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**GENESIS AND THE ‘SPIRIT’ OF BARTÓK’S  
MIKROKOSMOS**

**PH.D. DISSERTATION**

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GENESIS AND THE ‘SPIRIT’ OF  
BARTÓK’S MIKROKOSMOS

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# Bibliographical References and Abbreviations

## Bibliographical References

<i>Bator</i>	Bator, Victor. <i>The Béla Bartók Archives</i> . New York, NY: Bartók Archives Publication, 1963.
<i>BB–AMW</i>	<i>Bartók Béla–Annie Müller-Widmann levelezése / Briefwechsel</i> [Béla Bartók–Annie Müller-Widmann correspondence], edited and translated by Ferenc Bónis. Budapest: 2016, Balassi kiadó.
<i>BBCCE</i>	Béla Bartók Complete Critical Edition. Munich and Budapest: Henle and Editio Musica, 2016–; volume number is indicated after a slash
<i>Beszélgetések</i>	<i>Beszélgetések Bartókkal: nyilatkozatok, interjúk 1911–1945</i> [Conversations with Bartók: Interviews, Statements 1911–1945], edited by András Wilhelm. Budapest: Kijarat Kiadó, 2000.
<i>Essays</i>	<i>Béla Bartók Essays</i> , edited by Benjamin Suchoff. London: Faber & Faber, 1976.
<i>Krónikája</i>	Bartók Béla Jr. <i>Apám életének krónikája</i> [Chronicle of My Father's Life]. Budapest: Zeneműkiadó, 1981.
<i>Lampert</i>	Lampert Vera. 'On the Origins of Bartók's <i>Mikrokosmos</i> .' <i>Studia Musicologica Academiae Scientiarum Hungaricae</i> 39 (1998): 123–37.
<i>Musical Mind</i>	<i>Béla Bartók Letters: The Musical Mind</i> , edited by Malcolm Gillies and Adrienne Gombocz. Unpublished typescript completed in 1995.
<i>My Father</i>	Bartók, Peter. <i>My Father</i> . Homosassa, FL: Bartók Records, 2002.
<i>Nakahara</i>	Nakahara Yusuke. 'Bartók's <i>Mikrokosmos</i> : Genesis and Concepts of the Years 1932–1934'. MA thesis, Ferenc Liszt Academy of Music, 2012.
PB, BB–B&H	Correspondence between Bartók and Boosey & Hawkes, photocopy in BBA.
PB, BB–UE	Correspondence between Bartók and Universal Edition, photocopy in BBA.
PB, BB–SCH	Correspondence between Bartók and Walter Schulthess, photocopy in BBA.
<i>Somfai</i>	Somfai László. <i>Béla Bartók: Composition, Concepts, and Autograph Sources</i> . Berkeley, CA: University of California Press, 1996.

<i>Suchoff/dissertation</i>	Suchoff, Benjamin. ‘Béla Bartók and a Guide to the Mikrokosmos.’ Ed.D. diss., New York University, 1956.
<i>Suchoff/Mikrokosmos</i>	Suchoff, Benjamin. <i>Bartók’s Mikrokosmos: Genesis, Pedagogy, and Style</i> . Lanham, MD: Scarecrow Press, 2002.
<i>Vinton</i>	Vinton, John. ‘Toward a Chronology of the Mikrokosmos.’ <i>Studia Musicologica Academiae Scientiarum Hungaricae</i> 8 (1966): 41–69.
<i>WU/Mikrokosmos</i>	Bartók Béla, <i>Mikrokosmos</i> , vols. <i>I–III</i> , edited by Michael Kube et al. Vienna: Wiener Urtext Edition, 2016.

## General Abbreviations

BB	Numbering within László Somfai’s catalogue of Bartók’s works, currently in preparation; see also <i>Somfai</i> , 297ff.
BBA	Budapest Bartók Archives of the Hungarian Academy of Sciences, Institute for Musicology, Research Centre for the Humanities
B&H	Boosey & Hawkes, London
GV	Gábor Vásárhelyi’s collection
LH	Left hand
MS, MSS	Manuscript, manuscripts
NYBA	New York Bartók Archives (1953–1982)
PSS	Paul Sacher Foundation (Paul Sacher Stiftung), Basel (CH-Bps)
RH	Right hand
UE	Universal Edition, Vienna

## Abbreviations in Sigla

-1, -2, etc.	Parts of sources (marking added to the shelf marks)
<b>A</b>	Autograph
<b>AP</b>	Tissue proof of autograph
<b>B</b>	Bartók’s personal copy
<b>D</b>	Draft
<b>E</b>	Edition
<b>EC</b>	Engraver’s copy
<b>F</b>	Facsimile reproduction
<b>P</b>	Proof sheets
<b>PB</b>	Peter Bartók



<b>Rec</b>	Recording
<b>S</b>	Sketch
<b>()</b>	Missing source
<b>[ ]</b>	Reconstructed earlier stage of source

## Foreword

The present dissertation is based on my research on *Mikrokosmos* from 2012 to 2020. My research began as the theme of my master's thesis at the Ferenc Liszt Academy of Music, and I continued it in the doctoral school of the same institute with a Hungarian state scholarship (2012 to 2015). Later, my research eventually became part of the Béla Bartók Complete Critical Edition (hereinafter: BBCCE). As a result of the research, the Henle Urtext edition of *Mikrokosmos* (in three volumes) was published in 2018. The main volume of *Mikrokosmos* (Vol. 40 of BBCCE) was published in 2020, and the *Critical Commentary* volume (Vol. 41 of BBCCE) is to be published in 2021. The editorial work of these volumes ran in parallel with the preparation of the present dissertation, and the information and the discussion included in the dissertation and the BBCCE volumes are partially duplicated.

Due to this situation, it is essential to emphasise the difference between the present dissertation and the BBCCE volumes of *Mikrokosmos*. While I strived to discuss the genesis of *Mikrokosmos* objectively and to document the compositional sources in the BBCCE volumes, I tried to conduct a more advanced discussion in the present dissertation, including the interpretation of the compositional sources and that of the *Mikrokosmos* pieces. In other words, in the present dissertation, I was able to minimise the description of some basic information related to the genesis of *Mikrokosmos*, as it has already been summarised in BBCCE Vol. 40. In addition, I was also able to disregard a detailed description of each piece that may involve bar-by-bar, or in some cases, note-by-note comparison of the sources, as this is to be published in BBCCE Vol. 41.

The present dissertation is divided into two parts. After a brief introductory chapter (Chapter 1), the problem of the composition sources is discussed and the most essential composition sources are described in Part I (Chapters 2–5). In the succeeding Part II, the interpretation of the *Mikrokosmos* pieces based on the results of philological research can be found (Chapters 6–12). The present dissertation contains three appendices. Appendix A provides the complete index of the *Mikrokosmos* pieces in the composition sources. Appendix B deals with the background history concerning the relocation of the manuscripts from Budapest to the United States. Finally, Appendix C provides an insight into early numberings found in the engraver's copy.

The text of the present dissertation has been linguistically checked by Editing services (American Journal Experts and Editage), Paul Merrick, and Vera Lampert. I would like to express my gratitude especially to Merrick and Lampert, who generously proofread my text.

I would like to express my gratitude to the owners of the extensive primary sources of *Mikrokosmos*, especially Peter Bartók, who provided the Budapest Bartók Archives with excellent original-sized colour copies of all musical sources in his collection. The knowledge of these compositional sources made it possible to conduct the research concerning the background history of the relocation of Bartók's manuscripts discussed in Appendix B. I am also grateful to Gábor Vásárhelyi, who made it possible to study sources that belong to Bartók's Hungarian estate; and the Paul Sacher Foundation, Basel, and especially its director, Felix Meyer, who provided access to the original manuscripts in Peter Bartók's collection, now in Basel, during a research trip in 2016 and 2019, and kindly allowed the reproduction of facsimiles from the most important manuscript pages.

I would also like to express my thanks to all the people who contributed to the realisation of my research: the antiquarian Ferenc Kiss, who kindly provided a colour copy of a page of music used in Peter Bartók's lessons, now in a private collection; Magdolna Litauszky (Békés County Archives, National Archives of Hungary), who provided us with a copy of the supplement to *Csabai Akkordok* that contains the earliest published piece from *Mikrokosmos*, No. 74 'Hungarian Song'; Viktoria Supersaxo and Lynn Suter (Paul Sacher Foundation, Basel), who assisted me during my research visit there; Sydney Jordan (Special Collections of the University of South Florida Libraries), who generously sent me digital copies of materials relating to Ann Chenée, preserved in the Benjamin Suchoff Collection; Bob Kosovsky (New York Public Library), who shared information about a fragmentary set of tissue proofs of *Mikrokosmos* with autograph additions preserved there; Péter Laki, who gave me an opportunity to research the activity of Wilhelmine Creel, one of Bartók's American pupils, in Japan in the late 1930s. I also would like to express my thanks to the two publisher of the BBCCE volumes, Editio Musica Budapest and G. Henle Verlag of Munich, for permitting me to reproduce the score from the published BBCCE volumes.

I am also grateful to my colleagues, especially Kata Riskó, who provided me with valuable information concerning Hungarian folk music. Viola Biró kindly answered my question concerning the characteristics of Romanian folk music. Concerning some hardly legible Hungarian and German texts, Zsuzsanna Schmidt kindly managed to decipher them. Zsombor Németh provided me with his insight into the autograph manuscripts of Bartók's

string quartets, which helped me to understand some specific features of the *Mikrokosmos* autographs.

I am, however, most grateful to László Vikárus for his direction, insight and constructive criticism. Without his assistance, I would not have been able to complete the present dissertation.

## Prefatory Remarks

In this dissertation, the following conventions are used:

- If the composer's own text is quoted in the original language, the text is always in italics.
- If the musical example is quoted from the *BBCCE* volumes, an asterisk (\*) is added at the end of the caption.
- Pitch names are printed in italics, and octave range is shown using a system in which  $c^1$  designates middle *C* (from lowest to highest:  $C_2$ ,  $C_1$ ,  $C$ ,  $c$ ,  $c^1$ ,  $c^2$ , etc.).
- Notes in dyads and chords are listed starting from the top, separated by a slash (e.g.,  $c^1/a$ ).
- Notes following each other are linked by a dash or separated by commas ( $c^1-e^1-g^1$  or  $c^1, e^1, g^1$ ).
- Bartók's own page numbers are quoted in italics.

The present dissertation contains some musical examples in diplomatic transcriptions. These transcriptions were prepared following the general editorial rules applied in the *BBCCE* volumes, summarised as follows:

The diplomatic transcription strives to retain all meaningful notational details; at the same time, for the sake of readability, some stylised elements are used to mark how Bartók revised or corrected the notation.

In the transcriptions, the chronological layers of the manuscript are differentiated in the following ways:

- If only a few notes, a chord, or a short passage within a bar belong to the original layer, the elements of the original layer are placed to the left and marked with cancellation marks, while those of the revised layer are placed to the right.
- If the ground layer is not entirely decipherable, we transcribe all of the clearly legible elements; uncertain or illegible elements are either marked by a dotted circle or referred to in the verbal description.
- If one or more complete bars of the original or an intermediate layer can be reconstructed with certainty, we transcribe them either (1) above or below the given bar and placed in square bracket or (2) transcribed in the description.
- If the orig. and final layers markedly differ and each represents a continuous independent unity, we transcribe them one above another, without using square brackets.

In the transcriptions, revisions and deletions are generally not reproduced exactly as they appear in the source; instead, the following graphic signs are employed:



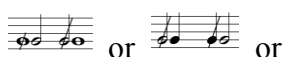
cancellation or revision of notes, chords, and accidentals



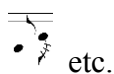
insertion of an eighth



cancellation of a dot



change of note value



etc.



change of note value of beamed notes



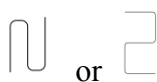
change from beamed eighths to quarter notes



deletion and addition of a note in beamed notes



addition of a flag and lengthening dot



or

marks an exchange of notes, bars, sections, or parts



marks an exchange of the first and third notes



extension of the beam

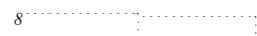


marks a cancellation of a tie or slur



or

modification of the length of the slur



extension of a dashed line



cancellation and insertion of a barline



rearrangement of the barline



, etc.

cancellation of a group of notes, complete bars, or longer passages, occasionally extending into multiple staves (to mark different layers of cancellation, different marks can occasionally be used)



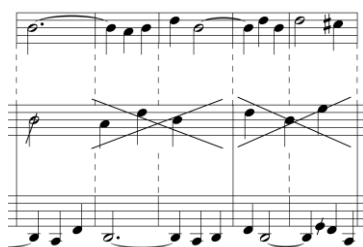
is used to unambiguously mark the insertion of a note or an accidental, especially at the beginning of bar



a horizontal bracket is used to mark which bars constitute a complete bar together



if one or more bars are added later at the end of the system, those bars are separated from the preceding bar



a dashed barline is used when non-adjacent staves together constitute a system

In the transcriptions, the bar numbering follows that of the published version; in the case of unpublished pieces, all the bars are numbered for the sake of better orientation. Inserted bars are numbered consecutively, following the actual content of

the MS. Bars that are not included in the final version, whether or not they are crossed out in the manuscript, are numbered with the last valid bar number followed by superscript plus signs and numbers (16, 16<sup>+1</sup>, 16<sup>+2</sup>, etc.). Multiple versions of the same bar or passage, whether or not they are crossed out, are differentiated by superscript lower-case letters added to the bar numbers (16a, 16b, etc.). If a section is largely equivalent to the final version but its content cannot be matched bar for bar, the  $\approx$  (approximately equal) sign is used before the respective bar numbers.



## 1. *Mikrokosmos* and the ‘Spirit of the Work’

Béla Bartók was born on 25 March 1881 in Nagyszentmiklós, Hungary [now Sînnicolau Mare, Romania] and died on 26 September 1945 in New York. Although his activity can be divided into three fields (i.e., composition, piano teaching, and folk music research), he is primarily recognised as a composer—indeed, one of the most important composers in the first half of the 20th century. The characteristic quality of his music comes from Bartók’s unique ability to integrate the influence from various sources into a new work. The most distinct examples are his mature masterpieces especially from 1930s, where he succeeded in combining some constructive elements deduced from various kinds of folk music and the devices of his contemporary music. A collection of 153 pedagogical piano pieces—*Mikrokosmos* (BB 105, 1932–1939)—may represent a unique example, as Bartók was able to create a significant number of character pieces by incorporating pedagogical considerations into his usual compositional practice.

In fact, Bartók seems to have maintained his interest in pedagogy from the very beginning of his career. He contributed to the field of pedagogy with several easy performance pieces, such as *Ten Easy Piano Pieces* (BB 51, 1908) and *For Children* (BB 53, 1908–1910), and several performing or teaching editions of works by other composers (Bach, Mozart, Beethoven, etc.). In addition, Bartók collaborated with a Hungarian pianist and pedagogue, Sándor Reschofsky, to write the *Zongoraiskola* [Piano Method] for the elementary piano tuition.<sup>1</sup> Although he composed apparently no works directly related to pedagogy in the 1920s,<sup>2</sup> he produced three pedagogical works one after another in the 1930s: *Forty-Four Duos*

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<sup>1</sup> Concerning the historical background of the *Zongoraiskola*, see Nakahara, 25–32. Concerning the contemporary evaluation of the *Zongoraiskola*, see also László Vikárius, “‘Valse, mely inkább mazurka’: A Bartók–Reschofsky Zongoraiskola zeneakadémiai bírálata” [‘A Valse, which is rather like a Mazurka’: Music Academy Professors’ Critical Reports on the Bartók–Reschofsky Piano Method], in *Szekvenciáktól szimfóniáig: Tanulmányok Liszt, Bartók és Ligeti 140 éves Zeneakadémiája tiszteletére* [From Sequencia to Symphony], ed. Ágnes Doboszay et al. (Budapest: Rózsavölgyi, 2015), 165–84. There is Bartók’s copy of *Zongoraiskola* that contains several annotations related to *Mikrokosmos* (for details, see Chapter 5).

<sup>2</sup> It is still possible to point out that some of the *Mikrokosmos* pieces were first written in 1926, and several unpublished pieces from around 1927–1928 can also be related to *Mikrokosmos* as a kind of preliminary study (see Chapter 6).

(BB 104, 1931–1932), *Mikrokosmos*, and *Twenty-Seven Two- and Three-Part Choruses* (BB 111a, 1935).

The direct stimulation for writing *Mikrokosmos* must have come from a German pedagogue, Erich Doflein. For his violin method in preparation, he asked Bartók for permission to arrange his *For Children* for violin duo. However, Bartók instead offered to write new violin pieces, which resulted in a new collection of folk song arrangements, *Forty-Four Duos*.<sup>3</sup> The composition of *Mikrokosmos* can be considered a counterpart to the *Forty-Four Duos*, considering that all but four *Mikrokosmos* pieces are based on Bartók's original themes<sup>4</sup>; at the same time, it is possible to observe that in some cases he composed a *Mikrokosmos* piece in the style of a violin duo.<sup>5</sup>

Bartók started composing *Mikrokosmos* pieces after the completion of the *Forty-Four Duos*, in the summer of 1932, and he continued the composition until shortly before he submitted the manuscripts to the publisher, Boosey & Hawkes in November 1939.<sup>6</sup> The diversity of the *Mikrokosmos* pieces is partly related to what purposes Bartók composed these pieces for. It is most likely that at the beginning (in 1932–1933) he intended to compose a self-contained album of piano pieces ranging from easy to very difficult. However, in 1933, when he started to teach his son, Peter Bartók, he composed some easy *Mikrokosmos* pieces for the piano lesson. In 1934–1936, Bartók mainly composed intermediate pieces for the revised edition of the *Zongoraiskola*, by taking Margit Varró's advice into consideration.<sup>7</sup> Bartók began playing *Mikrokosmos* pieces in 1937, and this experience might have urged him to compose more attractive concert pieces in the same year. It was only in 1939, after he decided to conclude a new contract with Boosey & Hawkes, that he finally composed

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<sup>3</sup> For the relationship between *Forty-Four Duos* and *Mikrokosmos*, see Nakahara, 33–36. Regarding the genesis of the *Forty-Four Duos*, see Nobuhiro Itō, *Barutōku no minzoku ongaku henkyoku* [Bartók's folk music arrangements] (Osaka: Osaka University Press, 2012), 121–201.

<sup>4</sup> Concerning the number of folk song arrangements, see Vera Lampert, *Folk Music in Bartók's Compositions: A Source Catalog* (Budapest: Helikon, 2008), 13.

<sup>5</sup> No. 106 'Children's Song' can be considered one of such examples. For details, see Nakahara, 99–100.

<sup>6</sup> For a summary of the compositional history, see *BBCCE*/40, 19–32\*. For detailed analysis of the genesis, see Chapters 3–4.

<sup>7</sup> Margit Varró was a renowned Hungarian piano pedagogue, born 1881 in Barcs, Hungary, and died in 1978 in Chicago. For Varró's biography, see Mariann Ábrahám (ed.), *Két világrész tanára: Varró Margit / A Teacher in Two Worlds: Margit Varró* (Budapest: [without publisher], 1991), 577–84. Concerning the relationship between Varró and the genesis of *Mikrokosmos*, see Lampert; see also *BBCCE*/40, 25\*.

the easiest pieces (i.e., a significant part of the first two volumes) to complete *Mikrokosmos* as a pedagogical work.

It should be mentioned that the composition of the *Mikrokosmos* pieces and the production of the first edition was closely related to Bartók's life. In addition to the above-mentioned lessons for Peter Bartók, the finalisation of *Mikrokosmos* would not have taken place without the release from the contract with the Austrian publisher, Universal Edition that was Aryanised after the *Anschluss* in March 1938 and a new contract with Boosey & Hawkes. In fact, Bartók did not seem to have composed any *Mikrokosmos* pieces in 1938 and the first months of 1939; Bartók resumed working on *Mikrokosmos* probably only after March 1939, when Bartók and Ralph Hawkes met in Paris and discussed the issue concerning the new contract.<sup>8</sup>

Viewed from another perspective, the composition of *Mikrokosmos* exercised some positive effect on Bartók's life. Even if he had already been considered one of the most important contemporary composers, the publication of *Mikrokosmos*—as a unique collection of pedagogical pieces by a leading contemporary composer—significantly interested Boosey & Hawkes and the realisation of the contract must have been owing to this to some extent.<sup>9</sup> If Boosey & Hawkes was not always able to meet Bartók's expectations, the contract with the publisher made his activity in the United States possible.<sup>10</sup>

On the other hand, *Mikrokosmos* has been exercising a long-lasting influence on Bartók's reception. Since its publication, *Mikrokosmos* has been considered one of the most important pedagogical works in music history, and it might have made Bartók's name popular with pianists.<sup>11</sup> Several composers seem to have been inspired by *Mikrokosmos* and composed their own collection of (pedagogical) pieces with or

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<sup>8</sup> Bartók stayed in Paris between 23 February and 8 March 1939 (*Krónikája*, 407), where he played a selection from *Mikrokosmos* in a radio concert and, together with his wife Ditta Pásztory, performed the Sonata for Two Pianos and Percussion. For details, see *BBCCE*/40, 28\*.

<sup>9</sup> For instance, see an unsigned memorandum quoted in *BBCCE*/40, 28\*. The author of the memorandum strongly encourages the addressee (perhaps Ralph Hawkes) to conclude a contract with Bartók. In addition, the acquisition of Bartók seems to have been big news for the publisher as the announcement is featured on the first content page of *Tempo*, a musical magazine published by Boosey & Hawkes: see [Anonymous], 'Béla Bartók', *Tempo*, No. 4 (1939): 2.

<sup>10</sup> For Bartók's relationship with Boosey & Hawkes in his US years, see Malcolm Gillies, 'Bartók and Boosey & Hawkes: The American Years', *Tempo*, No. 205 (1998): 8–11.

<sup>11</sup> For instance, *Mikrokosmos* was one of the first works published by various publishers after the expiration of the copyright: e.g., *Mikrokosmos*, edited by Mitsuo Sueyoshi et al. (Tokyo: Ongaku no tomo, 2008); *WU/Mikrokosmos*.

without direct reference to *Mikrokosmos*.<sup>12</sup> Several articles,<sup>13</sup> dissertations,<sup>14</sup> and guides have been devoted to *Mikrokosmos*<sup>15</sup>; however, a critical evaluation of *Mikrokosmos* as a whole still awaits the publication of the critical edition of *Mikrokosmos*, which is going to provide all the essential information concerning the genesis of the series as well as the detailed compositional process of each piece.<sup>16</sup>

## 1.1. Approaches to Bartók's Music: Theory or the 'Spirit of the Work'

Béla Bartók might be considered to be one of a few composers who devoted a significant part of his life to the scientific research of folk music. He conducted field

<sup>12</sup> E.g., György Ligeti's *Musica ricercata* (1951–1953), George Crumb's *Makrokosmos* (1972–1979), and György Kurtág's *Játékok* [Games] (1973–).

<sup>13</sup> Two relatively early articles are Silvia Ameringer, 'Teaching with Bartók's "Mikrokosmos"', *Tempo*, No. 21 (1951): 31–35; and Ylida Novik, 'Teaching with "Mikrokosmos"', *Tempo*, No. 83 (Winter 1967–1968): 12–13, and 15. There is a series of articles on Bartók's pedagogical music containing comprehensive analyses of all pieces: Yasuo Sueyoshi, "'Kodomo no tame no ongaku' to Barutōku' ['Music for Children' and Bartók], Parts 1–39, *Ensemble* [September 1973–October 1976].

<sup>14</sup> The most important one is the doctoral dissertation by Benjamin Suchoff (*Suchoff/dissertation*), and the guides based on the dissertation. The importance of Suchoff's dissertation lies in the fact that he conducted source research and published several primary documents he personally collected, including Bartók's remarks recorded by Ann Chenée. Two early German dissertations were published as monographs: Hans Ulrich Engelmann, *Bela Bartoks Mikrokosmos: Versuch einer Typologie „Neuer Musik“*, (Würzburg: Konrad Triltsch Verlag, 1953) and Jürgen Uhde, *Bartók Mikrokosmos: Spielanweisungen und Erläuterungen: die Einführung in das Werk und seine pädagogischen Absichten* (Regensburg: Gustav Bosse Verlag, 1954). See furthermore Mary Elizabeth Parker, 'Bartók's "Mikrokosmos": A Survey of Pedagogical and Compositional Techniques', D.M.A. dissertation (University of Texas at Austin, 1987).

<sup>15</sup> E.g., Lajos Bárdos, 'Stylistic Elements of Bartók's Music: In the 27 Choruses for Equal Voices and in the Mikrokosmos,' in *Selected Writings on Music*, trans. Alexander Farkas and Kata Ittész (Budapest: Zeneműkiadó, 1984), 373–479; Oszkár Frank, *Bevezető Bartók Mikrokosmoszának világába* [Introduction to the World of Bartók's Mikrokosmos] (Budapest: Zeneműkiadó, 1977); Takashi Yamazaki, *Barutōku: Mikrokosmosu no ensō to shidōhō* [Performance and Instruction for Bartók's Mikrokosmos] (Tokyo: Musica Nova, 1981); Takashi Yamazaki, *Barutōku Mikrokosmosu: ensō to kaishaku* [Bartók's Mikrokosmos: Performance and Interpretation] (Tokyo: Shunjūsha, 2007); Valeria Szervánszky and Ronald Cavaye, *Barutōku Mikrokosmosu: ensō to kaishaku* [Bartók's Mikrokosmos: Performance and Interpretation], trans. Sachiko Nagatoishi (Tokyo: Zen-On Music Company Ltd., 1996). The last item was originally written in English but apparently published only in a Japanese translation. Apparently vivid interest towards Bartók's *Mikrokosmos* (and Bartók's music in general) in Japan can still be related to the reception history of *Mikrokosmos*: one of Bartók's pupils in the late 1930s, Wilhelmine Creel, who performed Nos. 142 'From the Diary of a Fly' and 146 'Ostinato' in Tokyo in 1939—the earliest known performances by anyone other than the composer himself—, promoted Bartók's music, which resulted in a Bartók issue of a Japanese musical magazine in 1938.

<sup>16</sup> *BBCCE*/40–41 (the latter volume in preparation).

research in Eastern Europe, Algeria, and Turkey. Even though his primary interest in folk music was bound to his nationalistic feeling in his youth, he soon realised the value and importance of other nations' folk music, and he intensively collected Slovak and Romanian folk music. His career as a field researcher essentially ended with the conclusion of the Treaty of Trianon; nevertheless, he maintained his keen interest in ethnomusicology. One of his primary purposes was to scientifically prove the existence of cultural interactions in the past, rather than to establish the 'cultural primacy' of one nation over other nations as national politics would have demanded. To objectively approach this problem, it was necessary to systematically analyse the folk music that he collected and that he knew from publications. Regardless of how his claim might be evaluated by the present scholarship,<sup>17</sup> his classification based on his year-long research into the folk music of various nations was conducted by the scientific method.

Even though Bartók's achievement as an ethnomusicologist is not always taken into consideration when we listen to his music, his widely acknowledged status as a distinguished scholar—who established a thorough classification method of folk music—may have had a profound effect on the reception of his music.<sup>18</sup> Thus, it was not an accident that on the occasion of the performances of Bartók's *Mikrokosmos* pieces, some reviewers regarded the work as more theoretical than musical or pedagogical.<sup>19</sup> Of course, the implication of the title—'kosmos', which also means 'order'—might also have furthered the impression, not to mention that the title itself does not contain any musical reference.<sup>20</sup>

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<sup>17</sup> For some critical responses to Bartók's ethnomusicological research, see Nobuhiro Itō, *Barutōk: Min'y ō wo 'hakken' shita henkyō no sakkyokuka* [Bartók: A Composer from Periphery Who 'Discovered' the Folk Song] (Tokyo: Csūō Kōron, 1997); Katie Trumpener, 'Béla Bartók and the rise of comparative ethnomusicology: nationalism, race purity, and the legacy of the Austro-Hungarian empire', in *Music and the racial imagination*, ed. by Ronald Radano et al. (Chicago: University of Chicago Press, 2000), 403–434.

<sup>18</sup> This aspect is, however, only observed outside Hungary. For a summary of Hungarian reviews, see *BBCCE/40*, 33\*. For a more complete collection of the contemporary reviews in Europe, see János Demény, 'Bartók Béla pályája delelőjén (1927–1940)' [Béla Bartók at the Peak of His Career (1927–1940)], in *Zenatudományi tanulmányok* [Studies in Musicology], vol. X, ed. Bence Szabolcsi and Dénes Bartha (Budapest: Akadémiai Kiadó, 1962), 189–787; for the US reception, see Tibor Tallián, *Béla Bartók's Reception in the United States 1940–1945* (Budapest: Hungarian Academy of Science Research Centre for the Humanities, 2017).

<sup>19</sup> For instance, the following can be read in a review of a concert at Columbia University on 1 May 1940: 'all seemed . . . to be the product of a purely theoretical rather than a practical pedagogical approach'; see Tallián, *Béla Bartók's Reception in the United States*, 75.

<sup>20</sup> Concerning the problem of understanding the title for contemporary musicians, see *BBCCE/40*, 13\*.

It has been an unfortunate trend in the Bartók scholarship that several scholars have focused too much attention on the theoretical aspects of Bartók's compositions and have tried to establish an objective and scientific analytical approach.<sup>21</sup> It is not my intention to claim that such an endeavour is necessarily futile; it is still possible that someday, somebody will eventually manage to invent an all-encompassing theory by integrating all the earlier approaches.<sup>22</sup> Nevertheless, I think that the establishment of such a theory would not be of primary importance. According to Bartók's own perspective, what seems to be more important is what he called 'the spirit of the work':

*I never created new theories in advance, I hated such ideas . . . This attitude does not mean that I composed without [preliminary] set plans and without sufficient control. The plans were concerned with the spirit of the new work and with technical problems (for instance, formal structure involved by the spirit of the work), all more or less instinctively felt, but I never was concerned with general theories to be applied to the works I was going to write. Now that the greatest part of my work has already been written, certain general tendencies appear—general formulas from which theories can be deduced. But even now I would prefer to try new ways and means instead of*

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<sup>21</sup> I primarily consider a particular kind of 'non-authentic' method to be intended 'objective and scientific', which deals with only a limited number of parameters. (For the term 'non-authentic' method, see Malcolm Gillies 'Bartók Analysis and Authenticity', *Studia Musicologica Academiae Scientiarum Hungaricae* 36 (1995): 326–327. The choice of the word 'non-authentic' may be considered misleading, as it may undermine the 'authenticity' of the scholar applying those approaches: for a critical reaction, see Elliott Antokoletz, 'In Defense of Theory and Analysis: A Critical Evaluation of the Discipline and Its Application to Bartók's Musical Language,' *Musica Theorica* 1 (2016): 1–25.) Certain popularity of such analytic approaches can be explained by that such approaches offer simplified analytic tools which can be easily studied and applied in a new analysis. This easy applicability does not, however, always guarantee a successful analysis; the major problem of these approaches is that they frequently ignore the context and the musical logic intrinsic to the given work. For instance, a problem of the application of the concept 'symmetric pitch organisation' to *Mikrokosmos* No. 133 'Syncopation (3)' (analysed in Antokoletz, 'In Defense of Theory and Analysis', 21–22), see Yusuke Nakahara, 'From Order to Chaos? Compositional Process and Concept of Béla Bartók's *Mikrokosmos*', *Principles of Music Composing* XVII (2017): 130–133.

<sup>22</sup> See, for instance, Gillies's argument: 'I maintain that one system of analysis, satisfactorily applicable to all or the bulk of Bartók's output, is still as distant as ever. Fragments of such a theory may well be in existence, but the very desirability of an all-embracing theory—with its troubling implications of a singularity and organicism to Bartók's oeuvre, and seemingly inevitable conceptual rigidities—may now be less universally welcomed than in previous decades.' (Gillies, 'Bartók Analysis and Authenticity', 320.) For an experiment in the integration of analytic approaches, see David Robert Walker, 'Bartók Analysis: A Critical Examination and Application.' Master's thesis (Ontario, 1996). Walker undertakes to combine six different approaches developed by significant musicologists to develop his own approach to an analysis of the second movement of *Divertimento*.

*deducing theories.*<sup>23</sup>

It may not be clear from Bartók's wording what exactly the 'spirit of the work' is because no concrete examples are mentioned<sup>24</sup>; nevertheless, it is easy to identify some extraordinary formal structures or elements in his music, and beyond such an extraordinary nature, we can assume the existence of 'spirit', even without knowing exactly what it is.

For instance, the use of a divided orchestral force in the Second Piano Concerto suggests something extraordinary: in the first movement, only wind instruments and percussion make up the orchestral part; in the second movement, strings and percussion accompany the outer, slow section; the full orchestra is applied only in the central scherzo section of the second movement and in the third movement.<sup>25</sup> The order of appearance of orchestral forces may remind us of the triad of thesis, antithesis, and synthesis. This extraordinary feature is certainly not what the audience of a piano concerto would expect. The exclusive use of wind instruments may suggest an *homage* to Stravinsky, together with the borrowing of the theme from his *Firebird*, an allusion to *Petrushka* and the stylistic imitation of the idioms of older music.<sup>26</sup> Whether the combination of these elements is truly an *homage* should be decided through the analysis of the second and third movements, as well as by documentary evidence.<sup>27</sup>

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<sup>23</sup> *Essays*, 376.

<sup>24</sup> László Somfai has drawn our attention to the 'spirit of the work', and according to his interpretation, it is 'what we call the narrative of a piece' (see his 'Invention, Form, Narrative in Béla Bartók's Music', *Studia Musicologica Academiae Scientiarum Hungaricae* 44 (2003): 293.

<sup>25</sup> This unique application of orchestral instruments can still be considered an extension of various experiments that had been continuously done. There can be a lot of examples, but what Bartók must have been familiar with is, for instance, the second movement of the *Faust Symphony* where soloists form a chamber-music like texture; in addition to this, in the final section of Bartók's *Scherzo for Orchestra and Piano*, Op. 2 (BB 35, 1904), the piano essentially remains silent despite the expectation of the genre—a kind of piano concerto. Within the genre of the piano concerto, Bartók had already experimented with instrumentation in the second movement of his *First Piano Concerto*, where the percussion part plays a distinct role and the string part is entirely missing.

<sup>26</sup> For the relationship between the Second Piano Concerto and works by Stravinsky, see, for instance, László Somfai, 'Statikai tervezés és formai dramaturgia a 2. zongoraversenyben' [Static Planning and Formal Dramaturgy in the Second Piano Concerto], in Somfai, *Tizennyolc Bartók-tanulmány* [Eighteen Bartók Studies] (Budapest: Zeneműkiadó, 1981), 194–217; David Schneider, *Bartók, Hungary, and the Renewal of Tradition: Case Studies in the Intersection of Modernity and Nationality* (Berkeley: University of California Press, 2006), 173–180, especially 175.

<sup>27</sup> For a related discussion, see Chapter 9.

If the term ‘spirit’ marks some ideas or plans that exist prior to the beginning of the act of composition, another term, ‘concept’, a more general and familiar one, can be considered interchangeable with ‘spirit’. In certain cases, however, the term ‘spirit’ better emphasises the spiritual content of the work and the independency of each work. For instance, in the case of the *Forty-Four Duos* (BB 104, 1931–1932) No. 37 ‘Prelude and Canon’, the term ‘spirit’ seems to be more appropriate than ‘concept’.<sup>28</sup> In this piece, the ‘spirit’ would be an imaginary village scene, derived from an original Hungarian folk song collected in a Hungarian village. In that folk tune, a woman sings a match-making song; however, she is not able to finish her singing, possibly due to her relationship with the people mentioned in the words of the folk song. Instead, she bursts out laughing. In the second part of this *Duo*, the first and second violins move in canon at different intervals by the distance of different rhythmic values: while the intervals between the two violins decrease, the rhythmic distance between them becomes larger. This part may represent a relationship between a young man and woman: one chases the other but never catches him or her.<sup>29</sup> In this case, the term ‘concept’ seems to be too narrow and too neutral to express what an analysis might be able to reveal.

In the present dissertation, to better distinguish such extraordinary cases, the term ‘concept’ is generally used. (In other words, the term ‘concept’ is used as a lower-compatible form of the term ‘spirit’.) However, the reader should be reminded that the lack of related information makes it difficult to judge what can or cannot be considered ‘spirit’. Bartók did not always state publicly even the technical concept of his work. This lack of information prevents us from conducting imaginative yet still convincing interpretations that might reveal the secret of Bartók’s compositions. It is, however, not necessary to always relate the extraordinary structure or elements to some extramusical, secret programmes. This type of research, i.e., the search for abstract, non-musical concepts, might be better conducted by combining a fact-based biographical approach and an aesthetic interpretation. To begin such research, it seems necessary to first engage in more music-centred research to identify what kind of ‘spirit’ (or rather ‘concept’) might exist in Bartók’s music and to determine how he

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<sup>28</sup> See Yusuke Nakahara, ‘A zenei rend diadala?: Az inspiráció forrásainak sokfélesége a 44 duó két hegeűre 37. darabjában’ [A Triumph of Musical Order?: Multiple Sources of Inspiration in *Forty-Four Duos*, No. 37], *Magyar Zene* 56 (2019): 139–160.

<sup>29</sup> The harmonic accompaniment of *Mikrokosmos* No. 95 ‘Song of the Fox’ may be a related topic. For details, see Chapter 6.



develops his music according to it. For this purpose, *Mikrokosmos* could serve as an excellent research subject as this work contains 153 piano pieces, and essentially all of them were written with different pedagogical concerns.<sup>30</sup> In other words, it should be possible to identify 153 spirits (or concepts).

## 1.2. No. 102—In Search of a New Compositional Means and the ‘Spirit’

For research into the ‘spirit’ and ‘concept’, however, it is important to determine what we shall regard as ‘spirit’ and ‘concept’. Considering that many *Mikrokosmos* pieces have purely technical titles such as ‘Fourths’, ‘Fifth Chords’, and ‘Syncopation’, it seems reasonable to consider even such technical elements as the ‘concept’ (or even as ‘spirit’, if we can support that possibility) of the piece; in some cases, however, an apparently technical title suggests the existence of a more profound concept. *Mikrokosmos* No. 102 ‘Harmonics’ can be used as a good example for this discussion.

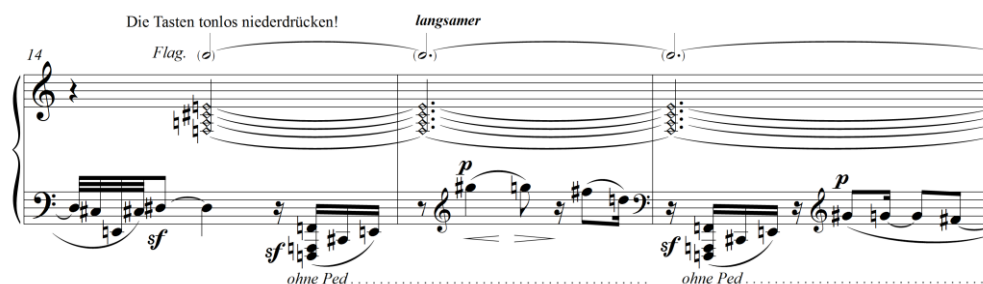
Allegro non troppo, un poco rubato, ♩ = ca. 110

Example 1-1: *Mikrokosmos* No. 102\*

<sup>30</sup> It is possible to observe that even the first six unison pieces (Nos. 1–6, ‘Six Unison Melodies’) are written with distinct pedagogical considerations. Bartók himself told Ann Chenée, an American piano teacher, the following: ‘Melodies are scalewise with consistent note values and five-finger range. Small staves above each piece indicate range of five-finger position. Nos. 1 and 2 are symmetrical or balanced in phrase structure. No. 3 is written in a sort of *D* minor, beginning on the dominant. No. 4 contains combinations of note values in shorter sentences, and it begins on the seventh tone and ends in *C*. No. 5 is in the natural *A* minor; it contains a stepwise sequence of asymmetrical phrases. No. 6 begins and ends on the fifth tone, and it introduces the crotchet rest.’ (quoted from *Suchoff/dissertation*, 239.)

In No. 102, Bartók applies a new piano technique for the first and the last time in his published oeuvre: the use of silently pressed-down keys to produce overtones (see Example 1-1).<sup>31</sup> The application of this new compositional means is related to the last sentence of the above quote: ‘*But even now I would prefer to try new ways and means instead of deducing theories.*’<sup>32</sup> He always sought new modes of expression, even in his later years.<sup>33</sup>

At first, it seems that the use of overtones itself is the ‘concept’; thus, it holds fundamental importance in the composition. It is, however, important to emphasise that Bartók did not merely experiment with the use of a new technical means but tried to realise unexpected sonorities using the technique. If one plays this piece on the acoustic piano, it becomes clear that it is possible to hear many pitches that are by no means notated in the score but are instead produced through the sympathetic vibration of the pressed-down keys. For instance, as all the notes in the right hand of bar 4 ( $c^{\#2}$ ,  $b^1$ ,  $a^1$ ) are in harmonic relationship with at least one note of the B major triad pressed down by the left hand, they continue to sound as long as the chord is pressed down. One of the most interesting features of this piece is that the melodic notes played by the right hand become part of the background harmony for the following melodic notes because each melodic note continues to sound even after the release of the keys as the overtones of the pressed-down keys.



Example 1-2: Arnold Schoenberg, *Drei Klavierstücke*, Op. 11 No. 1 (1909)

<sup>31</sup> It is remarkable that Bartók put a footnote to explain how to play the diamond-shaped note. This suggests that he considered it to be a new technique and to require explanation. On the other hand, he never explained the meaning of uncommon performance instructions, such as a vertical line (|) and an apostrophe (’), in the published volumes of *Mikrokosmos*.

<sup>32</sup> *Essays*, 376.

<sup>33</sup> The search for new expression can be considered one of the fundamental attitudes of Bartók as a composer. Above all, his research on folk music is closely related to the development of his musical language.



Example 1-3: Henry Cowell, *Dynamic Motion* (1916)

This piece appears to have originated in Bartók's own free improvisation on the piano considering how freely the melody evolves and how flexibly the tempo fluctuates. The phrases are motivically related to each other; nevertheless, they are freely spun forward one after another.<sup>34</sup> Nevertheless, it can be said that this piece is based on Bartók's 'scientific' research into how overtones sound on the piano. The technique itself had already been used in some compositions by Arnold Schoenberg or Henry Cowell.<sup>35</sup> However, unlike the effects achieved in the *Mikrokosmos* piece, the pressed-down keys of Schoenberg and Cowell do not (always) produce straightforwardly harmonic resonance (see Examples 1-2 and 1-3).<sup>36</sup> Thus, it is likely that Bartók directly tried to achieve what his contemporaries had not done.<sup>37</sup> The presence of 'scientific' research is suggested by the fact that the apparently improvisatory melody mainly consists of the notes that are in an overtone relationship

<sup>34</sup> Similar free development of phrases can be observed in Nos. 151 and 153 (for details, see Chapter 12).

<sup>35</sup> The names of these two composers were mentioned by Bartók himself to Chenée: 'Schoenberg was the first to use harmonics in the three atonal pieces, Op. 11. Henry Cowell uses these and many other devices such as plucking the strings in various ways at long or short distances to produce unusual sound effects or colors.' (*Suchoff/dissertation*, 315).

<sup>36</sup> In the case of Cowell's *Dynamic Motions*, each note of the chord in bars 5 and 7 is, less directly, still related to the silently pressed-down keys.

<sup>37</sup> See, for instance, Peter Bartók's recollection: 'In my appreciation of serious music Mozart came before Bartók. How I wish now that I had not asked him years earlier: "Why don't you write music that sounds like Mozart's?" The question may have hurt, but he gave no sign of it and patiently explained how an artist is to make his own contribution rather than duplicate the work of others before him.' (*My Father*, 34.) It is possible to interpret the use of harmonics as the expansion of the idea used by Bartók's contemporary composers, similarly to the case of the relationship between Bartók and Seiber (for details, see Chapter 10).

with the pressed-down notes, even when the melody is quite freely devised. This ‘scientific’ approach can be observed, for instance, in bar 18, where the right hand plays  $g^2$ ,  $f^2$ ,  $e_b^2$ , and  $d^2$ :  $g^2$  is the minor seventh of  $a^1$ ,  $f^2$  is the octave of  $f^1$ ,  $e_b^2$  is the minor seventh of  $f^1$  and (in enharmonic notation) the major third of  $b$ ,  $d^2$  is the octave of  $d^1$ . Except for the octaves, these notes are not directly related to the pressed-down keys; thus, they do not sound strongly. Nevertheless, they still sound, and it is possible to listen to them.

Even though Bartók performed this piece several times in public,<sup>38</sup> it is doubtful whether the audience was able to fully appreciate the rich sonority of the overtones.<sup>39</sup> Thus, it is possible that Bartók composed this piece primarily for private performance and intended for pianists to carefully listen to the sound they produce. The listening is of course one of the most important aspects in piano performance, to check whether pianists play as they intend, in terms not only of the correct notes but also aspects such as dynamics and articulations. In the case of No. 102, however, the act of listening is directed to the ‘unwritten’ notes sounding after the release of the keys. Even if Bartók did not intend to radically challenge the concept of listening in general, he tried out his ideas and offered a new mode of listening for the musician.

Interestingly, there is a discarded piece that applies the same technique: Unpublished Piece 5 in **D**<sub>1934–36</sub> (see Example 1-4).<sup>40</sup> This piece was supposedly drafted in 1934–1936, a few years earlier than No. 102. Note that the first set of the pressed-down keys is notated as  $g/e/c$ ; however, judging from the fact that the right hand occasionally plays the same notes, the pressed-down chord should be understood as being an octave higher (similar to a new chord  $b_b^1/g^1/e_b^1$  in bars 17ff. RH).

Despite the application of the same technique, it might be appropriate to say that these two pieces essentially differ from each other. The use of different asymmetric metres one after another (7/8 and 5/8) in the unpublished piece suggests

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<sup>38</sup> For a complete list of concert programmes, see *BBCCE/40*, 31–32\*.

<sup>39</sup> I have never heard this piece in a concert hall; however, judging from the fact that the overtones cannot be clearly heard in most recordings, it is unlikely that the audience in a concert hall would be able to fully appreciate the rich sonority of overtones.

<sup>40</sup> Somfai does not include Unpublished Piece 5 in his counting of unpublished pieces in **D**. (see *Somfai*, 84). In the present dissertation, the numbering of the unpublished pieces follows *BBCCE/40–41*. For the sigla used in the present dissertation, see Chapter 2.

1 2 3 4 5 6 7 8

9 10 11 12 13 14

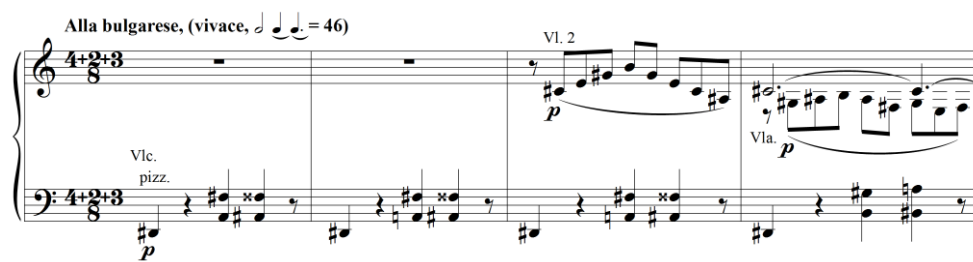
15 16 17 18 19 20

*f* *mf* *p* *simile*

orig.

Example 1-4: *Mikrokosmos*, Unpublished Piece 5 (diplomatic transcription from **D**<sub>1934-36</sub>, p. 31)

that this is a piece in a sort of ‘Bulgarian rhythm’.<sup>41</sup> It is indeed possible to discover some musical similarity to a part of a contemporary work, the third movement of the Fifth String Quartet (BB 110, 1934), ‘Scherzo alla bulgarese’ (see Example 1-5), especially since the bass and accompaniment produce a ‘limping’ feeling. The short melodic figures in the unpublished piece do not produce overtones as clearly as those in No. 102. On the one hand, the melodic notes are lower than the pressed-down keys (e.g., bars 5–6, 8–9, 11–12, and 14–15).<sup>42</sup> On the other hand, even if the melodic notes are in a higher register, these notes are not straightforwardly related to the pressed-down keys (for instance,  $c^3$  and  $a^2$  in bar 19 RH). It is likely that Bartók had not yet experimented with how he might exploit the technique (as he would do in No. 102); yet, it is also likely that he had a different ‘spirit’ of the piece in mind at that time and that the ‘spirit’ demanded a different application of the technique.



Example 1-5: Fifth String Quartet, third movement

The following questions may arise in relation to these pieces: (1) is it possible to regard the use of overtones as the ‘concept’ of the work, and (2) is it appropriate to consider only the use of this technique as the ‘concept’? In the present dissertation, I will regard even the application of a technique as a ‘concept’ (in this case, the use of overtones) as it more often than not influences the overall characteristics of the

<sup>41</sup> For general remarks concerning the use of term ‘Bulgarian rhythm’, see Chapter 12. It may appear problematic to use the term ‘Bulgarian rhythm’ for a piece containing alternation of several asymmetric metres, because in the pieces (or movements) referring to the use of ‘Bulgarian rhythm’, Bartók almost always applied a particular type of asymmetric metre in a section (or even the entire piece or movement). It is, however, possible to discover such alternation of asymmetric metres in a collection of Bulgarian folk music: see Vasil Stoin (ed.), *Narodni pesni B’lgariâ* [Bulgarian Folk Songs] (Sofia: D’rzhavna Pečatnica, 1928). For more detailed discussion of Unpublished Piece 5 and its relationship to the ‘Bulgarian rhythm’, see Nakahara/Mikrokosmos, 72–75.

<sup>42</sup> In this regard, Schoenberg’s *Drei Klavierstücke* served as a source of inspiration (see Example 1-2).

*Mikrokosmos* pieces.<sup>43</sup> It is, however, important to examine whether the technique truly dominates a given piece or whether there is another ‘concept’. As discussed above, No. 102 is not a piece that simply uses the technique, but, rather, it offers the pianist a new aspect of piano playing. Considering that Bartók never used the overtone technique in his other finalised compositions, it is more likely that the primary concept of No. 102 should have been the technique, as its title ‘Harmonics’ suggests. It is likely that in the course of improvisation on the piano, in search of musical inspiration for a new piece, Bartók developed a new ‘concept’ and began to draft a new piece based on this new ‘concept’. In this case, the original ‘concept’, i.e., the application of the overtone technique, was not abandoned; rather, it was incorporated into a more elaborate and more demanding new ‘concept’—in this case, however, it seems to be more appropriate to refer to it as ‘spirit’. In the present dissertation, if it seems possible and meaningful, I shall always aim to give higher priority to such more advanced types of ‘concept’ (or, rather, ‘spirit’), offering more demanding and intriguing interpretations.

### 1.3. No. 142—Revision of ‘Spirit’

It is true that in the above-mentioned quote, Bartók speaks as though the ‘spirit’ were the primary element dominating the entire composition. If we consider that the ‘spirit’ has the highest priority, then the deviation from the original concept seems to be an artistic problem arising from the original plan that he failed to realise. However, we do not have to consider the notion of ‘spirit’ so rigidly. On the one hand, as discussed in the previous case, *Mikrokosmos* No. 102 ‘Harmonics’ might have originally been based on a rather simple concept of using the overtone technique; yet, it is possible that during the compositional process, he developed another concept. On the other hand, there are several examples in which Bartók seems to have sacrificed his original concept (or ‘spirit’).

The best-known example of such a sacrifice would be the case of *Dance Suite* (BB 86, 1923), which originally contained a movement in Slovak character that

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<sup>43</sup> The best example would be No. 144 ‘Minor Seconds, Major Sevenths’, where the characteristic sonority of the major seventh dyad as a kind of ‘bell’ is exploited as one of the most important constructive elements of the piece. For a detailed analysis, see Chapter 8.

Bartók eventually discarded.<sup>44</sup> If the ‘spirit’ of the work was the representation of the musical brotherhood of nations (and it seems to have been the case), it should have been essential to include a component of imaginary Slovak music.<sup>45</sup> It is also known that the third movement of the Piano Sonata (BB 88, 1926) originally contained a bagpipe-episode, which was later separated from the movement and became No. 3 ‘Musettes’ of *Outdoors* (BB 89, 1926). If Bartók’s original concept was to compose an imaginary village scene consisting of variations on a theme performed by various folk instruments, the omission of the bagpipe-episode might have weakened the original concept.<sup>46</sup> In both cases, this apparent deviation from the supposed ‘spirit’ of the work can be explained by the fact that Bartók, for the sake of musical quality, abandoned the sections that undermined the musical effect of the work.<sup>47</sup>

However, the revision of the music does not necessarily mean the abandonment of the ‘spirit’; in some cases, it is possible to assume that Bartók occasionally transformed the ‘spirit’ in accordance with the music he revised (and, in turn, he might have further modified the music according to the ‘spirit’). One such example could be *Mikrokosmos* No. 142 ‘From the Diary of a Fly’.

The title of this piece unambiguously suggests a story about a fly as the concept of the piece. An extraordinary text at bar 49, an exceptionally humorous exclamation of ‘jaj! pókháló!!’ [ouch! cobweb!!], underscores this interpretation.<sup>48</sup>

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<sup>44</sup> For further details, see Ferenc Bónis, *Béla Bartók’s Dance Suite* (Budapest: Balassi, 1998), especially 27–31.

<sup>45</sup> See Somfai, 189–90.

<sup>46</sup> László Somfai, ‘The influence of Peasant Music on the Finale of Bartók’s Piano Sonata: An Assignment for Musicological Analysis’, in ed. Eugene K. Wolf et al, *Studies in Musical Sources and Style. Essays in Honor of Jan LaRue* (Madison, WI: A-A Editions, 1990), 546ff.

<sup>47</sup> For instance, Somfai describes the revision of the *Dance Suite* as ‘Bartók removed [Slovak scene] . . . for purely musical reasons, rendering the original plan incomplete but improving the composition as a whole.’ (see Somfai, 190), and that of the Piano Sonata as ‘It was a victory for Bartók’s self-criticism over his latent gravitation toward construction and conceptualization . . . that he had the courage to cut out the “Musettes” episode, which was slower in tempo and disproportionately long for the context. Although his “catalogue” was no longer complete, his piece became a stronger one.’ (see Somfai, ‘The influence of Peasant Music’, 550).

<sup>48</sup> It should be mentioned that not every edition contains this text. It is missing from the first edition as Bartók requested the publisher (see below). The text itself was known through Suchoff’s dissertation (*Suchoff/dissertation*, 81), yet it was probably the revised edition published in 1987 which restored it for the first time: Béla Bartók, *Mikrokosmos for Piano: New Definitive Edition* (London: Boosey and Hawkes, 1987). All subsequent critical editions follow the revised edition (Béla Bartók, *Mikrokosmos*, vols. I–VI, ed. Takashi Yamazaki (Tokyo: Shunjūsha, 2006); *WU/Mikrokosmos*; Béla Bartók, *Mikrokosmos*, vols. I–VI, hrsg. Yusuke Nakahara (Munich: Henle, 2018); *BBCCE/40*), except for a Japanese edition (Béla



The use of lowercase letters for the initial letters would have been part of the humour to represent that the ‘speaker’ is a tiny fly. However, it is worth noting that Bartók deleted the text in the first edition:

*I wanted to depict the desperate sound of a fly’s buzz, when getting into a cobweb. Now, I don’t know, if we use three languages for this exclamation, the joke will be spoilt. Will you kindly decide, what to do here. We may leave out these words.*<sup>49</sup>

Judging from his wording, the deletion was due to the problem of translation; thus, it was not because Bartók invalidated it. The deletion nevertheless suggests that the text was not the indispensable part of the concept.

From this point of view, it is interesting that this piece might originally have had a different concept, which was hinted at by Peter Bartók in his recollection, *My Father*:

Once, while I played one of my assignments for my father, a loud bumble bee sort of thing started circling around the lamp hanging from the ceiling in the center, competing with the sounds I produced on the piano, while my teacher appeared entirely unaware of its presence and paid only close attention to what I was doing. For me the comical situation became too much and I exploded laughing; my father, on the other hand, saw nothing funny and was much annoyed at the interruption. I wonder if some of these little creatures may have served as the composite model for the *Mikrokosmos* piece: From the Diary of a Fly?<sup>50</sup>

It is remarkable that Peter Bartók associated the sound of No. 142 not with a fly but with another insect, ‘a loud bumble bee sort of thing’, which seems to have been a frequent visitor in Bartók’s house.<sup>51</sup> Even though Peter Bartók himself does not claim that the incident during a piano lesson might have inspired Bartók to write No. 142, the examination of some musical characteristics of the piece may suggest that the incident was one of the sources of inspiration.

No. 142 is a kind of ‘two-part invention’, occasionally with added sustained notes (cf., bars 7–10 LH) or dissonant percussive chords (cf., bars 49–59). It is true that there are several elements that remind us of the sound or the motion of a fly: for instance, the continuously sounding minor seconds at the beginning can be understood

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Bartók, *Mikrokosmos*, vols. 1–6, edited by. Mitsuo Sueyoshi et al. (Tokyo: Ongaku no tomo, 2008).

<sup>49</sup> Bartók to Hawkes, 18 December 1939 (PB, BB–B&H).

<sup>50</sup> *My Father*, 39.

<sup>51</sup> *My Father*, 39 and 44–45.

as the buzzing of a fly (see Example 1-6), and the symmetric movement of the percussive chords (bars 49–59) may imitate the flapping of tiny wings (see Example 1-7). Nevertheless, the independency of the two parts throughout the piece rather suggests the existence of two ‘characters’ instead of one. For example, the two characters could be two flies, and yet, they could also represent Peter Bartók playing the piano and a sort of bumble bee.

Allegro,  $\text{♩} = 146$

sopra

pp

sotto

Example 1-6: *Mikrokosmos* No. 142\*

Agitato,  $\text{♩} = 160$

(jaj! pókháló!!)\*

mf, molto agitato e lamentoso

sf

cresc.

sf

Example 1-7: *Mikrokosmos* No. 142\*

For the discussion of ‘spirit’, it is quite useful to examine the manuscript sources in addition to the published score. For instance, a comparison of the initial layer of the draft facilitates the discovery of the existence of the original ‘spirit’ and how it was developed or transformed into the final ‘spirit’. In the case of No. 142, it is

The image displays a complex musical score for Mikrokosmos No. 142, featuring multiple staves with various musical notations and annotations. The score is organized into several systems, each containing a grand staff (treble and bass clefs) and a single treble staff. The time signature is primarily 3/4, with some sections in 4/4. The notation includes a variety of note values, rests, and dynamic markings. Key annotations include 'as!', '15-20', '23+1', '30+1', '46-48', '50-51', '53+1', '68+1', '68+15', '88', and '100'. A large section of the score is crossed out with a large 'X', indicating a deletion or revision. The final section of the score is marked 'simile' and includes a '100' annotation. The score is presented in a diplomatic transcription format, showing the original manuscript's notation and any corrections or additions.

Example 1-8: *Mikrokosmos* No. 142 (diplomatic transcription from **D**<sub>1933</sub>, p. 10)

31

1.

[orig.: ∞]

54

54+1

55

69

71

71+1

+2

+3

≈76-87

87+1

+2

+3

bis

Example 1-9: *Mikrokosmos* No. 142 (diplomatic transcription from **D**<sub>1933</sub>, p. 11)

remarkable that the initial layer of the draft (**D**<sub>1933</sub>, pp. 10–11) is written in a technically much simpler and easier form so that even a beginner should be able to play it (see Examples 1-8 and 1-9). No sustained note is used in bars 7–10, and the register of both hands in the bars corresponding to bars 32–34 (bars 30<sup>+1-2</sup>) is narrower, and the section can be played with fixed hand positions.

Considering the range of difficulty, especially in the first half of the initial draft, it is possible that Bartók intended this piece for Peter Bartók. If this were the case, it can be observed that the original ‘spirit’ of the piece—a pedagogical piece for Peter Bartók—was essentially abandoned, and the piece was transformed into a real concert piece designed for the composer’s own performance. Elsewhere, Bartók fundamentally transformed relatively easy pieces into concert pieces: for instance, No. 141 ‘Subject and Reflection’ was originally drafted in A (instead of B $\flat$ ), without sustained notes and frequent transpositions.<sup>52</sup> In No. 141, the use of a narrow range (both hands basically remain within a pentachord) underscores that this piece was intended for intermediary pupils rather than pianists.

It is also notable that the form of No. 142 was originally more traditional. The beginning (bars 1ff.) is recapitulated (bars 68<sup>+8</sup>ff.), and interestingly, the register becomes widest at the end of the recapitulated section, in bars 68<sup>+17-18</sup>,  $g\flat^2/g\flat^1$  and  $g^2/g^1$  for the right and left hands, respectively. This result means that the music arrives at the climax immediately before the conclusion; however, this may offer a markedly different narrative than the final version. As implied in the published version, if the middle section (marked by ‘*jaj! pókháló!!*’) is the desperate cry of a fly that is caught in a cobweb, and the following sequence in downward motion (marked by *con gioia*) is the escape from the cobweb, it seems to be contradictory to the natural narrative of the piece that there is yet another climax at the end. It is possible that Bartók first drafted this piece according to musical logic.

In the revised form (bars 69ff., on **D**<sub>1933</sub>, p. 11), the music still slightly differs from the final version, and yet, the climax was eliminated; thus, new musical material was introduced instead: arpeggios of different chords in each hand with staccato. The appearance of staccato in the draft of No. 142 is quite extraordinary and important, as articulations are generally lacking in the draft of the *Mikrokosmos* pieces. However, it is important to emphasise that this new material does not necessarily contradict the

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<sup>52</sup> For the tonal plan of No. 141, see *Nakahara*, 114–15.

original ‘spirit’. Thus, at this point in the compositional process, the revision of the music may not have been accompanied by a revision of ‘spirit’. It is only the autograph fair copy on transparent tissue (**A<sub>1/1</sub>**) that reveals the definitive existence of a new ‘spirit’ as it contains the phrase ‘*jaj! pókháló!!*’. As this phrase seems to belong to the initial layer of the fair copy, Bartók had already revised the ‘spirit’ when he prepared the initial layer of the fair copy at the latest.

In this case, it is remarkable that what we consider to be the ‘spirit’ of the final form of the piece was missing from its earlier version, as the ‘spirit’ contradicts a more musically autonomous three-part form. It is more likely that Bartók originally conceived this piece with a different concept—such as a ‘competition’ between Peter Bartók’s piano playing and the buzzing of a sort of bumble bee—then, he modified the music and the ‘spirit’ of the work. It is impossible to determine which one dictated the revision; however, it is not important to precisely identify the chronological order. What is important here is that the ‘spirit’ is not always the most important element for Bartók’s composition. ‘Spirit’ can be sacrificed for the sake of musical quality, as in the case of *Dance Suite* or the Piano Sonata, and it can also be modified during composition.

In the present dissertation, I will examine some selected *Mikrokosmos* pieces by examining the kinds of concepts that may be present in these pieces (or occasionally that may have originally been present). In some fortunate cases, these concepts can even be discovered from the published score (cf., No. 102); however, in some cases, the concept of a single piece can be found in other pieces composed later in a developed or varied form. Such a relationship can only be examined if we know in what order the *Mikrokosmos* pieces were composed. The following chapter addresses the sources of *Mikrokosmos* and their problems.

# Part I: Re-evaluation of the Sources

## 2. Brief Summary of the Compositional Sources

In the present chapter, the compositional sources of *Mikrokosmos* are briefly introduced according to their function and in roughly chronological order, together with the sigla used in the present dissertation. These sigla are basically identical to those used in *BBCCE/40–41*; here, however, the sigla are re-ordered according to the function of the sources, and within the function, the importance and chronology are considered. Some slight modification has been introduced to the set of sigla to facilitate the discussion.<sup>1</sup>

The source situation of *Mikrokosmos* can be considered to be sufficient as the most important manuscripts survive: the autograph draft (**D**), the autograph fair copy (**A<sub>I-II</sub>**, **A<sub>III</sub>**, and **A<sub>IV</sub>**) and several sets of tissue proofs containing Bartók's autograph corrections (**AP<sub>B1</sub>**, **AP<sub>B&H</sub>**)<sup>2</sup> as well as the engraver's copy (**EC**).<sup>3</sup> Two sets of corrected proofs (**P**),<sup>4</sup> in which Bartók must have introduced corrections, have not yet surfaced.<sup>5</sup> From a philological point of view, the absence of the corrected proofs

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<sup>1</sup> The difference is the division of **A<sub>I</sub>** into three subunits (**A<sub>I/1</sub>**, **A<sub>I/2</sub>**, and **A<sub>I/3</sub>**) and the addition of **A<sub>B</sub>** referring to a physically existing source group, PB, 59PFC1.

<sup>2</sup> The term 'tissue proof' refers to the mechanical copy produced from transparent tissue. Bartók used tissue proofs for various purposes, for instance, to finalise the composition, and to use at concert performances. See *Somfai*, 214–219.

<sup>3</sup> In addition to this, there are several sets of incomplete proofs that Bartók presented to his private pupils and acquaintances, such as Dorothy Parrish and Wilhelmine Creel (both studied piano with him in the late 1930s). Fortunately, it is documented that Creel performed No. 142 'From the Diary of a Fly' and No. 146 'Ostinato' in Tokyo on 8 February 1939 – the earliest known performances by anyone other than the composer himself (for details, see *BBCCE/40*, 31\*).

<sup>4</sup> The second proof consists of only vols. V and VI. For details concerning the shipment of the proofs, see *BBCCE/40*, 29\*.

<sup>5</sup> The corrected proofs seem to have been available to the publisher for some time after publication. According to a recollection by Ernst Roth, he checked the manuscript used by the engraver against the list containing the alleged misprints that was sent to the publisher. However, he found nothing to be corrected; see Ernst Roth, *The Business of Music: Reflections of a Music Publisher* (London: Cassell, 1969), 76. However, there have been apparent textual problems that caught musicians' attention, and two sets of errata have been published, either based on the manuscript sources or on the examination of the published score. The former is published as a part of Suchoff's dissertation (*Suchoff/Mikrokosmos*, 89–93); the latter is an independent article by Stuart Thyne (see his 'Bartók's Mikrokosmos: A Reexamination', *Piano Quarterly* 107 (1979): 43–46).

makes it impossible to determine some textual problems <sup>6</sup>; however, for a musicological study concentrating on the creative process of composition, the minor discrepancies between **EC** and the first edition **E** can be safely ignored.<sup>7</sup>

## 2.1. The Current Classification

For the sake of better orientation, first, I briefly summarise all the known *Mikrokosmos* sources and show how these sources correspond to the sigla used in the dissertation. Based on the list of compositional sources by László Somfai, we can identify eight major groups of sources with independent ‘identifiers’ set forth in parentheses; the corresponding sigla taken from *BBCCE/40–41* are added in square brackets:<sup>8</sup>

- (1) Draft (PB, 59PS1) [= **D**]
- (2) Autograph fair copy on transparent tissue (PB, 59PID1–ID2) [= **A<sub>I-II</sub>**]
- (3) A set of tissue proofs used for Peter Bartók’s lessons (GV, BHadd 95) [= **AP<sub>PB</sub>** + **AP<sub>exx</sub>**]
- (4) A miscellaneous collection of manuscripts, including autograph MS and Bartók’s own set of tissue proofs (PB, 59PFC1) [= **A<sub>B</sub>**]
- (5) A set of tissue proofs submitted to Boosey & Hawkes (PB, 59PFC3) [= **AP<sub>B&H</sub>**]
- (6) Engraver’s copy of the first edition (PB, 59PFC4) [= **EC**]
- (7) Bartók’s own copy of Vols. III and VI with various autograph entries (PB, 59PFC2–TPPS1) [= **E<sub>USI-B</sub>**]<sup>9</sup>
- (8) Jenő Deutsch’s copy of Vol. VI with a correction by Bartók (BBA, BAN)

<sup>6</sup> There are several textual problems; the most intriguing one is probably the numbering of the two chromatic inventions (Nos. 91–92). Bartók added a further numbering of ‘1’ or ‘2’ to each of these pieces, but he put these numberings in brackets in **EC**, and added them at the end of each title, such as ‘Chromatic Invention (1)’ etc. In **E**, however, the bracketed numbering is deleted from the title, and instead an ordinary numbering of ‘1’ or ‘2’ is added at the beginning of each piece. This form better suggests that Nos. 91 and 92 belong together, being a kind of ‘prelude’ and ‘toccata’ (concerning this topic, see also Chapter 6). The relationship between Nos. 91 and 92 is suggested not only by their thematic similarity but also by the fact that Bartók performed them in his concerts one after another, in this order. Nevertheless, it remains an open question whether he intended to show this relationship in the published score.

<sup>7</sup> The number of repeated bars in No. 153 (bars 69–74) might be an exception (see Chapter 12).

<sup>8</sup> *Somfai*, 314–15. I have modified the short description of the sources, in accordance with that applied in *BBCCE/41*, in preparation for publication by the end of 2020.

<sup>9</sup> It has been considered that each volume contains a sketch related to the two-piano transcription (Nos. 2 or 3 from *Seven Pieces from Mikrokosmos*, BB 120, 1940–1941). However, what the third volume contains is not a sketch but an autograph fair copy of the second version of No. 2, copied from another autograph (photocopy: PB, 59TPPS2) and was used in the two-piano recitals (see also Chapter 5).



182) [= **E<sub>US1</sub>-Deutsch**]

Among them, two sources can be considered manuscript complexes: **D** consists of **D<sub>1934–36</sub>**, **A<sub>147</sub>**, **A<sub>IV</sub>**, **D<sub>65, 69</sub>**, **D<sub>1933</sub>**, **D<sub>1932</sub>**, **D<sub>1937</sub>**, **D<sub>1939</sub>**, and **A<sub>64b, 74</sub>** (in the order of appearance in **D**); **A<sub>B</sub>** consists of **A<sub>III</sub>**, **AP<sub>B1</sub>**, **AP<sub>B2</sub>**, and **[EC<sub>147</sub>]**.

Each identifier begins with an acronym of the collection, followed by what can be considered an ‘inventory number’ within the given collection. For the meaning of each acronym, see Table 2-1.

Table 2-1: Explanations of the Acronyms

<b>Acronyms for the collection</b>	
BBA	Budapest Bartók Archives
GV	Gábor Vásárhelyi’s collection
PB	Peter Bartók’s collection
<b>Acronyms in the inventory number</b>	
BAN	Bartók Archives’ inventory number
BHadd	Bartók-Hagyaték [Bartók Estate], addendum
PFC	Piano Final Copy
PID	Piano Intermediary Draft
PS	Piano Sketch
TPPS	Transcription for Two Pianos, Sketch

The following is a list of sources, grouped by their function.

## 2.2. Sketches

<b>S<sub>146</sub></b>	PB, 57PS1, p. 2: Sketch of No. 146 (1926)
<b>S<sub>98</sub></b>	PB, 72SAS1, p. 3: Discarded sketch of No. 98 (1935)
<b>S<sub>ex27–29</sub></b>	Private collection: Sketches to Exercises 27–29 on a music sheet related to Peter Bartók’s piano lessons (1933–1934?)
<b>S<sub>PM</sub></b>	GV, BHadd 16: Sketches and annotations in Bartók’s personal copy of the first edition of Bartók-Reschofsky, <i>Zongoraiskola</i> [Piano Method] <sup>10</sup> (1929–1939?)

Among the sources of the *Mikrokosmos* pieces, there are no independent and distinct source groups containing only the sketch of the *Mikrokosmos* pieces. Bartók usually

<sup>10</sup> Béla Bartók and Sándor Reschofsky, *Zongoraiskola* (Budapest: Rv, PN R. és Tsa 3635, 1913).

drafted the *Mikrokosmos* pieces on music paper, and he notated the piece from beginning to end, supposedly in a short time. It seems that he did not need to prepare preliminary sketches.<sup>11</sup>

One of a few exceptions may be **S**<sub>146</sub>, which contains a preliminary version of No. 146. This sketch is part of the draft of the *Nine Little Piano Pieces*, which was probably composed in relation to that work but put aside in 1926, together with Nos. 81 and 137 (which can be found in **A**<sub>81</sub> and **D**<sub>137</sub>, respectively). From **S**<sub>146</sub>, a continuity draft of No. 146 was written in **D**<sub>1933</sub>. **S**<sub>98</sub> can be considered to be a sketch for No. 98; the notation can be found within the draft of the *Twenty-Seven Two- and Three-part Choruses*, and it was written in a single staff without any designations related to the instrument. From **S**<sub>98</sub>, two autograph versions were prepared (now found in **A**<sub>98</sub> and **A**<sub>II</sub>).

Some sketches can be found in the documents that are not directly related to Bartók's composition. **S**<sub>ex27-29</sub> contains sketches of Exercises Nos. 27–29; however, the source itself was related to Peter Bartók's piano lessons. This source is now in a private collection; however, it originally belonged to **D**<sub>PB</sub>. In **S**<sub>PM</sub>, some sketches and preliminary versions of some of the *Mikrokosmos* pieces can be found, together with various remarks by a renowned Hungarian piano teacher, Margit Varró, which served as the basis for some of the *Mikrokosmos* pieces that were mainly composed in 1934–1936 and 1939.

## 2.3. Main Body of the Draft

**D** PB, 59PS1: Autograph MS complex consisting of drafts and autographs for 139 pieces and 5 exercises

Individual MS units within **D** are the following:

**D**<sub>1932</sub> PB, 59PS1-6: Draft of 31 pieces (1932)

**D**<sub>1933</sub> PB, 59PS1-5: Draft of 29 pieces (1933)

**D**<sub>1934-36</sub> PB, 59PS1-1: Draft of 30 pieces (1936)

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<sup>11</sup> In general, the amount and extent of the sketches of Bartók's compositions is surprisingly few and short. This does not necessarily mean that he did not prepare sketches; however, in the case of *Mikrokosmos* pieces, it is plausible that he first worked out a considerable part of a new piece either in his mind or through improvisation on the piano, then drafted it on music paper.

<b>D</b> <sub>1937</sub>	PB, 59PS1-7: Draft of 10 pieces (1937)
<b>D</b> <sub>1939</sub>	PB, 59PS1-8: Draft of 34 pieces (June 1939)
<b>A</b> <sub>IV</sub>	PB, 59PS1-3: Autograph of Nos. 102 and 134/3 (June–November 1939)
<b>A</b> <sub>147</sub>	PB, 59PS1-2: Autograph fair copy of No. 147, used for the composer's own performances (1939 or earlier)
<b>A</b> <sub>64b, 74</sub>	PB, 59PS1-9: Autograph of Nos. 64b and 74a–b, used for Peter Bartók's lessons (1935)
<b>D</b> <sub>65, 69</sub>	PB, 59PS1-4: Draft of Nos. 65 and 69 (November 1939)

**D** is the most important manuscript group of *Mikrokosmos*, as it contains the autograph draft of almost all the *Mikrokosmos* pieces. The importance of autograph drafts can hardly be overemphasised, as they record the compositional (and occasionally conceptual) evolution of each piece. **D** has been presumed to be an integral unit of the draft of the *Mikrokosmos* pieces; however, this traditional evaluation should be revised. On the one hand, a considerable part of **D** was sent to Switzerland in 1938; however, the current form of **D** contains several autographs prepared after that.<sup>12</sup> On the other hand, **D** can be divided into 9 subunits that are chronologically or functionally independent from each other. In the present dissertation, **D** refers to the physically existing group of manuscripts that are currently deposited in the Paul Sacher Stiftung, Basel.

In chronological order, the subunits of **D** are as follows: **D**<sub>1932</sub>, **D**<sub>1933</sub>, **A**<sub>64b, 74</sub>, **D**<sub>1934–36</sub>, **D**<sub>1937</sub>, **A**<sub>147</sub>, **D**<sub>1939</sub>, **D**<sub>65, 69</sub>, and **A**<sub>IV</sub>.

Among them, **D**<sub>1932</sub>, **D**<sub>1933</sub>, and **D**<sub>1934–36</sub> might have constituted the core of **D**, to which the original cover page was probably added in 1936. In **D**, the order of the folios or bifolios of these manuscripts (**D**<sub>1932</sub>, **D**<sub>1933</sub>, and **D**<sub>1934–36</sub>) was inadvertently shuffled, most likely by Bartók, when he stored them together in 1936.

**A**<sub>64b, 74</sub> was used for Peter Bartók's piano lessons and kept separate from other *Mikrokosmos* manuscripts (originally preserved in PB, 65SATB1, the draft of *Four Hungarian Folksongs*, BB 99, 1930) but later added to **D** by a staff member at the New York Bartók Archive.

**D**<sub>1937</sub> can be found in **D** as an independent subunit, separated from the drafts from the previous years (**D**<sub>1932</sub>, **D**<sub>1933</sub>, and **D**<sub>1934–36</sub>) as well as those from 1939 (**D**<sub>1939</sub>).

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<sup>12</sup> For the circumstances, see Appendix B.

It is possible that **D**<sub>1937</sub> was inserted into **D** before 1938 when Bartók sent **D** to Switzerland.<sup>13</sup> Some pieces in **D**<sub>1937</sub> contain performance instructions. This fact suggests that Bartók intended to use them in concerts or for purposes of practising.

**A**<sub>147</sub> is a fair copy of the final version of No. 147 used in concert performances. From **A**<sub>147</sub>, another fair copy was prepared on transparent tissue, which can be found in **A**<sub>II</sub>. **A**<sub>147</sub> was later inserted into **D**, together with **D**<sub>65, 69</sub> and **A**<sub>IV</sub>, but on a different occasion from the insertion of **D**<sub>1939</sub> and **A**<sub>64b, 74</sub>.

Similar to **D**<sub>1937</sub>, **D**<sub>1939</sub> is an independent subunit, which was originally stored with **A**<sub>III</sub> but later inserted into **D**, presumably by a staff member at New York Bartók Archive.

**D**<sub>65, 69</sub> and **A**<sub>IV</sub> are the two sides of a single folio, probably prepared in this order. While Bartók himself prepared the autograph fair copy on transparent tissue (now part of **A**<sub>II</sub>) from **D**<sub>65, 69</sub>, he asked Jenő Deutsch to prepare a fair copy on normal music paper from **A**<sub>IV</sub>. This copyist's copy by Deutsch can be found in **EC**. **A**<sub>IV</sub> was originally intended to be part of **A**<sub>I-II</sub> as **A**<sub>IV</sub> has the page number '75', which continues the last page number of **A**<sub>I-II</sub>: '74'. However, it is possible that **A**<sub>IV</sub> was used by Bartók to practice No. 102 to prepare for the concerts in the United States in April 1940. If this is the case, **A**<sub>IV</sub> was separated from **A**<sub>I-II</sub> by Bartók and brought to the United States together with **A**<sub>147</sub>, **AP**<sub>B1</sub>, and **AP**<sub>B2</sub>, which he also used at his concerts. As mentioned above, **D**<sub>65, 69</sub> and **A**<sub>IV</sub> were inserted into **D**, together with **A**<sub>147</sub> but on a different occasion from the insertion of **D**<sub>1939</sub> and **A**<sub>64b, 74</sub>.

Except for **D**<sub>1939</sub>, **D**<sub>65, 69</sub>, and **A**<sub>IV</sub>, all the pieces found in **D** were copied into **A**<sub>I</sub>. Concerning **D**<sub>1939</sub>, while 21 easy pieces were copied into **A**<sub>III</sub>, the rest were copied into **A**<sub>II</sub>, together with the pieces on **D**<sub>65, 69</sub>. From **A**<sub>IV</sub>, no further copy was prepared by Bartók himself; the engraver's copy (**EC**) was copied from **A**<sub>IV</sub> by Jenő Deutsch.

## 2.4. Other Drafts in Minor Sources

<b>D</b> <sub>137</sub>	PB, 57PS1, p. 10: Draft of No. 137 (1926, rev. 1933?)
<b>D</b> <sub>PB</sub>	BBA, BAN 6609-1: Autographs and drafts for 5 pieces and sketches to 3 exercises on music sheets related to Peter Bartók's piano lessons (1933–1934?)

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<sup>13</sup> Bartók sent the manuscripts to Switzerland because of the unsettling political climate in Hungary. For details, see Appendix B.

- D-add<sub>1</sub>** PB, 60FSS1, p. 17: Unfinished draft of a piece for piano (1927)
- D-add<sub>2</sub>** GV, BH I/46/5: Finished and unfinished drafts of two pieces for piano (1928?)

Except for **D**, there are a few drafts that might possibly be related to *Mikrokosmos*. **D<sub>137</sub>** was drafted at the same time as **A<sub>81</sub>** and **S<sub>146</sub>**. The fair copy version of **D<sub>137</sub>** can be found in **A<sub>I</sub>**. **D<sub>PB</sub>** contains some revised version of the pieces copied from **D<sub>1933</sub>** as well as new pieces first notated there. All these pieces were copied into **A<sub>I</sub>**.

As for two additional sources (**D-add<sub>1</sub>** and **D-add<sub>2</sub>**) a direct relationship to *Mikrokosmos* cannot be established, yet they could have served as a preliminary study for the composition of the *Mikrokosmos* pieces.

## 2.5. Autograph Fair Copy on Transparent Tissue

- A<sub>I-II</sub>** PB, 59PID1–ID2: Autograph fair copy on transparent tissue of 131 pieces and 30 exercises, also referred to individually as **A<sub>I</sub>** (December 1937?) and **A<sub>II</sub>** (November 1939)

**A<sub>I-II</sub>** is the most important manuscript after **D**. **A<sub>I-II</sub>** contains the autograph fair copy of almost all the *Mikrokosmos* pieces. The rest of the autograph can be found in **A<sub>III</sub>** and **A<sub>IV</sub>**. As **A<sub>I-II</sub>** occasionally contains traces of revision and the versions found in **A<sub>I-II</sub>** are not always identical to the published version, it is possible to examine how Bartók finalised each piece. Unlike **D**, **A<sub>I-II</sub>** has been regarded to be an autograph complex consisting of two inseparable chronological layers of autographs, as suggested by the classification of the New York Bartók Archive: 59PID1–ID2.<sup>14</sup> However, this evaluation should also be revised: **A<sub>I-II</sub>** consists of two clearly separable parts (**A<sub>I</sub>** and **A<sub>II</sub>**), and the former one, **A<sub>I</sub>** can further be divided into three subunits: **A<sub>I/1</sub>**, **A<sub>I/2</sub>**, **A<sub>I/3</sub>**.

From **A<sub>I</sub>** and **A<sub>II</sub>**, several sets of tissue proofs were produced. The important ones are described as follows: **AP<sub>B1</sub>** (from **A<sub>I</sub>**), **AP<sub>B&H</sub>** (from **A<sub>I</sub>**), **AP<sub>PB</sub>** (from **A<sub>I</sub>**), **AP<sub>B2</sub>** (from **A<sub>II</sub>**), **AP<sub>exx</sub>** (from **A<sub>II</sub>**), and **EC** (from **A<sub>I-II</sub>**). Although no hard documentary evidence is available, it is likely that this set of manuscripts was brought

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<sup>14</sup> Concerning this problem, see Chapter 4.

to the United States by Bartók himself in April 1940 and granted to the Bartók Trust<sup>15</sup> in May 1940.

A slight difference of the function between **A<sub>I</sub>** and **A<sub>II</sub>** is that **A<sub>II</sub>** was used when Bartók read the proofs of the first edition of *Mikrokosmos* in the first month of 1940.

The following is a short description of the subunits of **A<sub>I-II</sub>**.

<b>A<sub>I</sub></b>	PB, 59PID1–ID2-1–3: Autograph fair copy on transparent tissue of 106 pieces, further divided into <b>A<sub>I/1</sub></b> (1933), <b>A<sub>I/2</sub></b> (1936), and <b>A<sub>I/3</sub></b> (1937)
<b>A<sub>I/1</sub></b>	PB, 59PID1–ID2-1: Autograph fair copy on transparent tissue of 61 pieces, part of <b>A<sub>I/1</sub></b>
<b>A<sub>I/2</sub></b>	PB, 59PID1–ID2-2: Autograph fair copy on transparent tissue of 35 pieces, part of <b>A<sub>I/1</sub></b>
<b>A<sub>I/3</sub></b>	PB, 59PID1–ID2-3: Autograph fair copy on transparent tissue of 10 pieces, part of <b>A<sub>I/1</sub></b>
<b>A<sub>II</sub></b>	PB, 59PID1–ID2-4: Autograph fair copy on transparent tissue of 26 pieces and 30 exercises

The subunits of **A<sub>I</sub>** (**A<sub>I/1-3</sub>**) can be distinguished from each other by some external characteristics, such as the size and position of time signatures and the choice of title languages. The content of each subunit largely corresponds to the contemporary draft: **A<sub>I/1</sub>** contains the pieces copied from **D<sub>1932</sub>** and **D<sub>1933</sub>**; **A<sub>I/2</sub>** mainly contains the pieces from **D<sub>1934-36</sub>**; and **A<sub>I/3</sub>** contains all the pieces drafted in **D<sub>1937</sub>**. In the case of **A<sub>II</sub>** and **D<sub>1939</sub>**, the more difficult pieces in **D<sub>1939</sub>** were copied into **A<sub>II</sub>**; the rest were copied into another set of autograph fair copy, **A<sub>III</sub>**.

## 2.6. Autograph Fair Copy on Normal Music Paper

<b>A<sub>III</sub></b>	PB, 59PFC1-1: Autograph fair copy of 21 pieces and 3 exercises (June–November 1939)
<b>A<sub>IV</sub></b>	(see above ‘Main Body of the Draft’)

<sup>15</sup> The primary purpose of the Bartók Trust seems to be to cover the publication cost of Bartók’s folk music collection by selling Bartók’s manuscripts. However, the Trust was terminated in 1943 and thereafter the manuscripts were deposited with Bartók’s friend, Bator Victor. Concerning the circumstances, see Gillies, ‘Bartók and Boosey & Hawkes: The American Years’, 10. For details, see also Appendix B.

**A<sub>147</sub>** (see above ‘Main Body of the Draft’)

**A<sub>III</sub>** has been considered to be part of a miscellaneous collection of manuscripts (**A<sub>B</sub>**); however, **A<sub>III</sub>** was originally stored with **D<sub>1939</sub>**, separate from the other part of **A<sub>B</sub>**. However, it remains possible that **A<sub>III</sub>**, **D<sub>1939</sub>**, and at least some part of **A<sub>B</sub>** (most likely **AP<sub>B1</sub>**) were granted to the Bartók Trust in May 1940, and if this is the case, **A<sub>I-II</sub>** would have also been included.

**A<sub>III</sub>** contains an autograph fair copy of 21 pieces copied from **D<sub>1939</sub>**. From **A<sub>III</sub>**, an additional set of fair copy was prepared by Ditta Pásztory, and this further fair copy became part of **EC**.

## 2.7. Other Autographs

**A<sub>81</sub>** PB, 57PID1, p. 12: Autograph of the early version of No. 81 (1926, rev. 1933?)

**A<sub>64b, 74</sub>** (see above ‘Main Body of the Draft’)

**A<sub>98</sub>** BBA, BAN 6609-3: Autograph of No. 98 (1935–1937?)

**A<sub>145a-b</sub>** BBA, BAN 6609-2: Autograph of No. 145a–b, aligned vertically (1939 or earlier, fragment)

There are a few autographs related to *Mikrokosmos*. **A<sub>81</sub>** was a fair copy of No. 81 that was written at the same time as **D<sub>137</sub>** and **S<sub>146</sub>**. The additional fair copy of No. 81 can be found in **A<sub>I</sub>**.

**A<sub>98</sub>** and **A<sub>145a-b</sub>** are the two sides of a single folio, and they were probably prepared on different occasions. It seems that **A<sub>98</sub>** was prepared first, copied from **S<sub>98</sub>** for use in Peter Bartók’s piano lessons. Later, the other side of the folio, which had been left blank, was used for a different purpose: the revision of No. 145a–b as a two-piano piece. **A<sub>98</sub>** was supposedly prepared from **S<sub>98</sub>**, and the fair copy prepared from **A<sub>98</sub>** can be found in **A<sub>II</sub>**. **A<sub>145a-b</sub>** was copied from one of the tissue proofs containing No. 145a–b; then, the correction made in **A<sub>145a-b</sub>** was introduced into **EC** and **AP<sub>145</sub>**.

## 2.8. Tissue Proofs

There are several incomplete sets of tissue proofs produced from **A<sub>I-II</sub>** (the only complete one is **EC**), and their extent and importance varies from case to case. In the following, these sets are grouped according to their importance.

The most important ones containing Bartók's autograph corrections are as follows:

- |                             |   |
|-----------------------------|---|
| <b>AP<sub>B1</sub></b>      | PB, 59PFC1-2: Bartók's own incomplete set of tissue proofs of <b>A<sub>I</sub></b> with corrections, containing 76 pieces, used at concerts from 1938                           |
| <b>AP<sub>B&amp;H</sub></b> | PB, 59PFC3: An incomplete set of tissue proofs of <b>A<sub>I</sub></b> , submitted to Boosey & Hawkes in June 1939, containing 90 pieces  |
| <b>[AP<sub>147</sub>]</b>   | Tissue proof of the early version of No. 147 from <b>A<sub>I</sub></b> , with autograph additions and corrections (preserved in <b>AP<sub>B&amp;H</sub></b> ) (1939 or earlier) |
| <b>[AP<sub>1937</sub>]</b>  | Bartók's own incomplete set of tissue proofs of <b>A<sub>I</sub></b> , used at concerts in 1937, later part of <b>AP<sub>B1</sub></b> and <b>AP<sub>B&amp;H</sub></b>           |

Both of **AP<sub>B1</sub>** and **AP<sub>B&H</sub>** were produced from **A<sub>I</sub>**, and both were supposedly used, either in concerts or at home, to practice the pieces. Based on Bartók's instructions related to page-turning, it is possible to reconstruct a set of tissue proofs that he used in concerts in 1937: **[AP<sub>1937</sub>]**.<sup>16</sup>

**AP<sub>B1</sub>** has been regarded to be part of a miscellaneous collection of manuscripts (**A<sub>B</sub>**); however, it seems that **AP<sub>B1</sub>** did not originally belong to it. Nevertheless, it is still possible that in April 1940, Bartók brought **AP<sub>B1</sub>** to the United States, together with other manuscripts he also used in concerts (**A<sub>147</sub>** and **A<sub>IV</sub>**), and granted **AP<sub>B1</sub>** to the Bartók Trust in May 1940 with some other autograph manuscripts (**A<sub>147</sub>**, **A<sub>IV</sub>**, **A<sub>III</sub>**, and **D<sub>1939</sub>**).

It seems that **AP<sub>B1</sub>** and **AP<sub>B&H</sub>**, as well as the corresponding tissue proofs in **EC**, were first corrected together, probably from 1937 to June 1939. However, as **AP<sub>B&H</sub>** was submitted to the publisher in June 1939, **AP<sub>B&H</sub>** preserves an early layer of the correction. Further, **AP<sub>B1</sub>** remained with Bartók, and it contains some last corrections introduced by him into now missing (**P**) when he checked the proofs of *Mikrokosmos* in the first months of 1940.

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<sup>16</sup> It can be established that at least 22 surviving pages belonged to **[AP<sub>1937</sub>]**; 19 pages from **AP<sub>B1</sub>** (pp. 8, 10, 12–26, 31–32) and 3 pages from **AP<sub>B&H</sub>** (pp. 29–31).



[**AP**<sub>147</sub>] is currently part of **AP**<sub>B&H</sub>; however, this MS originally belonged to [**AP**<sub>1937</sub>]. The fact that he introduced the revision to a page of tissue proofs that he used in concerts suggests that he prepared it during his concert tour of 1937–1939. From [**AP**<sub>147</sub>], it is evident that Bartók later prepared an autograph fair copy (**A**<sub>147</sub>) with some additional revisions.

The following is a list of the tissue proofs of lesser extent (occasionally containing only one page) and lesser importance:

<b>AP</b> <sub>PB</sub>	GV, BHadd 95-1: An incomplete set of tissue proofs of <b>A</b> <sub>I</sub> , containing 49 pieces, mainly used for Peter Bartók's piano lessons (1934?)
<b>AP</b> <sub>B2</sub>	PB, 59PFC1-3: Bartók's own incomplete set of tissue proofs of <b>A</b> <sub>II</sub> , containing 14 pieces (November 1939)
<b>AP</b> <sub>exx</sub>	GV, BHadd 95-2: Tissue proof of pp. 72–74 of <b>A</b> <sub>II</sub> , containing 21 exercises (November 1939)
<b>AP</b> <sub>145</sub>	PB, 59PFC5: Tissue proof of No. 145 from <b>A</b> <sub>I</sub> , used for the two-piano performances by Bartók and Ditta Pásztory (1939?)

**AP**<sub>PB</sub> is a set of tissue proofs currently stored with **AP**<sub>exx</sub>; however, it is certain that they do not belong together. In addition to the fact that their date of production is different, they had completely different functions. While **AP**<sub>PB</sub> was used for Peter Bartók's lessons and contains some notes by Peter Bartók, **AP**<sub>exx</sub> contains solely supplementary materials to the first edition of *Mikrokosmos* (i.e., exercises, second piano parts, and preliminary systems), which were used to prepare **EC**.

**AP**<sub>B2</sub> has been considered part of **A**<sub>B</sub>; however, **AP**<sub>B2</sub> seems to have had a different function, not only compared with other sources in **A**<sub>B</sub> but also with other *Mikrokosmos* sources (with the possible exception of **AP**<sub>145</sub>): **AP**<sub>B2</sub> seems to have been used for the performance of the two-piano transcription of *Mikrokosmos* No. 69; thus, it was kept by Bartók even after May 1940 (the other MS of **A**<sub>B</sub> may have been granted to the Bartók Trust at that time).

**AP**<sub>145</sub> is a small set of manuscripts containing three versions of No. 145 (i.e., No. 145a–c) and No. 147; however, apparently only No. 145a–b were used for concert performances. These manuscript pages might have originally been used by Bartók in his concerts; however, considering that **AP**<sub>145</sub> is preserved separately from other sources, it is more likely that **AP**<sub>145</sub> was used either by Bartók or Ditta Pásztory

for the two-piano performances of No. 145 (the pages of **AP**<sub>145</sub> originally constituted a bifolio; however, if the bifolio had been separated by that time, Bartók and Ditta Pásztory might have been able to use each folio in their concerts).

