including *A*, come from a progenitor with this error, which Chopin, while copying *A*, did not notice, either.

— Mm. 201÷203:

In m. 202 the engraver of *FP* writes *C⁴* instead of *D⁴* (*v. supra*, p. x, the reproduction of *A*). A coarse mistake rather than surprising, mainly because *C⁴*, being outside the staff, wants a slash, which, e. g., our engraver neglects in mm. 13 (*v. supra*) and 150 (here on the right). What was he reading?



§ 3. — The third step of the collation is about the filiation between *E* and its alleged (by the most accredited chopinologists) antigraph, that is *A*.²⁴

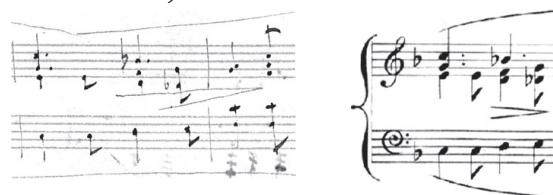
²⁴ We remind the Reader that the most reliable chopinologists, showing lacking familiarity with philological lexicon, use a German word, *Stichvorlage*, instead of *antigraph*, as if the concept of antigraph were a German invention. Which is not, of course!

— M. 5:



Like *FP* (on the right), *E* does not divide the slur. And the same goes for mm. 13, 19, and 21, where *E* agrees with *FP* and *C^G*, but not with *A*. As for the slurs of m. 17, *E* agrees with *C^G*, not with *A*.

— M. 25:



In *E*, m. 20, the omission of the hairpin may be a negligence, but here the engraver would have seen a hairpin distinctly shorter than in *A*. The same is true of m. 39 (*v. infra*). In m. 93, instead, the engraver writes a correct hairpin:



These different treatments by the engraver get us to suspect he was not write out *A*, but a copy.

Well, the irrefutable evidence that another manuscript was extant is given by the slurs in the lower staff of m. 39 in *E*. You must first give an overview of mm. 37÷40 of *A*, *C^G*, and *E*:



The first thing you notice in *E* is the different length of the hairpins, which—excepted the one missing in m.

38—are shorter (*v. supra*, m. 25). As in \mathcal{A} they were made longer at a later time, there is no negligence by the engraver. Then, look at C^G , where the hairpins are long like in \mathcal{A} . But these are only clues, not real evidence—you find it in m. 39. In the lower staff C^G writes out one only slur, which starts from mid of m. 37 till m. 40, exactly as \mathcal{A} wants. E, instead, breaks the slur in m. 39, where \mathcal{A} shows clear corrective marks (here on the right).

Even by the facsimile we can reconstruct the various stages. Before be-

ing corrected, m. 39 looked like here on the left (stage \mathcal{A}^2). Then, Chopin decided that the slur had to start from the second F^2 (see here on the right, stage \mathcal{A}^1). Immediately after, or shortly after, he wanted to join those slurs. If, therefore, Troupenas would have sent \mathcal{A} to London—as claimed by the editors—the English engraver should have read one only slur, as C^G and FP do; on the contrary, E writes out the stage \mathcal{A}^2 . Who asserts—as *CFO*'s editor does—that “Troupenas sent Chopin’s autograph to London where it was used in turn by Wessel”, maintains an impossible fact. Hence, E depends on a manuscript, of which \mathcal{A} retains traces belonging to the stage we called \mathcal{A}^2 . From the above, the existence of a third manuscript is not at all “more or less ruled out”, but it is quite demonstrated.

— Mm. 46÷49: in these measures E omits all the slurs and hairpins, which you see in \mathcal{A} , and yet the London proofreader takes the trouble to add a natural to the last B^1 of m. 47. Which means that the antigraph of E was not \mathcal{A} .

The pedalling, too, of mm. 62÷77 confirms that the antigraph of E was not \mathcal{A} . With the exception of mm. 67÷69, where the copyist of C^G gives an example of a typical error in copying, \mathcal{A} , C^G , and FP agree. In mm. 72÷77, instead, the engraver of E copies the pedalling of mm. 70÷71. It happened that the author of the copy sent to Wessel, without paying the right attention to his antigraph, did not realize that mm. 72÷77—very similar to mm. 70÷71 in appearances—had a different pedalling.