## 2.9. Engraver's Copy

- EC** PB, 59PFC4: Engraver's copy for **E**<sub>UK</sub>, comprising a complete set of tissue proofs of **A**<sub>I-II</sub> and copyists' copies based on **A**<sub>III</sub> and **A**<sub>IV</sub> (November 1939)
- EC**<sub>145c</sub> GV, BHadd 7, p. [5]: Tissue proof of the discarded piece No. 145c from **A**<sub>I</sub>, orig. part of **EC** (1938 or 1939)
- EC**<sub>147</sub> PB, 59PFC1-4: Tissue proof of the early version of No. 147 from **A**<sub>I</sub>, orig. part of **EC** (1937?)

There is only one set of **EC** containing all 153 pieces and 33 exercises. There are, however, two independent pages that originally belonged to **EC**: **EC**<sub>145c</sub> and **EC**<sub>147</sub>. Their original location is evidenced by the fact that these two pages contain some early numbering of the *Mikrokosmos* pieces. As both pages contain the version that was eventually not included in the series (i.e., the retrograde version of No. 145 and an early version of No. 147 without octaves), Bartók omitted these pages and stored them separately. Concerning **EC**<sub>147</sub>, it is uncertain whether this page was originally paired with any of the groups that currently constitute **A**<sub>B</sub> (i.e., **A**<sub>III</sub>, **AP**<sub>B1</sub>, and **AP**<sub>B2</sub>). The current location (at the end of **A**<sub>B</sub>) was most likely due to the re-organisation of the manuscripts by a staff member at New York Bartók Archive.

- (**P**) Proofs for **E**<sub>UK</sub> (1940, missing)

A set of proofs of the first edition of *Mikrokosmos*, (**P**), should be noted here. (**P**) was sent to Bartók in the first months of 1940, and then, the proof of individual volumes was sent back to the publisher, one after another.<sup>17</sup> (**P**) was checked against Bartók's own control copy, which might have consisted of **A**<sub>II</sub>, **A**<sub>III</sub>, **A**<sub>IV</sub>, **AP**<sub>B1</sub>, **AP**<sub>B2</sub>, **AP**<sub>145</sub>, **A**<sub>147</sub>, and **AP**<sub>exx</sub>.<sup>18</sup>

<sup>17</sup> Concerning the dates of the postal communication, see *BBCCE/41*.

<sup>18</sup> For details, see Section 5.5.

## 2.10. Editions

<b>E<sub>UK</sub></b>	British first edition in six volumes (1940)
<b>E<sub>US1</sub></b>	American first edition in six volumes (1940)
<b>E<sub>US1-B</sub></b>	PB 59PFC2-TPPS1: Bartók's personal copy of vols. III and VI of <b>E<sub>US1</sub></b> (1940)
<b>E<sub>US1-Deutsch</sub></b>	BBA, BAN 182: Jenő Deutsch's copy of vol. VI of <b>E<sub>US1</sub></b> , with dedication and corrections by Bartók (1940)
<b>E<sub>US2</sub></b>	Corrected reprints of <b>E<sub>US1</sub></b> (1940)

From a philological point of view, it is important to distinguish between the two slightly different first editions of *Mikrokosmos*, i.e., the UK edition and the US edition (**E<sub>UK</sub>** and **E<sub>US1</sub>**). Both editions contain errors that do not perfectly coincide; however, the UK edition is likely closer to what Bartók proofread, and the US edition may contain further errors that originated in the process of reproduction (the US edition was not produced from the original plate but a proof of the UK edition that was shipped to the United States in April 1940).<sup>19</sup>

Some corrections are noted by Bartók in the US edition (in **E<sub>US1-B</sub>** and **E<sub>US1-Deutsch</sub>**), and these corrections were introduced into **E<sub>US2</sub>**. As only two volumes of **E<sub>US1</sub>** (i.e., volumes III and VI) that were corrected by Bartók survive, it is ultimately impossible to establish whether some of the discrepancies between the volumes I, II, IV, and V of **E<sub>US1</sub>** and **E<sub>US2</sub>** were Bartók's corrections.

From April 1940 on, **E<sub>US1-B</sub>**, instead of **AP<sub>B1</sub>**, seems to have been used in concerts.

There is a trivial edition of one of the *Mikrokosmos* pieces from 1935, which was issued in a music magazine for schoolchildren, *Csabai Akkordok* [Chords from Békéscsaba, a Hungarian town and the capital of Békés county]. At that time, however, the title *Mikrokosmos* was not used in the magazine.

<b>F<sub>74</sub></b>	Facsimile reproduction of an unknown copyist's copy of No. 74a–b (based on <b>A<sub>64b, 74</sub></b> ) in <i>Csabai Akkordok</i> , March 1935
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<sup>19</sup> Although there is no concrete documentary evidence, based on a letter from Ernst Roth to Ralph Hawkes on 5 April 1940, the proof seems not to have been sent to the United States at that time as Roth reported to Hawkes that he had introduced the copyright date and American price of *Mikrokosmos* to the inner title page for the US edition (PB, BB–B&H).

## 2.11. Recordings

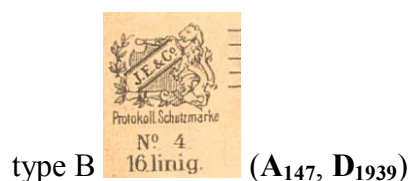
- Rec-B<sub>1</sub>** Recording of Bartók's performance of Nos. 124 and 146 (1937), released in *Columbia History of Music by Ear and Eye*
- Rec-B<sub>2</sub>** Private recording of Bartók's performance of Nos. 109, 138, and 148 (1939)
- Rec-B<sub>3</sub>** Recording of Bartók's performance of 32 pieces, released in *Béla Bartók Playing His Own Works: Excerpts from Mikrokosmos* (1940)

There are three recordings by Bartók, each recorded in different circumstances. **Rec-B<sub>1</sub>** and **Rec-B<sub>3</sub>** are studio recordings; however, **Rec-B<sub>2</sub>** is a private recording of radio broadcast. **Rec-B<sub>3</sub>** contains some deviations from the published score, which might have been because Bartók used his own copies (**AP<sub>B1</sub>** and **A<sub>147</sub>**); or even if he used **E<sub>US1</sub>**, he might have accidentally performed the version contained in his own copies, which he was used to performing.

## 2.12. Types of Music Paper

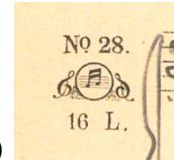
All the types of music paper found in the sources of *Mikrokosmos* are listed below.<sup>20</sup> In the case of several types of music paper, some further variants of the paper types are distinguished using capital letters A through E, and if available, the snippet of the paper containing the trademark is quoted. At the end of each item, the sources containing the given type of paper are listed in parentheses.

- 4-stave music paper without trademark (**A<sub>III</sub>**, **EC**)
- 10-stave music paper without trademark (**A<sub>98</sub>**, **A<sub>145a-b</sub>**)
- 16-stave Eberle & Co. music paper (No. 4, 16 linig):

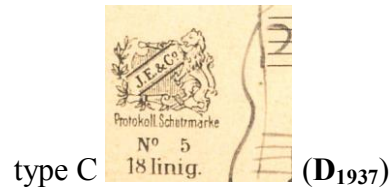
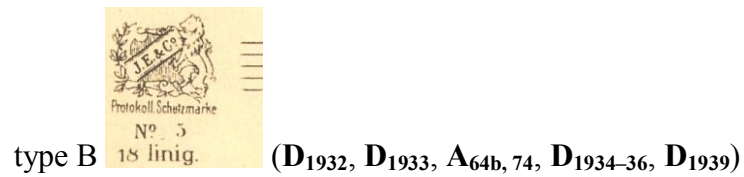
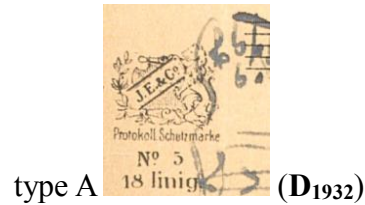


<sup>20</sup> For the list of music paper types used by Bartók, see *Somfai*, 97.

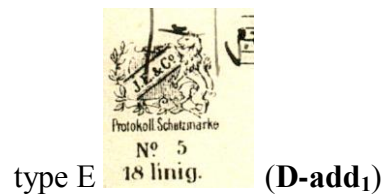
- 16-stave music paper of an unknown producer (No. 28, 16 L.)  
(**D**<sub>1934-36</sub>)



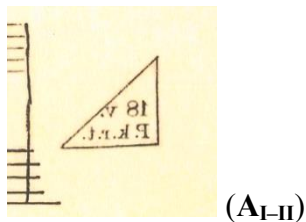
- 18-stave Eberle & Co. music paper (No. 5, 18 linig):



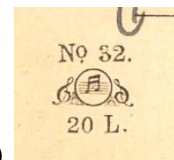
type D [no trademark available] (**D**<sub>65 69</sub>, **A**<sub>IV</sub>)



- 18-stave P.k.r.t. tissue (trademark appears flipped since it is printed on the back)



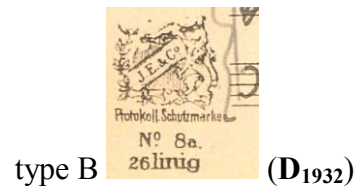
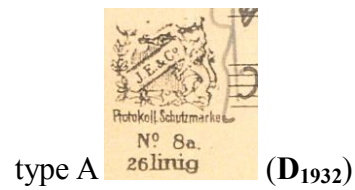
- 20-stave music paper of an unknown producer (No. 32, 20 L.)  
(**D**<sub>1933</sub>)



- 24-stave Eberle music paper (No. 8, 24 linig) (**D-add**<sub>2</sub>)

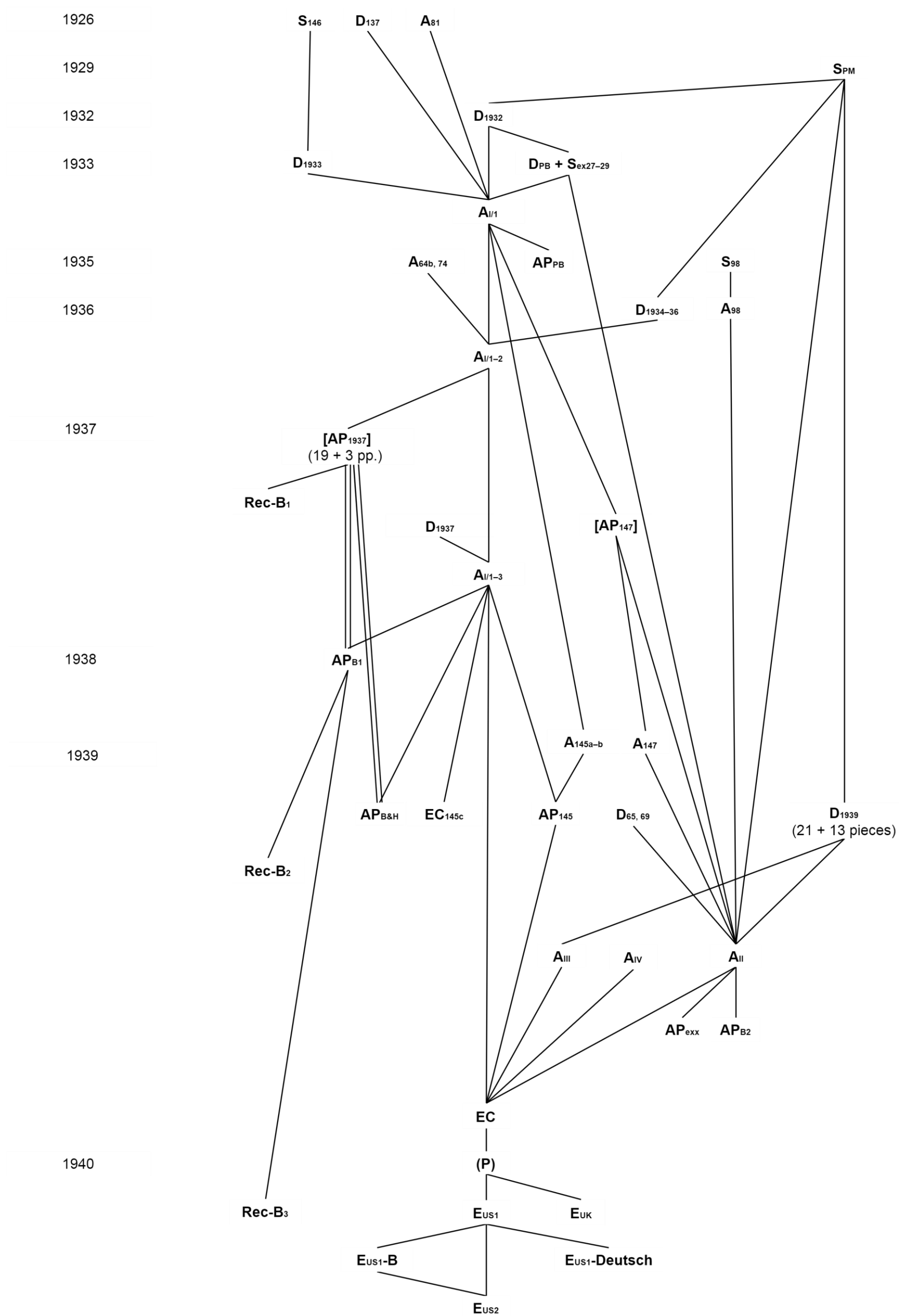


- 26-stave Eberle & Co. music paper (No. 8a, 26 linig):



## 2.13. Stemma

The relationship between the sources is summarised in the stemma (see Example 2-1). A double line means that a source later became part of another source. If the content of a source is divided into two parts (either physically separated or copied into separate sources), the division is marked in parenthesis.



### 3. Background: Problem of Classification and the History of Composition

One of the most fundamental differences between my master's thesis<sup>1</sup> and the present dissertation is that the dissertation is based on a complete examination and (re-)evaluation of the sources concerning the most important manuscripts, **D**, **A<sub>I-II</sub>**, and **A<sub>B</sub>** (now catalogued as 'PB, 59PS1', 'PB, 59PID1-ID2', and 'PB, 59PFC1', hitherto referred to as 'draft', 'autograph final copy', and 'Bartók's personal copy', respectively).<sup>2</sup> In my master's thesis, I was only able to accept the given grouping of the sources and base the investigation on it, presuming that some serious scholarly effort had been invested to establish them. Without doubt, many archivists and scholars have worked diligently and with good will on the documentation and the classification of the sources. However, it is now appropriate to critically address the classification as inherited from the former New York Bartók Archive, now Peter Bartók's private collection.<sup>3</sup>

The crucial problem is that while the compositional sources of *Mikrokosmos* were thought to constitute independent units, the documentary evidence strongly suggests that none of these units are unquestionably considered to be authentic. Even if Bartók occasionally played some essential role in establishing the source groups, their final form differs from their historical state at the time of composition.<sup>4</sup>

In Part I of the dissertation, I will seek to reconstruct how the source groups developed during the period of composition, and how some source groups became combined with other groups, or how a particular source group was eventually divided into several other groups. The argument is based on my extensive analysis and comparison of the contents of several sources, the identification of paper types, as

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<sup>1</sup> Nakahara.

<sup>2</sup> For these references, see, for instance, *Somfai*, 314–15.

<sup>3</sup> Although the classification is fundamentally criticised in the present dissertation and most sources are divided into several subgroups, it is nevertheless necessary to refer to the traditional classification by the New York Bartók Archive in order to refer to physically existing objects.

<sup>4</sup> Precisely, there would have been several 'historical states' at the time of composition, because Bartók would have been able to use the music papers in different ways as he might have felt comfortable: for instance, he began drafting new pieces on nested bifolios, then he abandoned such nested structure. It is not necessary to assume all these possibilities; however, in some cases, the apparently irregular order of pieces in the manuscripts can only be explained by this assumption.



well as the reconstruction of paper structures. As a result, I offer a complete revision of the source groups. Then, I divide the traditionally identified sources into several small chronological units. This division may increase the surface complexity of the source situation; nevertheless, a correct evaluation of the content should significantly be facilitated by this approach.

In this chapter, I first briefly discuss the concept behind the current classification applied in the latest Bartók literature to provide a picture of the problem. Then, I briefly summarise the compositional history of the *Mikrokosmos* as recorded in contemporary documents including the correspondence between the composer and the publisher, Boosey & Hawkes.

### 3.1. The Problem of Current Classification

The sources of Bartók's composition can be divided into two parts, one preserved in the United States and another in Hungary.<sup>5</sup> In the case of *Mikrokosmos*, most sources were sent to the United States (through Switzerland and London) or taken there personally.<sup>6</sup> The US sources were preserved in the former New York Bartók Archive, where they were catalogued and organised according to their classification system.<sup>7</sup> Later, these sources were transferred to Peter Bartók, who not only received the sources but also their classification system. The classification system is still in use in PSS, where the manuscripts in Peter Bartók's possession are deposited.

As for the sources that Bartók left in Hungary when he left for the United States, their provenance and current ownership differs from case to case. The greater part originally belonged to Béla Bartók Jr.'s collection and was formerly deposited at Budapest Bartók Archives; it was inherited by his legal successor, Gábor Vásárhelyi, who now retains it in his private collection; currently, in 2020, digitised copies of these sources are available in Budapest Bartók Archives. However, there are several other sources that currently belong to Budapest Bartók Archives.

It should be noted that different kinds of 'inventory number' (if that is an appropriate term) are applied in the sources in the United States and Hungary. The 'inventory number' of the US sources contains information related not to the sources'

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<sup>5</sup> For a summary, see *Somfai*, 28.

<sup>6</sup> For details, see Appendix B.

<sup>7</sup> See *Bator*, 15.

external appearance but to their content based on the archivists' analysis; thus, it is more than a mere inventory number designed only to serve as an identification tool, unlike the numbers applied in the case of the Budapest sources.<sup>8</sup>

From a musicological point of view, the method applied by New York Bartók Archive introduces some problems: for instance, the terms used by New York Bartók Archive do not always precisely mark the actual content of the given source (see Table 3-1). For instance, while the term 'Intermediary Draft' suggests a stage between an early and a later (final) form of composition, the content of PB, 59PID1–ID2 [= **A<sub>I-II</sub>**] should be considered the final form of the composition as it already contains all the essential information related to the piece. In fact, the adjective 'intermediary' refers to the fact that this source represents the status between earlier and later stages of composition. In addition, these 'inventory numbers' were occasionally used as a kind of 'label' to mark the content of the given page. This latter usage makes it possible to assemble the autographs with different functions and different origins into a single source group (**D**, labelled 'PB, 59PS1', is exactly this sort of assemblage).

Thus, the classification that was originally designed to facilitate researchers' understanding of the content of manuscripts is now a source of confusion instead. Even though we must use these 'inventory numbers' to refer to the physically existing objects, we must ignore their implied classification to avoid further misunderstanding.

Table 3-1 List of Sources

<b>'Inventory number'</b>	<b>NYBA's classification</b>	<b>Evaluation in <i>BBCCE/40–41</i></b>
PB, 59PS1	Sketch	Draft
PB, 59PID1–ID2	Intermediary Draft	Autograph fair copy
PB, 59PFC1	Final Copy	Bartók's personal copy

### 3.2. Composition History in Contemporary Documents

Concerning the current grouping of the *Mikrokosmos* autographs, it is not entirely self-evident that the draft of the *Mikrokosmos* pieces now constitutes a single source group: **D**. Bartók sent his most important autographs, including the *Mikrokosmos* manuscripts, to Switzerland in 1938. The cover page of **D** suggests that this source

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<sup>8</sup> Content-based classification system seems to be applied elsewhere (if not universally). For instance, see Erika Schaller, 'The classification of musical sketches exemplified in the catalogue of the Archivio Luigi Nono', in *A Handbook to Twentieth-Century Musical Sketches*, 59–73.

was one of those that Bartók sent there in 1938.<sup>9</sup> However, the composition of *Mikrokosmos* had not yet been finished: on 15 August 1939, he wrote to his wife, Ditta Pásztory, that he had composed a new *Mikrokosmos* piece.<sup>10</sup> In addition, he seems to have intended to date the composition as completed in 1939. He asked his publisher to correct the date of composition of *Mikrokosmos* as provided by Boosey & Hawkes (1940) on a page of advertisement: ‘omit [it], or substitute (1926–1939) for it.’<sup>11</sup> Judging from other contemporary documents, the current draft group must contain the pieces from 1939: in a 1940 interview Bartók stated that he had composed the first half of Vol. I in 1939,<sup>12</sup> and the draft of 19 out of 36 pieces in Vol. I (Nos. 1–10, 13–17, and 26–29) can be found among the pieces in **D**.

It seems contradictory that **D**, which is the source that left Bartók’s possession in 1938, still contains the pieces composed in 1939. This contradiction should be considered a rather unique philological problem: while the authenticity of the content is never questioned, that of the current compilation may be questionable. It is possible that **D** was later combined with other autographs; however, who could have done it, and when? To answer this question, we shall examine those contemporary documents that contain concrete information concerning the genesis of *Mikrokosmos*.

Although there are some earlier documents related to *Mikrokosmos*, we first examine the 1940 interview by Miklós Szentjóni, which offers an excellent summary of the compositional history by the composer himself:

One piece from the *Mikrokosmos* is as old as the *Nine Little Piano Pieces*, which were brought out in 1926. As a matter of fact, it was to have been the tenth number of the *Nine Little Piano Pieces*, but somehow it was left out. Already by this time I had the idea of writing some very easy piano music for beginners. However, I did not really begin until the summer of 1932: then I composed about 40 pieces; in 1933–34, another 40 pieces; and the next years following, about 20 more. Until finally by 1938 I had finished a hundred and some. But I found lacunae in them, and I filled those lacunae last year: thus, the first half of the first volume was written then. I had a good opportunity at home to try out this material. My son, Peter, asked me in 1933 to let him take piano lessons. I made a bold decision and I undertook this, for me, somewhat unusual task. Apart from singing and technical exercises only *Mikrokosmos*

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<sup>9</sup> The cover page has an item number ‘49a’, which can be found among the list of manuscripts Bartók prepared in 1938 and handed over to the recipient of the manuscripts, Annie Müller-Widmann (see Appendix B).

<sup>10</sup> Bartók to Ditta Pásztory, 15 August 1939 (see *Családi levelei*, 597).

<sup>11</sup> This instruction can be found on a page titled ‘List of all noticed errors in piano score of Viol. Concerto’. This page belongs to the corrected copy of the piano reduction of the Second Violin Concerto (PB, 76TVPC2; photocopy in BBA).

<sup>12</sup> See the interview with Szentjóni in *Beszélgetések*, 204–208.

music was taught to the child; I hope this was to his advantage but I can confess that I learned a lot from this experiment. I also greatly profited from Margit Varró's critical remarks made in connection with my old and at the time highly controversial piano method. There was a copy of my piano method in my possession, which contained annotations by Mrs. Varró; quite a few *Mikrokosmos* pieces were composed following these annotations.<sup>13</sup>

According to Bartók, the compositional process can be divided into several periods: (1) 40 pieces from 1932, (2) another 40 pieces from 1933–1934, (3) 20 more pieces from 1935–1937, and (4) the remaining pieces from 1939. Although this division seems to be a rough chronology based on Bartók's recollection from the year after the completion of *Mikrokosmos*, it is still possible to verify these periods with other contemporary documents, as well as the evidence in the manuscripts, and the chronology is largely considered to be reliable.

In the first written document related to *Mikrokosmos*, a letter from Bartók to the Universal Edition on 12 October 1932, he wrote that he composed 'about 35' pieces in the summer of 1932:

Your present request for very easy piano pieces from me fits in with my own intentions: just this summer I wrote some, about 35, beginning with the very easiest (like the pieces in the 'First Term', published by Rózsavölgyi) and becoming progressively more difficult. Since I intend to write a multifaceted work, however, it will still take a while before I can complete it.<sup>14</sup>

The difference between the number of the '40' pieces mentioned in the 1940 interview and 'about 35' in the 1932 letter seems to be trivial, as '35' could be rounded up to '40' if Bartók roughly counted in 1940 (if he remembered at all). It cannot, however, be ruled out that he composed several pieces after October 1932, late that year.

Concerning the number of pieces, there are no written documents from 1933–1936. However, on 27 September 1937, Bartók wrote to his agent, Antonia Kossar, that the *Mikrokosmos* contains one 'hundred and ten' pieces.<sup>15</sup> The amount largely coincides with what Bartók mentioned in the interview: 'by 1938 I had finished a hundred and some'.<sup>16</sup>

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<sup>13</sup> *Beszélgetések*, 204–208. The English translation is taken from *BBCCE/40*, 17\*.

<sup>14</sup> Bartók to UE, 12 October 1932 (PB, BB–UE). English translation from *Musical Mind*, No. 176. In the correspondence between Bartók and UE, there are no other documents related to *Mikrokosmos*.

<sup>15</sup> For Bartók's letter to Kossar, see László Somfai (ed.), *Documenta Bartókiana*, Vol. 6 (Budapest: Akadémiai Kiadó, 1981), 177.

<sup>16</sup> *Beszélgetések*, 205.

In addition, Bartók counted the number of his compositions on the back side of a letter from Eyvind H. Bull on 30 November 1938.<sup>17</sup> The way in which Bartók counted his compositions is strange. While he considered a large-scale work (e.g., *Cantata profana*, Second Piano Concerto, Fifth String Quartet, or *Music for Strings, Percussion and Celesta*) to be ‘1’ as a single unit, he probably counted *Mikrokosmos* ‘100’, for example, as a collection of 100 small but independent pieces. At any rate, this finding suggests that the amount of the *Mikrokosmos* pieces did not change, at least up until November 1938.<sup>18</sup>

Thanks to the correspondence between the composer and his new publisher Boosey & Hawkes (the contract was concluded in May 1939), there are many pieces of documentary evidence concerning the genesis of *Mikrokosmos* from March 1939 on.<sup>19</sup> On 17 April 1939, Bartók wrote that ‘*I would send you soon a copy of the existing ca 100 pieces*’.<sup>20</sup> Precisely, the set of manuscripts (**AP<sub>B&H</sub>**) he sent to Boosey & Hawkes seems to have originally contained 106 pieces.<sup>21</sup> As an additional piece is not included in **AP<sub>B&H</sub>**, the total amount of the pieces in April 1939 would have been 107.<sup>22</sup>

This letter provides further proof that the composition of *Mikrokosmos* had temporarily halted by April 1939. In the same letter, Bartók mentioned that ‘*It is absolutely important to add still 20 or 30 very small and very easy pieces, to write them will not take much time.*’<sup>23</sup> The description of the difficulty (‘very small and very easy pieces’) coincides with the information provided in the interview: ‘the first half of the first volume was written’ in 1939.<sup>24</sup> The total number of pieces, however,

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<sup>17</sup> GV, BH 227.

<sup>18</sup> It is possible that this count is related to the registration of his compositions to the English Performing Rights Society. While the large-scale works were likely to be performed as a whole, in the case of other cyclic works or collections of short pieces, either the entire work or some excerpts can also be performed. This interpretation is reinforced by the fact that cyclic works or collections receive a number that is generally larger by one than the total number of movements or pieces.

<sup>19</sup> This is partly because *Mikrokosmos* was considered to be the most important composition to be published by Boosey & Hawkes. For a summary regarding the communication between the composer and the publisher, see *BBCCE*/40, 25–27\*.

<sup>20</sup> Bartók to Hawkes, 17 April 1939 (PB, BB–B&H).

<sup>21</sup> **AP<sub>B&H</sub>** seems to have originally consisted of the tissue proofs produced from all the 59 pages **A<sub>I</sub>**, which contains 106 pieces in total.

<sup>22</sup> The additional piece is No. 98 ‘Thumb Under’, sketched among the draft of *Twenty-Seven Two- and Three-Part Choruses*.

<sup>23</sup> Bartók to Hawkes, 17 April 1939.

<sup>24</sup> *Beszélgetések*, 205.

gradually increased in the course of 1939. On 13 June, Bartók informed Hawkes that he had ‘*written ca 30 new pieces, but these are not yet copied*’.<sup>25</sup> A few days later, on 17 June 1939, when he submitted **AP<sub>B&H</sub>**, he estimated the number of new pieces to be ‘*some 30 or 40 more*’.<sup>26</sup> In the end, Bartók composed 46 pieces in 1939, judging from the fact that *Mikrokosmos* contains 153 pieces but only 107 pieces were ready by April 1939.

One of Bartók’s letters from Switzerland may reveal the very nature of the compositional process of the *Mikrokosmos* pieces that he may have written down as they occurred to him, even during the work on another, more important and representative composition:

I’m occupied with the *Divertimento* for the whole day. That’s not quite true; yesterday afternoon when I was having a bit of a block towards the end of the 3rd movement, suddenly a little *Mikrokosmos* piece popped out. (It’s already time for me to give it over to the printer, otherwise it’ll never be finished.)<sup>27</sup>

Even though this letter refers to a specific event in the summer of 1939, it is quite likely that Bartók jotted down *Mikrokosmos* pieces from time to time. Peter Bartók’s account (‘My father wrote them as the ideas happened to occur to him . . .’)<sup>28</sup> conveys what a family member experienced at that time. Even though this account does not contain any direct information, it is likely that the composer occasionally spoke about his progress on the little piano pieces to his family as he did in his 1939 letter. As some of the *Mikrokosmos* pieces were directly intended for Peter Bartók and used in his lessons, it is more likely that Peter carefully observed what his father was doing and saying at the time and later vividly remembered them.<sup>29</sup>

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<sup>25</sup> Bartók to Hawkes, 13 June 1939 (PB, BB–B&H).

<sup>26</sup> Bartók to Hawkes, 17 June 1939 (PB, BB–B&H).

<sup>27</sup> Bartók to Ditta Pásztory, 15 August 1939 (see *Családi levelei*, 597; English translation quoted from *Musical Mind*, No. 247). Bartók used the dialectal word “*kiszottyant*” [popped out] to express how a new piece came to his mind unexpectedly.

<sup>28</sup> *My Father*, 38.

<sup>29</sup> See *My Father*, 37–39; see also Section 1.3. concerning the possible relationship between Peter Bartók’s lesson and one of the most characteristic *Mikrokosmos* pieces, No. 142 ‘From the Diary of a Fly’.

## 4. Description and Reconstruction of **D**, **A<sub>I-II</sub>**, and **A<sub>B</sub>**

In this chapter, I examine the three most important and simultaneously most problematic sources among the compositional sources of *Mikrokosmos*: **D**, **A<sub>I-II</sub>**, and **A<sub>B</sub>**. The importance of these sources can be underscored by their size: each contains 139, 131, and 111 pieces. It is notable that each source represents different stages of the compositional process: thus, it is possible to examine the evolution of the pieces by comparing these stages. The problem is signalled by the fact that while only two *Mikrokosmos* autographs had been documented (specifically, the autographs with item numbers ‘49a’ or ‘49b’),<sup>1</sup> the number of sources seems to have increased in the following years. The catalogue of the New York Bartók Archive can serve as a point of reference regarding how many compositional sources of *Mikrokosmos* were publicly identified at that time:

(52)  
MIKROKOSMOS for Piano (1926–1939) [...]  
Sketch [= PB, 59PS1 (**D**)]  
Two Intermediary Drafts [= PB, 59PID1–ID2 (**A<sub>I-II</sub>**)]  
Two Final Copies† [= PB, 59PFC1 (**A<sub>B</sub>**) and PB, 59PFC2 (**E<sub>USI-B</sub>**)]  
[. . .]<sup>2</sup>

(As the primary purpose of this catalogue was to inform not scholars but the wider interested public, the catalogue number of the sources was not provided. For the sake

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<sup>1</sup> Concerning the item number and its history, see Appendix B. Each characterised by Bartók himself as ‘*brouillon*’ or ‘*MS végleges*’ [‘Final MS’] These manuscripts were deposited with one of Bartók’s friends, Victor Bator, in 1943, and later became the core of the New York Bartók Archive.

<sup>2</sup> Bator, 28. The sources belonging to *Seven Pieces from Mikrokosmos* are omitted. This classification of the *Mikrokosmos* sources dates back to at least 1956 (See *Suchoff/dissertation*, 212–13). A dagger (†) on the items (c) marks ‘Non-Autograph Manuscript’, which is ‘either a facsimile of the composer’s autograph or a reproduction, copyist’s manuscript or published copy containing the composer’s handwritten corrections.’ (see Bator, 22). In this case, however, the designation as ‘Non-Autograph Manuscript’ is misleading. This designation can only be applicable to one of the two sources (PB, 59PFC2), which is Bartók’s own copy of vols. III and VI of the first edition of *Mikrokosmos*, with a few autograph additions. The other source (PB, 59PFC1) contains 7 folios on which 21 pieces of music paper are pasted. The quantity can be considered relatively small (7 out of 34 folios); still, this source contains the autograph fair copy on normal music paper by Bartók, which is quite rare among the entire *Mikrokosmos* sources. To dismiss these autograph pages may distort our understanding of the compositional process.

of better orientation, the corresponding source groups in the Paul Sacher Stiftung and sigla in *BBCCE/40–41* are complemented in square brackets.<sup>3)</sup>

Due to a lack of evidence, it cannot be securely established how the items ‘49a’ and ‘49b’ correspond to the manuscripts catalogued by the New York Bartók Archive. However, it is not my aim to precisely reconstruct the historical status of ‘49a’ and ‘49b’. The hypothesis that the manuscripts had originally been grouped differently makes it possible to deduce a further hypothesis that the current content of the three source groups (**D**, **A<sub>I-II</sub>**, and **A<sub>B</sub>**) may not reflect their ‘original state’ as Bartók organised them. In the following, based on these hypotheses, I aim to freely address the three source groups (**D**, **A<sub>I-II</sub>**, and **A<sub>B</sub>**) and to identify different layers within these sources. The result not only aids our understanding of the compositional process but also enables us to gain insight into the secret of Bartók’s workshop.

## 4.1. **D—Main Body of the Draft**

**D** is an autograph MS complex consisting of drafts and autographs for 139 pieces. The MS contains different types of music paper with different functions from 1932 to 1939, archived and arranged in the New York Bartók Archive. This MS consists of several functionally and chronologically independent units.

The MS consists of 45 folios of different types of music paper: 6 folios of 16-stave Eberle music paper (No. 4, 16 linig); 18 folios of 18-stave Eberle music paper (No. 5, 18 linig); 6 folios of 22-stave Eberle music paper (No. 8a, 22 linig); 8 folios of 16-stave music paper (No. 28, 16 L.); and 7 folios of 20-stave music paper (No. 32, 20 L.). Bartók did not paginate the MS as a whole; however, this is natural because the current form of **D** never existed in his lifetime. Instead, there are three different kinds of archival pagination: (1) complete stamped pagination, (2) almost complete but provisional pagination in pencil, and (3) fragmentary, similarly provisional pagination in circled numbers. The present dissertation usually refers to the stamped pagination for the sake of better orientation.

For the full contents of the source, see Table 4-1. The independent unit within the MS can be summarised as follows:

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<sup>3</sup> On the basis of *Suchoff/dissertation* as well as the ‘Master Index’ in New York Bartók Archive whose excerpt is published in facsimile, the correspondence can be established with certainty (see *Suchoff/dissertation*, 212–13, and *Bator*, [46]).



- pp. 1–2, 31–38, 55–60, and 85–86: composed in 1934–1936 (**D**<sub>1934–36</sub>)
- pp. 3–6: a bifolio containing a fair copy of the revised version of No. 147, prepared by June 1939 and used in concert performances (**A**<sub>147</sub>)
- p. 7: a page containing the autographs of Nos. 102 and 134c, paginated by Bartók as ‘75’ (**A**<sub>IV</sub>)
- p. 8 (reverse side of p. 7, used upside down): a page containing the drafts of Nos. 65 and 69, prepared in 1939 (**D**<sub>65, 69</sub>)
- pp. 9–12, 27–30, 39–48, and 53–54: composed in 1933 (**D**<sub>1933</sub>)
- pp. 13–26, and 49–52: composed in 1932 (**D**<sub>1932</sub>)
- pp. 61–72: composed in 1937 (**D**<sub>1937</sub>)
- pp. 73–84: composed in 1939 (**D**<sub>1939</sub>)
- pp. 87–90: a fragmentary bifolio containing the autographs of Nos. 74a–b, and 64b (**A**<sub>64b, 74</sub>), composed by March 1935

The table also summarises the argument of the present chapter: the identification of the paper types, the reconstruction of the paper structure, and the identification of the chronological layers. Among these research topics, the last has already been addressed by John Vinton, who established a year-by-year micro-chronology on the basis of the documentary evidence and conducted a comparison with **A**<sub>I–II</sub>.<sup>4</sup> For my own research, I basically applied the chronology established by him as a point of departure. In some cases, however, I have arrived at different conclusions; the differences are summarised at the end of the present subchapter. On the other hand, I will offer another micro-chronology, more precise than Vinton’s, proceeding piece-by-piece using the results of the first two topics. The establishment of the more detailed micro-chronology makes it possible to examine one of Bartók’s characteristic compositional methods, the ‘chain of inspiration’ (i.e., a piece’s musical idea inspires Bartók to compose another piece).

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<sup>4</sup> Vinton, 41–69.

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Bifolio	Folio	Paper type	Page numbers			Content	Division
			Stamped	Circled	Penciled		
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>	31	[J.E. & Co., No. 5/C]	61			[blank]	[= <b>D</b> <sub>1937</sub> ]
			62		56	139, 109 (conclusion, continued from p. 71)	
	32		63		57	148 (beginning)	
			64		58	148 (conclusion)	
	33	J.E. & Co., No. 5/C	65 □		59	149	
			66		60	150	
	34	J.E. & Co., No. 5/C	67 □		61	153 (beginning)	
			68		62	153 (conclusion), 151 (beginning)	
	35		69		63	151 (continuation)	
			70		64	151 (conclusion), 130	
	36	J.E. & Co., No. 5/C	71 □		65	120, a sketch to BB 115, 109 (beginning, continued to p. 62)	
			72		66	138	
	37	J.E. & Co., No. 4/B	73 □	1	67	Unpublished exercise 1, 40, Ex. 6, Ex. 8, 68, 45 (beginning)	[= <b>D</b> <sub>1939</sub> ]
			74	2	68	45 (conclusion), Ex. 12, 54, 72, 126 (beginning)	
	38		75	31	77	126 (conclusion), 97	
			76	32		[blank]	
	39	J.E. & Co., No. 4/B	77	23	69	10, 29, Ex. 4, 83, 15, 13	
			78 □	24	70	17, 107, 39, 38, 42	
	40 <sup>§</sup>	[J.E. & Co., No. 5/B]	79 [□]	25	71	104a (1st ver., beginning)	
			80	26	72	104a (1st ver., conclusion)	
	41 <sup>§</sup>		81	27	73	104a (rev.). 119	
			82	28	74	121	
	42	[J.E. & Co., No. 4/B]	83	29	75	2a–b, 1, 3, 4, 5, 6, 14	
			84	30	76	16, 7, 28, 26, 8, 9, 27, Ex. 3	
	43*	No. 28, 16 L.	85 □		78	123a, 116 (beginning)	[= <b>D</b> <sub>1934–36</sub> ]
			86		79	116 (conclusion), 129	
	44 <sup>§</sup>	[J.E. & Co., No. 5/B]	87 [□]			74a	[= <b>A</b> <sub>64a, 74</sub> ]
			88			74b (beginning)	
	45 <sup>§</sup>		89			74b (conclusion)	
			90			64b	

\* Folios 1 and 43 originally constituted a bifolio (not marked in the table due to reasons of layout).

\*\* Paginated as “75” by Bartók.

\*\*\* The paper is used upside-down.

† Together with a discarded sketch.

‡ The paper contains only three staves.

§ The paper is in a landscape format.

In the tables representing the contents of autographs, the following conventions are used:

- The reconstruction of bifolios is marked by brackets to the left; dashed lines mean a lesser degree of certainty.
- The paper type is identified by the trademark on the folio and is further classified on the basis of the exact placement of the trademark on the sheet. If a trademark is missing from a folio, the paper type is identified by examining the pre-printed staves. The type of a fragmentary folio is similarly identified and added in square brackets.
- A rectangle (□) marks which page bears a trademark.
- If the MS contains more than one version of a complete draft and these versions are notated on different pages, the version is marked in parentheses. If a draft extends over more than one page, the order of composition is also marked in parentheses. Exercises are always preceded by the abbreviation “Ex.” to avoid confusion between pieces and exercises.

### 4.1.1. Identification of the Paper Types

The point of departure of the examination of **D** is the identification of the paper types and the reconstruction of the paper structure. In the Bartók scholarship, the trademarks that appear on different types of music paper have been used for the identification of the paper type.<sup>5</sup> This method can be developed by making distinction within a particular type of music paper that can be grouped into several subgroups according to the precise location of the trademark on the music paper;<sup>6</sup> thus, we can analyse and reconstruct the paper structure accurately, by taking these subgroups into consideration. In most cases, of Bartók's manuscripts, however, such a degree of precision is not required. On the one hand, the period of composition is usually short, and only a few types of paper were used. On the other hand, Bartók usually drafted a new composition continuously from the beginning to the end, and he did not write different sections or movements of the work simultaneously. Consequently, it can be easy to discover the relationship between the pages based on the flow of the music. In turn, the established relationship between the pages may greatly help in the reconstruction of the paper structure.

In the case of *Mikrokosmos*, however, distinguishing between the various types of paper is essential. The reason is partly due to the rather long period of composition (1932–1939), where **D** contains a greater variety of music paper than the drafts of other compositions. However, this difference is partly because the draft of the *Mikrokosmos* pieces frequently concludes at the end of the page, which makes it impossible to identify the relationship between the pages based on how the music continues onto another page. In addition, the brevity of the pieces made it possible for Bartók to compose more than one piece simultaneously, i.e., he began composing another piece before finishing the previous one. Under these criteria, the identification of the paper types is essential to group pieces of paper that might be contemporaneous.

The identification of the precise type of paper can be easily done if there is a trademark on the paper.<sup>7</sup> In the case of **D**, however, this solution cannot always be

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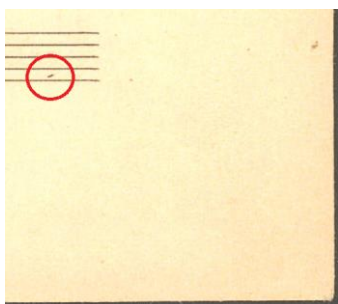
<sup>5</sup> Somfai, 96–98.

<sup>6</sup> For instance, on the website of the Arnold Schönberg Center, different subgroups of music paper are catalogued. See 'Papiersorten,' Arnold Schönberg Center, accessed 14 September 2020, <http://archive.schoenberg.at/compositions/allepapiersorten.php>.

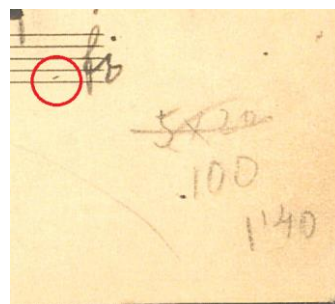
<sup>7</sup> The following discussion is based on the method I presented in a conference paper: 'Adalékok a papírszerkezet-kutatáshoz: a New York-i Bartók Archivum lapszámozásai' [Contribution to the Research on Paper Structure: Page Numberings by the New York Bartók

applied as more than half of the folios lack a trademark. On the one hand, the bifolios used by Bartók bear only one trademark per sheet, and as the original bifolios were torn apart into single folios, half of such folios do not have a trademark. On the other hand, **D** contains several fragmentary sheets of music paper lacking a trademark because the part of the sheet containing a trademark was cut off. Without a trademark, it seems impossible to identify the type of paper.

However, it is still possible to identify the paper type by examining the printing errors of the pre-printed staves on the music paper. The pre-printed staves do not always seem totally identical, mostly due to the deformation of the cliché. The most remarkable case is p. 61 of **D**, where a small stroke can be found at the right edge of the bottom staff (see Example 4-1). The same stroke can be found in the same place on pp. 63 and 69 of **D** (see Example 4-2; here only p. 63 is reproduced). These folios do not have a trademark; however, as the adjacent folios have the same kind of trademark, ‘J.E. & Co., No. 5’, it is very likely that the paper type of these non-trademark folios is also ‘J.E. & Co., No. 5’.



Example 4-1: Snippet from **D**, p. 61



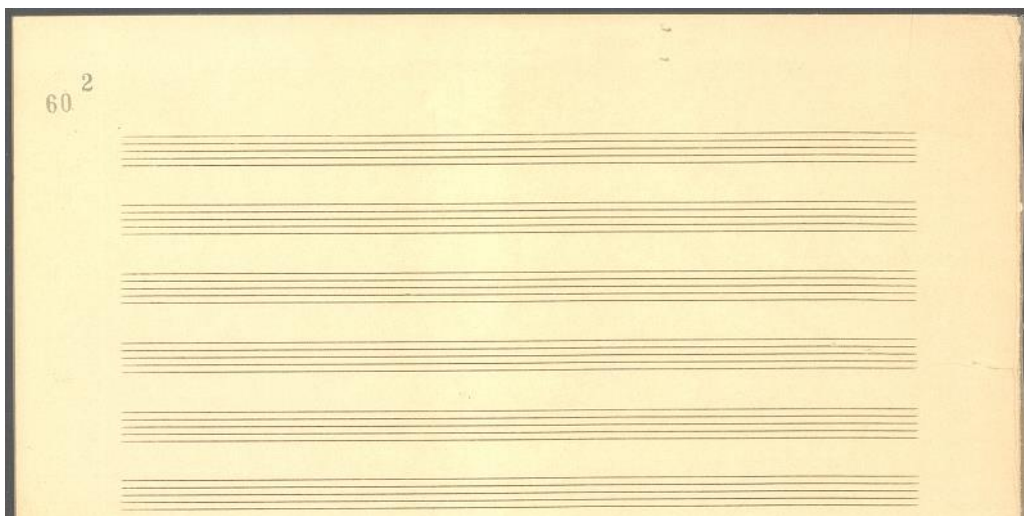
Example 4-2: Snippet from **D**, p. 63

However, other ‘J.E. & Co., No. 5’ paper in **D** lacks such a small stroke. For instance, we shall examine the case of pp. 51–52 of **D**. This folio lacks a trademark, and there is no physical evidence identifying the paper with which this folio originally constituted a bifolio. Nevertheless, in this regard, there is a large ‘K’ in red pencil in the top right-hand corner of p. 51 (supposedly the recto side of the folio), and the same ‘K’ can also be found on p. 49 of the previous folio with the trademark ‘J.E. & Co., No. 5’; therefore, pp. 51–52 originally formed a bifolio with pp. 49–50. However, there is no small stroke in the corresponding place of either p. 51 or p. 52. Thus, the

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Archive], at a musicological conference entitled ‘A 20. századi zenetörténeti források hitelessége’, organised by the Archives and Research Group for 20th and 21st Century Hungarian Music, Institute for Musicology, on May 29, 2019.

examination of pre-printed staves can be used as a tool for the identification of the paper types.



Example 4-3: Overlapped manuscript pages from **D**, pp. 2 and 60



Example 4-4: Overlapped manuscript pages from **D**, pp. 55 and 61

If there are no distinct errors in the pre-printed staves, we can still try to identify the paper type by overlapping the scanned images of the manuscripts and seeing whether the overall form of the pre-printed staves within a page coincides (see Examples 4-3 and 4-4). In Example 4-3, two pages of the same paper type (pp. 2 and 60 of ‘No. 28, 16 L.’) are overlapped, and the staff lines coincide almost perfectly. On the other hand, in Example 4-4, two pages of the same paper type (pp. 55 and 61 of ‘J.E. & Co., No. 5’) are overlapped although each page belongs to a different subgroup B and C, respectively. As a result, the staff lines do not match despite the paper type. Note that pp. 55 and 61 are overlapped in the way that the top staves of these two pages largely coincide. In the image, only the bottom right-hand corner of the overlapped pages is shown to avoid reproducing Bartók’s autograph in a deformed fashion. As these old manuscript pages might have shrunk slightly differently, the

lines of the printed staves do not always coincide perfectly. Nevertheless, it is possible to identify the direction of the paper and the types of paper.

By using this method, I have managed to identify all the types of music paper found in **D**, as represented in Table 4-1. The most notable result of this identification is that the paper type of a non-trademark folio used as the cover (**D**, pp. 1–2) is ‘No. 28, 16 L.’. There are four folios with this trademark (pp. 31–32, 33–34, 37–38, and 85–86). However, it is most likely that the last folio (pp. 85–86) originally formed a bifolio with the cover folio considering their location within **D** as well as the irregular edges of the folios on pp. 1–2 and 85–86. The bifolio constituted by these folios seems to have functioned as a kind of envelope of **D**.<sup>8</sup> The envelope was probably added in 1936 or 1937 when Bartók might have considered the composition of *Mikrokosmos* to have been finished, gathered the drafts of *Mikrokosmos* and stored them together. In 1938, Bartók added the item number ‘49a’ to the first page of **D** and sent it to Switzerland.

#### **4.1.2. Reconstruction of the Paper Structure**

There is no documentation of the original state of **D** as sent by Bartók in 1938 or of how it was modified in the following years. However, it is still possible to assume with some certainty that the current form of **D** preserves one of its historical states when an archivist at the New York Bartók Archive began organising Bartók’s manuscripts.<sup>9</sup> From that historical state, it is possible to reconstruct an earlier state of **D**.

##### **4.1.2.1. Preliminary Pagination and **D**<sub>1939</sub>**

The key is a set of preliminary pagination in pencil ranging from 1 to 79, usually introduced in the bottom left-hand corner of the page.<sup>10</sup> The pagination can only be

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<sup>8</sup> A similar structure can be found in PB, 42FSS1, the draft of Second String Quartet (BB 75, 1914–1917). For details, see *BBCCE/30* (in preparation).

<sup>9</sup> The organisation might have begun in 1948, when, according to Bator, ‘[t]he idea of the Archives was conceived’. However, the substantial part of the organisation must have been later than the appointment of the new assistants, Nike Varga and Benjamin Suchoff in 1954 (see Bator, 14–15). Although no precise date is given concerning the appointment of Suchoff, it seems to have been also in 1954; see Elliott Antokoletz, ‘The New York Bartók Archives: Genesis and History’, *Studia Musicologica* 53 (2012): 342.

<sup>10</sup> Similar preliminary pagination can be found in the autograph manuscripts of the *Nine Little Piano Pieces*: PB, 57PS1 and PB, 57PID1 (see Nakahara, ‘Adalékok a papírszerkezet-

found on the pages with musical content; thus, missing from them are the cover pages (pp. 1–2) and blank pages (pp. 3, 6, 60–61, and 76). However, it seems that this set of pagination was made before the analysis of the contents, as the page numbering ‘4’ is written upside down in the top right-hand corner on p. 8. This finding means that the numbering might have been added without recognising that this p. 8 itself was used upside-down. The last number ‘79’ is assigned to p. 86, which underscores the above hypothesis that the folio pp. 85–86, together with the current cover folio, pp. 1–2, originally wrapped the whole of **D**. The fact that the pagination is missing from pp. 87–90 (= **A**<sub>64b, 74</sub>) suggests that these pages were added to their current place later.

In fact, these pages originally belonged to another group of manuscripts: in the top margin of p. 90, there is a remark by an archivist at the New York Bartók Archive: ‘Found in 65SATBS1’—the draft of the *Four Hungarian Folk Songs*. As this remark refers to the classification system introduced by the New York Bartók Archive, and these pages bear the stamp ‘Béla Bartók Estate’ and ‘59 PS 1’ in the same manner as the other pages of **D**, these pages were discovered when the staff member at the New York Bartók Archive examined the sources from page to page, and these pages were (probably immediately) assigned to **D** and probably added at the end of the group.<sup>11</sup>

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kutatáshoz’.) In this case, the existence of preliminary pagination has crucial importance, because it suggests that these two groups of manuscripts, which are currently kept separately from each other, were originally stored together.

<sup>11</sup> The existence of this page raises a question concerning the classification by New York Bartók Archive: are these the only pages that originally belonged to another group of manuscripts but were later re-organised by the staff at New York Bartók Archive? In this case, it should be regarded as fortunate that the provenance of the source was recorded; yet it should also be regarded as quite interesting that the classification of the source ‘65SATBS1’ functioned as if it were really a type of ‘inventory number’. On the other hand, however, there are two additional pages of **D** (pp. 91–92 of **D**) that have more than one classification number: ‘59PS1’ and ‘57PS1’ or ‘57PID1’. Different from other pages of **D**, these pages are a photocopy of the pages belonging to the source group of the *Nine Little Piano Pieces* (PB, 57PID1, p. 12 and PB, 57PS1, p. 2, respectively). The stamp ‘59 PS 1’ can be found on the photocopy; however, this finding is because the stamp is on the original pages. The existence of more than one ‘inventory number’ on a single object seems quite strange. In such cases, the classification number serves as a kind of ‘label’ that can be applied independently from the physical state of the manuscripts. Thus, the classification number has two apparently contradictory functions (‘inventory number’ and ‘label’), and these functions were applied without a clear distinction. Consequently, the integrity of the source group is not guaranteed by anything: a classification number was assigned to a folio of manuscripts based on an evaluation of the content, and then the folio was re-organised according to the classification number.



Table 4-2: Different paginations in **D**, pp. 73–84

<b>Paginations</b>		
<b>Stamped</b>	<b>Pencilled</b>	<b>Circled</b>
73	67	1
74	68	2
75	77	31
76		32
77	69	23
78	70	24
79	71	25
80	72	26
81	73	27
82	74	28
83	75	29
84	76	30

It is worth noting that on pp. 73–84, there is an apparently incomplete, additional set of circled numbering, consisting of 1–2 and 23–32 (see Table 4-2). These pages constitute unit **D**<sub>1939</sub>, a set of drafts from 1939. The circled numbering on these pages nevertheless constitutes a complete set of numbering, ranging from 1–32, together with the pages of **A**<sub>III</sub>. This fact suggests that **D**<sub>1939</sub> and **A**<sub>III</sub> were originally not part of **D**. Judging from the shape of the numbers, the numbering seems to have been done by an American rather than a Hungarian; thus, it is likely that the re-organisation of the manuscripts took place after Bartók’s death.

It is obvious that these three kinds of numberings were made following different concepts, considering that the stamped pagination has a different order of numbering in comparison with the other two, and the pencilled numbering contains a skip after the number ‘77’. However, it is notable that the order of the pencilled numbering and circled numbering still coincides, except that in the circled numbering, number ‘3’ is followed by number ‘22’. The skipped numbers are due to the fact that there was originally a set of small-sized music paper (= **A**<sub>III</sub>, which now belongs to **A**<sub>B</sub>) between the pages numbered ‘3’ and ‘22’ (see below). This finding suggests that the circled numbering was made first; then, after the removal of **A**<sub>III</sub> from **D**<sub>1939</sub> and the insertion of **D**<sub>1939</sub> into **D**, the pencilled numbering was introduced without re-organisation of the order of the pages in **D**<sub>1939</sub>.

On the other hand, the discrepancies between the stamped and pencilled numbering are because the order of pages had been re-organised before the stamped

pagination was introduced. Nevertheless, the re-organisation should be considered to be minimal. Based on the content, it seems that the six folios of **D**<sub>1939</sub> originally constituted three bifolios (see Table 4-3). It is obvious that within this context, two fragmentary folios of the same size (pp. 79–82) constituted a bifolio. For the remaining four folios, considering that there are two trademark pages, these four folios might have constituted two bifolios. Judging from the location of the trademark, one folio (pp. 77–78) was used upside down. On the basis of the identification of the paper type, it can be established that another folio (pp. 83–84) was also used upside down. Thus, these two folios are likely to have formed a bifolio. Consequently, the remaining two folios might also have constituted a bifolio.

Table 4-3: Reconstruction of the original bifolios of **D**<sub>1939</sub>

Bifolio	Folio	Paper type	Stamped p.	Content
	42	[J.E. & Co., No. 4]	83	2a–b, 1, 3, 4, 5, 6, 14
			84	16, 7, 28, 26, 8, 9, 27, Ex. 3
	39	J.E. & Co., No. 4	77	10, 29, Ex. 4, 83, 15, 13
			78 □	17, 107, 39, 38, 42
	37	J.E. & Co., No. 4	73 □	Unpubl. Ex. 1, 40, Ex. 6, Ex. 8, 68, 45 (beg.)
			74	45 (concl.), Ex. 12, 54, 72, 126 (beg.)
	38	[J.E. & Co., No. 4]	75	126 (concl.), 97
			76	[blank]
	40 <sup>12</sup>	[J.E. & Co., No. 5/B]	79 [□]	104a (1st ver., beg., from 1934–36?)
			80	104a (1st ver., concl., from 1934–36?)
	41	[J.E. & Co., No. 5/B]	81	104a (rev.). 119
			82	121

Hypothetical reconstruction of the paper structure can be underscored by the examination of the content: each bifolio has pieces of similar difficulty that are loosely arranged in order of difficulty. Further, there is additional numbering in front of each piece (see Table 4-4). As Bartók planned to compose ‘20 or 30 very small and very easy pieces’,<sup>13</sup> and the amount coincides with what he mentioned in the letter, it is possible that he added these numbers, one after another, at the time of composition.

<sup>12</sup> The lower part of this bifolio (pp. 79–82) is cut down, similar to **A**<sub>64b,74</sub> (**D**, pp. 87–90). It is likely that the first version of No. 104a was written in 1934–36, intended as an exercise for Peter Bartók, rather than being composed in 1939.

<sup>13</sup> Bartók to Hawkes, 17 April 1939 (PB, BB–B&H).

Table 4-4: Additional numbering in **D**<sub>1939</sub>

Temporary numbering	Page
<i>1</i> [= No. 2a–b]	83
<i>2</i> [= No. 1]	
<i>3</i> [= No. 3]	
<i>4</i> [= No. 4]	
<i>5</i> [= No. 5]	
<i>6</i> [= No. 6]	
<i>7</i> [= No. 14]	
<i>8</i> [= No. 16]	84
<i>9a</i> [= No. 7]	
<i>9b</i> [= No. 28]	
<i>10</i> [= No. 26]	
<i>11</i> [= No. 8]	
<i>12a</i> [= No. 9]	
<i>12b</i> [= No. 27]	77
<i>13</i> [= No. 10]	
<i>14</i> [= No. 29]	
<i>15</i> [= No. 83]	
<i>15</i> [= No. 15]	
<i>16a</i> [= No. 13]	
<i>16b</i> [= No. 17]	78
<i>17</i> [= No. 107]	
<i>18</i> [= No. 39]	
<i>19</i> [= No. 38]	
<i>20</i> [= No. 42]	
<i>21</i> [= No. 40]	73
<i>22</i> [= No. 68]	
<i>23</i> [= No. 45]	
<i>24</i> [= No. 54]	74
<i>25</i> [= No. 72]	
<i>29</i> [= No. 126]	
<i>26</i> [= No. 104a]	81
<i>27</i> [= No. 119]	
<i>28</i> [= No. 121]	82
<i>29</i> [= No. 126]	74
<i>30</i> [= No. 97]	75

A discontinuity in numbering on p. 74 (‘25’ is followed by ‘29’) may underscore this interpretation. If Bartók entered the numbering after finishing the composition of all the pieces found in **D**<sub>1939</sub>, it would have been natural for him to have added the number ‘26’ to the piece that comes after ‘25’. The actual process of composition would have been that after finishing ‘25’, he picked up another bifolio (pp. 79–82), drafted new pieces in the blank space of the bifolio, and gave them numbers ‘26’ to ‘28’. After that, he would have filled the remaining space on p. 74 with piece ‘29’ and then continued the draft on p. 75.

Table 4-5: Reconstructed temporary structure of **D**<sub>1939</sub> (according to pencilled page number)

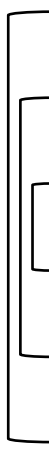
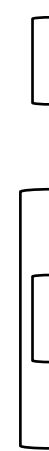
Bifolio	Folio	Page numbers	
		Stamped	Pencilled
	37	73 □	67
		74	68
	39	77	69
		78 □	70
	40	79 [□]	71
		80	72
	41	81	73
		82	74
	42	83	75
		84	76
	38	75	77
		76	

Table 4-6: Reconstructed paper structure of **D**<sub>1939</sub> (according to stamped page number)

Bifolio	Folio	Page numbers	
		Stamped	Pencilled
	37	73 □	67
		74	68
	38	75	77
		76	
	39	77	69
		78 □	70
	40	79 [□]	71
		80	72
	41	81	73
		82	74
	42	83	75
		84	76

Based on the pencilled numbering, it seems possible to reconstruct a temporary structure of the bifolios. The bifolios of **D**<sub>1939</sub> might have originally constituted nested bifolios, and the outermost bifolio (pp. 73–76) may have functioned as an ad hoc cover of **D**<sub>1939</sub> (see Table 4-5). The difference between this temporary order and the current order is that while the order of the inner bifolios (pp. 77–84) had been preserved, the outermost folio was removed from the nested bifolios and placed before the rest of the bifolios (see Table 4-6). Considered from a different perspective, these reconstructed paper structures can best be explained by the fact that

the numbering (either stamped or pencilled) preserves a historical state of paper structure. If we apply this observation as a hypothesis, it is possible to identify the original paper structure in the remaining part of **D**.

#### 4.1.2.2. Later Insertions—**A<sub>147</sub>**, **A<sub>IV</sub>**, and **D<sub>65, 69</sub>**

Before the reconstruction of the original paper structure of the MS, it seems necessary to identify some independent units that were inserted into the MS later, either by Bartók or another person. The independent units in question are **A<sub>147</sub>**, **A<sub>IV</sub>**, **D<sub>65, 69</sub>**, **D<sub>1937</sub>**, **D<sub>1939</sub>**, and **A<sub>64b, 74</sub>** (in order of their appearance in the MS).

Among these units, the last two have already been discussed briefly. In both cases, the existence (or absence) of the preliminary pagination played an essential role. All the pages containing music have preliminary pagination in pencil except for **A<sub>64b, 74</sub>**. This finding means that **A<sub>64b, 74</sub>** was added to **D** after the preliminary pagination was introduced. However, **D<sub>1939</sub>** also has another set of preliminary circled pagination. This set of pagination was added before **D<sub>1939</sub>** was inserted into **D**.

Concerning the first three units (**A<sub>147</sub>**, **A<sub>IV</sub>**, and **D<sub>65, 69</sub>**; pp. 3–8 in **D**), the stamped and preliminary, pencilled pagination essentially coincides; thus, they had already been part of **D** when the pencilled pagination was added. Nevertheless, it is possible to establish that these first three units were inserted into **D** at least after 1940 in the United States. The fact that these units were not originally part of **D** when Bartók sent it to Switzerland in 1938 is obvious because they contain some elements that could not have existed in 1938.

Among these three units, the important ones are **A<sub>147</sub>** and **A<sub>IV</sub>**; the remaining **D<sub>65, 69</sub>** should rather be considered to have the same function as the rest of **D** as the notation is of essentially the same fashion as that contained in the other drafts in **D**. The particular status of **D<sub>65, 69</sub>** comes from the fact that it is notated on the reverse side of **A<sub>IV</sub>**; thus, these two units cannot be separated from each other.

It is notable that **A<sub>147</sub>** and **A<sub>IV</sub>** contain Nos. 147 ‘March’ and 102 ‘Harmonics’, respectively, and these pieces bear the final numbering ‘147’ and ‘102’.<sup>14</sup> Considering that Bartók composed only approximately one hundred pieces by 1938, and the remaining 50 pieces were composed only in 1939, the final numbering would not

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<sup>14</sup> These numbers must have been added in the very last moment of the composition after Bartók organised all 153 pieces into the current order. For the formulation of the numbering, see Appendix C.

have existed in 1938. In addition, this No. 102 seems to be one of the last *Mikrokosmos* pieces as this piece is one of only two exceptions among the whole of the *Mikrokosmos* pieces about which Bartók asked his assistant, Jenő Deutsch, to prepare a fair copy (the other exception is No. 134/3 ‘Studies in Double Notes’, which is notated in **A<sub>IV</sub>**, together with No. 102).<sup>15</sup>

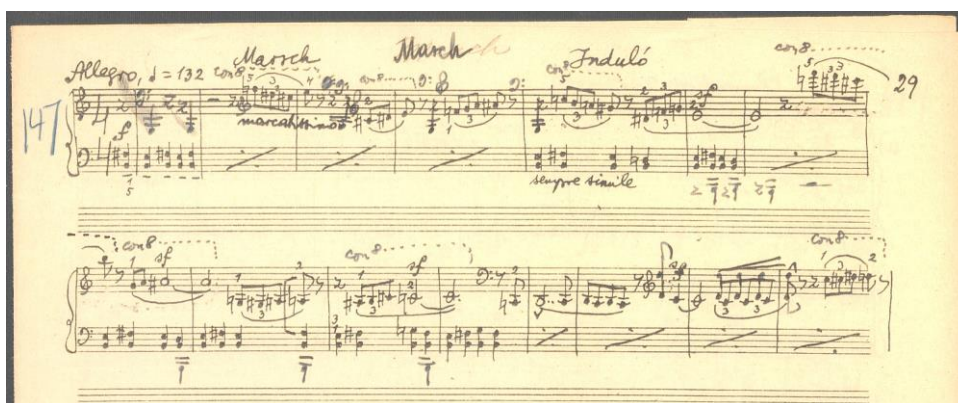
In fact, these units (**A<sub>147</sub>** and **A<sub>IV</sub>**) have markedly different functions from the rest of **D**, which suggests that Bartók himself might not have grouped these units together with **D**. The form of **A<sub>147</sub>** should be considered extraordinary within **D**. Considering its content, **A<sub>147</sub>** originally constituted a bifolio, and Bartók notated the music (No. 147) only on its inner pages (pp. 4–5) and left the outer pages (pp. 3 and 6) blank. The notation of No. 147 is neat, and it is fully worked out in detail as if it were a fair copy of the piece, although the musical text is still not perfectly identical to the final version.

In fact, this version can be considered an intermediary version of No. 147 ‘March’, which, among all the *Mikrokosmos* pieces, involves a rather complex compositional process. Bartók first drafted and finalised this piece in a considerably simpler form without octaves or hand-crossings; however, he later thoroughly revised the piece, probably to produce a more effective concert piece. The revision was made on a copy of tissue proof (**[AP<sub>147</sub>]**; see Examples 4-5) on which Bartók generally marked revisions with shorthand instructions such as *con ottava alta* or *bassa*. **A<sub>147</sub>** is the fully worked out version of **[AP<sub>147</sub>]** (see Example 4-6). Somewhat later, Bartók prepared a fair copy on transparent tissue as he usually did. As **[AP<sub>147</sub>]** is currently preserved in **AP<sub>B&H</sub>**, which he submitted to Boosey & Hawkes in June 1939<sup>16</sup>; by then, the fair copy had been prepared.

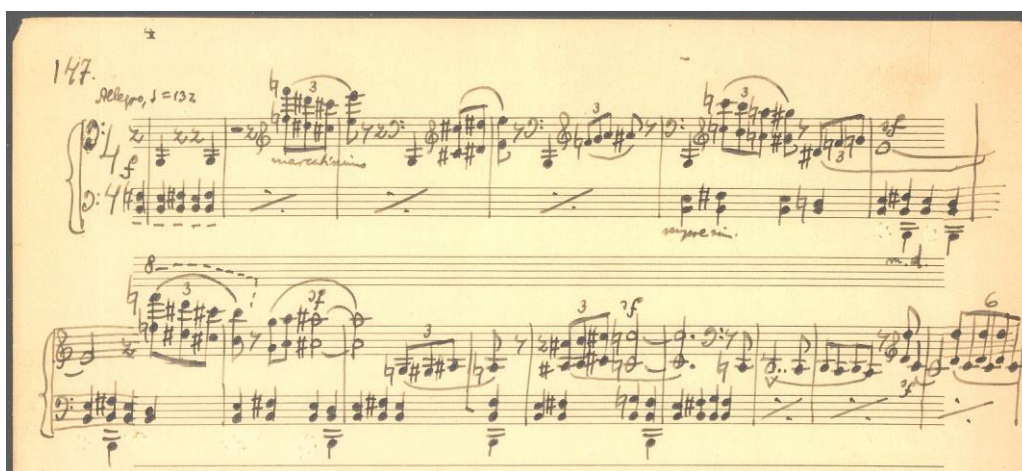
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<sup>15</sup> It deserves attention that Bartók dedicated the sixth volume to Deutsch (**E<sub>US1</sub>-Deutsch**). The text of dedication is the following: ‘*Deutsch Jenőnek | a nagy munka befejezésének | örömére | Bartók Béla | 1940. aug. 31.*’ [For Jenő Deutsch, for the happy completion of the great work Béla Bartók 31 Aug. 1940]. This dedication might have been related to Deutsch’s contribution to the preparation of *Mikrokosmos*.

<sup>16</sup> **AP<sub>B&H</sub>** was sent by Bartók on 17 June 1939; it arrived at London on 20 June 1939 (see PB, BB–B&H).



Example 4-5: *Mikrokosmos* No. 147, the first version with the later revision (facsimile from **AP<sub>B&H</sub>**, p. 29)



Example 4-6: *Mikrokosmos* No. 147, the second version (facsimile from **A<sub>147</sub>**)

Judging from the fact that [**AP<sub>147</sub>**] was originally part of [**AP<sub>1937</sub>**], the set of tissue proofs Bartók used in concerts, it is likely that he made the revision to fulfil his own need to perform brilliant concert pieces in the concerts rather than an essential revision of an earlier piece to be included in *Mikrokosmos*. This hypothesis is underscored by the fact that he first prepared a fair copy on normal music paper (**A<sub>147</sub>**), and only later (supposedly in 1939) did he write another fair copy on transparent tissue (**A<sub>II</sub>**).

It seems that he used **A<sub>147</sub>** in concerts together with the tissue proofs belonging to **AP<sub>B1</sub>**. Notably, when he recorded the selection from the *Mikrokosmos* pieces on Columbia discs in April–May 1940, he performed not the published version, but the version notated in **A<sub>147</sub>** (see Example 4-7). It cannot be securely established whether this choice was intentional or unintentional. At the time of recording, Bartók must

have already received the first US edition of *Mikrokosmos*,<sup>17</sup> and he seems to have used volume VI at least when he recorded No. 152 ‘Six Dances in Bulgarian Rhythm (5)’. The notation of this piece in the transparent tissue (**A<sub>II</sub>**) contains many revisions; thus, a tissue proof produced from it might not have been appropriate for use in concert performances or recording. Thus, it is possible that he also used the published volume when he performed No. 147. If this situation is the case, he accidentally performed the version with which he had been familiar.<sup>18</sup>

Example 4-7: *Mikrokosmos* No. 147, differences between **A<sub>147</sub>** and **E**

The notation of No. 102 ‘Harmonics’ seems to be similar to what we usually consider a draft, considering its style of notation, which includes many corrections on the page. However, the notation should be regarded as quite unusual because despite its appearance, all the details were worked out, not only the necessary performance

<sup>17</sup> In the correspondence between Bartók and Boosey & Hawkes, there is no concrete information about the time Bartók received the published copies. Based on Harriet Cohen’s recollection (the dedicatee of the ‘Six Dances in Bulgarian Rhythm’), Bartók seems to have dedicated the sixth volume of *Mikrokosmos* to Cohen at the end of April: see Harriet Cohen, *A bundle of time: the memoirs of Harriet Cohen* (London: Faber and Faber, 1969), 296–297. In fact, Cohen remembers that the dedication took place at the very day of publication (‘It was the day of publication of volume VI of the *Mikrokosmos*’). The copies had already been available, at least in London: Ernst Roth wrote to Ralph Hawkes that ‘A row of the books in the showroom looks both decent and conspicuous.’; see letter from Roth to Hawkes, 23 April 1940 (PB, BB–B&H).

<sup>18</sup> Similar textual problems arise in relation to Nos. 142 and 153, where the version Bartók performed is closer to the version in **AP<sub>B1</sub>** rather than that in **E**. In the case of No. 147, it is also worth noting that the published version can to a certain extent be considered slightly easier than **A<sub>147</sub>**. The difference between the two versions is rather trivial; however, in the published version, the right hand is less busy as the octave transposition in bars 7–8 and bass doubling in bar 17 are omitted. These differences may have been related to Bartók’s pedagogical concern regarding how technically difficult a pedagogical piece could be—even though it was designed for the most advanced pupils.



instructions, such as dynamics or articulations but also fingerings and even the footnote on how to play the notes with diamond-shaped note-heads. It is also extraordinary that the title is written in four languages—English, French, German, and Hungarian—which is not self-evident in the context of **D**.<sup>19</sup>

The choice of these four languages seems natural considering that English, French, and German were the most important international languages, and Hungarian was Bartók's mother tongue. Nevertheless, considering that he only rarely added titles in French, these titles were added after the details of the publication plan of *Mikrokosmos* had been decided. The choice of language was decided in July 1939.<sup>20</sup> Consequently, **A<sub>IV</sub>** must have been finalised later than July 1939; as Bartók was travelling in July–August 1939, he might have been able to do it in August–November 1939, either in Saanen, during the composition of the *Divertimento*, or in Budapest.<sup>21</sup>

A further unusual feature of **A<sub>IV</sub>** is that there is a two-digit figure '75' in the top-middle of the page (see Example 4-8). This figure seems to be out of place:

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<sup>19</sup> In fact, a few other pieces in **D** already have their title; however, these pieces should also be considered exceptions (Nos. 124 'Staccato' in **D**<sub>1933</sub>, some pieces in **D**<sub>1937</sub>, and several easy pieces in **D**<sub>1939</sub>). However, elsewhere in **D**, these four languages are never used together.

<sup>20</sup> In relation to the planned illustrations for the *Mikrokosmos* pieces, Bartók wrote to Hawkes on 7 July 1939 that '*It is to be remembered that titles will be in four languages!*' (original emphasis). In return, Hawkes wrote to Bartók on 14 July 1939 that 'I agree with you regarding the four language titles, which I presume will be English, Hungarian, French and German.' (see PB BB–B&H).

<sup>21</sup> Bartók decided to drop the German language from the first edition of *Mikrokosmos* triggered by the German invasion of Poland in September 1939. In a draft of the missing instruction for the publisher that accompanied the engraver's copy (**EC**), Bartók wrote the following: '*I would be very, very pleased if we could omit in titles, preface, notes, everywhere the German language; even I would insist on this, though this demand is not a conditio sine qua non. In Switzerland[,], Belgium, Holland, Norway, Italy, Spain people understand as well or even better French and or English than German. I hope it is quite unnecessary to explain my sentimental reasons for this. Even from aesthetical reasons (distribution of space) it is preferable to have only three languages.*' (BBA, BAN 3916). This text is erroneously dated summer 1939 in *Bartók Béla írásai*, vol. 1, edited by Tibor Tallián (Budapest: Editio Musica Budapest, 1989), 84–85; yet the overall wording of the draft (not quoted here) suggests that the draft was written directly preceding the submission of the engraver's copy in November. The text might not be identical to the missing instruction, yet the instruction must have contained the section concerning the omission of the German language, judging from one of the following letters by Hawkes on 9 December 1939: 'As far as the text of the title is concerned, we propose English, French and Hungarian which languages will be used for the preface and notes. If we are called upon at a later date to introduce Spanish and/or German, this can be done without difficulty by the insertion of an additional page.' (PB, BB–B&H). However, this decision might not have affected the choice of language in **A<sub>IV</sub>** (if the manuscript was finalised later than the eruption of the Second World War). As Bartók better understood German than English and French, he continued to use German as the basis for the further translation into English and French so that the publisher would be able to correct Bartók's original English and French titles.

considering its position, it seems to be a page number; however, there is no similar numbering among the pages in **D**. In fact, this figure ‘75’ is intended as the continuation of the pagination in the autograph fair copy on transparent tissue (**A<sub>I-II</sub>**), which has Bartók’s original page numbering from 1 to 74. Despite the difference in the type of paper and the fact that the draft and the fair copy now constitute their own independent source group, this page ‘75’ in **D** was intended to belong to **A<sub>I-II</sub>**.



Example 4-8: *Mikrokosmos* No. 102 (facsimile from **A<sub>IV</sub>**)

As it was impossible to produce a copy from **A<sub>IV</sub>** in the photomechanical process he usually used for the autograph on the transparent tissue, Bartók asked one of his colleagues, Jenő Deutsch, to prepare a copy. The case of **A<sub>IV</sub>** should be regarded as extraordinary as this page is the only manuscript page within the *Mikrokosmos* sources from which Deutsch prepared the fair copy. In addition, the fair copy prepared by Deutsch can also be considered unusual as it would be the only copy of Bartók’s composition prepared on normal music paper.<sup>22</sup>

However, it cannot be established whether **A<sub>IV</sub>** was always stored with **A<sub>I-II</sub>**. Bartók performed No. 102 in concert in the United States on 16 April 1940 (and in several other concerts); however,<sup>23</sup> unlike those for other pieces performed in the concert, there was no easily playable fair copy at Bartók’s disposal. The only such fair copy, prepared by Deutsch, was sent to the publisher as the engraver’s copy (**EC**), and it was never returned to Bartók. As discussed above, it is possible that he had received the first US edition of *Mikrokosmos* by that time and performed from the published score. Even if this situation were the case, it is still possible that he used **A<sub>IV</sub>** when he practised; thus, he brought it to the United States by himself, in 1940, together with


<sup>22</sup> Deutsch had already prepared the fair copies of some works by Bartók (e.g., *Twenty-Seven Two- and Three-part Choruses* and *From Olden Times*), although not on normal music paper but on transparent tissue.

<sup>23</sup> The concert was at Huntington, PA; for the data on Bartók’s performances, see *BBCCE/40*, 32\*.

**A<sub>147</sub>** and **AP<sub>B1</sub>**. There is no direct evidence supporting this hypothesis; however, considering that **A<sub>147</sub>** and **A<sub>IV</sub>** are found one after the other in **D**, these manuscripts were likely to have been stored together, and later, they were inserted together into their current position within **D**.

A simplified structure of **D** is shown in Table 4-7. While the draft pages from between 1932 and 1936 are highly mixed up, other later draft pages seem to constitute a continuous unit in **D**. This finding suggests that **D** was re-organised in 1936 for the first time, and then the cover was provided for it. Later, probably in 1938, Bartók added **D<sub>1937</sub>**, the draft composed in 1937, to the collection of the draft pages, and he then sent **D** to Switzerland. Considering that these draft pages from 1932 to 1936 and those from 1937 are separated from each other, the temporary order of the draft pages in 1938 may have been preserved.

Table 4-7: Simplified structure of **D**

Cover	Page	Units	Remark
	1–2	<b>D<sub>1934–36</sub></b>	Original cover (1936–1938)
	3–6	<b>A<sub>147</sub></b>	Inserted by an unknown person (1940–1950s)
	7	<b>A<sub>IV</sub></b>	Inserted by an unknown person (1940–1950s)
	8	<b>D<sub>65, 69</sub></b>	
	9–12	<b>D<sub>1933</sub></b>	Original part of <b>D</b> in 1936
	13–26	<b>D<sub>1932</sub></b>	
	27–30	<b>D<sub>1933</sub></b>	
	31–38	<b>D<sub>1934–36</sub></b>	
	39–48	<b>D<sub>1933</sub></b>	
	49–52	<b>D<sub>1932</sub></b>	
	53–54	<b>D<sub>1933</sub></b>	
	55–60	<b>D<sub>1934–36</sub></b>	
	61–72	<b>D<sub>1937</sub></b>	Original part of <b>D</b> in 1938
	73–84	<b>D<sub>1939</sub></b>	Inserted by an archivist at NYBA? (in the 1950s?)
	85–86	<b>D<sub>1934–36</sub></b>	Back cover of the original cover (1936–1938)
	87–90	<b>A<sub>64a, 74</sub></b>	Added by an archivist at NYBA (in the 1950s?)

Five units of manuscripts were inserted into this set of draft pages (**A<sub>147</sub>**, **A<sub>IV</sub>**, **D<sub>65, 69</sub>**, **D<sub>1939</sub>**, and **A<sub>64b, 74</sub>**), possibly on different occasions. The first three units, **A<sub>147</sub>**, **A<sub>IV</sub>**, and **D<sub>65, 69</sub>**, may have been inserted together but earlier than the others based on the fact that the stamped and pencilled paginations essentially coincide in these units. The current location of these units also underscores this assumption: while **A<sub>147</sub>**, **A<sub>IV</sub>**,

and **D**<sub>65, 69</sub> are located directly after the cover page, **D**<sub>1939</sub> precedes the back cover, and **A**<sub>64b, 74</sub> follows the back cover. The fact that **D**<sub>1939</sub> and **A**<sub>64b, 74</sub> are located separately from each other in **D** deserves attention as this difference may imply the working process of the re-organisation of the manuscripts. The addition of stamped pagination was probably done after all the known manuscript pages of *Mikrokosmos* had been sorted, i.e., after **D**<sub>1939</sub>, originally stored elsewhere, was inserted before the back cover, as if it were an inseparable part of **D**. After that, in the course of the examination of other manuscripts, **A**<sub>64b, 74</sub> was discovered; however, as the back cover had already been paginated, there was no choice but to add **A**<sub>64b, 74</sub> at the end of **D**.

#### 4.1.2.3. Original Temporary Structure in 1938—**D**<sub>1932</sub>, **D**<sub>1933</sub>, **D**<sub>1934–36</sub>, and **D**<sub>1937</sub>

After separating the later units from **D**, it becomes easier to examine the original structure of **D** in 1938 and to separate each chronological unit from between 1932 and 1937. Except for the cover page (pp. 1–2 and 85–86), the original layer of **D** from 1938 forms a continuous unit consisting of pp. 9–72. Based on the hypothesis that the pages of **D** from 1932–1937 were not shuffled after 1938, the stamped pagination may preserve the temporary paper structure in 1938. It is important to emphasise that this temporary structure may not necessarily be related to how and in what order Bartók notated these pages. Nevertheless, the reconstruction of the temporary structure offers interpretations concerning the paper structure of the pages, i.e., which folios could have originally constituted a bifolio.

From this large continuous unit, the layer of 1937 (**D**<sub>1937</sub>; pp. 61–72) can be discussed separately as it constitutes an independent sub-unit that solely consists of the type of paper ‘J.E. & Co., No. 5/C’, which is not used elsewhere in the *Mikrokosmos* draft. In addition, a considerable part of the layer of 1932 (**D**<sub>1932</sub>; pp. 13–26) can also be separated as it consists of the types of paper ‘J.E. & Co., No. 5/A’ and ‘J.E. & Co., No. 8a’, which cannot be found elsewhere among **D**. Four folios near the beginning of **D** (**D**<sub>1933</sub>; pp. 9–12, 27–30) can also be separated. Although the paper ‘No. 32, 20 L.’ is used elsewhere in **D**, judging from the fact that the non-trademark folios come one after another (pp. 11–12 then 27–28), even if they originally constituted two sets of bifolios, these folios cannot constitute nested bifolios.

Table 4-8: Reconstruction of the paper structure of the draft pages from 1932–36 (selection)

Bifolio	Folio	Paper type	Page
	16	No. 28, 16 L.	31 □ 32
	17	No. 28, 16 L.	33 □ 34
	18	[No. 28, 16 L.]	35 36
	19	No. 28, 16 L.	37 38 □
	20	J.E. & Co., No. 5/B	39 □ 40
	21	J.E. & Co., No. 5/B	41 □ 42
	22	[No. 32, 20 L.]	43 44
	23	[No. 32, 20 L.]	45 46
	24	No. 32, 20 L.	47 □ 48
	25	J.E. & Co., No. 5/B	49 □ 50
	26	[J.E. & Co., No. 5/B]	51 52
	27	[J.E. & Co., No. 5/B]	53 54
	28	[J.E. & Co., No. 5/B]	55 56
	29	[No. 28, 16 L.]	57 58
	30	[No. 28, 16 L.]	59 60

Thus, we first examine 15 folios, which might have originally constituted a complex structure (see Table 4-8). For the reconstruction of the paper structure, the most important clue is the successive appearance of the folios with a trademark one after another. For instance, there are two folios with a trademark (pp. 31–32 and 33–34) of ‘No. 28, 16 L.’ paper. If these folios originally constituted a bifolio, there should be a non-trademark folio of the same type of music paper. There are indeed three non-trademark folios of ‘No. 28, 16 L.’ paper: pp. 35–36, 57–58, 59–60. Among them, the first folio (pp. 35–36) is used upside down, which is different from the

above-mentioned two folios. As there is another folio with a trademark that is also used upside down (pp. 37–38), it is likely that these two upside-down folios constituted a bifolio. Consequently, four folios (pp. 31–32, 33–34, 57–58, and 59–60) might have originally constituted two nested bifolios.

Among the remaining nine folios, the paper type of six folios is identical: ‘J.E. & Co., No. 5/B’. As three folios with a trademark come one after another (pp. 39–42, 49–50), followed by three non-trademark folios (pp. 51–56), these six folios might have constituted three nested bifolios. There remain three folios of ‘No. 32, 20 L.’ paper, with only one folio with a trademark. Judging from the edges of the folios, two of the three folios might have originally constituted a bifolio (pp. 45–48).

This reconstruction of the temporary paper structure is conducted based primarily on the paper types and its current order in **D**. The hypothetical combination of single folios into bifolios can be underscored (or occasionally verified) by physical evidence, such as the characteristic form of the edge of the torn-apart folios or the extension of lines or strokes from one folio to another. Theoretically, the verification of a paper structure can be done without the knowledge of paper types and paper structure; in practice, however, it is a rather impossible task to randomly examine a combination of 45 folios and to construe from barely perceivable proofs that the given two single folios once formed a bifolio.

A summary of other folios not discussed above can be found in Table 4-9. Except for pp. 61–72, these folios do not form a complex structure. Based on the observation that some of the adjacent folios originally constituted bifolios (i.e., pp. 9–12, 23–26, and 27–30, where physical evidence exists), it seems that other adjacent folios might also have formed bifolios. Concerning pp. 61–72, there could have been several theoretically possible combinations of folios in bifolios, and it is likely that pp. 61–62 and 71–72 constituted a bifolio and served as a kind of envelope of another two bifolios. Although their belonging together cannot be securely established by physical evidence, the fact that the draft of No. 109 is notated on the lower half of pp. 71 and 62 (notated in this order) suggests that these pages were the right and left sides of an unfolded bifolio.

Table 4-9: Reconstruction of the paper structure of the draft pages from 1932–36 (selection)

Bifolio	Folio	Paper type	Page
	5	No. 32, 20 L.	9 □
			10
	6	[No. 32, 20 L.]	11
			12
	7	J.E. & Co., No. 5/A	13 □
			14
	8	J.E. & Co., No. 8a/A	15 □
			16
	9	[J.E. & Co., No. 8a/A]	17
			18
	10	J.E. & Co., No. 8a/B	19
			20 □
	11	[J.E. & Co., No. 8a/B]	21
			22
	12	J.E. & Co., No. 8a/A	23 □
			24
	13	[J.E. & Co., No. 8a/A]	25
			26
	14	[No. 32, 20 L.]	27
			28
	15	No. 32, 20 L.	29 □
			30
	31	[J.E. & Co., No. 5/C]	61
			62
	32	[J.E. & Co., No. 5/C]	63
			64
	33	J.E. & Co., No. 5/C	65 □
			66
	34	J.E. & Co., No. 5/C	67 □
			68
	35	[J.E. & Co., No. 5/C]	69
			70
	36	J.E. & Co., No. 5/C	71 □
			72

Table 4-10: Content of **D**<sub>1932</sub>

Subunit	Bifolio	Folio	Paper type	Page	Content
1		7	J.E. & Co., No. 5/A	13 □	110 (main draft), 125 (2nd version, beginning)
				14	125 (1st version, unfinished), 110 (correction), 62 (1st version), 145a (beginning)
		8	J.E. & Co., No. 8a/A	15 □	145a (conclusion), 125 (2nd version, continuation)
				16	125 (2nd version, conclusion), 37, 60 (beginning)
		9		17	60 (conclusion), 48, 34
				18	53, 35, 133 (beginning, continued to p. 22)
		10	J.E. & Co., No. 8a/B	19	101, 58
				20 □	Unpublished Piece 1, 87, Unpublished Piece 2
		11		21	106, 59
				22	133 (conclusion, continued from p. 18), 47, 33
2		12	J.E. & Co., No. 8a/A	23 □	90, 57
				24	78, 100, 32, 84 (beginning)
		13		25	84 (conclusion), 70, 92
				26	132, 122 (beginning, continued to p. 29)*
		25	J.E. & Co., No. 5/B	49 □	62 (rev.), 111, Unpublished Piece 3 (beginning)
				50	Unpublished Piece 3 (conclusion), 91
		26		51	94, 114 (beginning)
				52	114 (conclusion), 136 (beginning, continued to p. 9)*

\* The continuation of the piece can be found on pages belonging to **D**<sub>1933</sub>.



### 4.1.3. Establishment of the Micro-Chronology

In the following, among nine chronological units of **D**, five large units (**D**<sub>1932</sub>, **D**<sub>1933</sub>, **D**<sub>1934–36</sub>, **D**<sub>1937</sub>, and **D**<sub>1939</sub>) are examined in chronological order, based on the chronology established by John Vinton,<sup>24</sup> as well as the reconstructed paper structure in the previous section. The rest are briefly discussed in the next section.

#### 4.1.3.1. **D**<sub>1932</sub>

This unit consists of pp. 13–26 and 49–52 of **D**. These 18 pages constitute nine folios of different types of music paper, and eight of the nine folios seem to have constituted four bifolios. For the contents, see Table 4-10, which also serves as the summary of the present section.

**D**<sub>1932</sub> contains drafts for Nos. 32–35, 37, 47–48, 53, 57–60, 62 (two versions), 70, 78, 84, 87, 90–92, 94, 100–101, 106 (two versions), 110, 111, 114, 125, 132–33, and 145a, as well as Unpublished Pieces 1–3.<sup>25</sup> These pages are separated from the rest of the draft pages based on two facts: (1) all the recto pages (i.e., odd-numbered pages) bear a letter ‘K’, probably meaning ‘kész’ [completed], in Bartók’s hand, in red pencil in the top right-hand corner<sup>26</sup>; (2) in addition to this, all these pieces can be found in **A**<sub>I/1</sub>, the first unit in **A**<sub>I-II</sub> supposedly prepared in 1933. Two pieces (No. 122 ‘Chords Together and Opposed’ on p. 26 and No. 136 ‘Whole-tone Scale’ on p. 52) continuing on the pages belonging to **D**<sub>1933</sub> (pp. 29 and 9, respectively) are not included here as they were apparently finished later than all the other pieces in this MS.<sup>27</sup>

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<sup>24</sup> Vinton, 41–69. The following discussion greatly owes to Vinton’s research as a point of departure. However, all the descriptions of the content are based on my own observations, and regarding the paper structure, I arrived at different conclusions from Vinton’s.

<sup>25</sup> In this regard, the present dissertation considerably differs from my Master’s thesis (see Nakahara, 56–80 and 128; there the label ‘discarded pieces’ is used instead of ‘unpublished pieces’). In the present dissertation, the numbering of unpublished pieces is based on the supposed chronological order within **D**, instead of the order of appearance in it.

<sup>26</sup> Here I follow Vinton’s interpretation (see Vinton, 46–47). A letter ‘K’ may offer several different readings; for instance, Bartók seems to have used the letter ‘K’ for the abbreviation of ‘Kantáta’ [= *Cantata profana*] elsewhere (see PB, 64VOPS1, p. A, which currently belongs to the draft of *Twenty Hungarian Folksongs*, BB 98, 1929 ).

<sup>27</sup> Vinton considers that Nos. 122 and 136 were drafted first in 1932 and later revised and completed in 1933 (see Vinton, 50–51 and 55). However, it is impossible to precisely identify the micro-chronology, and it may not be necessary to do so. Concerning the micro-chronology, the most important information is when and how the given piece is copied onto the transparent tissue (for further discussion, see Subchapter 4.2.).

Concerning the historical structure of **D**<sub>1932</sub>, two figures ('17' on p. 22, corrected from '16', and '14' on p. 52, corrected from '13') may serve as a clue.<sup>28</sup> If these figures are intended to mean the number of completed pieces, **D**<sub>1932</sub> can be divided into two sub-units: (1) pp. 13–22 (containing 17 finished pieces) and (2) pp. 23–26 and 49–52 (containing 14 finished pieces).

The revision of the two numbers can be explained by the following hypothesis: (1) concerning the number on p. 22, Bartók later composed an additional piece No. 33 'Slow Dance' in the blank space of the page, in quite dense notation; (2) regarding the number on p. 52, he might have erroneously crossed out a valid piece, No. 111 'Intermezzo', together with an unfinished, Unpublished Piece 3 (on pp. 49–50), and inadvertently omitted No. 111 from the counting, but later nevertheless included it; (3) it is also possible that one of the new pieces continuing into the unit of **D**<sub>1933</sub> was included into the counting. If this situation is the case, either Nos. 122 or 136 might already have been finished in 1932 rather than 1933.

At any rate, the total '31' coincides with the number of published pieces found in **D**<sub>1932</sub>. However, this total slightly differs from what Bartók reported in his letter to Universal Edition on 12 October 1932: 'during this past summer I wrote several—about 35—[pieces] beginning with the easiest . . . and progressing in difficulty.'<sup>29</sup> Provided that Bartók had already counted the number of pieces (and this situation seems to be quite likely), the difference comes from the fact that he composed some further pieces afterwards. In addition to two pieces possibly belonging to **D**<sub>1933</sub> (i.e., Nos. 122 and 136), the pieces on pp. 43–44 are also likely candidates. These pages contain three published pieces and one unpublished piece in total: Nos. 46 'Increasing—Diminishing', 71 'Thirds', 105 'Playsong (with two pentatonic scales)', and Unpublished Piece 4. As this unpublished piece was copied into **A**<sub>I/1</sub>, and it was discarded only afterwards, the number of pieces on these pages can be considered to be four. Some extraordinary features on these pages may underscore this possibility: the first piece on p. 43, No. 46 'Increasing—Diminishing', bears a preliminary numbering '3', which elsewhere in **D**, is included only on some pieces in **D**<sub>1932</sub>; in

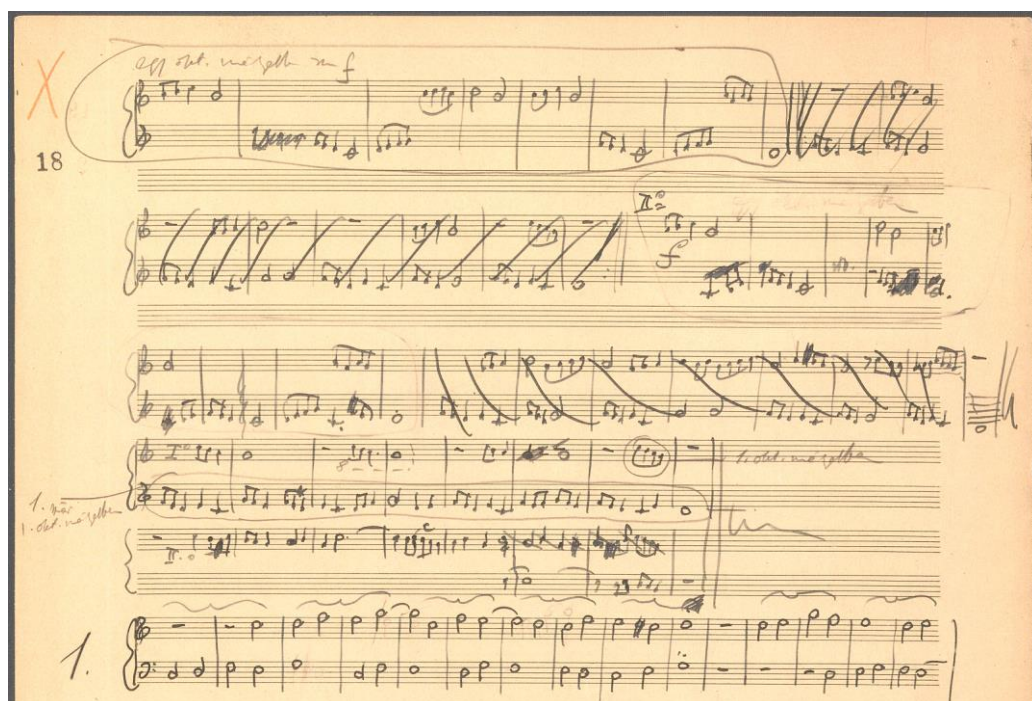
<sup>28</sup> These numbers are not mentioned in *Vinton*.

<sup>29</sup> Bartók to UE, 12 October 1932, (PB, BB–UE). English translation from *Musical Mind*, No. 176. In a 1940 interview with Miklós Szentjóni, Bartók mentioned the amount '40'. However, this amount should be considered a rough estimation as the information is from a considerably later recollection (see *Beszélgetések*, 204).

addition, at the bottom of p. 44, there is a sketch related to the composition from 1932, *Székel Folk Songs* (BB 106).<sup>30</sup>

This division into sub-units merely marks a possible and temporary grouping at a moment of composition. However, the order of pieces as written in these pages does not necessarily coincide with the order in which Bartók composed the pieces; as the bifolios in **D**<sub>1932</sub> probably did not constitute nested bifolios, he may have been able to freely use the music paper from one page to another, and he may even have composed several pieces simultaneously.

An obvious example is p. 50, where a blank system is left between the unfinished, Unpublished Piece 3 and No. 91 ‘Chromatic Invention (1)’. Bartók probably intended to finish this Unpublished Piece 3; thus, he left blank staves and then began composing a new piece, No. 91.

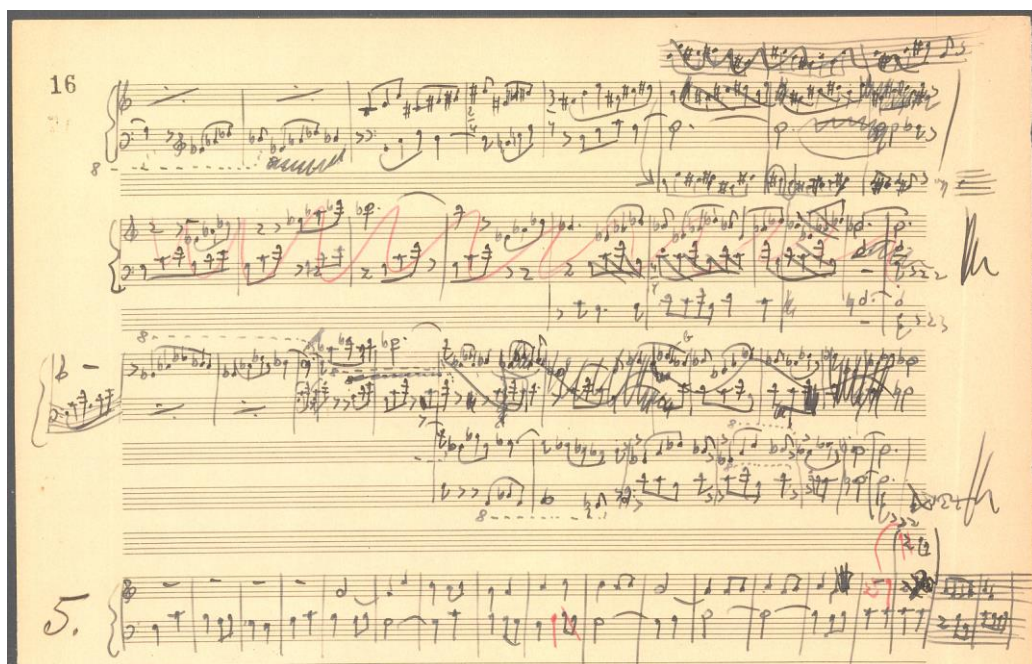


Example 4-9: A draft page from *Mikrokosmos* (facsimile from **D**<sub>1932</sub>, p. 18, containing Nos. 53 and 35)

However, it is still possible to observe such phenomena even if the music paper seems to have been filled continuously. It can be considered a good example that on p. 18, Bartók began composing No. 35 ‘Chorale’ without finishing the first piece on the page, No. 53 ‘In Transylvanian Style’ (see Example 4-9). As can be

<sup>30</sup> For the transcription of this sketch, see *BBCCE*/41.

observed in the first six staves, Bartók drafted No. 53 by leaving a single blank staff after each system.<sup>31</sup> After that, he left six blank staves below (although some bars of System 3 may have already been notated) so that he should have been able to notate the continuation of No. 53 in a similar manner, and he then began composing No. 35. Somewhat later, he resumed the composition of No. 53 but he had to notate the conclusion in a different manner: notating three systems without leaving a blank staff, due to lack of space.



Example 4-10: A draft page from *Mikrokosmos* (facsimile from **D**<sub>1932</sub>, p. 16, containing Nos. 125 and 37)

It can be considered a contrasting case that in the first half of p. 16, Bartók first completed No. 125 ‘Boating’, and he then began composing No. 37 ‘In Lydian Mode’ (see Example 4-10). The compositional process of No. 125 can be reconstructed as follows:

- (1) the first conclusion of No. 125 was drafted in System 2 (Staves 4–6);
- (2) the revised, second conclusion of No. 125 was drafted in System 3 (Staves 7–8);
- (3) the revision to the second half of System 3 is notated below it (Staves 9–10);
- (4) No. 37 is drafted in System 4 (Staves 12–13).

<sup>31</sup> This seems to be Bartók’s habit, and almost all pages of **D** are written in this manner.

If Bartók began drafting No. 37 before finishing No. 125, he might have left six staves (instead of five) below System 2.<sup>32</sup>

It can be observed that Bartók occasionally put aside a problematic section and continued from the beginning of the following section. The case of No. 133 ‘Syncopation’ seems to be an appropriate example (see Example 4-11). It is strange that the notation is interrupted in the middle of System 1; however, from System 2 on, the music is fully notated right up to the end of the staff. This peculiarity might be explained by the fact that Bartók left two blank staves at the top of p. 22 (System 1) and then drafted a new section in a new system (System 2). However, the chronological relationship between Systems 1–2 is ambiguous; nevertheless, it seems that System 2 was notated in the normal way, and then System 1 was added in the available space. The difficulty Bartók felt may have been that he was unable to determine the metre of the section to be notated in System 1. For instance, at the beginning of the system, the barlines were first entered as dotted barlines, marking alternative bar structures. Later, when he decided upon the more appropriate bar structure, he drew the final barline with a continuous line. The re-organisation of barlines is a relatively frequent phenomenon in Bartók’s compositional process, although he did not usually use dotted barlines.<sup>33</sup>



Example 4-11: A draft page from *Mikrokosmos* (facsimile from **D**<sub>1932</sub>, p.22, containing No. 133)

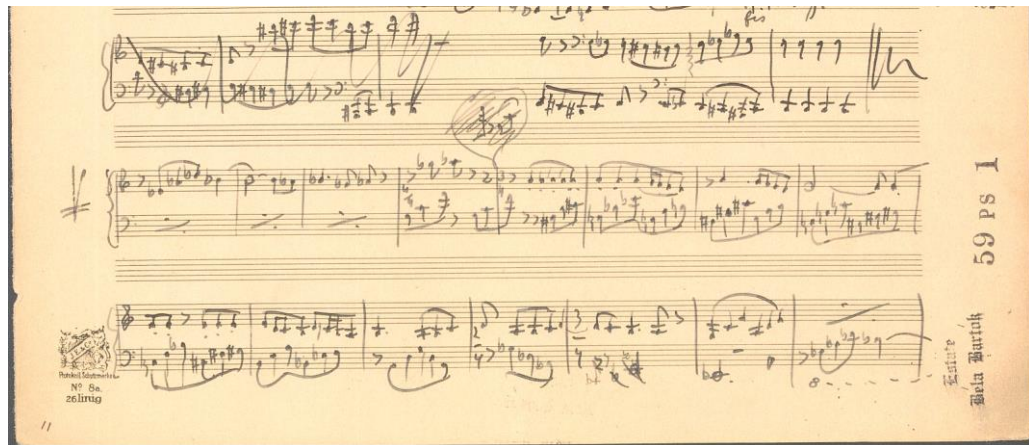
In relation to this No. 133, it deserves brief attention that the piece starts on a verso page (p. 18) and continues on another verso page (p. 22). This irregularity is probably because Bartók occasionally left some blank space at the bottom of a page

<sup>32</sup> It seems to be strange that Bartók began System 3 not on the printed staves but in the left margin. It is possibly because he tried to complete the draft of No. 125 within a single system.

<sup>33</sup> It may occasionally happen that Bartók re-organised barlines not within the draft but when he prepared the fair copy on transparent tissue (see, for instance, the case of No. 140 in Chapter 8).



and filled it with a new composition in order not to waste the music paper. Then, he continued on another page, which was left blank. This finding is another example of the problem that the order of the pieces as notated in **D** does not necessarily reflect the actual order of composition.



Example 4-12: A draft page from *Mikrokosmos* (facsimile from **D**<sub>1932</sub>, p. 15, containing Nos. 145a and 125)



Example 4-13: A draft page from *Mikrokosmos* (facsimile from **D**<sub>1932</sub>, p. 13, containing Nos. 125 and 110)

However, there are more complicated cases that demonstrate how Bartók freely moved from one page to another during the composition of the *Mikrokosmos* pieces. The best example is the bottom part of p. 15 where the conclusion of No. 145a ‘Chromatic Invention (3)’ and the continuation of No. 125 ‘Boating’ can be found (see Example 4-12). The compositional process on this page can be reconstructed as follows:

- (1) No. 145a was continuously drafted until the discarded conclusion (System 1 in the facsimile) without drawing the final barline; No. 125 was probably simultaneously drafted (Systems 2–3);
- (2) four quavers were inserted into No. 125 (System 2, between bars 4–5) but eventually discarded;
- (3) the revised ending of No. 145a was drafted, avoiding the insertion into No. 125 (second half of System 1).

However, it is notable that the continuation of No. 125 is written in relation to the draft on an earlier page, the lower half of p. 13 (see Example 4-13). The relationship is clearly marked by the sign  $\nabla$ , which Bartók usually used to mark an insertion; here, it was probably used to mark from where the new version begins. However, the draft on p. 13 is not the first draft of No. 125: the first version was written on the other side of the folio, p. 14 but abandoned after approximately the first half of the piece was notated in the two and a half systems.<sup>34</sup> On p. 13, another piece, No. 110 ‘Clashing Sounds’, is notated from the beginning of the page, and the second version of No. 125 was notated in the blank space (Systems 1–3 in the facsimile) after the original conclusion of No. 110. However, the conclusion of No. 110 was subsequently revised and written at the beginning of System 3. Judging from the shade of ink, this revision of No. 110 seems to have been contemporaneous with the revision of the second version of No. 125, which led to the draft on p. 15.

Concerning these pages, it is impossible to precisely reconstruct the order in which these drafts and revisions were made. Nevertheless, this finding is an example of a possibly characteristic compositional process of the *Mikrokosmos* pieces: Bartók did not continuously draft one piece from the beginning to the end but worked on several pieces simultaneously. It is worth noting that the above-mentioned case should be regarded as an extreme one as a similarly quite complex compositional process involving several pages cannot be discovered elsewhere in **D**. This complexity might have been caused by the special circumstances in that these pages (pp. 13ff.) were the first pages in **D**<sub>1932</sub>, i.e., the first *Mikrokosmos* pieces Bartók composed. He probably had to face the problem of writing a pedagogical character piece with his own theme, which he seems not to have done frequently. Nevertheless, it seems to be useful to take the possibility into consideration that a seemingly continuously notated draft could have been written on several occasions, and simultaneously with other pieces.

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<sup>34</sup> For the compositional process of No. 125, see *Nakahara*, 89–92.

At the end of this section, we shall try to establish a micro-chronology of **D<sub>1932</sub>** (see Figure 4-1). As discussed above, Bartók occasionally freely used the pages and might have drafted several pieces simultaneously, it is impossible to establish a chronology in which all the pieces from **D<sub>1932</sub>** are ordered one after another. Theoretically, it is only possible to know the relative chronological relationship between the pieces notated one after another on the same page. In a few cases, it is still possible to establish the relationship between the pages based on some single pieces that are continued from one page to another. In Figure 4-1, the beginning of the page is marked by a horizontal line. If a horizontal line separates one number from another, then the piece after the line is notated at the beginning of the paper.

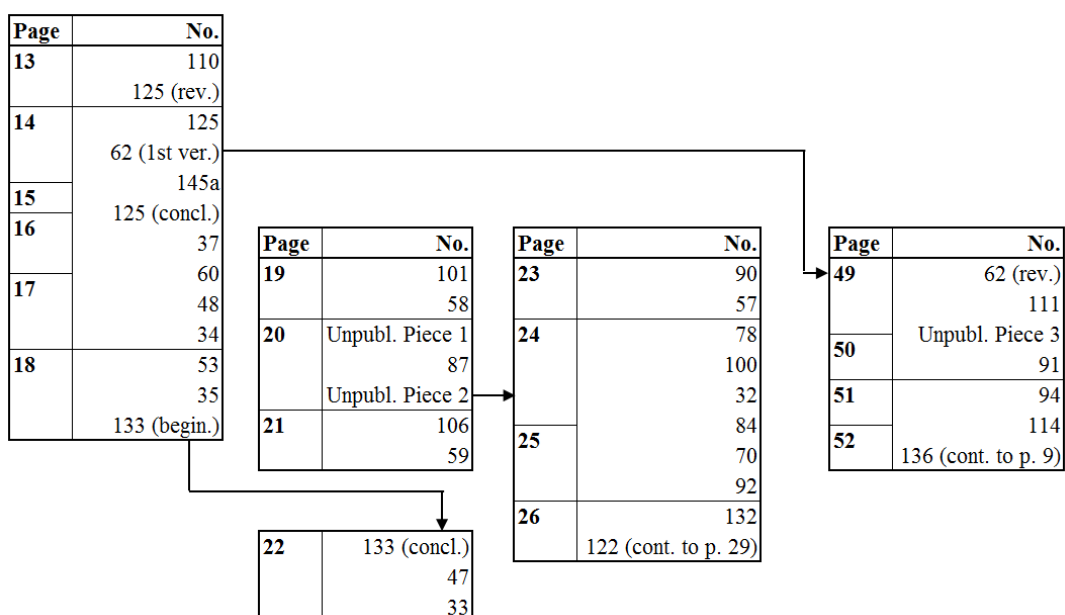


Figure 4-1: Micro-chronology of **D<sub>1932</sub>**

Even though there is no hard documentary evidence available, p. 13 seems to be the first page in **D<sub>1932</sub>**. On the one hand, a long continuous unit can be observed on pp. 13–17 (p. 18 may also belong to this unit considering that p. 18 is the reverse side of p. 17), which is indeed the largest unit in **D<sub>1932</sub>**. If Bartók simultaneously drafted the pieces, then the longest unit seems to have originated earlier than the others. This finding may underscore the hypothesis on pp. 49–50, where a short continuous unit contains the second version of No. 62, which should have been written later than the first version of No. 62 and can be found on p. 14.



On the other hand, the markedly unique compositional process of pp. 13–17 (and especially that of pp. 13–15) suggests that these pages were drafted when Bartók had not yet established his working method: as discussed above, quite a complex process of revision can be observed only on these pages. It is possible that, afterwards, Bartók tried to avoid this complexity; one of the solutions might have been to draft each new piece separately. If this situation is the case, two apparently independent groups (pp. 19–21 and 23–26) were drafted at least later than pp. 13–15, where the great complexity is present.

#### 4.1.3.2. **D<sub>1933</sub>**

This unit consists of pp. 9–12, 27–30, 39–48, and 53–54 of **D**. These 20 pages constitute 10 folios of two types of music paper, and eight of the 10 folios seem to have constituted four bifolios. One folio might have originally constituted a bifolio together with a folio in **D<sub>1934–36</sub>**, which was left blank at that time. For the contents, see Table 4-11, which also serves as the summary of the present section.

The pages of **D<sub>1933</sub>** contain drafts for Nos. 18–20, 25 (two versions)<sup>35</sup>, 30, 36, 46, 51, 63 (three versions), 64a, 71, 75, 79, 85–86, 88, 103, 105, 108, 122, 124, 136, 140–144, 146, and 147 (early version), as well as Unpublished Piece 4.<sup>36</sup> Among them, however, the status of No. 25 ‘Imitation and Inversion (2)’ is problematic. This piece has two versions on p. 54. If the first version belongs to **D<sub>1933</sub>**, the revised final version probably belongs to **D<sub>1934–36</sub>**, judging from the fact that green pencil was used for correction: green pencil is used nowhere else on the pages of **D<sub>1933</sub>** whereas the pages of **D<sub>1934–36</sub>** contain some revisions in green pencil.

The pages belonging to **D<sub>1933</sub>** can be separated from the rest of the draft pages based on two facts: (1) except for No. 79 ‘Hommage à J. S. B.’, all these pieces can be found in **A<sub>I/1</sub>**, the first unit in **A<sub>I–II</sub>** supposedly prepared in 1933,<sup>37</sup> and (2) there is

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<sup>35</sup> See below.

<sup>36</sup> Vinton assigned No. 12 to this chronological layer, but most likely by mistake. He also identified three unpublished pieces in this layer (see *Vinton*, 55–56). Two of the three unpublished pieces indeed begin with material which are not used in any of the published *Mikrokosmos* pieces; however, as their middle section shows similarity to No. 63, I regard these unpublished pieces as two preliminary versions to No. 63.

<sup>37</sup> Because No. 79 is copied onto **A<sub>I/2</sub>**, Vinton considered No. 79 to belong to the following year, 1934, despite the fact that the piece is written on a sheet containing other pieces belonging to the year 1933 (i.e., Nos. 18–20, 25, 30, and 85; see *Vinton*, 55–56). Based on an examination of **A<sub>I/1</sub>** and **A<sub>I/2</sub>**, it is still likely that No. 79 was drafted in 1933 rather than later (see below).

no letter ‘K’ on any pages of the draft (here, this feature is used to distinguish **D**<sub>1932</sub> from **D**<sub>1933</sub>). Thus, according to these criteria, a folio possibly belonging to **D**<sub>1932</sub> (pp. 43–44; containing Nos. 46, 71, Unpublished Piece 4, and 105, as well as a sketch related to *Székely Folk Songs*) can still be considered part of **D**<sub>1933</sub>.

However, it should be noted that an exception to the first criterion is, in fact, not an exception among **D**<sub>1933</sub>. No. 79 is the only piece notated on p. 49 of **A**<sub>I/2</sub>, the second unit of **A**<sub>I-II</sub> prepared probably by the end of 1936. No. 79 is notated as the first piece on this page, and the notation is essentially in the same manner as almost all of the other pieces in **A**<sub>I/1</sub>.<sup>38</sup> This finding suggests that at least the first piece on p. 49 of **A**<sub>I/2</sub> (the last page of **A**<sub>I/2</sub>) is contemporaneous with **A**<sub>I/1</sub>; the lower part of the page was left blank at that time; and the pagination was added later, when the page was filled with other pieces (Nos. 77 ‘Little Study’ and 80 ‘Hommage à R. Sch.’, as well as the second half of No. 93 ‘In Four Parts (2)’ continued from p. 48).

It deserves attention that, according to Bartók’s own recollection, the years 1933–1934 were remembered together, separated from 1932: ‘I did not really begin until the summer of 1932: then I composed about 40 pieces; in 1933–34, another 40 pieces.’<sup>39</sup> Considering that **A**<sub>I/1</sub> constitutes a unit containing 61 pieces from 1932 and 1933, Bartók’s recollection seems incorrect; nevertheless, it is possible to identify some continuity between the years 1933 and 1934 (as well as the following years). This topic will be discussed in the following section.

In **D**<sub>1933</sub>, it is relatively easy to establish a micro-chronology. As nine pieces are drafted from one page to another, it is possible to establish with certainty the relationship between the pages and folios. Considering that during the composition of No. 143 ‘Divided Arpeggios’, Bartók changed the music paper from ‘No. 32, 20 L.’ to ‘J.E. & Co., No. 5/B’, it seems that in the first phase of composition in 1933, he used the paper type ‘No. 32, 20 L.’.<sup>40</sup> Thus, it is possible to group the folios into four sub-units, largely in chronological order, according to the types of paper and how the drafts continue from one page to another.

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<sup>38</sup> The only exceptions in **A**<sub>I/1</sub> are the first four pieces notated on p. 36: Nos. 19, 18, 20, and 30. These pieces are the easiest ones in **A**<sub>I/1</sub>; consequently, they are intended for beginners. It is natural that Bartók wrote them in a simplified notation.

<sup>39</sup> *Beszélgetések*, 204.

<sup>40</sup> This unusual type of paper can only be found in **D** among all the available types of music paper containing Bartók’s notation. It might have been significant that he began composing new pieces in 1933 by using a type of paper he had not used by that time. The choice of paper may have served as a kind of ‘reminder’ of his purpose in pieces composed at that time.

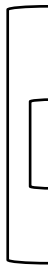
Table 4-11: Content of **D**<sub>1933</sub>

Subunit	Bifolio	Folio	Paper type	Page	Content
1		22	[No. 32, 20 L.]	43	46, 71
				44	Unpublished Piece 4, 105
2		14	[No. 32, 20 L.]	27	51, 103 (beginning)
				28	103 (conclusion), 63 (1st version), 64a
		15	No. 32, 20 L.	29 □	122 (conclusion, continued from p. 26*), 144 (beginning)
				30	144 (conclusion), 140 (beginning), 108 (sketch)
		24	No. 32, 20 L.	47 □	140 (conclusion), 141 (beginning)
				48	141 (conclusion), 63 (2nd version)
		23	[No. 32, 20 L.]	45	86, 36
				46	63 (final version), 108
3		5	No. 32, 20 L.	9 □	136 (conclusion, continued from p. 52*), 124
				10	142 (main draft)
		6	[No. 32, 20 L.]	11	142 (correction), 88
				12	143 (beginning)
		21	J.E. & Co., No. 5/B	41 □	143 (conclusion), 147 (1st version, beginning)
				42	147 (1st version, conclusion), 75, 85 (beginning)
		27	[J.E. & Co., No. 5/B]	53	85 (conclusion), 79
				54	20, 30, 19, 18, 25**
4		20	J.E. & Co., No. 5/B	39 □	146 (beginning)
				40	146 (conclusion)

\* See **D**<sub>1932</sub>.\*\* Probably belonging to the following layer; see **D**<sub>1934-36</sub>.

Sub-unit 2 may require further explanation as it is not self-evident in what order these pages were used. Several factors suggest that pp. 27–30 and 45–48 originally constituted nested bifolios in the following order: pp. 29–30, 47–48, 45–46, and 27–28 (see Table 4-12). This finding seems to make sense, especially because the two folios with a trademark come one after another: this ordering can be considered a ‘marker’ of nested bifolios within the group of manuscripts. However, this reconstruction is not supported by the examination of the contents.

Table 4-12: Hypothetical reconstruction of the nested bifolios in Sub-unit 2 of **D**<sub>1933</sub>

Bifolio	Folio	Page	Content
	15	29 □	122 (conclusion, continued from p. 26*), 144 (beginning)
		30	144 (conclusion), 140 (beginning), 108 (sketch)
	24	47 □	140 (conclusion), 141 (beginning)
		48	141 (conclusion), 63 (2nd version)
	23	45	86, 36
		46	63 (final version), 108
	14	27	51, 103 (beginning)
		28	103 (conclusion), 63 (1st version), 64a

The problem is that according to this nested structure, the first preliminary version of No. 63 (on p. 28) comes later than the second preliminary version and the final version of No. 63 (on pp. 48 and 46, respectively). The relationship between these versions may not be obvious at first sight as the beginnings of each version do not coincide. Nevertheless, it is possible to establish certain musical relationships between these versions.

In the first preliminary version (see Example 4-14), the section related to No. 63 appears as a short middle section of the piece (bars 9–17). In this version, the right and left hands already move in contrary motion, as in the published version (see Example 4-15); however, the combination of intervals is different: in the published version, both hands play minor seconds whereas in the first preliminary version, while the right hand plays minor seconds, the left hand plays major seconds. It should also be noted that a distinct pedagogical intention is missing from the first preliminary version: in the published version, the seconds in the left hand are played by the fifth

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15

ism. ford.

16 17 18 2. 19 20 21 22 23 24 25 1. 26

27 28 29 30

Example 4-14: *Mikrokosmos*, the first preliminary version of No. 63 (diplomatic transcription from **D**<sub>1933</sub>, p. 28)

and fourth fingers to train these weak fingers; in the first preliminary version, however, the seconds in the left hand seem to be played by the second and third fingers, which may not raise any serious technical challenges for pupils.<sup>41</sup>



Example 4-15: *Mikrokosmos* No. 63\*

In the second preliminary version (see Example 4-16), the section related to No. 63 still appears as a middle section of the piece (bars 7–18). Taking three crossed-out bars into consideration, the length of the section remains unchanged (9 bars); however, due to occasional application of a 3/2 (or 6/4) metre, the section became longer. The character of this section became closer to the published version due to the exclusive application of stepwise motion and the use of minor seconds in both hands. One of the characteristic elements in the published version, the use of rests, can also be observed in the second preliminary version (bar 10 RH); however, here, the rest was used only once to better distinguish the phrases. Nevertheless, it is still possible to assume that the frequent use of quaver rests in the final version (see Example 4-17, bars 4–5) is developed from it.

In the final version, the middle part of the previous two versions finally received an independent status as a new piece. It seems that Bartók took a possibly pedagogical idea to feature the repeat of minor seconds as a kind of trill-practice and developed the idea into a character piece. This final version of the draft can be considered essentially identical to the published version, disregarding the application

<sup>41</sup> See Bartók's comment on No. 63, recorded by Chenée: 'Could be practiced as a trill exercise. However, when played as intended, it requires conspicuous finger control because it must be played softly. Not intended for the average pupil.' (*Suchoff/dissertation*, 281).

1 2 3 4 5 6 7 8 9 10

4/4  
(II<sup>o</sup> esetleg var.)

I<sup>o</sup>

II<sup>o</sup>

I<sup>o</sup>

11 12 13 14 15 16 17 18

19 20 21 22 23 24 25 26 27 28 29 30 31

32 33 34 35 36

marad

Example 4-16: *Mikrokosmos*, the second preliminary version of No. 63 (diplomatic transcription from **D**<sub>1933</sub>, p. 48)

The image displays a musical score for Mikrokosmos, No. 63, featuring a piano accompaniment and a vocal line. The piano part is written in a grand staff (treble and bass clefs) and consists of measures 3 through 8, followed by measures 8+1 and 8+2. The vocal line is written in a single staff (treble clef) and also consists of measures 3 through 8, followed by measures 8+1 and 8+2. The score includes various annotations and corrections:

- Measure 3: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.
- Measure 4: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.
- Measure 5: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.
- Measure 6: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.
- Measure 7: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.
- Measure 8: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.
- Measure 8+1: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.
- Measure 8+2: The piano part has a whole rest in the treble clef and a half note in the bass clef. The vocal part has a whole rest.

The score includes various annotations and corrections, such as a large oval around the first measure of the piano part, a large 'X' over the piano part in measures 8+1 and 8+2, and a large 'X' over the vocal part in measures 8+1 and 8+2. The notation includes notes, rests, and various symbols (e.g.,  $\%$ ).

Example 4-17: *Mikrokosmos*, the final version of No. 63 (diplomatic transcription from **D**<sub>1933</sub>, p. 46)



of different note values (crotchets instead of quavers) and the tonality (ending on B instead of F#). It would be notable if the first two bars had later been inserted as an afterthought derived from the right hand in bar 3.

Based on the above brief analysis of the three versions of No. 63, their chronology seems to be quite obvious; thus, it is not necessary to assume nested bifolios in the case of Sub-unit 2. However, this assumption can be modified based on the micro-chronology of **A<sub>I/1</sub>** (see Section 4.2.2.1.).

Page	No.	Page	No.	Page	No.	Page	No.	Page	No.
43	46	27	51	9	136	39	146	54	20
	71		103		124	40			30
44	Unpubl. Piece 4	28	63 (1st ver.)	10	142				19
	105		64a	11					18
		29	122	12	143				25
			144	41	147				
		30	140	42	75				
		47	141	43	85				
		48	63 (2nd ver.)		79				
		49	83						
			36						
		50	63 (final ver.)						
			108						

Figure 4-2: Micro-chronology of **D<sub>1933</sub>**


The last page of Sub-unit 3 (p. 54) may require some explanation. This page contains one of the easiest pieces in **D<sub>1932</sub>** and **D<sub>1933</sub>**. In addition, three of them (Nos. 18–20) were later copied into **D<sub>pb</sub>**, the music sheets used for Peter’s lessons; thus, this page has a markedly different function in comparison with other pages in **D<sub>1933</sub>**, which usually contain more advanced pieces. Consequently, it is likely that this page was prepared on a different occasion from the other pages.

For a micro-chronology of **D<sub>1933</sub>**, see Figure 4-2.

#### 4.1.3.3. **D<sub>1934–36</sub>**

This unit consists of pp. 1–2, 31–38, 55–60, 85–86 of **D**. These 18 pages constitute nine folios of two types of music paper, eight of the nine folios constituting four nested bifolios. A single folio might have originally constituted a bifolio together with a folio in **D<sub>1933</sub>**. For the contents, see Table 4-13, which also serves as the summary of the present section.

Table 4-13: Content of **D**<sub>1934-36</sub>

Subunit	Bifolio	Folio	Paper type	Page	Content
<b>1</b>		43	No. 28, 16 L.	85 □	123a, 116 (beginning)
				86	116 (conclusion), 129
		16	No. 28, 16 L.	31 □	117, Unpublished Piece 5 (beginning)
				32	Unpublished Piece 5 (conclusion), 131 (beginning)
		17	No. 28, 16 L.	33 □	131 (conclusion), 112 (beginning)*, 41
				34	112 (conclusion), 99**, 118 (beginning)
		18	[No. 28, 16 L.]	35	118 (conclusion)** , 61 (beginning)**
				36	61 (conclusion), 55, 11, 12**
		19***	No. 28, 16 L.	37	22 (beginning)**
				38 □	22 (conclusion
		29	[No. 28, 16 L.]	57	67, 76, 56, 49
				58	82, 89, 93, 77 (beginning)
		30	[No. 28, 16 L.]	59	77 (conclusion), 80
				60	[blank]
		1	[No. 28, 16 L.]	1	[cover page]
				2	[blank]
<b>2</b>		28	[J.E. & Co., No. 5/B]	55	44**, 23**, 24**, 43a-b**
				56	50, 66**, 52

\* Together with a discarded sketch.

\*\* With corrections in green pencil.

\*\*\* A fragment of a music paper containing only three staves.

The pages of **D**<sub>1934–36</sub> contain drafts for Nos. 11–12, 22–24, 41, 43–44, 49–50, 52, 55–56, 61, 66–67, 76–77, 80, 82, 89, 93, 99, 112, 116–18, 123a, 129, and 131, as well as Unpublished Piece 5. In addition, No. 25 ‘Imitation and Inversion (2)’ also belongs here, which was notated on p. 54 belonging to **D**<sub>1933</sub> but was revised together with the pieces in **D**<sub>1934–36</sub>.

Concerning **D**<sub>1934–36</sub>, the identification of the compositional year essentially differs from that of Vinton’s, which was based on Bartók’s recollection in 1940. According to Bartók, the year 1934 can be separated from the following years: ‘in 1933–34, [I composed] another 40 pieces; and the next years following, about 20 more.’<sup>42</sup> Although he did not mention it in this recollection, he composed 10 pieces in 1937, the number of new pieces from 1935–36 (‘the next years following’) should be approximately 10. Vinton considered ten pieces (i.e., Nos. 23, 24, 43b, 44, 50, 52, 66, 116, 123a, and 129) to be the production of the years 1935–1936.<sup>43</sup> No clear reason is given<sup>44</sup>; however, this interpretation might have been affected by the fact that all of these pieces were notated on pp. 55–56 and 85–86, which have been considered to be independent folios. As discussed in the previous subchapter, pp. 85–86 originally constituted a bifolio with the cover page (pp. 1–2), and based on this reconstruction of the bifolio structure, it is possible to reconstruct nested bifolios, and according to this reconstruction, pp. 85–86 were the first pages of the nested bifolios. Thus, if we divide the period of composition into single years, the pieces on pp. 85–86 belong to 1934 rather than 1935 or 1936.

In the present section, however, no further division is made concerning the pieces composed in 1934–1936. This lack of further division is because all the pieces were eventually copied into **A**<sub>I/2</sub>, the second unit of **A**<sub>I–II</sub>. Dividing sources into subgroups without clear evidence or reasoning is likely to produce an arbitrary grouping, which is better to be avoided.<sup>45</sup> In the case of **D**<sub>1934–36</sub>, it should be considered more important that it is still possible to reconstruct the order of composition based on the fact that Bartók drafted new pieces on nested bifolios.

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<sup>42</sup> *Beszélgetések*, 204.

<sup>43</sup> *Vinton*, 56.

<sup>44</sup> *Vinton*, 49–51 but especially 51. The primary reason seems to be that these pieces are notated on the pages that cannot clearly be assigned to the year 1934. Vinton mentions the colour of the ink as further evidence of his dating; however, this aspect is difficult to verify objectively as the shade of ink frequently changes even within a continuous draft of a piece.

<sup>45</sup> An experiment is, however, to be made in Subchapter 4.2.

Concerning the reconstruction of the nested bifolios, the relationship between two successive folios with a trademark (pp. 31–34) is obvious as the music continues from one page to another. If they constitute nested bifolios, then it can be explained why the music continues from one non-trademark folio to another on pp. 57–60. With regard to the bifolio pp. 35–38 (which is used upside down for unknown reasons), it is likely that this bifolio was placed inside of the nested bifolios, judging from the fact that the notation of No. 118 continues from p. 34 to p. 35.


Theoretically, the outermost bifolio (pp. 85–86 and 1–2) could have been used separately from other bifolios, as its content is not related to any of the other pages. However, this reconstruction is supported by two facts. First, the pieces on pp. 85–86 (Nos. 116, 123a, and 129) were copied on pp. 39–41 on **A<sub>I/2</sub>**, earlier than the other pieces. The order in **A<sub>I/2</sub>** does not necessarily reflect the order of composition; however, considering that Bartók usually copied the pieces largely in the order of difficulty, and easy pieces are copied on pp. 43ff. of **A<sub>I/2</sub>**, it is likely that when he copied the pieces on pp. 85–86, he had not yet composed these easy pieces.

Second, the existence of three blank pages can better be explained if this bifolio was used as the outermost bifolio of the nested bifolios. Bartók drafted the pieces one after another in the nested bifolios consisting of 16 pages, and he stopped composition on p. 59, leaving six blank staves on the second half of the page and three blank pages at the end of the nested bifolios. Later, after he considered the composition of *Mikrokosmos* to be completed (supposedly by the end of 1936), he used the blank folio (pp. 1–2) as the cover page for the manuscripts; thus, the bifolio (pp. 85–86 and 1–2) eventually became an envelope of all the existing manuscripts. Originally, the folios containing pp. 59–60 and 85–86 came one after another. However, as **D<sub>1937</sub>** and **D<sub>1939</sub>** were later inserted between these pages, these two folios received distant page numbers. The skip of page numbers in the nested bifolios (i.e., a gap between pp. 38 and 57) can be similarly explained: supposedly, in 1936, when Bartók gathered together all the *Mikrokosmos* drafts, he might occasionally have inserted some folios or bifolios into the nested bifolios.

The remaining single folio (pp. 55–56) deserves a brief discussion. This folio originally constituted a bifolio with a folio from **D<sub>1933</sub>** (pp. 39–40). It may raise a few problems that this bifolio and another bifolio from **D<sub>1933</sub>** (pp. 41–42 and 53–54) seem to have constituted nested bifolios, judging from the fact that the two folios with a trademark (pp. 41–42 and 39–40) contain pieces of similar difficulty (i.e., the most

difficult pieces), and the other two non-trademark folios (pp. 55–56 and 53–54) have easy pieces.

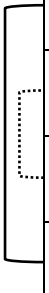
Table 4-14: Hypothetical reconstruction of nested bifolios from the folios belonging to **D**<sub>1933</sub> and **D**<sub>1934–36</sub>

Bifolio	Folio	Paper type	Page	Content
	21	J.E. & Co., No. 5/B	41 □	143 (concl.), 147 (1st version, beg.)
			42	147 (1st version, concl.), 75*, 85 (beg.)*
	20	J.E. & Co., No. 5/B	39 □	146 (beg.)
			40	146 (concl.)
	28**	[J.E. & Co., No. 5/B]	55	44, 23, 24, 43a–b
			56	50, 66, 52
	27**	[J.E. & Co., No. 5/B]	53	85 (concl.), 79
			54	20, 30, 19, 18, 25

\* Pieces still missing from the reconstructed form.

\*\* Blank folios in the reconstructed form.

Table 4-15: Hypothetical reconstruction of nested bifolios from the folios belonging to **D**<sub>1933</sub> and **D**<sub>1934–36</sub>

Bifolio	Folio	Paper type	Page	Content
	20	J.E. & Co., No. 5/B	39 □	146 (beg.)
			40	146 (concl.)
	21	J.E. & Co., No. 5/B	41 □	143 (concl.), 147 (1st version, beg.)
			42	147 (1st version, concl.), 75, 85 (beg.)
	27	[J.E. & Co., No. 5/B]	53	85 (concl.), 79
			54	20, 30, 19, 18, 25
	28	[J.E. & Co., No. 5/B]	55	44, 23, 24, 43a–b
			56	50, 66, 52

It is possible to experiment with two reconstructions of nested bifolios (see Tables 4-14 and 4-15). Both hypothetical reconstructions might be rejected based on the facts that (1) it is strange if the continuation of a piece, No. 143, was notated on one of the inner pages of the nested bifolios (a counter-argument to the reconstruction in Table 4-15); (2) No. 85 ‘Broken Chords’ continues from p. 42 to p. 53 (a counter-argument to the reconstruction in Table 4-14). In addition, judging from the order of the fair copy in **A**<sub>I/1</sub>, No. 146 was composed later than No. 147 (another counter-argument to the reconstruction in Table 4-15); the order of the fair copy in **A**<sub>I/1</sub> also suggests that the composition of Nos. 75 and 85 might be contemporaneous with that

of No. 146 as well as Nos. 18–20 and 30 on p. 54 and earlier than the pieces on pp. 55–56 (another counter-argument to the reconstruction in Table 4-14).

A simple explanation would be that these bifolios were used separately from each other, and Bartók composed on these pages simultaneously. Nevertheless, independent of the initial state of these bifolios, they nevertheless formed nested bifolios when he composed the pieces on p. 55. This interpretation can be supported by the thematic similarity between Nos. 25 and 23, two pieces with an identical title, ‘Imitation and Inversion’.<sup>46</sup>

Table 4-16: References to the *Zongoraiskola* among the pieces in **D**<sub>1934–36</sub>

No.	Page	Orig. remark
41	33	44 <i>elé</i> [before 44]
99	34	44 <i>elé vagy után</i> [before or after 44]
61	35	44 <i>elé</i> [before 44]
55	36	46. <i>helyett</i> [instead of 46]
11	36	No. 21. <i>után</i> [after No. 21]
12	36	No. 21 <i>után</i> [after No. 21]
22	37	26. <i>után</i> [after 26]
25	54	26 <i>után</i> [after 26]
44	55	37 [circled] <i>elé</i> [before 37]
23	55	21. <i>után közv.</i> 22. <i>Elé</i> [after 21, immediately before 22]
24	55	26. <i>után</i> [after 26]
43	55	<del>38</del> <i>után</i> [after 38; in ink, corr. to] 40 <i>után</i> [after 40]
50	56	41. <i>után</i> [after 41; in ink]
66	56	56. <i>helyett</i> [instead of 56]
52	56	54. <i>helyett</i> [instead of 54]
67	57	67. <i>után</i> [after 67; in ink]
76	57	71 [corr. to] 72 <i>után</i> [after 72]
56	57	71. <i>után</i> [after 71]
49	57	51 <i>elé vagy után</i> [before or after 51; in ink]
77	58	97 <i>helyett</i> [instead of 97]
80	59	99 <i>elé</i> [before 99]

\* The original version belongs to **D**<sub>1933</sub> but the final version most likely belongs to **D**<sub>1934–36</sub>

The reference to the Bartók-Reschofsky *Zongoraiskola* [Piano Method] may also underscore the relationship between Nos. 25 and 23, as well as the relationship


<sup>46</sup> It is possible that Bartók chose the same title for these two pieces intentionally in order to call the attention of piano teachers to the fact that the same musical concept is worked out differently.

between pp. 54 and 55 (see Table 4-16). The existence of these references signals the fact that these pieces were composed for different purposes than the pieces composed in previous years. This difference can also be observed in how these pieces were copied onto **A<sub>I/2</sub>** (see the Subchapter 4.2.). In this section, an example mapping the micro-chronology is not provided as the chronological relationship between each piece is mostly obvious.

#### 4.1.3.4. **D<sub>1937</sub>**

This unit consists of pp. 61–72 of **D**. These 12 pages constitute 6 folios of a single type of music paper. These 6 folios might have originally constituted 3, possibly arranged originally in nested bifolios; however, this structure was probably abandoned during the early compositional phase. For the contents, see Table 4-17, which also serves as the summary of the present section. The pages of **D<sub>1937</sub>** contain drafts for Nos. 109, 120, 130, 138–39, 148–151, and 153. These pieces constitute two independent suites, which Bartók repeatedly performed in concerts: the easy suite consists of Nos. 109, 120, 130, 138, and 139, and the difficult suite consists of Nos. 148–151, and 153.<sup>47</sup>

Table 4-17: Contents of **D<sub>1937</sub>** in hypothetical structure

Bifolio	Folio	Paper type	Page	Contents
	31	[J.E. & Co., No. 5/C]	61	[blank]
			62	139, 109 (conclusion)
	34	J.E. & Co., No. 5/C	67 □	153 (beginning)
			68	153 (conclusion), 151 (beginning)
	35	[J.E. & Co., No. 5/C]	69	151 (continuation)
			70	151 (conclusion), 130
	33	J.E. & Co., No. 5/C	65 □	149
			66	150
	32	[J.E. & Co., No. 5/C]	63	148 (beginning)
			64	148 (conclusion)
	36	J.E. & Co., No. 5/C	71 □	120, a sketch to BB 115, 109 (beginning)
			72	138

Several unusual features suggest that **D<sub>1937</sub>** might have originally been prepared for concert performances. For instance, except for Nos. 148–151 and 153

<sup>47</sup> For the details, see *BBCCE*/40, 45\*.

‘Dances in Bulgarian Rhythm’, all the other pieces already bear titles in Hungarian in addition to English, German, or French. All the pieces already bear durations, and several performing instructions have even already been added. In addition, there is an unusual blank recto page (p. 61): within **D**, a comparable blank recto page can only be found in a bifolio (**A**<sub>147</sub>) unambiguously prepared for concert performances. It is also unique within **D** that Bartók pasted a fragmentary sheet containing a revised section onto the middle of p. 63 (in the middle of No. 148, bars 22–33), rather than making a revision on a separate sheet and then simply making a reference to it, as he did elsewhere (e.g., No. 142 on pp. 10–11, and No. 110 on pp. 13–14). Although he never used these manuscripts in concerts, it is likely that he practised these pieces using **D**<sub>1937</sub>.

The order of composition can largely be reconstructed by taking several characteristics of the autograph into consideration:

- (1) No. 139 on p. 62, i.e., the page next to the blank page (p. 61), must have been written first.
- (2) In **D**<sub>1937</sub>, Bartók seems to have made the draft of a new piece on a new page; thus, Nos. 120, 138, 148, 149, 150, and 153 (on pp. 71, 72, 63, 65, 66, and 67, respectively) could have been drafted simultaneously. However, it is likely that Bartók proceeded from the recto to the verso page of a folio (i.e., No. 149, then No. 150), and if the folios constituted a bifolio, then from the left side to the right side of the bifolio (i.e., No. 139, then No. 120). Considerably dense notation at the bottom of pp. 65 and 66 (containing Nos. 149 and 150) suggests that there was no available space for continuation on the following page.
- (3) Three pieces on pp. 67–70 were naturally drafted in their order of appearance; however, this case does not mean that two later pieces (Nos. 151 and 130) were drafted later than the other pieces drafted at the beginning of the page (e.g., Nos. 120, 138, 148, 149, and 150).
- (4) As the draft of No. 109 was notated in an irregular way (its beginning being on p. 72, on the right side of the bifolio, then continued on p. 62, on the left side of the bifolio), there might have been no available space on the pages of **D**<sub>1937</sub>.
- (5) The fact that the sum of the duration of the easy and difficult suites is written at the end of Nos. 148 and 138, respectively, does not necessarily mean that these pieces were the last pieces of each suite. Nevertheless, it is likely that these pieces were placed later than other pieces when Bartók entered the sum of their duration.

It is possible to discover some musical relationship between the pieces: for instance, the use of quintuplets in Nos. 130 and 138; the emphasis on triads in Nos. 120, 139, 151, and 153; and the use of similar pentatonic melodic gestures in Nos. 148–150.



Such similarities cannot always be used to establish the chronology as when Bartók drafted pieces one after another, he used methods of both simplifying and elaborating a musical element (see Chapter 12).

For a micro-chronology of **D**<sub>1937</sub>, see Figure 4–3.

Page	No.	Page	No.	Page	No.	Page	No.
62	139	67	153	65	149	63	148
71	120	68		66	150	64	
72	138	69	151				
71, 62	109	70	130				

Figure 4-3: Micro-chronology of **D**<sub>1937</sub>

#### 4.1.3.5. **D**<sub>1939</sub>

This unit consists of pp. 73–84 of **D**. These 12 pages constitute 6 folios of different types of music paper, and these 6 folios constituted 3 bifolios. These folios were originally stored with **A**<sub>III</sub> but separated from each other, then inserted into their current position in **D**. For the contents, see Table 4-3. **D**<sub>1939</sub> contains drafts for Nos. 1–10, 13–17, 26–29, 38–40, 42, 45, 54, 68, 72, 83, 97, 104a (two versions), 107, 119, 121, and 126.

As the contents of **D**<sub>1939</sub> have already been discussed in Section 4.1.2.1., in this section, some further details are discussed. **D**<sub>1939</sub> was likely to have been completed by June 1939 as Bartók reported in a letter to Hawkes dated 13 June 1939, ‘[I] *have written ca 30 new pieces, but these are not yet copied.*’<sup>48</sup> The quantity he mentioned largely corresponds to Bartók’s own temporary numbering (1–30) in **D**<sub>1939</sub>.

This unit contains a fragmentary bifolio (pp. 79–82), which contains Nos. 104a, 119, and 121. The form of this bifolio is identical to another bifolio used for Peter Bartók’s piano lessons (**A**<sub>64b, 74</sub>). Judging from the style of the notation of the first version of No. 104a (written on pp. 79–80; see Example 4-18), and some additional remarks in pencil, this bifolio was also used for Peter Bartók’s piano lessons; the other side of the bifolio, pp. 81–82, was probably blank at that time. It is obvious that this piece was intended as an exercise for passing the thumb under technique.<sup>49</sup> For the purpose of establishing the chronology, the autographs of No. 98

<sup>48</sup> Bartók to Hawkes, 13 June 1939 (PB, BB–B&H).

<sup>49</sup> It is still possible that these pieces were written for the practice of hand-shifting rather than thumb-under if we take Peter Bartók’s recollection to be reliable. Bartók instructed his son to

‘Thumb Under’ may serve as a clue: this piece is also dedicated to the same technical problem, and was apparently used for Peter Bartók’s piano lessons. It was sketched in 1935 (in **S<sub>98</sub>**), then a fair copy was prepared on an independent sheet (**A<sub>98</sub>**). As No. 104a is longer and more advanced than No. 98, therefore it is likely that it was composed somewhat later.

It is probably not mere coincidence that Bartók composed three voice and piano pieces in 1939 (two of them are directly notated in **A<sub>II</sub>**; the rest is drafted in **D<sub>65,69</sub>** but without words). When he composed the pieces in **D<sub>1939</sub>**, he may have gone through the autographs he prepared for Peter Bartók’s lessons, and while he notated the revised version of No. 104a on the blank space of the bifolio he had previously used in the lesson (i.e., pp. 81–82), he may have gained inspiration from another bifolio (**A<sub>64b,74</sub>**) to compose additional voice and piano pieces for *Mikrokosmos*.

It is notable that several pieces and even some complete pages have been provided with references to the *Zongoraiskola* (see Table 4-18) including a few references to the fair copy of *Mikrokosmos* (**A<sub>I/2</sub>**). Bartók composed several pieces in relation to the *Zongoraiskola* already in **D<sub>1934–36</sub>**; however, this time, he focused more extensively on the easiest pieces. This focus may have been related to what Bartók said in the 1940 interview: ‘Margit Varró’s critical remarks about my former piano method, so much criticized in its time, were very useful. I had a copy of my piano method at hand, with Mrs. Varró’s notes: I wrote many pieces of the *Mikrokosmos* taking these notes into consideration.’<sup>50</sup>

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use hand-shifting when he taught him how to play the C major scale (see *My Father*, 36). At any rate, Bartók chose the title ‘Thumb Under’ for No. 98, which also requires either hand-shifting or thumb-under technique.

<sup>50</sup> *Beszélgetések*, 205. English translation quoted from *Lampert*, 123.

1 2 3 4 5 6 7 8 9

10 11 12 13 14 15 16 17 18

19 20 21 22 23 24 25 26

27 28 29 30 31 32 33 34 35

36 37 38 39 40 41 42 43 44

45 46 47 48 49 50 51 52

53 54 55 56

Example 4-18: *Mikrokosmos*, the first version of No. 104a (diplomatic transcription from **D**<sub>1939</sub>, pp. 79–80)

Table 4-18: References to the *Zongoraiskola* in **D**<sub>1939</sub>

Page	No.	Remarks
73	[on the top of the page]	<i>z. isk. 22. lapjára gyak.</i> [‘practice to p. 22 of <i>Zongoraiskola</i> ’]
	40	<i>(z. isk. 22. lapjára</i> [‘(to p. 22 of <i>Zongoraiskola</i> )’]
	Exercise Nos. 6, 8	<i>z. isk. 21. lapjára gyakorlat</i> [‘practice to p. 21 of <i>Zongoraiskola</i> ’]
	68	<i>(zong. isk. 68. száma helyett)</i> [‘(instead of No. 68 of <i>Zongoraiskola</i> )’]
	45	<i>(zon. isk. 44. helyett)</i> [‘(instead of No. 44 of <i>Zongoraiskola</i> )’]
74	Exercise No. 12	<i>(Z. isk. 50.-gyakorlata helyett)</i> [‘(instead of practice No. 50 of <i>Zongoraiskola</i> )’]
	54	<i>(Z. isk. 50. után)</i> [‘(after No. 50 of <i>Zongoraiskola</i> )’]
	72	<i>(isk. 77 helyett túl-nehéz)</i> [‘(too difficult instead of No. 77 of <i>Zongoraiskola</i> )’]
78	39	<i>z. isk 21. lapjára, először 19., aztán 18.</i> [‘to p. 21 of <i>Zongoraiskola</i> , first 19, and then 18’]
	38	
	42	<i>(21. lap z. isk. gyakorlatok után</i> [‘after practices on p. 21 of <i>Zongoraiskola</i> ’]
	[under No. 42]	<i>ez után a 44. lapon lévő 3. és 4. ik!</i> [‘after this, the third and fourth pieces on p. 44’]
83	[on the top of the page]	<i>Z. isk. 15. lap</i> [‘ <i>Zongoraiskola</i> , p. 15’]
84	[on the top of the page]	<i>M. 43. lapról 1.</i> [‘From <i>Mikrokosmos</i> p. 43, first piece’]
	[under No. 16]	<i>M.46 lapról 2.</i> [‘From <i>Mikrokosmos</i> p. 46, second piece’]

#### 4.1.4. Description of Minor Units

In this section, the remaining four minor units (**A**<sub>64b, 74</sub>, **A**<sub>147</sub>, **D**<sub>65 69</sub>, and **A**<sub>IV</sub>) of **D** are briefly described, in chronological order.

##### 4.1.4.1. **A**<sub>64b, 74</sub>

This unit consists of pp. 87–90 of **D**. These 4 pages constitute 2 folios of a single type of music paper, and these 2 folios originally constituted a bifolio. These folios were originally stored separately from **D**; however, they were added to the end of **D** by an archivist at the New York Bartók Archive. As the lower part of the paper was cut out, the sheets now contain only 12 staves. **A**<sub>64b, 74</sub> contains the autographs of Nos. 64b and 74. Judging from their notation, these autographs can be considered to be fair copies; however, these pieces were written in this form for the first time. **A**<sub>64b, 74</sub> can be considered quite important from a philological point of view.

First, a note by an archivist ‘Found in 65SATBS1’ (referring to the draft of *Four Hungarian Folksongs*, BB 99, 1930) signalled the problem of the classification system of the New York Bartók Archive. However, it is not known why **A**<sub>64b, 74</sub> was separately stored from other drafts of the *Mikrokosmos* pieces. Second, **A**<sub>64b, 74</sub> seems to have served as the basis of an early publication of *Mikrokosmos* No. 74 in a periodical for schoolchildren, *Csabai Akkordok*. There are no essential textual differences between **A**<sub>64b, 74</sub> and the published form (**C**<sub>74</sub>); however, it is still remarkable that Bartók allowed one of the *Mikrokosmos* pieces to be published as early as 1935. Third, **A**<sub>64b, 74</sub> was supposedly prepared for Peter Bartók’s lessons, probably in 1933 or 1934; there are indeed some additional annotations relating to the piano lessons, in Bartók’s and Peter’s hands.<sup>51</sup> Another bifolio in similar form (**D**<sub>1939</sub>, pp. 79–82; however, pp. 81–82 were blank at that time) might have originally been prepared for the same purpose; however, these two bifolios were separated from each other for unknown reasons (see also Section 4.1.3.5.).

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<sup>51</sup> For instance, several explanations of musical terms are written in pencil: ‘dallamos (melódikus)’ [melodic], ‘összhangzati (harmónikus)’ [harmonic], and ‘zárlat (kadencia)’ [cadence] on p. 89. Similar annotations can be found on several pages of **AP**<sub>PB</sub> (for full description, see *BBCCE*/41).

#### 4.1.4.2. A<sub>147</sub>

This unit consists of pp. 3–6 of **D**. These 4 pages originally constituted a bifolio. Only the inside pages of the bifolio (pp. 4–5) were used for the notation of No. 147, and the outer side of the bifolio (pp. 3 and 6) was left blank. This bifolio was originally not part of **D** but inserted into its current position in **D** at an unknown date.

The variant of No. 147 in **A<sub>147</sub>** was prepared on the basis of [**AP<sub>147</sub>**] and used in concerts at least until the first edition of *Mikrokosmos* was issued in April 1940. This variant coincides with the version Bartók plays on **B-Rec<sub>3</sub>**. For the evaluation of its content, see also Section 4.1.2.2.

#### 4.1.4.3. D<sub>65, 69</sub>

This unit consists of p. 8 of **D**. The reverse side of the folio is **A<sub>IV</sub>**. **D<sub>65, 69</sub>** contains drafts of Nos. 65 and 69, a sketch for Exercise No. 26, and an unfinished arrangement of No. 25 for two pianos. This folio (together with **A<sub>IV</sub>**) was originally not part of **D** but inserted into its current position in **D** at an unknown date.

The pieces on this page were copied into the middle of **A<sub>II</sub>**. It seems that the preparation of the fair copy was earlier than the composition of No. 135 on transparent tissue in **A<sub>II</sub>**. As **A<sub>IV</sub>** contains No. 134/3, a kind of preliminary exercise for No. 135, **D<sub>65, 69</sub>** was prepared earlier than **A<sub>IV</sub>**.

#### 4.1.4.4. A<sub>IV</sub>

This unit consists of p. 7 of **D**. The reverse side of the folio is **D<sub>65, 69</sub>**. **A<sub>IV</sub>** contains the autograph of Nos. 102 and 134/3. The page has Bartók's original pagination '75', suggesting that it was intended to be part of **A<sub>I-II</sub>**, which contains Bartók's pagination 1–74. This folio (together with **D<sub>65, 69</sub>**) was originally not part of **D** but inserted into the current position in **D** at an unknown date.

In the current form of **D**, **A<sub>IV</sub>** appears to be the regularly notated page as the reverse side of the folio (**D<sub>65, 69</sub>**) is notated upside down. However, it is more likely that **D<sub>65, 69</sub>** was notated earlier than **A<sub>IV</sub>** (see Section 4.1.4.3.). For an evaluation of its contents, see also Section 4.1.2.2.

## 4.2. **A<sub>I-II</sub>**—Fair Copy on Transparent Tissue

**A<sub>I-II</sub>** is a set of fair copies on transparent tissue containing 131 pieces. This MS consists of 82 pages of transparent tissue, prepared supposedly during 1933 and 1939. This MS was archived, and to some extent, it was arranged in the New York Bartók Archive. The MS bears Bartók's pagination 1–74, and *ad* 29, plus discarded folios of the same kind with the archival pagination 75–82 (p. 29 is renumbered to '78' probably by an archivist at the New York Bartók Archive).<sup>52</sup> Different from the pages in **D**, the exact size of the transparent tissue in **A<sub>I-II</sub>** varies from sheet to sheet as Bartók usually trimmed the right and left edges, which might have contained various remarks for corrections and possibly old page numbers (if any). He also cut down some staves, which might have been used for correction or revision (e.g., an inserted staff appears on p. 24). Some sheets consist of fragmentary sheets glued together. Fragmentary sheets can be found among discarded folios (pp. 75–82).

From **A<sub>I-II</sub>**, several sets of tissue proofs were produced: **AP<sub>PB</sub>**, **AP<sub>B1</sub>**, **AP<sub>B&H</sub>**, **AP<sub>145</sub>**, **EC<sub>145c</sub>**, **EC<sub>147</sub>**, and a substantial part of **EC**. None of them are complete except for **EC**. Except for a few pages produced from **A<sub>II</sub>**, the contents of the tissue proofs are identical; thus, the tissue proofs were probably produced after Bartók (at least temporarily) finalised **A<sub>I-II</sub>**. He occasionally changed details on the tissue proofs; however, he did not always add the correction to **A<sub>I-II</sub>**. In this regard, however, the functions of **A<sub>I</sub>** and **A<sub>II</sub>** slightly differ from each other (for details, see Section 4.2.2.4.).

Even though the current form of **AP<sub>B1</sub>** and **AP<sub>B&H</sub>** contains the tissue proofs produced from **A<sub>I</sub>** together, the tissue proofs were produced separately, probably in the following grouping: pp. 1–36, 37–48, and 49–59.<sup>53</sup> In the case of **AP<sub>B1</sub>** and **AP<sub>B&H</sub>**, these tissue proofs were printed in the bifolio form (printed on both sides of the paper) and they might have originally formed nested bifolios (see Tables 4-29 and 5-6, respectively). In the case of **EC**, the proof was printed only on a single side of the paper so that Bartók would be able to cut out single pieces and change their order.

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<sup>52</sup> According to Vinton, these eight pages were discarded by Bartók from the main body of the transparent tissue of the *Mikrokosmos* pieces but returned to it by the staff at the New York Bartók Archive; however, this rearrangement of manuscripts seems not to have been documented elsewhere (see Vinton, 47).

<sup>53</sup> This grouping largely coincides with the three units (**A<sub>I1</sub>**, **A<sub>I2</sub>**, and **A<sub>I3</sub>**), with the difference that from the last page of **A<sub>I2</sub>** (p. 49), the tissue proof was produced together with **A<sub>I3</sub>**.

Table 4-19: Content of  $\mathbf{A_{I-II}}$ 

Page	Content	Division
<i>1</i>	35, 32, 33	[= $\mathbf{A_{I/I}}$ ]
<i>2</i>	46, 63, 60	
<i>3</i>	37, 34, 36	
<i>4</i>	48, 64a, 47 (beginning)	
<i>5</i>	47 (conclusion), 86, 57 (beginning)	
<i>6</i>	57 (conclusion), 51, 53 (beginning)	
<i>7</i>	53 (conclusion), 59, 84	
<i>8</i>	70, 106, 58 (beginning)	
<i>9</i>	58 (conclusion), 71, 101 (beginning)	
<i>10</i>	101 (conclusion), 78, 90	
<i>11</i>	81, 62	
<i>12</i>	87, 105	
<i>13</i>	100, 110	
<i>14</i>	94, 108	
<i>15</i>	91, 92	
<i>16</i>	132, 103	
<i>17</i>	133, 136 (beginning)	
<i>18</i>	136 (conclusion), 114	
<i>19</i>	137	
<i>20</i>	111, 124	
<i>21</i>	125, 122 (beginning)	
<i>22</i>	122 (conclusion), 144 (beginning)	
<i>23</i>	144 (conclusion)	
<i>24</i>	140 (beginning)	
<i>25</i>	140 (conclusion), 141 (beginning)	
<i>26</i>	141 (conclusion), 142 (beginning)	
<i>27</i>	142 (conclusion), 88, 143 (beginning)	
<i>28</i>	143 (conclusion)	
<i>29*</i>	147 (1st version)	
<i>ad 29**</i>	147	
<i>30</i>	145b	
<i>31</i>	145a	
<i>32</i>	145c	
<i>33</i>	85, 73	
<i>34</i>	146 (beginning)	
<i>35</i>	146 (conclusion)	
<i>36</i>	19, 20, 18, 30, 75	



Page	Content	Division
37	74a, 74b (beginning)	[= $\mathbf{A}_{I/2}$ ]
38	74b (conclusion), 21, 31	
39	64b, 123a–b	
40	116, 129 (beginning)	
41	129 (conclusion), 131, 117 (beginning)	
42	117 (conclusion), 118 (beginning)	
43	118 (conclusion), 11, 12, 22, 23	
44	24, 25, 44, 43a, 43b, 50 (beginning)	
45	50 (conclusion), 41, 99, 61	
46	55, 66, 52, 67, 56	
47	76, 49, 82 <sup>†</sup> , 89 <sup>†</sup>	
48	112, 93 <sup>†</sup> (beginning)	
49	79, 77, 80, 93 (conclusion)	
50	148 (beginning)	[= $\mathbf{A}_{I/3}$ ]
51	148 (conclusion), 149 (beginning)	
52	149 (conclusion)	
53	150	
54	151 (beginning)	
55	151 (conclusion), 153 (beginning)	
56	153 (conclusion), 130 (beginning)	
57	130 (conclusion), 138	
58	109, 120 (beginning)	
59	120 (conclusion), 139	
60	98, 83, 42, 40	[= $\mathbf{A}_{II}$ ]
61	104a–b, 119, 121 (beginning)	
62	121 (conclusion), 97; Ex. 27–28, 29a–b (sketch)	
63	54, 72, 126; Ex. 12a–b	
64	107, 68, 45	
65	127, 95b (beginning)	
66	95b (conclusion), 95a, 128 (beginning)	
67	128 (conclusion), 69, 65	
68	113, 152	
69	96, 135 (beginning); Ex. 11b (conclusion, continued from p. 73); 26	
70 <sup>‡</sup>	135 (conclusion), 134a; Ex. 19–20, 22, 25	
71	115, 134b; Ex. 31–33	
72	Ex. 1–2, 6–10, 13–16, 17a; preliminary staves for 51 and 59	
73	Ex. 11a, 11b (beginning, continued to p. 69), 17b, 18, 21, 23–24, 30	
74	Second piano part for four pieces (55, 44, 43a, 68), Ex. 27–29	

Page	Content	Division
75	46 (discarded early version), Unpublished Piece 4 (discarded)	[= $\mathbf{A}_{I/1}$ ]
76	51 (early version)	
77	34, 36 (both pieces in early version)	
79	88 (early version)	
80	145b (early version, discarded)	
81	111 (incomplete version, discarded)	
82	142 (early version of the second half)	

\* Page number 78 added at NYBA

\*\* From 1939

† With reference to the *Zongoraiskola* ‘78 *után*’ [‘after 78’]

‡ With an unidentified reference ‘67-*hez!*’ [‘to 67!’] in the bottom-left corner of the page

This MS contains several units that are almost chronologically independent: **A<sub>I/1</sub>**, **A<sub>I/2</sub>**, **A<sub>I/3</sub>**, and **A<sub>II</sub>** (in order of chronology). For the full contents of the source, see Table 4-19. The units in **A<sub>I-II</sub>** can be summarised as follows:

- pp. 1–36: prepared in 1933 (**A<sub>I/1</sub>**)
- pp. 37–49: prepared in 1934–1936 (**A<sub>I/2</sub>**)
- pp. 50–59: prepared in 1937 (**A<sub>I/3</sub>**)
- pp. 60–74 and *ad.* 29: prepared in 1939 (**A<sub>II</sub>**)
- pp. 75–82: prepared in 1933 (all the pages are related to **A<sub>I/1</sub>**)

The identification of these units basically follows the previous research by Vinton.<sup>54</sup> According to him, **A<sub>I/1</sub>** can be distinguished from the rest of **A<sub>I-II</sub>** based on whether the page number is written in the top right-hand corner or in the top middle of the page.<sup>55</sup> **A<sub>I/2</sub>** can be separated from the succeeding units of **A<sub>I-II</sub>** based on how time signatures are written: in **A<sub>I/1</sub>** and **A<sub>I/2</sub>**, time signatures are written only once in a system by using large figures, which is different from **A<sub>I/3</sub>** and **A<sub>II</sub>**, where time signatures are generally written in the normal manner.<sup>56</sup> Finally, **A<sub>II</sub>** can be separated from all the previous units due to the existence of the published numbers.<sup>57</sup>

The application of these relatively simple and unambiguous criteria makes it possible to discover some further, more important characteristics in each unit, which not only underscores Vinton's preliminary observation but also provides a better explanation concerning when, and for what purpose, these pages were prepared:

- **A<sub>I/1</sub>**: There is always a blank staff between the pieces. The space was most likely left for titles. Except for Nos. 18–20 and No. 30 on p. 36, all the pieces have Italian tempo markings, MM markings, and durations. Most pieces have titles in Hungarian and German or a common title in Italian.
- **A<sub>I/2</sub>**: There is not always a blank staff between the pieces. No space was left for titles for the short and easy pieces. Most pieces have Italian tempo markings but no MM markings. Titles are, if any, added only in Hungarian, except for the last three pieces on p. 49 (No. 79 'Hommage à J. S. B.', No. 77 'Petite etude / Gyakorlat / Kleine Studie', and No. 80 'Hommage à R. Sch.'). Only four pieces have durations (Nos. 64b, 79, 77, and 80).
- **A<sub>I/3</sub>**: All the pieces generally have titles (Nos. 148–151 and 153 have only a Hungarian title, and No. 130 has Hungarian and French titles), Italian tempo markings (except for Nos. 148–151 and 153, which lack them even in the published form), MM markings, and durations.

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<sup>54</sup> Vinton, 41–69.

<sup>55</sup> Vinton, 47–48.

<sup>56</sup> Vinton, 48.

<sup>57</sup> Vinton, 50.

- **A<sub>II</sub>**: Except for No. 134, the style of notation follows that of **A<sub>I/1</sub>**: there is always a blank staff between the pieces, and most pieces have Hungarian and German titles, occasionally with English, French, or Italian ones; all the pieces have Italian tempo markings, MM markings, and durations.

Considering that Bartók might have prepared these fair copies for publication, it is natural that he fully worked out the notation. Thus, the change in **A<sub>I/2</sub>** seems to be important from a pedagogical and philological point of view. Judging from the fact that he essentially gave only Hungarian titles, it is likely that these pieces were primarily intended for a revised edition of the Bartók-Reschofsky *Zongoraiskola* or a new piano method (also) intended for the Hungarian market.<sup>58</sup> This hypothesis is underscored by the fact that Bartók composed many pieces in relation to the *Zongoraiskola* in **D<sub>1934–36</sub>**, from which the pieces were copied into **A<sub>I/2</sub>**.

The most important purpose of this subchapter is to establish a micro-chronology within **A<sub>I–II</sub>** and to use it as a tool to obtain a better understanding of the contents of **D**. Before we proceed to this type of examination, however, we must clarify the problem of the traditional classification ‘59PID1–ID2’ (‘Two Intermediary Drafts’) as the concept of dealing with the source group as a complex autograph consisting of two groups unintendedly resembles my classification. However, it is important to emphasise that the label ‘59PID1–ID2’ and my siglum **A<sub>I–II</sub>** fundamentally differ from each other.

#### 4.2.1. Problem of the Classification as ‘Two Intermediary Drafts’?

The ‘label’ of the New York Bartók Archive, ‘59PID1–ID2’, was intended to mark the existence of two units within the single source, and such a double-numbered siglum indicates that these units cannot be separated from each other.<sup>59</sup> However, there is no clear explanation that can justify this classification. According to Suchoff, the existence of two versions forced him to create this complex designation as ‘the

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<sup>58</sup> See, for instance, an interview with a schoolchild from 1935 in *Csabai Akkordok*. The interviewer, Zsuzsa Kner, reported that ‘He [Bartók] showed me the manuscripts which will be used to compile the new piano method and, in addition, to supplement the old one, since it is out of stock.’ (See *Beszélgetések*, 145–46; English translation quoted from *BBCCE/40*, 22\*).

<sup>59</sup> Double or triple-numbered sigla are also used when a source contains more than one composition. For instance, in the case of the draft complex of *Sonatina* (BB 69, 1915), *Romanian Folk Dances* (BB 68, 1915), and *Romanian Christmas Songs* (BB 67, 1915), a triple-numbered siglum ‘36–37–38PS1’ is used.

individual variants could not be separated without irreparable damage.’<sup>60</sup> Suchoff’s concern is not obvious from his wording as the early versions of some pieces can be found separately on discarded sheets (pp. 75–82), and it would indeed be possible to separate the early version from the final version of these pieces. It seems that Suchoff grouped the fair copies into two categories: ‘first’ and ‘second’ versions rather than ‘preliminary’ and ‘final’ versions (although the latter seems to be a more natural categorisation). As a result, the pages consisting of fragmentary sheets (e.g., pp. 2, 3, 6) should be considered to contain more than one version, and as these fragmentary sheets are glued together by Bartók, it is impossible to separate them from each other without causing damage to any of the fragmentary sheets.

For instance, currently, p. 6 consists of three fragmentary sheets, and the fragmentary sheets contain Nos. 57, 51, and 53, respectively (see Figure 4-4). This p. 6 originally contained an early version of No. 51, concluding on F instead of A,<sup>61</sup>; however, this version was cut out from the sheet by Bartók and substituted by another version (the final version); the fragmentary sheet containing the early version of No. 51 received the page number ‘76’ from the staff at the New York Bartók Archive. Thus, the current form of p. 6 contains both the first and second versions on a single sheet.

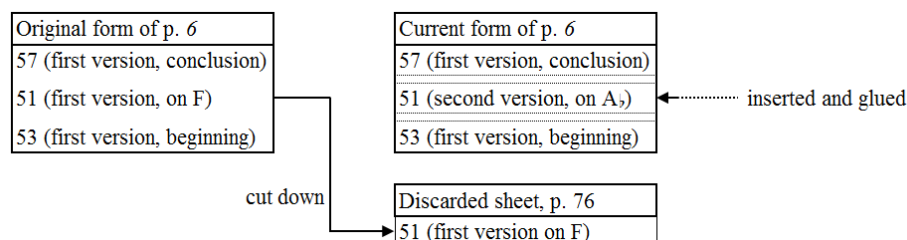


Figure 4-4: Re-organisation of p. 6

It can be safely claimed that such a distinction does not make any sense, at least in the case of A<sub>I-II</sub>. It is notable that Bartók discarded a fair copy and replaced it

<sup>60</sup> Similar sentences can be found elsewhere (cf., *Suchoff/dissertation*, 87); however, here, they are quoted from Suchoff’s later monograph on *Mikrokosmos* (*Suchoff/Mikrokosmos*, 166).

<sup>61</sup> The reconstruction of the original form of p. 6 can be underscored by physical evidence that Bartók’s memo for transposition ‘*kis terccel feljebb*’ [‘a minor third higher’] can be found both on pp. 6 and 76 (the major part of it can be found on p. 76 and only a few strokes can be found on p. 6).

with a new version, notated on a separate sheet. Such replacement of a piece can be found only in **A<sub>I/1</sub>**, the first chronological layer of **A<sub>I-II</sub>**. However, it should be considered misleading to distinguish a supposedly immediate correction and to give it an independent status. **A<sub>I-II</sub>** was prepared over several years, supposedly with different compositional or pedagogical concepts. The differentiation of these chronological layers should be considered more important and useful for researching the *Mikrokosmos* pieces.

## 4.2.2. Micro-Chronology of **A<sub>I-II</sub>**

In this section, each unit of **A<sub>I-II</sub>** is examined in chronological order to establish the micro-chronology. Concerning the order of notation, the problem discussed in relation to **D** can also be applied here: even though it is less likely that Bartók prepared more than one fair copy at the same time, it might have been that he began to fill several pages simultaneously without finishing a page. This situation is not a theoretical possibility; in a few cases, it becomes easier to understand the order of composition if we assume this possibility.

A characteristic feature unique to **A<sub>I/1</sub>** and **A<sub>I/2</sub>** (and less obvious in the current form of **A<sub>II</sub>**) is that the pieces are largely organised in order of difficulty. This fact suggests that from the beginning of the composition of the *Mikrokosmos* pieces, Bartók planned to organise the collection rather than to mechanically produce the fair copies of pieces from the draft that he found there. However, the existence of an order does not mean that Bartók prepared fair copies in this order; it might have happened that after he prepared a considerable quantity of fair copies, he re-organised the autograph and then did the pagination. If the pieces are notated from one page to another, then it can be established with certainty that the relative order of the pages coincides with that of the preparation of the fair copy (e.g., pp. 4–7 of **A<sub>I/1</sub>**).

### 4.2.2.1. **A<sub>I/1</sub>**

**A<sub>I/1</sub>** consists of pp. 1–36 and 75–82 of **A<sub>I-II</sub>**. On pp. 1–36, fair copies of 61 pieces are notated: Nos. 18–20, 30, 32–37, 46–48, 51, 53, 57–60, 62–63, 64a, 70–71, 73, 75, 78, 81, 84–88, 90–92, 94, 100–101, 103, 105–106, 108, 110–11, 114, 122, 124–25, 132–33, 136–37, 140–47, as well as an unpublished variant of No. 145 (marked as ‘c’).

Eight discarded pages contain discarded early versions of Nos. 34, 36, 46, 51, 88, 111 (unfinished), 142 (only the second half), 145b, as well as Unpublished Piece 4.

All the pieces drafted in **D**<sub>1932</sub> and **D**<sub>1933</sub> were copied into **A**<sub>I/1</sub>, except for No. 79, which is notated at the beginning of p. 49 as belonging to the next unit, **A**<sub>I/2</sub>. However, as this No. 79 was notated in a manner similar to the pieces in **A**<sub>I/1</sub>, it is quite likely that this No. 79 had already been notated on p. 49 (but at that time, without a page number) and put aside, probably by the end of 1936. It cannot be ruled out that No. 79 was copied onto p. 49 together with Nos. 77 and 80 (from **D**<sub>1934-36</sub>), yet this interpretation fails to explain why No. 79 seems to have been notated in a markedly different manner from the other two pieces: while No. 79 was spaciously notated, the other two pieces (especially No. 77) were written in dense notation.

There are several pieces copied from other sources, i.e., No. 81 from **A**<sub>81</sub> and No. 137 from **D**<sub>137</sub>. For Nos. 73 and 145b, apparently no draft survives. Considering its simplicity, No. 73 may have been directly notated on the transparent tissue, possibly to fill the blank space on p. 33. Concerning No. 145b, this version was probably written without a draft as it is essentially an inverted and transposed form of No. 145a.

#### **4.2.2.1.1. Sub-units and their Chronology in **A**<sub>I/1</sub>**

Judging from the order of difficulty in **A**<sub>I/1</sub>, it seems that this unit can be divided into several uneven sub-units based on where the order of difficulty is upset: No. 88 on p. 27, No. 85 on p. 33, and No. 19 on p. 36. These considerably easier pieces are notated separately from other similarly easy pieces, and they interrupt the series of very difficult pieces that were ultimately published in the first half of vol. VI (Nos. 140–147). A possible explanation is that these pieces were composed after a significant part of **A**<sub>I/1</sub> had already been notated and paginated (but still in 1933), so there was no other way to add new pieces.

To identify the timing, we must examine how the pages of **A**<sub>I/1</sub> were filled in. For this purpose, it is first necessary to divide 36 pages of **A**<sub>I/1</sub> into 23 sub-units depending on where the beginning of a page and the beginning of a fair copy coincide (see Table 4-20). It is notable that among the first 15 sub-units, 12 sub-units begin

Table 4-20: Content of  $\mathbf{A}_{VI}$  (original structure)

Sub-unit	P.	No.	Source
1	1	35	$\mathbf{D}_{1932}$ , p. 18
		32	$\mathbf{D}_{1932}$ , p. 24
		33	$\mathbf{D}_{1932}$ , p. 22
2	2*	46	$\mathbf{D}_{1933}$ , p. 43
		Unpubl. 4	$\mathbf{D}_{1933}$ , p. 44
		60	$\mathbf{D}_{1932}$ , pp. 16–17
3	3	37	$\mathbf{D}_{1932}$ , p. 16
		34	$\mathbf{D}_{1932}$ , p. 17
		36	$\mathbf{D}_{1933}$ , p. 45
4	4	48	$\mathbf{D}_{1932}$ , p. 17
		64a	$\mathbf{D}_{1933}$ , p. 28
		47	$\mathbf{D}_{1932}$ , p. 22
	5	86	$\mathbf{D}_{1933}$ , p. 45
		57	$\mathbf{D}_{1932}$ , p. 23
	6	51	$\mathbf{D}_{1933}$ , p. 27
		53	$\mathbf{D}_{1932}$ , p. 18
	7	59	$\mathbf{D}_{1932}$ , p. 21
		84	$\mathbf{D}_{1932}$ , pp. 24–25
5	8	70	$\mathbf{D}_{1932}$ , p. 25
		106	$\mathbf{D}_{1932}$ , p. 21
		58	$\mathbf{D}_{1932}$ , p. 19
	9	71	$\mathbf{D}_{1933}$ , p. 43
		101	$\mathbf{D}_{1932}$ , p. 19
	10	78	$\mathbf{D}_{1932}$ , p. 24
		90	$\mathbf{D}_{1932}$ , p. 23
6	11	81	$\mathbf{A}_{81}$
		62	$\mathbf{D}_{1932}$ , p. 49
7	12	87	$\mathbf{D}_{1932}$ , p. 20
		105	$\mathbf{D}_{1933}$ , p. 44
8	13	100	$\mathbf{D}_{1932}$ , p. 24
		110	$\mathbf{D}_{1932}$ , pp. 13–14
9	14	94	$\mathbf{D}_{1932}$ , p. 51
		108	$\mathbf{D}_{1933}$ , p. 46
10	15	91	$\mathbf{D}_{1932}$ , p. 50
		92	$\mathbf{D}_{1932}$ , p. 25

Sub-unit	P.	No.	Source
11	16	132	$\mathbf{D}_{1932}$ , p. 26
		103	$\mathbf{D}_{1933}$ , pp. 27–28
12	17	133	$\mathbf{D}_{1932}$ , pp. 18, 22
		136	$\mathbf{D}_{1932}$ , p. 52– $\mathbf{D}_{1933}$ , p. 9
		114	$\mathbf{D}_{1932}$ , pp. 51–52
13	19	137	$\mathbf{D}_{137}$
14	20	111	$\mathbf{D}_{1932}$ , p. 49
		124	$\mathbf{D}_{1933}$ , p. 9
15	21	125	$\mathbf{D}_{1932}$ , pp. 13–16
		122	$\mathbf{D}_{1932}$ , p. 26– $\mathbf{D}_{1933}$ , p. 29
		144	$\mathbf{D}_{1933}$ , pp. 29–30
16	24	140	$\mathbf{D}_{1933}$ , pp. 30, 47
		25	$\mathbf{D}_{1933}$ , pp. 47–48
	26	141	$\mathbf{D}_{1933}$ , pp. 47–48
		142	$\mathbf{D}_{1933}$ , pp. 10–11
	27	88	$\mathbf{D}_{1933}$ , p. 11
		143	$\mathbf{D}_{1933}$ , pp. 12, 41
17	29	147	$\mathbf{D}_{1933}$ , pp. 41–42
18	30	145b	[ $\mathbf{D}_{1932}$ , pp. 14–15]
19	31	145a	$\mathbf{D}_{1932}$ , pp. 14–15
20	32	145c	[ $\mathbf{D}_{1932}$ , pp. 14–15]
21	33	85	$\mathbf{D}_{1933}$ , pp. 42, 53
		73	[no draft]
22	34	146	$\mathbf{D}_{1933}$ , pp. 39–40
23	36	19	$\mathbf{D}_{1933}$ , p. 54
		20	$\mathbf{D}_{1933}$ , p. 54
		18	$\mathbf{D}_{1933}$ , p. 54
		30	$\mathbf{D}_{1933}$ , p. 54
		75	$\mathbf{D}_{1933}$ , p. 42

\* The second piece of the page, Unpublished Piece 4 was later replaced with No. 63, copied from  $\mathbf{D}_{1933}$ , p. 46.



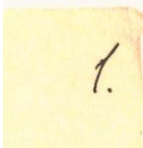
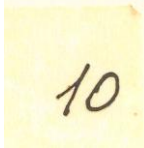
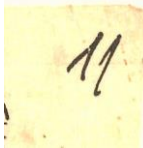
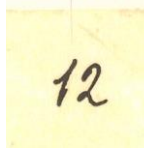
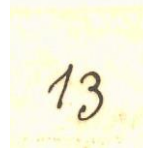
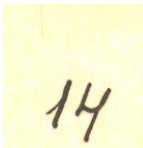
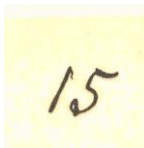
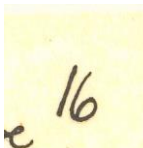
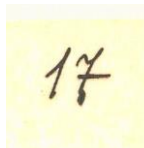
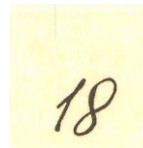
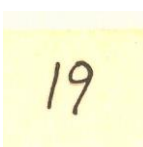
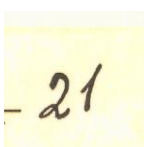
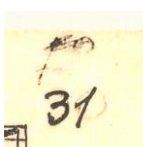
with a piece drafted in **D**<sub>1932</sub>. Concerning the rest, Sub-units 11 and 13 begin with Nos. 81 and 137, the two pieces that originally belonged to the *Nine Little Piano Pieces* (thus, they could have been written at any time after 1926). Sub-unit 2 begins with No. 46 from **D**<sub>1933</sub>; however, considering that this piece bears a preliminary numbering ‘3’, which is missing from all other pieces in **D**<sub>1933</sub>, it is likely that this piece was written earlier than the rest of **D**<sub>1933</sub>.

Among the following 8 sub-units, it is notable that except for three versions of No. 145 (in Sub-units 18–20), there are no pieces from **D**<sub>1932</sub>. This fact suggests that the first 15 sub-units were prepared before a considerable part of **D**<sub>1933</sub> was written. It is also notable that only 1 sub-unit begins with a piece from **D**<sub>1933</sub>: if Bartók had already drafted most of the pieces in **D**<sub>1933</sub>, he should have begun more sub-units with the **D**<sub>1933</sub> pieces. However, it seems important that p. 31, the page containing No. 145a, bears two original page numbers: ‘18’ or ‘19’, and ‘30’.

The later one, ‘30’, underscores that this No. 145a was originally intended to be the first of different versions of No. 145 (on D, as is in the published version); however, Bartók reshuffled the order. The order was originally No. 145a, No. 145c (retrograde, unpublished version on B $\flat$ ), and No. 145b (inverted version on F $\sharp$ ), judging from how the further numbering (i.e., ‘a’, ‘b’, and ‘c’) was written. This order and the combination of tonalities suggest a different concept and organisation of these three chromatic inventions as the roots of these three inventions constitute an augmented triad.

Concerning two possible earlier page numbers (‘18’ or ‘19’), both are possible: (1) if it was ‘18’, then the bottom of p. 17 was left blank (later, No. 136 was notated there and continued onto p. 18) and was originally followed by the page containing No. 145a; and (2) if it was ‘19’, the original p. 19 was replaced with a new page containing No. 137. In this case, however, the latter hypothesis is more likely because the page number of p. 19 is written in a considerably different way than the other page numbers in **A**<sub>1/1</sub> (see Table 4-21). Bartók usually wrote the figure ‘1’ with a hook at the beginning on pp. 1, 10–14, 17–18, 21, and 31 as well as the first digit of the original page number ‘18’ or ‘19’; the only three exceptions can be found on pp. 15, 16, and 19, where the figure ‘1’ is written as a straight line. Concerning the page number on p. 16, it is almost obvious that the digit ‘1’ is a later addition to the original page number ‘6’.

Table 4-21: Page numbers in **A<sub>I/1</sub>** (from pp. 1, 10–19, 21, and 31)

If we assume that the first 15 sub-units were prepared before a considerable part of **D<sub>1933</sub>** was written, then we can identify at least which pages of **D<sub>1933</sub>** should have been written then. The pieces that come before the fair copy of **D<sub>1932</sub>** are as follows: No. 46 and Unpublished Piece 4 (on p. 2), No. 64a (on p. 4), No. 86 (on p. 5), No. 51 (on p. 6), No. 71 (on p. 9), and No. 136 (on pp. 17–18). These pieces can be found either at the beginning of the sub-units of **D<sub>1933</sub>** (Nos. 46, 71, and Unpublished Piece 4 in Sub-unit 1, on pp. 43–44; Nos. 51 and 64a in Sub-unit 2, on pp. 27–28; No. 136 in Sub-unit 3, on p. 9) or at the top of the page which could be filled in anytime (No. 86 on p. 45; see Table 4-11).


#### 4.2.2.1.2. Re-evaluation of the Paper Structure of **D<sub>1933</sub>** Based on **A<sub>I/1</sub>**

Based on this observation, it is possible to conduct a possible reconstruction of the earliest stage of the bifolios in **D<sub>1933</sub>**, which is different from what could be done on the basis of the analysis of paper types and structure (see Table 4-22). Considering that the above-mentioned pieces from **D<sub>1933</sub>** are written on the non-trademark folios (pp. 27–28, 43–44, and 45–46), except for No. 136 (on p. 9, a folio with a trademark), it is possible that these non-trademark folios were originally part of nested bifolios.

The order of the bifolios can easily be established. The single folio (pp. 43–44) must have constituted a bifolio with a folio missing from **D**, which was most likely left blank and thus cut down by Bartók and possibly used for some other purposes. Concerning the order of the two inner bifolios, judging from the fact that a preliminary version of No. 63 is drafted on a page of a folio with a trademark (p. 48),

p. 46 was still blank when Bartók used these bifolios in the form of nested bifolios. Thus, the bifolio (pp. 45–48) with only one notated page should be the innermost bifolio.

Table 4-22: Reconstructed nested bifolios from an early stage of **D**<sub>1933</sub>\*

Bifolio	Folio	Paper type	Page	Content
	22	[No. 32, 20 L.]	43	<b>46, 71</b>
			44	<b>Unpublished Piece 4</b> , 105
	14	[No. 32, 20 L.]	27	<b>51</b> , 103 (beg.)
			28	103 (concl.), 63 (1st version), <b>64a</b>
	23	[No. 32, 20 L.]	45	<b>86</b> , 36
			46	63 (final version), 108
	24	No. 32, 20 L.	47 □	140 (concl.), 141 (beg.)
			48	141 (concl.), 63 (2nd version)
	15	No. 32, 20 L.	29 □	122 (concl., cont. from p. 26), 144 (beg.)
			30	144 (concl.), 140 (beg.), 108 (sketch)
	[a folio with a trademark No. 32, 20 L., originally constituted a bifolio with folio 22?]			

\* The pieces that are followed by the pieces drafted in **D**<sub>1932</sub> in **A**<sub>1/1</sub> are in bold typeface; the pages that were still missing when this structure was valid are set forth against a grey background.

This structure was abandoned afterwards, either during the preparation of the fair copies of the pieces drafted on pp. 43–44, 27–28, and 45 or when Bartók prepared the second preliminary version of No. 63. As both the first and second preliminary versions of No. 63 are drafted on a verso page (i.e., pp. 28 and 48, respectively), he must have separated the bifolios from each other if he wanted to use the first version when he drafted the second one.

It is possible that Bartók nevertheless formed the bifolios into nested bifolios again but did not pay attention to their original order (see Table 4-23). In this case, however, it is not absolutely necessary to assume the existence of the nested bifolio structure; he might have prepared drafts from one blank page to another.

Table 4-23: Reconstructed nested bifolios from a later stage of **D<sub>1933</sub>**\*

Bifolio	Folio	Paper type	Page	Contents
	15	No. 32, 20 L.	29 □	122 (conclusion, continued from p. 26*), 144
			30	144 (conclusion), 140 (beginning), 108 (sketch)
	24	No. 32, 20 L.	47 □	140 (conclusion), 141 (beginning)
			48	141 (conclusion), 63 (2nd version)
	23	[No. 32, 20 L.]	45	<b>86, 36</b>
			46	63 (final version), 108
	14	[No. 32, 20 L.]	27	<b>51, 103 (beginning)</b>
			28	103 (conclusion), 63 (1st version), <b>64a</b>

\* The pieces that are followed by the pieces drafted in **D<sub>1932</sub>** in **A<sub>I/1</sub>** are in bold typeface; the pages that were already filled when this structure was valid are in grey background.

#### 4.2.2.1.3. Micro-chronology of the Later Layer of **A<sub>I/1</sub>**

Based on the above observations, if we consider that all the pieces on pp. 9, 27–28, and 43–45 (these pages contain pieces that come earlier than the **D<sub>1932</sub>** pieces within the sub-units of **A<sub>I/1</sub>**) had been written earlier than the rest of **D<sub>1933</sub>**, then 12 out of the first 15 sub-units (i.e., Sub-units 1–8, 10–12, and 14) were already filled with the pieces from **D<sub>1932</sub>** and **D<sub>1933</sub>**, and only a little space was left after the pieces from **D<sub>1932</sub>**: specifically, the lower half of pp. 14 and 21 (see Table 4-24).

These spaces were filled in according to the following logic:

- (1) From p. 21 to p. 26, Bartók copied the pieces in the same order as he drafted Nos. 122, 144, 140, and 141 (from pp. 29–30 and 47–48).
- (2) No. 108 was copied onto p. 14 in the blank space left in the previous pages.<sup>62</sup>
- (3) Nos. 142, 88, 143, and 147 (from pp. 10–12 and 41–42) were copied onto pp. 26–29.

It is notable that, except for No. 108, the orders of the pieces in **D<sub>1933</sub>** and **A<sub>I/1</sub>** coincide exactly. There is no significant coincidence between the previous pages of **A<sub>I/1</sub>** and **D<sub>1932</sub>** or **D<sub>1933</sub>**. This finding does not necessarily mean that Bartók copied the pieces onto **A<sub>I/1</sub>** as he finished drafting them. What can be established with certainty is that he seems not to have re-organised the pieces when he prepared the later part of **A<sub>I/1</sub>**.

<sup>62</sup> Probably at the same time, Unpublished Piece 4 (originally on p. 2) was substituted by No. 63, which was composed before No. 108.

Table 4-24: Contents of the later layer of **A<sub>I/1</sub>**\*

Sub-unit	Page	No.	Source
9	14	94	<b>D<sub>1932</sub></b> , p. 51
		108	<b>D<sub>1933</sub></b> , p. 46
13	19	137	<b>D<sub>137</sub></b>
15	21	125	<b>D<sub>1932</sub></b> , pp. 13–16
	22	122	<b>D<sub>1932</sub></b> , p. 26– <b>D<sub>1933</sub></b> , p. 29
	23	144	<b>D<sub>1933</sub></b> , pp. 29–30
16	24	140	<b>D<sub>1933</sub></b> , pp. 30, 47
	25		<b>D<sub>1933</sub></b> , pp. 47–48
	26	141	<b>D<sub>1933</sub></b> , pp. 10–11
	27	88	<b>D<sub>1933</sub></b> , p. 11
	28	143	<b>D<sub>1933</sub></b> , pp. 12, 41
17	29	147	<b>D<sub>1933</sub></b> , pp. 41–42
21	33	85	<b>D<sub>1933</sub></b> , pp. 42, 53
		73	[no draft]
22	34	146	<b>D<sub>1933</sub></b> , pp. 39–40
	35		
23	36	19	<b>D<sub>1933</sub></b> , p. 54
		20	<b>D<sub>1933</sub></b> , p. 54
		18	<b>D<sub>1933</sub></b> , p. 54
		30	<b>D<sub>1933</sub></b> , p. 54
		75	<b>D<sub>1933</sub></b> , p. 42

\* The pieces that were already written by the time that Bartók began to copy remaining pieces from **D<sub>1933</sub>** to **A<sub>I/1</sub>** are in grey background.