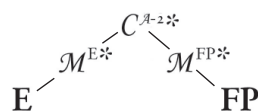
— Mm. 152÷153:



Like m. 39, whose English edition we have only just collated with \mathcal{A} and C^G , m. 153 too, compared with \mathcal{A} and FP, is of the utmost importance. It shows not only that the antigraph of E was not \mathcal{A} , but also that the antigraphs of E and FP depend on the same progenitor which is not \mathcal{A} . Let us take a look at C^G and G:



These measures should be identical to mm. 50÷51, but here Chopin extends the indication of 8^{va} till mid-m. 153. Gutmann, being absent-minded, makes a mistake, which the proofreader of G does not notice, although he inserts a slur (missing in C^G) in the lower staff, certainly on the ground of mm. 50÷51. Since—errors aside—it is highly unlikely that two engravers, one in London and the other in Paris, altered in the same way the transposition of 8^{va} , mm. 152÷153 of E and FP demonstrate that their antigraphs come from the same ancestor other than \mathcal{A} , and generate the following partial and provisional *stemma*,



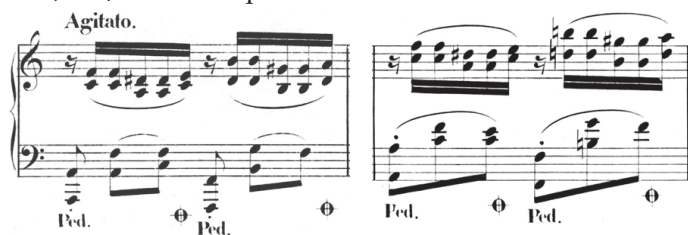
where \mathcal{M}^{E*} and \mathcal{M}^{FP*} are the manuscripts used by E and FP, whereas $C^{\mathcal{A}-2*}$ is the copy of \mathcal{A} used to prepare \mathcal{M}^{E*} and \mathcal{M}^{FP*} . We can note, too, that in FP the slurs in the upper staff are two like in mm. 50÷51, where, however, are justified because in \mathcal{A} (and therefore also in \mathcal{M}^{FP*}) m. 51 begins a new line and, so, the single slur was divided in two. It is therefore legitimate to suspect that in \mathcal{M}^{FP*} the measures of this section were numbered; if it were not so, we should admit that also

in \mathcal{M}^{FP*} m. 153 began a new line.

— Mm. 168 and 172:

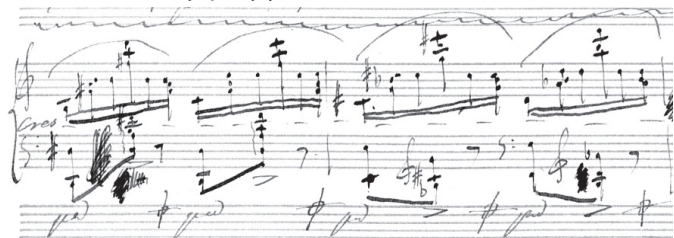


In m. 168 the London engraver adds a \flat to the third D^4 . If it were the will of a proofreader, why did he not add it also to the third D^5 of m. 172? This insinuates the suspicion that that natural was in the antigraph. *UT*, *PE*, and *WN* quote *G* too:



But, in m. 172 of *G*, the natural is a copying error, because in C^G the semiquaver rest, being very close to \flat at B^5 , may have been mistaken for a second \flat . On the other hand, the Leipzig copyist got confused easily, as it is shown by the third quaver in the lower staff of m. 168, where he writes F^3 instead of E^3 .

— Mm. 194÷195:



It should be noted that in m. 194 both chords in the lower staff have a vertical squiggle indicating *arpeggiato*. On the contrary, the English engraver, who can distinguish a vertical squiggle (cf. m. 20, here, on the right), affix a curved slur (here on the left). That is not all: he adds a curved slur even to the first chord of m. 195 (see below). But there is no trace in *A* of that. Here you have another confirmation that the antigraph of *E* was not *A*.

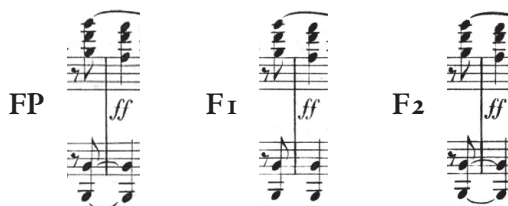
— M. 195:

Someone might ascribe the naturals before B^3 , B^5 and B^6 to a proofreader. Nevertheless, those naturals reappear in *F2*. This can mean that they already were both



in the antigraph of *E* and in the manuscript used for revising *F1* ($> F2$). It is not at all unlikely that they represent a primitive *lectio*, which Chopin abandoned. In fact, those \flat enervate the climax, which bursts up on the last chord. Here we agree with Ekier.

§ 4. — As for *F2*, many accidentals are added, one of which (m. 56) in a wrong position, corrected in *F2^D*. Two oversights (mm. 63 and 92) and an engraver's mistake (m. 50) remain ignored. What, though, surprises us most, is the restoration of the ties between mm. 110÷111 in the lower staff:



Since it was Chopin, who in all probability corrected *FP*, we must take care that he wanted to eliminate those ties. Then we wonder: is it possible that he had changed his mind again? Well, since it is hardly likely that the composer entered all those accidentals, the revision of *F1* might be the work of a proofreader, who, in order to check the notes (here and there, we suppose), did not use *A* but a different manuscript, which, in addition, still contained the old reading of m. 195 (*v. supra*) printed in *E*.

§ 5. — We still have to mention the editions by Tellefsen and Mikuli. The former is quite useless: it is a copy of *F2* with the correction of m. 50 (lower staff), but no A^2 is restored in m. 63, and that is all. The latter, instead, deserves our attention. Measures 45, 46, and 48 show that Mikuli used a carefully corrected copy of *F2*. Measures 52 and 156 ensure that he also had *G* at his disposal. Besides, further details suggest that Mikuli studied this *Ballade* with his Master, even if external clues are missing:

- in mm. 13, 21, 29, 41, 42, 85 he breaks the slur, which in *F2* and *G* is uninterrupted (upper staff);
- the pedalling of mm. 54÷57 may have been added by analogy with mm. 46÷49, but that of m. 58, which is correct and in the style of Chopin, is not supported by m. 50;
- in mm. 62÷67, 70÷77, 169, and 173 he moves the pedal release backwards;
- in the middle section, with the return of *Tempo primo*, he moves a lot of slurs in order to accentuate the ternary waving;
- as for the transitions in mm. 100÷101 and 125÷126, cf. apparatus and commentary;
- in m. 172 he does not delete the natural he had seen in *G*, but adds a second one—like in *E*—in the analogous m. 168;

— in m. 195 he rejects the reading of **G** and prefers that of **F2** and **E** (*v. supra*).

We will account for Mikuli's contribution both in text and apparatus.

§ 6. — Finally, the existence of another manuscript is indirectly proven even by the correspondence together with the bill of sale to Wessel. Let us consider the documents by date.

March 1, 1839. — Fontana has already received the manuscripts both of the *Ballade* and the *Polonaises* (*cf. supra*, n. 20), which had been sent from Spain.

March 17, 1839. — Chopin says again to Fontana that he was “quits with Wessel”;²⁵ he had written the same on January 22.²⁶

August 8, 1839. — Chopin wants Fontana to send back the *Ballade* (*v. supra* p. x and n. 21).

September 25, 1839. — Chopin asks Fontana: “You ought to write to Wessel (you did write about the *Preludes*, did you not?). Write to him that I have 6 new manuscripts, for which I ask that he should pay me, now, 300 francs each (how many pounds is that?). Write, and get an answer. (If you think he will not give it, write to me first).”²⁷

October 11, 1839. — Chopin is back in Parigi.

October 31, 1839. — Chopin sells *opp.* 38÷40 to Wessel.²⁸

If it is evident that the negotiations with Wessel conducted by Fontana, who was fluent in English, were successful only in part, it is equally clear that, when Chopin on April 23, 1840 wrote to Fontana “Troupenas has just bought my 7 compositions and will negotiate directly with Wessel, so do not worry about it,” he was referring to the *opp.* not yet sold to the English publisher. In other words, the *Ballade*, the *Scherzo*, and the *Polonaises* were not negotiable, because their manuscripts had already been sold and delivered. The business (*interes*), which Chopin is referring to at the beginning of the aforementioned letter (“I send you a letter of Wessel, no doubt related to my old business [*za moim dawnym interesem*]”), is nothing but the contract of sale he had signed six months before.²⁹

Therefore, Troupenas did not dispatch **A** to London, but it was Chopin who on October 31, 1839 gave a copy of **A** to Wessel.

CONCLUSION.