The orders of pp. 33–36 of **A<sub>I/1</sub>** and **D<sub>1933</sub>** seem not to coincide, considering that in **A<sub>I/1</sub>**, No. 85 (on p. 33) is notated before No. 75 (on p. 36); however, the order is reversed in **D<sub>1933</sub>**. Another possible interpretation is that they were copied in a different order, but the page order was later shuffled. According to this interpretation, the fair copy was prepared in the following process:

- (1) Nos. 19, 20, 18 were copied from **D<sub>PB</sub>** (notated in this order) onto p. 36 of **A<sub>I/1</sub>**.
- (2) No. 30 was copied from p. 54 of **D<sub>1933</sub>** (where the final version of No. 25 was still missing) onto p. 36 of **A<sub>I/1</sub>**.
- (3) Nos. 75 and 85 were copied from pp. 42 and 53 of **D<sub>1933</sub>** onto pp. 36 and 33 of **A<sub>I/1</sub>**.
- (4) No. 146 was copied from pp. 39–40 of **D<sub>1933</sub>** onto pp. 34–35 of **A<sub>I/1</sub>**.
- (5) The order of pages was shuffled; the original order would have been pp. 36–

33–34–35, then p. 36 was put at the end of this four-page group.

There are apparently two exceptions: p. 33 of **A<sub>I/1</sub>** contains No. 73, a piece without a draft, and p. 53 of **D<sub>1933</sub>** contains No. 79, which was copied not onto **A<sub>I/1</sub>** but onto p. 49 of **A<sub>I/2</sub>**. It is impossible to establish the chronological relationship between these pieces; the reason why No. 79 was not copied onto p. 33 of **A<sub>I/1</sub>** following No. 85 would be that there was not enough space for No. 79. Only five staves were left at the lower part of p. 33; however, judging from how No. 79 was written on p. 49, this piece requires four systems to be written in eight staves. No. 73, especially its original form concluding at bar 21 (eight bars shorter than the final version), should have been appropriate to fill the small blank space on p. 33.<sup>63</sup>

It is quite an important assumption that No. 79 was copied onto p. 49 separately from the other **D<sub>1933</sub>** pieces (at that time still without a page number and there was only No. 79 on the page, though). The preparation of a fair copy was not strictly ‘closed’ at a certain moment, and different chronological units cannot always be separated from each other on the basis of page numbers. As discussed in the case of the earlier layer of **A<sub>I/1</sub>**, it occasionally happened that only the upper half of some pages were originally filled with the pieces composed in 1932, then the blank space was filled by the pieces composed in 1933. A similar procedure might have taken place in the case of **A<sub>I/2</sub>** and **A<sub>II</sub>**. Indeed, some pages of **A<sub>I/2</sub>** and **A<sub>II</sub>** can better be interpreted and understood if we suppose that some part of those pages belongs to different chronological units (see below).

#### **4.2.2.1.4. Order of the Notation of the First Pieces of **A<sub>I/1</sub>****

In the last part of this section, we shall discuss how the pages of **A<sub>I/1</sub>** were prepared in the earliest stages. As mentioned above, the original order of the last four pages (pp. 32–36) might have been different from the current one. Such a rearrangement of the page order might also have taken place in other parts of **A<sub>I/1</sub>**.

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<sup>63</sup> It is likely that Bartók composed this No. 73 directly on the transparent tissue, as he might have been able to write this simple piece without making significant errors. This hypothesis is underscored by the fact that Bartók extended this piece by eight bars, probably because the original version was too short and concluded abruptly. If he had made a draft of this piece, he must have realised this problem, and he would have been able to solve this compositional problem when he prepared the fair copy at the latest.

Table 4-25: Bartók's numbering for the provisional order of pieces in **D**<sub>1932</sub> and **D**<sub>1933</sub>

Preliminary Numbering	No.	Title	Page	Tonal Centres in D
1.	35	Chorale	18	C Ionian
2.*	Unpubl. 2		20	D Dorian
2.	32	In Dorian Mode	24	D Dorian
<del>3.</del> [then] <del>4.</del>	33	Slow Dance	22	G Mixolydian/Lydian
3.	46	Increasing—Diminishing	43	E Phrygian
4.	34	In Phrygian Mode	17	E Phrygian
5.	37	In Lydian Mode	16	F Lydian
6.	60	Canon with Sustained Notes	16	A Lydian/E Major
7.	48	In Mixolydian Mode	17	G Mixolydian
8.	47	Big Fair	22	D Pentatonic/Mixolydian

\* The numbering itself seems not to have been crossed out; however, the piece to which the numbering is attached was crossed out in pencil.

For this purpose, we first examine the preliminary numbering that is added to some pieces in **D**<sub>1932</sub> and **D**<sub>1933</sub> (see Table 4-25). Even though these numbers were written in essentially the same manner, it is uncertain whether all of them were written on a single occasion. As the discarded draft, Unpublished Piece 2 bears the numbering '2' and No. 32 also has '2', it seems that No. 32 was composed to substitute for it, rather than Bartók simply re-assigned the number '2' from Unpublished Piece 2 to No. 32. On the other hand, the relationship between No. 33 and No. 46 seems to be different because only the original numbering '3' of No. 33 was cancelled and the piece itself remained valid. If No. 46 was composed somewhat later than the other pieces with the preliminary numbering (and it seems that this situation is the case), No. 46 was probably not composed to substitute No. 33. The revised numbering '3' of No. 33 rather suggests the revision of the concept of the numbering.

The concept might have been related to the tonality of the pieces. According to the preliminary numbering before the revision of number '3', the tonality of the pieces is as follows: C Ionian (No. 35)—D Dorian (No. 32)—G Mixolydian/Lydian (No. 33)—E Phrygian (No. 34)—F Lydian (No. 37)—A Lydian/E Major (No. 60)—G Mixolydian (No. 48)—D Pentatonic/Mixolydian (No. 47). The concept seems to be the demonstration of different tonalities. None of these pieces has the same tonality, and regarding the first six pieces, different tonal centres are applied in each piece: C, D, G, E, F, A/E.

Table 4-26: Contents of the beginning of **A<sub>I/1</sub>**, and Bartók's markings in the corresponding drafts in **D<sub>1932</sub>** and **D<sub>1933</sub>**

Page in <b>A<sub>I/1</sub></b>	No.	Bartók's markings in <b>D<sub>1932</sub>/D<sub>1933</sub></b> <sup>*</sup>	Page in <b>D</b>
1	35	1.	18
1	32	2.	24
1	33	<del>3.</del> [then] 4.	22
2	46	3. [circled in purple pencil, with] X [in red pencil]	43
[2]	Unpubl. 4 <sup>**</sup>	[crossed out in purple pencil]	44
2	60	6.	16–17
3	37	5.	16
3	34	4.	17
3	36	X [in red pencil]	45
4	48	7.	17
4	64a		28
4–5	47	8.	22
5	86	X [in red pencil]	45
5–6	57	X [in red pencil]	23
6	51	X [in red pencil]	27
6–7	53	X [in red pencil]	18
7	59		21
7	84		24–25
8	70		25
8	106		21
8–9	58		19
9	71	[with a circle in purple pencil]	43
9–10	101		19

<sup>\*</sup> All entries are written in pencil, unless otherwise mentioned.

<sup>\*\*</sup> Unpublished Piece 4 was later replaced with No. 63 in **D<sub>1933</sub>**, p. 46.

It seems that the revision of the numbering was intended to rearrange the order of the tonal centres. As a new '3' is assigned to No. 46, Bartók probably planned to organise the pieces in order of ascending tonality: C, D, E, etc. However, he seems to have abandoned the numbering. He changed the numbering of No. 33 from '3' to '4'; the latter revised one was also crossed out for unknown reasons, which was probably because he realised that the revision of numbering requires many corrections to the original numbering, and it became difficult to manage. If this situation is the case, he might have started making a kind of 'catalogue' on a separate sheet to plan the order of these easy pieces.<sup>64</sup> In addition, it is also possible that he wanted to omit No. 33

<sup>64</sup> In **D<sub>1932</sub>** and **D<sub>1933</sub>**, the pieces were not drafted in order of difficulty; thus, they were almost randomly spread across approximately 40 pages without any regard to their grade of difficulty.



from the set of numbering as the tonality of this piece cannot easily be defined: two G major pentachords with or without  $\sharp$  on *c*.<sup>65</sup>

It can be observed in the order of pieces at the beginning of **A<sub>I/1</sub>**, where the order seems to have been considerably rearranged (see Table 4-26). The existence of a ‘catalogue’ is suggested by some additional marking by the pieces in **D<sub>1933</sub>**, the ‘X’ at the beginning of each piece, in red pencil. As the pieces with ‘X’ can be found at the beginning of **A<sub>I/1</sub>**, this might have been related to the planned order of pieces in **A<sub>I/1</sub>**.<sup>66</sup>

The order of preparation of the fair copy did not necessarily coincide with the current order of the pieces. It may not be mere coincidence that the tonalities of the first pieces on pp. 2–4 are each in ascending order: E (No. 46), F (No. 37), and G (No. 48). Considering that the tonalities of the first two pieces on p. 1 are also in ascending order (No. 35 on C and No. 32 on D), it is possible that the first pieces in **A<sub>I/1</sub>** were copied in ascending order of tonality: C, D, E, F, G. If this situation is the case, the lower part of pp. 1–4 was left blank at that time and later filled with the remaining pieces of similar difficulty. As discussed above, it occasionally happened that only part of the transparent tissue was used and the rest was left blank, it is possible that Bartók prepared the first pages of **A<sub>I/1</sub>** without fully notating these pages.

Based on this assumption, it seems possible that some pages originally had a different pagination from the final one. For instance, the original pagination of p. 8 seems to be ‘5’ (see Example 4-19). In addition, as discussed above, the pagination ‘16’ seems to have originally been ‘6’ but the digit ‘1’ was added later (see Section 4.2.2.1.1.). This addition might have taken place if Bartók began paginating without fully notating each page. It is possible that the original pagination of p. 8 was ‘5’, considering that after p. 4, p. 8 is the first page where the page begins with a new

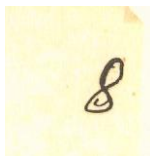
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Without some organisational aid, it seems impossible to properly group, order, or copy the pieces of similar difficulty into **A<sub>I/1</sub>**.

<sup>65</sup> In the preliminary system, a descending five-note scale ( $d^2-c^2-b^1-a^1-g^1$ ) written in the upper staff does not coincide with the actual register of the right hand ( $e^2-d^2-c^2-b^1-a^1$ ). This apparently contradictory preliminary system of No. 33 was probably intended to emphasise the extraordinary tonality of this piece.

<sup>66</sup> In addition to this ‘X’, purple pencil (at Nos. 43 and 71, and Unpublished Piece 4) could have also been used to plan the order of pieces in **A<sub>I/1</sub>**. Vinton offers a different interpretation concerning this ‘X’ mark: ‘Bartók used a yellow [sic] crayon to mark some passages or entire compositions that did not need to be revised. One of these markings is the “X” in the left-hand margin of Plate No. 3 [= p. 23 of **D**].’ (Vinton, 53). However, the pieces with ‘X’ include some which are significantly revised after the preparation of the fair copy on the transparent tissue: for instance, Nos. 46 and 51 have a discarded preliminary version; No. 86 was thoroughly revised after the tissue proofs were produced. Consequently, Vinton’s interpretation may not be supported.

piece. If No. 47 had not yet been notated on p. 4, it is natural that Bartók paginated the following page as '5', and the pagination should have been modified after knowing that pp. 4–7 were continuously notated without a break.



Example 4-19: Pagination of p. 8 (facsimile from **A<sub>I/1</sub>**, p. 8)

Concerning the original pagination, it is necessary to discuss the case of p. 11 as several extraordinary features suggest that this page was the first one that Bartók notated within **A<sub>I/1</sub>**. First, it is notable that the notation of No. 81 (together with No. 62 on the same page) is very spacious as there is always a blank staff between the systems. Bartók rarely used this spacious notation elsewhere in **A<sub>I/1</sub>**. If he nevertheless left a blank staff, then it is usually because (1) music written with several ledger lines requires much space (e.g., No. 137 on p. 19 and No. 144 on pp. 22–23), or (2) he planned to add pedal instructions (e.g., No. 47 'Big Fair' on pp. 4–5). On p. 11, the blank staff between systems seems unnecessary. The only exception can be p. 1, where Nos. 35 'Choral' and 32 'In Dorian Mode' are also notated quite spaciouly, similarly leaving a blank staff between the systems.<sup>67</sup>

The existence of apparently unnecessary blank staves can be explained by the fact that these pages were the first fair copy pages in **A<sub>I/1</sub>**. Most likely, after he prepared some fair copies on the transparent tissue, he realised that such spacious notation is not necessary for easy piano pieces. However, other features suggest that p. 1 and p. 11 are not contemporaneous but p. 11 was prepared considerably earlier than p. 1.

In addition to the fact that the first piece on p. 11, No. 81 had already been composed in 1926, it is notable that Bartók used the transparent tissue upside down in the case of p. 11. In general, the transparent tissue used by Bartók bears a trademark in the bottom right-hand corner. Among all the surviving pages from **A<sub>I-II</sub>**, there are only two pages where the trademark appears in the top left-hand corner: pp. 11 and

<sup>67</sup> For the facsimile of this page, see *Bator*, [44].

23.<sup>68</sup> In the case of p. 23 containing the second half of No. 144 ‘Minor Seconds, Major Sevenths’, Bartók might have anticipated that he would need much space in the right margin of the last system; thus, to avoid overwriting the trademark with the music, he used the paper upside down. In fact, he had already overwritten the trademark at the end of p. 20, and he probably tried to avoid that awkward appearance. On the other hand, when he prepared the fair copy of No. 81 on p. 11, he should not have been bothered by such concerns. No. 81 is a short piece that only occupies the first half of the page.

It may not be a mere coincidence that Bartók also used the transparent tissue of the *Four Hungarian Folksongs* upside down, except for the first page. If this practice is related to p. 11 of **A<sub>I/1</sub>**, the preparation of the fair copy of No. 81 may date back to 1930.<sup>69</sup> This apparent early dating can still be plausible, considering that Bartók might have continuously been occupied with the thought of revising the *Zongoraiskola*, or of producing a new piano method. This assumption is underscored by the possibility that the original pagination of p. 11 might have been ‘1’ (see Section 4.2.2.1.1.). Even though each figure ‘1’ is written with a hook at the beginning, the stroke of each figure is not uniform. If the original pagination ‘1’ was not intended to be the pagination for the fair copies of the *Mikrokosmos* pieces, it is still possible that this page was intended to be the first page of the fair copy of his unrealised collection of pedagogical pieces.

#### 4.2.2.2. **A<sub>I/2</sub>**

**A<sub>I/2</sub>** consists of pp. 37–49 of **A<sub>I-II</sub>**. The MS contains 36 pieces: Nos. 11–12, 21–25, 31, 41, 43–44, 49–50, 52, 55–56, 61, 64b, 66–67, 74, 76–77, 79–80, 82, 89, 93, 99, 112, 116–18, 123, 129, and 131. All the pieces were drafted in 1934–1936, and except for a few pieces, all the pieces can be found in **D<sub>1934–36</sub>**. The exceptions are: Nos. 21 (from **D<sub>PB</sub>**), 25 (from **D<sub>1933</sub>**), 31 (from **D<sub>PB</sub>**), 64b (from **A<sub>64b, 74</sub>**), 74 (from **A<sub>64b, 74</sub>**), 79 (from **D<sub>1933</sub>**), and 123b (prepared on the basis of No. 123a).

<sup>68</sup> In some cases, Bartók cut out the trademark from the sheet, especially from the pages belonging to **A<sub>I/2</sub>** and **A<sub>I/3</sub>**, so not every page has the trademark on it. In most cases, however, the trademark must have been in the bottom right-hand corner, judging from the shape of the cut-out.

<sup>69</sup> For the date of the transparent tissue of the *Four Hungarian Folksongs*, see *BBCCE/9*, 266–68.

Table 4-27: Content of  $A_{1/2}$ \*

Subunit	Page	No.	Source
1	37	74a	<b>A<sub>64b, 74</sub></b>
	38	74b	<b>A<sub>64b, 74</sub></b>
		21	<b>D<sub>PB</sub></b>
		31	<b>D<sub>PB</sub></b>
2	39	64b	<b>A<sub>64b, 74</sub></b>
	40	123a–b	<b>D<sub>1934–36</sub></b> , p. 85
		116	<b>D<sub>1934–36</sub></b> , pp. 85–86
		129	<b>D<sub>1934–36</sub></b> , p. 86
		131	<b>D<sub>1934–36</sub></b> , pp. 32–33
		117	<b>D<sub>1934–36</sub></b> , p. 31
42	118	<b>D<sub>1934–36</sub></b> , pp. 34–35	
3	43	11	<b>D<sub>1934–36</sub></b> , p. 36
		12	<b>D<sub>1934–36</sub></b> , p. 36
		22	<b>D<sub>1934–36</sub></b> , pp. 37–38
		23	<b>D<sub>1934–36</sub></b> , p. 55
	44	24	<b>D<sub>1934–36</sub></b> , p. 55
		25	<b>D<sub>1933</sub></b> , p. 54
		44	<b>D<sub>1934–36</sub></b> , p. 55
		43a	<b>D<sub>1934–36</sub></b> , p. 55
43b		<b>D<sub>1934–36</sub></b> , p. 55	
4	45	50	<b>D<sub>1934–36</sub></b> , p. 56
		41	<b>D<sub>1934–36</sub></b> , p. 33
		99	<b>D<sub>1934–36</sub></b> , p. 34
		61	<b>D<sub>1934–36</sub></b> , pp. 35–36

Subunit	Page	No.	Source
4	46	55	<b>D</b> <sub>1934–36</sub> , p. 36
5		66	<b>D</b> <sub>1934–36</sub> , p. 56
		52	<b>D</b> <sub>1934–36</sub> , p. 56
		67	<b>D</b> <sub>1934–36</sub> , p. 57
		56	<b>D</b> <sub>1934–36</sub> , p. 57
	47	76	<b>D</b> <sub>1934–36</sub> , p. 57
49		<b>D</b> <sub>1934–36</sub> , p. 57	
82		<b>D</b> <sub>1934–36</sub> , p. 58	
89		<b>D</b> <sub>1934–36</sub> , p. 58	
2	48	112	<b>D</b> <sub>1934–36</sub> , pp. 33–34
5		93 (beg.)	<b>D</b> <sub>1934–36</sub> , p. 58
	49	79	<b>D</b> <sub>1933</sub> , p. 53
		77	<b>D</b> <sub>1934–36</sub> , pp. 58–59
		80	<b>D</b> <sub>1934–36</sub> , p. 59
		93 (concl.)	<b>D</b> <sub>1934–36</sub> , p. 58

\* No. 79 might have already been notated on the page in 1933 (distinguished by grey background)

As the order of composition of the pieces in **D**<sub>1934–36</sub> is unambiguously reconstructed, there is essentially no serious problem concerning the micro-chronology of **A**<sub>I/2</sub>. Within **A**<sub>I/2</sub>, it is possible to distinguish five sub-units (see Table 4-27). The first sub-unit, notated on pp. 37–39, can better be separated from the rest as this sub-unit contains Nos. 21, 31, 64b, and 74, all of which were copied from MSS used for teaching Peter Bartók (**A**<sub>64b, 74</sub> and **D**<sub>PB</sub>). The remaining pages can be divided into two groups, considering that the order of difficulty is upset in the middle of p. 43. While the previous pages (pp. 39–43) solely contain difficult pieces (Nos. 116–118, 123, 129, and 131), the following pages (pp. 43–49) contain relatively easy pieces (Nos. 11–12, 22–25, 41, 43–44, 49–50, 52, 55–56, 61, 66–67, 76–77, 79–80, 82, 89, 93, and 99), except for No. 112 on p. 48. The pages containing difficult pieces can be considered an independent sub-unit (Sub-unit 2); although the remaining pages have the pieces largely in order of difficulty, these pages can still be divided into three sub-units (Sub-units 3–5), except for p. 48, which contains No. 112 belonging to Sub-unit 2.

As the order of the first three pieces in Sub-unit 2 (Nos. 123, 116, and 129) coincides with that in **D**<sub>1934–36</sub> (see Table 4-13), it is likely that these pieces were copied shortly after their drafting was completed. For the remaining pieces, No. 118 could be considered problematic as this piece was drafted later than Nos. 41, 99, and 112, which can be found in the later pages of **A**<sub>I/2</sub>. It is possible that Bartók temporarily put aside two easier pieces, Nos. 41 and 99, to group them with pieces of a similar level of difficulty. Concerning No. 112, which is now found on p. 48, it is likely that Bartók copied this piece onto a separate sheet in a manner that was similar to what he did in the case of some pages in **A**<sub>I/1</sub>. The page was moved to the current place after No. 93 was notated in an extraordinary manner: the beginning and conclusion of No. 93 are notated at the bottom of pp. 48 and 49, respectively.

The division of Sub-units 3–5 is based on how the pieces in these sub-units were copied into **A**<sub>I/2</sub>. The pieces in Sub-unit 3 were drafted on p. 54 of **D**<sub>1933</sub> and on pp. 33–36 and 55–56 of **D**<sub>1934–36</sub>; the order of these pieces was rearranged in the order of difficulty when Bartók copied them into **A**<sub>I/2</sub>. At that time, the pieces on pp. 56–59 in **D**<sub>1934–36</sub> had not yet been drafted except for No. 50 on p. 56. Sub-unit 4 contains four pieces (Nos. 41, 99, 61, and 55) that were notated on pp. 33–36 of **D**<sub>1934–36</sub> but were temporarily put aside. After finishing Sub-unit 3, Bartók copied these pieces into **A**<sub>I/2</sub> in the order in which he found them in **D**<sub>1934–36</sub>. Sub-unit 5 contains the rest, i.e.,

the pieces notated on pp. 56–59 in **D**<sub>1934–36</sub>, copied into **A**<sub>I/2</sub> in essentially the same order.

There are only two exceptions. The first exception is that the order of Nos. 76 and 56 are exchanged in **A**<sub>I/2</sub>; however, this exchange is obviously dictated by the blank space on the page. After Bartók copied No. 67 onto p. 46, there remained space for only one system. As No. 76 requires two systems to be notated, he first notated No. 56, which can be written using a single system. The second exception is pp. 48–49 where the order of the pieces is apparently upset. On the one hand, No. 93 is notated in the bottom system of these pages. On the other hand, No. 93 is not notated directly after No. 89 (which precedes No. 93 in **D**<sub>1934–36</sub>) but, rather, after No. 112, and it is followed not by No. 77 but by No. 79. This exception is caused by the fact that Nos. 112 and 79 had already been copied onto the transparent tissue without filling the lower part of the pages.

It should be considered that Bartók notated the fair copy of No. 79 ‘Hommage à J. S. B.’ in a manner similar to **A**<sub>I/1</sub>: he already added MM and duration which are missing from the rest of **A**<sub>I/2</sub>. This fact suggests that No. 79 is contemporary with other fair copies belonging to **A**<sub>I/1</sub>. It is probably for the sake of consistency that Bartók notated Nos. 77 ‘Little Study’ and 80 ‘Hommage à R. Sch.’—the pieces notated on p. 49 on a different occasion—in the same manner with No. 79.

#### **4.2.2.3. **A**<sub>I/3</sub>**

**A**<sub>I/3</sub> consists of pp. 50–59 of **A**<sub>I–II</sub>. The MS contains 10 pieces: Nos. 109, 120, 130, 138–39, 148–51, 153. All the pieces were copied from **D**<sub>1937</sub>. No detailed discussion seems to be necessary for this unit. Concerning Nos. 148–151 and 153 ‘Dances in Bulgarian Rhythm’, the order of Nos. 151 and 153 was at least exchanged in **A**<sub>I/3</sub>, probably for the sake of a symmetrical tonal relationship—E (No. 148), C (No. 149), A (No. 150), C (No. 151), and E (No. 153). However, as the order or composition of these pieces cannot be unambiguously established, it is still possible that these pieces were composed according to a symmetrical tonal relationship but in reverse order—i.e., Nos. 153, 151, 150, 149, then 148—and the order was probably changed based on the musical character of each piece (see Chapter 12).

Concerning the order of the remaining five pieces, it is difficult to discover any structural concept in their order except that the slow piece, No. 109 ‘From the

Island of Bali', is placed at the centre of the five pieces. However, there is no strong symmetrical relationship between the corresponding parts.

#### 4.2.2.4. **A<sub>II</sub>**

**A<sub>II</sub>** consists of pp. *ad* 29 and 60–74 of **A<sub>I-II</sub>**, which contain the fair copies of 26 pieces: Nos. 40, 42, 45, 54, 65, 68–69, 72, 83, 95–98, 104, 107, 113, 115, 119, 121, 126–28, 134–35, 147, and 152. In addition, **A<sub>II</sub>** also contains miscellaneous material such as the sketches and fair copies of exercises, the second piano parts, and preliminary systems.<sup>70</sup> Bartók copied the pieces from various sources (**A<sub>98</sub>**, **A<sub>147</sub>**, **D<sub>1939</sub>**, **D<sub>65, 69</sub>**; see Table 4-28). The pieces without previous versions may have been notated directly on transparent tissue; at least some pieces were extensively revised (especially No. 152).

The content of **A<sub>II</sub>** can be divided into 6 sub-units:

- Sub-unit 1: Contains only No. 98 (from 1935), copied from **A<sub>98</sub>**, possibly earlier than the rest of the fair copies in **A<sub>II</sub>** (even earlier still than pp. 50–59 of **A<sub>I/3</sub>**, which contains pieces from 1937). At any rate, the page number '60' was added after **A<sub>I/3</sub>** was prepared. The pagination was crossed out but later re-introduced.
- Sub-unit 2: Consists of 13 pieces copied from **D<sub>1939</sub>** largely following the order of the temporary numbering in that source. The page order was probably rearranged later.
- Sub-unit 3: Consists of three pieces without previous versions (Nos. 95 and 127–128).
- Sub-unit 4: Consists of two pieces copied from **D<sub>65, 69</sub>**.
- Sub-unit 5: Consists of six pieces without previous versions (Nos. 96, 113, 115, 134/1–2, 135, and 153).
- Sub-unit 6: Contains the fair copy of No. 147 (revised version) copied from **A<sub>147</sub>**.

Sub-units 1–5 were probably prepared in this order. The date of Sub-unit 6 is uncertain.

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<sup>70</sup> In the present dissertation, the material that is not directly related to the *Mikrokosmos* pieces is omitted. For a full description, see *BBCCE/41*.

Table 4-28: Contents of **A<sub>II</sub>** (excerpt)\*

Sub-unit	Page	No.	Source
1	60	98	<b>A<sub>98</sub></b>
2		83	<b>D<sub>1939</sub></b> , p. 77 (15)
		42	<b>D<sub>1939</sub></b> , p. 77 (20)
		40	<b>D<sub>1939</sub></b> , p. 73 (21)
	61	104	<b>D<sub>1939</sub></b> , p. 81 (26)
		119	<b>D<sub>1939</sub></b> , p. 81 (27)
		121	<b>D<sub>1939</sub></b> , p. 82 (28)
	62	97	<b>D<sub>1939</sub></b> , p. 75 (30)
		54	<b>D<sub>1939</sub></b> , p. 74 (24)
		72	<b>D<sub>1939</sub></b> , p. 74 (25)
	63	126	<b>D<sub>1939</sub></b> , pp. 74–75 (29)
		107	<b>D<sub>1939</sub></b> , p. 77 (17)
		68	<b>D<sub>1939</sub></b> , p. 73 (22)
	64	45	<b>D<sub>1939</sub></b> , pp. 73–74 (23)
3	65	127	[no draft]
	66	95	[no draft]
		128	[no draft]
4	67	69	<b>D<sub>65, 69</sub></b>
		65	<b>D<sub>65, 69</sub></b>
5	68	113	[no draft]
		152	[no draft]
	69	96	[no draft]
	70	135	[no draft]
		134/1	[no draft]
	71	115	[no draft]
6	ad 29	134/2	[no draft]
		147	<b>A<sub>147</sub></b>

\* The preliminary numbering in **D<sub>1939</sub>** is added in parentheses.

#### 4.2.2.4.1. Function of **A<sub>II</sub>**

The most distinctive feature of **A<sub>II</sub>** is that it already contains the final numbering, which is totally missing from **A<sub>I</sub>**; this difference signals that **A<sub>I</sub>** and **A<sub>II</sub>** had markedly different functions from each other. The numbering in **A<sub>II</sub>** was copied from **EC** (where the numbering was originally given) when the numbering was being finalised. This assumption can be underscored by the fact that in two cases, **A<sub>II</sub>** and **EC** have identical sets of original and revised numbering (Nos. 83 and 95, whose numbers were originally ‘84’ and ‘96’, respectively); however, in another case, while **EC** has



both original and revised numbering (i.e., No. 96 corrected from ‘80’), **A<sub>II</sub>** has only the revised numbering. Thus, **A<sub>II</sub>** should have been the copy retained by Bartók and used to correct the proofs of the first edition sent back to him—**EC** was submitted to the publishers, and Bartók did not ask them to return **EC**.<sup>71</sup> The final numbering was added to **A<sub>II</sub>** to facilitate the task of proofreading.

In this respect, **AP<sub>B1</sub>** must have fulfilled the same function as it also contains a set of revised numbering: Nos. 80, 82, 85, 88–89, and 91–94 originally bore a number that was larger by one. Although the different paper types of **A<sub>II</sub>** (transparent tissue) and **AP<sub>B1</sub>** (tissue proofs produced from transparent tissue) suggest that these sources were prepared for different purposes, the existence of the same type of numbering nevertheless suggests that they indeed had the same function: to check the proofs. In addition, as **A<sub>II</sub>** and **AP<sub>B1</sub>** do not have overlapping pages, it is likely that, together, these sources constituted a set of manuscripts that can be referred to as ‘Bartók’s control copy’. Indeed, there is at least a single correction that seems to have been introduced during the proofreading of the first edition: Bartók added a fingering 4 on note 1 of the right hand in bar 17 in red pencil, which is missing from all other manuscripts (**AP<sub>B2</sub>** and **EC**) but present in **E**. In addition, he usually used red pencil when he added later corrections into **AP<sub>B1</sub>**, the other part of his ‘control copy’. From this perspective, it is obvious that, despite their similar appearance, **A<sub>I</sub>** and **A<sub>II</sub>** have different functions.

#### 4.2.2.4.2. Types of Revision in **A<sub>II</sub>**

In addition to the existence of the numbering of each piece, there may be several additional discrepancies between **A<sub>I</sub>** and **A<sub>II</sub>**; all of them suggest that **A<sub>II</sub>** as a whole was completed in the late period of the composition, probably between September and November 1939. For instance, **A<sub>II</sub>** contains some corrections in the left and right margins added in pencil, which were made shortly after the preparation of the fair copy. Such corrections are almost entirely missing from the current form of **A<sub>I</sub>**<sup>72</sup> but not because they had not been prepared: the left and right margins of **A<sub>I</sub>** (where such corrections might have originally been entered) are, in most cases, carefully cut down

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<sup>71</sup>See, for instance, Bartók’s letter to Erwin Stein on 9 December 1939: ‘Divertimento. . . . As I have the (exactly same) original manuscript here, please don’t send with the proofs the printer[’s] copy. The same applies to the Mikrokosmos.’ (PB, BB–B&H).

<sup>72</sup>A few exceptions are No. 150 on p. 53 and No. 139 on p. 59, both of which are from 1937.

so that there should not be any material irrelevant to the final version of the fair copy. This finding seems to reflect an overly cautious attitude as entries in pencil are usually not reproduced in the tissue proofs; it would not have been necessary to erase or cut out such entries from the transparent tissue. Nevertheless, Bartók wanted to prepare the fair copy as clearly as possible as the tissue proofs produced from it were to serve as the engraver's copy. Thus, if Bartók eventually left such entries as being irrelevant to the final form of the work, it must have been primarily due to a lack of time.

The mode of revision might also be related to this topic. It is notable that **A<sub>I</sub>** contains only a few instances of crossed-out bars; the few exceptions are No. 84 'Merriment' on p. 7, No. 87 'Variation' on p. 12, No. 136 'Whole-tone Scale' on pp. 17–18, No. 111 'Intermezzo' on p. 20, No. 122 'Chords Together and Opposed' on p. 21, and No. 99 'Crossed Hands' on p. 45. In general, the revision concerns the shortening of the length of prolonged notes by a bar: this revision is one of the most characteristic types in Bartók's works.<sup>73</sup> This issue must have been a problem that he first encountered when he tried a new piece on the keyboard, and he may have been able to better approach the problem from the viewpoint of a performing artist.

When Bartók intended to substantially change a longer section in **A<sub>I</sub>**, he either replaced the section by cutting and pasting the transparent tissue (e.g., No. 92 'Chromatic Invention (2)' on p. 15 and No. 140 'Free Variation' on p. 24) or simply discarded the original version and produced a new fair copy on another sheet (e.g., No. 46 'Increasing – Diminishing' on p. 75, Nos. 34 'In Phrygian Mode', and 36 'Free Canon' on p. 77, and No. 142 'From the Diary of a Fly' on p. 82). Occasionally, he transposed an entire piece to a different tonality (e.g., No. 51 'Waves' on p. 76, No. 88 'Duet for Pipes' on p. 79, and No. 145b 'Chromatic Invention (3)' on p. 80). In a single case, Bartók left unfinished the earlier version of the fair copy and later discarded it (No. 111 'Intermezzo' on p. 81).

However, in **A<sub>II</sub>**, he introduced some immediate corrections in a way that he never did in **A<sub>I</sub>**. For instance, in bar 16 of No. 83 'Melody with Interruptions', he changed the spelling of the dyad in the left hand from  $d^1/g^\sharp$  to  $d^1/a^\flat$ ; however, he did not erase the original dyad. Instead, he crossed it out and then introduced the correction to the right of it as he usually did in **D**. In the case of No. 128 'Peasant

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<sup>73</sup> The addition or deletion of ostinato bars can be relevant to this topic; see, for instance, *Somfai*, 283–88.

Dance' on p. 67, he later inserted bar 50 by using the symbol  $\nabla$ , which he usually applied in **D**, to mark a later insertion. Further, in the case of No. 152 'Six Dances in Bulgarian Rhythm (5)' on p. 68, as well as No. 96 'Stumblings' and No. 135 'Perpetuum mobile' on p. 69, he notated the correction in the blank space.<sup>74</sup>

There must have been different practical issues beyond the different styles of revision in **A<sub>I</sub>** and **A<sub>II</sub>**. The tissue proofs produced from both sources must have been used as the basis of the first edition as a few corrections or insertions notated on a separate part of the page can easily be resolved by any editors and engravers. However, difficulties must have arisen when Bartók wanted to perform the pieces from such tissue proofs. Beginning in 1937, he did indeed perform selections from *Mikrokosmos*, and for this purpose, he used the tissue proofs produced from **A<sub>I</sub>**, and at least some pages of tissue proofs were supposedly prepared for the particular occasion.<sup>75</sup> For this purpose, it was essential to prepare the fair copy as clearly as possible.

However, the tissue proofs produced from **A<sub>II</sub>** are not always appropriate for use in concerts, which could have been one of the reasons why Bartók did not play No. 152 'Six Dances in Bulgarian Rhythm (5)' before May 1940, even though he had already composed it by November 1939 and designed it as a part of 'Six Dances in Bulgarian Rhythm'. In the concerts in Italy (December 1939) and the United States (April 1939), he performed only five of the 'Six Dances in Bulgarian Rhythm' as he had done previously. It is possible that he did not want to perform it as long as the copy of the first edition was not available to him: it must have been uncomfortable for him to perform from the tissue proofs where the music was not regularly notated.<sup>76</sup>

If Bartók did not pay much attention to the readability of the fair copy when he prepared **A<sub>II</sub>**, it was most likely due to the shortage of time. As mentioned above, he originally planned to submit the manuscripts in September 1939; however, he was

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<sup>74</sup> In the case of No. 135, the correction was written on a separate fragmentary sheet of transparent tissue, then this was glued onto a larger sheet of transparent tissue. However, this case significantly differs from the one of **A<sub>VI</sub>**, as the fragmentary sheet does not contain only the correction but material belonging to an independent exercise (Exercise No. 11b) as well. Here, Bartók did not pay attention to the playability of the piece.

<sup>75</sup> At least ten pieces composed in 1937 (Nos. 109, 120, 130, 138–139, 148–151, and 153) were primarily prepared for his own performance as they originally did not contain any fingering, which was certainly unnecessary for him.

<sup>76</sup> For the data on Bartók's performances, see *BBCCE*/40, 32\*. However, it is possible that the concert programmes had been fixed before the composition of No. 152 and he did not want to change the programme.

only able to do so in November 1939. Considering that he was repeatedly asked by Hawkes for the submission of the *Mikrokosmos* manuscripts,<sup>77</sup> he decided to simplify the preparation process to the greatest extent possible. It was not mere coincidence that Bartók asked Ditta Pásztory and Jenő Deutsch to prepare the fair copies of 23 pieces rather than do it himself; he did so to save some time.<sup>78</sup>

### 4.3. **A<sub>B</sub>**—Miscellaneous Collection of Manuscripts

**A<sub>B</sub>** is a collection of miscellaneous manuscripts consisting of fair copies and tissue proofs for 111 pieces: Nos. 1–31, 38–44, 49–50, 52, 54–56, 61, 64b, 65–67, 69, 72–77, 79–80, 82–83, 85, 88–89, 91–94, 95b (beginning only), 98–100, 103, 108–114, 116–118, 120, 122–127, 128 (conclusion only), 129–133, 136–144, 146, 148–153. Similar to **D**, this source group contains different types of music paper with differing functions from 1933 to 1939, which were archived and to some extent, they were arranged in the New York Bartók Archive. This source group consists of several functionally and chronologically independent units: **A<sub>III</sub>**, **AP<sub>B1</sub>**, **AP<sub>B2</sub>**, and **[EC<sub>147</sub>]** (in order of appearance).

For the full contents of the source, see Table 4-29. The independent units within the MS can be summarised as follows:

- pp. 1–7: autograph fair copy of 21 pieces of small-sized music paper pasted onto seven pieces of large-sized paper (**A<sub>III</sub>**)
- pp. 8–50: tissue proof in black-white colour (**AP<sub>B1</sub>**)
- pp. 51–55: tissue proof in lilac colour (**AP<sub>B2</sub>**)
- p. 56: tissue proof in black-white colour, originally part of **EC** (**[EC<sub>147</sub>]**)

This source has an envelope with two inscriptions: one is ‘58/a’ in the top right-hand corner in red pencil, and the other is ‘Mikrokozmosz’ [= Hungarian spelling of ‘*Mikrokosmos*’] in the middle in pencil; their scribe cannot be identified (the title could have been inscribed by Bartók himself). As the *Mikrokosmos* manuscripts are numbered by Bartók himself as ‘49a’ or ‘49b’ (see Appendix B), it seems unlikely that the number ‘58/a’ and the title ‘Mikrokozmosz’ belong together. Attention should be paid to the fact that Bartók used the Hungarian language for the

<sup>77</sup> See especially Hawkes’s letters to Bartók on 17, 20, and 31 October 1939, (PB, BB–B&H).

<sup>78</sup> The sources copied by Ditta Pásztory and Jenő Deutsch are **A<sub>III</sub>** and **A<sub>IV</sub>**, respectively.

Table 4-29: Content of **A<sub>B</sub>**\*

Bifolio	Folio	Printed p.	Archival p.	
	1–7	—	1–7	[= <b>A<sub>III</sub></b> ]
	8	13	8	[= <b>AP<sub>B1</sub></b> ]
		14	9	
	9	15	10	
		16	11	
	10	17	12	
		18	13	
	11	19	14	
		20	15	
	12	21	16	
		22	17	
	13	23	18	
		24	19	
	14	25	20	
		26	21	
	15	27	22	
		28	23	
	16	33	24	
		34	25	
	17	35	26	
		36	27	

\* Except for **AP<sub>B1</sub>**, all folios have music only on a single side of the folio.

\*\* Pagination corresponding to **A<sub>II</sub>** added in pencil.

\*\*\* With the additional, later archival pagination '78' in red pencil, corresponding to the archival pagination in **A<sub>I</sub>**.

Bifolio	Folio	Printed p.	Archival p.		
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>	18	37	28	[= <b>AP<sub>B1</sub></b> ]	
		38	29		
	19	39	30		
		40	31		
	20	41	32		
		42	33		
	21	43	34		
		44	35		
	22	45	36		
		46	37		
	23	47	38		
		48	39		
	24	[blank]			
		49	48		
	25	50	40		
		51	41		
	26	52	42		
		53	43		
	27	54	44		
		55	45		
28	56	46			
	57	47			
29	58	49			
	59	50			
	30	60	51	[= <b>AP<sub>B2</sub></b> ]	
	31	63	52		
	32	65	53		
	33	67**	54		
	34	68**	55		
	35	29	56***	[= <b>EC<sub>147</sub></b> ]	

title. Considering that he usually chose languages that the recipients of the manuscripts could understand, it is possible that this title was entered when Bartók deposited this manuscript with Victor Bator in 1943–1945; yet, it is also possible that the title was entered for Bartók’s personal use.

Concerning the number ‘58/a’, it is possible to establish that this number belongs to another set of item numbers, and ‘58’ is assigned to the *Mikrokosmos* sources. The other ‘Final Copy’ according to the classification by the New York Bartók Archive (PB, 59PFC2; according to the sigla, **E<sub>US1-B</sub>**) consists of Volumes III and VI of the first US edition of *Mikrokosmos* with various autograph entries, and the number ‘58’ can be found on the title page of Volume III but in the following way: ‘66 (58c | 58d)’ (in pencil).<sup>79</sup> A new number ‘66’, written and encircled in red pencil, can also be found on the title page of Volume VI.

Taking into consideration all pieces of information, it seems that **A<sub>B</sub>** and **E<sub>US1-B</sub>** were stored together and then received the number ‘58’. Sub-units of these *Mikrokosmos* sources are distinguished by further numbering such as ‘58a’, ‘58c’, and ‘58d’. The missing ‘58b’ might have been assigned to the tissue proofs of **A<sub>B</sub>** (**AP<sub>B1</sub>** + **AP<sub>B2</sub>** + [**EC<sub>147</sub>**]) or to an unknown source. Later, a new number ‘66’ was assigned to the two volumes of the first US edition. As a list of sources containing these numbers has not yet surfaced, it is impossible to precisely establish the purpose served by this numbering. However, it is likely that these numbers were entered to catalogue the manuscripts and sources deposited with Victor Bator.

In the following, three units of **A<sub>B</sub>** are examined separately.

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<sup>79</sup> It is not known why only Volumes III and VI survive. It is quite certain that Bartók received at least a complete set of *Mikrokosmos* from the publisher, and he also used them in his concerts. In addition, he must have introduced some corrections from the first edition onto his own copy as is observed on p. 5 of Vol. VI, where the place of *marcato* in bar 80 RH was changed from the second quaver to the first quaver. As this correction is introduced into the later reprint of the American first edition (**E<sub>US2</sub>**), and **E<sub>US2</sub>** contains some other corrections of the musical text, other volumes with Bartók’s corrections must have existed. A possible explanation is that only Vols. III and VI contain materials related to the composition rather than the mere revision or correction of the text. On pp. 26–27 of Vol. VI, there is a fragmentary sketch for the two-piano transcription of No. 146 ‘Ostinato’. On p. 11 of Vol. III, from bar 20 of No. 69 ‘Chord Study’ (for details, see below).

### 4.3.1. Original Structure of A<sub>III</sub>

A<sub>III</sub> consists of pp. 1–7 of A<sub>B</sub>. A<sub>III</sub> contains fair copies for 21 pieces: Nos. 1–10, 13–17, 26–29, and 38–39. For the contents, see Table 4-30. On each of seven sheets of paper, 3 pieces of small-sized 4-stave music paper without a trademark are pasted (21 pieces of music paper in total, 19 complete sheets and one cut in half). Each piece of music paper contains an autograph fair copy of a *Mikrokosmos* piece, which is copied from D<sub>1939</sub>. From A<sub>III</sub>, Ditta Pásztor prepared another set of fair copies, probably in September–November 1939, and this set of fair copies became part of the engraver’s copy (EC).

Table 4-30: Contents of A<sub>III</sub>

Page	No.	Circled numbering on the page
1	1	3
	2	4
	3	5
2	4	6*
	5	7
	6	8
3	7	9
	8	10
	9	—
4	10	11
	13**	22
	14	12
5	15	13 [orig. 15]
	16	14
	17**	15 [orig. 13]
6	26	16
	27***	17
	28	18
7	29***	19
	38***	20
	39	21

\* Number ‘6’ probably inadvertently lacks the circle around the number.

\*\* The sheets containing Nos. 13 and No. 17 originally constituted a complete sheet.

\*\*\* The sheet containing Nos. 27, 29, and 38 also has Exercises Nos. 3, 4, and 5, respectively.

A<sub>III</sub> offers an essential clue that the current form of the source does not reflect its original state. It is notable that 20 pieces of small-sized music paper have circled numbering ranging from 3 to 22 (see Table 4-30). However, as discussed above, D<sub>1939</sub> has numbering in the same style (1–2, 23–32; see Table 4-2). As these two

fragmentary sets of numbering together constitute a complete numbering ranging from 1 to 32, it is assumed that **A<sub>III</sub>** and **D<sub>1939</sub>** were stored together when the circled numbering was added. It is obvious that this circled numbering was done before the pieces of small-sized paper were pasted onto the pieces of large-sized paper. If the numbering was done after the pasting, then it is illogical that the number '22' should come between the numbers '11' and '12'. However, there is no documentary evidence regarding who added the numbering and who did the pasting.<sup>80</sup>

For the reconstruction of the original structure of these manuscripts, see Table 4-31. It is likely that this group originally consisted of three bifolios and 21 pieces of small-sized music paper. Three bifolios might have constituted an *ad hoc* fascicle, and the pieces of small-sized music paper were inserted into the fascicle. Each page of these manuscripts was numbered from 1 to 32, one after another, as found by the person who gave the numbering to it. The fact that the piece of paper containing No. 9 has no numbering is probably due to a mistake.


It should be considered problematic that two types of music paper that originally belonged together are currently divided into two independent source groups: **D** and **A<sub>B</sub>**. The logic of re-organisation was probably driven by the fact that the same types of music paper were grouped together. The manuscript on normal music paper (**D<sub>1939</sub>**) was grouped with other draft pages similarly on normal music paper. The latter source was probably identical to the group of manuscripts Bartók sent to Switzerland in 1938. However, it is important to emphasise that this group is not the only group of manuscripts that posteriorly became part of **D**. As discussed above, several units within **D** were later inserted into it, either by Bartók or by archivists at the New York Bartók Archive (**A<sub>147</sub>**, **A<sub>IV</sub>**, **D<sub>65, 69</sub>**, and **A<sub>64b, 74</sub>**).

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<sup>80</sup> Judging from the fact that the number '7' does not have a slash in each instance, it is likely that the numbering was added not by a Hungarian but probably by an American.



Table 4-31: Reconstructed structure of **D**<sub>1939</sub> with **A**<sub>III</sub>

Bifolio	Folio	Paper type	Circled No.	Page	Content
	37	J.E. & Co., No. 4	1	<b>D</b> <sub>1939</sub> , p. 73	Draft of Nos. 40, 68, 45 (beg.)
			2	<b>D</b> <sub>1939</sub> , p. 74	Draft of Nos. 45 (concl.), 54, 72, 126 (beg.)
	—	—	3	<b>A</b> <sub>III</sub> , p. 1/1	Fair copy of No. 1
	—	—	4	<b>A</b> <sub>III</sub> , p. 1/2	Fair copy of No. 2
	—	—	5	<b>A</b> <sub>III</sub> , p. 1/3	Fair copy of No. 3
	—	—	6	<b>A</b> <sub>III</sub> , p. 2/1	Fair copy of No. 4
	—	—	7	<b>A</b> <sub>III</sub> , p. 2/2	Fair copy of No. 5
	—	—	8	<b>A</b> <sub>III</sub> , p. 2/3	Fair copy of No. 6
	—	—	9	<b>A</b> <sub>III</sub> , p. 3/1	Fair copy of No. 7
	—	—	10	<b>A</b> <sub>III</sub> , p. 3/2	Fair copy of No. 8
	—	—	11	<b>A</b> <sub>III</sub> , p. 4/1	Fair copy of No. 10
	—	—	12	<b>A</b> <sub>III</sub> , p. 4/3	Fair copy of No. 14
	—	—	13*	<b>A</b> <sub>III</sub> , p. 5/1	Fair copy of No. 15
	—	—	14	<b>A</b> <sub>III</sub> , p. 5/2	Fair copy of No. 16
	—	—	15*	<b>A</b> <sub>III</sub> , p. 5/3	Fair copy of No. 17
	—	—	16	<b>A</b> <sub>III</sub> , p. 6/1	Fair copy of No. 26
	—	—	17	<b>A</b> <sub>III</sub> , p. 6/2	Fair copy of No. 27
	—	—	18	<b>A</b> <sub>III</sub> , p. 6/3	Fair copy of No. 28
	—	—	19	<b>A</b> <sub>III</sub> , p. 7/1	Fair copy of No. 29
	—	—	20	<b>A</b> <sub>III</sub> , p. 7/2	Fair copy of No. 38
	—	—	21	<b>A</b> <sub>III</sub> , p. 7/3	Fair copy of No. 39
	—	—	22	<b>A</b> <sub>III</sub> , p. 4/2	Fair copy of No. 13
	—	—	—	<b>A</b> <sub>III</sub> , p. 3/3	Fair copy of No. 9
	39	J.E. & Co., No. 4	23	<b>D</b> <sub>1939</sub> , p. 77	Draft of Nos. 10, 29, 83, 15, 13
			24	<b>D</b> <sub>1939</sub> , p. 78	Draft of Nos. 17, 107, 39, 38, 42
	40	[J.E. & Co., No. 5/B]	25	<b>D</b> <sub>1939</sub> , p. 79	Autograph of No. 104a (1st version, beg.)
			26	<b>D</b> <sub>1939</sub> , p. 80	Autograph of No. 104a (1st version, concl.)
	41	[J.E. & Co., No. 5/B]	27	<b>D</b> <sub>1939</sub> , p. 81	Draft of Nos. 104a (revised version). 119
			28	<b>D</b> <sub>1939</sub> , p. 82	Draft of No. 121
	42	[J.E. & Co., No. 4]	29	<b>D</b> <sub>1939</sub> , p. 83	Draft of Nos. 2a–b, 1, 3, 4, 5, 6, 14
			30	<b>D</b> <sub>1939</sub> , p. 84	Draft of Nos. 16, 7, 28, 26, 8, 9, 27
	38	[J.E. & Co., No. 4]	31	<b>D</b> <sub>1939</sub> , p. 75	Draft of Nos. 126 (concl.), 97
			32	<b>D</b> <sub>1939</sub> , p. 76	[blank]

\* The numbering '13' and '15' is originally '15' and '13', respectively.

### 4.3.2. Function of **AP<sub>B1</sub>**

**AP<sub>B1</sub>** consists of pp. 8–50 of **A<sub>B</sub>**. The source includes 44 pages of tissue proofs printed on 23 folios, of which 22 folios might have formed 11 bifolios (five separate bifolios and two ternios), with printed pagination 1–8, 13–32, 37–59. In the following, this printed pagination is used to identify the contents of **AP<sub>B1</sub>** for practical purposes: as the page number refers to that in **A<sub>I</sub>**, it should be easier to understand the relationship between **A<sub>I</sub>** and **AP<sub>B1</sub>** if we use the common pagination for both the transparent tissue and the tissue proofs. **AP<sub>B1</sub>** contains 76 pieces: 11–12, 18–25, 30–31, 41, 43–44, 49–50, 52, 55–56, 61, 64b, 66–67, 73–77, 79–80, 82, 85, 88–89, 91–94, 99–100, 103, 108–112, 114, 116–118, 120, 122–125, 129–133, 136–144, 146, 148–151, and 153.

Table 4-32: Bartók's instructions for concert performances in **AP<sub>B1</sub>** and **AP<sub>B&H</sub>** [= **AP<sub>1937</sub>**]

Page	No.	Bartók's remarks in Hungarian
<b>AP<sub>B1</sub></b> , p. 13	100	11. lap alsó [lower part of p. 11]
<b>AP<sub>B1</sub></b> , p. 13	110	15. lap egész [whole of p. 15]
<b>AP<sub>B1</sub></b> , p. 15	91	következő [next]
<b>AP<sub>B1</sub></b> , p. 15	92	33 [corr. to] 40. lap alsó [lower part of p. 40]
<b>AP<sub>B1</sub></b> , p. 17	133	következő [next]
<b>AP<sub>B1</sub></b> , pp. 17–18	136	24. lap [p. 24]
<b>AP<sub>B1</sub></b> , p. 19	137	34. lap [p. 34]
<b>AP<sub>B1</sub></b> , p. 20	124	21. lap alsó [lower part of p. 21]
<b>AP<sub>B1</sub></b> , pp. 22–23	144	<del>31.</del> [corr. to] 19. lap [p. 19]
<b>AP<sub>B1</sub></b> , pp. 24–25	140	26. lap [p. 26]
<b>AP<sub>B1</sub></b> , pp. 26–27	142	lent [bottom; corr. to] 22. lap [p. 22]
<b>AP<sub>B1</sub></b> , pp. 27–28	143	következő [next]
<b>AP<sub>B&amp;H</sub></b> , p. 29 [= <b>AP<sub>147</sub></b> ]	147	22. lap [p. 22; crossed out in ink]
<b>AP<sub>B&amp;H</sub></b> , p. 31	145a	19. lap [p. 19; crossed out in the same type of red pencil]
<b>AP<sub>B1</sub></b> , p. 33	73	40. lap alsó [lower part of p. 40]
<b>AP<sub>B1</sub></b> , p. 40	116	20 l [p. 20; on the left side] [on the right side:] 20. lap alsó [bottom half of p. 20]
<b>AP<sub>B1</sub></b> , pp. 40–41	129	következő [next]
<b>AP<sub>B1</sub></b> , p. 41	131	40. lap felső [top half of p. 40]

The tissue proofs in **AP<sub>B1</sub>** have several different functions. Bartók used a considerable part of **AP<sub>B1</sub>** in his concerts from 1937 until at least April 1940 when he received the dedication copy of the first US edition of *Mikrokosmos*. There are several pieces of evidence that this group was used in concerts. The most notable piece of

evidence is Bartók's instructions related to page-turning (see Table 4-32). These instructions are not complete in themselves (a few pages are missing), and a few pages (pp. 29 and 31) are preserved in another source group (**AP<sub>B&H</sub>**); yet, the set of original references corresponds to the programme of the London concert on 9 February 1937.<sup>81</sup> In contrast, the set of the revised references corresponds to the programme of the two Budapest concerts on 7 and 15 May 1937. The fact that there are no references related to concerts in 1938 (and later) may suggest that there were other sets of tissue proofs with another set of instructions; however, no such sets of proofs are known to us.

There are several other pieces of evidence that suggest the function of **AP<sub>B1</sub>** as a set of tissue proofs used in concerts. On **AP<sub>B1</sub>**, p. 28, the correction of bars 39–45 was prepared on fragmentary pieces of paper, and these were then pasted on the page for the sake of readability during the performance. By contrast, in the corresponding section in **AP<sub>B&H</sub>** and **EC**, the correction is introduced in the bottom margin. On the other hand, on **AP<sub>B1</sub>**, p. 51, No. 151 was printed except for the last seven bars. To avoid turning the page, Bartók copied these last bars from the following page, **AP<sub>B1</sub>**, p. 52, into the top margin. If he did not use this page of tissue proof in his concert, he would probably not have copied these bars.

The problem of why a few pages are currently preserved in **AP<sub>B&H</sub>** can be explained by the fact that Bartók omitted these pages from **AP<sub>B1</sub>** some time in 1937–1939 because he decided not to use these pages in concerts. These pages constitute a bifolio and contain Nos. 145a–c and 147 (however, apparently Bartók performed only Nos. 145a and 147 from this bifolio). Concerning No. 147, he created a revised, 'concert version' by adding octaves and some additional notes on p. 29 of **AP<sub>B&H</sub>**, the page he probably still used in concerts. Later, he prepared **A<sub>147</sub>**, a fair copy following this revision, and after that, he supposedly used **A<sub>147</sub>** in concerts instead of p. 29 of **AP<sub>B&H</sub>**. The date of revision cannot be securely established, although it would be later than the first performance (9 February 1937), but earlier than June 1939, when Bartók submitted **AP<sub>B&H</sub>** to Boosey & Hawkes.<sup>82</sup> Considering that in 1937, Bartók composed several pieces containing an interval wider than an octave (e.g., No. 148 'Six Dances

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<sup>81</sup> For the programmes of Bartók's concerts, see *BBCCE/40*, 32\*.

<sup>82</sup> For the data on Bartók's performances, see *BBCCE/40*, 32\*.

in Bulgarian Rhythm (1)'),<sup>83</sup> it is possible that the revision is contemporaneous to these pieces.

The situation might have been similar in the case of No. 145. Bartók also revised No. 145 at some time in 1937–1939. The revision seems to have been primarily related to the use of two versions of No. 145 for two-piano performances: on the reverse side of the autograph of No. 98 (**A<sub>98</sub>**),<sup>84</sup> Bartók aligned two versions of No. 145 vertically and introduced some revisions to it (**A<sub>145a–b</sub>**). The revision in **A<sub>145a–b</sub>** was not introduced into **AP<sub>B&H</sub>**; on the other hand, No. 145 in **EC** and **AP<sub>145</sub>** contains a revision in **A<sub>145a–b</sub>** and some additional revision including the addition of octave doubling to some notes. If Bartók decided to use either part of **EC** and **AP<sub>145</sub>** containing No. 145 in concerts, it is likely that he removed the page containing the original version of No. 145 (currently preserved as p. 31 of **AP<sub>B&H</sub>**) from **AP<sub>B1</sub>**.

The above assumptions essentially mean that **A<sub>147</sub>** and **AP<sub>145</sub>** were originally part of **AP<sub>B1</sub>**; however, considering that these sources are currently not kept together, they must have been separated from **AP<sub>B1</sub>** on different occasions, possibly depending on their appearance or function. In 1939–1940, Bartók must have used some autograph manuscripts in concerts, including **A<sub>147</sub>** and **A<sub>IV</sub>**, primarily because there were no other available autographs at his disposal.<sup>85</sup> He probably kept these autographs together with the set of tissue proofs he used in concerts (most likely **AP<sub>B1</sub>**). In May 1940, when Bartók was in the United States, he granted a set of *Mikrokosmos* manuscripts numbered '49b' to the Bartók Trust (for details, see Appendix B); at that time, after receiving the first US edition of *Mikrokosmos*, Bartók might have considered it unnecessary to keep the tissue proofs and other autographs (i.e., **AP<sub>B1</sub>**, **A<sub>147</sub>**, and **A<sub>IV</sub>**) he used in concerts and probably granted them, together with the final manuscripts (i.e., **A<sub>I–II</sub>**, **A<sub>III</sub>**, and possibly also **D<sub>1939</sub>**) he had brought to the United States by himself. If this situation was the case, it seems natural that the

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<sup>83</sup> Similar to another collection of pedagogical piano pieces, *For Children*, Bartók consciously avoided the use of octave in the *Mikrokosmos* pieces composed by 1937. See *BBCCE*/40, 26\*. See also Chapter 12.

<sup>84</sup> **A<sub>98</sub>** was prepared after **S<sub>98</sub>**, which is now found among the drafts of *Twenty-Seven Two- and Three-Part Choruses* (PB, 72SAS1, p. 3). As this autograph is written with large noteheads and contains some additional remarks related to the performance, it is likely that Bartók prepared **A<sub>98</sub>** for Peter Bartók's piano lessons.

<sup>85</sup> Bartók may have prepared the fair copy of No. 147 on transparent tissue at a late point of the composition, and he seems not to have used the tissue proof produced from the transparent tissue in concerts. The evidence is that when he recorded No. 147 in May 1940, he performed the version in **A<sub>147</sub>** instead of that in **A<sub>II</sub>** or **E**. For details, see Section 4.1.2.

collection of manuscripts did not contain **AP**<sub>145</sub>. Bartók did not perform No. 145 in his first US tour in 1940; thus, he did not bring it to the United States in April 1940.

Table 4-33: Contents of the first 12 pages of **A**<sub>I</sub> (whose tissue proofs are missing from **AP**<sub>B1</sub>)

Page	No.	Date of concert performances
1	35	[No data]
	32	[No data]
	33	[No data]
2	46	[No data]
	63	[No data]
	60	[No data]
3	37	[No data]
	34	[No data]
	36	[No data]
4	48	[No data]
	64a	[No data]
	47	[No data]
5	86	[No data]
	57	[No data]
6	51	[No data]
	53	20 January 1938; December 1940–
7	59	[No data]
	84	9 February 1937; 23 December 1937; December 1940–
	70	9 February 1937
8	106	20 January 1938
	58	[No data]
	71	[No data]
9	101	[No data]
	78	9 February 1937; 7 May 1937; 23 December 1937; December 1940–
	90	9 February 1937
11	81	9 February 1937
	62	9 February 1937; December 1940–
12	87	9 February 1937; 23 December 1937; December 1940–
	105	[No data]

It can be considered an additional proof that the current form of **AP**<sub>B1</sub> does not contain the tissue proof of the first 12 pages of **A**<sub>I</sub>. After January 1938, he did not perform the pieces found on these pages (see Table 4-33); from December 1940 onwards, he played some of them in his lecture-recitals at US universities but at that time already from the first US edition of *Mikrokosmos*. It is likely that he separated

the pages of tissue proofs that did not contain the pieces he was to perform at the programmed concerts for practical reasons. However, **A<sub>147</sub>** (and possibly **A<sub>IV</sub>**) was separated from **AP<sub>B1</sub>** and inserted into **D** on a later occasion, possibly by an archivist (see Section 4.1.2.3.).

### 4.3.3. Function of **AP<sub>B2</sub>**

**AP<sub>B2</sub>** consists of pp. 51–55 of **A<sub>B</sub>**, i.e., five pages of tissue proofs printed on five folios, with printed pagination 60, 63, 65, 67, 68. In the following, this printed pagination is used to identify the contents of **AP<sub>B2</sub>**. **AP<sub>B2</sub>** contains 14 pieces: Nos. 40, 42, 54, 65, 69, 72, 83, 95b (beginning only), 98, 113, 126–127, 128 (conclusion only), and 152.

Different from **A<sub>III</sub>** and **AP<sub>B2</sub>**, the function of **AP<sub>B2</sub>** is ambiguous as this source group itself seems to be a miscellaneous collection. On the first three pages (pp. 60, 63, 65), no pieces bear final numbering; however, several pieces are marked with an ‘X’-shaped mark in red pencil (on Nos. 72, 83, 126, and 127) for an unknown purpose. On the remaining pages (pp. 67–68), the final numbering is added to each piece (Nos. 65, 69, 113, and 152), and Nos. 65 and 113 even have an asterisk (‘\*’) near the numbering, as is in the published volumes.

Concerning the ‘X’-shaped mark on the first three pages of **AP<sub>B2</sub>** (pp. 60, 63, and 65), it cannot be ruled out that Bartók planned to perform these pieces. Among the pieces printed on these pages (Nos. 40, 42, 54, 72, 83, 98, 126, and 127), the marked pieces (Nos. 72, 83, 126, and 127) can be considered to be musically more interesting character pieces than the rest (Nos. 40, 42, 54, and 98), which can be considered to be exercises. However, Bartók never performed the pieces marked with ‘X’ at his concerts except for No. 126; of the pieces without the mark, he played Nos. 40 and 42 in lecture-recitals as examples of easy *Mikrokosmos* pieces.<sup>86</sup>

As for the rest of **AP<sub>B2</sub>** (pp. 67–68), these pages contain some pieces he performed in the United States: Nos. 69, 113, and 152. However, it is uncertain whether he used these pages in his concerts. In fact, the concert programme of the concert at Huntington, PA on 16 April 1940 contains other pieces (i.e., Nos. 115, and 128); however, no copies of the pieces Bartók certainly used in the concert are known.

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<sup>86</sup> For the programmes of Bartók’s concerts, see *BBCCE/40*, 32\*.

Judging from the date of the concert, it is possible that Bartók performed these pieces from the first US edition of *Mikrokosmos*.

Concerning No. 69 in **AP<sub>B2</sub>**, it should be noted that the texture is enriched by the addition of octaves. This version seems to be an early version of the second piano part of No. 2 ‘Chord and Trill Study’ in the *Seven Pieces from Mikrokosmos* (see Example 4-20). However, it is possible that Bartók primarily intended to transform an easy, etude-like piece into a more demanding concert piece; regardless of whether this version was also intended as a piano solo, it deserves some attention by pianists.

As discussed above, at least some parts of **A<sub>B</sub>**, most likely **A<sub>III</sub>** and **AP<sub>B1</sub>**, were granted to the Bartók Trust in May 1940. Concerning **AP<sub>B2</sub>**, however, if Bartók brought it to the United States in April 1940, he might not have granted at least p. 67, which contains No. 69. In a letter to Wilhelmine Creel on 17 December 1943, Bartók reports that he had to write down the two-piano arrangement of No. 69 from memory (‘the second version’) for the concert in November 1940 because its autograph (‘the first version’) was in the luggage that went astray in Spain.<sup>87</sup> This letter was accompanied by the autograph of the two different versions of the two-piano arrangement of No. 69, and the facsimile of these autographs has been published.<sup>88</sup> The version found in **AP<sub>B2</sub>** is largely identical to the first version; however, the notation of the first version is incomplete with regard to the second piano part. This finding suggests that the version in **AP<sub>B2</sub>** served as a part score for the second piano part and that Bartók or Ditta used the page in **AP<sub>B2</sub>** in concerts.

It is notable that **E<sub>US1-B</sub>** contains an elaborated version of No. 69: additional octaves are added in ink. However, this version differs from the first version and largely coincides with the second version; thus, the addition was made in the United States in October–November 1940, and it was possibly copied from the score of the second version for use as a part score instead of the page in **AP<sub>B2</sub>**, which was not available at that time, most likely because this page was in the luggage that had gone astray in Spain.

Considering that the content of **A<sub>B</sub>** had already been arranged by someone, it cannot securely be established which manuscripts Bartók granted to the Bartók Trust

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<sup>87</sup> *Bartók Béla levelei* [Bartók Béla’s letters], ed. János Demény (Budapest: Művelt nép könyvkiadó, 1951), 182.

<sup>88</sup> *Bartók Béla levelei*, XI–XIII.

Moderato,  $\text{♩} = 80-84$  *mf; cantabile*

14 *simile* *p* *f* *p* *mf; cantabile*

27 *f* [*p*] *cresc.* *f*

*mp* (1')

Example 4-20: *Mikrokosmos* No. 69 (transcribed from **AP**<sub>B2</sub>, p. 67)



in May 1940. Based on the content of **A<sub>B</sub>** (especially **AP<sub>B1</sub>**), it is likely that he granted the whole of **A<sub>B</sub>** except for p. 67, which contains No. 69 and which he kept for himself. However, it is also possible that he kept the whole of **A<sub>B</sub>** for himself, and only later did he either grant **A<sub>B</sub>** to the Bartók Trust or deposit it with Victor Bator after April–May 1943 when all the manuscripts previously kept by Boosey & Hawkes were taken over by Bator (for the circumstances, see Appendix B).

#### 4.3.4. [EC<sub>147</sub>]

The last unit of **A<sub>B</sub>**, [EC<sub>147</sub>] may underscore the possibility that the content of **A<sub>B</sub>** was re-organised to some extent, regardless of whether **A<sub>B</sub>** preserves the original structure that Bartók kept for himself. [EC<sub>147</sub>] is a single folio, and on one side of the folio, p. 29 of **A<sub>I</sub>** (containing an early version of No. 147) is printed. This page was originally part of **EC**, and in this respect, this page is out of context within **A<sub>B</sub>**.

The evidence that [EC<sub>147</sub>] belonged to **EC** is the numbering in the top left-hand corner: ‘138’ (orig. ‘99’) in pencil. These two numbers were part of the earlier numberings in **EC**, which are similarly entered in pencil. There is an additional annotation at the top of the page: ‘*Eredeti könnyű formája*’ [Its original easy version], which is also in pencil. Three entries in pencil are entered on different occasions, judging from the fact that none of these three is written in the same shade of pencil. This fact makes it impossible to precisely establish the chronological relationship between them: the numbering might have been added either before or after Bartók decided to revise this piece and to include the revised version in *Mikrokosmos*. However, it is likely that he already decided to revise No. 147 when he added the numbering (which is likely to have occurred around April 1939) although he was not yet done with his work on the fair copy of No. 147. If this situation is the case, the annotation (‘*Eredeti könnyű formája*’ [Original easy version]) might have served as a reminder to him that this was not the final version and not to be included in **EC**. This page was used to temporarily mark the revised version of No. 147 in **EC**; after Bartók prepared the fair copy of No. 147, the fair copy replaced [EC<sub>147</sub>].

It cannot be established with certainty why [EC<sub>147</sub>] is currently preserved in **A<sub>B</sub>**. Another source, which also belonged to **EC**, may offer us a hint towards understanding the situation: namely, **EC<sub>145c</sub>**. This source, which consists of a single folio and contains only No. 145c (the discarded unpublished version of No. 145c), is

currently stored with the unused tissue proofs of the piano reduction of the Second Violin Concerto (BB 117, 1937–1938). Similar to [EC<sub>147</sub>], EC<sub>145c</sub> also has earlier numberings ‘102-hoz’ [sic; = belonging to No. 102], which was changed to ‘100’, both of which are set forth in pencil. It seems that this tissue proof was omitted from EC and eventually stored with other tissue proofs that Bartók did not use for any purpose. This collection of miscellaneous tissue proofs remained in Budapest. On the other hand, in the case of [EC<sub>147</sub>], the tissue proof was similarly omitted from EC but accidentally stored with some *Mikrokosmos* sources, or if this situation was not the case, with one of the sources Bartók brought to the United States. As discussed above, a pair of folios found in other sources (A<sub>64b, 74</sub>) was added at the end of D. Similarly, [EC<sub>147</sub>] might also have been added at the end of A<sub>B</sub>; however, it was added without reference to its original location.

## 5. Description of Other Sources

In this chapter, only the sources directly related to the compositional process of *Mikrokosmos* are discussed. Various copies of the first edition (**E<sub>UK</sub>**, **E<sub>US1</sub>**, **E<sub>US1-B</sub>**, **E<sub>US1-Deutsch</sub>**, and **E<sub>US2</sub>**) are omitted; although they represent the final form of the *Mikrokosmos* approved by Bartók, they do not provide any information regarding the compositional process. If the sources are examined elsewhere in the dissertation, they are not included in the following discussion: **S<sub>146</sub>**, **S<sub>98</sub>**, **D<sub>137</sub>**, **D-add<sub>1</sub>**, **D-add<sub>2</sub>**, **A<sub>81</sub>**, **A<sub>98</sub>**, **A<sub>145a-b</sub>**, **[AP<sub>147</sub>]**, **EC<sub>145c</sub>**, and **F<sub>74</sub>**.

### 5.1. S<sub>PM</sub>

**S<sub>PM</sub>** is a complex source. In addition to the *Zongoraiskola* [*Piano Method*] itself, which contains some pieces and exercises that served as preliminary versions of pieces and exercises in *Mikrokosmos*, **S<sub>PM</sub>** contains various sketches and annotations directly related to some pieces in *Mikrokosmos*.<sup>1</sup>

Five types of materials can be distinguished in **S<sub>PM</sub>**:

- (1) markings at the numbering of pieces from unknown dates but probably prior to 1929;
- (2) Margit Varró's annotations to 13 pieces at least later than (1), probably in 1929;
- (3) several entries related to Peter Bartók's lessons from ca. 1933;
- (4) revisions of 14 pieces, including revisions of fingering, perhaps related to a planned revised edition of the Piano Method from an unknown date but most likely between 1929 and 1939;<sup>2</sup>
- (5) sketches of several exercises that later became part of *Mikrokosmos*, and several annotations possibly related to the composition of *Mikrokosmos* pieces entered in 1939 at the latest.

For a brief summary of the content, see Table 5-1.<sup>3</sup> The materials that have relatively little relevance to the *Mikrokosmos* pieces are neither included in the table nor described in the following, i.e., Types (1), (3), and (4), and some annotations in (5).

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<sup>1</sup> The present description owes a great debt to Vera Lampert's research on the relationship between the *Zongoraiskola* and *Mikrokosmos* (see *Lampert*).

<sup>2</sup> Some entries belonging to Type (4) are transcribed in *Lampert*, 129.

<sup>3</sup> For a complete description, see *BBCCE/41*.

Table 5-1: Summary of the materials of **D<sub>PM</sub>** related to *Mikrokosmos*

Page	Location of remarks	(2)	(5)	Related <i>Mikrokosmos</i> piece
15	No. 21	x		
17	No. 25	x		
21	No. 38		x	No. 47
22	after No. 41		x	No. 55
23	No. 44	x		
24	No. 46	x		
25	[top of the page]		x	No. 88
25	No. 49	x		
26	No. 53		x	Nos. 52–53
27	No. 56	x		
28	No. 57	x		
30	before No. 68		x	No. 68
30–31	No. 68			No. 74
31	after No. 71		x	Nos. 56 and 76
32	No. 73	x		
32	after No. 73		x	
34	after No. 81		x	No. 41
38–39	No. 89		x	No. 112
41	after No. 94		x	Nos. 112 and 73
42	around No. 96		x	No. 73
42–43	No. 97	x		No. 77
43–44	No. 98		x	No. 79
48	No. 102	x		
49	No. 104		x	
50	No. 108	x		
52	No. 110	x		

The descriptions of Types (2) and (5) are as follows.

Type (2) Margit Varró's annotations:<sup>4</sup>

- p. 15: to No. 21, 'Ezután kellene néhány rövid darabka: a.) párhuzamos mozgásban (6- vagy decim párh[uzamban]) | b.) ellenmozgásban | c.) váltakozó párh[uzamos]- és ellenmozgásban | Mind valamivel könnyebb lehet, mind a 22. sz., két kéz lehetőleg egyforma ritmusb[an.]' [After this some more short pieces are needed: a) in parallel motion (in sixth or tenth) | b) in contrary motion | c) alternating between parallel and contrary motion. | All of them could be easier than No. 22, with the two hands playing the same rhythm.]
- p. 17: to No. 25, 'Ezután még néhány kis kánon vagy imitációs kis darab kellene.' [After this some more little canons or little pieces with imitation would be desirable.]
- p. 23: to No. 44, 'Ez elé néhány kíséretes dallam kellene, még pedig: | a) kíséret:

<sup>4</sup> The English translation is quoted from *Lampert*, 132–35.

- felbontott harmoniákból | b) kíséret: figurált harmóniákból | c) dallam felváltva also és felső szolamban.’ [Before this, some melodies with accompaniment would be needed, namely | a) accompaniment with broken chords | b) accompaniment with figured chords | c) melody alternating between upper and lower part.]
- p. 24: title of the chapter ‘A triola’ [Triplet] marked; on No. 46, ‘Ezt minden gyerek 6/8-os ütemnek érzi; kérünk tehát még egy igazi triolás darabot!’ [Every child feels the meter of this piece as 6/8; thus we are asking for another piece with real triplets!]
- p. 25: to No. 49, ‘Az 51. számon kívül kérünk még egy darabot mely a  $\lessgtr$  és  $\gtrless$  esztetikai megéreztetését elősegíti.’ [We ask for another piece besides No. 51 which helps the aesthetic understanding of  $\lessgtr$  and  $\gtrless$ .]
- p. 27: to No. 56, ‘Kissé monoton, a tanuló nem tud mibe kapaszkodni; kérünk helyette másikat!’ [This is somewhat monotonous, there is nothing the student can grasp; we ask for another piece instead.] at bars 9–12 of No. 56, ‘ezt a 4 taktust nem értik meg a gyerekek!’ [children cannot understand these four bars!]
- p. 28: to No. 57, ‘Nagyon szeretnénk még egy darabkát, amelyben a  $\text{♪}$  és  $\text{♪♪}$  egymással szembe van állítva.’ [We would very much like to have another little piece in which  $\text{♪}$  and  $\text{♪♪}$  are posed against each other.]
- p. 32: to No. 73, ‘73 elé kérünk 1–2 háromszólamú darabkát (egyik kézben szimplafogás), másokban duplafogás (a 3 szólamúságot nem kontrap[unkt] értelemben.) egyik szólam esetleg fekvő is maradhat.’ [We ask for one or two little pieces before No. 73 (single part in one hand, double in the other (three-part not in the contrapuntal sense!), one part can possibly be a sustained note.)]
- p. 33: to No. 78, ‘Nagyon jó volna, ha egy újabb ilyenféle darabot kaphatnánk. Ezután pedig kérünk 2 négyszólamú darabkát (choralszerűeket) melyekben mindkét kéz duplafogást játszik.’ [It would be very good if we could get a new piece of this kind. After this, we ask for 2 little four-part (choral-like) pieces in which both hands play two parts.]
- p. 42: to No. 97, ‘Ha úgy tetszik, a 3. sor átalakításával ezt megtarthatjuk, de kérünk még egy  $\text{♩}$  mozgású darabot. (A kéz több oktávan át is mozoghat, de alátévéssel nélkül.)’ [We could keep this with the alteration of the 3rd line, if you please, but we would like to have another piece moving in  $\text{♩}$ . (The hand could move through several octaves but without thumb-crossings.)]
- p. 43: to No. 97, bars 9–12, ‘megzavarja a gyereket, hogy az egyes figurák hasonlóak, s mégsem tiszta a szekvencia.’ [the child gets confused by the similarity of figuration on one hand and the lack of exact sequences on the other.]
- p. 48: to No. 102, ‘E helyett kérünk mást!’ [Instead of this we would like to get something else!]
- p. 50: to No. 108, Varró’s annotation: ‘Egy-két új előadási darabot kérünk, melyben skála v. skálás figurák előford[ulnak]. (alátévéssel!) Ha lehet, könnyebb legyen, mint 114.’ [We ask for one or two new pieces which feature scale or figuration with scales (with thumb crossings!) If possible, they should be easier than 114.]
- p. 52: to No. 110, ‘Ha lehet, nagyon kérünk egy új darabot; ennek a témája nem érdekeli a gyerekeket.’ [If possible we would very much like to have a new piece; children do not take an interest in the theme of this one.]

- p. 61: to No. 120, ‘Ha lehet, kérünk e helyett egy “induló” jellegű új darabot[.] Ezt t.i. arpeggio-s gyakorlatnak haszn[áljuk] fel. Nagyon szeretnénk egy kis ‘szerenád’ jellegű arpeggiált darabkát is.’ [If possible, we ask for a new “march”-like piece instead of this. As a matter of fact, we use this piece for an arpeggio exercise. We would also very much like to have a little “serenade”-like piece with arpeggios.]; there are some additional annotations in lead pencil: ‘arpeggio’ in the right margin; ‘tömör akk[ordok]’ [dense chords] at bar 7; ‘arp[eggio]’ at bar 11.

Among Type (5), Bartók’s sketches and annotations related to the *Mikrokosmos* pieces are as follows:

- p. 21: below No. 38: ‘ezzel: darab’ [write a piece with this] (cf. *Mikrokosmos* No. 47)  
 p. 22: after No. 41, ‘Kvint-fogás ide | aztán egy’ [Insert fifth chords here | then one piece] (cf. *Mikrokosmos* No. 55)




- p. 25: on the top of the page,

in pencil (cf. *Mikrokosmos* No. 88)



- p. 26: No. 53, rev. to  
*Mikrokosmos* Nos. 52–53)

(cf.

- p. 30: to No. 68:  stb. gyakorlat (csak bal?) ‘68 elé’ [before 68], ‘stb. gyakorlat (csak bal?)’ [etc. exercise (only for left hand?)] (cf. *Mikrokosmos* No. 68)

- pp. 30–31: No. 68 is a preliminary version of *Mikrokosmos* No. 74

- p. 31: after No. 71: a sketch for Exercise:



(cf. *Mikrokosmos* Nos. 56 and 76), orig. intended to follow the *Piano Method* No. 69

- p. 32: after Nos. 73, ‘ide még egy triólásat  ritmussal is’ [here another triplet piece also with  rhythm]


- p. 34: to the explanation of  $\frac{6}{8}$  after No. 81, ‘ezt jóval előbbre 45. Előttre’ [this should be placed earlier[,] before No. 45] (cf. *Mikrokosmos* No. 41)

- p. 38: No. 89, ‘ez itt tulkorai inkább 95 elé’ [this is too early here, rather before 95] (cf. *Mikrokosmos* No. 112)




- p. 41: after No. 94, ‘ide’ [here]

‘aztán 89. sz.

— *aztán 3-as fogások*’ [then No. 89—then triads]  [‘és’ = and] ‘*ugy, mint a 36. 37. lapon levő szeksztek.*’ [similarly to the parallel sixths on pp. 36 and 37.] (cf. *Mikrokosmos* Nos. 112 and 73)

- p. 42: to No. 96, Bartók planned the relocation of the printed explanatory note concerning the semiquaver value from after No. 96 to before No. 96, followed by a crossed-out remark ‘*és utána 98 a. b. aztán egy 3/4-es új darab. (e moll-dur)*’ [then Nos. 98 a and b, then a piece in  $\frac{3}{4}$  (e minor-major)]; another remark

‘*ide*’ [here]  ‘*stb. és [kvartszext] akkord is*’ [etc., and also a chord in second inversion]. (cf. *Mikrokosmos* No. 73)

- pp. 43–44: No. 97 is a preliminary version of *Mikrokosmos* No. 77  
 p. 43: to No. 98a, ‘*90 elé a következőkkel együtt és az új 3/4-es 16-os e-dur moll darab*’ [before No. 90, together with the following piece, the new piece in  $\frac{3}{4}$  with semiquavers in e-major-minor] (cf. *Mikrokosmos* No. 79); the reference orig. ‘*92 után*’ [after No. 92] instead of ‘*90 elé*’ [before No. 90]  
 p. 44: No. 98b, ‘*90. elé*’ [before No. 90]  
 p. 49: No. 104a–b, ‘*nem jó példa (késleltetésszerű kellene[!])*’ [unsuitable example (one with syncopation would be needed)] (cf. *Mikrokosmos* Nos. 9 and 27)

## 5.2. **D<sub>PB</sub>** and **S<sub>ex27–29</sub>**


**D<sub>PB</sub>** (from BBA, BAN 6609) and **S<sub>ex27–29</sub>** (from a private collection) were used for Peter Bartók’s piano lessons probably in 1933–1934; however, they are currently preserved separately. As **D<sub>PB</sub>** became part of a miscellaneous MS group, a general description of the source is provided for them together (for the content, see Table 5-2). The *Mikrokosmos* related source found in the MS group is **A<sub>145a–b</sub>** and **A<sub>98</sub>**. The provenance of this source is unknown. There is a cover page for the source; however, as the cover addresses only the facsimile of *Three Hungarian Folk Tunes* (BB 80b, 1914–1918, rev. in 1941; found on pp. 27–29 of **D<sub>PB</sub>**),<sup>5</sup> it is uncertain whether other materials had already been part of this collection.

<sup>5</sup> The full description of the cover is as follows. In the top right corner, an archivist’s memorandum in unknown hand reads as follows: ‘Bartók János átengedi fotózásra. | Ellenszolgáltatásként 1db 24 x 32 cm. fotó- | másolatot kér (pozitív) | Saját részre szintén 1 db. 24x32 cm. | másolatot kérünk | (pozitív)’ [‘János Bartók makes it available for photo-reproduction. In exchange, he asks for a set of photocopies in 24x32 cm size (positive). For our use, we also ask for a set of photocopies in 24x32 cm size (positive).’]; in the middle: ‘Bartók Béla: | Three Hungarian folk-tunes. | Facsimile a Paderewski-gyűjteményből | (New-York 1942, Boosey & Hawkes)’ [‘Facsimile from the Paderewski Album’].

Table 5-2: Content of BBA, BAN 6609

Folios	Pages	Content
1–4	1–8	Music sheets related to Peter Bartók's piano lessons (= part of <b>D<sub>PB</sub></b> )
5	9	Excerpt from No. 145a–b, aligned vertically (= <b>A<sub>145a–b</sub></b> )
	10	No. 98, complete autograph (= <b>A<sub>98</sub></b> )
6–8	11–16	Music sheets related to Peter Bartók's piano lessons (= part of <b>D<sub>PB</sub></b> , p. 14 blank)
9–13	17–26	Bernardo Pasquini, <i>Pastorale</i> and <i>Toccata</i> (p. 20 blank)
14–16	27–29	Photo-reproduction of <i>Three Hungarian Folk-Tunes</i> , from <i>Homage to Paderewski</i> , pp. 5–7

Table 5-3: Reconstructed paper structure of the pages used for Peter Bartók's piano lessons

Bifolio	Paper type	Sigla and Page	Content (excerpt)
	J.E. & Co., No.4	<b>D<sub>PB</sub></b> , 4 □	Scale in C
		<b>D<sub>PB</sub></b> , 3	No. 19
	J.E. & Co., No.4	<b>D<sub>PB</sub></b> , 7 □	No. 18
		<b>D<sub>PB</sub></b> , 8	Scale in G
	J.E. & Co., No.4	<b>D<sub>PB</sub></b> , 6 □	Nos. 20 and 21; Scale in D
		<b>D<sub>PB</sub></b> , 5	Scales in c, g, d, A, a, F
	[J.E. & Co., No.4]	<b>D<sub>PB</sub></b> , 2	Scales in B $\flat$ , E; Unpublished Piece 6, No. 31
		<b>D<sub>PB</sub></b> , 1	Scales in D, d, E $\flat$ , e $\flat$ , E, e
	[J.E. & Co., No.4]	<b>S<sub>ex27–29</sub></b> , [2]	<i>For Children</i> , No. 3; <i>Zongoraiskola</i> , No. 57
		<b>S<sub>ex27–29</sub></b> , [1]	Exercises Nos. 28, 29, 27; <i>Zongoraiskola</i> , No. 115
	[J.E. & Co., No.4]	<b>D<sub>PB</sub></b> , 15	<i>Zongoraiskola</i> , No. 115
		<b>D<sub>PB</sub></b> , 16	<i>Zongoraiskola</i> , No. 115

The compound MS (**D<sub>PB</sub>** + **S<sub>ex27–29</sub>**) might have originally constituted nested bifolios (see Table 5-3). The compound MS contains various materials; however, those that are directly related to *Mikrokosmos* are as follows: autographs for Nos. 18–21, 31, and Unpublished Piece 6 as well as sketches for Exercises Nos. 27–29.





Example 5-1: A Hungarian folk song ‘Kalamajkó annak neve’ (transcribed from **D<sub>PB</sub>**, p. 4)

[Jaj de szé-les jaj de hosz-szú az az út a-kin az a ki-lenc be-tyár be-for - dult a-kin az a ki-lenc be-tyár]

Example 5-2: Transcription of *Zongoraiskola* No. 115 for voice and piano (final notation, transcribed from **D<sub>PB</sub>**, p. 16, with the text added from the first version in **S<sub>ex27-29</sub>**, p. [2])

In this set of music paper, it is possible to observe and largely reconstruct how Bartók taught his son, Peter Bartók. It is remarkable that the set of music paper contains several (supposedly) dictation exercises, which suggests that Bartók considered listening as a fundamental part of music education.<sup>6</sup> It is also remarkable that singing was also part of the lessons, as Peter Bartók himself recalled.<sup>7</sup> In addition to a Hungarian folk song ‘Kalamajkó annak neve’ (see Example 5-1, the folk song Bartók also used as *Forty-Four Duos*, No. 2), there is another piece of music used for singing practice, an arrangement of *Zongoraiskola No. 115* for voice and piano (see Example 5-2).

In relation to **D<sub>PB</sub>**, it is worth noting the existence of a set of numbering in Peter Bartók’s hand: ‘1’ on No. 19, ‘2’ on No. 18, ‘3’ on No. 20, and ‘4’ or ‘5’ on No. 21. This numbering might have been primarily related to his lessons; however, it is remarkable that similar numbers can also be found in **S<sub>PM</sub>** and **AP<sub>PB</sub>**, both by Peter Bartók, and apparently from a later period of his piano lessons (see Table 5-4). Due to several corrections, it is impossible to precisely determine the intended number; nevertheless, it seems that the set of numbering was meant to be complete, ranging from 1 to at least 31. Some apparently missing numbers (e.g., 14–18) might have been entered into a copy of piano pieces used by Peter Bartók; however, none of such copies are known to us.<sup>8</sup> Although the numbering does not coincide with the final published order of the *Mikrokosmos* pieces, it is possible to assume in what order Bartók assigned lessons to his son. Bartók might have been able to observe which piece was easy or difficult for his son—a beginner in piano playing—and Bartók might have been able to take the result into consideration, as he indicated in the 1940 interview:

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<sup>6</sup> For the full description of the content, see *BBCCE/41*.

<sup>7</sup> ‘For a while I was not to touch the keyboard at all, except to obtain a reference pitch: the lessons involved singing, the reading of music, the material being folk songs. Only after I managed to read the notes and convert them into appropriate vocal sounds did the playing on the keys begin.’ (see *My Father*, 35). The folk songs Peter Bartók quoted in his recollection (‘Egyszer egy királyfi’ and ‘Párta, pártá, fene ette pártá’; see *My Father*, 41–44) can be found on another set of music paper (photocopy available in BBA).

<sup>8</sup> Peter Bartók mentioned the following works: *For Children*, ‘Evening in Transylvania’ from the *Ten Easy Piano Pieces*, Bartók’s selection of *Notebook for Anna Magdalena Bach*, titled ‘Kis zongoradarabok’ [Little Pieces for the Piano], and *Easy Dances* by Mátyás Seiber (see *My Father*, 37).

I had a good opportunity at home to try out this material [*Mikrokosmos*]. My son, Peter, asked me in 1933 to let him take piano lessons. I made a bold decision and I undertook this, for me, somewhat unusual task. . . . I hope this was to his advantage but I can confess that I also learned a lot from this experiment.<sup>9</sup>

Table 5-4: Numbering by Peter Bartók at pieces from the *Zongoraiskola* and *Mikrokosmos*

Location	Piece	Peter's numbering
<b>D<sub>PB</sub></b> , p. 3	<i>Mikrokosmos</i> No. 19	1
<b>D<sub>PB</sub></b> , p. 7	<i>Mikrokosmos</i> No. 18	2
<b>D<sub>PB</sub></b> , p. 6	<i>Mikrokosmos</i> No. 20	3
<b>S<sub>PM</sub></b> , p. 15	<i>Zongoraiskola</i> No. 21	4 [orig. layer illegible, possibly 2, 4, or 7]
<b>D<sub>PB</sub></b> , p. 6	<i>Mikrokosmos</i> No. 21	4 or 5?
<b>S<sub>PM</sub></b> , p. 17	<i>Zongoraiskola</i> No. 25	6
<b>S<sub>PM</sub></b> , p. 17	<i>Zongoraiskola</i> No. 24	7
<b>S<sub>PM</sub></b> , p. 18–19	<i>Zongoraiskola</i> No. 29	8 or 9
<b>S<sub>PM</sub></b> , p. 16	<i>Zongoraiskola</i> No. 22	9 or 10
<b>S<sub>PM</sub></b> , p. 17	<i>Zongoraiskola</i> No. 26	9, 10, or 11
<b>S<sub>PM</sub></b> , p. 21	<i>Zongoraiskola</i> No. 36	11 [orig. 10]
<b>S<sub>PM</sub></b> , p. 20	<i>Zongoraiskola</i> No. 33	12 [orig. 11]
<b>S<sub>PM</sub></b> , p. 22	<i>Zongoraiskola</i> No. 40	13
<b>A<sub>PB</sub></b> , p. 9	<i>Mikrokosmos</i> No. 71	19
<b>A<sub>64b, 74</sub></b> , p. 87	<i>Mikrokosmos</i> No. 74a	20
<b>A<sub>64b, 74</sub></b> , p. 88	<i>Mikrokosmos</i> No. 74b	21
<b>A<sub>64b, 74</sub></b> , p. 90	<i>Mikrokosmos</i> No. 64b	23
<b>S<sub>PM</sub></b> , p. 28	<i>Zongoraiskola</i> No. 57	24
<b>A<sub>PB</sub></b> , p. 11	<i>Mikrokosmos</i> No. 81	25
<b>A<sub>PB</sub></b> , p. 11	<i>Mikrokosmos</i> No. 62	26
<b>S<sub>PM</sub></b> , p. 33	<i>Zongoraiskola</i> No. 77	29
<b>A<sub>PB</sub></b> , p. 6	<i>Mikrokosmos</i> No. 51	30
<b>A<sub>PB</sub></b> , p. 6	<i>Mikrokosmos</i> No. 53	31

<sup>9</sup> *Beszélgetések*, 205. The interview contains a sentence that seems to have contradicted the facts: ‘Apart from singing and technical exercises only *Mikrokosmos* music was taught to the child.’ As mentioned above, the copy of *Zongoraiskola* contains some trace to have been used in the piano lessons, and Peter Bartók recollected that some other works were also used during the lessons. This contradiction should have originated in the circumstances of the interview. As Bartók’s 1940 interview was made primarily to promote his farewell concert in Budapest on 8 October 1940, anecdotal details of Peter’s lessons were not the primary concern for either the interviewer or the interviewee.

Table 5-5: Content of the miscellaneous collection of tissue proofs

Folio	Page	
1	[cover]	
2	1	[= <b>AP<sub>PB</sub></b> ]
	2	
3	3	
	4	
4	5	
5	6	
6	7	
7	8	
8	9	
9	10	
10	11	
11	12	
12	13	
13	14	
14	15	
15	16	
16	17	
17	18	
18	19	
19	20	
20	21	
21	22	
22	23	
23	24	
24	29	
25	30	
26	31	
27	32	
28	72	[= <b>AP<sub>exx</sub></b> ]
29	73	
30	74	
31	[back cover]	

### 5.3. Miscellaneous Collection of Tissue Proofs (**AP<sub>PB</sub>** + **AP<sub>exx</sub>**)

This miscellaneous collection of tissue proofs is currently preserved under the inventory number ‘GV, BHadd 95’. This source can be divided into two groups according to their function (for the content, see Table 5-5):

- (1) A collection of tissue proofs in black-and-white colour, from ca. 1933, mainly

used for Peter Bartók's piano lessons (= **AP<sub>PB</sub>**, consisting of 26 folios).

- (2) A collection of tissue proofs, in lilac colour, from 1939, used when Bartók finalised the engraver's copy and when he checked the proof for the first edition (**AP<sub>exx</sub>**, consisting of 3 folios).

This source seems to keep the content and structure of the time when the cover was added, because the number of folios described on the cover ('29 lev.' [29 leaves]) coincides with that of the folios currently included in the source.<sup>10</sup> However, it is not known why these units with different functions were stored together; it is possible that the current form nevertheless reflects the way in which Bartók left them in Budapest in 1940. In the following, each unit is described separately.

### 5.3.1. **AP<sub>PB</sub>**

**AP<sub>PB</sub>** is an incomplete set of tissue proofs produced from pp. 1–24, 29–32 of **A<sub>I</sub>**. These 28 pages of tissue proofs are printed on 26 folios (except for the first two folios, the music is printed only on one side of a sheet). **AP<sub>PB</sub>** contains 49 pieces: Nos. 32–37, 46–48, 51, 53, 57–60, 62–63, 64a, 70–71, 78, 81, 84, 86–87, 90–92, 94, 100–101, 103, 105–106, 108, 110–11, 114, 122, 124–25, 132–33, 136–37, 140 (incomplete), 144, 145a–b, 145c (unpublished), and 147.

Six pieces (Nos. 33, 34, 51, 60, 84, and 86) show additions to or revisions of the title(s), and 10 pieces (Nos. 51, 53, 58, 62, 71, 81, 84, 87, 92, and 106) have some additional pedagogical instructions related to Peter Bartók's lessons.<sup>11</sup> Five pieces have numbering in Peter Bartók's hand related to his lessons (see Table 5-4). Apparently, this set of tissue proofs does not contain corrections related to the publication of *Mikrokosmos*; thus, **AP<sub>PB</sub>** has lesser source value in comparison with other sets of tissue proofs (i.e., **AP<sub>B1</sub>**, **AP<sub>B&H</sub>**, and substantial part of **EC**).

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<sup>10</sup> The full text of the cover inscription is as follows: 'Bartók Béla autográf korrektúrái | a 'Mikrokozmosz' kiadatlan német | litografált példányának egyes részeiben. | 29 lev.' ['Béla Bartók's autograph corrections in some parts of the unpublished German lithographed copy of *Mikrokosmos*. 29 leaves.'] The inscription reflects an early evaluation of the source, as it contains only some additions to or revisions of the titles of six pieces, and pedagogical instructions for Peter Bartók, added to ten pieces.

<sup>11</sup> Pedagogical instructions to these pieces belong to the specific context of Peter Bartók's lessons; thus, they may not have general validity. These instructions are, however, reproduced in the Appendix to *WU/Mikrokosmos*, Vol. I, 66–68 and Vol. II, 105–108. As the editor of the volume used the black-white copy deposited in the Paul Sacher Stiftung (labelled as 'PB, 59PETER'), the reproduction is not always precise.

### 5.3.2. **AP<sub>exx</sub>**

**AP<sub>exx</sub>** is an incomplete set of tissue proofs produced from pp. 72–74 of **A<sub>II</sub>**. These three pages of tissue proofs are printed on one side of three folios. **AP<sub>PB</sub>** contains miscellaneous materials including exercises, second piano parts to Nos. 43a, 44, 55, 68, and preliminary systems for Nos. 51 and 59. Different from **AP<sub>PB</sub>**, pagination is entered in pencil.

It is remarkable that for each exercise in this unit, a reference to the relevant *Mikrokosmos* pieces was added in ink and later corrected in red pencil. The numbering of the exercises does not perfectly coincide with either that in **EC** or the final numbering; however, it is closer to the final numbering than that in **EC**. This fact suggests that **AP<sub>exx</sub>** was probably used to check the proof of the first edition; this assumption is underscored by the fact that Bartók's corresponding pages of **A<sub>II</sub>** lack numbering in ink (contrary to the previous pages of **A<sub>II</sub>**). As there are no overlapping pages in **AP<sub>B2</sub>** and **AP<sub>exx</sub>**, it is possible that these sources were contemporaneous.

### 5.4. **AP<sub>B&H</sub>**

**AP<sub>B&H</sub>** consists of tissue proofs produced from pp. 1–8, 13–32, 37–59 of **A<sub>I</sub>**. This source contains 51 pages of tissue proofs printed on 13 bifolios (seven separate bifolios and two ternios; for the structure of this source, see Table 5-6). This source was submitted to Boosey & Hawkes in June 1939 to prepare the planned illustrations.<sup>12</sup>

There are several sources of evidence indicating that **AP<sub>B&H</sub>** was obtained by the New York Bartók Archive later than the *Mikrokosmos* manuscripts, as discussed in the previous chapter: **D**, **A<sub>I-II</sub>**, and **A<sub>B</sub>**. First, each page bears a boxed stamp 'BARTÓK ARCHIVE' instead of 'Estate Béla Bartók' (see Example 5-3). In addition, the formats of the classification stamps differ from each other ('59PFC1' and '59PFC3'). The same type of stamp is used in **EC** and **AP<sub>145</sub>**; this finding means that these sources were also obtained later.<sup>13</sup> Second, the original bifolios are not torn

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<sup>12</sup> The plan of illustrations was, however, unrealised for several reasons. For details, see *BBCCE/40*, 27–28\*.

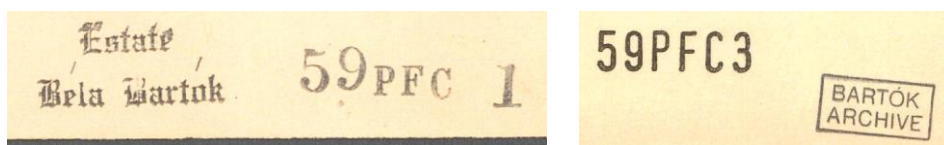
<sup>13</sup> Most pages of **E<sub>US1-B</sub>** also bear the same type of stamp, which might have been due to the fact that these pages were originally not stamped.

Table 5-6: Content of **AP<sub>B&H</sub>**

Bifolio	Folio	Page
	1	1
		2
	2	3
		4
	3	5
		6
	4	7
		8
	5	13
		14
	6	15
		16
	7	17
		18
	8	19
		20
	9	21
		22
	10	23
		24
	11	25
		26
	12	27
		28
	13	29
		30
	14	31
		32

Bifolio	Folio	Page
	15	37
		38
	16	39
		40
	17	41
		42
	18	43
		44
	19	45
		46
	20	47
		48
	21	[blank]
		49
	22	50
		51
	23	52
		53
	24	54
		55
	25	56
		57
	26	58
		59

apart into single folios, and no archival pagination is added. There is no documentary evidence concerning the date of acquisition; however, it should be later than the publication of the catalogue of the New York Bartók Archive in 1963, because it does not mention the existence of this source.



Example 5-3: Different stamps from PB, 59PFC1 and PB, 59PFC3

In general, **AP<sub>B&H</sub>** represents an intermediary stage of composition between **A<sub>I</sub>** and **EC**. Bartók introduced revisions into three sets of tissue proofs (**AP<sub>B1</sub>**, **AP<sub>B&H</sub>**, and **EC**), probably simultaneously; thus the earlier layer of these sets of tissue proofs might have coincided. As further additional revisions were introduced into **AP<sub>B1</sub>** and **EC** between June and November 1939, the final layer of **AP<sub>B&H</sub>** occasionally differs from these two sources. As discussed in the previous chapter, pp. 29 and 31 originally belonged to **AP<sub>B1</sub>**, and they were used in Bartók's concert performances.

## 5.5. EC

**EC** is a composite MS containing all the pieces and exercises, preserved with miscellaneous documents including typewritten sheets containing the text (Preface, Notes, and lyrics)<sup>14</sup> to be published in the first edition of *Mikrokosmos*. **EC** consists of the corrected tissue proof of the autograph fair copy (**A<sub>I-II</sub>**) and corrected copyist's copies of several pieces (Nos. 1–10, 13–17, 26–29, and 38–39 were copied from **A<sub>III</sub>** by Ditta Pásztory; Nos. 102 and 134/3 were copied from **A<sub>IV</sub>** by Jenő Deutsch).

**EC** essentially represents the final form of each piece; in some cases, however, Bartók introduced later revisions into the proofs of the first edition as well as his control copy, which consisted of various sources.<sup>15</sup> No proofs of the *Mikrokosmos*

<sup>14</sup> Preface in Hungarian and German, Notes and lyrics only in German.

<sup>15</sup> The control copy might have consisted of the following sources: **AP<sub>B1</sub>**, pp. 13–28 + **AP<sub>145</sub>**, pp. 29–32 + **AP<sub>B1</sub>**, pp. 33–59 + **A<sub>II</sub>**, pp. 60–66 + **AP<sub>B2</sub>**, pp. 67–68 + **A<sub>II</sub>**, pp. 69–71 + **AP<sub>exx</sub>**, pp. 72–74 + **A<sub>III</sub>** + **A<sub>147</sub>** + **A<sub>IV</sub>**. Except for the pieces included in the tissue proof of the first 12 pages of **A<sub>I</sub>** (29 pieces in total: Nos. 32–37, 46–48, 51, 53, 57–60, 62–63, 64a, 70–71, 78, 81, 84, 86–87, 90, 101, 105–106), this copy might have contained all the *Mikrokosmos* pieces and exercises.



volumes survive; thus, it is impossible to determine whether the discrepancies among **EC**, the control copy, and the first edition is intentional. The existence of the proofs is only documented in the correspondence between Bartók and his publisher.<sup>16</sup>

In addition to the published numbering of all the pieces in **EC**, most of the pieces in **EC** have one or more early numberings that reflect the early stages of the source.<sup>17</sup>

## 5.6. Recordings

There are three sets of recordings (Rec-B<sub>1</sub>, Rec-B<sub>2</sub>, and Rec-B<sub>3</sub>). Each of them was prepared in different circumstances; however, it is still possible to observe a lot of basic characteristics of Bartók's interpretation of the *Mikrokosmos* pieces. Their source value varies from case to case as some minor textual differences between the published score and the recording are generally due to the differences among the sources Bartók used in concerts (e.g., **AP<sub>B1</sub>**, **A<sub>147</sub>**) rather than a real revision of the text.

### 5.6.1. Rec-B<sub>1</sub>

This recording contains Nos. 124 and 146, and it was recorded in the Abbey Road Studios in London on 5 February 1937, then issued in 1938 as Part 14 of *The Columbia History of Music by Ear and Eye*, vol. V, ed. Percy Scholes (matrix number CA 16218). It is remarkable that No. 146 originally lacked octaves in **A<sub>I</sub>** and other tissue proofs; however, here, Bartók already plays the version with octaves. Considering that he did not use octaves in the draft except for Nos. 148 and 153, which were composed later in 1937, the version he performed might have been intended as a 'concert version'.

### 5.6.2. Rec-B<sub>2</sub>

This recording is a set of private recordings of live performances on Hungarian Radio, 13 January 1939, recorded by Sándor Makai for Sophie Török on X-ray foil. The recording contains Nos. 138, 109, and 148, all of which can also be found in **Rec-B<sub>3</sub>**.

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<sup>16</sup> For the record of the proofs, see *BBCCE*/41.

<sup>17</sup> For details regarding the numbering, see Appendix C.

### 5.6.3. Rec-B<sub>3</sub>

This recording contains 32 pieces recorded for Columbia in 1940 in the World Broadcasting Studios, New York, in a practical arrangement for 11 sides of 78 rpm discs. The content of each disc is as follows: (1) Nos. 113, 129, 131, 128; (2) Nos. 120, 109, 138; (3) Nos. 100, 142, 140; (4) Nos. 133, 149, 148; (5) Nos. 108, 150, 151; (6) Nos. 94, 152, 153; (7) Nos. 126, 116, 130, 139; (8) Nos. 143, 147; (9) No. 144; (10) Nos. 97, 118, 141; (11) Nos. 136, 125, 114.

It is remarkable that Bartók performed a significantly different version of No. 113 by the addition of octaves to each hand.<sup>18</sup> This version can be considered to be a realisation of his own note to the first edition:

The repetition can be played in this way:



etc.

with octaves throughout. In this case, the 'seconda volta' shall be played louder than the 'prima volta'. . . .

Other textual deviations can be considered minor. In the case of Nos. 142 and 153 where Bartók omits a bar from a repetitive passage (bars 47–48 in No. 142 and bars 69–74 in No. 153), it is because his performance was based on his own copy of tissue proofs (**AP<sub>B1</sub>**) rather than the recently published first edition. In the case of No. 147, he performed a slightly more difficult version of the piece based on the autograph manuscript (**A<sub>147</sub>**). In the case of No. 109, it is difficult to judge whether the different rhythm in bar 11 RH was intended to be a 'textual revision'. In the published version, the right and left hands play the last note at the end of the first section (*f*<sup>2</sup> and *a*) simultaneously (see Example 5-4); however, in the recording, the right hand continues the rhythm pattern from the second half of bar 10 (see Example 5-5). This latter reading seems to be more logical; however, it is possible that the irregular appearance of the autograph fair copy (**A<sub>1/3</sub>**) was responsible for it (see Example 5-6): due to revisions, the notes of the left hand are somewhat shifted rightward.

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<sup>18</sup> For the transcription, see Appendix to *BBCCE*/41.



Example 5-4: *Mikrokosmos* No. 109\*



Example 5-5: *Mikrokosmos* No. 109 (transcribed from **Rec-B<sub>3</sub>**)



Example 5-6: *Mikrokosmos* No. 109 (transcribed from **A<sub>13</sub>**)

## Part II Analysis and Interpretation

### 6. The Years Before 1932—The Preliminary Period of Composition

It is remarkable that Bartók himself regarded the compositional period of *Mikrokosmos* as being from 1926 to 1939: he instructed the publisher to correct the date of composition '(1940)', assigned to *Mikrokosmos*, to 'omit [it], or substitute (1926–1939) for it'.<sup>1</sup> The information provided by the composer himself and an examination of the manuscript sources suggest that the period of composition is essentially from 1932 to 1939. Only three pieces—a complete autograph of an early version of No. 81 'Wandering', a supposedly incomplete draft of No. 137 'Unison', and a sketch of No. 146 'Ostinato'—originated in 1926. This is one of the reasons why '1932–1939' appears as the date of composition in *BBCCE/40*. In this seven-year period, Bartók intensively worked on the pedagogical pieces and gradually developed the concept of how these pieces should form a systematically organised unit.

The fact that Bartók considered 1926 to be the beginning of the composition signals the importance he attached to these early pieces. For instance, Nos. 137 and 146 might have constituted a kind of rhapsody consisting of a slow and a fast movement sharing some motives.<sup>2</sup> In this chapter, this motivic relationship is first examined. Then, I examine several other unpublished sketches and drafts possibly related to his unrealised project of revising the *Piano Method* from 1913. If *Mikrokosmos* (at least part of it) was also related to the revision of the *Piano Method*,<sup>3</sup> it seems reasonable that Bartók included the period between 1926 and 1932 in the compositional period of *Mikrokosmos*. Even though none of the *Mikrokosmos* pieces were composed in this period, it is possible that these years helped him to prepare which direction he would take in the following years.<sup>4</sup>

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<sup>1</sup> This instruction can be found on a page titled 'List of all noticed errors in piano score of Viol. Concerto', which belongs to the corrected copy of the piano reduction for the Second Violin Concerto, PB, 76TVPFC2.

<sup>2</sup> I have only briefly mentioned this issue in a footnote to the Introduction in *BBCCE/40*.

<sup>3</sup> For the historical background, see *BBCCE/40*, 17–19\*, as well as *Lampert*.

<sup>4</sup> It is not discussed in the present dissertation but it should be emphasised that the composition of the *Forty-Four Duos* (BB 104, 1931–1932) also exercised a significant influence on the composition of the *Mikrokosmos* pieces (see Nakahara, 34–35 and 99–100). For philological research on the genesis of the *Forty-Four Duos*, see Itō, *Barutōku no minzoku ongaku henkyoku*, 121–201.

**Andante**

1 *mp* *p* *mp*

11 *p* *più p* *mp* *p* *più p* *mp*

23 *p* *più p* *pp* *mp* *poco rit.*

Example 6-1: *Mikrokosmos* No. 81, initial layer (diplomatic transcription from **A**<sub>81</sub>)

**Andante**

1 *mp* *p* *mp*

11 *p* *più p* *mp* *p* *più p* *mp*

23 *p* *p* *pp* *mp* *poco rit.*

Example 6-2: *Mikrokosmos* No. 81, final layer (diplomatic transcription from **A**<sub>81</sub>; writing in purple pencil is reproduced in small size)

## 6.1. Pieces from 1926—The ‘Tenth Number’ of the *Nine Little Piano Pieces* and the ‘First Number’ of *Mikrokosmos*

Bartók said the following in his 1940 interview concerning the relationship between the *Nine Little Piano Pieces* (BB 90, 1926) and *Mikrokosmos*:

One piece from the *Mikrokosmos* is as old as the *Nine Little Piano Pieces*, which were brought out in 1926. As a matter of fact, it was to have been the tenth number of the *Nine Little Piano Pieces*, but somehow it was left out.<sup>5</sup>

In fact, we can find not one but three pieces—Nos. 81, 137, and 146—among the manuscripts of the *Nine Little Piano Pieces* (see Table 6-1).<sup>6</sup> This fact does not necessarily contradict Bartók’s account because it was only No. 81 that seems to have already been finished in 1926. This 1926 version should not be considered a definitive version, as several accidentals were introduced not in ink but in pencil and purple pencil, reflecting their temporary status (see Examples 6-1 and 6-2). Nevertheless, similar to other pieces in fair copy, as the dynamics and fingering are already provided, it is likely that No. 81 is the ‘tenth number’ of the *Nine Little Piano Pieces*.<sup>7</sup> Its style as a kind of two-part invention bears similarity to the ‘Four Dialogues’, the first group of pieces in the *Nine Little Piano Pieces*. However, considering that *Mikrokosmos* No. 81 does not really fit with the range of difficulty that the other

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<sup>5</sup> Interview with Szentjóni in *Beszélgetések*, 204–208. The English translation is quoted from Vinton, 44.

<sup>6</sup> Similar to **D**, these autographs bear three different paginations (as the third type can only be found every second page, it should be a folio number); here, these paginations are included for a better orientation (see Nakahara, ‘Adalékok a papírszerkezet-kutatáshoz’). In this dissertation, however, I do not conduct a detailed examination of or establish the micro-chronology of the autographs of the *Nine Little Piano Pieces*, as the source situation is quite complex and warrants an independent study. In short, the problem is that the two manuscript groups of the *Nine Little Piano Pieces*, i.e., PB, 57PS1 and PB, 57PID1, originally constituted a single manuscript group, but it was divided into two, supposedly by the staff at NYBA. Incomplete but apparently continuous pencilled pagination and folio numbering underscore this assertion. Consequently, the order of pages was completely reshuffled; thus, it is impossible to establish the chronology without conducting a reconstruction of the paper structure, which is not the topic of the present dissertation.

<sup>7</sup> This is already pointed out by Vinton (see Vinton, 45–46). Suchoff argues that the ‘tenth piece’ is No. 137 (see, for instance, *Suchoff/dissertation*, 70–71); however, it seems that when he wrote the section, he had not identified the existence of other *Mikrokosmos* pieces (i.e., Nos. 81 and 146) yet. Concerning No. 81, see also László Vikárius, “‘Karóval jöttél, nem virággal’: A *horror quotidiani* Bartók művészetében” [‘No flowers but a spike’: The *horror quotidiani* in Bartók’s Art], in *Tanulmánykötet Ujfalussy József emlékére* [Essays in Memory of József Ujfalussy], ed. Melinda Berlász and Márta Grabócz (Budapest: L’Harmattan, 2013), 263–69.

pieces in the *Nine Little Piano Pieces* represent, it is understandable that Bartók put aside this later *Mikrokosmos* piece in 1926.<sup>8</sup>

Table 6-1: Content of the autograph sources of the *Nine Little Piano Pieces*\*

Source	Paginations		Folio numbering	Content
	Stamped	Pencilled		
PB, 57PS1	A	—	1	cover
	B	—	—	[blank]
	1	22	3	1
	2	23	—	<i>Mikrokosmos</i> No. 146
	3	20	—	9
	4 □	19	6	3, 5 (beginning)
	5	15	—	5 (conclusion), 7 (beginning)
	6	16	7	7 (continuation)
	7	17	—	7 (conclusion), 4
	8 □	18	9	6
	9 □	24	2	7 (sketch), 2 (beginning)
	10**	25	—	2 (conclusion), <i>Mikrokosmos</i> No. 137
PB, 57PID1	1	1	—	1, 9 (beginning)
	2	2	13	9 (continuation)
	—***	21	—	9 (discarded continuation from p. 2, in pencil)
	3	3	14	9 (continuation from p. 2)
	4	4	—	9 (conclusion)
	5	5	11	7 (beginning)
	6	6	—	7 (conclusion), 3 (beginning)
	7	7	15	3 (conclusion), 2 (beginning)
	8	8	—	2 (conclusion), 4 (beginning)
	9 □	9	12	4 (conclusion)
	10 □	10	10	6
	11	11	—	5
	12** □	12	8	<i>Mikrokosmos</i> no 81; 8 (beginning)
	13	13	—	8 (conclusion)

\* The type of music paper is 16-stave Eberle & Co. music paper (No. 4, 16 linig), except for the cover page (22-stave music paper without trademark).

\*\* The pages also bear the stamp '59PS1'

\*\*\* The page also bears the stamp '57PS1'

<sup>8</sup> There could be another reason why Bartók did not include No. 81 into the *Nine Little Piano Pieces*: the first part of the *Nine Little Piano Pieces* ('Four Dialogues') might have been designed to refer to J. S. Bach's *Four Duettos* BWV 802–805. Consequently, there would have been no room for the fifth piece.



1 2 3 4 5 6 7 8 9 10 11

12 13 14 15 16 17 18 19 20 21

22 23 24 25 26 27 28 29 30 31 32

33 34 35 36 37 38 39 40 41

42 43 44 45 46 47 48 49 50 51 52 53

54 55 56 57 58 59 60 61 62 63 64

65 66 67 68

[orig.: x]

Example 6-3: *Mikrokosmos* No. 146, sketch (diplomatic transcription from **S**<sub>146</sub>)

1 2-3 4 5-6 7 8-9 10-12

13 16 16+1 +2 +3 +4 +5 +6

17-19 20 23 24

Example 6-4: *Mikrokosmos* No. 137, initial layer (diplomatic transcription from **D**<sub>137</sub>)

1 7 8-9 10-12

13

17-19 20

28

vi -

Example 6-5: *Mikrokosmos* No. 137, final layer (diplomatic transcription from **D**<sub>137</sub>)

On the other hand, it is obvious that the other two pieces were still incomplete at that time. No. 146 is nothing but a sketch, as it essentially contains only the right hand without the left hand throughout the notation (see Example 6-3).<sup>9</sup> The final layer of No. 137 in the autographs of the *Nine Little Piano Pieces* can be considered a continuity draft developed from a sketch (see Examples 6-4 and 6-5). Even though the final layer of No. 137 contains all the essential notes and Bartók must have been able to prepare the fair copy from it, this version had not yet achieved the status to be considered the ‘tenth number’ of the *Nine Little Piano Pieces*.<sup>10</sup>

However, when Nos. 81 and 137 reached their final form cannot be securely established. Regarding No. 146, it is likely that this piece was completed in 1933, as its later draft can be found in **D**<sub>1933</sub>, the 1933 layer of the *Mikrokosmos* draft, and the fair copy of No. 146 can also be found in the 1933 layer of the fair copy. The crucial point is that while **A**<sub>I/1</sub> is basically written in the progressive order of difficulty, the order is broken before No. 146. Consequently, when he prepared the fair copy of No. 146, it was impossible to rearrange the order of pages. This fact suggests that No. 146 was completed later than most of the other pieces from 1933.<sup>11</sup>

Judging from the fact that Nos. 81, 137, and 146 can be found in the manuscripts of the *Nine Little Piano Pieces*, it seems likely that these pieces were revised together. However, no hard evidence is available in the case of Nos. 81 and 137.<sup>12</sup> The autograph of both pieces contains several layers of revision, each entered in different utensils. For instance, the autograph of No. 81 (which already contained all the performance instructions) is written in ink, and a pen with medium width was used. Subsequently, it was revised in pencil and purple pencil. As the shade of pencil is similar to what Bartók also used on another page of the same manuscript group (PB, 57PID1, p. 10), it is possible that this layer still belongs to 1926. On the other hand, entries in purple pencil can be observed in the autographs of 1932 and 1933, which

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<sup>9</sup> For the facsimile of this page, see *Somfai*, 51.

<sup>10</sup> For the layered transcription of No. 137, see András Wilhelm, ‘Skizzen zu “Mikrokosmos” Nr. 135 [sic] und Nr. 57’, in *Documenta Bartókiana*, Vol. 6, 235–246.

<sup>11</sup> Concerning the chronological layers in **A**<sub>I/1</sub>, see also Subchapter 4.2.2. In fact, **A**<sub>I/1</sub> itself might have been prepared on several different occasions; nevertheless, it is most likely that No. 146 was prepared considerably later than most of **A**<sub>I/1</sub>.

<sup>12</sup> For instance, Vinton considers No. 81 to have been finished in 1926 and No. 137 as having been finalised in 1933. See *Vinton*, 55.

suggests that the completion of the piece occurred in 1932–1933.<sup>13</sup> No. 137 is written in different kinds of pens. The initial layer seems to have been written in a pen with narrow width; apparently, this pen was used to draft other pieces in the *Nine Little Piano Pieces*. The subsequent layers appear to have been written in a pen with broader width but probably not identical to that used in the original layer of No. 81. Considering that the fair copy of No. 81 on transparent tissue might have been prepared around 1930 (see Subsection 4.2.2.1.), it is possible that he composed several easy pieces at the end of the 1920s in relation to his project to revise the *Zongoraiskola* or to compile a new method. If this is the case, the years of composition ‘1926–1939’—as provided by Bartók—should be considered appropriate and authentic.

## 6.2. Nos. 137 and 146—Another Set of ‘Preludio—All’ungherese’?

Even though Nos. 137 and 146 acquired their final shape around 1933 independent of each other, it seems that these pieces were originally conceived as a pair of character pieces. Although there is no direct evidence, it is suggestive that whenever he performed these pieces, he almost always chose to play them in this order as an inseparable unit.<sup>14</sup>

The combination of slow and fast pieces (or sections) sharing some similar thematic materials may remind us of some other piano pieces by Bartók: No. 9 ‘Preludio—All’ungherese’ from the *Nine Little Piano Pieces*, as well as Nos. 91 and 92 from *Mikrokosmos*, a set of two ‘Chromatic Inventions’. Beyond the combination of fast and slow music, there could have been several different genre implications or cultural traditions. For instance, No. 9 of the *Nine Little Piano Pieces*—as its title implies—should be understood as a kind of ‘Hungarian Rhapsody’ consisting of a slow and a fast section and in a sort of variation form. The brilliant, virtuosic texture can be associated with Franz Liszt’s *Hungarian Rhapsodies*. Being part of a series of ‘little piano pieces’, the technical requirement is much lower than that of Liszt’s piece.

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<sup>13</sup> Regarding Bartók’s use of different writing instruments, it is probably necessary to conduct systematic research to catalogue when a particular instrument was used for what purpose, including Bartók’s transcription of folk music. For instance, some coloured pencils are also used in the MS master sheets of Bartók’s collection of Romanian instrumental folk music (GV, BH I/187).

<sup>14</sup> For Bartók’s documented concert programmes, see *BBCCE*/40, 32\*.

However, the exploitation of a wide register of the piano and the consistent application of multi-part writing almost require the music to be written in three staves.<sup>15</sup> On the other hand, the set of ‘Chromatic Inventions’ may be modelled after the ‘Prelude and Fugue’ pair of movements from the Baroque period. In this case, however, ‘Prelude and Toccata’ seems to be a more appropriate characterisation of the set of the pieces. The supposed pair of Nos. 137 and 146 can be considered a mixture of these genres and traditions.

First, we shall examine the similarity between Nos. 137 and 146 of *Mikrokosmos* and No. 9 of the *Nine Little Piano Pieces*, the pieces composed largely at the same time. If possible, it would be helpful to establish which pieces were written first, as this fact essentially affects our interpretation. If the *Mikrokosmos* pieces precede the ‘Preludio—All’ungherese’, then they could be considered a ‘failed’ attempt; the music was temporarily put aside at that time, but the very concept was re-used in another piece. If the *Mikrokosmos* pieces follow the ‘Preludio—All’ungherese’, then they would be an alternative approach to the concept he was trying at that time. However, even without precisely knowing which pieces were written first, it seems possible to discuss the compositional concept shared by the *Mikrokosmos* pieces and the ‘Preludio—All’ungherese’.



Example 6-6: *Nine Little Piano Pieces* No. 9

<sup>15</sup> In the published score of the *Nine Little Piano Pieces*, only the conclusion of No. 2 is written in three staves (with an *ossia* variant). It is interesting that while both the published version and the autograph of No. 9 are written in two staves from the beginning to the end, the autograph (PB, 57PID1, pp. 3–4) also contains a simplified *ossia* version. This fact signals the difficulty of the piece; Bartók originally thought that a simplified version was necessary for the intended players.

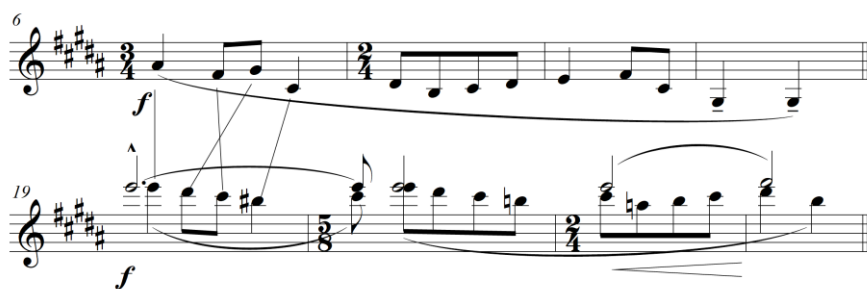


Example 6-7: *Nine Little Piano Pieces* No. 9

As mentioned above, the ‘Preludio—All’ungherese’ consists of two parts, the slow introduction and the fast main part (see Examples 6-6 and 6-7). The two parts may correspond to Nos. 137 and 146, respectively. The slow ‘Preludio’ part introduces the main theme of the ‘All’ungherese’. In the ‘Preludio’, the theme is slightly modified, and the characteristic ‘Hungarian’ dotted rhythm (♩.) is altogether missing. Here, only the beginning of the theme is repeatedly demonstrated, but contrapuntal variation and modulation keep the music vivid and interesting.

The middle, contrasting section (bars 19–34) may deserve some explanation. The descending scale at the beginning of this section does not seem to be directly related to the main theme, as none of the four lines of the main theme in the ‘All’ungherese’ section begins with a descending scale. This scale can still be connected to the main theme in several ways. The simplest explanation would be that the order of the notes in the main theme is exchanged (see Example 6-8).<sup>16</sup> From an analytic perspective, this middle section could also be important because, here, some elements of other pieces in the *Nine Little Piano Pieces* can be observed, as if Bartók tried to summarise the series with the ‘Preludio—All’ungherese’, for instance, imitation with a sustained note (bars 24ff.; cf. bars 17ff. in No. 2 ‘Four Dialogues’, where the melodic part largely moves in contrary motion) and the written-out concluding figure of the phrase (bar 33; cf. bars 7–8 in No. 3 ‘Four Dialogues’).

<sup>16</sup> A similar phenomenon can be found in bars 14–19 of the ‘Scherzo alla bulgarese’, where the order of notes in the main motif is slightly exchanged.



Example 6-8: *Nine Little Piano Pieces* No. 9, comparison of the phrases in bars 6ff. and bars 19ff.

Moderato, ♩ = 108

Example 6-9: *Mikrokosmos* No. 137\*

Example 6-10: *Mikrokosmos* No. 137\*



The elements of the other pieces, however, recur not only in the following section—such as the canons in various rhythmic distances in bars 35ff.<sup>17</sup>; cf. No. 1 ‘Four Dialogues’, where, however, the combination of the same theme always applies the same distance—but also in the ‘All’ungherese’ section. For instance, the tambourine effect in the accompaniment figure would be the most unmistakable reference to another piece within the series (bars 29ff.; cf. No. 8 ‘Tambourine’ but also No. 6 ‘Air’). The recurrence of elements could be explained by the fact that Bartók composed all these pieces in 1926; thus, they naturally belonged to Bartók’s musical languages of 1926. However, what is important here is not the direct references but the fact that he uses a wide range of musical elements within a single piece.<sup>18</sup> The concept might be similar to that of the third movement of the Piano Sonata (1926), where the different vocal or instrumental performance styles of folk tunes appear one after another.<sup>19</sup> While an imaginary village scene is evoked in the Piano Sonata, in the ‘Preludio—All’ungherese’, Bartók shows an imaginary parade of elements of his musical language.

Remarkably, No. 137 and the ‘Preludio’ share some common structural concepts. The dominating concept would be ‘the interrupted theme’ (see Example 6-9). In No. 137, the theme in the higher register (bars 1–2, 4–5, etc.) is interrupted by what can be called a ‘countertheme’—or, rather, a ‘countermotif’ due to its brevity—in the lower register (bars 3, 6, etc.). In the ‘Preludio’, the theme is much longer and more self-contained (bars 6–13, etc.), but it is still interrupted by the series of accompaniment figures, also in the lower register (bars 14–18, etc.). In both cases, the ‘interrupting’ material takes over the music: in No. 137, the concluding section solely consists of countermotives (bars 50–64; see Example 6-10), and in the ‘Preludio’, the section leading to the ‘All’ungherese’ is filled with a contrapuntal development of the accompaniment figures (bars 44–51). The fact that some *Mikrokosmos* pieces also feature this very idea of interruption deserves attention: Nos. 83 ‘Melody with Interruption’ and 107 ‘Melody in the Mist’. It is remarkable that both were composed

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<sup>17</sup> The application of different canons in a single composition might have been one of Bartók’s favourite compositional techniques: similar canons can be found, for instance, in *Forty-Four Duos* No. 37 (see Nakahara, ‘A zenei rend diadala?’) and *Mikrokosmos* No. 57 ‘Accents’. In the context of the *Nine Little Piano Pieces*, the application of such canon can be related to J. S. Bach’s *Four Duetti* No. 2. In the middle section of the *Duetto*, the theme of the main fugal section appears in stretto canons (at a distance of a crotchet).

<sup>18</sup> See also the discussion of No. 148 in Chapter 12.

<sup>19</sup> See Somfai, ‘The influence of Peasant Music’.

in 1939; thus, Bartók composed these pieces to fill the gap in the content of *Mikrokosmos*—and one of their expected functions could be technical and musical preparation for No. 137.

The use of unison, heterophony, or polyphony and the application of a wide register can also be considered common features of No. 137 and the ‘Preludio’; however, there are considerable differences in detail. In No. 137, a much wider register is exploited in a rather extreme manner—in bars 39ff., the distance between both hands is four octaves—but in the ‘Preludio’, the distance remains one or two octaves. In No. 137, both hands almost always move in strict unison, and deviation can rarely be observed. In the theme, a non-unison texture (i.e., heterophony) appears only in the second half of the piece from bars 40. On the other hand, the ‘Preludio’ enjoys much wider ranges of a contrapuntal combination of the right and left hands, and the use of unison is limited to the beginning of the first and second appearances of the thematic material (bars 6–9 and 19–22). The texture in bars 10–13 can be considered heterophonic, but in all other places, the right and left hands are in free canon form (bars 23–28 and 35–44).

It should be mentioned, however, that in the original layer of No. 137, the music was more sparsely notated (see Example 6-4). As seen in the transcription, the piece is written as an alternation of the right and left hands, at least at the beginning (bars 1–16). Contrapuntal elements are first introduced in the section missing from the final version (bars 16<sup>+1-6</sup>), where the right and left hands first move in contrary motion in different note values (bars 16<sup>+1-2</sup>) and then in a canon (bars 16<sup>+3-6</sup>). After that, the music continues in a way similar to that in the previous section, with an alteration of the right and left hands (bars 17–24). The fact that the right and left hands are not always filled out does not necessarily mean that Bartók intended to write some accompaniment or contrapuntal materials later. Conversely, it is likely that he left some bars blank because it was obvious to him what kind of music he was going to write.<sup>20</sup> In this case, unison or heterophony seems to be the most likely option.

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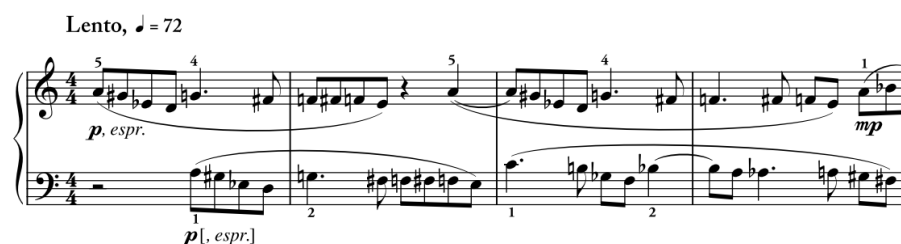
<sup>20</sup> See, for instance, the case of Nos. 108 ‘Wrestling’ and 122 ‘Chords Together and Opposed’. In the draft of No. 108, Bartók altogether omitted the left hand which is the exact octave transposition of the right hand; in the draft of No. 122, he generally omitted the fifth chords that are repeatedly played (concerning No. 122, see also Chapter 8),

The function of the ‘Preludio’ is obviously to provide an introduction to the following ‘All’ungherese’. Thus, we shall examine whether such a relationship can also be observed between Nos. 137 and 146. The thematic relationship between these two pieces is obviously weaker than that between the ‘Preludio’ and the ‘All’ungherese’, as Nos. 137 and 146 do not share the same musical material. Nevertheless, the beginning of each piece is related to each other: both of them have a similar rhythmic pattern, and one of them can be considered an inverted version of the other (see Example 6-11). The fact that the theme of the ‘All’ungherese’ can also be related to these *Mikrokosmos* pieces deserves attention—the contour of the theme of the ‘All’ungherese’ resembles that of No. 137, and through No. 137, No. 146 can also be connected to the ‘All’ungherese’. This similarity signals that either No. 137 or No. 146 could have been designed to be paired with *Nine Little Piano Pieces* No. 9.

The image displays three staves of musical notation. The top staff is labeled 'No. 137' and is in 2/4 time, showing a melodic line starting with a quarter note followed by an eighth note. The middle staff is labeled 'No. 146' and is also in 2/4 time, showing a similar rhythmic pattern with a quarter note and an eighth note. The bottom staff is labeled 'Nine Little Piano Pieces no. 9' and is in 4/4 time, showing a different rhythmic pattern with a quarter note and an eighth note. The notation is in treble clef and includes various accidentals (sharps, flats, naturals) and ties.

Example 6-11: A comparison of the beginning of the theme of *Mikrokosmos* Nos. 137 and 146 and *Nine Little Piano Pieces* No. 9

The apparently weak relationship between Nos. 137 and 146 can be considered less problematic in the context of *Mikrokosmos*: two chromatic inventions (Nos. 91–92) are unambiguously related to each other by the fact that the theme of No. 92 is an inversion of that of No. 91 (see Examples 6-12 and 6-13). In fact, the theme of No. 91 ( $a^1-g^{\sharp 1}-e^{\flat 1}-d^1-g^{\natural 1}-f^{\sharp 1}-f^{\natural 1}$ ) appears in a transposed position in No. 92, bars 1–2 ( $b^1-a^{\sharp 1}-f^{\sharp 1}-e^1-a^{\natural 1}-g^{\sharp 1}-g^{\natural 1}$ ) and in inverted form in bars 20–21 in the right hand ( $E-F-A^{\sharp}-B-F^{\sharp}-G-G^{\sharp}$ ). The most important factor in which pieces constitute a pair is that the related musical materials appear at the beginning of the piece, rather than in the middle of the piece.



Example 6-12: *Mikrokosmos* No. 91\*



Example 6-13: *Mikrokosmos* No. 92\*



Example 6-14: *Mikrokosmos* No. 146, excerpt from the sketch (transcribed from *S*<sub>146</sub>)

The relationship between Nos. 91 and 92 may serve as a key to better understanding the conceptual difference between the pair of *Mikrokosmos* pieces (Nos. 137 and 146) and the combination of the ‘Preludio—All’ungherese’. In No. 92, after the demonstration of the theme borrowed from No. 91, the music develops quite freely, without really referring back to the theme shown at the beginning of the piece. On the other hand, the ‘All’ungherese’ is a kind of theme and variations—precisely, however, as there is only one variation, it may be called ‘a theme and a variation’—everything is related to the theme. No. 146 can be placed somewhere between *Mikrokosmos* No. 92 and the ‘All’ungherese’ in the following aspects. Similar to No. 92, the music is almost freely spun forth from the initial theme, but its new themes are related to each other by similar rhythmic patterns (see Example 6-14). The relationships between the new themes, however, are less strict than those in the ‘All’ungherese’.

From this perspective, it is possible to assume why Nos. 137 and 146 were left incomplete in 1926, while Bartók completed the ‘Preludio—All’ungherese’. The problem essentially lies in No. 146, which was put aside as a preliminary sketch. It should have been more difficult to compose a piece in a ‘freer form’ (i.e., No. 146) than that in the form of a theme and a variation (i.e., ‘All’ungherese’). He must have intended to compose a free but still coherent piece; however, it seems that he put aside the sketch of No. 146 in 1926 for unknown reasons—possibly due to a lack of time, as he composed several important works in 1926, especially the First Piano Concerto (BB 91, 1926), whose composition and preparation for the first performance (he performed as the soloist) required much time.

As discussed in the following section, there are several unpublished but essentially finished easy piano pieces from around 1927–1928 that could have been part of the *Mikrokosmos*, considering its range of difficulty. However, Bartók did not use these pieces but worked out the sketch of No. 146, which at that time contained only fragmentary ideas. It is possible that the composition of No. 146 was a great challenge to the composer.

It would be possible to assume what the difficulty Bartók faced in 1926 was based on a comparison of the sketch with the final version. The sketch already contains almost all the materials used in the final form, but an episode is completely missing (see Example 6-15). This episode itself is a good example of how the music is spun forth from a phrase: the first half (bars 62–67) is immediately repeated in a freely inverted form (bars 68ff.).

The musical score for Example 6-15, Mikrokosmos No. 146, is presented in two systems. The first system, starting at bar 62, contains six measures. It begins with a piano (p) dynamic and a 'leggero' tempo marking. The melody in the right hand features a triplet of eighth notes, followed by a series of eighth and sixteenth notes. The left hand provides a steady accompaniment of eighth notes. The second system, starting at bar 69, contains six measures. It continues the melodic and rhythmic patterns, with a crescendo marking appearing in the final measures. The score includes various musical notations such as slurs, accents, and dynamic markings.

Example 6-15: *Mikrokosmos* No. 146\*

This episode may serve as a link between two sections in the sketch (bars. 36–41 and 42ff., each corresponding to bars 32–61 and 81ff. of the final version; see Examples 6-16 and 6-17). It is possible to relate the paired quavers connected by a slur (bars 62–63) and an ascending and then descending scale figure in semiquavers (bars 64–65) to the materials in the preceding section (cf. bars 32ff.; here, the scale moves in quavers and in contrary motion). On the other hand, the scales in semiquavers in the following section (bars 81ff.) can be better related to the new episode (bars 62–80) than the previous section (bars 32–61). Without this episode, it would have been impossible to integrate the piece into a unity.



Example 6-16: *Mikrokosmos* No. 146\*



Example 6-17: *Mikrokosmos* No. 146\*

The co-existence of musical integrity (through common motifs) and diversity (through materials that are freely spun forth) in a single piece is a significant feature in some of the *Mikrokosmos* pieces. Even if No. 146 was not the first piece Bartók composed with such a musical concept, the fact that he composed some of the *Mikrokosmos* pieces by using the same technique deserves attention: among others, No. 102 ‘Harmonics’, which also has freely spun-out musical materials, but the piece as a whole is integrated not only through the use of overtones but also through (arpeggiated) triads. If Bartók consciously developed this compositional technique in relation to the composition of No. 146 in 1926 and 1933, this may give another

explanation as to why he considered the year 1926 to be the beginning of the composition of *Mikrokosmos*.

### 6.3. Unpublished Piece from 1927—An Abandoned Contrapuntal Experiment

The hypothesis that Bartók was continuously planning a new piano method between 1926 and 1932 can be underlined by three unpublished pieces from the late 1920s. These pieces can be considered either a continuation of the *Nine Little Piano Pieces* or preliminary studies for *Mikrokosmos*.<sup>21</sup> In the following part, we shall briefly examine all these pieces.

The first fragment is a 30-bar-long unfinished draft, probably intended to be an easy piano piece (see Example 6-18).<sup>22</sup> This draft can be found in the autograph draft of the Third String Quartet (BB 93, 1927; PB, 60FSS1, p. 17). This draft is notated on a page that also contains an abandoned draft of the string quartet (notated upside down). According to László Somfai, the piano piece was written in summer 1927, when Bartók worked on the string quartet.<sup>23</sup> However, as the draft of the string quartet is continued from p. 9, it is likely that the piano piece was drafted later than the string quartet. It is probable that when Bartók became stuck in a composition, he jotted down new musical ideas to change his mood, similar to the composition of the ‘popped out’ piece in 1939.<sup>24</sup>

This piece appears to be in a vein similar to that of ‘Four Dialogues’, Nos. 1–4 of the *Nine Little Piano Pieces* (BB 90, 1926), as well as the 1926 version of No. 81 ‘Wandering’ from *Mikrokosmos*: a kind of two-part invention in free counterpoint, with some chromatic inflections (especially in bars 19–22). A sequence of crawling chromatic motives may remind us of bars 29ff. of No. 1 of the *Nine Little Piano*

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<sup>21</sup> See, for instance, Somfai’s evaluation of the piece: ‘The two-part fragment [= Unpublished Piece from 1927] . . . is stylistically related to the “Four Dialogues” (*Nine Little Piano Pieces* Nos. 1–4, 1926) as well as some *Mikrokosmos* pieces (written from 1932 on) . . .’ (Somfai, 91).

<sup>22</sup> For an early diplomatic transcription by Somfai, see Somfai, 91.

<sup>23</sup> See Somfai, 91. There the dating is ‘summer 1928’, which seems to be an error, based on the fact that the date of completion of the Third String Quartet is 1927.

<sup>24</sup> Concerning the ‘popped out’ piece, see Yusuke Nakahara, “‘Egy mikrokosmosz darabcskát szottyantottam ki’: a *Mikrokosmos* néhány utolsó darabja Svájcból” [‘Suddenly a Little *Mikrokosmos* Piece Popped Out’: Some Late *Mikrokosmos* Pieces Composed in Switzerland] (forthcoming).

The image displays a musical score for an unpublished piano piece, consisting of three systems of staves. The first system contains measures 1 through 11, the second system contains measures 12 through 21, and the third system contains measures 22 through 30. The music is written in 3/4 time, with a key signature of one sharp (F#). The notation includes various musical symbols such as notes, rests, accidentals, and dynamic markings. A double bar line is present at the end of measure 10, indicating a section break. The score is a diplomatic transcription from a manuscript in D-add<sub>1</sub>.

Example 6-18: An unpublished piano piece (diplomatic transcription from **D-add<sub>1</sub>**)



*Pieces* (see Example 6-19). Interestingly, both sections aim to arrive at *B*, regardless of its function within the piece (in the unfinished draft, *B* is the tonic, whereas in No. 1 of the *Nine Little Piano Pieces*, *B* is the dominant).



Example 6-19: *Nine Little Piano Pieces* No. 1

Example 6-20: Second Piano Concerto, third movement

The fundamental difference is that the unfinished piece applies the augmentation of rhythmic value, which Bartók did not use in the 1926 pieces mentioned above. In fact, he usually did not apply it in a contrapuntal section. One of a few exceptions could be the concluding section of the Finale of the Second Piano Concerto (BB 101, 1930–1931), where a piano theme (which is, in fact, the recapitulation of the opening trumpet theme of the first movement in an augmented form) is accompanied by the same theme inverted in diminished form (see Example 6-20). In a certain sense, this unfinished draft can be considered a supplement to the *Nine Little Piano Pieces*, as it is an experiment with a contrapuntal technique that he did not use in the 1926 series.<sup>25</sup>

<sup>25</sup> It can be said that Bartók preferred ‘vertical’ augmentation (and diminution), for instance, the change of intervals from a chromatic scale to a diatonic scale. The best example is

The reason Bartók abandoned this draft could be that he failed to realise the original concept, i.e., the canon in augmentation. The model was probably *Contrapunctus XV* in Bach's *The Art of Fugue*, which is indeed a two-part canon with much chromatic inflection. The problem can be understood by conducting a brief analysis of *Contrapunctus XV*: while Bach effectively used shorter note values such as semiquavers, Bartók did not; his reason was most likely pedagogical in nature—this seems to be a minimal difference, but it would have become difficult to create a varied musical surface by using a less rhythmic variety. In addition, composing in a freer tonality might have required much concentration from the composer, but the compositional restriction posed by the canon-writing did not help create a better construction. Instead, Bartók had to frequently manipulate note values (see, for instance, bars 8ff. in the left hand, where the rhythm of the descending scale was changed several times and even the barline was modified). As a result, this piece began as a canon in augmentation, but the texture soon became a free canon. Apparently, Bartók soon lost interest in this canon, and he never took it up again in 1933, when he further developed similarly unfinished drafts or sketches from 1926. Nevertheless, his interest in strict counterpoint can still be observed in the forthcoming pedagogical compositions, such as No. 37 'Prelude and Canon' from the *Forty-Four Duos* or No. 57 'Accents' from *Mikrokosmos*.<sup>26</sup>

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probably the expansion of the chromatic theme of the first movement of the *Music for Strings, Percussion and Celesta* (BB 114, 1936) into a theme in a diatonic (or so-called 'acoustic') scale in the last movement (concerning the application of the technique in the *Mikrokosmos* pieces and their possible relationship to Bartók's other compositions, see Chapter 11). Bartók applied a similar technique in No. 5 'Menuetto' of the *Nine Little Piano Pieces*, where a theme appears in chromatic and diatonic form as well (though there is no strict correspondence between them).

<sup>26</sup> Concerning *Forty-Four Duos* No. 37, see Nakahara, 'A zenei rend diadala?' In *Mikrokosmos* No. 57, daring contrapuntal technique is used, similar to the *Duo* piece: for instance, the main theme is in octave canon at a two-crotchet distance (bars 1–6), then at a three-crotchet distance (bars 7–12); in the second half of the piece, the theme is inverted, and first in octave canon at a two-crotchet distance (bars 21–26), then at a four-crotchet distance (bars 35ff.)

The image displays a musical score for a piano piece, consisting of four systems of staves. Each system contains two staves (treble and bass clef). The music is written in 4/4 time and features a key signature of one flat (B-flat). The score is numbered 1 through 33, with measures 1-10 on the first system, 11-18 on the second, 19-26 on the third, and 27-33 on the fourth. The notation includes various note values (quarter, eighth, and sixteenth notes), rests, and slurs. A double bar line is present at the end of measure 33, indicating the end of the piece. The score is a diplomatic transcription of an unpublished work.

Example 6-21: An unpublished piano piece (diplomatic transcription from **D-add<sub>2</sub>**)

## 6.4. Unpublished Pieces from Around 1928

The second and third drafts are unpublished pieces notated on one side of a sheet of 24-stave Eberle music paper.<sup>27</sup> In contrast to the previous piece, the paper contains nothing related to another composition; thus, no hard evidence is available for precise dating.<sup>28</sup> On the basis of the paper type that Bartók also used for the first autograph draft of the Rhapsody for Violin and Piano No. 2 (BB 96, 1928), these pieces were probably from around 1928. In the following, each draft is briefly examined, and their relationship to the *Mikrokosmos* pieces is discussed.

### 6.4.1. The First Piece

The first piece is a complete piece in strict two-part writing (see Example 6-21). According to László Somfai, it is a folk song arrangement.<sup>29</sup> Even though no original folk song has been identified, several characteristics make it convincing that this is indeed a folk song arrangement (or at least composed in that style).

From a structural perspective, the same theme appears three times: the first and the third appearances start on *G* and the second appearance on *F*. A short introduction and a postlude, very roughly related to the theme, frame the main part of the ‘arrangement’. This structure reminds us of one of the archetypes of folk song arrangements that Bartók mentioned in 1931: ‘accompaniment, introductory and concluding phrases are of secondary importance, and they only serve as an ornamental setting for the precious stone: the peasant melody.’<sup>30</sup>

The formal characteristics of the theme also suggest its kinship to a folk song. The theme can be divided into four phrases, and the first half is a perfect fifth higher than the second half. This is one of the most important characteristics of Hungarian folk music belonging to the ‘Old Style’.<sup>31</sup> Although the number of notes (or supposed syllables) is not identical (8–8–10–10), exactly the same rhythmic scheme can be

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<sup>27</sup> See Somfai, 91. The facsimile of the page containing these unpublished pieces is reproduced in László Somfai, *Bartók's Workshop. Sketches, Manuscripts, Versions: The Compositional Process*, Exhibition of the Budapest Bartók Archives (Budapest: Bartók Archives, 1987), 34.

<sup>28</sup> Based on Somfai's chronological survey of types of music paper (Somfai, 97), this type of music paper is used in the compositions from 1926, 1928–1931, and 1933.

<sup>29</sup> Somfai, 91.

<sup>30</sup> *Essays*, 341.

<sup>31</sup> Béla Bartók, *The Hungarian Folk Song*, trans. by M. D. Calvocoressi (London: Oxford University Press, 1931), 21.

found in a particular type of Hungarian folk song.<sup>32</sup> As this type of folk song had been published in several early publications on Hungarian folk music, Bartók certainly knew it in 1928. However, considering the different tonality—while the published Hungarian folk song is in the major key, the theme in Bartók’s draft is in the Dorian—there could have been a different model.

Più mosso. (♩ = 92–96)

The musical score is written for a string quartet and is in Dorian mode. It consists of two systems, each with four staves. The first system begins with a tempo marking 'Più mosso. (♩ = 92–96)'. The first staff of the first system has a melodic line starting with a half rest, followed by eighth notes. The second staff has a sustained harmonic accompaniment marked 'pp con sord.'. The third staff has a melodic line marked 'p'. The fourth staff has a sustained harmonic accompaniment marked 'pp'. The second system continues the melodic and harmonic themes.

Example 6-22: Zoltán Kodály, Second String Quartet (1916–1918), *Finale*

<sup>32</sup> For instance, the folk song ‘Nem jó erdő mellett lakni’ can be found among the *Bartók System* (see ‘Nem jó erdő mellett lakni’, Bartók System, Institute for Musicology of the Hungarian Academy of Sciences, <http://systems.zti.hu/br/en/search/11076>). Bartók copied this folk song from an early publication of the collection of children’s songs: Áron Kiss, *Magyar Gyermejjáték-gyűjtemény* [Collection of Children’s Play in Hungary] (Budapest, Hornyánszky Viktor Könyvkereskedése: 1891), 179, No. 6.

Con duolo, ♩ = 79

*p*

Soprani Csak azt mondd meg, ró-zsám, Mely-lyik ú-ton mégy el, Fel-szán - ta - tom

Alti Csak azt mondd meg, ró-zsám, Mely-lyik ú-ton mégy el, Fel-szán - ta - tom

9

én azt A - ra - nyos e - ké - vel, Be is ve - tem én azt Sze - men sze - dett

én azt A - ra - nyos e - ké - vel, Be is ve - tem én azt Sze - men sze - dett

Example 6-23: *Twenty-Seven Two- and Three-Part Choruses* No. 2 ‘Don’t Leave Me!’\*

A supposed model is a folk song-like theme in the Finale of the Second String Quartet by Zoltán Kodály (see Example 6-22).<sup>33</sup> Although the number of notes does not perfectly match (8–6–10–10) and the tonality is not identical, the rhythmic scheme and the melodic contour bear a certain similarity to Bartók’s theme. It cannot be ruled out that both Kodály and Bartók refer to an as yet unidentified folk song. Nevertheless, it is possible that Kodály’s theme continued bearing some importance for Bartók: ‘Don’t Leave Me!’ from his *Twenty-Seven Two- and Three-Part Choruses* (BB 111a, 1935; see Example 6-23)—a series of *a cappella* choral pieces for children inspired by Kodály<sup>34</sup>—might have been considered another reference to Kodály, and in this case, the relationship would be much stronger.

On the other hand, this unpublished piece can be related to one of the *Mikrokosmos* pieces, No. 116 ‘Melody’, which can be considered a totally recomposed version of the unpublished piece (see Example 6-24). The formal scheme of No. 116 essentially follows that of the unpublished piece: the introduction (bars 1–7)—the first appearance of the theme in the right hand (bars 8–15)—the second appearance of the theme in the left hand (bars 16–23)—a short interlude derived from

<sup>33</sup> According to Kecskeméti, this theme is modelled on a Hungarian folk song ‘Kirje, kirje, kisedecske’, which is sung in at Christmas: see István Kecskeméti, ‘Kodály Zoltán: 2. vonósnegyes’ [Zoltán Kodály: Second String Quartet], in *A hét zeneműve* 1973/3 (Budapest: Zeneműkiadó, 1979), 76–77. In the source catalogue of the Kodály’s composition, no folk song is identified with the section; see János Bereczky, et al. (ed.), *Kodály: Sources of Music and Text for Kodály’s Compositions Based on Folk Music* (Budapest: HAS RCH Institute for Musicology, 2019).

<sup>34</sup> For instance, there is a recollection by Kodály: ‘From 1925 onwards I often encouraged him to write choral works. For a long time he did not compose any, then (about ten years later) he presented a whole bunch.’ (Zoltán Kodály, ‘Béla Bartók the Man’, in *The Selected Writings of Zoltán Kodály*, ed. by Ferenc Bónis (Budapest: Corvina Press, 1974), 100.). 100. For the genesis of the *Twenty-Seven Choruses*, see *BBCCE*/9, 21–27\*.

the introduction (bars 24–27)—the third appearance of the theme in the right hand (bars 28–35)—the postlude (bars 36–43). The length of the non-thematic section is longer and more elaborated in No. 116, and it has its own marked character; nevertheless, the contour of the concluding notes shows striking a similarity to the unpublished piece. It is possible to identify the melodic contour of the theme of No. 116 largely following the theme of the unpublished piece, but much attention should be paid to how Bartók created a totally different, more pianistic theme from a folk song-like thematic idea.

The musical score for Mikrokosmos No. 116 is presented in three systems. The first system, marked 'Tempo di Marcia, ♩ = 108' and 'f', shows a cantabile melody in the right hand and a rhythmic accompaniment in the left hand. The second system, marked 'poco rallent.' and 'Piu mosso, ♩ = 126', includes dynamics 'dim.', 'mf', and 'f; risoluto'. The third system continues the piece with various fingerings and articulations.

Example 6-24: *Mikrokosmos* No. 116\*

### 6.4.2. The Second Piece

The second piece is an apparently unfinished draft of an easy folk song arrangement for piano containing only one stanza (see Example 6-25).<sup>35</sup> The same folk song had already been used for the discarded original No. 6 of the *Fifteen Hungarian Peasant Songs* (see Example 6-26).<sup>36</sup> Even though the length of the unpublished piece is the same with this No. 6, it is unlikely that the unpublished piece was complete; Bartók

<sup>35</sup> Somfai, 91. For the facsimile production of the piece, see Somfai, *Bartók's Workshop. Sketches, Manuscripts, Versions*, 34.

<sup>36</sup> The source of the music example is *BBCCE/38*, 123.

1 2 3 4 5 6 7 8 9 10 11 12 13 14

15 16 17 18 19 20 21

Example 6-25: An unpublished piano piece (diplomatic transcription from **D-add<sub>2</sub>**)



almost always clearly marked the conclusion by drawing a double barline at the end.<sup>37</sup> In a certain sense, this unfinished piece is a simplified version of the discarded No. 6: while the discarded piece contains many double notes in the right hand, in the unpublished piece, the double notes are only used in the accompaniment.

It is remarkable that the theme of this unfinished piece also resembles a folk tune that Bartók used in the *Three Rondos on Folk Tunes* (BB 92, 1916–1927) No. 1 (see Example 6-27). This *Rondo* No. 1 was originally composed as three separate folk song arrangements on Slovak folk songs, and the three independent arrangements were recomposed in 1927 into a rondo form. In 1928, the original form of the second episode was published in facsimile reproduction as a musical supplement to the January–February issue of *Zenei Szemle*.<sup>38</sup> As the unpublished piece is largely contemporaneous with these events, it is possible that the unpublished piece is related to the *Three Rondos* rather than to the *Mikrokosmos*. If this is the case, the two unpublished pieces (together with the first piece discussed above) might have been intended to be part of a collection of new folk song arrangements.<sup>39</sup>



Example 6-26: *Fifteen Hungarian Peasant Songs*, discarded original of No. 6 (from *BBCCE/38*, 123)

<sup>37</sup> There are only a few exceptions in **D**: in the case of No. 44 ‘Contrary Motion (2)’, the lack of space might have dictated the omission of the double barline (its last bar is written in the right margin); in the case of No. 122 ‘Chords Together and Opposed’, Bartók apparently cancelled the double barline marking the original conclusion and added two additional bars at the end, but he did not mark the new conclusion with a double barline.

<sup>38</sup> The scanned PDF is available at *Magyar zenei folyóiratok digitális adatképe* [the digital database of Hungarian periodicals in music]: (url: [http://db.zti.hu/mza\\_folyoirat/index.asp](http://db.zti.hu/mza_folyoirat/index.asp)).

<sup>39</sup> The status of the first unpublished piece in **D-add<sub>2</sub>** may be unclear whether it is an arrangement of an original folk song; thus, it is also possible that Bartók intended to compose a collection of piano pieces that contain folk music arrangements and original compositions as well, similar to *Ten Easy Piano Pieces* or *Fourteen Bagatelles* (BB 50, 1908).



Example 6-27: *Three Rondos on Folk Tunes* No. 1

Example 6-28: *Romanian Folk Dances* No. 1\*

However, it is still possible to discover a link between the unpublished piece and some further *Mikrokosmos* pieces. Bartók applied the use of a chain of authentic cadences in the unpublished piece (bars 16ff., F#–B–E–A–D–G–C–F) in the folksong arrangements in *Mikrokosmos*. Indeed, using traditional chords in a totally different context is one of his favourite compositional approaches, and there are many examples. For instance, in *Romanian Folk Dances* No. 1, the harmony was elaborated to write the bass in continuously descending movement from *f* in bar 33 to *d* in bar 45 (see Example 6-28). In this piece, it is remarkable that above an augmented sixth

chord on  $f$  ( $d\sharp^1/a/F$ ), a melodic note  $d\sharp^2$  is used, and while  $d\sharp^1$  resolves to  $e^1$ ,  $d\sharp^2$  resolves to  $c^2$ . It is natural that an augmented sixth chord on  $f$  resolves to a six-four chord on  $e$ , but these chords are deprived of their original function.<sup>40</sup>

Example 6-29: *Mikrokosmos* No. 112\*

poco a poco più tranquillo - - - - -

te - tet - lek, A tòm - lóc - be te - tet - lek, Kur - ta - vas - ba  
have you yet, Put you in - to pris - on straight, You'll be clapped in  
te mett - rai. En pri - son je te mett - rai, En plus, je te

Example 6-30: *Mikrokosmos* No. 95\*

In the case of the *Mikrokosmos* pieces, it is remarkable that three (out of four) folk song arrangements apply the chain of authentic cadences: Nos. 95 ‘Song of the Fox’, 112 ‘Variations on a Folk Tune’, and 127 ‘New Hungarian Folk Song’. In No. 112, due to the contrapuntal texture, the chord progression remains unclear, but it is still possible to identify the chain of authentic cadences (in bars 9–16, C–F–B–E–A–D–G–C; see Example 6-29). In No. 95, due to the two-part texture, the harmony

<sup>40</sup> In some of clearly homophonic *Mikrokosmos* pieces (e.g., Nos. 148 and 150), Bartók used augmented sixths as a kind of dissonant interval that requires resolution. For instance, in bars 14–18 of No. 148,  $b\flat/d\sharp$  or  $g\sharp/B\flat$  resolve to  $c/C$  or  $A/A_1$ , respectively. However, interestingly, the resolution does not always come directly after the augmented sixth. For instance, in No. 150, the resolution of  $a\sharp/c\sharp$  in bar 57 happens two bars later, in bar 59 ( $b/B$ ); in bars 21ff. of No. 148, the resolution of  $f\sharp/A\flat$  in the left hand is suspended, and resolves two bars later, to  $g$  in the right hand.

remains ambiguous, but the bass progression helps us to identify the implied harmony (in bars 11–13, F $\sharp$ –B–E–A–D–G–C $\sharp$ ; see Example 6-30).

A more complete harmonic progression can be observed only in the case of No. 127 (in bars 18–21, A–D–G–C $\sharp$ –F $\sharp$ –A $\sharp$ ; see Example 6-31).<sup>41</sup> In the case of this piece, it is possible to observe on the original layer of the manuscript that when harmonising these bars, Bartók's primary concern seems to have been the application of the chain of authentic cadences rather than how the harmony would sound with the melody (see Example 6-32). In the original layer, he started the authentic cadences two crotchets earlier, at the beginning of bar 18. This harmonisation results in a strange dissonance in the second half of bar 20, where the bass plays f $\sharp$ /F $\sharp$  against the melody note f $\sharp$ .<sup>1</sup> As Bartók apparently immediately revised these bars, this dissonance might not have been intentional. Nevertheless, the fact that he originally did not consider the actual sonority suggests that he regarded this kind of authentic cadence as applicable independent of the melody.

The image displays a musical score for Mikrokosmos No. 127, starting at measure 16. The tempo is marked 'a tempo'. The score is written for voice and piano. The key signature has two sharps (F# and C#), and the time signature is 2/4. The piano part includes fingering numbers (1, 2, 3, 5, 1, 1, 5) and dynamic markings (f, 5, 3, 1, 5, 2, 1). The lyrics are in Hungarian and English.

**Measure 16:**  
 Bu - za kö - zé száll a da - los pa - csir - ta, Mert o - da - fönt  
 High a - bove the corn a lark now earth - ward flies. Sad her heart, for -  
 L'a - lou - et - te ra - se le beau champ de blé, Ja - dis, dans les

**Measure 19:**  
 a sze - me - it ki - sár - ta; Bu - za - vi - rág, bu - za - ka - lász  
 Iorn a - midst the emp - ty skies. Shel - tered, bid - den un - der shade of  
 airs, elle a beau - coup pleu - ré, Main - te - nant son cher com - pa - gnon

**Measure 20:**  
 (sim.)

Example 6-31: *Mikrokosmos* No. 127\*

<sup>41</sup> For a detailed analysis of the harmony, see Pál Richter, 'A népi harmonizálástól a népdalok harmonizálásáig' [From Folk Harmony to Harmonizing Folksongs], *Magyar Zene* 51 (2013): 381–382.



Example 6-32: *Mikrokosmos* No. 127 (reconstructed original layer, transcribed from **AII**, p. 65)

From this perspective, it would be possible to interpret the relationship between the melody and the accompaniment of Nos. 95 and 127 as a disagreement or separation of two characters appearing in the lyrics—a fox and a man (No. 95) or two birds (No. 127).<sup>42</sup> If this is the case, it is remarkable that the chain of authentic cadences, which Bartók used in the unpublished 1928 piece probably as a bravura of compositional technique, gained some conceptual importance in 1939 and that he repeatedly used the technique.

<sup>42</sup> The lyrics of these folksongs are allegorical; thus, they allow various interpretations. Nevertheless, it is possible to find some basic elements, such as those mentioned here. The text of No. 95 is as follows: ‘I have chickens, fine and fat, / Reynard likes them, I know that. / But I’ll catch him, just you wait, / Reynard I will have you yet, / Put you into prison straight, / You’ll be clapped in irons then, / You’ll be clapped in irons then, / And you shan’t go free again.’ According to Bartók’s instruction concerning the translation, this folk song is about a woman and a man: ‘Even the “fox” may be replaced by some other animal (of course not by wolf or tiger): an animal of agre[e]able but male character. The words seem to be an allegory: a girl is speaking, she is saying that her lover comes very often to her house to court her, but she will catch him and he will not escape.’ (a draft of a letter from Bartók to Hawkes, 1939; BBA, BAN 3915). The text of No. 127 is as follows: ‘Oh, how high, green forest, spread your highest tree? / How long since its latest leaf fell silently? / How long since its latest leaf fell silently? / Now a lone bird seeks her mates so mournfully. / High above the corn a lark now earthward flies. / Sad her heart, forlorn amidst the empty skies. / Sheltered, hidden under shade of leaf and flower, / Still she mourns the mate who left her lonely here.’ In this case, Bartók’s instruction is simple and does not offer any further clue for interpretation “‘Lerche’ may be substituted by another bird’s name (not vulture ore or owl and the like!)’ (*ibid.*). Concerning the interpretation of the text of No. 127, see Yusuke Nakahara, ‘Folklorising the “Folksong”? Béla Bartók and *Mikrokosmos* No. 127 “New Hungarian Folk Song” (“Erdő, erdő, de magos a teteje...”’), in *Tavaszi szél* [Spring Wind], Vol. III (2015), 517–531; for the possibly problematic origin of the text, see *BBCCE*/41.

## 7. Thematic Similarities to Contemporary Pieces

One of the most important aspects of the examination of the *Mikrokosmos* autographs is that it is possible to observe the relationship between the pieces drafted one after another and to analyse, for instance, how the ‘spirit’ of one piece is applied in another piece. It is already known that during the composition of a work, Bartók occasionally received inspiration for another work. This kind of relationship can more frequently be observed among the *Mikrokosmos* pieces than among other works. The primary reason would be that he concentrated on composing as many pieces as possible; thus, it should have been easy for him if he used some elements of previous pieces as sources of inspiration to compose a new piece, rather than always trying to compose a completely new piece without relying on the previous pieces. On the other hand, he might have been able to concentrate on elaborating different technical and musical problems when he used the same thematic or motivic idea as the basis of a new composition.

The ‘elements’ he picked up from previous pieces cover quite a wide range of phenomena. The simplest and clearest case is the motifs or short melodic gestures consisting of a few notes that are used in another piece; however, there are more developed cases, where there are more abstract musical concepts, such as inversional symmetry. In the most interesting cases, however, an element used in the previous piece appears in another piece in a more elaborated form. I call these kinds of musical relationships between several pieces the ‘chain of inspiration’.<sup>1</sup>

In the present chapter, the simplest cases of the ‘chain of inspiration’ are examined: thematic or motivic elements of previous pieces that inspired Bartók to write a new piece. Different from the conceptual relationship examined in the following chapter, this kind of thematic similarity is obvious only if we know which pieces were composed in the same period and are related to each other.

### 7.1. Nos. 37, 60, and 48—The Use of Pentachords

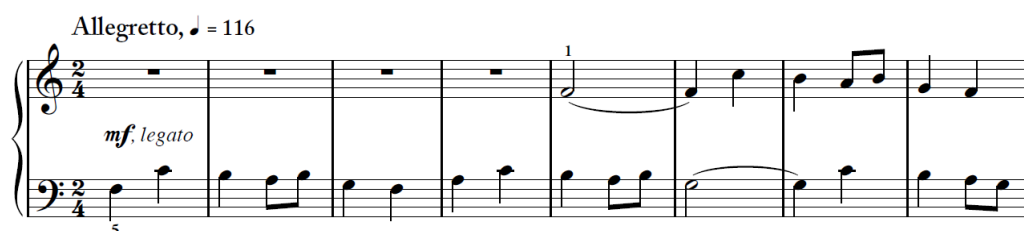
There is some melodic similarity between the three pieces drafted on pp. 16–17 of **D**<sub>1932</sub>: Nos. 37 ‘In Lydian Mode’, 60 ‘Canon with Sustained Notes’, and 48 ‘In

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<sup>1</sup> On this topic, see also László Somfai, “‘Written between the desk and the piano’: dating Béla Bartók’s sketches”, in *A Handbook to Twentieth-Century Musical Sketches*, ed. by Patricia Hall et. al (Cambridge: Cambridge University Press, 2004), 114–130.

Mixolydian Mode'. These pieces were drafted one after another and have what can be called a 'preliminary numbering' of 1932 ('5', '6', '7', respectively).<sup>2</sup> Even though this numbering was added considerably later (probably after finishing the draft of the 1932 pieces), the numbering still suggests the relationship between these pieces.

No. 37 is a piece in free counterpoint. The beginning looks like a kind of canon (see Example 7-1). The theme first appears in the left hand and is then repeated in the right hand. The theme lasts 6 bars and concludes on the second degree, *g* (in the right hand, the first note *f*<sup>1</sup> is prolonged by a bar). The theme itself can be divided into two parts (bars 1–3 and 3–6), and *f* in bar 3 may interlock two parts (i.e., it is the last note of the first half and the initial note of the second half). The primary degrees of the theme seem to be 1–(3–)5–4–2.



Example 7-1: *Mikrokosmos* No. 37\*

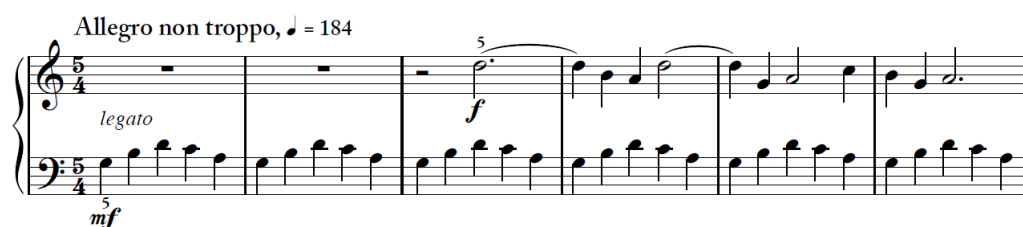
Example 7-2: *Mikrokosmos* No. 60\*

The theme of No. 37 is worked out differently in No. 60. No. 60 is also a contrapuntal piece, but the form is stricter: a canon in the lower fifth in inversible counterpoint (see Example 7-2). At the beginning (bars 1ff.), the right hand leads the canon, but then, the parts are exchanged (bars 21ff.). The theme of No. 60 has a more complex structure than that of No. 37. The first unit (bars 1–8) can also be divided

<sup>2</sup> Concerning this preliminary numbering, see Chapter 4.

into two parts (bars 1–5 and 5–8, apparently divided by a vertical line), but these two parts differ considerably from each other. Nevertheless, it is possible to discover a similar melodic gesture in both parts that bears similarity to the primary degrees of the theme of No. 37: 1–(3–)5–4–2.

The ostinato accompaniment figure of No. 48 (i.e., 1–3–5–4–2) seems to have been derived from these melodic patterns in Nos. 37 and 60 (see Example 7-3). In the case of No. 48, it seems that the metre of the piece (5/4) might also have been affected by the patterns. There is a pedagogical concern, which does not necessarily contradict the application of the melodic pattern: the use of an ostinato figure in 5/4 is invented to use all five fingers evenly.



Example 7-3: *Mikrokosmos* No. 48\*

Regarding the melody of No. 48, it is possible that a few notes at the beginning might have been derived from the closing figures in No. 60, even though their functional degree does not coincide:  $a^1-f^\sharp^1-e^1-a^1$  (4–2–1–4, according to E) in No. 60 in the right hand (see Example 7-4) and  $d^2-b^1-a^1-d^2$  (5–3–2–5, according to G) in No. 48 in the right hand. There is indeed another example where the closing figure of a draft was immediately used in the next draft: the concluding melody of the Unpublished Piece 1 (bars 15–17) is apparently quoted in No. 87 ‘Variations’ as the first line of the theme (see Examples 7-5 and 7-6; both drafted on p. 20 of **D**<sub>1932</sub>, one after another).<sup>3</sup> Except for the different metres (the Unpublished Piece 1 is in 4/4, and No. 87 is in 2/4), they coincide exactly.<sup>4</sup>

<sup>3</sup> For a detailed analysis, see Nakahara, 58–61.

<sup>4</sup> From this perspective, the ascending scale at the beginning of No. 60 (1–2–3–4–5 in A) may also be related to the conclusion of No. 37 (1–2–3–4–5 in F).

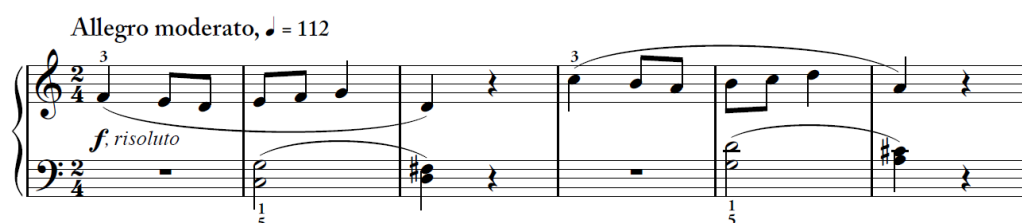




Example 7-4: *Mikrokosmos* No. 60\*



Example 7-5: *Mikrokosmos*, Unpublished Piece 1 (transcription from **D**<sub>1932</sub>, p. 20)



Example 7-6: *Mikrokosmos* No. 87\*

In Nos. 37, 60, and 48, the use of a melodic pattern (1–3–5–4–2) may derive from a pedagogical concern to train all five fingers evenly. However, it is important to emphasise that Bartók did not insist on composing all the easy pieces based on this pattern. After he composed several pieces in different characters by using the same pattern, he turned to different musical or technical problems. The following piece in **D**<sub>1932</sub>, No. 34 ‘In Phrygian Mode’, is also written by using pentachords, but the melodic pattern can no longer be observed.

## 7.2. Nos. 20, 30, 18, and 19—Easy Pieces and Pedagogical Concerns

It is remarkable that similarity in melodic patterns can be found almost everywhere in the draft, for instance, in **D**<sub>1933</sub>, p. 54. Bartók drafted several easy *Mikrokosmos* pieces on this page: Nos. 20 ‘Four Unison Melodies (3)’, 30 ‘Canon at the Lower Fifth’, 19 ‘Four Unison Melodies (2)’, 18 ‘Four Unison Melodies (1)’, and 25 ‘Imitation and Inversion (2)’. Three of them (Nos. 18–20) can also be found on the music sheets

used for Peter Bartók's piano lessons (pp. 7, 3, and 6 of **D<sub>PB</sub>**), but each is in a different tonality and in neat notation. It is likely that Bartók first jotted down some ideas for short exercise pieces on p. 54 of **D<sub>1933</sub>**; then, he wrote them down on the pages of **D<sub>PB</sub>**, either copied from p. 54 of **D<sub>1933</sub>** or by heart.<sup>5</sup>



Example 7-7: *Mikrokosmos* Nos. 20 and 30 (diplomatic transcription from **D<sub>1933</sub>**, p. 54)

Three pieces on this page, i.e., Nos. 20, 30, and 18, share related musical materials. As the first two pieces were drafted in a unique way, their relationship is almost certain (see Example 7-7). The process of composition can be reconstructed as follows:

- (1) Most likely, Bartók first drew a long barline at the beginning of staves 1–2 to create a system for a new piece, but he apparently decided to draft a new piece, No. 20, in staff 1. Probably because he was to write a piece in unison, he thought it was unnecessary to notate it in a system.
- (2) Somewhat later, he cancelled the barline at the beginning of staves 1–2 and started drafting a canon based on the theme of No. 20 in staves 2–3.
- (3) Probably after finishing No. 30, he specified the register of the left hand of No. 20. The Hungarian word ‘stb.’ [etc.] means that the left hand should move in two-octave unison with the right hand.

It seems that the opening figure ( $c^2-d^2-g^2$ ) of No. 20 inspired Bartók to compose a new piece by using a similar figure ( $c^2-d^2-f^2$ ).<sup>6</sup> The difference in which the interval of leaping is slightly narrowed from a perfect fourth to a minor third might have been derived from a pedagogical concern, but Bartók created a far more advanced piece than the other unison pieces: a canon. As he wrote the time signature

<sup>5</sup> For the relationship between these pieces and the lessons for Peter Bartók, see *Nakahara*, 49–51.

<sup>6</sup> In the published version, the piece is transposed a perfect fourth lower, but here, for practical reasons, I refer to the pitches in the draft version.

In No. 20, the opening figure in bars 1–2 ( $c^2-d^2-g^2$ ) is immediately inverted in bars 3–4 ( $g^2-f^2-c^2$ ). This inverted form can also be found at the beginning of No. 18 in a different transposition (see Example 7-8).<sup>8</sup> Considering that No. 18 is shorter than No. 20 and applies long note values compared to No. 20, No. 18 might have been designed as a preparation for No. 20. Thus, it seems natural that No. 18 contains only downward leaping to let pupils practice this technical problem.



The order of the three easiest pieces on this page (Nos. 18–20) deserves a short discussion. It is interesting that Bartók might have designed No. 20, which contains some leaping, as the first musical exercises to be played by Peter Bartók. Considering that at the beginning of both *Mikrokosmos* and the *Piano Method*, there are short pieces solely consisting of step motions without leaping, the question might arise as to why Bartók composed No. 20 prior to Nos. 18 and 19. Was he reconsidering the first steps of piano playing when he taught Peter Bartók? Alternatively, did he think that, after his experience of teaching Peter Bartók, even a beginner can play a piece containing a lot of (relatively wide) leaping such as a fourth?

<sup>8</sup> In the draft, the pitches are  $e^2-d^2-a^1$ .

At any rate, he composed two relatively easier pieces, Nos. 19 and 18, in this order, and assigned them to Peter Bartók (also in this order). Judging from the characteristics of Nos. 19 and 18, it is likely that Bartók nevertheless considered No. 20 to be too difficult for Peter Bartók; thus, these two pieces were composed to bridge the difficulty gap. It is remarkable that the order of these pieces differs from source to source. The order of composition is, as discussed above, Nos. 20, 19, and then 18. In **D<sub>PB</sub>**, No. 19 was copied first; then, No. 18, was copied, and finally, No. 20 was copied. However, in **A<sub>I/1</sub>**, No. 19 was copied first; then, No. 20 was copied, and finally, No. 18 was copied. In one of the early numberings probably prior to June 1939, Nos. 19, 18, and 20 were numbered ‘1’, ‘2’, and ‘3’, respectively (see Appendix C).

It seems that these different orders do not always reflect Bartók’s evaluation of difficulty (especially the reversed order of Nos. 20 and 18 in **A<sub>I/1</sub>**). Nevertheless, it is likely that No. 19 had been considered easier than No. 18, at least by June 1939. The primary reason is that at that time, there were no easier *Mikrokosmos* pieces, which mainly consist of stepwise movements and move in unison. It was only after the composition of the first pieces of Volume I, containing only stepwise movements in unison, that Bartók exchanged the order of Nos. 18 and 19.

### 7.3. Nos. 23 and 25—Two ‘Imitation and Inversion’

The last piece on the page (p. 54 of **D<sub>1933</sub>**), No. 25 ‘Imitation and Inversion (2)’, seems to have been written on a different occasion based on two factors:

- (1) Green pencil is used for correction. The green pencil is occasionally used on some pages of **D<sub>1934–36</sub>** but never used on the pages of **D<sub>1932</sub>** and **D<sub>1933</sub>**.
- (2) In the left margin, there is a memo by Bartók, ‘26 után’ [After 26], related to his intention to insert this piece after No. 26 of the *Piano Method*. This kind of memo can be found only on the pages of **D<sub>1934–36</sub>** or **D<sub>1939</sub>**.

Although there are no further pieces of evidence concerning the more precise chronological relationship between No. 25 and the other pieces in **D<sub>1934–36</sub>**, it seems that No. 25 is contemporary with the pieces drafted on p. 55 of **D<sub>1934–36</sub>**. First, there is another piece (No. 24 ‘Pastorale’) with the same memo, ‘26 után’ [after 26]. Second, there is a piece (No. 23 ‘Imitation and Inversion (2)’) with the memo ‘21 után közv. 22 elé’ [after 21 directly before 22], which shows some musical similarity with No. 25.



Example 7-9: *Mikrokosmos* No. 23\*



Example 7-10: *Mikrokosmos* No. 25\*

A comparison of the published version may unambiguously demonstrate a musical relationship between Nos. 23 and 25 (see Examples 7-9 and 7-10).<sup>9</sup> The themes are almost identical: both begin at the first degree, then go up to the fifth degree, and finally return to the first degree. From a structural perspective, Nos. 23 and 25 are also quite similar. Either the right or left hand leads the imitation first, but the right and left hands eventually change their role in the following bars. In the second section (bars 7–12 of No. 23 and bars 21–34 of No. 25), both pieces emphasise the same degrees: they begin on the second degree ( $e^1$  in No. 23 and  $c^\sharp^1$  in No. 25) and arrive at the fourth degree with a long note value ( $g^1$  in No. 23 and  $e^1$  in No. 25).

The difference in tonality seems to be significant: while No. 23 is in D Dorian, the scale of No. 25 does not coincide with any traditional modality, but it is possible to regard this scale as a snippet of an octatonic scale. However, on the basis of the examination of the draft, it can be established that the choice of tonality was an afterthought. There are two drafts for No. 25. The first draft is a discarded, preliminary version in E. The second draft is the revised version in B. In the first

<sup>9</sup> In addition, it is remarkable that the title of these pieces is identical ('Imitation and Inversion'). Although the titles were added at considerably later moments of the composition, in this case, the titles seem to reveal the composer's original thought at the time of composition.

version, a flat was added on the top of  $b^1$  in bar 3, which means that the fifth degree was originally not lowered (see Example 7-11).



Example 7-11: *Mikrokosmos* No. 25, discarded version (diplomatic transcription from **D**<sub>1934–36</sub>, p. 54)



Example 7-12: *Mikrokosmos* No. 23, discarded version (diplomatic transcription from **D**<sub>1934–36</sub>, p. 55)

On the other hand, the original form of No. 23 was considerably different from No. 25. In the draft, the piece did not end on D in bar 12 but continued with contrasting musical ideas and concluded on the fifth degree, A (see Example 7-12). This original conclusion was later discarded in green pencil. This discarded section can be considered a preliminary version of No. 14 ‘Question and Answer’ (see Example 7-13). However, as No. 14 was composed several years later, in 1939, there might not have been a direct relationship between the discarded section and No. 14.



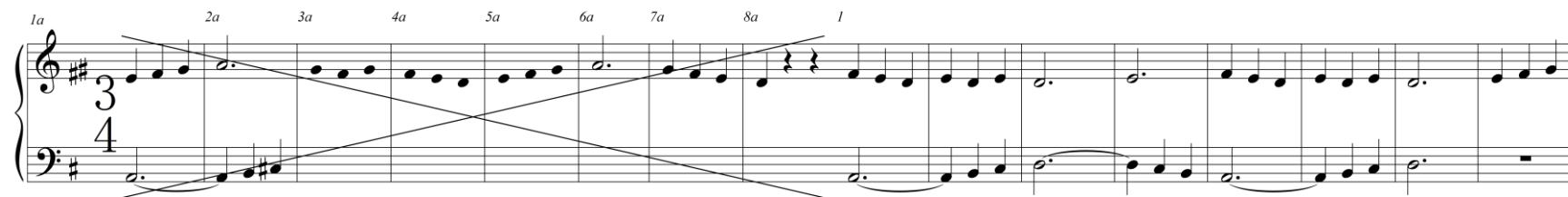
Example 7-13: *Mikrokosmos* No. 14\*

It is more remarkable that the discarded section of No. 23 seems to have served as the source of the initial idea of No. 24 ‘Pastorale’ (see Example 7-14): the ascending scale in the right hand ( $e^1-f^\sharp^1-g^\sharp^1-a^1$ ) might have been derived from the original conclusion of No. 23 ( $e^1-f^1-g^1-a^1$ ). The draft of No. 24 has two versions. The first, the discarded incomplete version, seemingly begins *in medias res* and lasts only 8 bars. These bars were crossed out in ink; thus, the deletion seems to have been earlier than the revision of the conclusion of No. 23, made in green pencil. It is also remarkable that there is no barline in bar 8a; it is possible that this version was immediately abandoned once Bartók notated the content of bar 8a.

If the revisions of these pieces (i.e., Nos. 25, 23, and 24) are related to each other, the process of composition can be reconstructed as follows:

- (1) The initial layer of the first version of No. 25 was drafted in the blank space of **D**<sub>1933</sub>, p. 54.
- (2) No. 23 (with the original conclusion) was drafted in **D**<sub>1934-36</sub>, p. 55.
- (3)  $\flat$  is added to the fifth degree (B) of No. 25 (and the second version of No. 25 was probably drafted).
- (4) The first version of No. 24 was drafted using the melodic figure from the conclusion of No. 23, but it was immediately discarded, and the second version of No. 24 was drafted.
- (5) The conclusion of No. 23 was revised.

In this process, it is remarkable that while the addition of  $\flat$  to the fifth degree of No. 25 was intended to better distinguish No. 25 from No. 23, the revision of No. 23 apparently made the form of No. 23 closer to No. 25 (yet this similarity may not be obvious if we do not know that these pieces are related to each other). Beyond these apparently contradictory revisions, it is possible to discover pedagogical intentions. Regarding No. 25, the application of different scales may pose a challenge to pupils. Concerning No. 23, the primary reason for the revision was probably to simplify the



Example 7-14: *Mikrokosmos* No. 24 (diplomatic transcription from **D**<sub>1934–36</sub>, p. 55)



form because the original conclusion introduced a completely new musical idea and eventually created a sort of ‘through-composed’ form that is unusual in the genre of pedagogical music. However, it might also have been part of the pedagogical concern that the existence of two pieces in similar form makes it possible to better concentrate on the different technical problems in these pieces. The combination of familiar and unfamiliar elements seems to be quite an important concept for Bartók. Four pairs of pieces (i.e., Nos. 7 ‘Dotted Notes’ and 28 ‘Canon at the Octave’, 9 ‘Syncopation (1)’ and 27, 13 ‘Change of Position’ and 17 ‘Contrary Motion (1)’, and 14 ‘Question and Answer’ and 65 ‘Dialogue’) using the same theme, all composed in 1939, can be considered a more refined form of this pedagogical concept.

## 8. Inversional Symmetry in 1932–1933

In this chapter, a more developed and abstract case of a ‘chain of inspiration’ is discussed. In contrast to the cases discussed in the previous chapter, there are no direct melodic relationships between the pieces, but it is still possible to discover some common musical concepts in the pieces composed one after another. In my master’s thesis, I already discussed the case of the very first *Mikrokosmos* pieces composed one after another in 1932 (i.e., Nos. 110 ‘Clashing Sounds’, 125 ‘Boating’, and 62 ‘Minor Sixth in Parallel Motion’) and pointed out that these pieces were written by developing the same musical concept: the simultaneous application of different systems in each hand.<sup>1</sup>

In No. 110, in its recurring primary section, each hand plays exclusively black keys and white keys (see Example 8-1). A similar concept can be found in No. 125, where, at the beginning and the conclusion, once again black or white keys are exclusively assigned to the right hand or the left hand, respectively (see Example 8-2). However, an important difference is that while the register of each hand is confined to a pentachord in No. 110, the two hands enjoy a much wider range in No. 125. Additionally, the fact that in this piece, each hand apparently moves in different metres deserves attention: while the right hand is in 3/4, as the time signature suggests, the accompaniment figure in the left hand (six quavers divided into two groups consisting of three quavers) implies a 6/8 metre.<sup>2</sup> In No. 62, the right and left hands strictly move in parallel in a minor sixth; thus, each hand essentially plays in a different key (see Example 8-3).

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<sup>1</sup> Nakahara, 94–95.

<sup>2</sup> Udo Zilkens mentions that the melody also occasionally falls into 6/8, as emphasised by the slurs. See his *Béla Bartók: spielt Bartók* (Köln: P.J.Tonger, 1999), 70.



Example 8-1: *Mikrokosmos* No. 110\*

Allegretto, ♩ = 116

*p, sempre legato*

Example 8-2: *Mikrokosmos* No. 125\*

Vivace, ma non troppo, risoluto, ♩ = 126

*f, legato, marcato*

Example 8-3: *Mikrokosmos* No. 62\*

In this chapter, I discuss another series of pieces composed in 1932–1933 consisting of five pieces: Nos. 132 ‘Major Seconds Broken and Together’, 122 ‘Chords Together and Opposed’, 144 ‘Minor Seconds, Major Sevenths’, 140 ‘Free Variation’, and 141 ‘Subject and Reflection’. In these pieces, it is possible to observe some common musical elements (see Table 8-1). The most important of these elements is probably inversive symmetry. It is true that inversive symmetry plays quite an important role in Bartók’s music in general; however, in the *Mikrokosmos* pieces that we are going to examine, inversive symmetry is applied not only as the

fundamental concept of the piece but also as one of several compositional techniques as the basis of some parts of the work.

Table 8-1: Common elements in the selected pieces from **D<sub>1932</sub>** and **D<sub>1933</sub>**

	<b>No. 132</b>	<b>No. 122</b>	<b>No. 144</b>	<b>No. 140</b>	<b>No. 141</b>
<b>Inversional symmetry</b>	(x)	x	x	x	x
<b>Major sevenths</b>			x	x	
<b>Cluster chords</b>	(x)	(x)	x		
<b>Irregular metric structure</b>		(x)		x	x
<b>Canon</b>		x		(x)	x

The five pieces mentioned above are notated one after another on the pages belonging to **D<sub>1932</sub>** and **D<sub>1933</sub>** in this order (see Tables 4-10 and 4-11).<sup>3</sup> As Bartók might have been able to work on several pieces simultaneously, the apparent sequence of the draft does not necessarily mean that the given drafts were composed exactly in that order. Based on an examination of the autographs (especially **D<sub>1932</sub>**, **D<sub>1933</sub>**, and **A<sub>I/1</sub>**; for details, see Subsection 4.2.2.1.3.), No. 132 was composed considerably earlier than the following four pieces, but it is likely that the remaining four pieces were composed in this order. This chronological relationship might be demonstrated in Table 8-1: while No. 132 has fewer common characteristics with the latter four pieces, these four pieces can be tightly related to each other by shared elements. In the following, however, I disregard chronology and first examine No. 144, due to its importance from the musical and technical perspectives.

## 8.1. No. 144—A ‘Night Music’?

Among the 153 *Mikrokosmos* pieces, No. 144 can be considered one of the pieces with a possibly misleading title: ‘Minor Seconds, Major Sevenths’. The two intervals mentioned in the title are indeed two of the most characteristic intervals used in the piece. From a pedagogical perspective, the application of the major seventh should have particular importance, as this is the widest interval next to the octave, which Bartók usually avoided in his compositions for children. In a certain sense, the application of major sevenths can be considered a preparation for playing the octave. In this regard, the title should be considered appropriate because it concisely reveals

<sup>3</sup> For detailed chronology of these pieces, see Chapter 4.

the technical concept of the piece. Nevertheless, the fact that several other intervals also play important roles in the piece, such as the perfect fourth, deserves attention: two adjacent perfect fourths may constitute a major seventh. On the other hand, the strong emphasis on technical terms may prevent pianists from imagining the musical implications of these intervals. In this sense, Bartók's own words, recorded by the American piano teacher Ann Chenée, are suggestive: 'This is very difficult and requires a pupil who has great control. The sevenths are bells, and they emphasize the melody.'<sup>4</sup> We shall return to the implication of the major sevenths as bell sounds later. At any rate, it seems advisable for us to temporarily forget the final title and, instead, to observe what Bartók did in the piece.