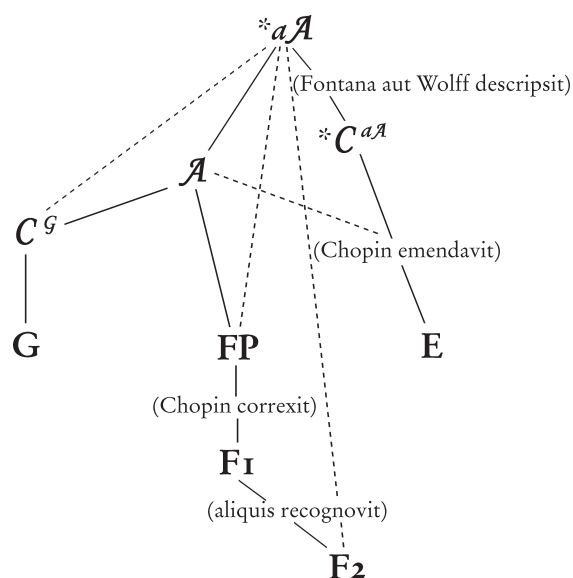
The manuscript given to Wessel explains the differences between **E** and **A**. However, to clear up the confusion of the relations connecting **A**, **C^G**, **FP** and **F2**, we assert, first, that the manuscript sent back to

Nohant (*v. supra*, p. VIII) is not **A**, but a parent of **A**, and we shall call it ***aA**. In **A**, most of the corrections are due to absent-mindedness during copying. Most likely Chopin was tired and inattentive: the bad behaviour of Pleyel had agitated him so that he was in no fit state to revise serenely his manuscripts.

Second, Fontana, before sending back ***aA** to Nohant, had already got a copy prepared—we shall call it ***C^{aA}**. This was the copy, which, after being necessarily revised, was given to Wessel.

Third, since the collation of **C^G** shows contaminations from another source (*see*, for example, m. 100), we think that Gutmann started copying ***aA**, but then finished his work following **A**.

Here is the *stemma* we propose, where the continuous line means a primary, namely direct, dependence, while the dotted one means a secondary or alternative connexion:



This *stemma* is the simplest solution to justify the filiation between the sources; nevertheless, it does not explain everything. As a matter of fact, it implies the following: —m. 45 of **FP** goes back to ***aA** but was corrected in ***C^{aA}**; —m. 89 of **FP** was corrected during engraving by someone who, having noticed a missing quaver, added the dots without checking the antigraph; —the writing of mm. 48 *et sim.* of **FP** is an arbitrariness of the engraver; —at last, Troupenas received inadvertently two manuscripts or pages belonging to a different manuscripts; actually, **A** shows many corrections of the layout and on p. 5 the indications for the 3rd, 4th, and 5th system do not correspond.

The collation, which was heavy, imposes for the *recensio* the following sources in order of importance: **A**, **C^G**, and **F1**.

NOTE ON FINGERING.

The critical edition of a piano work cannot ignore the point of view of piano playing, especially when it is a question of Chopin, creator of a new piano school, where fingering is of primary importance. Mikuli as-

²⁵ Cf. *KFC* I p. 341: «... ja jestem kwita z Wesslem...».

²⁶ Cf. *KFC* I p. 334: «Powiedz Pleyelowi, żem z Wesslem quita». In *CFC* (II p. 287) the date of 12th January is wrong.

²⁷ Cf. *KFC* I p. 357.

²⁸ Cf. *KALLB.* [1983] p. 554.

²⁹ Cf. *CFC* III p. 22; *KFC* II p. 8.

serts that the fingerings given in his edition come, for the most part, from his Master. Such a statement, on the whole quite true, should be supplemented. In fact, when he could not find any fingering, he proposed his own, exasperating sometimes the principles learned, so that you can find here and there hyper-chopinian or even anti-chopinian solutions. Hence, it is up to any philologist-pianist—who has well assimilated the basics of Chopin’s piano school—to analyse every passage and verify the claim of Mikuli.

In Chopin, notes—or rather keys—and fingering are closely connected. In some cases, his fingering—and we shall see that in other editions—can resolve textual doubts. This does not exclude that a passage may be fingered in different ways; some fingerings, however, albeit seemingly plausible, are to be rejected.