The image displays a musical score for Mikrokosmos No. 144. The tempo is marked 'Molto adagio, mesto, ♩ = 56'. The piano part is in 4/4 time, featuring a cluster of four semitones (B♭, A, G♯, G) in the right hand, which is mirrored in the left hand. The string part is in 2/4 time, also featuring a cluster of four semitones (B♭, A, G♯, G). The score includes dynamic markings such as 'p' (piano) and 'poco string.' (poco string). The notation is in a modern style, with a focus on intervallic relationships and cluster chords.

Example 8-4: *Mikrokosmos* No. 144\*

It seems that the mirror inversion is one of the primary concepts of this piece: already at the beginning of the piece, the right and left hands play in exactly contrary motion (see Example 8-4). Both hands play a cluster chord consisting of four semitones ( $b^1/a^1/g^{\sharp 1}/g^{\sharp 1}$ ), whose external boundary is enlarged, either by a semitone or by a major third. While the former, extension by a semitone, creates a cluster sound by accumulating six semitones ( $b^{\sharp 1}/b^1/a^1/g^{\sharp 1}/g^{\sharp 1}/f^{\sharp 1}$ ; e.g., in bars 1, 3, etc.), the latter,

<sup>4</sup> *Suchoff/dissertation*, 356.

extension by a major third, does a major seventh dyad partially filled with a cluster consisting of four semitones ( $d^2/b^1/a^1/g^{\sharp 1}/g^{\sharp 1}/e^{\flat 1}$ ; e.g., in bars 2, 4, etc.).

The perfect fourth appears in several chords as a structural element: in the cluster chord consisting of six semitones, the interval between the highest and lowest notes is a perfect fourth ( $b^{\flat 1}/f^{\sharp 1}$ ); in the first chord in bar 2, the interval between the highest and lowest notes of each hand is also a perfect fourth ( $d^2/a^1$  and  $g^{\sharp 1}/e^{\flat 1}$ , respectively). Such frequent occurrences of the perfect fourth seem to be inevitable rather than intentional, as there are only limited combinations of intervals in classical music. If Bartók decided to use the major seventh as one of the most important constructive elements of the piece, then the division of the major seventh into two parts might have resulted in two adjacent perfect fourths. However, it is also possible that the use of two adjacent perfect fourths eventually yielded the major seventh.

[woman]  
Felsőőregh (Tolna), 1907

4. [Tempo giusto, ♩ = 93]

Kály-ha vál-lán az i-ce, be-le-..... a Bő-zse.

Du-ná-rul fuj a szél; Ha Du-ná-rul fuj a szél, *refr.*

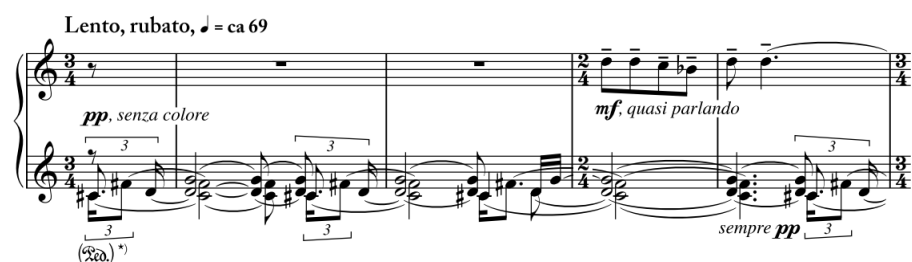
sze-gény em-bert min-dig ér, Du-ná-rul fuj a szél,

Example 8-5: A Hungarian folksong published in the *Improvisations* op. 20\*

Regardless of its harmonic function, the fact that the perfect fourth as a melodic interval has a certain significance in the piece deserves attention (cf.  $g^3-d^3$  in bars 4–5 in the right hand, etc.; hereinafter, for the sake of simplicity, when the melodic gesture is concerned, I refer only to the top note of major-seventh dyads). It is obvious that such a melodic gesture was derived from characteristic stylistic elements of Hungarian folk music. In addition, there are some other melodic gestures derived from Hungarian folk music, for instance, an ascending motif of pentatonic character (cf.,  $g-a-c^1-d^1$  in bars 6–8 in the left hand); an ascending major second (cf.,  $c^3-d^3$  in bars 5–6 RH) can frequently be found in Hungarian folk songs as a closing figure, combined with a downward perfect fourth. A good example would be the folk

song that Bartók used as the basis for No. 4 of the *Improvisations*, op. 20 (BB 82, 1920) (see Example 8-5).<sup>5</sup>

In addition, it may not be a mere coincidence that *Mikrokosmos* No. 144 and some pieces from the *Improvisations* bear some musical affinity. For instance, *Improvisations* No. 3 features dissonant accompaniment figures consisting of parallel fourths (see Example 8-6). In No. 144, there are very fast ascending figures (cf. bars 20ff.) as a kind of countermelody to the harmonic background (see Example 8-7). *Improvisations* No. 4 also has a fast figure, which, on the basis of the lyrics of the original folk tune, may imitate wind blowing from the Danube (see Example 8-8). These similarities may suggest that when composing the *Mikrokosmos* pieces, Bartók occasionally turned to his early works and received inspiration from them; on the other hand, these similarities help us to identify some latent musical associations.<sup>6</sup> In the case of No. 144, the ascending scale may represent the blowing wind, i.e., the sound of nature, which may influence our interpretation of the entire piece (see below).



Example 8-6: *Improvisations* op. 20 No. 3\*



Example 8-7: *Mikrokosmos* No. 144\*

<sup>5</sup> The music example is quoted from *BBCCE/38*, 138.

<sup>6</sup> See also Chapter 9 for the relationship between the Second Piano Concerto and *Mikrokosmos* pieces composed in 1933, when the Concerto was first performed.



Example 8-8: *Improvisations* op. 20 No. 4\*

The idea that the combination of perfect fourths might have been the origin of the major seventh—the apparently defining interval of the piece, as suggested by the title—can be supposed in bars 21–22 (see Example 8-7), where the interval of the rapid ascending figure is a major seventh ( $f^{\sharp 2}$  to  $f^{\sharp 3}$  and  $c^2$  to  $b^2$ , respectively), but each time, the range of the left and right hands is a perfect fourth ( $b^2/f^{\sharp 2}$  and  $f^{\sharp 3}/c^3$ , as well as  $f^2/c^2$  and  $b^2/f^{\sharp 2}$ ). A comparison of bars 18–21 and 23–25 (see Example 8-9) may suggest that another interval can also be created by the combination of two identical intervals other than a fourth. There, the right and left hands move roughly in contrary motion, and the range of each hand first reaches a perfect fourth in bar 21 ( $b^1/f^{\sharp 1}$  and  $f^{\sharp 1}/c^1$ ) and then a perfect fifth in bar 25 ( $c^{\sharp 2}/f^{\sharp 1}$  and  $f^{\sharp 1}/b_{\flat}$ ). As the right and left hands are adjacent (i.e., separated by a semitone), the interval between the highest note of the right hand and the lowest note of the left hand becomes a major seventh ( $b^1/c^1$ ) and a minor tenth ( $c^{\sharp 2}/b_{\flat}$ ), respectively. In this section, the fundamental compositional element is not the interval but the mirror inversion.



Example 8-9: *Mikrokosmos* No. 144\*

Thus, we shall briefly examine some remarkable musical associations with other works by Bartók himself. The overall texture of this piece strikingly resembles ‘The Night’s Music’ from his *Outdoors*, No. 4: repeatedly played cluster chords alternate with a sort of melody located in extremely high and low registers (see Examples 8-10 and 8-11). It could be an important difference that ‘The Night’s Music’



has much richer reference to the sounds of nature, especially to (possibly nocturnal) animals and insects.<sup>7</sup> Interestingly, however, even the recurring cluster figure can be related to one such creature—namely, a type of fire-bellied toad that Peter Bartók refers to as ‘unka’ toad in his *My Father*.<sup>8</sup> Differently from stereotyped frogs or toads, which make some short interrupted sounds, the fire-bellied toad makes a bell-like sustained tone. As each toad sings in a slightly different pitch, the way in which a horde of fire-bellied toads makes sound strikingly resembles the cluster in ‘The Night’s Music’.



Example 8-10: *Outdoors* No. 4 ‘The Night’s Music’

Example 8-11: *Outdoors* No. 4 ‘The Night’s Music’

Considering this association, it seems possible that the cluster in *Mikrokosmos* No. 144 is a more abstract development of the sound of the fire-bellied toads, and its bell-like quality is combined with another kind of bell—as mentioned by Bartók, the major sevenths representing the bell created by man. Bells have a sensible pitch, but they have a complex sound quality due to their irregular overtone structure. Their

<sup>7</sup> Schneider, *Bartók, Hungary, and the Renewal of Tradition*, 81–82.

<sup>8</sup> *My Father*, 164.

sound can still be associated with a vast octave unison, but its complex sonority can be better imitated by, for instance, a major seventh.<sup>9</sup>

One of the most important compositional concepts of ‘The Night’s Music’ is the confrontation of the music of humans and that of nature. However, the fact that such a concept is essentially weak in No. 144 deserves attention. While chorales and pipe tunes can easily be identified in ‘The Night’s Music’ (see Example 8-12), there are no such characteristic thematic materials in No. 144. Even though the bells of the major sevenths could represent the human sphere, they play only some fragmentary melodic materials. As discussed above, their melodic gestures may remind us of Hungarian folk music, but they lack its distinct character. Some two-part counterpoint in bars 18–21, 23–25, and 43–51 can be compared with the chorale in ‘The Night’s Music’, considering that both move in a narrow range and consist of stepwise motion. Nevertheless, while the chorale in ‘The Night’s Music’ has a clear shape due to a clear metric feeling, in the case of No. 144, the character of the music is significantly blurred by the uncertain metric feeling due to an irregular combination of crotchets and half notes.



Example 8-12: *Outdoors* No. 4 ‘The Night’s Music’

In this regard, No. 144 as a whole can be considered an abstract version of ‘The Night’s Music’, and in this sense, the technical title ‘Minor Seconds, Major Sevenths’ may still be considered appropriate. Even though No. 144 has some musical associations and does not consist solely of abstract elements, considering its degree of abstractness, Bartók might have considered that it was preferable to give an abstract

<sup>9</sup> For instance, Rachmaninov’s famous prelude in C-sharp minor (*Morceaux de fantaisie*, Op. 3, No. 2) is occasionally referred to as ‘The Bells of Moscow’ in popular literature, due to vast octave unisons used throughout the piece. However, the sound of bells has not always been paired with octave unisons: for instance, in Liszt’s ‘Les cloches de Genève (Nocturne)’ (the last piece of the first series of *Années de pèlerinage*), the bell seems to have been represented by a dissonant chord ( $g^{\sharp 2}/a^{\sharp 1}/g^{\sharp 1}/e^{\sharp 1}$ , in bar 3).

title to No. 144: borrowing his words as recalled by Ann Chenée, ‘his compositions spoke for themselves and if they did not catch on then, they would later.’<sup>10</sup>

## 8.2. No. 122—The Touch of Playing Figures

In the previous subchapter, we discussed how the unique constructive elements of No. 144 could also be connected to Bartók’s other works, with some extramusical implications. From a pianistic perspective, however, it is quite interesting to discuss how particular figures can technically be related to other *Mikrokosmos* pieces and how they originated in the composer’s mind. This subchapter examines the most relevant piece, No. 122 ‘Chords Together and Opposed’, which directly precedes No. 144 in **D**<sub>1933</sub>.

From a pianistic perspective, the beginning of No. 144 can be analysed as follows (see Example 8-1): (1) two fingers in both hands play and hold down adjacent keys ( $b^1/a^1$  in the right hand and  $g^\sharp^1/g^\natural^1$  in the left hand); then, (2) yet another finger in both hands joins them in a kind of melodic gesture ( $b^1-b^\sharp^1$  in the right hand and  $g^1-f^\sharp^1$  in the left hand), with the right hand and left hand moving in contrary motion; (3) occasionally, the melody continues ( $b^1-b^\sharp^1-d^2$  in the right hand and  $g^1-f^\sharp^1-e^1$  in the left hand), also in contrary motion.

It can be considered that the beginning of No. 122 is based on essentially the same idea (see Example 8-13). However, there are some discrepancies: in No. 122, the right and left hands are separated from each other, and the sustained notes are not adjacent keys but open fifths in both hands ( $d^2/g^1$  in the right hand and  $g/c$  in the left hand); the melody moves within the confines of the open fifths (in bar 1,  $a^1-b^1-c^2$  in the right hand and  $f^\sharp-e-d$  in the left hand); the keys are not held down but repeated together with the melody notes. Nevertheless, such discrepancies can be considered to be of secondary importance with regard to what we feel when we play the beginning of Nos. 122 and 144.

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<sup>10</sup> From an interview with Ann Chenée by Benjamin Suchoff in July 1954; see *Suchoff/dissertation*, 18. It seems that this was one of his artistic credos, as Bartók seems to have made similar statements in different contexts: for instance, see an interview with Denijs Dille (*Beszélgetések*, 180).



Example 8-13: *Mikrokosmos* No. 122\*

What makes our experience strikingly similar is that the thumb and index fingers simultaneously hit keys, and then, the middle fingers hit another key; thus, the melody moves outwards in contrary motion. In this regard, the beginning of No. 141 ‘Subject and Reflection’ may also offer a very similar playing experience (See Example 8-14). There, only the thumbs play a sustained note ( $b_b^1/b_b$ ), but the melody moves similarly outwards in contrary motion ( $b_b^1-c^2-e_b^2-d^2-f^2$  in the right hand and  $b_b-a_b-f-g_b-e_b$  in the left hand). We shall return to this point later, as the draft demonstrates a possibly different concept.



Example 8-14: *Mikrokosmos* No. 141\*

One of the important aspects of No. 122 is that Bartók occasionally applies irregular metric structures. Even though there are no changes in the time signature, it is possible to observe that part of this piece is not written in regular 2/4. The rhythm in bar 6 can be considered a variant of bar 1: a syncopated rhythm pattern ♩ ♩ ♩ (consisting of four quavers) is compressed into ♩ ♩ ♩ (consisting of only three quavers). Elsewhere in the piece, Bartók indeed implied similarly irregular metres within the normal 2/4 bars. For instance, in bars 47–48, quavers are grouped into three and

(probably) two, and in bars 70–72, quavers are grouped into 3+2+3+2 based on the *sf* at the beginning of each group. Related to this topic, a kind of ‘shifted rhythm’ can be observed in bars 8–12: taking the crotchet as the counting unit, this section can be divided into three groups as 3+3+4.<sup>11</sup> In the first two groups, the division of the group does not coincide with the barline; the last group can be considered an enlarged version of the former two groups due to the insertion of an additional beat.

It is not always necessary to relate this irregular metric structure to some concepts derived from folk music. It seems to be enough to acknowledge that playing with the metre is part of Bartók’s compositional language. He sometimes notated music in a combination of irregular metres, even though such music could have been notated, for instance, in a regular 2/4 metre (see Examples 8-15 and 8-16). In No. 122, Bartók chose a regular 2/4 metre instead of an alteration of irregular metres. Regardless of the surface of the notation, an implied change of metres is still present. The musical possibility of irregular metres is more fully exploited in Nos. 140 and 141, the pieces composed somewhat later.



Example 8-15: Third String Quartet, Seconda parte (in the original notation)



Example 8-16: Third String Quartet, Seconda parte (edited in regular 2/4)

<sup>11</sup> See Béla Bartók, *Rumanian Folk Music*, ed. Benjamin Suchoff, vol. I: *Instrumental Melodies* (The Hague: Martinus Nijhoff, 1967), 45.

1 4 4+1 +2 5 11 11+1 12 12+1

marad

13 16 16+1 17 17+1 18 20 21 22 23 24 24+1 25 25+1 26

8.....  
col. 1.

8.....  
3/4

24

16.....

45-46  
bis

The image displays a diplomatic transcription of Mikrokosmos No. 122, organized into three systems of piano music. Each system consists of a grand staff with a treble and bass clef. The notation includes various rhythmic values, accidentals, and dynamic markings. Annotations above the staves indicate measure numbers and specific rhythmic or structural details, such as '11 marad', '11+1', '12', '12+1', '16+1', '17', '17+1', '24', '24+1', '25', '25+1', and '45-46 bis'. Some measures are crossed out with large 'X' marks, indicating deletions or corrections. A bracket labeled '8.....' spans measures 24 and 25, and another bracket labeled '8..... col. 1.' spans measures 24 and 25 in the second system. A bracket labeled '3/4' is placed over measure 24+1. A bracket labeled '24' is placed over measure 24. A bracket labeled '16.....' is placed over measure 26. A bracket labeled '45-46 bis' is placed over measures 45 and 46 in the third system. The score is written in a key signature of one sharp (F#) and a time signature of 3/4.

Example 8-17: *Mikrokosmos* No. 122 (diplomatic transcription from **D**<sub>1932</sub>, p. 26)

The way No. 122 was drafted also deserves attention (see Example 8-17). Bartók wrote out the chord at the beginning ( $d^2/c^2/g^1$  in the right hand and  $g/f\sharp/c$  in the left hand). In the following, however, he notated almost only the middle, moving parts, but it is obvious that the open fifths ( $d^2/g^1$  and  $g/c$ ) should be played repeatedly, together with the middle parts.<sup>12</sup> Another interesting aspect of the notation is that three different contrapuntal combinations were drafted in parallel (bars 1–12, 13–26, and 27ff.). In the first combination, the right and left hands are in inversion, and the interval of the initial notes is a minor third. In the second combination, the repeated chord in the both hands can be considered in inversional symmetry ( $g^1/d^1$  and  $c^1/g$ , respectively), but the melody moves in canon at the fifth (beginning on  $a^1$  and  $d$ , respectively). In the third combination, the right and left hands are in inversion, similar to the first combination, but the interval of the initial notes is at a perfect fourth.

It is not a coincidence that each combination begins at the beginning of a new system. It is impossible to properly demonstrate in the transcription, but the last three bars of these three systems are very densely notated in the right margin. In addition, in the first two systems, the notation is more spacious in the first few bars, but it becomes ever more crowded in the following bars. Based on these characteristic features of notation, Bartók seems to have started sketching three combinations one after another, each in a new system, without filling out the previous system. That the third system is generally more densely notated than the previous two systems might have been affected by the fact that too little space was left on the page (**D**<sub>1932</sub>, p. 26). Bartók should have tried hard to finish the draft within the page (he even ruled a staff by hand in the bottom margin); however, he eventually had to write the conclusion of the piece on a different page (**D**<sub>1933</sub>, p. 29).

In the draft of the *Mikrokosmos* pieces, one can occasionally find that Bartók first jotted down different versions of the main musical idea, devised from different contrapuntal combinations, at the beginning of different systems and then worked them out later (other examples can be found in the draft of Nos. 47 ‘Big Fair’, 133 ‘Syncopation (3)’, etc.). Such a compositional process may be unique to the *Mikrokosmos* pieces; in the case of large-scale works, it would be impossible to know

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<sup>12</sup> For instance, see Friedemann Sallis, *Music Sketches* (Cambridge: Cambridge University Press, 2015), 174. In the present dissertation, I do not complement the missing notes or parts, as such detailed interpretations of draft do not belong to the scope of the dissertation.

in advance where exactly a new section would begin. If he wanted to try out different contrapuntal combinations, then he might have written a sketch on a separate sheet or in a blank space on the page, rather than directly writing it as part of the draft.

### 8.3. No. 132—The ‘Cluster’ Chords

While No. 122 can directly be related to No. 144 because their beginning is played on the piano in a very similar way, No. 132 could be a different case with regard to No. 144, serving as a source of inspiration but not in a direct way but, rather, on a conceptual level.

The title, ‘Major Seconds Broken and Together’, is already suggestive and can be regarded as a counterpart of No. 144 ‘Minor Seconds, Major Sevenths’, as the title suggests. Concerning No. 132, however, despite its title, it is difficult to judge which one is more important from a musical perspective—major seconds or minor seconds. In fact, the minor seconds appear as frequently as the major seconds: for instance, the accompaniment chords consist of accumulated major seconds, but they usually move in minor seconds; in the melody, major seconds and minor seconds appear one after another. It is possible that the title of No. 132 was coined to better distinguish it from No. 144, that is, to distinguish a piece featuring both minor and major seconds from a piece placing more emphasis on minor seconds (and its complementary interval, the major seventh).

The use of major seconds can be better observed in the accompanying chords, which consist of major seconds with only a few exceptions (see Example 8-18; for the exceptions, see below). Although the chords usually move a minor second upwards or downwards, the sonority of the major seconds is characteristic enough that we should acknowledge their greater importance in the piece. Even though the accompaniment chords contain only two or three notes, they can still be called cluster chords, as they provide masses of sound.<sup>13</sup> A possible descendent of this cluster chord can be found in the conclusion of No. 122 (bars 60ff), where percussive chords ( $e^2/d^2/a^1/g^1$  in the right hand,  $a/g/d/c$  in the left hand, etc.) lead the music to the climax. The chords are

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<sup>13</sup> The definition of the cluster in *The Oxford Dictionary of Music* is the following: ‘Chord in which the constituent notes are a major or minor 2nd apart, forming sound mass, rather than chord describable in terms of tonal or triadic harmony.’ See ‘cluster’, in *The Oxford Dictionary of Music*, ed. Joyce Kennedy et al. (Oxford University Press, 2012), <https://www.oxfordreference.com/view/10.1093/acref/9780199578108.001.0001/acref-9780199578108-e-1981>.



probably made of accumulated perfect fifths instead of major seconds, but the presence of major seconds reveals a relationship with the cluster-like chords in No. 132.



Example 8-18: *Mikrokosmos* No. 132\*

However, a more developed form of this ‘cluster’ chord can be found in No. 144, which solely consists of semitones. If Bartók planned to create *Mikrokosmos* as a ‘multifaceted work’,<sup>14</sup> it is plausible that he composed a new piece by using a device he did not use in one of the previous pieces. Thus, the emphasis on the major second might have stimulated Bartók to write another piece by using minor seconds. In this sense, No. 132 can be considered one of the sources of inspiration for No. 144.

How Bartók deals with the major and minor seconds in the melodic part in No. 132 is worth discussing. Basically, the melody consists of consecutive pairs of major seconds in a minor second distance. For instance, in bars 1–2 in the left hand,  $b-d^1$ ,  $c^1-d^1$ ,  $c\sharp^1-e^1$ , etc., the pairs of major seconds come one after another, and each figure is a minor second higher than the previous figure. These kinds of pairs of major seconds can be called ‘interlocking major seconds’ and can be distinguished from ‘adjacent major seconds’, which consist of pairs of major seconds separated by a minor second (for instance,  $b-d^1$ ,  $d^1-e^1$ ,  $f^1-g^1$ , etc.). While the former results in a highly chromatic melody, the latter produces an octatonic scale. It may not be a mere

<sup>14</sup> Bartók used the phrase ‘multifaceted work’ in 1932 to characterise the planned pedagogical work, which later became *Mikrokosmos*. See a letter from Bartók to Universal Edition, 12 October 1932 (PB, BB–UE); English translation from *Musical Mind*, No. 176.

coincidence that Bartók used octatonic scales in a piece belonging to the same group, No. 140 ‘Free Variation’.



Example 8-19: *Mikrokosmos* No. 132\*

It might be of some significance that intervals other than major seconds are more frequently used in the following bars: minor thirds in bar 6 and the consecutive use of minor seconds, especially in bars 7–10 (see Example 8-19). In these bars, however, this apparent deviation from the concept (i.e., the use of major seconds) does not undermine the importance of major seconds; rather, it underscores their significance. In a certain sense, this is similar to the use of the dominant chord in functional tonality: dominant chords do not impair the sense of tonality but prepare and eventually emphasise the return of the tonic. In No. 132, the use of other intervals, especially minor seconds, prepares the return of major seconds.

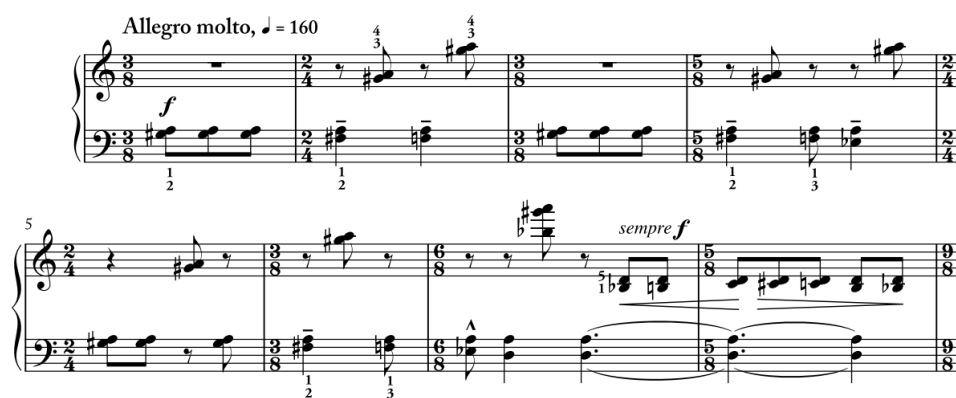
From a harmonic perspective, bars 7–10 can also be considered important. In contrast to the melody, the accompanying chords always consist of major seconds throughout the piece; only two exceptions can be found at the end of bar 7 in the right hand. This deviation underlines my interpretation in the previous paragraph that bars 7–10 constitute a section where the basic concept (i.e., the application of major seconds) is not valid.

After this examination of the three pieces, it is possible to see that the related elements cannot always be found in pieces composed one after another. Occasionally, a more developed form of one musical element can be better observed in a piece composed somewhat later: for instance, the idea of the cluster chord is fully developed not in the following piece, No. 122, but in No. 144, which was written

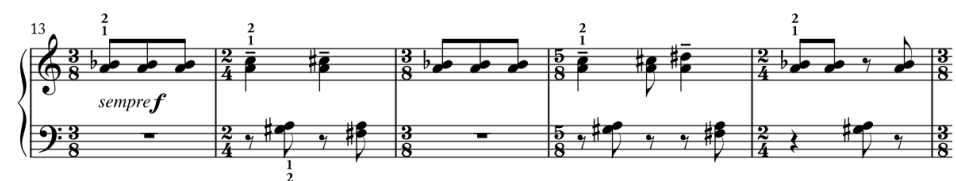
somewhat later.<sup>15</sup> The next piece to be examined, No. 140, contains several characteristic features that can be related not only to No. 144 but also to Nos. 132 and 122.

## 8.4. No. 140—The Revision of Regular and Irregular Metres

The basic idea of No. 140 ‘Free Variations’ can be related to Nos. 122 and 144: the combination of a sustained note and a melody moving outwards (see Examples 8-20 and 8-21). In the right hand,  $a^1$  is held by the thumb, and then, the melody goes upward ( $b^1-c^2-c^\sharp-d^\sharp$ ); in the left hand,  $a$  is held by the thumb, and then, the melody goes downward ( $g^\sharp-f^\sharp-f^\sharp-e^b$ ). In No. 140, however, the right and left handplay almost the same material but not simultaneously in contrary motion. This difference probably comes from the form of the piece: as its title, ‘Free Variations’, suggests, this is a piece in variation form. Thus, the theme is first played by the left hand (bars 1–12); then, its variation—the inversion of the theme—is played by the right hand (bars 13–



Example 8-20: *Mikrokosmos* No. 140\*



Example 8-21: *Mikrokosmos* No. 140\*

<sup>15</sup> In some cases, a particular musical idea can be found in several pieces that are separated by several years (e.g., Nos. 23 ‘Imitation and Inversion (1)’, 25 ‘Imitation and Inversion (2)’, and 14 ‘Question and Answer’; see Chapter 7).



Example 8-22: *Mikrokosmos* No. 140\*

Even though the initial figure is related to the previous pieces (Nos. 122 and 144), No. 140 is also based on another structural device possibly related to No. 132: octatonic scales. In the first section (bars 1–23); however, only snippets of octatonic scales are played by the right and left hands ( $e^2-d\sharp^2-c\sharp^2-c\sharp^2-b^1-a^1$  in the right hand and  $a-g\sharp-f\sharp-f\sharp-e\flat-d$  in the left hand), but their characteristic intervallic structure is sufficient to identify them as the octatonic scale. As these snippets are arranged around the axis of symmetry  $a$ , they do not form a complete octatonic scale together. A complete octatonic scale is implied only in the middle section (bars 52–64; see Example 8-22) where neither the right hand nor the left hand plays a complete octatonic scale but, together, both hands constitute a complete octatonic scale:  $c-b-b\flat(a)-a\flat(g\sharp)-g\flat(f\sharp)-f\sharp-e\flat-d-c$ .

The idea that the right and left hands play snippets from different octatonic scales might be interesting from a technical perspective, as any two different octatonic scales can yield a complete chromatic scale. Even though Bartók never used the twelve-tone technique in Schoenberg's sense, he seems to be interested in the application of all twelve chromatic notes in his compositions. Indeed, there is a contemporary *Mikrokosmos* piece—No. 133 'Syncopation' from 1932—that is based on two complementary six-note pitch sets.<sup>16</sup> Thus, it is not surprising that he tried to exploit all twelve notes in No. 140. From this perspective, it is remarkable that in the second half of the theme (bars 7–12), the right hand plays exactly the notes that have not been played by the left hand:  $c\sharp^1-c\sharp^1-b-b\flat$ .

<sup>16</sup> For details, see Chapter 11.



Example 8-23: *Mikrokosmos* No. 140, final layer (transcription from **D**<sub>1932</sub>, pp. 30 and 47)

Example 8-24: *Mikrokosmos* No. 140\*

The application of octatonic scales may not be considered extraordinary in the case of a work by a 20th-century composer; however, as mentioned above, in this *Mikrokosmos* piece, the use of octatonic scales might be related to an element used in one of the previously composed pieces: the alternation of minor and major seconds in No. 132. However, the application of the octatonic scale should not be considered a kind of concept to which Bartók intended to adhere. This can be better observed through a comparison of the draft and the final version of bars 34ff. (see Examples 8-23 and 8-24). In this section, the right hand does not strictly move in an octatonic scale (note 1 in bar 36 RH is  $b\sharp^1/a^1$  instead of  $b\flat^1/a^1$ ); however, it is remarkable that the left hand was written in accordance with the octatonic scale ( $a-g\sharp-f\sharp-f\sharp-e\flat-d$ ) in the draft, but several notes were revised during the preparation of the fair copy.<sup>17</sup> As a result, the lower notes of the left hand now consist only of semitones ( $f\sharp-f\sharp-e-d\sharp$ ) instead of the alternation of major and minor seconds.

<sup>17</sup> The draft version itself contains several layers, and apparently, one of the original layers coincides with the final version. For details, see *BBCCE*/41.

The image shows a musical score for Mikrokosmos No. 140, measures 21-34. The score is written in treble and bass clefs. Measures 21-23 are circled, and measures 24-34 are crossed out with a large X. The word 'vagy:' is written below the crossed-out section.

Example 8-25: *Mikrokosmos* No. 140 (diplomatic transcription of **D**<sub>1932</sub>, p. 30)

There are several other elements derived from the previous pieces. For instance, major sevenths (one of the defining intervals in the previously composed piece, No. 144) appear several times. Others include the chord in bar 7 in the right hand ( $a^3/g\sharp^3/b^2$ ) and the sustained dyad  $c\sharp^1/c\sharp$  in bars 24–34 in the left hand. In these cases, however, major sevenths were probably used with pedagogical considerations: as mentioned before, this is the widest interval next to the octave; thus, it might be used as a substitution for the octave when Bartók wanted to create a widely spaced sonority. As discussed in the case of No. 144, the major seventh has a characteristic sonority that could also have been exploited as an imitation of a bell sound; however, Bartók does not seem to have intended to use such a possibility here. The former (the chord in bar 7 RH) seems to merely provide a clashing sound in a high register. Concerning the latter, it is remarkable that Bartók originally planned the dyad differently (see Example 8-25). In the initial layer, there was no dyad at the beginning of bar 34 in the left hand (see the original layer of bar 34 staff 2); when he later thoroughly revised the section, he first notated a diminished seventh dyad ( $b\flat/c\sharp$ ) as a consequence of chromatic stepwise motion (see bars 23 and 34 staves 4–5, where the interval of the dyad is gradually enlarged from a minor third to a diminished seventh). The major seventh dyad in the revised form (notated as a diminished octave) is also the result of the almost identical chromatic stepwise motion: the difference is where the descending chromatic line of the upper part changes its direction, either at *f* (the last note of bar 22 in the left hand; see staff 3) or *e* (the first note of bar 23 in the left hand; see staff 4).

On the other hand, the ostinato figure before the middle section (bars 44–51) may refer to No. 144 (see Example 8-26). Although the intervallic content is not identical to the initial figures of No. 144, the structure is quite similar: a chromatic cluster in the middle ( $B\flat/A/G\sharp$ ) is framed by a major seventh ( $e\flat/E$ ). This section, in turn, might have inspired Bartók to compose a bridge section (bars 59–62) for No. 141 ‘Subject and Reflection’ (see Example 8-27). There, the major second dyads ( $a/g$  or  $g/f$ ) in the crotchet are played in different octaves, and the pitches in the right and left hands are in mirror inversion. Such a similarity might have been considered trivial because the music lacks any special characteristic quality here. Nevertheless, it is remarkable that Bartók used quite similar passages in the pieces drafted one after another in **D**<sub>1933</sub>.



Example 8-26: *Mikrokosmos* No. 140



Example 8-27: *Mikrokosmos* No. 141

Bartók's unique application of metre has already been discussed in relation to No. 122; that is, for some reason, some of his music is not written in the actual metre of the music. No. 122 is notated in 2/4 throughout, independent of some local irregular rhythmic structures. In other compositions, an apparently regular metric structure is notated in alternating metres, probably to better emphasise musical accents that cannot be expressed through other means. No. 140 offers two quite interesting examples: on the one hand, Bartók originally conceived the music with the alternation of various metres in the succession of more regular metres, and later, he re-organised the barlines; on the other hand, he created an asymmetric metre by shortening a beat—the process was possibly related to some folk music practice.<sup>18</sup>

At the end of the theme (bars 7–12), various metres are used one after another: 6/8, 5/8, 9/8, 7/8, and 6/8 (see Example 8-28). In the draft, this section is written only in triplet metres, namely, 6/8 and 3/8 (see Example 8-29; bar 7 is omitted from the transcription, as it is essentially identical to the published version). The logic beyond the re-organisation of barlines is the emphasis on the cadential figures at the end of the theme: *e*–*d* (with *a* above or *A* below). This figure is repeated several times. In the published version, the relationship between this pair of notes is always 'strong-weak', and they are always placed at the beginning of the bar. In addition, in the

<sup>18</sup> For instance, see Bartók's essay 'The So-called Bulgarian Rhythm' (*Essays*, 47), where he argues that 'the extension of the note value is no other than the translation of a dynamic stress into terms of duration'.



The image shows a musical score for a piece titled "The Rose Tree". The score is written for piano and includes a vocal line. The key signature is one sharp (F#), and the time signature is 2/4. The score is divided into two systems, each with measures numbered 5 through 9. The first system (measures 5-9) features a vocal line with lyrics "The Rose Tree" and a piano accompaniment. The second system (measures 10-14) continues the piece with a vocal line and piano accompaniment. The score includes various musical notations such as notes, rests, and dynamic markings like "sempre f".

8 9 10 11 12

The musical score for 'The Rose Tree' is presented in two systems. The first system consists of five measures, numbered 8 through 12. The melody is written in the treble clef, and the bass line is in the bass clef. The key signature has one sharp (F#). The melody begins with a quarter rest in measure 8, followed by a series of eighth and sixteenth notes. The bass line features a mix of quarter and eighth notes, with some measures containing beamed eighth notes. The second system contains a single measure, measure 13, which continues the melody and bass line. The notation includes various musical symbols such as clefs, key signatures, and note values.

It is possible that Bartók improvised this passage and notated the music without knowing precisely how he should write it. It seems that at the time, Bartók had not yet arrived at the conclusion that the cadential figure should always be placed at the beginning of the bar (or the beat). In bars 19–23 (the section corresponding to bars 7–12), he also used an alternation of metres, albeit with less variety: 6/8 and 8/8 (see Example 8-30). In this section, the cadential figures in bars 22–23 (except for the first figure) seem to be placed off-beat, but this is only due to a hemiola; thus, they are still at the beginning of each beat. In the draft, the music seems to have basically been notated in 6/8 and 3/8, similar to the draft of bars 7–12 (see Example 8-31; for bars 22–23, see Example 8-25). In these bars, however, it is uncertain what metre was

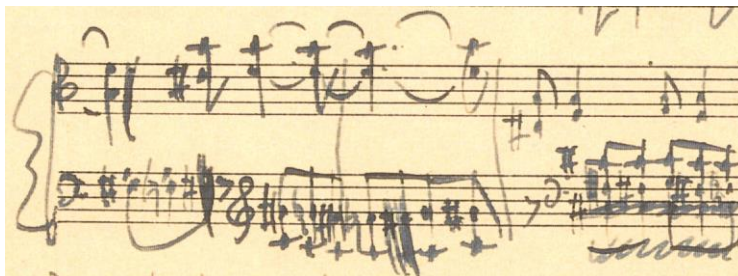
originally intended and what is the actual metre for the third bar of the transcription. As the barline after the second and third bars seems to have been added at least later than the right hand, Bartók might have notated these bars without barlines (see Example 8-32 for the facsimile, as well as Example 8-33 for the reconstructed transcription of the right hand); at that time, however, he tried to organise the notes based on 6/8 as much as possible, instead of the final 8/8. Concerning the third bar of the transcription, the right hand is notated in an irregular 4/8, but the left hand seems to have been re-organised in 3/8.



Example 8-30: *Mikrokosmos* No. 140\*



Example 8-31: *Mikrokosmos* No. 140 (diplomatic transcription from **D**<sub>1933</sub>, p. 30)



Example 8-32: *Mikrokosmos* No. 140 (facsimile from **D**<sub>1933</sub>, p. 30)



Example 8-33: *Mikrokosmos* No. 140 (reconstruction of **D**<sub>1933</sub>, p. 30)

Example 8-34: *Mikrokosmos* No. 140\*

It is remarkable that in the middle section (bars 52–64), Bartók applied different metres in the initial layer of the draft as well as in the original layer of **A**<sub>I/1</sub>. In the published form of this section, the metre is basically 8/8 (3+3+2), occasionally alternating with other metres (9/8, 7/8, and 6/8). In the second half of the section (bars 58–64; see Example 8-34), however, he used 9/8 instead of 8/8 in the initial layer of **D**<sub>1933</sub> (see Example 8-35). This layer considerably differs from the published version: for instance, *e*, in bar 60 in the left hand had only a quaver value, which resulted in a single 9/8 bar instead of two bars in 8/8 and 6/8; the cadential figure in ♩ rhythm is still present at the end of the section (bars v–viii). The music was considerably revised and then copied into **A**<sub>I/1</sub>, but the metre remained in 9/8 (see Example 8-36). In a subsequent revision, all these bars in 9/8 were changed to 8/8 by shortening the last beat and slightly modifying the accompaniment in the right hand in accordance with the new metre.

The second half of this section suggests that 8/8 is a modified 9/8 (3+3+3), but the actual relationship between these metres is more complex. The fact that the first half of the section (bars 52–57) seems to have been written in 8/8 from the very beginning deserves attention: there is no trace of revision of any note value in **D**<sub>1933</sub>. Thus, 9/8 could also be an expanded version of 8/8. Regardless of which metre Bartók



Example 8-35: *Mikrokosmos* No. 140 (diplomatic transcription from **D**<sub>1933</sub>, p. 47)



Example 8-36: *Mikrokosmos* No. 140 (transcription from the initial layer of **A**<sub>I1</sub>, p. 24)

The image displays a musical score for Mikrokosmos, Unpublished Piece 5, spanning measures 28 to 43. The score is written for piano and is divided into three systems. The first system (measures 28-34) features a treble and bass staff. The treble staff contains a wavy line in measure 28, followed by various chords and single notes. The bass staff has a complex texture with many beamed notes and rests. Measure 31 includes a 9/8 time signature. The second system (measures 35-39) continues the complex textures in both staves, with many beamed notes and rests. The third system (measures 40-43) shows a continuation of the complex textures, with a final measure (43) ending with a double bar line. The score is a diplomatic transcription from D<sub>1934-36</sub>, p. 32.

Example 8-37: *Mikrokosmos*, Unpublished Piece 5 (diplomatic transcription from **D**<sub>1934-36</sub>, p. 32)

actually applied first, the confrontation of 8/8 and 9/8 might have intentionally been introduced. Indeed, Bartók would use a similar confrontation of irregular and regular metres in the Unpublished Piece 5 (see Example 8-37; for the first half of the piece, see Example 1-4). In this piece, the first half is written in alternating 7/8 and 5/8, but the second half is in regular 9/8. This kind of metric confrontation could be used with greater effect in a longer composition, such as the second movement of the *Music for Strings, Percussion and Celesta* (BB 114, 1936), where the exposition in regular 2/4 is recapitulated in a combination of irregular metres.<sup>19</sup>

## 8.5. No. 141—Inversional Symmetry and Reflections on Water

The final piece to be discussed in this chapter, No. 141 ‘Subject and Reflection’, is based on the compositional elements used in the pieces examined thus far: inversional symmetry, the application of irregular metres, variation form, and imitation in canon. As we have not discussed the last two elements in the previous pieces in detail, we shall begin with them.

Although the word ‘variation’ is not used in the title and the form of this piece is a seven-part rondo, the technique of variation is quite important, as the refrain always returns in different keys and in slightly different styles. The combination of rondo and variation forms may remind us of the third movement of the Piano Sonata. The refrain always returns in slightly varied form, and the metre becomes increasingly unpredictable (however, in the case of No. 141, the difference between the refrains is less significant).

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<sup>19</sup> The application of different metres to the same musical material might have been inspired by Liszt’s music. For a summary of the influence of Liszt on Bartók, see Ferenc Bónis, ‘Quotations in Bartók’s Music: A Contribution to Bartók’s Psychology of Composition’, *Studia Musicologica Academiae Scientiarum Hungaricae* 5 (1963): 360–63. In addition to two works by Liszt (*A Faust Symphony* and *First Piano Concerto*) mentioned in Bartók’s writing ‘Liszt Problems’ (*Essays*, 503), *La leggierezza* (No. 2 of *Trois Études de concert*, S.144) also applies this compositional technique: in this piece, the theme first appears in an anguished character in F minor in 3/4, then the theme is transformed into a graceful character in A-flat major in 4/4.



Example 8-38: *Mikrokosmos* No. 141\*



Example 8-39: *Mikrokosmos* No. 141\*

For No. 141, Bartók offered a picturesque explanation of the piece: ‘I think of this as being mirrored in water: as the water becomes disturbed the reflection becomes distorted.’<sup>20</sup> Although this explanation is related to the entire piece, the idea of distortion can be better understood through an examination of how the refrains became ‘distorted’ one after another. In the first refrain (bars 1–14; see Example 8-38), both the right and left hands move in contrary motion simultaneously, but in the following refrains (bars 23–29 and 40–46), the right and left hands do not always move together, and some notes are omitted from one of them. In the last refrain (bars 63ff.) the right and left hands move in canon-like imitation, and the rhythmic distance between the two hands varies from time to time: in bars 63–69, the distance between the entrance of the theme in the right and left hands is a crotchet, but in bars 70–73, the distance is two crotchets (see Example 8-39). It is remarkable that the use of

<sup>20</sup> *Suchoff/dissertation*, 352.

canon-like imitation in the final refrain (bars 63ff.) seems to coincide with the last canon-like variation of No. 140 in contrary motion (bars 65ff.).

The use of canon form is also part of the concept of ‘distortion’. In the first two episodes (bars 15–22 and 30–39), both hands move simultaneously in contrary motion (which can also be considered a type of canon) but in the third episode (bars 47–62), both hands also move in contrary motion but at the distance of a quaver (see Example 8-40). This rhythmic interval can be considered extraordinary and is rarely used, as it significantly weakens the sense of metre.



Example 8-40: *Mikrokosmos* No. 141\*

Similar to No. 140, the change of metre is an important element in No. 141. Here, the use of the change of metre is also related to a principle that Bartók learned from folk music practice: the stressed note becomes longer. It is clear from a comparison of bars 2 and 5 that the existence of stress on the first note results in a 5/8 or a 2/4 metre, respectively. With stress, the first note becomes longer, and without stress, the first note becomes shorter. However, it is remarkable that Bartók originally applied a different rhythmic structure in a preliminary sketch of the theme (see Example 8-41). He appears to have composed the music in regular metres, but later he distributed the notes across asymmetric metres. The number of quavers in each bar is 8, 3, 5, and 4, but they can otherwise be grouped into two 4/4 and one 2/4 bars.



Example 8-41: *Mikrokosmos* No. 141 (reconstruction of the original layer from **D**<sub>1933</sub>, p. 47)



The image displays a musical score for Mikrokosmos No. 141, featuring a piano (p) and a second violin (II<sup>o</sup>) part. The piano part is written in treble and bass staves, while the second violin part is in a single treble staff. The score includes various musical notations such as notes, rests, and dynamic markings (*f*, *p*, *f*). There are several annotations and corrections in Hungarian, including "B középpont" (B center) and "csak alsó sz." (only lower part). A large bracket under the piano part indicates a correction to the "B középpont" section. The score is divided into measures, with measure numbers 1, 2, 3, 15, 8, and 14 marked. A double bar line is present between measures 3 and 15. A correction is shown in measure 14, where the original notation is crossed out and replaced with a new one. The piano part has a section marked "stb." (et cetera) and "csak alsó sz." (only lower part) with a wavy line indicating a correction. The second violin part has a section marked "B középpont" with a bracket indicating a correction. The score is a diplomatic transcription from D<sub>1933</sub>, p. 47.

Example 8-42: *Mikrokosmos* No. 141 (diplomatic transcription from **D**<sub>1933</sub>, p. 47)

orig.   
 21   
 8 also

orig.   
 21a   
 22a   
 23   
 3   
 8   
 Cis közép pont (fel) le   
 30-31   
 32-33   
 34   
 ≈30-39a   
 Cis F középpont   
 D (lefelé) (fel)

orig.   
 37   
 (≈30-39a)   
 40   
 ≈43-46   
 loco   
 ≈47-62a   
 F középpont   
 Fis   
 Es középpont lefelé   
 így:   
 stb.   
 addig   
 stb.

orig.   
 47   
 Fis   
 53-54   
 vi-

de   
 54+1   
 ≈55-57   
 A!   
 ≈58-62   
 orig.   
 ≈74-81   
 82

Example 8-43: *Mikrokosmos* No. 141 (diplomatic transcription from **D**<sub>1933</sub>, p. 48)

It is interesting that Bartók gradually worked out the appropriate metric structure of this theme. In the final layer of the draft (see Example 8-42), it can be observed that the first three bars (2/4+5/8+3/8) are now grouped into two 3/4 bars. However, in the repeat of the theme notated in staff 3 of the transcription (bars 8–14), he already applied the final metric structure.

In addition to the revision of the metric structure, it is possible to observe that Bartók originally drafted a slightly different form of the theme by exchanging the third and fourth notes. The original form of the theme may remind us of the melodic pattern 1–3–5–4–2, which he used in some of the easy pieces from 1932 (i.e., Nos. 37 ‘In Lydian Mode’, 60 ‘Canon with Sustained Notes’, and 48 ‘In Mixolydian Mode’; see the previous chapter). This may not be a mere coincidence, considering that No. 141 might have originally been intended as a rather easy piece.

There are two characteristic features that suggest that this draft was designed for beginners or intermediate pupils (see Example 8-43): (1) there seem to have been no sustained notes throughout the piece in the initial layer of the draft (the only exception is the left hand in the fourth bar from the ending); and (2) this piece is written in the same tonality (i.e., A) from beginning to end, without transposition. In particular, the choice of tonality can be considered important: in contrast to the tonality of the final version, B $\flat$ , the pupil can play the piece in the normal hand position. In the final version, both hands should be placed in a raised, unusual position so that the thumbs should easily play the black keys (B $\flat$ ), which makes it difficult to use other fingers.

Based on the draft, Bartók introduced the transposition of each episode and refrain into other keys (for instance, the instruction ‘*B közép pont*’ [B $\flat$  as the centre] in bar 15 marks that the axis of symmetry is to be changed to B $\flat$ ) before he finalised the draft (see bars 47–54, where the revised passage is already notated in a tonality other than A). However, it is unclear when he added the sustained notes. In the fourth bar from the last, there is a sustained  $a^1$  in the left hand, which was notated to clearly mark when and by which hand the sustained note should be played; however, it is impossible to establish whether the sustained note can be applied to earlier bars. It is likely that if Bartók intended to write the sustained note for both hands, he might have at least added it at the beginning of the piece, similar to the case of No. 122, where he notated the framing open fifth interval ( $d^2/g^1$ ) at the beginning.

Regardless of whether the use of sustained notes belonged to Bartók's original concept, the sustained notes play an essential role in the final version of the piece: they clearly mark the axis of symmetry. It is remarkable that as a compositional technique, inversional symmetry was used in several pieces, but it received the most detailed treatment in No. 141, and the use of sustained notes enhances its importance. Furthermore, in this piece, the compositional technique seems to be associated with an extramusical concept: as mentioned above, Bartók's metaphor of this piece, a reflection on the water, seems to make sense, as the sustained notes may mark the surface of the water, and while the right hand may represent a subject, the left hand may represent its reflection on the water.

It is possible that what Bartók told Ann Chenée was made at her request to provide some descriptive explanation to help American piano teachers understand his music. Thus, this explanation does not necessarily reveal the composer's original idea.<sup>21</sup> However, considering that he told the concept concerning No. 142 'From the Diary of a Fly', which corresponds to what he had written in a letter to the publisher,<sup>22</sup> it is still plausible that Bartók revealed his secret of the concept of No. 141 to Chenée.

The association of inversional symmetry and a reflection on the water seems to be applicable not only to No. 141 but also to other works. For instance, in the case of No. 144, if the cluster chord is related to the sound of an 'unka' toad, the association with water seems to make sense. On the other hand, the outer sections of the second movement of the Second Piano Concerto, where the strings play accumulated open fifth chords largely in contrary motion, may also be associated with water. If the contrast of the solemn atmosphere of the outer sections and the stormy inner section suggests that their topic is the music of nature, the association with water underlines this topic.

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<sup>21</sup> Concerning this problem, see Appendix of *BBCCE*/41.

<sup>22</sup> Cf. a letter from Bartók to Hawkes, 18 December 1939 (PB, BB-B&H) and *Suchoff/dissertation*, 354.

## 9. The 1933 Pieces and the Second Piano Concerto

In **D**<sub>1933</sub>, it is possible to discover a group of drafts that were apparently composed one after another: Nos. 142 ‘From the Diary of a Fly’, 88 ‘Duet for Pipes’, 143 ‘Divided Arpeggios’, 147 ‘March’, 75 ‘Triplets’, 85 ‘Broken Chords’, and 79 ‘Hommage à J.S.B.’. They were written on pp. 10–12, 41–42, and 53. The continuity of writing can be assumed by the fact that these pages always end with a draft that continues on the following page, except for pp. 11–12: p. 11 ends with the complete draft of No. 88, and p. 12 begins with a draft of a new piece, No. 143. However, as Nos. 142, 88, 143, and 147 can be found in pp. 26–29 of **A**<sub>I/1</sub> one after another, it is likely that these pieces were completed in the same period and were copied together into **A**<sub>I/1</sub> (see Subchapter 4.1.). Even though Nos. 75, 85, and 79 are separated from each other in **A**<sub>I</sub> (No. 75 at the bottom of p. 36, No. 85 at the top of p. 33, and No. 79 at the top of p. 49), these pieces might have been composed on the same occasion; due to the available blank space on these pages, they were copied separately into **A**<sub>I/1</sub> or **A**<sub>I/2</sub> (see Subchapter 4.2.). Furthermore, the existence of some common musical elements between them makes it plausible that these pieces constitute a group, although the degree of relationship between the given pieces differs from case to case.

### 9.1. Nos. 75 and 85—The Use of Triplets

Most likely, the most palpable similarity is the use of triplets in Nos. 88, 147, 75, and 85. However, it is important to note that all these pieces contain alternations of triplets and duplets, not only for the sake of rhythmic variety but also for pedagogical purposes. In fact, Margit Varró made a note concerning this topic in relation to No. 46 of the *Piano Method*. Its metre is 2/4, but it contains only triplets: ‘Every child feels the meter of this piece as 6/8; thus we are asking for another piece with real triplets!’<sup>1</sup> No. 85 is a piece in true 6/8, but it contains some duplets at the cadences (bars 3, 27, and 59–60).

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<sup>1</sup> For the original Hungarian sentence, see Chapter 5. English translation is quoted from *Lampert*, 134.

Andante,  $\text{♩} = 88$

$f$

Più andante, scorrevole,  $\text{♩} = 108$

$p$

Example 9-1: *Mikrokosmos* No. 85\*

Leise und sehr egal zu spielen.

Original (from Robert Schumanns Werke)

Andante.

From Bartók's edition

$p$  ed egualmente

Original (from Robert Schumanns Werke)

From Bartók's edition

Example 9-2: Robert Schumann, *Album für die Jugend* No. 14

It is remarkable that No. 85 bears some similarity to the ‘Kleine Studie’ from Robert Schumann’s *Album für die Jugend*, in that both are based on arpeggios (see Example 9-1 and the upper system of Example 9-2). From an analytic perspective, however, the difference between these pieces is more important: while the piece by Schumann has a strong harmonic background (similar to the C major Prelude from vol. I of the *Well-Tempered Clavier*), No. 85 of the *Mikrokosmos* is essentially a

linear piece without functional harmonic progression in the background. Consequently, each note of No. 85 has almost equal importance. It is notable that Bartók's edition of Schumann's piece (see the lower half of Example 9-2) reveals how Bartók understood the piece: there is a clear hierarchy between more important and less important notes, marked by an additional stem in contrary direction.

Nevertheless, it seems likely that Bartók occasionally borrowed his predecessors' musical ideas and used them in a developed form.<sup>2</sup> The fact that the texture in No. 1 of the *For Children* series bears remarkable similarity to some of the first pieces from the *Album für die Jugend* can be considered a good example.<sup>3</sup> This association with Schumann's pedagogical pieces can also be underlined by the existence of an *homage* to Schumann within the *Mikrokosmos* (No. 80 'Hommage à Schumann').<sup>4</sup>

The allusion to Schumann's music seems to be related to No. 79 'Hommage à J.S.B.'. A reference to one of the great masters of pedagogical music could have stimulated Bartók to write another piece in reference to another great master. In No. 79, the reference to Bach is less significant in the published form, as the music does not bear any particular similarity to Bach's music. Interestingly, the initial layer of No. 79 in **D**<sub>1933</sub> makes it quite obvious to which piece Bartók was referring to: the continuously moving right and left hands in contrary motion suggest that this piece is an allusion to the C minor Prelude from vol. I of the *Well-Tempered Clavier*.

## 9.2. Nos. 142, 88, and 75—Duets

A less significant yet still important element in some of these pieces is the concept of 'duet'. In addition to No. 88, whose title, 'Duet for Pipes', unambiguously conveys this concept, No. 142 'From the Diary of a Fly' can also be considered a 'duet', although the title refers to a fly in the singular form. The use of two linear voices moving largely in contrary motion may suggest the existence of two characters rather than a single fly (for a detailed discussion, see Chapter 1). No. 75 'Triplets' may also imply a duet due to the exchange of parts in the right and left hands (see Example 9-3).

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<sup>2</sup> See Chapter 1 (concerning the possible relationship between No. 102 'Harmonics' and his contemporary composers) and Chapter 10.

<sup>3</sup> For the relationship between the *Album für die Jugend* and the first piece of *For Children*, see James Parakilas, 'Folk Song as Musical Wet Nurse: The Prehistory of Bartók's "For Children"', *The Musical Quarterly* 79, No. 3 (Autumn 1995): 487–90; see also Chapter 10.

<sup>4</sup> For the detailed discussion of the *hommage* piece, see Chapter 10.

This kind of exchange of parts can frequently be found within *Mikrokosmos*, but in No. 75, the existence of sustained notes at the beginning suggests a different kind of ‘Duet for Pipes’—different from flute, oboe or English horn, as Bartók suggested for No. 88<sup>5</sup>—probably an imaginary duet for bagpipes.



Example 9-3: *Mikrokosmos* No. 75\*

### 9.3. Nos. 143 and 147—Reminiscence of the Second Piano Concerto

However, the most important topic is the latent relationship between *Mikrokosmos* Nos. 143 and 147 and the Second Piano Concerto, which was premiered by Bartók as soloist on 23 January 1933. Even though whether the composition of Nos. 143 and 147 took place earlier or later than the premiere of the Second Piano Concerto cannot be determined, these events are more or less contemporaneous, and the preparation for the first performance might have influenced the composition of the *Mikrokosmos* pieces. It is possible that his recent experience playing the solo part could have caused some surface similarity (i.e., similar musical gestures, common motifs, etc.); nevertheless, it is important to first identify these similarities, as the relationship between *Mikrokosmos* and the Second Piano Concerto has not yet been discussed elsewhere.<sup>6</sup>

<sup>5</sup> The flute is mentioned in the note recorded by Ann Chenée (see *Suchoff/dissertation*, 302); the reference to the oboe and English horn can be found in **AP<sub>B&H</sub>**, p. 27, where Bartók himself gave an instruction in relation to the planned illustration (for the illustration plan, see *BBCCE/40*, 27–28).

<sup>6</sup> In my examination, various guides or studies on the *Mikrokosmos* do not mention this relationship: i.e., Jürgen, *Spielanweisungen und Erläuterungen*; Frank, *Bevezető Bartók Mikrokosmoszának világába*; David Yeomans, *Bartók for Piano* (Bloomington: Indiana



The third movement of the Second Piano Concerto begins with a widely arpeggiated pentatonic chord from  $F\sharp_1$  to  $d^4$  (see Example 9-4). A rather peculiar notation including both sharp and flat signs ( $f\sharp-g\sharp-c\sharp-e\flat$ ) is intended to mark the tonal centre,  $d$ .<sup>7</sup> The same kind of arpeggio is used at the beginning arpeggio of No. 143 (see Example 9-5). In No. 143, the arpeggio is notated by only flat-side notes and in a different transposition; nevertheless, the chord consists of the same intervals ( $d\flat-e\flat-a\flat-b\flat$ ; from below, major second–perfect fourth–major second). Although this arpeggio may not appear to have any marked musical character, from an analytical perspective, the pentatonic chord plays an essential role in both the Second Piano Concerto and *Mikrokosmos* No. 143.



Example 9-4: Second Piano Concerto, third movement (piano part)



Example 9-5: *Mikrokosmos* No. 143\*

In the Second Piano Concerto, this arpeggio can be considered a variation on the beginning of the first movement, where the piano plays a diatonic scale on D (see Example 9-6). However, the transformation of a diatonic scale into a pentatonic scale might not have been devised directly. The use of a pentatonic chord might be derived

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University Press, 1988); Barbara Nissman, *Bartók and the Piano: a Performer's View* (Maryland: Scarecrow press, 2002); *Suchoff/Mikrokosmos*, and Yamazaki, *Shidōhō* and Yamazaki, *Kaishaku*. Not all of these works are equally important, but it is striking that Suchoff does not mention it, despite the fact that he usually provides many examples of musical parallels between *Mikrokosmos* pieces and Bartók's own works, collected folk music, and works by other composers.

<sup>7</sup> This phenomenon is called 'encircle' by Malcolm Gillies. See his *Notation and Structure in Bartók's Later Works* (New York: Garland Publishing, 1989), 43ff.

from the tranquillo theme in the first movement of a pentatonic character (bars 81ff., see Example 9-7).<sup>8</sup>



Example 9-6: Second Piano Concerto, first movement (piano part)



Example 9-7: Second Piano Concerto, first movement (piano part)

Some latent relationship between the pentatonic chord and other materials in the third movement of the Second Piano Concerto may become clear by analysing No. 143. In this piece, the so-called ‘major-minor chord’ seems to play an essential role.<sup>9</sup> This chord can be considered the first inversion of a major triad with an additional minor third on the top. In bar 6, the first four notes can be interpreted as an A-flat major-minor chord ( $c-e_{\flat}-a_{\flat}-b[=c^1]$ ) that is followed by a B-flat major-minor chord ( $d^1-f^1-b_{\flat}^1-d_{\flat}^2$ ) (see Example 9-8). This is a characteristically Bartókian chord, but in this piece, this chord can be derived from the pentatonic chord at the beginning by modifying the interval. By widening the major seconds between the lower and the upper two notes of the pentatonic chord (i.e.,  $d_{\flat}-e_{\flat}-a_{\flat}-b_{\flat}$ ), we can produce a major-minor chord (i.e.,  $c-e_{\flat}-a_{\flat}-b$ ) at the beginning of bar 6 (see Example 9-9). In the

<sup>8</sup> In this section, the fact that the right and left hands play ninth chords (consisting of two perfect fifths) largely in contrary motion deserves attention. This texture is also used in the second movement, where the strings provide a harmonic background in slow motion.

<sup>9</sup> Concerning the ‘major-minor chord’, see Ernő Lendvai, *Béla Bartók: An Analysis of his Music* (London: Kahn & Averill, 1971), 37–41 (Lendvai provides a lot of examples of the ‘major-minor chord’ quoted from Bartók’s compositions). Concerning the characteristic quality of this chord, see Kárpáti’s description: ‘The chord has—on account of its actual structure—the special tension of the diminished octave, and depending on the different ways the notes may be distributed, it has a large expressive range.’ (János Kárpáti, *Bartók’s Chamber Music* (Stuyvesant, NY: Pendragon Press, 1994), 178–179).

middle section (from bar 30), new chords are introduced (see Example 9-10), but the initial chord, the minor seventh chord, can also be created by manipulating the interval: by shrinking the perfect fourth in the middle to a major third, a major seventh chord can be created (i.e.,  $c-e\flat-g-b$ ); however, this set of pieces first appears in bar 39).<sup>10</sup> Some other seventh chords are also used in bars 31–43 (i.e., the minor seventh chord with a diminished fifth and the major seventh chord with an augmented fifth), but they can also be related to each other as a product of the manipulation of intervals.<sup>11</sup>



Example 9-8: *Mikrokosmos* No. 143\*



Example 9-9: Intervallic modification of the chords in No. 143



Example 9-10: *Mikrokosmos* No. 143\*

<sup>10</sup> The major-minor chord dominates the primary section (bars 6–21) and its recapitulation (bars 50–62); an apparent exception can be found in bar 56, where a different chord appears ( $d\sharp-f-a\flat-d\flat^1$  in the right hand). The deviation from what appears to be a fundamental rule of the section seems to have occupied several musicians, who even suspected that this is a textual error (see Thyne, ‘Bartók’s *Mikrokosmos*’, 45–46; Yamazaki, *Kaishaku*, 196). There is, however, no trace of revision regarding that chord in the manuscript sources, and Bartók did not seem to have had a problem concerning it. There can be several explanations to support Bartók’s compositional decision. The most likely reasoning is that there the four-note arpeggios do not come one after another but interlock each other: i.e., the arpeggios being not on  $d$  but on  $f$ , and two major-minor chords  $f-a\flat-d\flat^1-e\sharp^1$  and  $e^1\sharp-g^1-c^2-d\sharp^2$  share the common note,  $e\sharp^1$ . The interlocking arpeggios may increase the tension of the music, towards the climax of the piece. It is also possible to consider that an apparent irregular chord  $d\sharp-f-a\flat-d\flat^1$  is created through the modification of the inner interval applied elsewhere in the piece.

<sup>11</sup> For a different analytical approach to No. 143, see Iván F. Waldbauer, ‘Intellectual Construct and Tonal Direction in Bartók’s “Divided Arpeggios”’, *Studia Musicologica Academiae Scientiarum Hungaricae* 24 (1982): 527–536. It is notable that Waldbauer supports his argument by the information he gained from the autograph research.



(see Example 9-12). From bar 38, the left hand joins in. First, it moves in canon, and then, from bar 40, it moves in contrary motion. Quite similar passages can be found in the third movement of the Second Piano Concerto (see Examples 9-13 and 9-14). The fact that there are still no octaves in the draft deserves attention (see Example 9-15); the octaves were added only later, probably in 1937–1939. It is possible to discover that the figures in the third movement might have been developed through the movements, as similar sequential figures can be found in the previous movements, and there, octaves were not always used (see Examples 9-16, 9-17, and 9-18). This fact suggests the possibility that Bartók was referring to some musical idea underlying the Second Piano Concert and not specifically to the third movement.

This musical score shows measures 34 through 40 of Mikrokosmos No. 147. It is written for piano in a key with one sharp (F#). The score is in 3/4 time. Measures 34-36 show the right hand playing a melodic line with triplets and a half note, while the left hand plays a bass line with chords and triplets. Dynamics include *meno f* and *p*. Measures 37-39 continue the melodic and bass lines with triplets and a crescendo. Measure 40 shows the right hand playing a melodic line with triplets and the left hand playing a bass line with chords and triplets. The score ends with a final chord in measure 40.

Example 9-12: *Mikrokosmos* No. 147\*

This musical score shows measures 110 through 113 of the third movement of the Second Piano Concerto. It is written for piano in a key with two flats (Bb). The score is in 3/4 time. Measures 110-111 show the right hand playing a melodic line with triplets and the left hand playing a bass line with chords and triplets. Dynamics include *mf* and *f*. Measures 112-113 continue the melodic and bass lines with triplets and a crescendo. The score ends with a final chord in measure 113.

Example 9-13: Second Piano Concerto, third movement



Example 9-15: *Mikrokosmos* No. 147 (diplomatic transcription from **D**<sub>1933</sub>, pp. 41–42)

(For Example 9-14, see the following page.)



Example 9-14: Second Piano Concerto, third movement



Example 9-16: Second Piano Concerto, first movement<sup>13</sup>



Example 9-17: Second Piano Concerto, second movement, *Presto*



Example 9-18: Second Piano Concerto, second movement, *Adagio II*

From a structural perspective, these passages in the Second Piano Concerto do not seem to be an organic part of the movements. In the first and third movements, as well as the *Presto* of the second movement, these passages are part of motivically less important passages that form bridge passages between thematic sections. In the recapitulated *Adagio* of the second movement, the passage is an embellished version of bar 23, etc. in the first *Adagio*; thus, the passage belongs to a thematically important section, but it is questionable whether the figure itself has any particular importance.

<sup>13</sup> For Example 9-15, see the previous page.

It is difficult to determine whether these similar figures function as a link to other movements and whether their existence is significant. It is possible that Bartók repeatedly used the figures that fit his hands without particular intentions.<sup>14</sup> This explanation may also be applied to the application of a similar figure in No. 147: he used his favourite figures in a new piece.

Allegro, ♩ = 132

*f*

*sempre sim.*

*m.d.*

Example 9-19: *Mikrokosmos* No. 147\*

Moderato, ♩ = 112

*f, pesante*

*sempre simile*

Example 9-20: *Mikrokosmos* No. 128\*

At this point, we shall consult Bartók's own remark on this piece, recorded by Ann Chenée: 'Repetition in LH (fourths and fifths) creates a grotesque effect—like a march of primitive peoples.'<sup>15</sup> Bartók refers to the ostinato accompaniment figure at the beginning of the left hand, where dyads of a fourth and an open fifth (*f*<sup>♯</sup>/*B* and *e*/*B*) are played repeatedly (see Example 9-19). The 'grotesque effect' is created not only by these dyads, which have a void sonority, but also by the articulation. In contrast to

<sup>14</sup> This explanation can also be applied to the topics (especially inversional symmetry) discussed in the previous chapter.

<sup>15</sup> *Suchoff/dissertation*, 360.



an ordinary march, which usually represents light movement accompanied by a long-short rhythmic pattern, in No. 147, the movement is rather dragging, caused by *sempre tenuto*. It is remarkable that similar dragging accompaniment can be found in one of the *Mikrokosmos* pieces: No. 128 ‘Peasant Dance’ (see Example 9-20). The original Hungarian title, ‘Dobbantós tánc’ [Stomping Dance], unambiguously reveals its musical character.

Similar accompaniment figures can be found also in the first and third movements of the Second Piano Concerto (see Examples 9-21 and 9-22).<sup>16</sup> Being the accompaniment of a piano concerto, the harmony in this section is much more complex than that in No. 147 (especially in the first movement), but it is remarkable that the accompaniment figures make an impression similar to the accompaniment in No. 147. The similarity comes from two chords continuously alternating, while each note of these chords moves upward or downward in major or minor seconds.



Example 9-21: Second Piano Concerto, first movement



Example 9-22: Second Piano Concerto, third movement

Concerning the musical character of the accompaniment figures, those in the third movement are closer to No. 147 than those in the first movement. The accompaniment in the first movement sounds much more mechanical than both that in the third movement and that in No. 147. The impression is surely affected by the context—in the first movement, the piano plays an almost even rhythm in

<sup>16</sup> For a different interpretation of the accompaniment figure in the third movement, see László Vikárius, *Modell és inspiráció: Bartók zenei gondolkodásában* (Budapest: Jelenkor, 1999), 146–47.

semiquavers without the articulation of the phrases, except for a few slurs or *marcatissimo* on the two concluding notes of the phrases. In the third movement, the piano solo appears to be more ‘mechanical’, as it solely consists of even triplets. Nevertheless, irregularly placed *sforzati* (which in fact correspond to the melodic contour) give a ‘dragging’ character to the piano solo theme. In addition, the contrasting articulation (*legato* or *staccato*) may play an essential role.

Based on the musical similarity between the third movement of the Second Piano Concerto and No. 147, it seems possible to assume that what Bartók said about No. 147 can also be applied to this movement: this is music with a grotesque effect, like that of primitive people. If this is the case, then does the music of the first movement represent a contrary topic, such as the music of civilised people? Whether this interpretation makes sense and offers a coherent reading of the entire work requires further discussion. This case study may still be considered an example of the idea that a *Mikrokosmos* piece may serve as a key to understanding other works by Bartók.

## 10. References to Other Composers

In the previous chapters of Part II, we have discussed the relationship between contemporaneous *Mikrokosmos* pieces, as well as the influence of some of Bartók's previous works on them. Based on the micro-chronology established in Chapter 4, it was relatively easy to identify, for instance, the musical and conceptual relationship between pieces composed one after another. However, the possible references to works by other composers deserve some discussion.

In fact, Bartók's comments on the *Mikrokosmos* pieces, recorded by Ann Chenée,<sup>1</sup> contain many names of past and contemporary composers: Couperin,<sup>2</sup> Bach,<sup>3</sup> Schumann,<sup>4</sup> Chopin,<sup>5</sup> Wagner,<sup>6</sup> Scriabin,<sup>7</sup> Schoenberg,<sup>8</sup> Stravinsky,<sup>9</sup> Prokofiev,<sup>10</sup> Cowell,<sup>11</sup> and Gershwin.<sup>12</sup> Some of these abundant references may reveal possible sources of inspiration. However, he must have been selective concerning which composers the target audience—the average piano teacher and piano pupil in the United States—were supposed to know.<sup>13</sup> At the same time, as observed from the wording (e.g., 'similar to', 'like', 'a parallel can be found'), Bartók was occasionally

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<sup>1</sup> Bartók's comments are first published in Benjamin Suchoff's dissertation, based on Ann Chenée's notes (see *Suchoff/dissertation*, 236–368). For the philological problems of Bartók's comments, see the Appendix of *BBCCE/41*. The comments are reproduced in several later publications: see János Breuer, 'Bartók a *Mikrokozmoszról*', Parts 1–3, *Parlando* (September–November 1972): 1–8, 1–7, 3–8; *WU/Mikrokosmos*, Vol. I: 71–78, Vol. II: 114–120, Vol. III: 111–15.

<sup>2</sup> On No. 117 'Name of piece derived from the rhythm, similar to Couperin.'

<sup>3</sup> On No. 15 'A parallel can be found in the *Sarabande* from the First Partita of J. S. Bach.'; No. 17 'Same dissonance can be observed in Bach.'

<sup>4</sup> On No. 80 'Atmosphere like Schumann's music.'

<sup>5</sup> On No. 97 'Nostalgic piece in *E* minor reminiscent of Chopin or Scriabin.'

<sup>6</sup> On No. 100 'This resembles the Wagnerian "Magic Fire" theme from *Die Walküre*.'

<sup>7</sup> On No. 97 'Nostalgic piece in *E* minor reminiscent of Chopin or Scriabin.'

<sup>8</sup> On No. 102 'Schoenberg was the first to use harmonics in the three atonal pieces, Op. 11.'

<sup>9</sup> On No. 83 'Similar to a theme in [Stravinsky's] *Petrouchka*.'; on No. 105 'Similar to a theme in [Stravinsky's] *Le sacre du Printemps*.'

<sup>10</sup> On No. 133 'Good preparation for Prokofiev.'

<sup>11</sup> On No. 102 'Henry Cowell uses [harmonics] and many other devices such as plucking the strings in various ways at long or short distances to produce unusual sound effects or colors.'

<sup>12</sup> On No. 151 'Very much in the style of Gershwin. Gershwin's tonality, rhythm, and color. American folk song feeling.'

<sup>13</sup> Concerning this problem, see the Appendix of *BBCCE/41*.

(if not always) trying to provide examples to allow people to better understand his music.<sup>14</sup>

It may appear strange that some composers who should have been important for Bartók were not mentioned. For instance, Debussy seems to be one of the composers who exerted an influence on Bartók: the relationship between No. 51 ‘Waves’ and *La Mer* by Debussy is unmistakable (see Examples 10-1 and 10-2). In addition to the thematic similarity as the descending melody in the pentatonic scale, the choice of the title ‘Waves’, which is related to the sea, underscores the relationship. Furthermore, the composition of character pieces devoted to a single technical or musical element may refer to Debussy’s *Études*.



Example 10-1: *Mikrokosmos* No. 51\*



Example 10-2: Debussy, *La Mer*, first movement

In the present chapter, instead of conducting thorough research concerning the possible references to other composers in the *Mikrokosmos* pieces,<sup>15</sup> the scope of the discussion is limited to three composers whose name is mentioned by Bartók himself in distinct ways: J. S. Bach, Robert Schumann, and Mátyás Seiber.<sup>16</sup> In the case of Bach and Schumann, it is crucial that he mentioned their name in lecture recitals dedicated to pedagogical music:

Already at the very beginning of my career as a composer I had the idea of

<sup>14</sup> It is also possible that the mentioned composers and musical works can be better understood in the original context, i.e., the conversation of Bartók and Chenée between the discussion of each piece.

<sup>15</sup> Concerning this topic, see Bónis, ‘Quotations in Bartók’s Music’.

<sup>16</sup> I have already examined some possible influences of Bach and Schumann on *Mikrokosmos* pieces in my master’s thesis, but the examination was limited to the pieces composed in 1932 (see Nakahara, 95–98).

writing some easy works for piano students. This idea originated in my experience as a piano teacher; I had always the feeling that the available material, especially for beginners, has no real musical value, with the exception of very few works—for instance, Bach's easiest pieces and Schumann's *Jugendalbum*. I thought these works to be insufficient, and so, more than thirty years ago, I myself tried to write some easy piano pieces.<sup>17</sup>

In addition, it should be regarded as extraordinary that Bartók composed two *hommages* dedicated to each of them (Nos. 79 and 80). These two pieces are the only *hommages* not only in the *Mikrokosmos* pieces but also among Bartók's entire oeuvre.<sup>18</sup> In the case of Seiber, Bartók did not publicly mention his name in relation to the composition of the *Mikrokosmos* pieces; however, according to Seiber, Bartók personally told Seiber that he took up his pedagogical idea and further developed it.<sup>19</sup>

## 10.1. Bach

Bach's music served as one of the most important models for the *Mikrokosmos* pieces, especially those from 1932. Even though it is difficult to discover direct thematic references to Bach's music, the title of Nos. 91, 92, and 145, 'Chromatic Invention', unambiguously refers to Bach's *Inventions*. Even the first half of the title, 'Chromatic', is also related to Bach's *Chromatic Fantasy and Fugue*, and in a certain sense, a supposed concept of the theme of Bach's fugue seems to have been applied in the theme of Nos. 91 and 92. In Bach's fugue, eight chromatic notes are introduced one after another in two groups consisting of four notes ( $a^1-b^1-b^{\flat 1}-c^2$  then  $e^1-f^{\sharp 1}-f^{\sharp 1}-g^1$ ; see Example 10-3). In Nos. 91 and 92, eight chromatic notes are introduced in a somewhat similar way: in No. 91,  $a^1-g^{\sharp 1}-e^{\flat 1}-d^1$  and, then,  $g^1-f^{\sharp 1}-f^{\sharp 1}-e^1$  (see Example 10-4); in No. 92,  $e^1-f^{\flat 1}-a^{\sharp 1}-b^1$  and, then,  $a^{\sharp 1}-g^{\sharp 1}-g^{\flat 1}-f^{\sharp 1}$  (see Example 10-5).



Lento, ♩ = 72

*p, espr.*

*p[, espr.]*

Example 10-4: *Mikrokosmos* No. 91\*

**Allegro robusto**, ♩ = 138

The musical score is written for piano in G major and 4/4 time. The tempo is marked 'Allegro robusto' with a quarter note equal to 138 beats per minute. The key signature has one sharp (F#). The piece begins with a forte (*f*) and marcato dynamic. The melody is in the right hand, starting on G4, moving up stepwise through A4, B4, C5, D5, E5, F#5, and ending on G5. The bass line is in the left hand, starting on G2, moving up stepwise through A2, B2, C3, D3, E3, F#3, and ending on G3. Both hands have a steady eighth-note pulse. Fingerings are indicated: right hand (1, 4, 2) and left hand (5, 12, 4).

Example 10-5: *Mikrokosmos* No. 92\*

Concerning No. 79, the ‘*hommage*’ piece to Bach, what Bartók intended to refer to might be less obvious from the published score than from the original layer of the draft (see Examples 10-6 and 10-7). In the original layer of the draft, the right and left hands move continuously in contrary motion. This texture reminds us of the C-minor Prelude from Bach’s *Well-Tempered Clavier* Book I (see Example 10-8).

Calmò,  $\text{♩} = 69$

5

*mf, legato*

4

*mp*

Example 10-6: *Mikrokosmos* No. 79\*

A musical score for the song 'The Rose Tree'. It features a treble and bass staff in 2/4 time, with a key signature of one flat (B-flat). The melody is written in the treble staff, and the accompaniment is in the bass staff. The score consists of four measures, each containing a single note in the treble staff and a corresponding chord in the bass staff. The notes in the treble staff are G4, A4, B4, and C5. The bass staff accompaniment consists of chords: G2-B2-D3, A2-C3-E3, B2-D3-F3, and C3-E3-G3.

Example 10-8: J. S. Bach, *Well-Tempered Clavier* Book I, C-minor Prelude<sup>20</sup>

<sup>20</sup> For Example 10-7, see the following page.

The image displays a complex musical score for Mikrokosmos No. 79, organized into several layers and sections. The notation is primarily in treble and bass staves, with some sections featuring a grand staff (treble and bass clefs).

**Orig. layer:** The top section, numbered 1 through 6, shows a complex melodic line in the treble clef and a more rhythmic, often chromatic, line in the bass clef. The time signature is 3/4.

**Final layer:** Below the Orig. layer, this section shows a simplified version of the melody in the treble clef and a similar bass line. A "simile" marking is present.

**Orig. layer:** The middle section, numbered 7 through 12, continues the complex melodic and rhythmic patterns. It includes a section marked "9a" and "10a" with a "simile" marking, and a section marked "i" and "ii" with a "\*" symbol.

**Intermediary layer:** This section, numbered 11 through 12, shows a more complex, often chromatic, melodic line in the treble clef and a more rhythmic, often chromatic, line in the bass clef. It includes a section marked "iv" and "v" and a section marked "vi" and "vii".

**Orig. layer:** The bottom section, numbered 13 through 17, shows a complex melodic line in the treble clef and a more rhythmic, often chromatic, line in the bass clef. It includes a section marked "iii" and a section marked "9".

**Partial sketch:** This section, numbered 13 through 17, shows a simplified version of the melody in the treble clef and a similar bass line.

**Final layer:** The bottom section, numbered 9, shows a simplified version of the melody in the treble clef and a similar bass line.

The score is annotated with various markings, including "simile", "i", "ii", "iii", "iv", "v", "vi", "vii", and a "\*" symbol. A large, curved arrow points from the "Orig. layer" section to the "Final layer" section, indicating a relationship between the two.

Example 10-7: *Mikrokosmos* No. 79 (diplomatic transcription from **D**<sub>1933</sub>, p. 53)

(For Example 10-8, see the previous folio.)

Regarding harmony, No. 79 might also be related to the C-major Prelude from the *Well-Tempered Clavier* Book I (see Example 10-9), although the ‘harmony’ of No. 79 cannot be described as using a traditional method. In the C-major Prelude, the chain of harmonic progression in the first eight bars can be described as I–II<sub>7</sub>V<sub>7</sub>–I–VI–V<sub>7</sub>/V–V–I<sub>7</sub>. The second half of the progression is a sequence of authentic cadences. In No. 79, the tonic chord appears in bars 1 and 4, surrounding non-tonic harmony in bars 2–3. In bar 5, a minor chord is used, although it is not the sixth degree (as in the C-major Prelude) but the tonic minor chord. In bars 5–8, the component of the chord gradually changes, as if in a sequence:  $b^1/g^1/e^1$ – $a^1/g^1/e^1$ – $a^1/f\sharp^1/e^1$ – $g^1/f\sharp^1/e^1$ . The appearance of a diminished chord in bar 9 of No. 79 may correspond to that in bar 12 of the C-major Prelude.



Example 10-9: J. S. Bach, *Well-Tempered Clavier* Book I, C-major Prelude

From a rhythmic (and pedagogical) perspective, however, the published version is far better, as each beat in a bar offers different rhythmic combinations of the right and left hands: first, the right hand; second, the left hand; and, then, together. In fact, similar logic can be found in the original version of the draft: first, together; then, a semiquaver rest at the beginning of the second or third beat of the left or right hand. This version is far more technically difficult; however, as the difference in each beat is minimal, there would not be a clearly audible difference.

The revision of the rhythmic pattern might have emerged in the course of the composition. It seems that Bartók first introduced a different rhythmic pattern ( $\text{♩} \text{♩} \text{♩} \text{♩}$ ) in bars *iii ff*. His intention was probably to create *hemiola* bars to better emphasise the formal punctuation at bar 12 before the last section of the piece (bars



13–16).<sup>21</sup> Bartók applied this new rhythmic pattern in the last section as well as the first section (bars 1–8). This new rhythmic pattern made it possible to demonstrate the change of harmony more unambiguously and densely. In the original layer of bars 9a–10a, the harmony seems to have changed every two beats but without a clear sense of *hemiola* or a change of harmony, as Bartók maintained the original rhythmic pattern there. The revised version of bars 9–10 can be found on the bottom of the page, possibly as the last major change introduced into the draft.

The conclusion of No. 79 requires some discussion. Although this piece is an ‘homage’ to Bach, Bartók seems to use one of his own favourite compositional devices: the major-minor chord (see Example 10-10). A key to understanding this passage can be found in the following quote:

... a composer of my range (I suppose and expect to be—as a composer—above Czerny, Heller, Hummel) tries to give a work at the disposal of studying people consisting of pieces the degree of difficulty of which are beginning with the very zero, i.e. beginning with the very beginning degree; pieces which nevertheless show entirely, altogether and almost in every number (even in most of the exercises) the composers own idiom, an idiom which, of course, is one of the XX<sup>th</sup> century's idioms. Even in pieces like ‘Homage a J. S. B.’ and ‘R. Sch.’ A XX<sup>th</sup> centuries’s [sic] idiom which, by using very frequently the same devices as many centuries-old folk-music, (or some of the devices—as for inst[ance] canon, imitation etc. of older art-music) is connecting new age with old ages, similar to a bridge leading from one shore to the other.<sup>22</sup>

Based on Bartók’s own claim, it is possible to relate the use of a major-minor chord to the so-called ‘trans-Danubian’ third, a phenomenon observed in Hungarian folk music: the pitch of the third degree can be either lower or higher.<sup>23</sup>



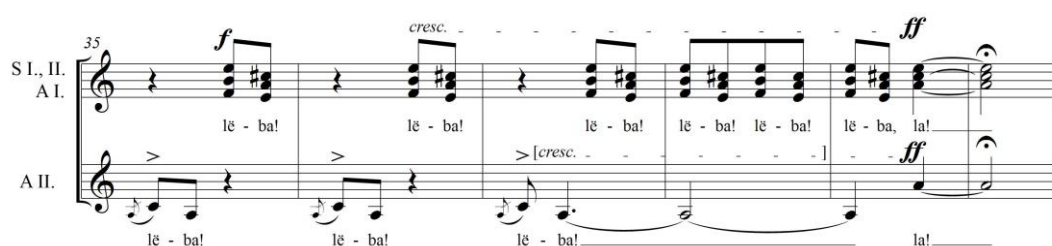
Example 10-10: *Mikrokosmos* No. 79\*

<sup>21</sup> *Hemiola* can be found in some of *Mikrokosmos* pieces, for instance, No. 32 ‘In Dorian Mode’ (bars 11–12).

<sup>22</sup> Bartók to Erwin Stein, 13 February 1940, PB, Miscellaneous letters. This letter probably influenced the final form of a publicity article, published anonymously (but probably authored by Stein) as ‘Béla Bartók’s “Mikrokosmos”’, *Tempo, American series* 1, No. 2 (1940): 5–6.

<sup>23</sup> However, the simultaneous use of major and minor third degrees may not simply be related to the Hungarian folk music; for instance, see Kata Riskó, ‘Népzenei Inspirációk Bartók stílusában’, *Magyar Zene* 53 (2015): 79–84.

At the same time, it is curious that similar passages containing minor and major third degrees can be found in a choral work by Zoltán Kodály, ‘Túrót eszik a cigány’ (see Example 10-11). It is possible that this stylistic element was derived from the same root, that of Hungarian folk music. However, considering that Kodály also had a keen interest (in fact, a much greater interest than Bartók’s) in pedagogy, it is not unlikely that Bartók secretly paid respect to his colleague in a collection of pedagogical pieces.<sup>24</sup>



Example 10-11: Zoltán Kodály, ‘Túrót eszik a cigány’ (1925)

## 10.2. Schumann

Even though the music of Robert Schumann does not seem to have exerted a strong influence on Bartók, it is still likely that he might have considered Schumann’s pedagogical compositions as models for his own pedagogical pieces. The coexistence of the musical quality and conciseness of the pieces included in the *Album for the Young* seems to have been highly valued since its first publication, and this appreciation has not waned.<sup>25</sup>

However, it is important to emphasise that Bartók critically dealt with Schumann’s pedagogical approach. Possibly the best example is the first piece of *For Children* (see Example 11-12). It has already been pointed out that this piece may refer to the first piece of the *Album for the Young*, ‘Melodie’ (see Example 11-13).<sup>26</sup> The similarity of the accompaniment figure is striking: both pieces apply a kind of

<sup>24</sup> In addition to Bartók’s possible debt to Kodály in relation to the *Twenty-Seven Choruses* mentioned above, some of Bartók’s compositions can be understood as artistic response to Kodály’s compositions, such as the two violin rhapsodies (BB 94 and BB 96, 1928) and the *Dances of Marosszék* (1927) (see *BBCCE/9*, 17\*).

<sup>25</sup> It deserves attention that Bartók edited Schumann’s *Album for the Young* in 1911, published by the Budapest publisher, Rozsnyai.

<sup>26</sup> See Parakilas, ‘Folk Song as Musical Wet Nurse’, 487–90.

alberti-bass, and the  $g^1$  in the left hand functions as an organ point (but less strictly in *Album for the Young* No. 1). At the same time, the difference is more remarkable. While *Album for the Young* No. 1 is more freely composed, by using changes of hand positions, expansion of the hand, large intervals, and the thumb-under technique, Bartók composed *For Children* No. 1 without using these technical elements as far as possible. The different approach can be better observed in regard to the treatment of the same melodic note: for instance, in *Album for the Young* No. 1, the left hand goes down to  $b$  in bars 6, 8, etc., when the right hand plays  $d^2$ ; on the other hand, Bartók writes  $f^1$  to  $d^2$  in bars 3 and 7 so that the register of the left hand should remain within a pentachord; thus, students do not have to expand their finger span.

Allegro

*p* semplice  
sempre legato

Example 10-12: *For Children* No. 1 \*

*p*

Example 10-13: Robert Schumann, *Album for the Young* No. 1

However, it is curious that the second half of *For Children* No. 1 seems to be totally independent from *Album for the Young* No. 1.<sup>27</sup> This is possibly because the second half of the original folk song required a compositional approach that was different from the first half; at the same time, however, there seems to have been a different model for the second half. The model in question is an elementary piano piece published in Kálmán Chován's piano method (see Example 11-14).<sup>28</sup> However, this should be considered a 'countermodel' to demonstrate how a simple children's song can be worked out as a demanding performing piece (but with the lowest technical requirement possible).

Allegretto.

Example 10-14: Kálmán Chován, No. 7 'Gyermekek kedvence'

The crucial difference between *For Children* No. 1 and Chován's piece is that while Chován might have intended for the thumb-under technique to be practised (see

<sup>27</sup> Even though Parakilas argues that from the structural perspective, the repetition of the second half may correspond to *Album for the Young* No. 1 (Parakilas, 'Folk Song as Musical Wet Nurse', 488), there are no motivic correspondences.

<sup>28</sup> The piece in question is No. 7 'Gyermekek kedvence' in the second volume of Kálmán Chován's piano method. See his *Elméleti és gyakorlati zongora-iskola mint zenei nevelési eszköz*, Op.21 (Budapest: Rozsnyai, 1907), 15. It is notable that this piano method contains an arrangement of a popular folk song which Bartók also used for *Mikrokosmos* No. 112 'Variations on a Folk Tune'. Chován's piece is titled 'Kedves emlék.' (see Chován, *Elméleti és gyakorlati zongora-iskola*, 41), and also in a variation form. A crucial difference is that while Bartók applies his own new compositional device in one of the variations (see Chapter 11), Chován includes a worn-out cliché of Hungarian music (or precisely: *stile hongrois*) as the highlight of the piece.

bar 3 LH and bar 4 RH), Bartók introduced a different technique, the quick shifting of hand positions to the beginners (see bars 10ff. in the LH and bar 15 in the RH). However, while Chován's piece contains apparently superfluous changes of hand position and the application of the thumb-under technique (especially in bars 3–4), Bartók's piece contains the quick shifting of hand positions only where this is really necessary. It is remarkable that he might have slightly modified the supposedly original folk song, 'Süssünk, süssünk valamit', for the sake of this pedagogical intention. Based on the original folk song (see Example 10-15), the last phrase should be  $g^2-f^2-e^2-e^2-d^2-c^2$  instead of  $g^2-g^2-f^2-e^2-d^2-c^2$ . By using the original phrase, it should be impossible to use the change of finger (2 to 5) on  $g^2$ , involving a quick shift of the hand position.



Example 10-15: Hungarian folk song 'Süssünk, süssünk valamit' (transcribed from MS field book: M.VI, fol. 10v)

Andantino, piacevole,  $\text{♩} = 72$

Example 10-16: *Mikrokosmos* No. 80\*

The case of *For Children* No. 1 may signal the problem that while a piece seems to clearly refer to a well-known composition, Bartók might have received his inspiration from several sources, and he integrated them in a new composition by using his own musical language. From this perspective, No. 80 'Hommage à R. Sch.' is an excellent example, as several characteristic elements of Schumann's music are combined in a single piece (see Example 10-16). Precisely because the combination was so successful, it should have been difficult to identify which of Schumann's

compositions Bartók referred to. In fact, to the extent that we try to seek a single model, our endeavour is a failure; there is no unambiguous single model.

Bartók's own comment may appear to be too vague to identify the possible reference to Schumann's composition: 'Employs the more complex and richer harmonies of the early Romantic Period. Atmosphere like Schumann's music.'<sup>29</sup> A comparative case related to the complexity and richness of the harmony may indicate that this is so, compared with the Baroque period to which the previous piece, No. 79, referred. However, it is difficult to unambiguously determine the underlying harmony in No. 80, a piece consisting of two voices in parallel motion. The problem is exacerbated by the use of chromatic notes, which seem to be determined by the direction of the melody (for instance,  $b_{\sharp}^1$ ,  $e_{\sharp}^1$ , and  $d_{\sharp}^1$  in an ascending line in bar 1 and  $b_{\flat}^1$ ,  $e_{\flat}^1$ , and  $d_{\flat}^1$  in a descending line in bar 2). The most likely candidate is a German sixth chord on  $a_{\flat}$  ( $f_{\sharp}/e_{\flat}/c/a_{\flat}$ , in bars 2, 6, etc.), which alters with a dominant seventh chord on  $g$  (in bars 1, 3, etc.). The ambiguity of the German sixth chord and the dominant seventh chord is exploited by various composers in the Romantic period, including Schumann.

There could have been several examples in Schumann's music, but here, I mention *Dichterliebe* No. 12 'Am leuchtenden Sommermorgen', as later I will refer to another *Dichterliebe* piece as well.<sup>30</sup> A characteristic use of a German sixth chord can be observed in No. 12: at the beginning of the piece (bars 1–2), a German sixth chord on  $g_{\flat}$  resolves to a dominant seventh chord on  $f$ , but in bars 8–9, the same chord is notated as a dominant seventh chord on  $f_{\sharp}$  and resolves to a dominant seventh chord on  $b$  (see Example 10-17). This kind of ambiguity is naturally not exploited in No. 80, a piece that does not strictly apply functional harmony. Nevertheless, some kind of harmonic ambiguity can be discovered in No. 80. In the second half of the piece (bars 9ff.), an apparent free inversion of the first half (bars 1–8), the direction of the melody is inverted, and the right and left hands are exchanged. However, it is also possible to interpret the relationship between these sections such that the content of the first and second bars are exchanged: for instance, the right hand in bars 1–2 is  $g^1-b_{\sharp}^1-c^2-d^2 | e_{\flat}^2-c^2-b_{\flat}^1-a_{\flat}^1$ , and in bars 9–10, the left hand is  $e_{\flat}^1-c^1-b_{\flat}^1-a_{\flat}^1 | g-b_{\sharp}^1-c_{\sharp}^1-d^1$ . This affects the relationship between the supposed German sixth chord and the dominant seventh.

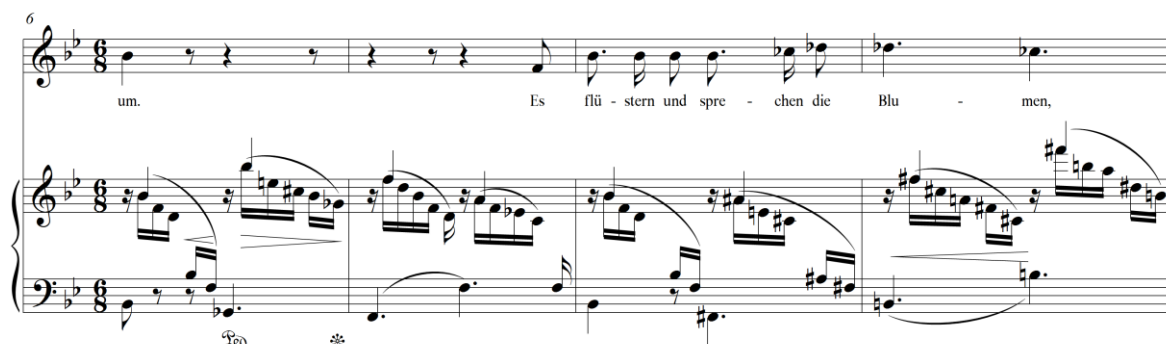
<sup>29</sup> *Suchoff/dissertation*, 296.

<sup>30</sup> The piece in question is *Dichterliebe* No. 1 'Im wunderschönen Monat Mai' (see below).

The image displays a musical score for Mikrokosmos No. 80, measures 1 through 17. The score is written for piano in a key signature of three flats (B-flat, E-flat, A-flat) and a 2/4 time signature. It consists of three systems of staves. The first system (measures 1-8) features a treble staff with eighth-note patterns and a bass staff with a more active line, including some slurs and a bracketed section labeled '[orig.: // ]' at the end. The second system (measures 9-16) continues the melodic and harmonic development with various note values and rests. The third system (measures 17) concludes the excerpt with a final cadence. The notation includes various musical symbols such as notes, rests, slurs, and dynamic markings.

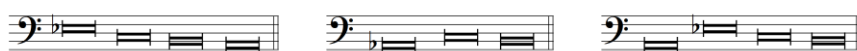
Example 10-18: *Mikrokosmos* No. 80 (diplomatic transcription from the original layer of **D**<sub>1934-36</sub>, p. 59)

(For Example 10-17, see the following page.)



Example 10-17: Schumann, *Dichterliebe* No. 12 ‘Am leuchtenden Sommermorgen’<sup>31</sup>

However, it is important to consider that the use of accidentals was a second thought: in bar 2, the right hand originally contained  $e_b^2-c^2-b\sharp^1-a\sharp^1$  instead of  $e_b^2-c^2-b_b^1-a_b^1$  (i.e., the second half is a semitone higher than the final version; see Example 10-18). This also modifies the underlying harmony. While the final version suggests a German sixth chord, the original layer of the draft instead suggests a diminished seventh chord. However, this original form might have been related to a notable Schumannian musical cryptogram, S–C–H–A [= E $_b$ –C–B–A],<sup>32</sup> which plays a distinct role in his *Carnaval* (see Example 10-19).<sup>33</sup>



Example 10-19: Schumann, *Carnaval*, ‘Sphynx’

It is intriguing why Bartók ‘hid’ this direct reference in an *homage* piece, as the reference would have made the relationship more unambiguous. It is most likely

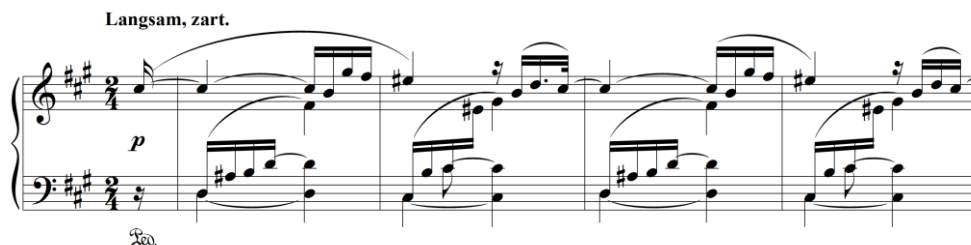
<sup>31</sup> For Example 10-18, see the previous page.

<sup>32</sup> This relationship is pointed out by Yamazaki, who noticed it probably after the examination of the draft of this piece (see Yamazaki, *kaishaku*, 108–109). However, it should be noted that the sequence of the notes ‘E $_b$ –C–B–A’ never appears in the *Carnaval*. On the other hand, Bartók must have been familiar with the concept of musical cryptogram, as there is a juvenile work *Scherzo* (‘F.F.B.B.’) for piano (1900), dedicated to Felicie Fábíán (to whom the two letters in the title ‘F.F.’ refer; ‘B.B.’ stands for ‘Bartók Béla’); for the incipit of the work, see Denis Dille, *Thematisches Verzeichnis der Jugendwerke Béla Bartóks 1890–1904* (Budapest: Akadémiai kiadó, 1974), 116–117. For another example of the possible elimination of musical cryptogram, see László Somfai, ‘With or without the B–A–C–H motive? Bartók’s Hesitation in Writing his First String Quartet’, *Studia Musicologica* 60 (2019): 15–22.

<sup>33</sup> It is notable that Schumann is one of a few Romantic composers who experimented with expanding the expressive possibility of the piano music. For instance, an early use of silently pressed-down keys can be found at the end of ‘Paganini’ in the *Carnaval*.



that for musical reasons, he eventually flattened  $b\sharp^1-a\sharp^1$  to  $b\flat^1-a\flat^1$  in the fair copy on transparent tissue ( $A_{I/2}$ ). The problem can easily be understood when one compares the two versions on the piano: the draft version is far more monotonous than the published version, as there is not enough harmonic difference between the first and second bars. On the other hand, it was also problematic to Bartók that despite the C-minor key signature ( $3\flat$ ), the sixth and seventh degrees (i.e.,  $a$  and  $b$ ) are almost always raised: elsewhere, Bartók generally used unconventional key signatures consisting of only the flats or sharps that appear in the music.<sup>34</sup> The elimination of the musical cryptogram must not have been a problem to him, as this is not the only musical element derived from Schumann's music. In addition to the cases mentioned above, there are also some further references.



Example 10-20: Schumann, *Dichterliebe* No. 1 'Im wunderschönen Monat Mai'

Considering the unstable and indeterminate atmosphere of the piece (which Bartók said was like Schumann's music), it is possible that Bartók refers to the change of harmonies that can be found at the beginning of *Dichterliebe* No. 1 'Im wunderschönen Monat Mai' (see Example 10-20).<sup>35</sup> There, the first inversion of the B-minor triad alternates with a dominant seventh chord on C $\sharp$ , but they do not produce a strong sense of harmonic resolution, also in No. 80. The application of different rhythmic patterns in the right and left hands can also be considered one of

<sup>34</sup> For instance, see No. 25 'Imitation and Inversion (3)' and especially No. 44 'Contrary Motion (2)'. In the first piano part of the latter piece, only two sharps (at  $f$  and  $g$ ) are provided to a piece in G $\sharp$  Phrygian, as these are the only two pitches that require accidental; on the other hand, in the second piano part, four sharps (at  $f$ ,  $c$ ,  $g$ , and  $d$ ) are provided, as all these pitches are used there. This practice might have been related to what Bartók usually did in the transcription of folk music (see, for instance, Béla Bartók and Albert B. Lord, *Serbo-Croatian Folk Songs* (New York, NY: Columbia University Press, 1951), 13.); see also *BBCCE/40*, 39–40\*.

<sup>35</sup> Bartók composed a Lied on the same text in 1898 (for the incipit, see Denis Dille, *Jugendwerke*, 97). However, apparently there is no musical elements which refer to Schumann's Lied.

the characteristic features in Schumann's music. There are numerous examples, and I mention *Davidsbündlertänze* No. 10 as one such example (see Example 10-21).



Example 10-21: Schumann, *Davidsbündlertänze* No. 10

### 10.3. Seiber

Mátyás Seiber, a Hungarian-born composer who lived in the United Kingdom in exile, seems to have played an important role in the genesis of some *Mikrokosmos* pieces. Seiber was born in Budapest in 1905. Between 1918 and 1925, he studied cello and composition at the Budapest Music Academy. He also worked as an assistant to Zoltán Kodály and accompanied him in his field work in the countryside of Hungary. After graduation, he settled in Germany, where he first taught at a private school. Following two years of teaching, he became a cellist in an orchestra that played on a ship that travelled between North and South America. This would have been the occasion on which Seiber acquainted himself with American jazz; this experience resulted in his appointment as the first Professor of Music and Jazz in Frankfurt in 1928. After the Nazis took power in 1933, Seiber left Germany and finally settled in England in 1935.<sup>36</sup>

The possible relationship between Seiber and the *Mikrokosmos* pieces was reported by Seiber himself in 1954:

In 1933 I wrote a series of short piano pieces which were published by

<sup>36</sup> The biographical data of Seiber is based on the following articles: K. So., 'Mátyás Seiber', Ferenc Liszt Academy of Music, <https://lfze.hu/notable-alumni/seiber-matyas-1728>; Julia Seiber Boyd, 'The Seiber Centenary: 2005 and Beyond', Suppressed Music, JMI International Centre for Suppressed Music, posted 9 August 2005, <https://www.jmi.org.uk/old-archive/suppressedmusic/newsletter/articles/005.html>; Wood, Hugh, and Mervyn Cooke. 'Seiber, Mátyás', *Grove Music Online*. 2001. <https://www.oxfordmusiconline.com/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000025337>.

Schott, Mainz, under the title *Rhythmic Studies*. The pieces dealt with various rhythmical problems like 'Syncopation', 'Shifting of Accents', 'Cross-rhythms', etc., and were mainly devised for teaching purposes. As usual, after publication I sent a copy of it to Bartók, together with my *Easy Dances*, published shortly before. Years later when I met Bartók again (I think it must have been in London in 1938) I asked him what he thought of my *Rhythmic Studies*.

He congratulated me warmly, saying what excellent teaching material they were, then continued: 'In fact, I took up your idea and expanded it further: I am now working on a series of piano pieces which deal not only with the rhythmic, but also with melodic, harmonic and pianistic problems.' This series was to become the *Mikrokosmos*.<sup>37</sup>

Seiber's recollection can partly be supported by Peter Bartók's recollection that Peter Bartók learned a couple of pieces from the *Easy Dances* by Seiber and published in 1933.<sup>38</sup> If Bartók used the *Easy Dances* copy sent by Seiber, it is likely that he also examined the *Rhythmic Studies* at that time. The relationship between Bartók and Seiber can be underlined by the letters Bartók sent to his publisher.<sup>39</sup> In those letters, Bartók recommended Seiber with regard to the proofreading of Hungarian text. However, it is possible that Seiber was one of the few Hungarians in the United Kingdom whom Bartók personally knew and who was capable of undertaking the task of proofreading.

Due to the lack of documents, it is difficult to evaluate the personal relationship between Bartók and Seiber—concerning the correspondence between them, only a single letter by Seiber is known to us. However, it seems possible to assume their relationship as composers by examining what pedagogical pieces Seiber composed for Erich Doflein's *Das Geigen-Schulwerk*. An elementary, short piece for violin duo apparently borrows its theme from Bartók's Piano Sonata (1926) (see Examples 10-22 and 10-23).<sup>40</sup> The characteristic change of metre at the beginning (3/8, then 2/4), together with the melodic contour, unequivocally refers to the initial theme of the third movement of the Piano Sonata. The choice of tonality and the use

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<sup>37</sup> Suchoff quotes Seiber's letter to him on 9 October 1954. Suchoff/*Dissertation*, 72.

<sup>38</sup> *My Father*, 37. The *Easy Dances* are a collection of popular dances offering a wide range of rhythmic variety. In a certain sense, this collection is also a work written with pedagogical intentions: some dances even have rhythmic exercises after the piece.

<sup>39</sup> Bartók to Erwin Stein, 9 December 1939, and Bartók to Roth, 2 February 1940 (PB, BB–B&H). In the former letter, Bartók also mentions 'Mr. and Mrs. Kentner' [= Louis Kentner and Ilona Kabos], but in the latter, Bartók mentions Seiber only.

<sup>40</sup> The source of the Seiber's piece is: Erich Doflein and Alma Doflein, *Das Geigen-Schulwerk: ein Lehrgang der Violintechnik verbunden mit Musiklehre und Übung des Zusammenspiels*, Neue umgearbeitete Ausgabe (Mainz: Schott, 1940), Vol. I: 50.

of a pentatonic scale might also have pedagogical purposes, that is, so that the student should be able to play a piece with the use of a minimum number of fingers.<sup>41</sup>



Example 10-22: Mátyás Seiber, Übung (1931)



Example 10-23: Piano Sonata (1926), third movement

On the other hand, in the case of the two pieces included in the collection of violin duo pieces, *Ungarische Komponisten*,<sup>42</sup> Seiber chose the same folk tunes that Bartók had already used. The first piece is based on the folk tune ‘Sütött ángyom rétest’, which Bartók used in the *Improvisations* (BB 83, 1920), No. 1, and the second is based on ‘Ésszegyültek, ésszegyültek’, which Bartók used in the *Fifteen Hungarian Peasant Songs* (BB 79, 1914, rev. 1918), No. 14.

Arranging the same folk songs that Bartók or Kodály had already arranged seems to have been a widespread practice among the younger generation of Hungarian composers. There could be different kinds of motivation: for instance, young composers might have considered that the aesthetic value of such folk songs was endorsed by the authority on Hungarian folk music (which may possibly

<sup>41</sup> It is possible that Seiber composed this exercise in response to Doflein’s request. It is at least known that Doflein and Bartók discussed technical details of the pieces he needed (see Itō, *minzoku ongaku henkyoku*, 138–60). At the same time, however, the preference toward pentatonic scale among Kodály’s pupils might also have played some role. It deserves attention that while Bartók rarely wrote pentatonic pieces either in the *Forty-Four Duos* or *Mikrokosmos* (if he eventually did so, he occasionally combined a highly chromatic idiom with the pentatonic scale, as is found in *Forty-Four Duos* No. 3 ‘Menuetto’ or *Mikrokosmos* No. 105 ‘Playsong (with two pentatonic scales)’), several easy, straightforward pentatonic piano pieces can be found in a piano method after the Second World War: Erna Czövek (ed.), *Zongora-Abécé* (Budapest: Cserépfalvi, 1946).

<sup>42</sup> Erich Doflein (hrsg.), *Ungarische Komponisten: Bartók. Kadosa, Seiber, Spielmusik für Violine: Neue Musik Heft III* (Mainz, Schott: 1932), 2–3.

guarantee the quality of their arrangements); on the other hand, they might have tried to canonise valuable Hungarian folk tunes through their folk song arrangements. It might naturally have happened that two (or more) composers accidentally chose the same folk tune due to their own judgement. However, it seems to have happened that some composers intentionally responded to works by other composers.

**Allegro molto, ♩ = 184**  
con sord.  
*pp*

Example 10-24: *Forty-Four Duos* No. 22

**Allegro ♩ = 84**

*f* *p crescendo*

S Ném, ha né - ki ci - pel - lőt, bő nad - rá - got varr - nak. De sar - kan - tyús

M Még azt mond - ják.

A Még azt mond - ják: nēm il - lik a tánc a ma - gyar - nak! Még azt mond - ják.

10 *poco a poco* *p crescendo poco a poco*

csiz - má - nak, Kó - csag - tol - las fő - nek, Il - lik gyön - gyös pár - tá - nak, Ma - gyar fő - kö - tő - nek.

De sar - kan - tyús csiz - má - nak, Kó - csag - tol - las fő - nek, Il - lik gyön - gyös pár - tá - nak, Ma - gyar fő - kö -

De sar - kan - tyús csiz - má - nak, Kó - csag - tol - las fő - nek, Il - lik gyön - gyös pár - tá - nak,

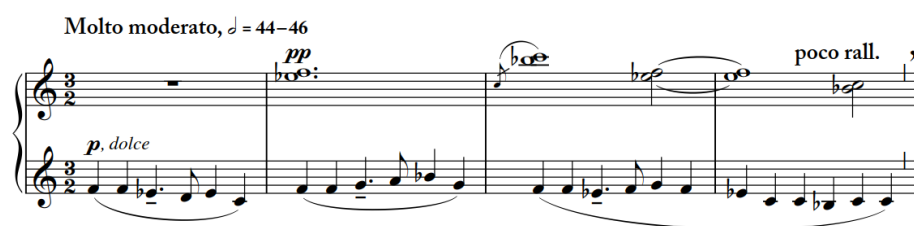
Example 10-25: Kodály, 'Táncnóta' (1929)

Even one of Bartók's folk song arrangements and one of the *Mikrokosmos* pieces can be considered a response to his colleague, Kodály. No. 22 'Mosquito Dance' from Bartók's *Forty-Four Duos* might be considered one of the most spirited folk song arrangements because he exploits the expressive possibility of the lyrics by

transforming their content into music (see Example 10-24). In this folk song arrangement, the dance of mosquito(s) is expressed by the weak dynamic (*pp*) as well as the use of sordino in canon form. The choice of topic might have been influenced by the lyrics of the original folk tune: ‘Megfogtam egy szúnyogot, nagyobb volt a lónál’ [I caught a mosquito, which was bigger than a horse]. The use of the word ‘dance’ might have originated in the genre: this is a tempo-giusto tune in the swineherd rhythm. However, considering that this type of rhythm quite frequently appears in arrangements of Hungarian folk music but they do not always receive the word ‘dance’ in their title, as well as the dance-character in their arrangement, it seems likely that Bartók considered Kodály’s choral piece for children, ‘*Dancing Song*’, when he composed the duo piece (see Example 10-25).



Example 10-26: Seiber, *Zwei ungarische Volkslieder* No. 1 (excerpt)



Example 10-27: *Improvisations* No. 1\*

In the case of one of Seiber’s folk song arrangements (‘*Sütött ángyom rétest*’), it is possible that he exploited the musical possibilities of a folk tune that Bartók did not use: a daring canon (see Examples 10-26 and 10-27). In Bartók’s arrangement, the original folk tune is paired with chordal accompaniment; thus, the texture remains homophonic from the beginning to the end. In Seiber’s piece, the beginning is similar to Bartók’s arrangement, but from bar 9, he contrapuntally combines the folk tune

with itself. The application of the canon technique in a folk song arrangement can be considered a typical compositional procedure<sup>43</sup>; however, if the distance between *dux* and *comes* is irregular (in the case of Seiber's piece, 2/3 bar), it should be regarded as extraordinary.<sup>44</sup>



Example 10-28: *Mikrokosmos* No. 118\*



Example 10-29: Seiber, *Rhythmic Studies* No. 7

On Bartók's side, it is possible to discover some references to Seiber's pedagogical pieces (in *Rhythmic Studies* and *Easy Dances*) in some of the *Mikrokosmos* pieces. For instance, the jazz character in some of the *Mikrokosmos* pieces might have been related to Seiber's pieces (for instance, *Mikrokosmos* No. 118 'Triplets in 9/8 Time' and *Rhythmic Studies* No. 7; see Examples 10-28 and 10-29). Bartók must have known jazz music independent of Seiber, but in the context of

<sup>43</sup> Some examples for folk song arrangements in canon form are the following: *For Children*, vol. II, No. 29 'Canon', and a short section in *Romanian Christmas Songs*, Series II, No. 10 (bars 13–19). Indeed, performing an existing folk tune in canon in unison can easily be done and is considered a popular practice in Europe. There is at least one contemporary (although slightly later) example in a concert programme, which contains a public canon singing on a Hungarian folk tune: see concert programme for 'Kis zenekedvelők hangversenye' [Concert for Little Music Lovers] at the Concert Hall of Városi Zeneiskola [the Municipal City Music School], Debrecen, 11 June 1939, BBA, shelfmark: BAN 2460/244.

<sup>44</sup> Even though no documentary evidence is available, it may not be a mere coincidence that Bartók also composed *Forty-Four Duos* No. 37 for Doflein, a folk song arrangement by using extraordinary canons.



pedagogical music, Seiber might have stimulated Bartók to include a style of popular music in the *Mikrokosmos*; more precisely, Seiber probably succeeded in demonstrating the pedagogical value of jazz music, such as the rhythmic diversity, including something similar to the so-called ‘shifted rhythm’, and the modality, which offers a kind of chromaticism that is different from Bartók’s ‘polymodal chromaticism’.<sup>45</sup>

However, it is striking that there is an almost direct model of one of the *Mikrokosmos* pieces. The basic idea of *Mikrokosmos* No. 131 ‘Fourths’ seems to have been derived from Seiber’s *Rhythmic Studies* No. 6 (see Examples 10-30 and 10-31). In Seiber’s piece, while the right hand plays a Bashkir folk song, the left hand plays parallel fourths as accompaniment. In the first four bars, the right and left hands move largely in contrary motion. These elements can also be found in *Mikrokosmos* No. 131 in somewhat modified (or ‘elaborated’) form. Bartók does not seem to have quoted an original Hungarian folk song (or a folk song from a different nation), but he nevertheless used the so-called ‘swineherd rhythm’.<sup>46</sup> In No. 131, the right and left hands move in contrary motion more strictly, but both hands play in parallel fourths. In the following part of the piece, Bartók concentrates more on the technical and musical possibilities of perfect fourth intervals rather than on rhythmic problems, as suggested by the title of the piece: ‘Fourths’.



Example 10-30: *Mikrokosmos* No. 131\*

<sup>45</sup> See Béla Bartók, ‘Harvard Lectures’ in *Essays*, 367–68. See also Kárpáti’s clarification in his *Bartók’s Chamber Music*, 175–78.

<sup>46</sup> Boronkay calls attention to the use of similar rhythm in a nearly contemporaneous piece, ‘Breadbaking’ of the *Twenty-Seven Choruses* (1935); see Antal Boronkay, ‘Bartók Béla: *Mikrokosmos* V. füzet’, in *A hét zeneműve* 1980/1, 94.



„Ap agapak“ Variationen über ein baschkirisches Volkslied  
(Übung für Nachschlag-, Charleston- und verschobene Charleston-Rhythmen)  
Allegretto ♩ ca 146–154



Example 10-31: Seiber, *Rhythmic Studies* No. 6

It is curious that this case seems to be related to Bartók's words above quoted by Seiber ('In fact, I took up your idea and expanded it further: I am now working on a series of piano pieces which deal not only with the rhythmic, but also with melodic, harmonic and pianistic problems.').<sup>47</sup> Even though this quote probably refers to the general relationship between Seiber's *Rhythmic Studies* and Bartók's *Mikrokosmos*, Bartók might have been conscious that he used one of Seiber's *Rhythmic Studies* as a model for *Mikrokosmos* No. 131.

<sup>47</sup> Suchoff/*Dissertation*, 72.

## 11. *Mikrokosmos* as a Collection of Experiments with Compositional Techniques

In this chapter, I briefly examine an important aspect of the *Mikrokosmos* pieces, namely, that Bartók might have been able to ‘experiment’ with composition by writing short and small *Mikrokosmos* pieces. However, he was a composer who continuously experimented with new means for musical expression in almost all of his compositions<sup>1</sup>; thus, this ‘experimental’ aspect should not be regarded as something unique to the composition of *Mikrokosmos* pieces. Nevertheless, it is possible to assume that it was relatively easy to construct a piece by concentrating on a single technical or musical idea, and Bartók was able to more systematically deal with the exploitation of the musical possibilities of a compositional idea. This type of research could have been performed based on the published scores; in some cases, however, it was essential to identify the micro-chronology of the pieces to better identify the relationship between the *Mikrokosmos* pieces and other works and, occasionally, to examine the compositional drafts to discover ideas that were either discarded by Bartók or developed into a more elaborated musical structure.

### 11.1. Nos. 64b and 112—Experiments with Intervallic Variation

The fact that Bartók systematically modified intervals as a technique for thematic transformation is probably one of his most unique compositional techniques. The clearest example is the relationship between the first and the last movements of the *Music for Strings, Percussion and Celesta*: the chromatic fugal theme in the first movement returns in the last movement in a ‘diatonic’ form (see Examples 11-1 and 11-2).<sup>2</sup> While the scale of the original theme consists of eight chromatic notes from *a* to *e*<sup>1</sup>, the diatonic form contains eight diatonic notes in the so-called acoustic scale: *c*<sup>1</sup>–*d*<sup>1</sup>–*e*<sup>1</sup>–*f*<sup>1</sup><sub>#</sub>–*g*<sup>1</sup>–*a*<sup>1</sup>–*b*<sup>1</sup><sub>b</sub>–*c*<sup>2</sup>.<sup>3</sup> This is especially impressive because, disregarding the

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<sup>1</sup> See Chapter 1.

<sup>2</sup> ‘[In bars 203–234,] the main theme of Movement I . . . is extended, however, by diatonic expansion of the original chromatic form.’ (Béla Bartók, ‘Structure of *Music for String Instruments*’, in *Essays*, 416.)

<sup>3</sup> For a brief explanation of the term, see Ernő Lendvai, *Workshop of Bartók and Kodály* (Budapest: Editio Musica, 1983), 760. Remarkably, in his field-research notation, Bartók occasionally notated the scale of Romanian bagpipe as ‘acoustic’ scale: see Viola Biró,

minor differences in rhythm and phrasing, these two themes essentially coincide. Such exact correspondence cannot be found in his previous large-scale works—in his Fourth String Quartet, the themes in the second and fourth movements largely coincide (see below) but not as precisely as they do in the *Music for Strings, Percussion and Celesta*. The composition of two *Mikrokosmos* pieces—Nos. 64 ‘Line and Point’ and 112 ‘Variations on a Folk Tune’, composed prior to 1936—might have served as preliminary studies on the intervallic transformation applied in the *Music for Strings, Percussion and Celesta*.



Example 11-1: *Music for Strings, Percussion and Celesta*, first movement



Example 11-2: *Music for Strings, Percussion and Celesta*, fourth movement



Example 11-3: Second String Quartet, first movement (excerpts)

Here, we shall briefly examine how Bartók might have developed the idea of intervallic transformation. One early but possibly relevant example is the first movement of the Second String Quartet, where intervals within the theme are freely varied while the melodic contour and rhythm are largely maintained (see Example

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‘Bartók és a román népzene: Kutatás és komponálás 1909–1918 között’ (Ph.D. diss., Ferenc Liszt Academy of Music, 2018), 15, 55.

11-3).<sup>4</sup> A similar phenomenon can be found in No. 5 ‘Menuetto’ of the *Nine Little Piano Pieces*, where the interval of the notes within the theme varies from one to another.

A more systematic application of the intervallic transformation can be observed in the Fourth String Quartet (see Examples 11-4 and 11-5). A chromatic theme in the second movement is transformed into a diatonic theme in the fourth movement, although these themes do not coincide note for note. Some discrepancies between these themes can be explained by this intervallic transformation being an afterthought: the Fourth String Quartet originally consisted of only four movements, but Bartók later added the fourth movement.<sup>5</sup> Most likely, he did not design the theme of the second movement to be transformed into a diatonic theme. The case of the ‘con indifferenza’ theme in the finale of the Fifth String Quartet may be related, but in this case, Bartók might have intentionally deduced a chromatically inflected theme (see Example 11-6) from a diatonic, folk song-like theme (see Example 11-7).<sup>6</sup>

1 Prestissimo, con sordino,  $\text{♩} = 88-98$



Example 11-4: Fourth String Quartet, second movement



Example 11-5: Fourth String Quartet, fourth movement



Example 11-6: Fifth String Quartet, fifth movement



Example 11-7: Fifth String Quartet, fifth movement

<sup>4</sup> In this case, rhythm and slurs may better retain the identity of the phrases: see Amanda Bayley, ‘Bartók Performance Studies: Aspects of Articulative Notation in the Context of Changing Traditions of Composition and Performance in the Twentieth Century’, Ph.D. diss., University of Reading, 1996, 229.

<sup>5</sup> See *Somfai*, 100–102.

<sup>6</sup> See Barbara Winrow, ‘*Allegretto con Indifferenza*: A Study of the “Barrel organ” Episode in Bartók’s Fifth Quartet’, *The Music Review* 32 (1971): 102–106.

It seems that a discarded sketch of No. 112, probably composed in 1934, is related to this transformation, although the chronological relationship between them cannot securely be established (see Example 11-8).<sup>7</sup> In the sketch, Bartók transforms a Hungarian folk song, ‘Szeretnék szántani’, into a chromatic version and puts it into a canon in three parts. Considering the register, it is possible that this was related to the *Twenty-Seven Choruses*. The transformation is mechanical, as all the seconds (either major or minor) are changed to semitones. The compositional idea of using a compressed, chromatic theme in canon is eventually used in the final version of No. 112, with some (apparently necessary) modifications of rhythm and pitch (see Example 11-9).



Example 11-8: *Mikrokosmos* No. 112 (transcription from the discarded layer of **D**<sub>1934-36</sub>, p. 33)



Example 11-9: *Mikrokosmos* No. 112\*

Another *Mikrokosmos* piece, No. 64b, seems to be contemporary with No. 112 and probably represents the first systematic approach to intervallic transformation,

<sup>7</sup> I have already discussed the discarded sketches to No. 112 elsewhere (see *Nakahara*, 110–13); in the present dissertation, I put the issue in a different context.

although the application of the intervallic transformation seems to have been an afterthought. No. 64b is a chromatic variant of a ‘diatonic’ piece, No. 64a, drafted in 1933 (see Examples 11-10 and 11-11). No. 64a is written for a minor pentachord in a fixed position so that the pupils should be able to play it without changing their hand position. The pentachord consists of  $e^1-f^\sharp^1-g^1-a^1-b^1$ , and this pentachord is compressed into a chromatic pentachord consisting of  $e^1-f^\sharp^1-f^\sharp^1-g^1-g^\sharp^1/a^\flat^1$ . Possibly for musical reasons, the relationship between the right and left hands is changed in No. 64a and 64b: in both pieces, the left hand moves in contrary motion with the right hand, but the initial note of the left hand is different ( $d^1$  or  $e$ , respectively). Nevertheless, it is remarkable that nothing else is changed in the piece. In retrospect, the set of these two variants can be considered a ‘textbook example’ of Bartók’s compositional technique. In fact, however, this is the first case where Bartók systematically experimented with this technique in its purest form, without conducting any additional modifications of the theme.

a) Allegro,  $\text{♩} = 104$

Example 11-10: *Mikrokosmos* No. 64a\*

b) Allegro,  $[\text{♩}] = 104$

Example 11-11: *Mikrokosmos* No. 64b\*

At the end of this subchapter, we briefly discuss the possible source of inspiration. No. 64b was first written on the music paper used in Peter Bartók’s piano lessons (**A**<sub>64b</sub>, 74), probably directly prepared from the fair copy version of No. 64a (either from **A**<sub>I/1</sub> or one of its tissue proofs). This fact suggests that this variant was primarily made for Peter Bartók for some reason. It is possible that Bartók intended to demonstrate the difference between a chromatic and a diatonic scale; it is also possible that the creation of the chromatic variant was related to some interaction

between Bartók and his son (similar to the case of No. 142 ‘From the Diary of a Fly’; see Chapter 1).



Example 11-12: *Mikrokosmos* No. 74a\*



Example 11-13: Fifth String Quartet, fifth movement

However, it is possible to observe a link that connects Nos. 64b and 112, and in addition, the above-mentioned ‘con indifferenza’ theme in the Fifth String Quartet. On the music paper related to Peter Bartók’s lessons, No. 64b was written together with No. 74 ‘Hungarian Song’, an arrangement of a Hungarian folk song, ‘Virág Erzs’. This folk song is based on a major scale, similar to the folk song used in No. 112 and the ‘con indifferenza’ theme. It is remarkable that the texture of No. 74 and that of the theme derived from the ‘con indifferenza’ theme bear great similarity (see Examples 11-12 and 11-13): the theme in scalewise motion is accompanied by ascending or descending pentachords. In both cases, this accompaniment is logically derived from the theme itself; thus, they do not necessarily refer to each other. Nevertheless, this similarity points to an essential aspect of the composition of

*Mikrokosmos* pieces: the composition of a representative large-scale work and the composition of a pedagogical piece (and possibly the teaching of Bartók's son) are inseparably related to each other. Thus, some musical ideas used in the Fifth String Quartet might have appeared in *Mikrokosmos* No. 74 with necessary modifications (or vice versa, depending on the actual chronology). In addition, if Bartók considered such ideas useful from a pedagogical viewpoint, he might have incorporated them into the teaching material he used for Peter Bartók's piano lessons.

## **11.2. No. 133—An Experiment with ‘Twelve-Note Composition’**

In the first half of the 20th century, the invention and development of new musical means seem to have been one of the primary interests of composers, and the equal treatment of the twelve semitones seems to have received distinct attention from composers. Undoubtedly, the most distinctive achievement in this field is the twelve-tone technique invented by Schoenberg, and its musical possibilities were exploited by him and his pupils, Webern and Berg.

‘Polymodal chromaticism’ is known to be Bartók's approach to a freer treatment of the twelve chromatic notes by freely applying the degrees used in modal scales together. As the collection of modal scales may include some unconventional modes, such as the so-called ‘acoustic scale’, ‘polymodal chromaticism’ may offer great compositional possibilities. However, this approach was not strictly theorised by Bartók—this probably reflected his interest as a composer who preferred to try out new means of composition and to rely on his own intuition rather than strictly adhering to mechanically devised structures.

From this perspective, Bartók's attempt to use all twelve chromatic notes in a theme in the first movement of the Second Violin Concerto (BB 117, 1937–1938) was probably a one-time experiment without any sequels.<sup>8</sup> However, it is possible to discover a related experiment in the first movement of the *Sonata for two Pianos and Percussion* (BB 115, 1937): in the slow introduction, two different transpositions of the theme, played by the first and second pianos, include all twelve chromatic notes (see Example 11-14). As the theme consists of seven notes, the two transpositions of

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<sup>8</sup> Concerning the genesis of the dodecaphonic theme of the Second Violin Concerto, see László Somfai, ‘Három vázlat 1936/37-ből a hegedűversenyhez’, in László Somfai, *18 Bartók tanulmány* (Budapest: Editio Musica, 1981), 104–13.



the theme share two common notes. Thus, they do not result in any dodecaphonic rows.

1 *Assai lento*, ♩ = ca. 70

*pp*

*poco sf* *p*

*ff* *p. espr.*

*ff* *p. espr.*

Example 11-14: *Sonata for two Pianos and Percussion*, first movement

As there are no other examples of this kind of exploitation of the twelve chromatic notes in Bartók's works, this might be regarded as an isolated compositional experiment. However, it is possible to discover a similar experiment in a *Mikrokosmos* piece: No. 133 'Syncopation (3)'. In the original layer of the draft, the piece is written in a considerably different form (see Example 11-15).<sup>9</sup> The metre is a continuously regular 4/4, and the right hand part contains fewer notes. At the beginning of this original layer (bars 1–8), a possibly systematic exploitation of the

<sup>9</sup> I have discussed a possible experiment of twelve-note composition concerning this No. 133 elsewhere: see Nakahara, 'From Order to Chaos', 162–65.

The image displays a diplomatic transcription of Mikrokosmos No. 133, organized into three systems. Each system contains two staves: 'First layer' and 'Final layer'.

- System 1 (Measures 1-8):** The 'First layer' staff begins with measure 1. The 'Final layer' staff begins with measure 5. Both layers feature complex rhythmic patterns with many eighth and sixteenth notes, and frequent rests. Measure 8 ends with a double bar line.
- System 2 (Measures 9-13):** The 'First layer' staff continues from measure 9. The 'Final layer' staff begins with measure 11. The notation continues with intricate rhythmic figures. Measure 13 ends with a double bar line.
- System 3 (Measures 13-17):** The 'First layer' staff continues from measure 13. The 'Final layer' staff begins with measure 13. The notation continues with intricate rhythmic figures. Measure 17 ends with a double bar line.

The score is written in a key signature of one flat (B-flat) and a 4/4 time signature. The notation includes various note values, rests, and dynamic markings.

Example 11-15: *Mikrokosmos* No. 133 (diplomatic transcription from **D**<sub>1932</sub>, p. 18)

twelve chromatic notes can be observed. This eight-bar-long section can be divided into two four-bar-long phrases, and the first phrase is essentially repeated a major second lower (while the first is in G, the second is in F). The only difference is the rhythm and direction of three-note chromatic motifs in bars 3–4 and 7–8.

It is tempting to think that Bartók chose the pitches so that they should bring about all twelve chromatic notes. It is possible to identify three different kinds of units in bars 1–4: a G-major triad as accompaniment in the left hand ( $d^1/b/g$ ), a melodic motif first played by the right hand and then overtaken by the left hand ( $e_b^1-f\sharp^1-b_b$ ), and a chromatic motif in the right hand ( $d_b^1-c^1-b_b$ ). Among them, we consider the first two units to be more important, as the chromatic motif plays a lesser role of merely filling the space between the phrases and is totally missing in bars 9ff. until the beginning of the contrasting new section in bar 18. These first two units consist of six different pitches, and together with the transposition a major second lower (appearing in the second phrase), they will produce all twelve notes without duplication.

This hypothesis is solely based on my observation and is not supported by any documentary evidence; thus, my interpretation of the units may be arbitrary and does not reflect Bartók's actual compositional interest. However, it is still possible to underscore this interpretation by another observation: Bartók seems to have consciously used all twelve chromatic notes in another section of No. 133, i.e., in the contrasting middle section (bars 18–25; see Example 11-16). In this section, which consists of irregular rhythmic patterns played by the left hand, the twelve chromatic notes appear in a characteristic way. In the first half (from the beginning of bar 18 to the first half of bar 22), while the right hand plays  $d^2$  and an  $e_b^2/d^2$  dyad, the left hand plays chromatic motifs descending from  $c\sharp^2$  to  $f^1$ . Thus, 11 out of 12 pitches are used, and the missing pitch,  $e$ , appears as the next note in the right and left hands. The music develops in a similar way in the second half, where the right hand plays cluster chords  $e\sharp^2/e_b^2/d^2$  and  $f^2/e\sharp^2/e_b^2/d^2$  and the left hand plays chromatic motifs descending from  $e^1$  to  $g$  (at the beginning of bar 25, where  $g$  serves as the last note of the previous phrase and the beginning note of a new phrase). The missing pitch,  $f\sharp$ , appears as the highest note of the chord played by the right hand.



Example 11-16: *Mikrokosmos* No. 133\*

It seems likely that the exploitation of all twelve chromatic notes was one of the primary compositional concepts, and for this purpose, Bartók consciously devised the units used at the beginning.<sup>10</sup> However, an apparently systematic approach to using all twelve chromatic notes itself (using a set of six pitches in a major second transposition) might not have been of great importance. This can be known from the fact that the first two bars were revised into the final form, and two additional pitches ( $f\sharp^1$  or  $e\sharp^1$  and  $e\sharp^1$ ) were added. At the same time, the very concept of using the twelve chromatic notes seems to have been maintained during the revision, as the second phrase (bars 5–8) contains the twelve chromatic notes alone. If we include the chromatic motif ( $a\sharp-b-b\sharp$ ), which was excluded from the above discussion, the missing pitches ( $g^1-d\sharp^1-d\sharp^1-f\sharp^1$ ) can be found in the revised version of bars 5–6.

The use of the twelve chromatic pitches can also be observed in the following bars: for instance, in bars 9–10, eight pitches are used, and the missing four pitches ( $g\sharp-g\sharp-f-c\sharp$ ) can be found in the following bar, bar 11. Nevertheless, based on the musical surface, greater emphasis seems to be placed on musical diversity and motivic consistency than on a systematic approach to exploiting the twelve chromatic pitches. If we interpret the first three notes in bar 1 as the combination of a major triad with an augmented second dyad ( $d^1/b/g$  and  $f\sharp^1/e\flat^1$ ), those in bar 9 are a variation of those notes: a minor triad with an augmented second dyad ( $b\flat/g\flat/e\flat$  and  $d\sharp^1/c\flat^1$ ). This varied form of the initial notes alternates with another variation: a minor triad with a minor third dyad ( $e^1/c^1/a$  and  $f\sharp^1/d\sharp^1$ ), and here, the dyad is not adjacent to the triad but

<sup>10</sup> For a different analytic approach to No. 133, see Roy Travis, ‘Towards a New Concept of Tonality?’ *Journal of Music Theory* 3 (1959): 272–81.

interlocks with it. In this piece, the systematic approach might have served to create the initial musical ideas, and after Bartók managed to devise the motifs, he started to freely compose by using these motifs rather than by strictly adhering to the process he first applied. A similar compositional process might have been applied in the case of the introduction to the first movement of the *Sonata for two Pianos and Percussion*: the chromatic motif was probably created to represent all twelve chromatic pitches at the beginning. Bartók, however, used the motif as a constructive element of the music, rather than always seeking opportunities to use the twelve chromatic pitches through that motif.

## 12. Dances in Bulgarian Rhythm<sup>1</sup>

Among the 153 *Mikrokosmos* pieces, the 10 pieces composed in 1937 can be considered the most important pieces: Nos. 109 ‘From the Island of Bali’, 120 ‘Fifth Chords’, 130 ‘Village Joke’, 138 ‘Bagpipe’, 139 ‘Merry Andrew’, and 148–151 and 153 ‘Dances in Bulgarian Rhythm’. These pieces are essentially the last compositions written for solo piano in Bartók’s lifelong career as a pianist-composer. Primarily designed as part of a collection of pedagogical pieces, the musical content and the texture of these pieces are considerably simpler than, for instance, the last piece of the *Nine Little Piano Pieces*, ‘Preludio—All’ungherese’ (this series can still be considered the closest to *Mikrokosmos* in many respects).<sup>2</sup> Nevertheless, it is possible to discover several interesting aspects in these 1937 pieces from compositional, pedagogical, and especially biographical perspectives: it should be regarded as remarkable that in the second half of 1937, amidst the worsening political climate in Hungary, Bartók composed a sort of dance suite, ‘Dances in Bulgarian Rhythm’,<sup>3</sup> by combining ‘authentic’ musical elements distilled from Hungarian and Bulgarian folk music, as he said in an interview in 1940:

... these are not Bulgarian folk songs; only their rhythm is Bulgarian. Original compositions, there are no folk tunes in them. ... The majority of pieces in Bulgarian rhythm do not have Bulgarian character; from melodic point of view, some of them can rather be considered Hungarian: Hungarian implanted into a Bulgarian rhythm.<sup>4</sup>

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<sup>1</sup> Regarding the Bulgarian rhythm, see a summary in a doctoral dissertation that thoroughly examines Bartók’s rhythmic language: Csilla Pintér, ‘Lényegszerű stílusjegyek Bartók ritmusrendszerében’ [Emblematic stylistic marks in Bartók’s rhythm], Ph.D. diss. (Ferenc Liszt Academy of Music, 2010), 23–27. Modern ethnomusicology accepts the term ‘aksak’ instead of ‘Bulgarian rhythm’; and Timothy Rice offers the term Bulgarian ‘meter’ instead of ‘rhythm’ (see his, ‘Béla Bartók and Bulgarian Rhythm,’ in *Bartók Perspectives*, ed. Elliott Antokoletz et al. (Oxford: Oxford University Press, 2000), 197). I take Rice’s argument convincing; however, considering that the tempo plays an essential role from a perceptual point of view (see Dirk Moelants, ‘Perception and Performance of *aksak* Metres’, *Musicæ Scientiæ* 10 (2016): 147–172.), it is justifiable to use the term ‘Bulgarian rhythm’ to Bartók’s own compositions that are in extremely fast tempos.

<sup>2</sup> The affinity between the *Nine Little Piano Pieces* and *Mikrokosmos* is suggested by Bartók himself. In the 1940 interview, he said that ‘One piece from the *Mikrokosmos* is as old as the *Nine Little Piano Pieces*, which were brought out in 1926. As a matter of fact, it was to have been the 10th number of the *Nine Little Piano Pieces*, but somehow it was left out’ (*Beszélgetések*, 204; English translation quoted from Vinton, 44, with formal modification).

<sup>3</sup> For Bartók’s view of the political climate in Hungary, see Appendix B.

<sup>4</sup> *Beszélgetések*, 204.

This concept seems to be related to one of his most fundamental artistic attitudes—the brotherhood of peoples.<sup>5</sup> In the case of ‘Dances in Bulgarian Rhythm’ as a whole, the concept might have been of greater importance because it challenges the notion of cultural pure-bloodedness.<sup>6</sup> The concept seems to have been developed in the following years by the addition of a new piece (No. 152, the fifth piece of the ‘Six Dances in Bulgarian Rhythm’) as well as the addition of the dedication to a Jewish pianist, Harriet Cohen, both in 1939.<sup>7</sup>

Even though the following analysis based on an examination of compositional sources may not significantly challenge this interpretation, it is possible to argue that Bartók might not have originally conceived this concept when he started the composition but gradually developed it during the process of composition. The main topic of this chapter is the ‘Dances in Bulgarian Rhythm’; however, to understand how the concept of these dances was developed, it is necessary to first briefly examine the other five easier pieces. The discussion largely follows the supposed order of composition rather than the numeric order. At the same time, I will consider what kinds of pedagogical concepts lie behind these pieces: (1) the application of triads and the alternation of hands in Nos. 139 and 120; (2) the use of tuplets in Nos. 130 and 138; and (3) the combination of elements used in the previous *Mikrokosmos* pieces in No. 109.

## 12.1. Nos. 139 and 120—The Use of Triads and the Alternation of Hands

It seems to be a natural assumption that the 1937 pieces were primarily composed for Bartók’s own concert performances.<sup>8</sup> This assumption can be underlined by several extraordinary features in **D**<sub>1937</sub>, for instance, the addition of titles, performing instructions, and duration (see Subsection 4.1.3.4.). Nevertheless, it is important to emphasise that there can also be some pedagogical considerations, similar to the

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<sup>5</sup> ‘My own idea, however—of which I have been fully conscious since I found myself as a composer—is the brotherhood of peoples, brotherhood in spite of all wars and conflicts. I try—to the best of my ability—to serve this idea in my music; therefore I don’t reject any influence, be it Slovakian, Rumanian, Arabic or from any other source. The source must only be clean, fresh and healthy!’ A letter from Bartók to Octavian Beu, January 10 1931, quoted from *Béla Bartók Letters*, ed. János Demény (Budapest: Corvina Press, 1971), 201.

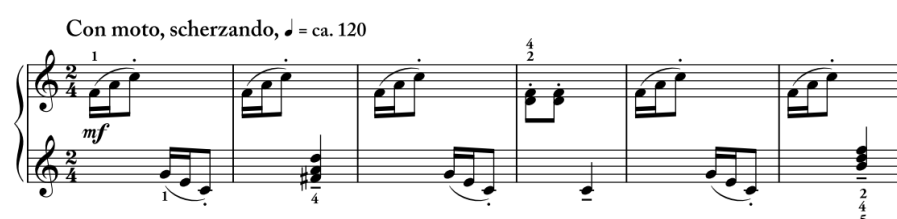
<sup>6</sup> In a different version of the interview, Bartók used the word ‘őszvér’ [mule] to characterise his *Mikrokosmos* pieces in Bulgarian rhythm (see *Beszélgetések*, 208).

<sup>7</sup> Concerning possible motivation of the dedication, see László Vikárius, ‘Bartók’s Bulgarian Dances and the Order of Things’, *Studia Musicologica* 53 (2012): 53–67.

<sup>8</sup> For details, see *BBCCE/40*, 24\*.

previous *Mikrokosmos* pieces. Compared with the pieces from 1934–1936, the pedagogical elements are less distinct in the 1937 pieces, as Bartók’s aim was to compose more advanced and self-contained character pieces. By doing so, his pedagogical intention might have ultimately been concealed behind the surface of brilliant character pieces—but it is still possible to reveal such an intention.

Nos. 139 and 120 are drafted on the inside pages of a bifolio (see Table 4-17), but it is impossible to establish whether these pieces were directly written one after another or not. The existence of a blank page on the first page of the bifolio suggests that the bifolios used in 1937 originally constituted nested bifolios; consequently, between the composition of Nos. 139 and 120, Bartók might have composed other pieces in another bifolio(s) (most likely Nos. 153 and 151, two ‘Dances in Bulgarian Rhythm’; see below). However, it is still possible to discover some musical relationships between these pieces: the most obvious relationship is the use of a triad in the root position. In No. 139, the triad is almost always used in arpeggiated form (see Example 12-1); on the other hand, in No. 120, the triads are used in the chord and mostly in parallel motion (see Example 12-2).



Example 12-1: *Mikrokosmos* No. 139\*



Example 12-2: *Mikrokosmos* No. 120\*

The use of a triad in the root position might have been primarily related to a pedagogical consideration: using musical elements that had not been used in the previous *Mikrokosmos* pieces. In the pieces composed in 1932–1936, various intervals are featured: minor seconds (No. 144 ‘Minor Seconds, Major Seconds’), major seconds (No. 132 ‘Major Seconds Broken and Together’), thirds (No. 129 ‘Alternating Thirds’), fourths (No. 131 ‘Fourths’), and sixths (No. 73 ‘Sixths and



Triads'). In the last piece, the first and second inversions of triads are used as a kind of variation on the sixth interval; however, no piece clearly features a triad in the root position.<sup>9</sup>

Considering the musical character of Nos. 139 and 120, it is significant that both express musical humour. This is important aspect, as only a few pieces explicitly apply musical humour in *Mikrokosmos* (one possible example is No. 142 'From the Diary of a Fly' composed in 1933; another example, No. 95 'Song of the Fox', was to be composed later in 1939).<sup>10</sup> Nos. 139 and 120 have their own mode of expression of musical humour. In No. 139, it is probably the out-of-tune effect created by the repetition of the same note over the changing accompaniment (bars 9–14, 41–44, and 49–51; see Example 12-3). In No. 120, the humour is created by the limping feeling at the beginning, created by the change of (irregular) metres (bars 1ff.) as well as the continuous acceleration from bar 2 to bar 31.<sup>11</sup>



Example 12-3: *Mikrokosmos* No. 139\*

<sup>9</sup> In most of No. 85 'Broken Chords', each hand plays a triad in arpeggio form; however, in this piece, both hands together create a complex chord rather than realising two independent triads in each hand. See also Chapter 9.

<sup>10</sup> The humour of No. 95 comes in part from the content of the lyrics (see Chapter 6, the last footnote) and in part from the structure of the lyrics. This piece consists of four stanzas consisting of two lines (bars 3–6, 7–10, 11–14, 15–18), and from the second line of the second stanza, the text of the second line is repeated in the first line of the following stanza. (This word-chain game-like feature of the Hungarian original is not retained in the English translation but in the French translation.) Musical humour can be considered one of the most important elements in Bartók's music: the most remarkable example is 'Slightly Tipsy' from the *Three Burlesques* (BB 55, 1908–11). However, his humour is not always addressed to a wide public: for instance, No. 22 'Mosquito Dance' from the *Forty-Four Duos* can be understood only by those who can associate the music with the text of the folk song about a mosquito (see Itō, *minzoku ongaku henkyoku*, 187–89).

<sup>11</sup> A similarly long acceleration can be found in No. 37 from the *Forty-Four Duos*, where the acceleration may possibly imitate the original recording, but the acceleration cannot be separated from the musical content, an imaginary chase between a man and a woman sung in the recording. See also Chapter 1.

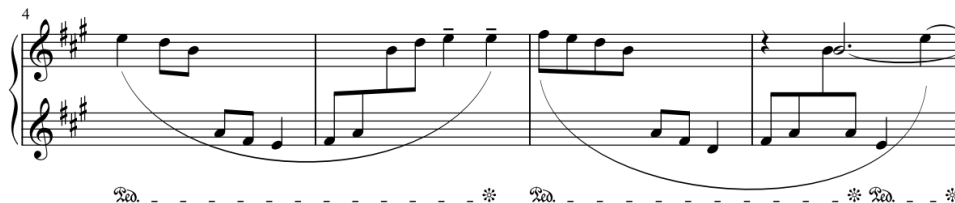
In both pieces, however, there is a certain technical element that the player can best experience: the frequent alternation of the right and left hands. Bartók already used this technique in some of the previous *Mikrokosmos* pieces, for instance, Nos. 52 ‘Monody Divided’, 53 ‘In Transylvanian Style’, and 84 ‘Merriment’ (see Examples 12-4, 12-5, and 12-6). In these pieces, however, the technique is used to play a melody in a wide range without changing the hand position or using the ‘thumb-under’ technique. In these easier *Mikrokosmos* pieces, the melody itself can be played by a single hand without difficulty or loss of musical character. In Nos. 120 and 139, however, the phrases are designed to be played by alternating the right and left hands; thus, from both the musical and technical perspectives, these phrases can better be played by following the notation. Thus, here, Bartók created advanced character pieces by using the technique that he used with a pedagogical purpose in the previous pieces.



Example 12-4: *Mikrokosmos* No. 52\*



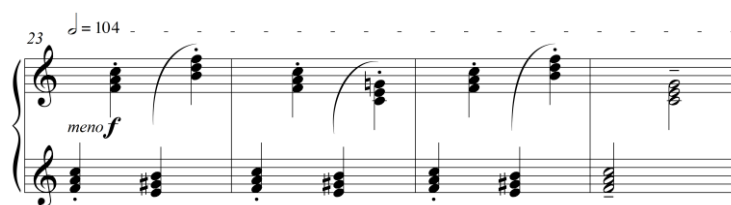
Example 12-5: *Mikrokosmos* No. 53\*



Example 12-6: *Mikrokosmos* No. 84\*

Another important feature that separates Nos. 139 and 120 from the following pieces (Nos. 130, 138, and 109) is that from a thematic perspective, the former pair essentially lacks folk (or ethnic) character. At least in part of No. 120, it is still

possible to observe some phrases related to Hungarian folk music with regard to rhythm (see Examples 12-7 and 12-8). The existence or absence of Hungarian character can also be observed among the pieces of ‘Dances in Bulgarian Rhythm’ (see below).



Example 12-7: *Mikrokosmos* No. 120



Example 12-8: *Mikrokosmos* No. 120\*

Concerning the above-mentioned phrases from No. 120, it is possible to even identify particular models for their melodic contour. The beginning of the second example can be considered a deformed version of the Hungarian folk song ‘Az ürögi ucca sikeres’ (see Example 12-9),<sup>12</sup> which Bartók used as the basis of *For Children* No. 20. Even though the intervals and melodic direction do not perfectly coincide, the correspondence of the second and third bars ( $b^1-a^1-b^1-c^2-d^2$  in No. 120 and  $d^2-c^2-d^2-e^2-f^2$  in the folk song) is striking. By taking this relationship into consideration, it is possible to interpret the first example—which can otherwise be considered an application of the so-called ‘swineherd-dance rhythm’—as having been modelled after another *For Children* piece: No. 21 (see Example 12-10). In this case, there are no exactly corresponding bars, but the use of triads may serve as a link between these pieces. If these phrases in No. 120 are really a ‘deformed’ version of Hungarian folk songs (or possibly *For Children* pieces based on Hungarian folk songs), this piece can be considered another ‘Village Joke’ (the title of No. 130); thus, the appropriateness of the original title ‘Fifth Chords’ can be questioned. From a technical perspective,

<sup>12</sup> The music example is quoted from Béla Bartók, *The Hungarian Folk Song*.

the title correctly conveys that this piece exploits the triad in the root position; however, it does not convey the expressive content of the piece at all.

Muz. F. 972 b; I. Felsőiregh (Tolna), Simon Mihály (50), 1907; P.

74. a)

\*) = egyenes  
\*\*) = csorba, ferde

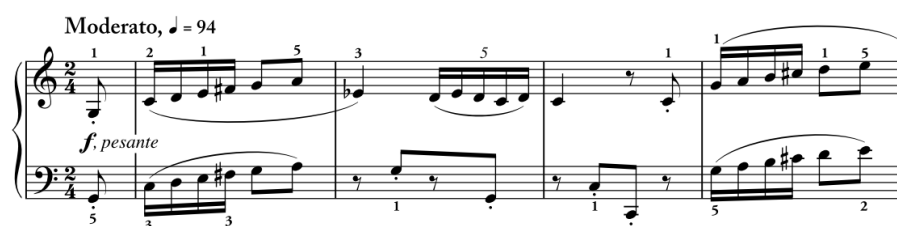
Example 12-9: 'Az ürögi ucca sikeres'

*Allegro robusto*

Example 12-10: *For Children* No. 20 (the early version)\*

## 12.2. Nos. 130 and 138—The Use of Tuplets and the Elements of Folk Music

It is remarkable that a wide variety of tuplets are used in the *Mikrokosmos* pieces: duplets, triplets, quintuplets, sextuplets, and septuplets. However, except for triplets, tuplets are not very frequently used, which probably reflects their frequency in general. The fact that rarely used types of tuplets can be found in some of the 1937 pieces deserves attention: No. 130 and, in particular, No. 138. While No. 130 contains only quintuplets (see Example 12-11), No. 138 has four different types of tuplets in a single piece: triplets, quintuplets, sextuplets, and septuplets (see Examples 12-12, 12-13, and 12-14).



Example 12-11: *Mikrokosmos* No. 130\*

Allegretto, ♩ = 132

Example 12-12: *Mikrokosmos* No. 138\*





Example 12-13: *Mikrokosmos* No. 138\*

allarg. - - - - -

Example 12-14: *Mikrokosmos* No. 138\*

On the basis of the paper structure, Nos. 130 and 138 are not notated directly one after another; thus, they seem to have been composed on separate occasions.

Nevertheless, it is possible that one of them inspired another: if No. 130 was earlier than No. 138, the use of quintuplets in No. 130 inspired Bartók to use a wider range of tuplets in No. 138; if No. 138 was earlier than No. 130, the latter piece was designed as a preparation for another piece containing a wide range of tuplets. However, it is important to consider for what purposes tuplets are used.

In No. 130, the quintuplets seem to be nothing more than a written-out turn (‘∞’) as a part of a cadential figure. It can still be part of musical humour that the turn was intended to consist of five even notes rather than conventional rendition (  or  etc.). A kind of dragging effect can be created by the fact that the number of notes in the right hand and the number of notes in the left hand are incommensurable to each other. However, it is important to mention that the primary source of the musical humour is probably an out-of-tune effect in a highly chromatic passage (bars 7–12) created by the two-bar motif itself (bars 7–8, etc.) containing five adjacent whole tones and enhanced by its transposition into a perfect fifth lower twice. It can be observed that near the conclusion, the chromatic passage is slightly elaborated (in the second half of the first bars, the rhythm is  instead of ; see Example 12-15). If this elaborated figure (pair of semiquavers) was derived from long descending pairs of semiquavers in No. 138, then this can also be a source of musical humour. It is striking that both pairs of semiquavers are designed to be played by the same pair of fingerings, 1–3 or 3–4.



Example 12-15: *Mikrokosmos* No. 130\*



Example 12-16: *Mikrokosmos* No. 139

In No. 138, most of the triplets can also be interpreted as written-out ornaments; nevertheless, these triplets are used to imitate the melodic gestures played by a bagpipe. No. 138 is not an arrangement of a piece of genuine folk music performed by a bagpipe player but a kind of ‘imaginary’ folk music created by exploiting some characteristic elements of bagpipe music. The most characteristic element is the use of an open-fifth chord in the accompaniment, but there are several other elements: in a certain sense, No. 138 can be considered a mixture of previous ‘bagpipe’ pieces that Bartók composed, especially *For Children* No. 40, the middle section of the first movement of the *Sonatina* (BB 69, 1915), *Fifteen Hungarian Peasant Songs* (BB 79, 1914–1918) No. 15, and *Forty-Four Duos* No. 36.

The choice of pitches of the accompaniment is common in some of these bagpipe pieces: G in the *For Children* piece and the *Forty-Four Duos* piece (see Examples 12-17 and 12-18). Nevertheless, the actual key and modality differ from piece to piece. The tonality of the *For Children* piece can be determined straightforwardly as G Mixolydian. The piece from *Forty-Four Duos* has a complex tonality, and the key of the main section seems to be in G Lydian but ends on A (the second degree of G). The *Mikrokosmos* piece is basically in G, but the modality cannot be determined unambiguously. On the one hand, due to the unstable third and seventh degrees ( $b\sharp^1$  or  $b^1$  and  $f\sharp^2$  or  $f\sharp^2$ ) and, on the other hand, near the conclusion of the piece, the fourth degree becomes raised (almost always  $c\sharp^2$  instead of  $c^2$ ). In addition, the right hand occasionally emphasises the second degree, A, as a sustained note (bars 3ff., 76–77, etc.) or a cadential note (bar 39, etc.); the frequent appearance of A blurs the key of the piece.



Example 12-17: *For Children* No. 40\*



Example 12-18: *Forty-Four Duos* No. 36

At the beginning, the melodic gesture of No. 138 is close to the *For Children* piece: descending from the upper *g* to the lower *g*.<sup>13</sup> It is intriguing that Bartók originally transcribed the recording of the folk music he used for the *For Children* piece in G Mixolydian but revised the third degree to be a half step lower ( $b_2$ ). It is possible that the theme of No. 138 reflects Bartók's updated knowledge of Hungarian folk music by 1937.

<sup>13</sup> As a supposed model of the main theme, Suchoff quotes a melody in Dorian that Bartók collected in Romania. see *Suchoff/Mikrokosmos*, 144.



Even though the similarity between the *For Children* piece and the *Mikrokosmos* piece is striking, there could also have been other models for the folk song-like theme. One of several possible candidates is a complex performance of a folk song imitating a bagpipe, beginning with the text ‘Szili asszony tyúkot lopott’,<sup>14</sup> collected by Sándor Veress in Szany (Sopron) in June 1935. The informant of this performance sang variants of a folk song one after another, interspersed by a sung version of ‘aprája’ (i.e., a section consisting of a repetition of short motifs). The transcription of the recording of this performance consists of four pages that are indexed independently from each other (see the first and the third pages in Examples 12-19, 12-20, 12-21, and 12-22).

Tempo giusto. ♩ = 96 *accel. poco*

Szi - li / jazs-szony ti - kot lo - pott De ha - mar ki - bi - zo - nyo - dott.

♩ = 102

Hja-ba vit-te iér - te az e - ce - tet, A hu-sá-ból sem - mit sem e - he - tett.

♩ = 102

Meg - kö - töt - te a kiét lá - bát, El - met - szet - te szár - nyát, far - kát,

De ja mad-zag rossz volt az el-sza-kadt, A má-sik-ja mind-jár ha - za-sza - ladt

Example 12-19: ‘Szili asszony tyúkot lopott’ from Bartók System (excerpt)

<sup>14</sup> For the transcription of the folk song recordings, see: ‘Szili asszony tyúkot lopott’, Bartók System, Institute for Musicology of the Hungarian Academy of Sciences, <http://systems.zti.hu/br/hu/search/2150>; ‘Lödörödö etc. . . \*\*’, Bartók System, Institute for Musicology of the Hungarian Academy of Sciences, <http://systems.zti.hu/br/hu/search/2151>; ‘Aki dudás akar lenni’, Bartók System, Institute for Musicology of the Hungarian Academy of Sciences, <http://systems.zti.hu/br/hu/search/2152>; ‘Villő, villő’, Bartók System, Institute for Musicology of the Hungarian Academy of Sciences, <http://systems.zti.hu/br/hu/search/2153>.

$\text{♩} = 104$



Lö-dö-rö-dö död-dö död-dö-li död-dö, rö-dö-rö-dö död-dö röd-dö-ri död-dö.

Dö - dö - dö - dö dö - dö - dö, Dö - dö stb.

Example 12-20: 'Lödörödö etc. ... \*\*' from Bartók System (excerpt)

$\text{♩} = 104$



A - ki du - dás a - kar len - ni, An - nak po - kol - ba kell jut - ni.

Ott kell né - ki meg - ta - nul - ni, Ho - gyan köll a du - dát fuj - ni.

Example 12-21: 'Aki dudás akar lenni' from Bartók System (excerpt)

$\text{♩} = 106$



Vil - lő, vil - lő, so-ha se lesz fi - a - tal, Dö - dö-rö död - dö stb.

Example 12-22: 'Villő, villő' from Bartók System (excerpt)

It is remarkable that the performance as a whole can be considered 'polymodal' because the seventh note,  $f^2$ , is performed in three different ways:  $f_{\sharp}^2$ ,  $f_{\sharp\sharp}^2$ , or  $f_{\sharp\sharp/2}^2$ . It is also remarkable that the lyrics of the folk song transcribed on the third page are about the bagpipe (the beginning of the text is 'Aki dudás akar lenni' [Who want to be a bagpiper]). From a thematic perspective, this folk song has some features that are common to No. 138 but missing from the *For Children* piece: (1) the melody goes down to  $g^1$  not in the first line but in the second line; and (2) the first line does not return as the fourth line. Considering the length of each line, No. 138 (3 bars) is located between the folk song (2 bars) and the *For Children* piece (4 bars).

One of the most remarkable aspects of Bartók's bagpipe pieces is that he not only used the melody played by the bagpipe but also tried to represent the performance of the bagpipe. The most remarkable example is the *For Children* piece: different from all other folk song arrangements in the series, Bartók did not directly use the original folk tune but put it in the imaginary musical space. The changing

dynamics—from *pianississimo* to *fortissimo* and then to *pianississimo* at the end of the piece—may represent the procession of a bagpipe player in front of a listener. As this solution is unique, he never used it in other bagpipe pieces; instead, he tried different ways of representing bagpipe performance in other bagpipe pieces: (1) by imitating the actual recording (*Fifteen Hungarian Peasant Songs*, No. 15), (2) by combining different melodies (the first movement of the *Sonatina*), or (3) by connecting different melodies related to each other (*Forty-Four Duos*, No. 36).

The solution Bartók applied in No. 138 would be considered a combination of (2) and (3), but it remarkably differs from them due to the mixture of styles. In the contrasting middle section (bars 28–51), the theme consists of fragmentary motifs instead of the melodic phrases found at the beginning (bars 4ff.). The musical logic in this section is similar to the middle section of the first movement of the *Sonatina*: a contrasting middle part in a faster tempo containing short repeated motifs. It is remarkable that in the original folk tune published in *Cântece populare românești din comitatul Bihor*,<sup>15</sup> Bartók marked the short motif as ‘repetat *ad libitum*’ [repeated *ad libitum*] (see Example 12-23). The repeated motifs in No. 138 (bars 34–38 and 46–50) may belong to the same category. Indeed, the number of repetitions differs in the draft and fair copy versions (for the draft version, see Example 12-24; both were four bars long).

350.

J O C.  
(Din cimpoi)

1910. II. Mielai Bartók  
Câmp. no. 55. 1.

899 a. \*

*Allegro.* ♩ = 117

(repetat «ad libitum»)

Example 12-23: *Cântece populare românești din comitatul Bihor*, No. 350

<sup>15</sup> Béla Bartók, *Cântece populare românești din comitatul Bihor / Chansons populaires roumaines du département Bihar (Hongrie)* (București: Librăriile Socec & Comp. și Sfetea, 1913). The image is quoted from the facsimile edition of Bartók's personal copy, with his annotations: Béla Bartók, *Ethnomusikologische Schriften*, vol. III, ed. by Denijs Dille (Budapest: Editio Musica, 1967).



At this point, it is possible to establish that No. 138 is not only a mixture of previous bagpipe pieces but also an amalgamation of musical styles derived from Hungarian and Romanian folk music. This is certainly related to the characteristically Bartókian concept of the ‘brotherhood of nations’. The existence of this concept in the 1937 pieces is quite important, as it signals that not only the ‘Dances in Bulgarian Rhythm’ but also the other pieces represent the concept.

### 12.3. No. 109—The Creation of a New Piece based on a Combination of Previous Pieces

While Nos. 139 and 120, as well as Nos. 130 and 138, can be considered a pair of pieces sharing some common elements, No. 109 seems to have no counterparts within the 1937 pieces. This can be explained by the fact that No. 109 was probably the last piece among the five easy pieces composed in 1937. Different from the other 1937 pieces, No. 109 was drafted in an extraordinary way: the beginning was written directly below a memo-sketch of the *Sonata for Two Pianos and Percussion* (see Example 12-25) on p. 71, the right-side page of a bifolio; then, the draft was continued onto p. 62, the left-side page of the bifolio. This is probably because Bartók used blank spaces to draft No. 109 after drafting several (if not all) of the 1937 pieces.<sup>16</sup>



Example 12-25: memo-sketch of the *Sonata for Two Pianos and Percussion* (transcribed from **D**<sub>1937</sub>, p 71)

The content of the memo-sketch is part of the slow introduction of the first movement. Although the chronological relationship between this memo-sketch and

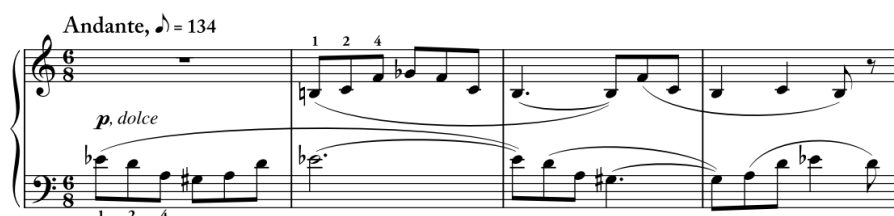
<sup>16</sup> The reason Bartók started the draft on the right-side page instead of the left-side page of the bifolio is that at that time, he used music paper in a nested form; thus, the bottom staves on p. 71 should have been the only blank space as he saw the nested bifolios. As the next page, p. 72, had already been filled by the draft of No. 138, he probably removed the inner bifolio(s) and then continued on the blank space left on the same bifolio. See Chapter 4.

the *Mikrokosmos* pieces cannot securely be established, the melodic similarity between a phrase in No. 151 (see Example 12-26) and the memo-sketch suggests that the composition of ‘Dances in Bulgarian Rhythm’ might have preceded the composition of the *Sonata for Two Pianos and Percussion*.



Example 12-26: *Mikrokosmos* No. 151\*

On the other hand, the *Sonata for Two Pianos and Percussion* might have inspired No. 109. The rhythmic pattern at the beginning of No. 109 coincides with the opening, seven-note motif played by the piano (see Examples 12-27 and 12-28). The characteristic ‘scale’—the so-called 1:5 model<sup>17</sup>—used in No. 109 can also be discovered at the beginning of the *Sonata for Two Pianos and Percussion* in bars 5–6,  $g^1-d^1-c\sharp^1/d\flat^2-a\flat^1-g^1-d^1$ , played by two pianos.



Example 12-27: *Mikrokosmos* No. 109\*



Example 12-28: *Sonata for Two Pianos and Percussion*, first movement

<sup>17</sup> For a brief definition of 1:5 model, see Lendvai, *Workshop*, 758. The numbers 1 and 5 refer to the sum of semitones contained in the interval (i.e., in 1:5 model, a semitone and a perfect fourth alternate). This analytic concept is compatible with the so-called ‘Z-cell’ coined by Elliott Antokoletz: see his *The Music of Béla Bartók: A Study of Tonality and Progression in Twentieth-century Music* (Berkeley: University of California Press, 1984). However, in the case of No. 109, the term ‘1:5 model’ may be more appropriate, because the collection of pitches used in bars 23–30 can be better explained by the modification of the interval (see below).

If Bartók received inspiration for the rhythmic pattern from the *Sonata for Two Pianos and Percussion*, from a thematic perspective, No. 109 seems to better be related to some of the previous *Mikrokosmos* pieces: Nos. 91 and 92, two ‘Chromatic Inventions’. These two chromatic inventions also feature the so-called 1:5 model. As mentioned in Chapter 6, these two chromatic inventions can be considered a pair of contrapuntal slow and toccata-like fast (partially unison) movements with their own distinct musical character. In No. 109, these types of slow and fast music are combined into a single piece (bars 1–11 and 12ff.; for the beginning of the latter section, see Example 12-29).



Example 12-29: *Mikrokosmos* No. 109\*

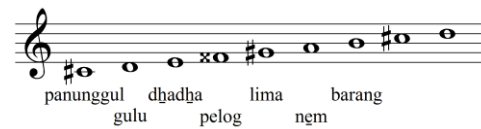
The 1:5 model is modified into a ‘1:4 model’ in the second half of the middle section (bars 23–30; see Example 12-30). In the previous bars, the right hand played the set of pitches ( $e_b^2/d^2/a^1/g^\sharp^1$ ), but the interval between the middle notes seemed to have been narrowed; thus, the new set of pitches consists of  $e_b^1/d^1/b_b/a$ . This modification can be considered an application of intervallic transformation, which Bartók used in No. 143 ‘Divided Arpeggios’ (see Subchapter 9.3.). At the same time, this transformation can also be considered the use of two different snippets of the gamelan *Pelog* scale (see Example 12-31)<sup>18</sup>: both 1:5 and 1:4 scales can be found

<sup>18</sup> The musical example is based on Harold S. Powers et al., ‘Mode’, *Grove Music Online*, last modified 22 October 2008, <https://doi.org/10.1093/gmo/9781561592630.article.43718>. The pitch of degree 4 (pelog) is modified to  $f^\sharp$ , to be closer to the pitches used in *Mikrokosmos* No. 109. This modification can be justified, as ‘Degree 4 (pélog) is normally much closer to 5 (lima) than to 3 (dhadha); degree 3 (dhadha) in sléndro may be closer to 5 (lima) than to 2 (gulu) in certain gamelan. In short, the note pélog might as well have been represented by  $F^\sharp$  . . .’ (*ibid.*)

(according to the music example,  $g^{\sharp 1}/f^{\flat 1}/d^1/c^{\sharp 1}$  or  $d^2/c^{\sharp 2}/g^{\sharp 1}/f^{\flat 1}$  and  $d^2/c^{\sharp 2}/a^1/g^{\sharp 1}$ , respectively).



Example 12-30: *Mikrokosmos* No. 109\*



Example 12-31: *Pelog* scale

Even though the direct relationship between Bartók and gamelan music is not directly documented, he must have known of it from scholarly publications as well as scientific or commercial recordings.<sup>19</sup> The fact that later in 1942, Bartók and his wife, Pásztory Ditta, performed a transcription of gamelan music for two pianos, titled *Balinese Ceremonial Music*, transcribed by Colin McPhee and published in 1940, deserves attention. McPhee lived on the island of Bali from 1931 to 1938 and researched Balinese music.<sup>20</sup> Whether Bartók was familiar with McPhee's scholarly writing already in 1937 remains an open question; however, the choice of 'Bali' rather than 'Java' in the title of the *Mikrokosmos* piece may need further explanation.

In the compositional process of these five easy pieces, it is possible to observe that Bartók first composed the pieces (especially No. 139) without direct reference to folk music, and then, he seems to have started to apply some elements derived from various folk songs (or other music cultures).<sup>21</sup> It is remarkable that a similar tendency can be observed in the pieces of 'Dances in the Bulgarian Rhythm'.

<sup>19</sup> See János Kárpáti, 'Béla Bartók and the East (Contribution to the History of the Influence of Eastern Elements on European Music)', *Studia Musicologica Academiae Scientiarum Hungaricae* 6, Nos. 3–4 (1964): 184–185.

<sup>20</sup> See Carol J. Oja, 'McPhee, Colin (Carhart)', *Grove Music Online*, last modified 20 January 2001, <https://doi.org/10.1093/gmo/9781561592630.article.17376>.

<sup>21</sup> Whether gamelan music was considered 'folk music' by Bartók remains an open question. Gamelan music is an integral part of Balinese culture; thus, at any rate, it defies the categorisation 'peasant music' that Bartók frequently used to denote the music he collected.



## 12.4. No. 153—The Use of Four-phrase Structure as a Structural Principle

In the following, the five ‘Dances in Bulgarian Rhythm’ are discussed in a supposed chronological order: Nos. 153, 151, 149, 150, and 148.<sup>22</sup> These five pieces can be divided into three subgroups: (1) Nos. 153 and 151; (2) Nos. 149 and 150; and (3) No. 148. The pieces in each subgroup were drafted continuously; thus, the micro-chronology within each subgroup is sure. Theoretically, the chronological relationship between subgroups can be different; in the following discussion, however, observation of the musical relationships within these subgroups is a more important topic.

Although No. 153 is the last *Mikrokosmos* piece in the published volumes, this piece seems to have been the first of the five ‘Dances in Bulgarian Rhythm’. The use of triads in the first inversion might have been the result of a ‘chain of inspiration’, possibly related to either Nos. 139 ‘Merry Andrew’ or 120 ‘Fifth Chords’. However, it is likely that the source of inspiration might have been No. 139: if Bartók (at least temporarily) used the bifolios in a nested form, the page containing No. 153 should come directly after the page containing No. 139.

From a structural perspective, No. 153 can be considered interesting, as no well-known formal schemes can be applied to this piece without problems. The initial theme recurs several times (see Examples 12-32, 12-33, and 12-34), but the two later occurrences of the theme cannot be considered a ‘recapitulation’ of the theme. Rather, the second appearance of the theme (bars 46ff.) can be considered a variation on the theme, in different tonalities and contrapuntally developed in free canon form. The last appearance (bars 75ff.) has a texture similar to the beginning, but the character of the theme is significantly modified, and the section as a whole can be considered the coda of the piece.

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<sup>22</sup> Concerning the chronology, see Chapter 4.

6  $\text{♩} = 56$

*f simile*

Example 12-32: *Mikrokosmos* No. 153\*

45

*ff marcatissimo*

Example 12-33: *Mikrokosmos* No. 153\*

73

*mf leggero*

Example 12-34: *Mikrokosmos* No. 153\*

24 29

36 39 43 46

Example 12-35: *Mikrokosmos* No. 153

1

10

19

27 innen

35

43

50"

Example 12-36: *Mikrokosmos* No. 153 (diplomatic transcription from **D**<sub>1937</sub>, p. 67)

The musical score is presented in three systems. The first system begins at measure 54 and continues to measure 74. It features a complex texture with multiple staves, including a grand staff (treble and bass clefs) and a separate bass staff. The notation includes various chords, arpeggios, and melodic lines. A small inset shows a detail of the bass staff from measures 69-74. The second system starts at measure 75 and continues to measure 80. It includes a section labeled 'orig.' (original) and a section labeled '80a'. The third system begins at measure 81 and continues to measure 90. It includes a section labeled 'orig.: [ ]' and a section labeled '80'. The score is marked with various editorial symbols, including slurs, brackets, and 'x' marks, indicating changes or corrections from the original manuscript.

Example 12-37: *Mikrokosmos* No. 153 (diplomatic transcription from **D**<sub>1937</sub>, p. 68)



originally played longer note values (♩.♩.♩) but changes to the beat of quavers (♩♩♩♩♩) to prepare the beat in bar 66. From the repeated revision of this section, it is possible to observe that the balance between motivic consistency, variety, and musical continuity played an important role in Bartók's compositional process.



Example 12-38: *Mikrokosmos* No. 153 (diplomatic transcription from **A**<sub>173</sub>, p. 56)

An extraordinary feature of System 1 on p. 68 of the draft needs some explanations: its staves are extended in both the left and right margins (it cannot perfectly be demonstrated through the diplomatic transcription, but the last bar of all three systems on p. 68 is notated on hand-ruled staves in the right margin). Bartók occasionally extended a staff in the right margin for several reasons: (1) to carry out a subsequent insertion or correction,<sup>24</sup> (2) to connect to music in the next system that already contained a draft of the new section/phrase,<sup>25</sup> or (3) to economically use the paper<sup>26</sup>, although we cannot rule out that (4) he just did so. The extension of a staff in the left margin could have been done for similar reasons; however, in the case of No. 153, considering that the staves of System 1 had already been extended even before Bartók wrote clefs and a brace at the beginning of the printed staves, reason (2) seems to be the most likely. Thus, System 2 might have already contained a section

<sup>24</sup> Even though this section is quite complex, Systems 3–4 on p. 39 of **D**<sub>1933</sub> can still be considered the best example of this insertion and correction (for details, see *BBCCE/41*).

<sup>25</sup> For instance, the second system of the draft of No. 47 (on p. 22 of **D**<sub>1932</sub>). An opposite case can be found on the top of the same page: the first system of the draft of No. 133 ends at the middle of the system, probably because it was not necessary to draft some bars to seamlessly connect to the new section beginning at the next system.

<sup>26</sup> The fair copy of No. 147 (**A**<sub>147</sub>) might be the best example: in the second system, its staves are extended to the left and right margin. As Bartók created this version based on an existing version ([**AP**<sub>147</sub>]), cases (1) and (2) should be ruled out. By a process of elimination, the extension of this case is considered to have been done so that the fair copy should finish within the two inner pages of a bifolio.

preparing the return of the initial theme.<sup>27</sup>

On the other hand, the last bar of System 2 (bar 80) is obviously a later correction to the first bar of System 3 (bar 80a). The original texture of bars 75–79 is preserved in bar 80a: there is the use of a triad in the first inversion (i.e., in bar 80a,  $e^2/b^1/g^1 - e^2/b^1/g^1 - c^2/g^1/e^1$ ; in bar 75, the last note was originally  $e^2/b^2/g^1$  instead of  $e^2/b^1/b^1$ ). This revision was made to avoid introducing the return of the initial theme (bars 75ff.) with a harmony that is too stable (here, the section is still not in E, the key of the piece).

From a proportional perspective, it is remarkable that the first return of the initial theme is largely in the middle of the piece: bar 46 in a 97-bar-long piece. Thus, No. 153 can be divided into two almost equal parts (bars 1–45 and 46–97). This proportion becomes more significant if we take into account how many bars were added later and in the following stages. The repetition of  $c^1$  in the left hand lasts six bars in the published version (bars 69–74), but in the draft, it was originally a single bar. This bar was divided into two in the course of the revision of the draft. The last bar of the piece (bar 97) is also a later addition, as the piece originally concluded with bar 96. Therefore, the original layer of the draft was six bars shorter than the published version; thus, the length of the piece was 91 bars. In addition, if the last bar of System 3 (bar 89)—notated in the right margin—is a later addition, the sum of the bars is 90: the first return of the initial theme (bar 46) might have exactly divided the piece into two equal parts (bars 1–45 and 46–90).

There are no additional documents that support the notion that Bartók planned and calculated the proportion of the piece, but two hypotheses can still be deduced from the compositional sources. First, the strict proportion had not played a significant role when he finalised the piece. He modified the length of musically unimportant sections, probably based on his instinct as a pianist: the number of bars solely consisting of repeated notes (bars 69–74) or the length of the rest (bar 97) was probably fixed only when he tried the piece on the piano. It is significant that in the

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<sup>27</sup> It is remarkable that the last system of the previous page (p. 67 of **D**<sub>1937</sub>) contains a bar drafted on hand-ruled staves. In this case, however, the extension in the right margin does not necessarily mean that the music in the next page had already been written. Instead, Bartók might have done so to ease page-turning if he intended to use this draft for practice or even for performance.

former case (bars 69–74) the number of bars changes from one version to another: 1 (in the original layer of **D**<sub>1937</sub>), 2 (in the final layer of **D**<sub>1937</sub>, **A**<sub>I</sub>, and **EC**), 5 (revised in **AP**<sub>B1</sub>), and then 6 (**E**). It is remarkable that the revision was introduced only in **AP**<sub>B1</sub>, the copy that Bartók used at his concerts, but he apparently did not intend to introduce the revision into **EC**. This can be considered one of the few instances in which he freely dealt with the number of repetitions.<sup>28</sup>

Second, the even-numbered division of a piece into largely equal parts can be considered one of the most important structural principles in Bartók's workshop. This concept is primarily related to the strophic structure of Hungarian folk music, which generally consists of four lines of largely equal length. The strophic structure can frequently be discovered in the themes of Bartók's music: a well-known example is the initial solo piano theme in the first movement of the Second Piano Concerto, where the theme can be divided into four parts and the relationship between the four parts seems to be based on the 'New Style' of Hungarian folk music.<sup>29</sup>

The four-line structure can also be observed at a higher level of the structure, and No. 153 can be divided into four largely equal sections:

- (1) the first section, consisting of motifs in ♩. ♩. ♩. | ♩. or ♩. ♩. ♩. rhythm (bars 1–24)
- (2) the second section, consisting of scale motifs (bars 25–45)
- (3) the third section, the return of the materials used in the first section (bars 46–74)
- (4) the fourth section, a kind of coda consisting of the materials from the first section (bars 75–97)

Disregarding the subsequently added bars discussed above, the proportion becomes more equal than the final version (24:21:24:21). Whether Bartók intentionally planned this proportion remains an open question, but it is possible that he also applied the logic of a small structure to that of a large structure. Indeed, it is possible to find other examples in Nos. 149 and 151, where the inner division of a phrase apparently coincides with the metric pattern used in the Bulgarian rhythm (see below).

In addition to this four-part structure possibly derived from Hungarian folk music, the fact that there are only a few markedly 'Hungarian' elements in No. 153, most remarkably the last appearance of the theme in pentatonic character (bars 75ff.),

<sup>28</sup> For probably the most distinct case, the two recordings of *Allegro barbaro*, see 'Az "Allegro barbaro" két Bartók-felvétele', in *Tizennyolc Bartók tanulmány*, 133–40.

<sup>29</sup> See Schneider, *Bartók, Hungary, and the Renewal of Tradition*, 178.



deserves attention.<sup>30</sup> Is this a result of the continuous thematic development throughout the piece, or does Bartók reveal the fundamental concept at the end of the piece (as he did in the finale of the Second Piano Concerto or the Fifth String Quartet)? This is also an open question, but a supposed answer may influence the interpretation of the ‘Dances in Bulgarian Rhythm’ as a whole.

## 12.5. No. 151—In the Style of Gershwin?

Regardless of the intention of the pentatonic theme at the end of No. 153, the pentatonic theme of No. 151 (especially at the beginning) seems to have been derived from it (see Example 12-39). Furthermore, there is some compositional relationship between Nos. 153 and 151. In addition to the obvious element that both are in ‘8/8’ (even though the inner division is not identical),<sup>31</sup> the music in Nos. 153 and 151 is developed in a similar way.



Example 12-39: *Mikrokosmos* No. 151\*

As discussed above, the phrases of No. 153 are seamlessly developed from one to another. Similarly, the phrases of No. 151 are also related to the previous and the following phrases in terms of melodic gesture, motif, or rhythm. For instance, at the beginning, a new phrase beginning at bar 9 is a freely inverted form of the previous phrases (bars 1–4 and its octave transposition with varied accompaniment,

<sup>30</sup> This section in Hungarian character may be related to the concept ‘Hungarian culmination point’: see László Somfai, ‘A magyar kulminációs pont Bartók hangszeres formáiban’ [A Characteristic Culmination Point in Bartók’s Instrumental Forms], in *Tizennyolc Bartók tanulmány*, 270–276; see also David Schneider, ‘Toward Bridging the Gap: The “Culmination Point” as a Fulcrum between Analysis and Interpretation’, *Studia Musicologica Academiae Scientiarum Hungaricae* 37 (1996): 21–36.

<sup>31</sup> It also deserves attention that, according to Rice, the metre of No. 153 is ‘the least Bulgarian’, because its metre ‘logically could exist as Bulgarian meters but in fact do not’, and concerning No. 151, Bartók employs the metre 3+2+3/8 ‘to capture the syncopated rhythms of American popular music and jazz . . . This piece has a correspondingly American, rather than Bulgarian, feel’. See Rice, ‘Béla Bartók and Bulgarian Rhythm’, 198.

bars 5–8; see Example 12-40), and its last bar (bar 12) becomes the starting point of the next phrase (bar 13; see Example 12-41): after the alternation of  $f^\sharp/c^\sharp$ , the new phrase begins with these notes in octave transposition (i.e.,  $C^\sharp-F^\sharp$ ). From bar 33, while the left hand overtakes the repetition of the third interval in bar 32 (i.e.,  $c^3/a^2$  in bar 32 becomes  $g^1/e^1$  in bar 33), the right hand introduces a new rhythmic pattern as the repetition of quavers. This rhythmic pattern is combined with the initial theme (in different keys) in a new phrase beginning at bar 44.



Example 12-40: *Mikrokosmos* No. 151\*



Example 12-41: *Mikrokosmos* No. 151

By applying a traditional term, the form of No. 151 can be considered a free variation: the four-bar-long theme (bars 1–4) is repeated again and again in varied form. It is possible to consider the first eight bars to be the theme (bars 1–8) because eight-bar-long units can frequently be observed in the following bars (i.e., bars 9–16, 17–24, etc.). In particular, bars 17–24 constitute an irregular eight-bar-long phrase, 3+5, or it can even be interpreted as 3+3+2, an asymmetric phrase structure that may remind us of Bulgarian rhythm. However, it is important to mention that the eight-bar-long units do not constitute a normal period. For instance, at the beginning, the first eight bars can be divided into two four-bar-long phrases, but both begin in C and abruptly modulate into A, which is an unexpected key in this tonal context. In the following, the cadences are always on a key different from the beginning of the phrase, and this ‘cadence’ on a non-tonic key (if we can still call it a ‘cadence’) drives

the music further. There are only two phrases where the initial key and the concluding key coincide (bars 55–58 and 63–66, both in C).

It seems that weak cadences (i.e., cadences that do not emphasise a return to the tonic) are frequently applied by composers to give continuity to music in a variation form. Possible examples are some chaconnes and passacaglias (among others, the Chaconne from Partita No. 2 for solo violin by Bach, BWV 1004), where a cadence on the tonic is, at the same time, the beginning of a new variation. The application of non-tonic cadences seems to be a different approach to realising musical continuity in a variation form. No. 6 ‘Ballade (tema con variazioni)’ from the *Fifteen Hungarian Peasant Songs* (BB 79, 1914–1918) can be considered Bartók’s own example: although the variations end on the tonic note, non-tonic harmony is almost always assigned to each note (see Example 12-42; the only exception is bar 20, before the tempo change from *più andante* to *poco adagio*). In this case, however, continuity is demanded by the original folk song, ‘Angoli Borbála’, which is a folk ballade consisting of many strophes (thus, the original performance of the folk song should have been continuous even though each strophe is musically self-contained).

Example 12-42: *Fifteen Hungarian Peasant Songs* No. 6\*

Even though the formal logic of No. 151 is derived from either classical music or Hungarian folk music, from a stylistic perspective, it is obvious that this piece relies on jazz music for its atmosphere.<sup>32</sup> Although Bartók freely used chromatic notes in his composition, the application of chromatic notes in bars 29ff. (especially bars

<sup>32</sup> According to Nissman, however, in addition to Gershwin, No. 151 ‘also hints at the typically American harmonies of Copland and Barber.’ (Nissman, *Bartók and the Piano*, 243.)

33–34 and 37–38) can be better interpreted as ‘blue notes’—lowered third, fifth (notated as raised fourth), and seventh degrees. In addition, the combination of blue notes and trills in bars 51–54 sounds like the flutter tonguing of a brass instrument, which is frequently associated with jazz music.

Bartók himself did not directly mention the word ‘jazz’ in his comment recorded by Ann Chenée (‘Very much in the style of Gershwin. Gershwin’s tonality, rhythm, and color. American folk song feeling. . .’),<sup>33</sup> but here, the name of Gershwin might have been mentioned as an American composer who skilfully used elements derived from jazz music. The extent to which Bartók refers to Gershwin’s personal style might be questionable. Benjamin Suchoff mentions that the rhythm pattern ♪♪♪♪♪ of No. 151 can be found in the first movement of Gershwin’s Piano Concerto in F (see Example 12-43).<sup>34</sup> However, this is most likely a mere coincidence, as No. 151 is based on an asymmetric metric pattern (3+2+3) but the rhythmic pattern of the Piano Concerto is essentially a series of syncopated crotchets (in other words, a regular phrase in 4/4 is shifted by a quaver).



Example 12-43: George Gershwin, Concerto in F (1925), first movement

It is curious that there is a passage in the Concerto in F that is similar to that used in No. 153: while the right hand plays ascending chords, the left hand plays a descending scale in doubled octaves, in 3+3+2 rhythm (see Example 12-44; the corresponding passage in No. 153 is bars 58–62). This could be one of the examples in which it is possible to discover similar passages between two selected compositions; given that both are from an unremarkable section within the composition, it is unlikely that Bartók intentionally referred to Gershwin in these passages.

<sup>33</sup> Suchoff/dissertation, 365.

<sup>34</sup> Suchoff/Mikrokosmos, 159.



Example 12-44: Gershwin, Concerto in F, first movement

The section from Gershwin's Concerto in F nevertheless points to an interesting feature in Gershwin's composition, the metric variety, which might have drawn Bartók's attention. As this metric variety essentially comes from contemporary popular music, it is probably not necessary to refer to Gershwin; Bartók must have known some from Mátyás Seiber's pedagogical pieces as well.<sup>35</sup> Nevertheless, Gershwin's compositions may serve as examples of how various metric patterns can be applied in a composition in a natural way.

It is striking that the asymmetric rhythmic scheme used in jazz music can create metric schemes similar to what we regard as the Bulgarian rhythm. For instance, in one of Gershwin's popular songs, 'I Got Rhythm', such an asymmetric rhythmic scheme can be found (see Example 12-45). Except for the cadences or interludes, the song consists of a two-bar-long rhythmic pattern in which the semiquavers can be grouped into 2+3+3 and 3+3+2. This pattern can be considered similar to the rhythmic structure of No. 151 in that two different rhythm values are combined and longer notes are surrounded by shorter notes: 1+2+2+2+1 (however, the relationship between the short and long rhythm values is not 2:3 but 1:2).



Example 12-45: Gershwin, *I Got Rhythm* (1930)

<sup>35</sup> See Chapter 10.