We have distinguished with different founts Mikuli’s fingering (**1 2 3 4 5**) from that in **Frst**, which is

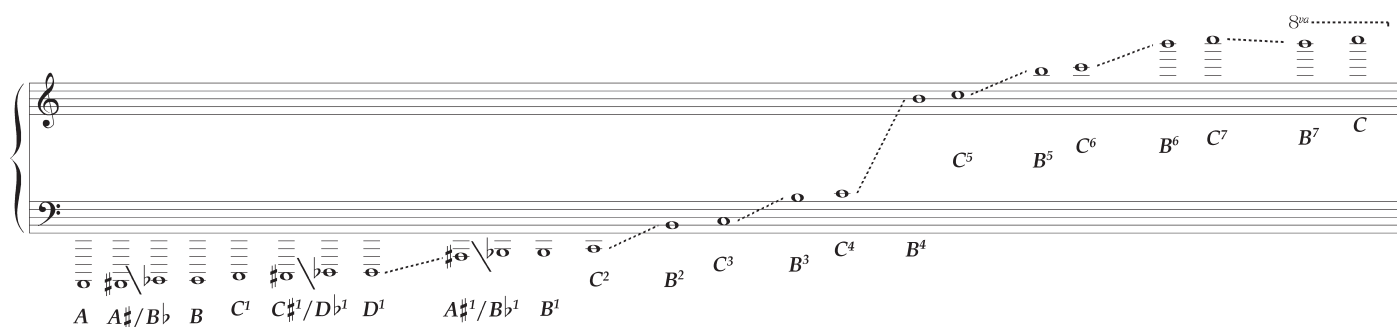
preceded by “S”. In the passages, in which Mikuli’s fingering is missing or not in conformity with Chopin’s piano school, we propose ours (*1 2 3 4 5*); besides, we use no. *8* when two keys have to be struck by the only thumb (cf. *MOZZATI. Esercizi di tecnica pianistica*, a cura di A. BALDRIGHI, Milano [Ricordi] 1994, p. 5). The symbol \frown means the changing upon a key, while \blacktriangledown indicates the sliding from one key to another; a horizontal line (—) before the number prescribes that a finger does not change and the key stays down.

NOTE ON APPARATUS.

In order to avoid waste of space, the measures we have already quoted in the introduction, are not reproduced elsewhere; so, you will find in the apparatus a cross-reference to the page and column (*a* or *b*), where that/those measure(s) is/are shown.



Notes and keys



[To make a simple and immediate connection between the notes on the pentagram and the corresponding keys, we preferred a system of easy understanding for the piano student. Notes without number in superscript correspond to the few keys, which do not belong to full octaves and are at the ends of the keyboard; all the other notes are numbered from 1 to 7 depending on the octave (from C to B), to which they belong, from the lowest to the highest one.]

Abbreviations and bibliography

- “AMZ” “Allgemeine musikalische Zeitung”, Leipzig.
- Ch.Pl.* AA.VV., *Chopin e il suono del Pleyel. Arte e musica nella Parigi romantica*, Milano (Grafiche Milani) 2010. (A CD is enclosed, in which Fernanda Giulini masterfully performs the piano level of the noblewomen, to whom Chopin had to give lesson to make ends meet.)
- ACCFE CHR. GRABOWSKI & J. RINK, *Annotated Catalogue of Chopin’s First Editions*, Cambridge (Cambridge University Press) 2010.
- CFC *Correspondance de Frédéric Chopin*. Recueillie, révisée, annotée et traduite par BRONISLAS ÉDOUARD SYDOW en collaboration avec SUZANNE et DENISE CHAINAYE et IRÈNE SYDOW. ÉDITION DÉFINITIVE, REVUE ET CORRIGÉE, 3 voll., Paris (“La Revue musicale” – Richard Masse, Éditeurs) 1981.
- CFO CHOPIN’S FIRST EDITIONS ONLINE: www.chopinonline.ac.uk/cfo
- CSG *George Sand - Correspondance*, Tome V, éd. de G. Lubin, Paris (Éd. Garnier Frères) 1969.
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HN	Frédéric Chopin, <i>Balladen</i> , hg. von Norbert Müllemann, Fingersatz von Hans-Martin Theopold, München (G. Henle Verlag) 2008, pp. 16÷25, 68÷70 (see also the relevant <i>Bemerkungen</i> online [www.henle.de], pp. 4÷7).
KALLB.[1983]	JEFFREY KALLBERG, <i>Chopin in the Marketplace: Aspects of the International Music Publishing Industry in the First Half of the Nineteenth Century. Part II: The German-Speaking States</i> , in “Notes” 39 (1983) pp. 795÷824.
Katalog	JÓZEF M. CHOMIŃSKI, TERESA D. TURŁO, <i>Katalog dzieł Fryderyka Chopina</i> , Warszawa (PWM) 1990.
KFC	<i>Korespondencja Fryderyka Chopina</i> , zebrał i opracował BRONISŁAW EDWARD SYDOW, I-II, Warszawa (Państwowy Instytut Wydawniczy) 1955.
KOB.[1979]	Frédéric Chopin. <i>Thematisch-bibliographisches Werkverzeichnis</i> , von KRYSZYNA KOBYLAŃSKA, München (G. Henle Verlag) 1979, pp. 106÷107.
KOB.[1983]	FRÉDÉRIC CHOPIN, <i>Briefe</i> , hg. mit einem Vorwort und Kommentaren von Krystyna Kobylańska, Berlin (S. Fischer Verlag) 1983.
LENN.	HANS LENNEBERG, <i>Breitkopf und Härtel in Paris. The Letters of their Agent Heinrich Probst between 1833 and 1840</i> , Stuyvesant (Pendragon Press) 1990.
“NZfM”	“Neue Zeitschrift für Musik”, Leipzig.
OCVE	ONLINE CHOPIN VARIORUM EDITION: www.chopinonline.ac.uk/ocve
OP.[1931]	<i>Chopin's Letters</i> , Collected by HENRYK OPIENSKI, Translated... by E. L. VOYNICH, New York (Alfred A. Knopf) 1931.
PE	<i>The Complete Chopin, A New Critical Edition, Ballades</i> , edited by Jim Samson, London (Peters Edition Ltd.) 2006, pp. 17÷27, 63f.
“RGM”	“Revue et Gazette Musicale de Paris”, Paris.
Sch. Tb	Robert Schumann, <i>Tagebücher</i> , I, hg. von G. EISMANN, Leipzig (VEB) 1971; II, hg. von GERD NAUHAUS, Leipzig (VEB) 1987; III, <i>Haushaltbücher</i> , hg. von GERD NAUHAUS, Leipzig (VEB) 1982.
TMC	<i>Trois Manuscrits de Chopin</i> , commentés par ALFRED CORTOT et accompagnés d’une étude historique sur les manuscrits par ÉDOUARD GANCHE, Paris (Dorbon Ainé) 1932.
UT	FRÉDÉRIC CHOPIN, <i>Balladen</i> , herausgegeben und mit Fingersätzen versehen von Jan Ekier, Wien (Wiener Urtext Edition) 1986, pp. XII, 18÷27, XXII÷XXIII.
WN	FRYD. CHOPIN, <i>Ballady</i> , ed. by Jan Ekier, Paweł Kamiński, Warszawa (Wydanie Narodowe) 1997, pp. 26÷35, <i>Source Commentary</i> , pp. 6÷8.



2^{me}

BALLADE

Pour LE Piano

Dédiée

à Robert Schumann

Par

F. CHOPIN

Op : 58

Prix : 5^f

A. L.

PARIS, chez E. TROUPENAS & C^{ie} Rue Neuve Vienne 40.
Londres, chez Wessel & C^{ie} Leipzig chez Breitkopf & Haertel.

Siglorum notarumque conspectus

<i>A</i>	autographum, <i>v.</i> Intr. p. v
<i>C^g</i>	exemplar a Gutmanno descriptum
FP	plagularum impressio prima
F₁	prima Gallica editio
F₂	altera Gallica editio
F	FP = F₁ = F₂
E	prima Anglica editio
F₂^D	<i>v.</i> Intr. p. v
F₂^J	<i>v.</i> Intr. p. v
F₂St	<i>v.</i> Intr. p. v
G	prima Germanica editio
Mk	Mikulii editio
Tl	Tellefsenii editio
<...>	quae addenda,
{...}	expungenda
(...)	et explicanda esse videntur
<i>add.</i>	vox aliqua verbi <i>addere</i> (“aggiungere”)
<i>cf.</i>	<i>confer</i> (“confronta”)
<i>Comm.</i>	forma aliqua vocabuli <i>commentarium</i> (“commento”)
<i>edd.</i>	<i>editores</i> (“editori”)
<i>mis./miss.</i>	forma aliqua vocabuli <i>misura</i> (“misura”, “battuta”)
<i>om.</i>	vox aliqua verbi <i>omittere</i> (“omettere”)
<i>scil.</i>	<i>scilicet</i> (“vale a dire”)
<i>v.</i>	<i>vide</i> (“vedi”)
<i>v.l.</i>	<i>varia lectio</i>