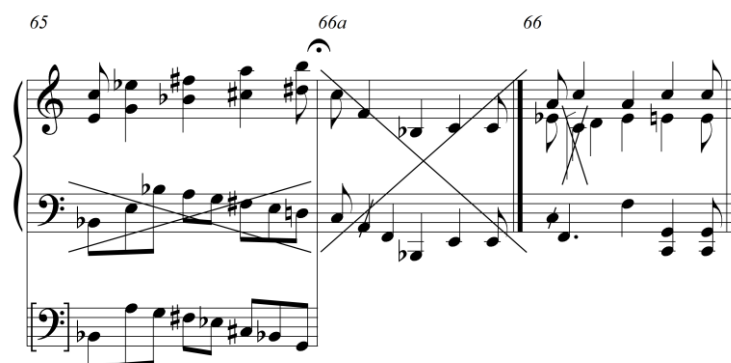
It is even possible to find some similarities between ‘I Got Rhythm’ and No. 151. The solo piano version of ‘I Got Rhythm’ consists of two choruses. The chorus is in ‘aaba’ binary form, and the second chorus is a varied version of the first chorus; thus, it is possible to consider its form in terms of classical music as a ‘theme and variation’. However, the tonal scheme is unusual, as the first chorus is in D $\flat$  but the second is in F. The last ‘a’ is further varied so that the music can conclude with a brilliant virtuosic passage (see Example 12-46). In this last ‘a’, each note of the theme is divided into a repeat of semiquavers. This kind of variation technique can be found near the conclusion of No. 151 (bars 44–51). This may not be a characteristic similarity, as there can be only a limited number of variation techniques in classical music. Nevertheless, considering that Bartók does not use this kind of variation technique elsewhere, the similarity appears to be striking.



Example 12-46: Gershwin, *I Got Rhythm*

At the end of the discussion on No. 151, we shall briefly discuss the issue of the Hungarian character of No. 151. The initial theme of this piece is pentatonic, but its character is not specifically Hungarian. Even though the initial theme concludes on A, the key of the theme is C, which results in a major pentatonic scale, which is rare in Hungarian folk music. However, it is interesting that Bartók originally drafted the conclusion of the piece in markedly Hungarian character. The source of this musical Hungarianness comes from the last three notes ( $b\flat$ – $c^1$ – $c^1$  in the right hand, doubled by the left hand two octaves lower), which is a cadence with an upward major second in a kind of so-called ‘bokázó’ rhythm. With its sudden change of character and reduction of the voice into unison, it is understandable that this rather abrupt conclusion was cancelled. However, we are curious as to why Bartók originally drafted it: is it because he tried to compensate for the lack of Hungarian character in

No. 151? At any rate, the themes in Hungarian character can be observed in other ‘Dances in Bulgarian Rhythm’, which were supposedly composed later.



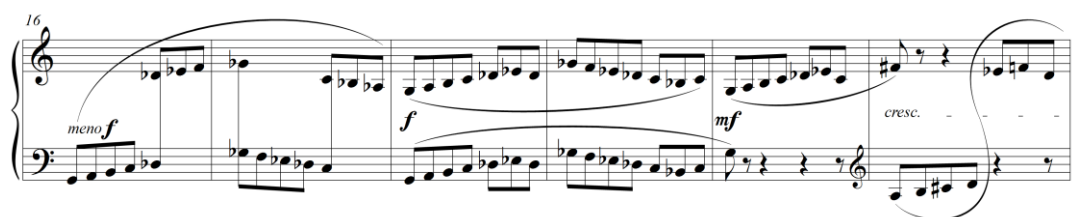
Example 12-47: *Mikrokosmos* No. 151 (diplomatic transcription from **D**<sub>1937</sub>, p. 70)

## 12.6. No. 149—The Use of an Asymmetric Phrase Structure

Similar to Nos. 153 and 151, the previous pair of ‘Dances in Bulgarian Rhythm’, the following two pieces, Nos. 149 and 150, seem to have been drafted one after another, as each of these pieces is written on a single side of a single folio (**D**<sub>1937</sub>, pp. 65 and 66). As the draft of each piece concludes within a page, the order of composition cannot unambiguously be established. Nevertheless, as No. 149 is written on a page with a trademark in the bottom-left corner, it is likely that No. 149 was drafted earlier than No. 150. From a metric perspective, Nos. 149 and 150 share some common characteristics: the use of a more characteristically ‘Bulgarian’ metre (2+2+3/8 or 2+3/8) and a Hungarian theme (on this latter topic, see the following subchapter).<sup>36</sup>

The structural logic of No. 149 is somewhat similar to that of No. 153 (and No. 151 but less so). It is possible to observe motivic relationships between several phrases (see Example 12-48). From the Bartókian, polymodal up-and-down scale in bars 16–17, new motifs are derived, and they lead to a new section (bars 24ff.; see Example 12-49). This section is not directly related to the previous bars (except for the downward figure in bar 26 on the LH) but can be considered a combined version of the beginning phrase (bars 1–7; see Example 12-50): the repetition of notes (bars 1–3) and the pentatonic motif (bars 4–7) simultaneously appear in bars 24ff.

<sup>36</sup> Rice, ‘Béla Bartók and Bulgarian Rhythm’, 198–199.



Example 12-48: *Mikrokosmos* No. 149



Example 12-49: *Mikrokosmos* No. 149



Example 12-50: *Mikrokosmos* No. 149\*

Interestingly, the initial pentatonic theme (bars 4–7) returns for the last time in the section discussed above (bars 24–34; first in diminution in quavers and then in the original form). Afterwards, the music is constructed of only the repetition of notes and



scale motifs. The disappearance of the initial theme can occasionally be observed in works of classical music. However, it can still be considered extraordinary that this happens in the case of a short character piece because the recurring themes usually guarantee the unity of the piece. Instead, in the case of No. 149, the rhythmic impulse (quavers in the 2+2+3 group) guarantees unity. In this regard, the form of No. 149 can be considered more ‘linear’ and more progressive than that of No. 153.

In No. 149, it is interesting that the asymmetric metric structure (2+2+3) might have influenced the structure of the phrases. For instance, at the beginning of the piece, it is possible to observe that constructive units (thematic phrases or a repetition of notes) consist of two, three, or four bars (see Table 12-1). As a two- or four-bar-long unit consisting of melodic phrases is usually followed by a three-bar-long unit consisting of a repetition of notes, the structure of each phrase shows a pattern similar to the Bulgarian rhythm: 4+3, 2+3, etc.

Table 12-1: Constructive phrases in No. 149

Measure	Length	Content
1–3	3	Repetition of notes
4–7	4	Pentatonic theme
8–10	3	Repetition of notes
11–12	2	Pentatonic theme
13–15	3	Repetition of notes
16–23	8 (2+2+4)	Scale phrase
24–26	3	Combination of previous elements
27–30	4	Repetition of notes+ pentatonic theme
31–34	4	Repetition of notes
35–36	2	Scale phrase
37–39	3	Repetition of notes
40–41	2	Scale phrase
42–44	3	Repetition of notes
45–54	10 (4+2+4)	Scale phrase
55–64	10 (3+3+4)	Repetition of notes

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11

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col. b.

orig.: x

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Example 12-51: *Mikrokosmos* No. 149 (diplomatic transcription from **D**<sub>1937</sub>, p. 65)

However, this issue requires some further discussion. First, there is a four-bar-long unit consisting of a repetition of notes (bars 31–34), which can be considered an exception or even proof that Bartók did not care about the exact length of the repetition. An examination of the draft may support the latter possibility (see Example 12-51) because in several cases (bars 8–10, 31–34, 37–39, and 42–44), the number of bars is fewer by one: an additional bar was added either in the right margin (bars 8–10 and 31–34) or in an existing bar by dividing it into two (bars 37–39 and 42–44). In the first two cases, however, it cannot securely be established whether the addition in the right margin was a later addition or not: it is possible that Bartók put a one-bar-repeat in the right margin to save space. Nevertheless, it is remarkable that in the latter two cases, Bartók changed the length of the repetition from two to three bars and that in other cases (bars 1–3, 13–15, 24–26, and 55–60), he initially wrote them in three bars and did not modify their length.

Even though Bartók did not originally have a clear vision concerning how long the repetition of notes should be, he seems to have made their length a uniform three bars. There are two exceptions (bars 31–34 and 61–64): phrases in *diminuendo* require a somewhat longer time than other phrases in *crescendo* or without a change of dynamics. There is probably a common principle beyond this three-bar-long repetition and the metric organisation of Bulgarian rhythm: a (possibly) stressed beat or phrase takes longer than a regular beat or phrase.<sup>37</sup> On the other hand, it is also possible that Bartók intentionally created a nested asymmetric structure within a bar as well as a phrase.

A striking example is No. 113 ‘Bulgarian Rhythm (1)’, composed in 1939 as one of the last pieces of *Mikrokosmos* (see Example 12-52). In this piece, after a short introduction solely consisting of a rhythmic pulse in three bars (as in No. 149), the main part consists of four lines repeated by a repeat bar, and the length of each of four lines is five bars, which can be divided into 2+3 bars (similar to No. 149, a melodic phrase followed by a rhythmic pulse). It should be mentioned that Bartók does not always use such an asymmetric phrase structure: No. 115 ‘Bulgarian Rhythm (2)’, another easy piece in Bulgarian rhythm composed in 1939, is constructed of binary pairs of bars from beginning to end.

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<sup>37</sup> See Bartók, ‘The So-called Bulgarian Rhythm’, 48.

Allegro molto,  $\text{♩} = 49$

Example 12-52: *Mikrokosmos* No. 113\*

## 12.7. No. 150—A Rondo Variation on a Hungarian Folk Tune

In No. 150, the Hungarian character of the theme can be better observed, and it is possible to observe that the melodic contour of the theme of Nos. 149 and 150 is quite similar: descending from the tonic degree, down to the subdominant, and then moving up to the seventh degree (1–7–5–4–7; see Examples 12-50 and 12-53). This melodic pattern might have been derived from the well-known Hungarian folk song ‘Röpülj, páva, röpülj’ [Fly, peacock, fly], which was collected in 1935 and then recorded on a gramophone disc in 1936 (see Example 12-54).<sup>38</sup> It is striking that shortly thereafter, Kodály composed two works based on this folk song: a choral work in 1937 and an orchestral variation in 1939.

<sup>38</sup> For the history of the recording, see László Somfai, ‘Magyar népzenei hanglemezek Bartók Béla lejegyzéseivel’, in Ferenc Sebő (ed.), *Patria: Hungarian Ethnographical Recordings 1937–1942* (Budapest: Hagyományok háza, 2010), 13–33. The music example is quoted from Ferenc Sebő (ed.), *Patria: Hungarian Folk Music Recordings 1936–1963* (Budapest: Hagyományok háza, 2010), 61.



Example 12-53: *Mikrokosmos* No. 150\*

12.  $\text{♩} = 240$   $2 B c$   $\text{♩} = 232$

1. R - rö - pülj pá - va, rö - pülj

$\text{♩} = 220$  Vár - mē-gye há - zá - ra,

A szé-gény ra - bok-nak

Sza - ba - du - lá - sá - ra.

Example 12-54: Hungarian folk song 'Röpülj, páva, röpülj'

It should be taken into consideration that the similarity is limited to the first line, and the theme of No. 150 develops differently from the folk song; on the other hand, a folk song with a similar melodic pattern but with different lyrics had already been known (for instance, 'Romlott testem a bokorban' [My rotten body in a bush], which might be related to an episode in the finale of the First String Quartet). Nevertheless, there are several reasons for assuming that Bartók refers to this 'peacock' song rather than other folk songs. First, the importance of this folk song

seems to have been immediately acknowledged by Hungarian scholars.<sup>39</sup> Second, Bartók transcribed the folk song recorded on a gramophone disc, and the transcription was published in a booklet accompanying the publication of the folk song recording. Finally, the lyrics ‘A szegény raboknak szabadulására’ [For the liberation of the poor prisoners] seem to have had particular importance at the time of composition, assuming that Bartók had already been conscious of the worsening political climate in Hungary.

Compared to the other ‘Dances in Bulgarian Rhythm,’ in No. 150, the structure of the theme as well as its treatment is closer to a folk song arrangement. The theme appears three times (bars 5–22, 31–47, and 58–78), and in each appearance, the theme returns in varied forms but always consists of four lines of largely equal length (in the case of the first appearance, the four lines are bars 5–8, 9–12, 13–16, and 17–22; the last line contains fewer notes, but the last note is prolonged). The initial theme of No. 153 also consists of four lines, but each line is brief—containing only four notes—allowing it to be regarded as an imitation of a folk song.

The variation technique used in No. 150 can be considered highly technical, as the theme is contrapuntally elaborated and combined with itself: first, the theme in inverted form is combined with a part in free contrary motion (bars 31–47) and then in an unusual strict canon in the minor seventh (bars 58–78). The fact that Bartók was conscious of the rhythmic variety and probably also the vertical sonority, even when writing an unusual canon, deserves attention. In the original layer of the draft, he wrote the theme without any modification (both in the *dux* and *comes* parts of the canon; see Example 12-55), but he slightly elaborated the descending third (for instance,  $\text{♩} \text{♩} g^1-e^1$  in bar 59 on the RH to  $\text{♩} \text{♩} g^1-f\sharp^1-e^1$ ) so that the rhythm would not be too monotonous (especially in bars 66–67). However, it might also have been done, from a harmonic perspective, to prevent the octave  $f\sharp^1/f\sharp$  (in bar 60) from being too emphasised.<sup>40</sup>

<sup>39</sup> László Vikárius, ‘The Expression of National and Personal Identity in Béla Bartók’s Music’ *Danish Yearbook of Musicology* 32 (2004): 57–58.

<sup>40</sup> Similar modification of the original canon theme can also be observed in *Forty-Four Duos* No. 37 (see Nakahara, ‘A zenei rend diadala?’, 154–55).

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
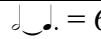

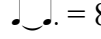





Example 12-55: *Mikrokosmos* No. 150 (diplomatic transcription from **D**<sub>1937</sub>, p. 66)

The form of No. 150 is closer to a traditional form, and it can be regarded as a kind of rondo form. There is no continuous development of motifs from one phrase to another, as observed in the previous ‘Dances in Bulgarian Rhythm’. As a whole, however, No. 150 can also be considered a ‘linear’ piece given that in each appearance, the theme becomes increasingly ‘disturbed’ (similar to the case of No. 141 ‘Subject and Reflection’; see Chapter 8): the theme is first shown in octave unison, then in free inversion, and finally in a strict canon in the seventh. In addition, the piece does not conclude in the initial key of E but in A. This may be extraordinary, but the tonal relationship might have been related to one of the characteristic elements of the ‘old style’ Hungarian folk song.

## 12.8. No. 148—Between the Piano and Orchestral Music

While Nos. 153 and 151 as well as Nos. 149 and 150 seem to be related to each other, No. 148 is the odd one out. No. 148 has a slower tempo than the other ‘Dances in Bulgarian Rhythm’ (see Table 12-2). Even though the final MM marking is added only in the fair copy on transparent tissue, it is still possible to assume that the intended tempo of No. 148 was considerably slower than that of the other pieces. The crucial factor is that in No. 148, quavers can also be melodic notes (especially bars 39ff.), but in the other pieces, quavers are mostly used as passing notes or repeated notes; thus, they do not appear as a real part of the melody. In addition, semiquavers are not used in other ‘Dances in Bulgarian Rhythm’ at all.

Table 12-2: Tempos of ‘Dances in Bulgarian Rhythm’ from 1937

No.	MM marking	In quaver
148	 = 39	 = 350
149	 = 60	[  = 420]
150	 = 80	[  = 400]
151	 = 50	[  = 400]
153	 = 56	[  = 448]



In addition to the tempo, it is possible to observe other extraordinary features that are missing from the other ‘Dances in Bulgarian Rhythm’. The most striking feature is the rich texture, which definitely requires the use of pedal. Although the pedal marking can be found only in bar 32, the use of pedal seems to be obligatory: for instance, at the beginning of the piece (bars 4ff.), the open-ended ties in the left hand suggest the use of pedal (see Example 12-54). It is also remarkable that the left hand is generally notated in two parts. Compared with the other ‘Dances in Bulgarian Rhythm’, at least some sections of all other pieces contain either the left or right hand notated in two parts through the use of long sustained notes. However, the use of two independent parts can be observed only in a few short phrases of No. 153: bars 31–35, 46–49, and 91–94.

1  $\text{♩} = 350$  ( $\text{♩} \text{♩} \text{♩} = 39$ )

The musical score for Mikrokosmos No. 148, measures 1 through 6, is presented in a grand staff. The time signature is 4+2+3/8. The key signature has one sharp (F#). Measure 1 is marked *mf*. Measures 3 and 6 are marked *f*. The left hand is frequently split into two parts, and the right hand features complex rhythmic patterns including triplets and ties. The notation includes many slurs and ties, particularly in the left hand, suggesting a sustained or pedaled texture.

Example 12-56: *Mikrokosmos* No. 148\*

In No. 148, both the right and left hands occasionally contain two parts (e.g., in the *Meno vivo* section from bar 32; see Example 12-57). Especially in this section, the music is ‘polyphonic’, not in terms of counterpoint but in terms of orchestral music. It is possible to assume that different sorts of ‘imaginary’ orchestral instruments are assigned to the melodic phrases, especially from bars 45ff (see Example 12-58). In this section, it is also remarkable that the phrases come one after another without interruption (the conclusion of one phrase overlaps with the beginning of the next phrase). The notational distinction of upward and downward

stems for each phrase should be considered extraordinary, as there are no such distinctions in Bartók's other piano compositions.

rit. - - - al - Meno vivo, ♩ = 240

p poco a poco accelerando - -

cresc.

(And.)

Example 12-57: *Mikrokosmos* No. 148\*

poco allarg. - - - - - Calmo

più *f* *mf* *p* *p, dolce*

*mf* *p* *mf*

*rinj.*

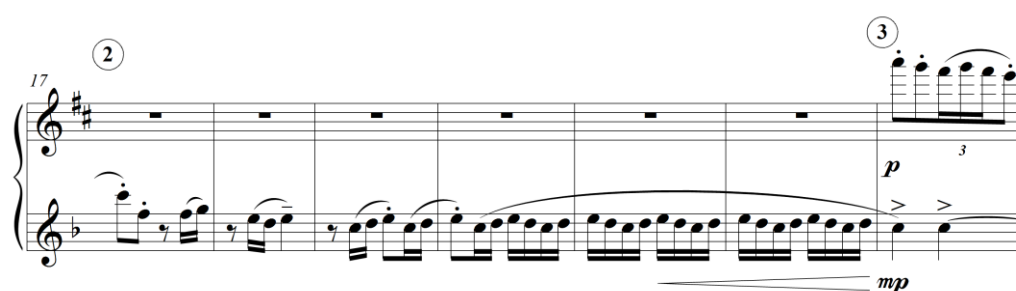
*più p* *mf*

tornando al

Example 12-58: *Mikrokosmos* No. 148\*

As such overlapping phrases are quite rare in Bartók's piano music, such phrases remind us of chamber or orchestral music, which involves more than one performer. In No. 5 of the *Hungarian Pictures*, 'Swineherd's Dance', Bartók's own

orchestral transcription of *For Children* No. 42, some related passages can be found. For instance, at rehearsal number '3' (see Example 12-59), the flute enters with the last notes of the phrases played by the clarinet. In this case, Bartók 'recomposed' the original texture of a piano piece so that the music would be more 'orchestral', and at the same time, he exploited some musical possibilities that are impossible in the case of easy piano pieces.<sup>41</sup> From this viewpoint, it is remarkable that Bartók originally composed No. 148 somewhere halfway between the piano and orchestral music; in addition, it is striking that Bartók later planned to orchestrate the 'Dances in Bulgarian Rhythm'.<sup>42</sup>



Example 12-59: *Hungarian Pictures* No. 5 'Swineherd's Dance'

The fact that Bartók originally composed No. 148 in a less rich texture deserves attention: there was originally no octave spanning throughout the piece (for the first continuous layer, see Example 12-60). The accompaniment in the left hand was originally written within an octave, and the ostinato figure beginning at bar 4 was repeated until bar 13. For the new section beginning at bar 14, he slightly changed the accompaniment pattern by transposing the first note an octave lower (he then probably applied the same modification to bar 9). It was probably considerably later when he changed these bars into the final form, as published in the first edition.

<sup>41</sup> In *Hungarian Pictures* No. 5, it is also remarkable that from rehearsal number 7, there is a canon between the wind and string instruments where the temporal distance between two parts becomes closer and closer, from two bars to one bar, finally a half bar.

<sup>42</sup> See *BBCCE/40*, 31\*.

1

8

15

21-22

23

25

26-31

32

[orig.: x]

Example 12-60: *Mikrokosmos* No. 148 (diplomatic transcription from **D**<sub>1937</sub>, p. 63)

19

orig.

25 8 26 ~27-31 32

Example 12-61: *Mikrokosmos* No. 148 (diplomatic transcription from **D**<sub>1937</sub>, p. 63)

The image displays a musical score for Mikrokosmos No. 148, specifically measures 21 through 32. The score is written for piano and consists of two systems. The first system covers measures 21 to 27, and the second system covers measures 28 to 32. The music is in a key with one sharp (F#) and a 3/4 time signature. The notation includes various rhythmic values, accidentals, and articulation marks. In measure 21, there is an 8-measure rest in the right hand. In measure 30, there are 'x' marks above some notes in the right hand. In measure 32, there are circles around some notes in the right hand. The bass line is generally more active than the treble line in the first system, while in the second system, the treble line becomes more prominent.

Example 12-62: *Mikrokosmos* No. 148 (diplomatic transcription from **D**<sub>1937</sub>, p. 63)

In addition to the difference in textural richness, it is important that the music was originally more fragmentary than the final version. In the final version, there are no marked caesurae after bar 18: on the one hand, where a single hand takes a rest, the other hand continues (e.g., bars 23ff.); on the other hand, new phrases are spun forward after the conclusion of the previous phrase (especially in bars 26ff., where a new thematic phrase emerges from the repetition of the *b–d* minor third motifs in different octaves and in different rhythms). In the original version of the draft, such continuity is missing: in bars ≈26–31, there is essentially an alternation of two chords (a fifth chord on *g*<sup>♯</sup> and a major triad on *f*<sup>♯</sup>), and the bars are almost independent from each other. In the second and third bars of bars ≈26–31, the major triad on *f*<sup>♯</sup> serves as the upbeat to the following bar, but they do not achieve continuity, as observed in the final version. It is intriguing that this is one of the most heavily revised sections in the entire *Mikrokosmos* draft (for two intermediary versions, see Examples 12-61 and 12-62). In the first intermediary version, Bartók wrote a longer phrase consisting of repeats of augmented seconds (*e–f*<sup>\*</sup>) in bars ≈27–31, but this version still lacks organic unity. In the second intermediary version, the music is essentially identical to that of the final version, but bars 30–31 are excessively prolonged.

Continuous development can also be observed in other ‘Dances in Bulgarian Rhythm’ (especially in Nos. 153 and 151), but there are some crucial differences: the most remarkable is the co-existence of diversity and continuity. The related passages in Nos. 153 and 151 are motoric and have the same character. This is essentially demanded by their extremely fast tempo; in other words, there is no room to give considerably different characters to those passages. On the other hand, the slower tempo in No. 148 makes it possible to devise thematic phrases in different articulations and characters from the preceding phrases. If No. 148 is really the last piece of the five ‘Dances in Bulgarian Rhythm’ composed in 1937, the compositional details of No. 148 may represent a kind of ‘development’ of Bartók as a composer: he applied a compositional technique used in the previous pieces in a more refined way.

At the same time, No. 148 appears to have a ‘summarising’ character similar to the last piece of the *Nine Little Piano Pieces* (see Chapter 6), although No. 148 is less encyclopaedic. As the most important element, the melodic contour of the initial theme of No. 148 seems to coincide with the ‘peacock’ tune, as in Nos. 149 and 150. In addition, there are several other important elements. For instance, the three-bar-long introduction and the use of an asymmetric phrase structure (in bars 4–13, the

length of each thematic phrase is five bars instead of the more typical four bars; in bars 32–45, the length of each phrase is seven bars) might be related to No. 149. However, the essential difference (or ‘development’) is that the asymmetric phrases are not made of rhythmic ostinato but, rather, are made of melodic materials. In addition, the use of appoggiaturas (e.g., in bars 6 and 9–11) may refer to bagpipe music, although No. 138, a bagpipe piece from 1937, does not contain such appoggiaturas.<sup>43</sup> The successive appearances of a motif transposed downward a perfect fifth (bars 14–16 and 18–20; however, in each case, the last motif is incomplete) may refer to No. 130 (cf. bars 7–12).

## 12.9. The Question of the Narrative of the Five ‘Dances in Bulgarian Rhythm’

To conclude this chapter, the problem of the order of the ‘Dances in Bulgarian Rhythm’ is briefly discussed. It seems obvious that these ‘Dances in Bulgarian Rhythm’ composed in 1937 constitute an independent suite, considering that they were copied onto transparent tissue one after another, already in the final order, with the collective Hungarian title ‘*Öt tánc a bolgár ritmusban*’ [Five Dances in Bulgarian Rhythm] and with numbering from 1 to 5 for each piece. Bartók frequently performed them as an independent block in his concerts until he composed No. 152 and inserted it into the suite in 1939. The symmetric tonal design (E–C–A–C–E) underscores the assumption that they belong together. Nevertheless, there could be some doubt as to whether Bartók had any definite concept of ordering.

In addition to the hard evidence that Nos. 153 and 151 were drafted in this order, the paper structure suggests a considerably different order of composition (for instance, Nos. 153, 151, 149, 150, and then 148). The assumption that No. 148 would have been the last piece can be supported by the notion that No. 148 apparently summarises the musical elements used in previously drafted pieces. On the other hand, No. 148 is a musically more advanced piece than the other ‘Dances in Bulgarian Rhythm’,<sup>44</sup> even if the other pieces can be considered more difficult from a technical

<sup>43</sup> Appoggiaturas occur in the piece composed in 1939, No. 128 ‘Peasant Dance’.

<sup>44</sup> The judgement of technical and musical difficulty certainly depends on musicians’ subjectivity: for instance, Nissman regards No. 153 as ‘the most virtuosic of the set’ (Nissman,



perspective due to their extremely fast tempo: was No. 148 intended as the last piece of the ‘Five Dances in Bulgarian Rhythm’?

Before we further discuss the order of the ‘Dances in Bulgarian Rhythm’, we shall examine the order of five other pieces, Nos. 109, 120, 130, 138, and 139. These pieces were to be separated from each other in the published *Mikrokosmos* volumes due to their varying difficulty; however, they were copied onto transparent tissue in the following order: Nos. 130, 138, 109, 120, and then 139. In this order, it is possible to observe a kind of five-part symmetry in terms of tempo (see Table 12-3). The slowest piece, No. 109, is placed in the centre and is surrounded by relatively faster (Nos. 138 and 120) and then slower (Nos. 130 and 139) pieces. Considering that No. 109 is in a symmetric ternary form, it would be possible to regard the overall structure as a seven-part symmetry. Based on this structural logic, it is possible that No. 148, a relatively slow piece among the ‘Five Dances in Bulgarian Rhythm’, was intended as the middle piece in an early stage of composition.

Table 12-3: Tempos of the five pieces from 1937

No.	MM marking	Remark
130	♩ = 94	
138	♩ = 132	♩ = 144 in the middle
109	♩ = 134 [♩. ≈ 45]	♩ = 96 in the middle
120	♩ = 160	♩ = 108 at the end
139	♩ = ca. 120	

It is remarkable that Bartók recorded the pieces from 1937 in a considerably different order in a gramophone recording (**Rec-B<sub>3</sub>**), occasionally combining the pieces from different compositional periods: Nos. 120, 109, and then 138 on disc 2; Nos. 133, 149, and 148 on disc 4; Nos. 108, 150, and 151 on disc 5; Nos. 94, 152, and 153 on disc 6; Nos. 126, 116, 130, and 139 on disc 7. The combination of pieces must have been primarily affected by the length of a single disc, but it also must have been planned that the content of each disc should be complete. It is remarkable that even the inner core of a five-part symmetry (Nos. 120, 109, and 138) can constitute an

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*Bartók and the Piano*, 243); Yeomans considers No. 148 as technically and musically the most advanced in the set (Yeomans, *Bartók for Piano*, 145).

independent unit; however, it is striking that the order of Nos. 120 and 138 is reversed. This is probably because No. 138 is a more appropriate closing piece on a disc than No. 120. The reason for the reversed order of Nos. 149 and 148 might have been the same.<sup>45</sup>

From this viewpoint, why Nos. 138 and 148 are not the closing pieces of a set of five pieces or the ‘Five Dances in Bulgarian Rhythm’ could be questionable, as they seem to be better closing pieces than, for instance, Nos. 139 and 153. However, there seems to have been another concept: the existence or absence of folk music elements. While the first two pieces (Nos. 130 and 138) more directly refer to folk music (especially Hungarian and Romanian folk music), the last two pieces (Nos. 120 and 139) refer to such music less so. It is striking that a similar logic can also be found in the order of the ‘Five Dances in Bulgarian Rhythm’. As discussed above, the theme of Nos. 148–150 seems to have been based on a Hungarian folk tune, ‘Röpülj, páva, röpjélj’; on the other hand, the last two pieces (Nos. 151 and 153) almost lack this direct reference to folk music, except for the pentatonic theme near the conclusion of No. 153.

The existence of a similar structural concept in two five-piece sets suggests that this is neither a coincidence nor an arbitrary choice. On the other hand, it is remarkable that this concept markedly differs from what Bartók did elsewhere. In several multimovement compositions, there is a stark contrast between the first movement, which has a drier (and even mechanical) character, and the last movement, which has a markedly more folk (or sometimes barbaric) character (cf. the Fourth String Quartet, Second Piano Concerto, and Fifth String Quartet). Even if the dryness and ‘mechanical’ character cannot always be observed in the first movement, it is usually absent from the last movement.

It is possible that Bartók experimented with a different type of structural concept when assembling suites from the *Mikrokosmos* pieces. In addition, the

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<sup>45</sup> It seems to be natural that Bartók took care of the finale effect in the recording, similar to the published volume of the collection of piano pieces. In the case of the individual volumes of *For Children*, see László Vikárius, “‘Mourning Song’ and the Origins of Bartók’s Arrangements of Slovak Folk Songs ‘for Children’”, in *Musicologica Istropolitana* VIII–IX (Bratislava: Univerzita Komenského, Filozofická fakulta, Katedra hudobnej vedy, 2009–2010), 106–107; and *id.*, “‘Kanásznóta’ és ‘Kanásztánc’: Bartók: *Gyermekeknek*, II. füzet, XXXIX és XLII’ [‘Swine-Herd’s Song’ and ‘Swine-Herd’s Dance’: Bartók: *For Children*, vol. II Nos. 39 and 42], in *Tükröződések: Ünnepi tanulmánykötet Domokos Mária népzene kutató-zene történetész tiszteletére*, ed. Olga Szalay (Budapest: L’Harmattan, 2012), 725–49.

concept could have been to de-emphasise the national characters: from pieces with marked national characters to those without such characters. Although the 'Five Dances in Bulgarian Rhythm' bear the name of a nation, 'Bulgarian', the rhythmic pattern of the last piece, No. 153, is Bartók's creation, devised by using the logic that underlies Bulgarian rhythm. If this is the case, the choice might have been derived from the genre of *Mikrokosmos* pieces as pedagogical works and not independent concert pieces. The purpose of piano tuition may not be compatible with what Bartók usually promoted in his representative orchestral or chamber works.

At the same time, it is also remarkable that the last piece of the two sets (Nos. 139 and 153) lacks a strong ending on the tonic chord. At the end of No. 139, instead of the expected F-major triad, an E<sub>b</sub>-major triad sounds in the high register, and the dominant note, C, is held, but the tonic note, F, disappears. At the end of No. 153, the E-major triad is played in the lower register, but the sense of tonality is destabilised due to the fifth and seventh notes (B and D) played three octaves above. As such open endings are rare in the *Mikrokosmos* pieces, this might have been a deliberate choice by Bartók.

Concerning the final order of the 'Five Dances in Bulgarian Rhythm', there could have been several different concepts that affected the order, and Bartók might have taken these concepts into consideration. For instance, No. 148 could have been either the middle or final piece due to its tempo or its musical difficulty (as well as its 'summarising' character discussed above), but it ultimately became the first piece of the 'Five Dances in Bulgarian Rhythm'. However, the most decisive element was probably the 'openness' of the ending. Even though it would be less satisfactory for a huge collection of character pieces to lack a strong sense of an ending, the *Mikrokosmos* is not a mere collection of character pieces. Rather, it is a collection of pedagogical pieces, and Bartók's purpose was not to demonstrate the goal of piano playing but to tell pupils that the road will continue further.

## Appendix A: Index of the Pieces

The following table shows the location of all pieces and exercises in the available sources of *Mikrokosmos*. This table may greatly help with orientation, as it clearly demonstrates which piece has what kind of sources. The manuscript sources are classified based on their form and function (sketch, draft, fair copy, or tissue proof). The engraver's copy (**EC**) is not included in the table, as it is superfluous: **EC** contains all the published pieces. No page numbers in the tissue proofs are given, as the tissue proofs have the same page number as the original autograph on transparent tissue. If a recording of a piece exists, it is mentioned in the 'Recording' column.

Table A-1: Index of Pieces

No.	Sketch and Draft	Fair Copy	Working Copy	Recording
1	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 1		
2a	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 1		
2b	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 1		
3	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 1		
4	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 2		
5	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 2		
6	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 2		
7	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 3		
8	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 3		
9	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 3		
10	D <sub>1939</sub> , p. 77	A <sub>III</sub> , p. 4		
11	D <sub>1934-36</sub> , p. 36	A <sub>I/2</sub> , p. 43	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
12	D <sub>1934-36</sub> , p. 36	A <sub>I/2</sub> , p. 43	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
13	D <sub>1939</sub> , p. 77	A <sub>III</sub> , p. 4		
14	D <sub>1939</sub> , p. 83	A <sub>III</sub> , p. 4		
15	D <sub>1939</sub> , p. 77	A <sub>III</sub> , p. 5		
16	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 5		
17	D <sub>1939</sub> , p. 78	A <sub>III</sub> , p. 5		
18	D <sub>1933</sub> , p. 54	A <sub>I/1</sub> , p. 36	AP <sub>B1</sub>	
19	D <sub>1933</sub> , p. 54	A <sub>I/1</sub> , p. 36	AP <sub>B1</sub>	
20	D <sub>1933</sub> , p. 54	A <sub>I/1</sub> , p. 36	AP <sub>B1</sub>	
21	D <sub>PB</sub> , p. 6	A <sub>I/2</sub> , p. 38	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
22	D <sub>1934-36</sub> , pp. 37–38	A <sub>I/2</sub> , p. 43	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
23	D <sub>1934-36</sub> , p. 55	A <sub>I/2</sub> , p. 43	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
24	D <sub>1934-36</sub> , p. 55	A <sub>I/2</sub> , p. 44	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
25	D <sub>1933</sub> , p. 54; D <sub>65, 69</sub> (discarded arr. for 2 pfs)	A <sub>I/2</sub> , p. 44	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
26	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 6		
27	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 6		
28	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 6		
29	D <sub>1939</sub> , p. 77	A <sub>III</sub> , p. 7		
30	D <sub>1933</sub> , p. 54	A <sub>I/1</sub> , p. 36	AP <sub>B1</sub>	
31	D <sub>PB</sub> , p. 2	A <sub>I/2</sub> , p. 38	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
32	D <sub>1932</sub> , p. 24	A <sub>I/1</sub> , p. 1	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
33	D <sub>1932</sub> , p. 22	A <sub>I/1</sub> , p. 1	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
34	D <sub>1932</sub> , p. 17	A <sub>I/1</sub> , p. 77 (discarded ver.); A <sub>I/1</sub> , p. 3	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
35	D <sub>1932</sub> , p. 18	A <sub>I/1</sub> , p. 1	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
36	D <sub>1933</sub> , p. 45	A <sub>I/1</sub> , p. 77 (discarded ver.); A <sub>I/1</sub> , p. 3	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
37	D <sub>1932</sub> , p. 16	A <sub>I/1</sub> , p. 3	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
38	D <sub>1939</sub> , p. 78	A <sub>III</sub> , p. 7		
39	D <sub>1939</sub> , p. 78	A <sub>III</sub> , p. 7		
40	D <sub>1939</sub> , p. 73	A <sub>II</sub> , p. 60	AP <sub>B2</sub>	
41	D <sub>1934-36</sub> , p. 33	A <sub>I/2</sub> , p. 45	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
42	D <sub>1939</sub> , p. 78	A <sub>II</sub> , p. 60	AP <sub>B2</sub>	
43a	D <sub>1934-36</sub> , p. 55	pf I: A <sub>I/2</sub> , p. 44; pf II: A <sub>II</sub> , p. 74	pf I: AP <sub>B1</sub> ; AP <sub>B&amp;H</sub> ; pf II: AP <sub>exx</sub>	
43b	D <sub>1934-36</sub> , p. 55	A <sub>I/2</sub> , p. 44	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
44	D <sub>1934-36</sub> , p. 55	pf I: A <sub>I/2</sub> , p. 44; pf II: A <sub>II</sub> , p. 74	pf I: AP <sub>B1</sub> ; AP <sub>B&amp;H</sub> ; pf II: AP <sub>exx</sub>	
45	D <sub>1939</sub> , pp. 73–74	A <sub>II</sub> , p. 64		
46	D <sub>1933</sub> , p. 43	A <sub>I/1</sub> , p. 75 (discarded ver.); A <sub>I/1</sub> , p. 2	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
47	D <sub>1932</sub> , p. 22	A <sub>I/1</sub> , pp. 4–5	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
48	D <sub>1932</sub> , p. 17	A <sub>I/1</sub> , p. 4	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
49	D <sub>1934-36</sub> , p. 57	A <sub>I/2</sub> , p. 47	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
50	D <sub>1934-36</sub> , p. 56	A <sub>I/2</sub> , pp. 44–45	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
51	D <sub>1933</sub> , p. 27	A <sub>I/1</sub> , p. 76 (discarded ver.); A <sub>I/1</sub> , p. 6; A <sub>II</sub> , p. 72 (prelim. staves)	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub> ; AP <sub>exx</sub> (prelim. staves)	
52	D <sub>1934-36</sub> , p. 56	A <sub>I/2</sub> , p. 46	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
53	D <sub>1932</sub> , p. 18	A <sub>I/1</sub> , pp. 6–7	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
54	D <sub>1939</sub> , p. 74	A <sub>II</sub> , p. 63	AP <sub>B2</sub>	
55	D <sub>1934-36</sub> , p. 36	pf I: A <sub>I/2</sub> , p. 46; pf II: A <sub>II</sub> , p. 74	pf I: AP <sub>B1</sub> ; AP <sub>B&amp;H</sub> ; pf II: AP <sub>exx</sub>	
56	D <sub>1934-36</sub> , p. 57	A <sub>I/2</sub> , p. 46	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
57	D <sub>1932</sub> , p. 23	A <sub>I/1</sub> , pp. 5–6	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
58	D <sub>1932</sub> , p. 19	A <sub>I/1</sub> , pp. 8–9	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub> (incompl.)	
59	D <sub>1932</sub> , p. 21	A <sub>I/1</sub> , p. 7; A <sub>II</sub> , p. 72 (prelim. staves)	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub> ; AP <sub>exx</sub> (prelim. staves)	
60	D <sub>1932</sub> , pp. 16–17	A <sub>I/1</sub> , p. 2	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
61	D <sub>1934-36</sub> , pp. 35–36	A <sub>I/2</sub> , p. 45	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
62	D <sub>1932</sub> , p. 49 (1st ver.); D <sub>1932</sub> , p. 14	A <sub>I/1</sub> , p. 11	AP <sub>PB</sub>	
63	D <sub>1933</sub> , p. 46	A <sub>I/1</sub> , p. 2	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	

No.	Sketch and Draft	Fair Copy	Working Copy	Recording
64a	D <sub>1933</sub> , p. 28	A <sub>I/1</sub> , p. 4	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
64b	A <sub>64b, 74</sub>	A <sub>I/2</sub> , p. 39	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
65	D <sub>65, 69</sub> , p. 8	A <sub>II</sub> , p. 67	AP <sub>B2</sub>	
66	D <sub>1934-36</sub> , p. 56	A <sub>I/2</sub> , p. 46	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
67	D <sub>1934-36</sub> , p. 57	A <sub>I/2</sub> , p. 46	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
68	D <sub>1939</sub> , p. 73	pf I: A <sub>II</sub> , p. 64; pf II: A <sub>II</sub> , p. 74	AP <sub>exx</sub> (pf II)	
69	D <sub>65, 69</sub> , p. 8	A <sub>II</sub> , p. 67	AP <sub>B2</sub>	
70	D <sub>1932</sub> , p. 25	A <sub>I/1</sub> , p. 8	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
71	D <sub>1933</sub> , p. 43	A <sub>I/1</sub> , p. 9	AP <sub>PB</sub>	
72	D <sub>1939</sub> , p. 74	A <sub>II</sub> , p. 63	AP <sub>B2</sub>	
73		A <sub>I/1</sub> , p. 33	AP <sub>B1</sub>	
74a	A <sub>64b, 74</sub>	A <sub>I/2</sub> , p. 37	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
74b	A <sub>64b, 74</sub>	A <sub>I/2</sub> , pp. 37–38	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
75	D <sub>1933</sub> , p. 42	A <sub>I/1</sub> , p. 36	AP <sub>B1</sub>	
76	D <sub>1934-36</sub> , p. 57	A <sub>I/2</sub> , p. 47	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
77	D <sub>1934-36</sub> , pp. 58–59	A <sub>I/2</sub> , p. 49	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
78	D <sub>1932</sub> , p. 24	A <sub>I/1</sub> , p. 10	AP <sub>PB</sub>	
79	D <sub>1933</sub> , p. 53	A <sub>I/2</sub> , p. 49	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
80	D <sub>1934-36</sub> , p. 59	A <sub>I/2</sub> , p. 49	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
81	A <sub>81</sub>	A <sub>I/1</sub> , p. 11	AP <sub>PB</sub>	
82	D <sub>1934-36</sub> , p. 58	A <sub>I/2</sub> , p. 47	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
83	D <sub>1939</sub> , p. 77	A <sub>II</sub> , p. 60	AP <sub>B2</sub>	
84	D <sub>1932</sub> , pp. 24–25	A <sub>I/1</sub> , p. 7	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
85	D <sub>1933</sub> , pp. 42, 53	A <sub>I/1</sub> , p. 33	AP <sub>B1</sub>	
86	D <sub>1933</sub> , p. 45	A <sub>I/1</sub> , p. 5	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
87	D <sub>1932</sub> , p. 20	A <sub>I/1</sub> , p. 12	AP <sub>PB</sub>	
88	D <sub>1933</sub> , p. 11	A <sub>I/1</sub> , p. 79 (discarded ver.); A <sub>I/1</sub> , p. 27	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
89	D <sub>1934-36</sub> , p. 58	A <sub>I/2</sub> , p. 47	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
90	D <sub>1932</sub> , p. 23	A <sub>I/1</sub> , p. 10	AP <sub>PB</sub>	
91	D <sub>1932</sub> , p. 50	A <sub>I/1</sub> , p. 15	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
92	D <sub>1932</sub> , p. 25	A <sub>I/1</sub> , p. 15	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
93	D <sub>1934-36</sub> , p. 58	A <sub>I/2</sub> , pp. 48–49	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
94	D <sub>1932</sub> , p. 51	A <sub>I/1</sub> , p. 14	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
95a		A <sub>II</sub> , pp. 65–66	AP <sub>B2</sub> (incomplete)	
95b		A <sub>II</sub> , p. 66		
96		A <sub>II</sub> , p. 69		
97	D <sub>1939</sub> , p. 75	A <sub>II</sub> , p. 62		Rec-B <sub>3</sub>
98	S <sub>98</sub> ; A <sub>98</sub>	A <sub>II</sub> , p. 60	AP <sub>B2</sub>	
99	D <sub>1934-36</sub> , p. 34	A <sub>I/2</sub> , p. 45	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
100	D <sub>1932</sub> , p. 24	A <sub>I/1</sub> , p. 13	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
101	D <sub>1932</sub> , p. 19	A <sub>I/1</sub> , pp. 9–10	AP <sub>PB</sub>	
102		A <sub>IV</sub>		
103	D <sub>1933</sub> , pp. 27–28	A <sub>I/1</sub> , p. 16	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
104a	D <sub>1939</sub> , pp. 79–80 (1st ver.); D <sub>1939</sub> , p. 81	A <sub>II</sub> , p. 61		
104b		A <sub>II</sub> , p. 61		
105	D <sub>1933</sub> , p. 44	A <sub>I/1</sub> , p. 12	AP <sub>PB</sub>	
106	D <sub>1932</sub> , p. 21	A <sub>I/1</sub> , p. 8	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub>	
107	D <sub>1939</sub> , p. 78	A <sub>II</sub> , p. 64		
108	D <sub>1933</sub> , p. 30 (sketch) D <sub>1933</sub> , p. 46	A <sub>I/1</sub> , p. 14	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
109	D <sub>1937</sub> , pp. 71, 62	A <sub>I/3</sub> , p. 58	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>2</sub> (frag.) Rec-B <sub>3</sub>
110	D <sub>1932</sub> , pp. 13–14	A <sub>I/1</sub> , p. 13	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
111	D <sub>1932</sub> , p. 49	A <sub>I/1</sub> , p. 81 (discarded incompl. ver.); A <sub>I/1</sub> , p. 20	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
112	D <sub>1934-36</sub> , pp. 33–34	A <sub>I/2</sub> , p. 48	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
113		A <sub>II</sub> , p. 68	AP <sub>B2</sub>	Rec-B <sub>3</sub>
114	D <sub>1932</sub> , pp. 51–52	A <sub>I/1</sub> , p. 18	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
115		A <sub>II</sub> , p. 71		
116	D <sub>1934-36</sub> , pp. 85–86	A <sub>I/2</sub> , p. 40	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
117	D <sub>1934-36</sub> , p. 31	A <sub>I/2</sub> , pp. 41–42	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
118	D <sub>1934-36</sub> , pp. 34–35	A <sub>I/2</sub> , pp. 42–43	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
119	D <sub>1939</sub> , p. 81	A <sub>II</sub> , p. 61		
120	D <sub>1937</sub> , p. 71	A <sub>I/3</sub> , pp. 58–59	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
121	D <sub>1939</sub> , p. 82	A <sub>II</sub> , pp. 61–62		
122	D <sub>1933</sub> , pp. 26, 29	A <sub>I/1</sub> , pp. 21–22	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
123a	D <sub>1934-36</sub> , p. 85	A <sub>I/2</sub> , p. 39	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
123b		A <sub>I/2</sub> , p. 39	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
124	D <sub>1933</sub> , p. 9	A <sub>I/1</sub> , p. 20	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>1</sub>
125	D <sub>1932</sub> , pp. 14, 13, 15–16	A <sub>I/1</sub> , p. 21	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
126	D <sub>1939</sub> , pp. 74–75	A <sub>II</sub> , p. 63	AP <sub>B2</sub>	Rec-B <sub>3</sub>
127		A <sub>II</sub> , p. 65	AP <sub>B2</sub>	
128		A <sub>II</sub> , pp. 66–67	AP <sub>B2</sub> (incomplete)	Rec-B <sub>3</sub>
129	D <sub>1934-36</sub> , p. 86	A <sub>I/2</sub> , pp. 40–41	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>

No.	Sketch and Draft	Fair Copy	Working Copy	Recording
130	D <sub>1937</sub> , p. 70	A <sub>I/3</sub> , pp. 56–57	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
131	D <sub>1934–36</sub> , pp. 32–33	A <sub>I/2</sub> , p. 41	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
132	D <sub>1932</sub> , p. 26	A <sub>I/1</sub> , p. 16	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
133	D <sub>1932</sub> , pp. 18, 22	A <sub>I/1</sub> , p. 17	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
134/1		A <sub>II</sub> , p. 70		
134/2		A <sub>II</sub> , p. 71		
134/3		A <sub>IV</sub>		
135		A <sub>II</sub> , pp. 69–70		
136	D <sub>1933</sub> , pp. 52, 9	A <sub>I/1</sub> , pp. 17–18	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
137	D <sub>137</sub>	A <sub>I/1</sub> , p. 19	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	
138	D <sub>1937</sub> , p. 72	A <sub>I/3</sub> , p. 57	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>2</sub> (frag.) Rec-B <sub>3</sub>
139	D <sub>1937</sub> , p. 62	A <sub>I/3</sub> , p. 59	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
140	D <sub>1933</sub> , pp. 30, 47	A <sub>I/1</sub> , pp. 24–25	AP <sub>PB</sub> (incomplete); AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
141	D <sub>1933</sub> , pp. 47–48	A <sub>I/1</sub> , pp. 25–26	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
142	D <sub>1933</sub> , pp. 10–11	A <sub>I/1</sub> , p. 81 (discarded cont. of p. 26); A <sub>I/1</sub> , p. 26–27	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
143	D <sub>1933</sub> , pp. 12, 41	A <sub>I/1</sub> , pp. 27–28	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
144	D <sub>1933</sub> , pp. 29–30	A <sub>I/1</sub> , pp. 22–23	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
145a	D <sub>1932</sub> , pp. 14–15; A <sub>145a–b</sub> (frag.)	A <sub>I/1</sub> , p. 31	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub> ; AP <sub>145</sub>	
145b	A <sub>145a–b</sub> (frag.)	A <sub>I/1</sub> , p. 80 (discarded ver.); A <sub>I/1</sub> , p. 30	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub> ; AP <sub>145</sub>	
146	S <sub>146</sub> ; D <sub>1933</sub> , pp. 39–40	A <sub>I/1</sub> , pp. 34–35	AP <sub>B1</sub>	Rec-B <sub>1</sub>
147 (1st ver.)	D <sub>1933</sub> , pp. 41–42	A <sub>I/1</sub> , p. 29	AP <sub>PB</sub> ; AP <sub>B1</sub> ; AP <sub>145</sub> ; [AP <sub>147</sub> ] (with rev.)	Rec-B <sub>3</sub>
147 (2nd ver.)		A <sub>147</sub> ; A <sub>II</sub> , ad p. 29		Rec-B <sub>3</sub>
148	D <sub>1937</sub> , pp. 63–64	A <sub>I/3</sub> , pp. 50–51	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>2</sub> (frag.) Rec-B <sub>3</sub>
149	D <sub>1937</sub> , p. 65	A <sub>I/3</sub> , pp. 51–52	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
150	D <sub>1937</sub> , p. 66	A <sub>I/3</sub> , p. 53	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
151	D <sub>1937</sub> , pp. 68–70	A <sub>I/3</sub> , pp. 54–55	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
152		A <sub>II</sub> , p. 68	AP <sub>B2</sub>	Rec-B <sub>3</sub>
153	D <sub>1937</sub> , pp. 67–68	A <sub>I/3</sub> , pp. 55–56	AP <sub>B1</sub> ; AP <sub>B&amp;H</sub>	Rec-B <sub>3</sub>
145c (unpublished)		A <sub>I/1</sub> , p. 32	AP <sub>PB</sub> ; AP <sub>B&amp;H</sub> ; AP <sub>145c</sub> ; AP <sub>145</sub>	
Exercises				
1–2		A <sub>II</sub> , p. 72	AP <sub>exx</sub>	
3	D <sub>1939</sub> , p. 84	A <sub>III</sub> , p. 6		
4	D <sub>1939</sub> , p. 77	A <sub>III</sub> , p. 7		
5		A <sub>III</sub> , p. 7		
6	D <sub>1939</sub> , p. 73	A <sub>II</sub> , p. 72	AP <sub>exx</sub>	
7		A <sub>II</sub> , p. 72	AP <sub>exx</sub>	
8	D <sub>1939</sub> , p. 73	A <sub>II</sub> , p. 72	AP <sub>exx</sub>	
9–10		A <sub>II</sub> , p. 72	AP <sub>exx</sub>	
11		A <sub>II</sub> , pp. 73, 69	AP <sub>exx</sub> (11b incomplete)	
12	D <sub>1939</sub> , p. 74	A <sub>II</sub> , p. 63	AP <sub>B2</sub>	
13–16		A <sub>II</sub> , p. 72	AP <sub>exx</sub>	
17		A <sub>II</sub> , pp. 72–73	AP <sub>exx</sub>	
18		A <sub>II</sub> , p. 73	AP <sub>exx</sub>	
19–20		A <sub>II</sub> , p. 70		
21		A <sub>II</sub> , p. 73	AP <sub>exx</sub>	
22		A <sub>II</sub> , p. 70		
23–24		A <sub>II</sub> , p. 73	AP <sub>exx</sub>	
25		A <sub>II</sub> , p. 70		
26	D <sub>65, 69</sub> (sketch)	A <sub>II</sub> , p. 69		
27–28	S <sub>ex27–29</sub> , p. 2 (sketch); A <sub>II</sub> , p. 62 (sketch)	A <sub>II</sub> , p. 74	AP <sub>exx</sub>	
29	S <sub>ex27–29</sub> , p. 2 (sketch); A <sub>II</sub> , p. 62 (sketch)	A <sub>II</sub> , p. 74	AP <sub>exx</sub>	
30		A <sub>II</sub> , p. 73	AP <sub>exx</sub>	
31–33		A <sub>II</sub> , p. 71		
Unpublished pieces				
1	D <sub>1932</sub> , p. 20 (discarded)			
2	D <sub>1932</sub> , p. 20 (discarded)			
3	D <sub>1932</sub> , pp. 49–50 (discarded, unfinished)			
4	D <sub>1933</sub> , p. 44 (discarded)	A <sub>I/1</sub> , p. 75		
5	D <sub>1934–1936</sub> , pp. 31–32			
6	D <sub>PB</sub> , p. 2			
Unpublished exercise				
1	D <sub>1939</sub> , p. 73			

## Appendix B: Historical Background of the Item Numbers 49a and 49b

This chapter deals with a seemingly neglected topic concerning how Bartók's manuscripts were grouped, stored, and then transferred to Switzerland in 1938 and later to the United States from 1940 onwards. Since Bartók composed the *Mikrokosmos* pieces between 1932 and 1939, the period of composition overlapped with the transfer of the manuscripts.<sup>1</sup> In fact, he already sent part of the *Mikrokosmos* draft to Switzerland in 1938, with the item number 49a, even before the completion of the composition.<sup>2</sup> As the current cover page of **D** has a number 49a, it seems that this **D** is the source Bartók sent to Switzerland in 1938. However, as discussed in Chapter 4, **D** contains several folios prepared in 1939. To understand this contradiction, the historical background of this item number should be examined.

### B.1. The Circumstances

It is very fortunate that several lists of Bartók's manuscripts were prepared during his lifetime, regardless of whether the lists were complete or incomplete. This is partly due to Bartók's occupation not only as a composer but also as a scholar in ethnomusicology, who became used to collecting things and putting them in order, though primarily because of the political circumstances in the late 1930s. The growing influence of Nazi Germany in Hungary in the 1930s made Bartók anxious, compelling him to prepare for the worst-case scenario.

The decisive event which prompted Bartók to take a series of actions to relocate his most important manuscripts from Hungary to a safe country was the *Anschluss* that occurred on 12 March 1938. However, he had already begun planning

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<sup>1</sup> *Mikrokosmos* might be the only case where the original autographs (especially **D** and **A**<sub>1</sub>, drafts and autograph fair copies) were divided into several groups even during the very period of composition and, at least temporarily, stored separately from each other. This does not mean that other compositions are less problematic from the philological perspective; in fact, different works raise different philological problems. For instance, the string quartets (and other works for chamber ensemble) raise some specific problems that the full score and parts do not always coincide perfectly, due to the complex preparation processes. For details, see *BBCCE/29–30* (forthcoming).

<sup>2</sup> This was documented in one of his letters sent to Annie Müller-Widmann on 24 May 1938. See *BB-AMW*, 174.



this move the year before according to his letter to Müller-Widmann on 13 April 1938:

As far back as Nov[ember] I noticed that Hungarian policy was being diverted from the right track: I then conceived the idea of putting at least the original manuscripts of my musical compositions in some safe place. As a matter of fact I was intending to talk about this as long ago as January, but there was no time for it because of the general hullabaloo. Well, now I ask you both, would you be so kind as to give shelter to my manuscripts? With no obligation to be responsible for them, of course: I would bear all the risk. These things do not take up much room: not more than a small suitcase. —I should like to get someone (possibly Stefi Geyer) to take some of them to you, the rest I would bring myself some time.<sup>3</sup>

That Bartók had already planned to send his manuscripts abroad is confirmed by the way he prepared the manuscript cover pages in the 1930s. It should be mentioned that the cover pages prior to the middle of 1930s had usually contained a Hungarian title only, written in coloured pencil. For instance, on the cover page of the *Twenty-Seven Two- and Three-Part Choruses* (BB 111a, 1935; PB, 72SAS1, p. 1), he simply added ‘*Kórusok*’ [Choruses] in red pencil; only later did he enter a detailed description of the content: ‘*Kinder und Frauenchöre | „Aus alten Zeiten” (Männerchor) | 5 auch mit Orchest. (Partitur)*’ [Choruses for Children and Female Voices | ‘From Olden Times’ (For Male Voice) | 5 with Orchestra (Partiture)].<sup>4</sup> On the cover page of the Second Piano Concerto (BB 101, 1930–1931; PB, 68FSS1, p. 1), there was originally ‘2. *Zongorakonzert (fogalmazás)*’ [Second Piano Concerto (Draft)], also in Hungarian, in purple pencil; its German translation ‘2. *Klavierkonzert (Konzept)*’ was added later.

Conversely, the cover page of *Mikrokosmos* does not contain a Hungarian inscription in coloured pencil, but only the German phrase ‘*Mikrokosmos (Klavierstücke)*’ [*Mikrokosmos* (Piano Pieces)], with an additional French word for draft: ‘*brouillon*’.<sup>5</sup> The combination of German and French words may be confusing, but it can be explained that they belong to different phases of the manuscript re-organisation. The title itself should not necessarily be considered German—this

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<sup>3</sup> Bartók to Müller-Widmann, 13 April 1938. English translation quoted from *Béla Bartók Letters*, 268–69.

<sup>4</sup> Considering the fact that the fair copy of the *Twenty-Seven Choruses* was prepared not by Bartók himself, but by one of his assistants, Jenő Deutsch, it is possible that the Hungarian word ‘*Kórusok*’ was addressed to him.

<sup>5</sup> In the 1938 lists, besides *Mikrokosmos*, only four works contain this French word: *Twenty Hungarian Folksongs* (BB 98, 1929), *Four Hungarian Folksongs* (BB 99, 1930), Fifth String Quartet (BB 110, 1934), and Sonata for Two Pianos and Percussion (BB 115, 1937). It is, however, difficult to find some characteristics which are exclusively applicable to these *brouillons* in contrast to the autographs labelled ‘*Skizzen*’.

spelling could also be derived from a transliteration of the Greek words *μικρός* [*mikrós*] and *κόσμος* [*kósmos*] and also used in Hungarian, although relatively rarely.<sup>6</sup> Still, the characterisation of the content as ‘*Klavierstücke*’ makes a reference to the German language more plausible. It should be noted that a few other covers for compositions from the 1930s similarly lack a Hungarian inscription, but instead have a French inscription: ‘5. *quatuor à cordes (brouillon)*’ on the first page of the Fifth String Quartet (BB 110, 1934; PB, 71FSS1, p. 1) and ‘*Sonate pour 2 Pianos et percussion (brouillon)*’ on a page of the Sonata for Two Pianos and Percussion (BB 115, 1937; PB, 75FSS1, p. 1).

Even though Bartók was fluent in both German and French, it is natural that he primarily used the Hungarian language. Thus, the use of German and French may imply a special intention. It is very likely that the choice of languages was related to the intended recipient of the manuscripts. It is almost certain that when he used the German language, he thought of his Swiss acquaintances. It is not clear what he was thinking when he used the French language: he seems to have preferred French to German as the title of a work, at least in some cases, as if it were a title for an international audience.<sup>7</sup>

Concerning the manuscripts in the list, Bartók already wrote to Schulthess in March 1938, expecting that Stefi Geyer would come to Budapest and take the manuscripts with her:

... the Austrian catastrophe has befallen us—it was long known that it had to come, of course, but now that it has happened one just feels shattered. —But the worst thing is that Hungary also will succumb to this contagion: the only question is, when?

I shall give a more detailed account of all of this to your wife; we are very happy that she intends coming here. I have this to request of her in connection with her trip: on her return journey could she not take with her certain music manuscripts (in the actual sense of the word!), which are important to me? One cannot know when and what will happen here.<sup>8</sup>

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<sup>6</sup> Bartók used the title with the Hungarian spelling (‘*Mikrokozmosz*’) in his Hungarian letters and on Hungarian concert programmes, reflecting general practices in Hungary at the time. For instance, see Bartók’s letter to his wife Ditta Pásztor, 15 August 1939 (*Családi levelei*, 597).

<sup>7</sup> For instance, see how Bartók told Paul Sacher, the commissioner of the work, the provisional title of the *Music for Strings, Percussion and Celesta*: ‘*Der vorläufige Titel des Werkes ist: Musique pour instruments à cordes, batterie et celesta, en 4 mouvements*’ (see *Bartók Béla – Paul Sacher levelezése / Briefwechsel 1936–1940*, 187.)

<sup>8</sup> Bartók to Schulthess, 25 March 1938. English translation quoted from *Musical Mind*, No. 226.

As Bartók was informed that Stefi Geyer was not visiting Budapest but that she would receive the manuscripts in Switzerland in person,<sup>9</sup> he seems to have started working out the plan to transfer his manuscripts to Switzerland: he decided to send manuscripts by mail, and then later he personally took the rest to Switzerland, as he wrote to Müller-Widmann:

*Frau Stefi Geyer kam nämlich nicht nach Budapest (vielleicht wegen den Gerüchten über bevorstehenden Unruhen?), also habe ich mich entschlossen durch Post die Sendung verteilt vorzunehmen. In einer Woche werde ich Ihnen wieder etwas senden und dann vielleicht noch einmal vor meiner Abreise. – Einen Teil nehme ich selber mit. Wir reisen über Basel (nach Luxembourg) und zwar ab am 7. Juni nachmittag von hier; Ankunft in Basel am 8. Juni 14.25, Weiterreise um 14.40. Nun dachte ich mir, wäre es nicht möglich, dass Sie auf den Bahnhof kommen “uns zu begrüßen” wobei ich dann Ihnen die Manuskripte übergeben könnte? Oder wenn Sie verhindert wären, dann irgend jemand, vielleicht Herr Dr. Mohr? Die Übergabe ist übrigens nicht so wichtig: ich könnte die Sachen auch bis Luxembourg mitnehmen.<sup>10</sup>*

For this purpose, Bartók carefully arranged his manuscripts: he grouped the autographs which belonged together or were closely related to each other, and he put them into an envelope. It is quite likely that he had already put most of his manuscripts in order, primarily due to his frequent change of residence. In 1938, however, the arrangement of the manuscripts was more meticulous and more systematic: he added a brief description of their content in French or German, and assigned item numbers to them. A typewritten list was prepared on the basis of the description of the content and the item number.<sup>11</sup>

Interestingly, however, he first contacted Ralph Hawkes (whom Bartók had got to know recently, in April 1938) to temporarily deposit three groups of manuscripts in London. In a letter, in which he accepted a request by Hawkes to play pieces from *Mikrokosmos* at Boosey & Hawkes’s salon concert, he asked Hawkes a favour:

*In exchange I have a request to you:*

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<sup>9</sup> ‘Der Plan meiner Frau, nach Ostern nach Budapest zu kommen, ist wieder ins Wasser gefallen. Unsere Tochter ist später in die Westschweiz gegangen als wir vorgesehen hatten und diese Woche hat das Konservatorium wieder begonnen, sodass diese Reise wieder hinausgeschoben werden musste. Selbstverständlich hätte meine Frau gerne Manuskripte von Ihnen in die Schweiz mitgenommen. Ich glaube kaum, dass meine Frau vor Juni einmal kommen kann.’ See Schulthess to Bartók, 29 April 1939 (GV, BH 1417)

<sup>10</sup> See *BB-AMW*, 174.

<sup>11</sup> For the transcription of the list, see Section B.4.1.

*I am sending to you separately three autographs of my works:*  
 I. Cantata profana Orch. Part. Und Klavierauszug, Reinschrift in Lichtpaussenschrift;  
     *marked with 43c)*  
 II. 2. Klavierkonzert, Partitur und Klavierauszug (Lichtpausschrift)  
     *marked with 45b)*  
 III. Szekler Lieder für Männerchor  
     *marked with 46*  
*The reason I am sending [these] to you I will explain in London (it has nothing to do with publishing!). Would you be so kind as [to] keep them for me until my visit in London, and to give me news of having safely received them?*<sup>12</sup>

Even though Bartók was eventually to transfer all of his important manuscripts to London, and from there to the United States, this time he collected the manuscripts in London during his visit there in June 1938, and then he deposited them with Müller-Widmann during his stay in Switzerland in June–July 1938. At any rate, these autographs were subsequently sent to the United Kingdom by Schulthess the following year.

It was somewhat later that Bartók began sending his autographs to his intended destination, Switzerland: between 21 May and 6 June 1938, he sent the autographs to Müller-Widmann or Schulthess in several packages (for the date of mailing, see Table B-1).<sup>13</sup> The *Mikrokosmos* manuscript is included in the first package sent to Müller-Widmann, on 21 May 1938.<sup>14</sup> According to his description in the letter, the manuscripts sent were:

*50 Musik für Saiteninstrumente* [= Music for Strings, Percussion, and Celesta BB114, 1936]  
*51a Sonate pour 2 pianos et percussion (brouillon)* [= Sonata for Two Pianos and Percussion BB 115, 1937 (Sketch)]  
*48 Kinder und Frauenchöre; “Aus alten Zeiten” (Männerchor); 5 auch mit Orchester (Partitur)* [= Twenty-Seven Two- and Three-Part Choruses BB 111a, 1935]  
*49a Mikrokosmos (Klavierstücke; brouillon)* [= Mikrokosmos BB 105, 1932–1939]<sup>15</sup>

<sup>12</sup> Bartók to Hawkes, 8 May 1938 (PB, BB–B&H). These autographs were, in fact, sent only on 13 May 1938, according to another letter from Bartók on 13 May 1938 (PB, BB–B&H). The receipt of the autographs can be found in a letter from Hawkes on 18 May 1938 (PB, BB–B&H).

<sup>13</sup> There is a letter dated 10 June 1938 to Schulthess and 14 June 1938 to Müller-Widmann, but as Bartók departed from Budapest on 7 June 1938, these dates are likely to be erroneous.

<sup>14</sup> ‘Vor 3 Tagen habe ich Ihnen folgende Autographen zugeschickt . . .’, in a letter from Bartók to Müller-Widmann, 24 May 1938. See BB–AMW, 174.

<sup>15</sup> *Ibid.*

Table B-1: List of item numbers

Item No.	Description	Sent to	Date	Source containing item No.
1)	Studie für die linke Hand allein.	(brought to Basel in person)	8 June 1938?	6PS1
2a)	Rhapsodie pour Piano et Orchestre. (Partitur und Einrichtung des 2. Klaviers)	(brought to Basel in person)	8 June 1938?	8TFSS1
2b)	1. Suite für Orchester. (Partitur)	(brought to Basel in person)	8 June 1938?	10FSS1
3)	2. Suite. (für kleines Orchester)	(brought to Basel in person)	8 June 1938?	12FSS1ID1
4)	2 Portraits. (1. Kopierschrift, 2. Autograph)	(brought to Basel in person)	8 June 1938?	16TFSID1
5)	14 Bagatellen. (Klavier)	(brought to Basel in person)	8 June 1938?	18PFC1
6)	10 leichte Klavierstücke. (Nr. 3 und 5 fehlen)	(brought to Basel in person)	8 June 1938?	19PS1, 2
7a)	Für Kinder. (1. und 2. Heft)	(brought to Basel in person)	8 June 1938?	22PIID1
7b)	Für Kinder. (daraus Transkription für Viol. und Klav.)	(brought to Basel in person)	8 June 1938?	22TVPS1
8)	Für Kinder. (3. und 4. Heft) (20 Stücke fehlen)	(brought to Basel in person)	8 June 1938?	22PIIID1
9)	1. Streichquartett.	(brought to Basel in person)	8 June 1938?	20FSS1
10)	1. rumänischer Tanz für Orch. Instrumentiert.	(brought to Basel in person)	8 June 1938?	25TFSS1
11)	Ungarische Bilder für Orchester.	(brought to Basel in person)	8 June 1938?	A1TFSS1
12)	1. Burleske. (in 2 Exempl., Anfang des 2. in fremder Handschrift)	(brought to Basel in person)	8 June 1938?	24PID1
13)	4 Nénies et Esquisses.	(brought to Basel in person)	8 June 1938?	26PID1
14a)	Deux Images. (Partitur und Klav.-Auszug à 2 m.)	(brought to Basel in person)	8 June 1938?	27FSS1
14b)	Burg des Herzog Blaubart. (Partitur)	(brought to Basel in person)	8 June 1938?	28FFS1
15)	4 Orchesterstücke. (Erste Aufzeichnung in 4 Systemen)	Müller-Widmann	6 June 1938 (2)	31TPPS1
16)	Der Holzgeschnittze Prinz. (Skizzen)	(brought to Basel in person)	8 June 1938?	33PS1
17a)	Rumänische Weihnachtslieder Rumänische Volkstänze Sonatine	Müller-Widmann	6 June 1938 (2)	36PS1, 37PS1, 38PS1
17b)	Sonatine, Transkription v. Gertler. (mit Aenderungen)			
17c)	Tänze aus Siebenbürgen für Orchester.			
18)	2. Quatuor à cordes.			
19)	Suite op. 14 für Klavier.	Müller-Widmann	6 June 1938 (2)	43PS1
20)	5 Lieder (Ady) op. 16, Klav. und Singst.	Müller-Widmann	6 June 1938 (2)	44VOPS1
21)	8 ungarische Volkslieder, (Autograph, 2 Lieder fehlen) f. Kl. u. Singst. Druckvorlage (fremde Handschrift, mit eigenen Vortragszeichen)	Müller-Widmann	6 June 1938 (2)	17VOPS1
22a)	Ungarische Bauernlieder für Orchester.	Müller-Widmann	6 June 1938 (2)	—
23)	Slowakische Volkslieder für gem. Chor mit Klavier.	Müller-Widmann	6 June 1938 (2)	47SATBPS1
24)	a) Ungarische b) Slowakische	Schulthess	10 June 1938?	46TBS1
25)	3 Etudes. (piano)			
26)	Der wunderbare Mandarin. 1. Heft: Skizzen 2. Heft: Klavierauszug zu 4 Händen 3. Heft: Partitur (dazu neuer Schluss)	Schulthess	10 June 1938?	49PS1
27)	Improvisationen. (Für Klavier)	Müller-Widmann	6 June 1938 (1)	50PS1
28)	1. Klav.-Viol.-Sonate.	Müller-Widmann	6 June 1938 (1)	51VPS1
29)	2. Klav.-Viol.-Sonate.	Müller-Widmann	6 June 1938 (1)	52VPS1
30)	Tanzsuite. (Skizze)	Müller-Widmann	6 June 1938 (1)	53PS1
31)	Dorfscenen (Slowak. Volksl.) Klav. und Singst.	Schulthess	4 June 1938	54VOPS1
32)	9 kleine Klavierstücke (Skizzen) (einige Skizzen zu "Mikrokozmos", "Im Freien", 1.Klavierkonzert.)	Müller-Widmann	6 June 1938 (1)	57PS1
33)	Im Freien. (Klavierstücke) Reinschrift. Im Freien. Skizzen Sonate. (Klavier) Skizzen.	Müller-Widmann	6 June 1938 (1)	56PFC1, 56PS1, 55PS1
34a)	1. Klavierkonzert. Einrichtung für 2Klaviere. Skizzen)	Müller-Widmann	6 June 1938 (1)	58TPPFC1
34b)	1. Klavierkonzert. (Partitur)	Schulthess	4 June 1938	58FSS1
35)	3. Streichquartett. (Konzept)	Schulthess	4 June 1938	60FSS1
36)	2. und 3. Rondo für Klavier.	Schulthess	4 June 1938	45PS1*
37)	4. Streichquartett. (Konzept)	Schulthess	4 June 1938	62FSS1
38)	4. Streichquartett. (Reinschrift)	Schulthess	4 June 1938	62FSFC1

Item No.	Description	Sent to	Date	Source containing item No.
39)	1. Rhapsodie für Viol. und Orch. für Viol. und Klav. Aenderungen für Vcello.	Schulthess	4 June 1938	[61TFSS1]
40)	2. Rhapsodie für Viol. und Orch. für Viol. und Klav. Aenderungen für 2. Rhapsodie für Viol. und Orch.	Müller-Widmann	29 May 1938	63TFSS1
41)	20 Ungarische Volkslieder. Klavier u. Singstimme. (Brouillon und Reinschrift.)	Müller-Widmann	29 May 1938	64VOPS1
42)	Ungarische Volkslieder für gem. Chor. (Brouillon und Reinschrift, Lichtpauseschr.)	Müller-Widmann	29 May 1938	65SATBS1
43a)	Cantata profana. (Konzept)	Schulthess	26 May 1938	67VOSS1
43b)	Cantata profana. (Partitur)	Schulthess	26 May 1938	67FSS1
43c)	Cantata profana. (Orch. part. und Klavierauszug. Reinschrift und in Lichtpausschrift)	Hawkes	8 May 1938**	—
44)	44 Duos für Violinen. (Konzept und Reinschrift. Lichtpauseschrift) Petite Suite.	Müller-Widmann	29 May 1938	69VVS1?
45a)	2. Klavierkonzert. (Konzept)	Schulthess	26 May 1938	68FSS1
45b)	2. Klavierkonzert. (Part. und Klav. -Auszug. Lichtpauseschrift)	Hawkes	8 May 1938**	—
46)	Szekler Siebenbürgisch ungarische Lieder für Männerchor.	Hawkes	8 May 1938**	—
47)	5. Streichquartett. (Brouillon)	Schulthess	26 May 1938	71FSS1
48)	Kinder und Frauenchöre: „Aus alten Zeiten.“ (Männerchor) 5 auch mit orchester. (Partitur)	Müller-Widmann	21 May 1938	72SAS1
49a)	Mikrokosmos. (Klavierstücke, Brouillon)	Müller-Widmann	21 May 1938	59PS1
50)	Musik für Saiteninstrumente. etc.	Müller-Widmann	21 May 1938	—
51a)	Sonate pour 2 pianos et percussion. (brouillon)	Müller-Widmann	21 May 1938	75FSS1
49 b	Mikrokosmos (Manuscript)	—	—	—
52.	Violin-concerto (a) Brouillon, b) manuscript full score c) manuscript, piano score)	—	—	—
53.	Three pièces [sic] for clar. violin and piano (a) brouillon b) manuscript)	—	—	77FSS1
54.	Divertimento (a) brouillon, b) manuscript)	—	—	—
55 b)	VI. Stringquartet (manuscript)	—	—	—
51 b)	Sonata for two pianos and percussion, MS. (including separate percussion parts in M.S.; added full orchestra score parts)	—	—	—
55 a)	VI. Stringquartet (draft)	—	—	—
56.	(Falun) Three village scenes for chamber orch. and voices MS.)	—	—	—
57.	Five Hungar. Folk Songs (from “Twenty Hung. Folk Songs[”]) for voice and orchestra, MS.	—	—	—
58.	Sonata for Violin alone, MS.	—	—	—

\* The original source is currently located in New York Pierpont Morgan Library R.O. Lehman deposit.  
\*\* The sources were taken back by Bartók in June 1938, and then to Basel in June–July 1938.

It should be pointed out that he sent the manuscript of new compositions first, and then proceeded in reverse order. It is likely that he rearranged the manuscripts largely in chronological order, then piled them up. Thus, when he took the manuscripts from the top of the pile one by one, the order was reversed.

It is, however, possible that the importance Bartók attributed to some works might also have played a role. The choice of early shipment of three manuscripts to the United Kingdom (*Cantata profana*, Second Piano Concerto, and *Székely Folksongs*) is remarkable, as they seem not to have been chosen from the top of the pile. If he intentionally chose the manuscripts of these works, then this signals the importance of these works as Bartók wanted to send them abroad as soon as possible.

Based on Bartók's letter to Müller-Widmann,<sup>16</sup> he seems to have taken the rest of the manuscripts to Switzerland in person. If he did hand over the manuscripts on 8 June at the Basel railway station (as he mentioned in the letter), he would still be able to deposit all the manuscripts with Müller-Widmann in June–July 1938, together with the manuscripts he had received from Hawkes in London. On that occasion, Bartók might also have transferred those manuscripts which he had previously sent to Schulthess to Müller-Widmann. Probably on this occasion when the transfer was completed, she entered the autograph receipt on the top of the list of manuscripts (see the lists below).

After Bartók and Hawkes possibly made an oral agreement concerning a new contract at their personal meeting in Paris in March 1939, Bartók decided to transfer all the manuscripts he had previously sent to Switzerland to the United Kingdom.<sup>17</sup> Later, following the composer's request, Schulthess collected the manuscripts kept by Müller-Widmann, packed them into five parcels, and sent them to Boosey and Hawkes on 15 April 1939, with a new list of autographs in typescript.<sup>18</sup> These manuscripts were kept in a strong room after their arrival in London.<sup>19</sup> As Bartók never visited the United Kingdom afterwards, he did not have an opportunity to re-organise the autographs until they were subsequently transferred to the United States.

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<sup>16</sup> *BB-AMW*, 174.

<sup>17</sup> 'I will also ask Prof. Müller in Basel who keeps my manuscripts to send them over to you.' Letter from Bartók to Hawkes, 28 March 1939 (PB, BB-B&H).

<sup>18</sup> For the transcription of the list, see Section B.4.2.

<sup>19</sup> 'I have pleasure in advising you that the five packages of Prof. Bela Bartok's MSS have now come to hand and have been checked up and found to be in order. They will be deposited in our strong room for safe keeping.' Letter from Hawkes to Schulthess, 24 April 1939 (PB BB-B&H).

Concerning the transfer of documents to the United States, no full details are known: who gave the instruction, when the manuscripts were shipped from the United Kingdom and when they arrived in the United States. There are no direct references to this transfer in the correspondence between the composer and Boosey & Hawkes. An agreement by the establishment of the short-lived Bartók Trust, dated 15 May 1940, can still be considered a piece of evidence.<sup>20</sup> The agreement acknowledges the receipt of the manuscripts listed in ‘Schedule “A”’, but as this list only contains the manuscripts of the new works which Bartók had recently finished and not yet sent either to the United Kingdom or to Switzerland, it is likely that these manuscripts were brought by Bartók in person. The wording of the agreement only says that the other manuscripts were still not in the venue where the agreement was concluded, and there is no information concerning their whereabouts. Still, there is another list entitled ‘BELA BARTOK MANUSCRIPTS PUT IN VAULT’, prepared on 13 May 1940, a few days before the agreement, and it only contains the ‘Schedule “A”’ manuscripts; thus, it is likely that other manuscripts were still in the United Kingdom.<sup>21</sup>

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<sup>20</sup> ‘NOW THEREFORE, the Grantor herewith transfers, assigns and conveys to the Trustees, and the Trustees do hereby, by the execution of these presents, acknowledge receipt from the Grantor, of the manuscripts enumerated on Schedule “A” hereto annexed and made a part hereof, which together with any other, further and additional manuscripts which may hereafter be transferred, assigned and conveyed to the Trustees by the Grantor or by any other person, all of which is hereafter collectively termed the trust estate . . .’ See the Agreement dated 15 May 1940 (PB BB–B&H).

<sup>21</sup> Victor Bator’s account (‘As soon as [Bartók] established personal contact with Ralph Hawkes, of Boosey & Hawkes, Bartók decided to have his manuscripts transferred—as forecast in his letter to Mrs. Müller-Widman[n]—from London to New York. They were held there in the offices of Boosey & Hawkes, New York, first as a temporary deposit and then, from May 15, 1940, in a trust created by a trust-agreement between Bartók on the one hand and Boosey & Hawkes, Inc., of New York City and Professor George Herzog of Columbia University as trustees on the other.’) should not be considered entirely reliable and containing some factual inaccuracies, regardless of the fact that he would have been directly informed both by Bartók and B&H (see *Bator*, 13–14.) The inaccurate pieces of information are the following: (1) Bartók got to know Hawkes in Spring 1938, even before Bartók decided to send his manuscripts to Switzerland; (2) the lists prepared around 15 May 1940 do not contain the manuscripts Bartók previously sent to London via Switzerland. Still, it is possible that he had already planned to transfer his manuscripts to the United States in 1938, when he decided to conclude a contract with B&H. The only concern was, as he wrote to Müller-Widmann, that he did not have any firm base where he could secure his manuscripts: he wrote even in 1939 that ‘Eigentlich müssen diese Manuskripte nach Amerika gehen, aber dort habe ich zur Zeit niemand.’ [Actually these manuscripts must be sent to America, but I have no one there at the moment.] (see *BB–AMW*, 200). Although the primary purpose of the Trust was to cover the publication costs of the collection of Romanian and Slovak folk music, the Trust must have served as a reliable base to (in hindsight, temporarily) deposit his manuscripts.



Despite some difficulties and the risks of marine transport during the Second World War, the manuscripts were shipped to and finally arrived in the United States. The fact that Victor Bator, Bartók's legal adviser in his American years,<sup>22</sup> received these manuscripts can be considered a piece of firm documentary evidence of their arrival in the United States.<sup>23</sup> After the cessation of the Bartók Trust,<sup>24</sup> Bartók intended to get back his manuscripts he granted to the Trust, but due to his illness, he entrusted Bator to go to the Boosey & Hawkes office and acquire the manuscripts instead.<sup>25</sup> On 9 March 1943, Bartók wrote a letter to Boosey & Hawkes and handed it to Bator:

*I beg to refer to my letter sent to you direct concerning my manuscripts, held by you since 1940.*

*The holder of this letter is Dr. Victor Bator, whom I authorized to take over from you the above mentioned manuscripts. I gave him a list of the manuscripts enumerating 55 items. Concerning the Violin Concerto mentioned as Item 52, Dr. Bator will make arrangements with you enabling you to use those in the future as you have done in the past.*

*Dr. Victor Bator is hereby authorized to give you release on my behalf concerning all manuscripts which will be taken over by him.*<sup>26</sup>

It is worth mentioning that Bartók himself wrote the sum of items as 55; thus, at that time, items 56 and 57 had not been entered in the lists prepared or revised in the United States. Bator visited the Boosey & Hawkes office in March–April 1943 with this letter, and wrote a receipt of the manuscript on the letter:

I confirm herewith having received all manuscripts with the exception of N.49b (Mikrokosmos) 54 (Divertimento a) brouillon b) manuscript) 55b. (VI. String quartett) and the full score of the Violin concerto 52b) as mentioned.<sup>27</sup>

The works mentioned by Bator essentially coincide with the manuscripts listed in 'Schedule "A"', with the exception of 'THREE PIECES' [= *Contrasts*], which

<sup>22</sup> Even though Bator is often described as a 'lawyer', he never practised law in the United States. See Carl Leafstedt, 'Rediscovering Victor Bator, Founder of the New York Bartók Archives', *Studia Musicologica* 53 (March 2012), 359.

<sup>23</sup> See a letter from Bartók to B&H, 9 March 1943 (PB BB–B&H).

<sup>24</sup> For the cessation of the agreement, see Bartók's letter to Hawkes, 3 August 1942: 'You remember you signed as a co-trustee (with Dr. G. Herzog) a kind of agreement (or what it is called) concerning my manuscripts. Now that I see how conditions here are, I realize that the purpose I wanted to attain with these manuscripts, can never be attained. Therefore, I ask you to agree with the cessation of this "agreement" and to send me a statement with your declaration of consent' (PB BB–B&H).

<sup>25</sup> See the letter from Bartók to Heinsheimer on 8 March 1943 (PB, BB–B&H); according to Heinsheimer's letter to Bartók on 1 May 1943, Bator visited him in April 1943.

<sup>26</sup> Letter from Bartók to B&H, 9 March 1943 (PB, BB–B&H).

<sup>27</sup> PB, BB–B&H, 9 March 1943.

received the number 53. There is no further information in the available correspondence concerning why Bator did not receive these manuscripts. It should be ruled out that these manuscripts had been lost. It is true that the *Mikrokosmos* source cannot be identified unambiguously; still, as the two known sources of *Divertimento* (i.e., PB, 78FSS1 and PB, 78PID) can be identified with the sources mentioned in the receipt, Bator obviously also took them somewhat later.<sup>28</sup>

It seems that the collection of Bartók's manuscripts was enlarged afterwards. The additional items were added at some time in 1944–1945, after the completion of the Sonata for Solo Violin (BB 124, 1944). The reason why the list does not contain the autographs of the Concerto for Orchestra (BB 123, 1943) is that the sketches and drafts were written in the blank space of his 'Turkish field-book', which was kept separately from other autographs, and Bartók was still using the autograph full score at that time, before its publication.

Considering the fact that the catalogue of the New York Bartók Archive contains many more sources than the lists prepared or revised by Bartók, it is possible that Bartók added some further autographs to the collection. On the other hand, it can be established that he presented some of his manuscripts, taken from the collection, to his former American pupil, Wilhelmine Creel, judging from Bartók's letter to her on 17 December 1943:

*My Mss. of musical works are kept in the house of a friend of mine. For various reasons, I got the selected pages only in the last moment, just before leaving New York, so they will be mailed to you by Ditta. A few explanatory words: as you will see, I had much trouble with the second rondo. I wanted first to include a 3rd theme which later proved to be impracticable.*<sup>29</sup>

This letter makes it clear that the manuscripts were kept by Bator, and Bartók had no direct access to them at the time. The mentioned manuscript is the item No. 36, the draft of Nos. 2–3 of *Three Rondos on Folktunes* (BB 1916, 1916–1927), which is currently located at the New York Pierpont Morgan Library as a R. O. Lehman deposit.

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<sup>28</sup> In a letter by Bator, we can read the following: 'I am going down early next week to see you and take over the three manuscripts' (a letter from Bator to Heinsheimer, 1 May 1943, PB, BB-B&H). As Bartók seems to have allowed the publisher to continue using the manuscript of the Second Violin Concerto, it is likely that the 'three manuscripts' refers to those of *Mikrokosmos*, *Divertimento*, and the Sixth String Quartet.

<sup>29</sup> Letter from Bartók to Wilhelmine Creel, 17 December 1943 (photocopy in BBA, 4515/9-d).

As for the autographs of *Mikrokosmos*, while the catalogue of the New York Bartók Archive contains three groups of autographs—59PS1, 59PID1–ID2, and 59PFC1—only two items of *Mikrokosmos* autographs are registered in Bartók’s lifetime: 49a and 49b (see Chapter 3). Yet, in this case, it cannot be ruled out that the staff at the New York Bartók Archive were responsible for the rearrangement, as Bator mentioned in the catalogue:

The separation of the sketches, the identification of much of the manuscript material which had been dispersed in scattered envelopes, the institution of systematic classification . . . all these are to [Benjamin Suchoff’s] and Mrs. Varga’s credit.<sup>30</sup>

## B.2. Missing 49b

The existence of number 49a on the cover page of **D** and the absence of 49b from all the covers of manuscripts and from the lists of manuscripts cause some problems concerning its identification. While it can be established that at least part of **D** was sent to Switzerland, there is no clue concerning the contents of 49b. In the following, I try to narrow down which existing autographs might have constituted the missing 49b. First, the function and purpose of the item number should be discussed.

The primary purpose of the item numbers was to facilitate the management of the manuscripts, as well as communication with the recipients in 1938 (Müller-Widmann, Schulthess and Ralph Hawkes). As mentioned above, the item numbers were also used later, when Bartók’s autographs were kept by Boosey & Hawkes and then transferred to the short-lived Bartók Trust in 1940, and when Bartók took back these manuscripts in 1943. Bartók still prepared new item numbers for the autographs he added to the collection of autographs. However, it seems that the item number gradually lost its role. After he asked Bator to take back his autographs from the publisher and keep them in his house, they were no longer transferred elsewhere as a whole. Thus, there would have been no necessity to refer to the item numbers, which originated under rather extraordinary circumstances when Bartók had to urgently send his autographs to safer places.

The rather hasty procedure can be assumed from the fact that Bartók accidentally assigned the same item numbers to more than one group of manuscripts of different works: the item numbers 2a and 2b were originally written as 2, in green

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<sup>30</sup> Bator, 15.

pencil, on the manuscripts of *Rhapsody, Op. 1 for piano and orchestra* (BB 36b, 1905) and *Suite No. 1, Op. 3* (BB 39, 1905), respectively. Similarly, the item numbers 14a and 14b were originally written as 14, also in green pencil, on the manuscripts of *Two Pictures, Op. 10* (BB 59, 1910) and *Duke Bluebeard's Castle, Op. 11* (BB 62, 1911), respectively. These numbers were corrected to 2a, 2bis, 14a, and 14bis, respectively. While the correction of the numbers 2 and 14 to 2bis and 14bis took place earlier and was made in green pencil, the correction of another set of numbers 2 and 14 to 2a and 14a might have been done later, judging from the fact that the further numbering 'a' was entered in pencil. It is likely that Bartók realised these duplications only after he had already assigned item numbers to a considerable quantity of the manuscripts. Both the addition of 'a' and 'bis' might have been improvised in order not to significantly modify the existing numbering.

It is worth mentioning that 49b is not the only missing item number. There are also several numbers missing, although these should be considered exceptional. The exceptions can be summarised as follows:

- (1) If the form of the autograph is the autograph on transparent tissue (written as 'Lichtpausschrift', according to Bartók's description of the content), the corresponding item number does not survive among the available sources. The following groups belong to this case: '43c' *Cantata profana* (BB 100, 1930), '45b' Second Piano Concerto (BB 101, 1930–1931), '46' *Székely Folksongs* (BB 106, 1932), and '22a' *Hungarian Peasant Songs* (BB 107, 1933).
- (2) If the item number is not included in the original list he prepared and sent to Müller-Widmann (i.e., not kept by her in 1938–1939), there are no corresponding item numbers on any of the autographs, except for 53, a set of autographs in different compositional stages of *Contrasts*. The following groups belong to this case: '51b' *Sonata for Two Pianos and Percussion*, including the material for *Concerto for two Pianos and Orchestra* (BB 115, 1937 and BB 121, 1940), '52' Second Violin Concerto (BB 117, 1937–1938), '54' *Divertimento* (BB 118, 1939), '55' Sixth String Quartet (BB 119, 1939), '56' *Three Village Scenes* (BB 87b, 1926), '57' *Five Hungarian Folksongs for voice and orchestra* (BB 108, 1933), and '58' Sonata for Solo Violin (BB 124, 1944).
- (3) '50' *Music for Strings, Percussion, and Celesta* (BB 114, 1936).

The case of '44' *Forty-Four Duos* (BB 104, 1931–1932) can be considered a borderline case. There is no independent cover page, but one of its pages has a title and the description of the contents. Thus, it might have functioned as a cover page. There is no item number written on it in the same manner as written on other autographs, but there is indeed a number 44 written in purple pencil, as part of the title

‘44 duo’ [‘44 Duos’ in Hungarian]. The title was later revised to ‘44 duos’ in ink. It is possible that Bartók eventually used the number 44 as the item number.)

The absence of item numbers can be explained by the same reasoning: there could have been separate envelopes in which the autographs were kept, and which contained the item number as well as the description of the content. These envelopes were eventually probably lost, as either Bartók or later archivists considered them unimportant, after the manuscripts found their permanent location.

The case of 41 can be considered relevant: the item number and the description of the contents were entered onto a piece of fragmentary paper. This piece of paper, recycled several times, contains several layers, but it was finally used as a title page for the draft and fair copy of *Twenty Hungarian Folksongs* (BB 98, 1929). As this autograph as a whole contains different types of music paper, it is likely that there was originally a separate envelope for the autograph as a whole, but the envelope was eventually lost, and only the fragmentary piece of paper survived.

The case of 49b belongs to both categories (1) and (2) mentioned above: (1) the autograph on transparent tissue, and (2) the item number is not included in the list Bartók sent to Müller-Widmann. However, as category (2) may serve as an exclusive reason, it is impossible to determine whether 49b was the source group solely consisting of fair copies on transparent tissue. The description of the contents as ‘manuscript’ in list (c) or ‘MS. végleges’ [final manuscript] in list (d) may provide little help in further identification.

It should be pointed out that Bartók did not use the term ‘manuscript’ or ‘MS’ to categorise his autographs when he prepared list (a) in 1938; this English term was used only in the United States after 1940, so there are only a few sources to be compared. Even though the word ‘manuscript’ may refer to any kind of handwritten sources, it seems that Bartók used it to differentiate from ‘*brouillon*’ or ‘draft’ that the given autograph contains the final form of the work. From the 1930s, Bartók usually made the fair copy on transparent tissue, which represented the final form of the work. In the case of *Mikrokosmos*, **A<sub>I-II</sub>** is a set of the fair copies on transparent tissue; however, as there are some autograph fair copies of *Mikrokosmos* pieces on normal music paper (**A<sub>III</sub>** and **A<sub>IV</sub>**), we need more information to identify the source.

### B.3. Documentation of the Source Groups: Bartók's Own List of Manuscripts

In this subsection, we shall briefly document the lists of manuscripts which were prepared by Bartók (or based on the list prepared by Bartók) and occasionally modified by him. Currently, we know of three different long lists of manuscripts—lists (a)–(c), containing 51 numbered items, and two fragmentary, shorter lists of manuscripts, lists (d) and (e) containing 5 or 10 items—as summarised below (for a transcription of each list, see below):

- (a) a typewritten list prepared by Bartók, supposedly handed to Annie Müller-Widmann during his stay in Basel in June–July 1938, with Müller-Widmann's autograph signature in her autograph (May 1938)<sup>31</sup>;
- (b) two copies of a typewritten list prepared by Walter Schulthess after (a), accompanying the manuscripts in five packets, were transferred from Switzerland to London; one sent to Boosey and Hawkes and kept there,<sup>32</sup> and the other kept by Schulthess (April 1939),<sup>33</sup>
- (c) a (probably carbon) copy of (a) with later addition in typescript and in Bartók's hand (rev. 1940, 1944, and 1945?);<sup>34</sup>
- (d) a list of manuscripts of the new works still not included in lists (a), (b), and the original layer of (c), entitled 'BELA BARTOK MANUSCRIPTS PUT IN VAULT', first prepared on 13 May 1940 in typescript, in relation to the formation of the 'Bartók Trust', with a later addition in Bartók's handwriting (1940, rev. 1944?);<sup>35</sup>
- (e) a list of manuscripts which Bartók brought to the United States in person on his first US tour in 1940, entitled 'SCHEDULE "A"', part of the agreement between Bartók, B&H and George Herzog concerning the formation of the Bartók Trust (1940).<sup>36</sup>

The contents of these lists can be grouped into three layers, according to their time of origin: (i) 1938 layer consisting of item Nos. 1–51a, except for No. 49b [= lists (a), (b), and the original layer of (c)]; (ii) 1940 layer consisting of item Nos. 49b, 52–54, and 55b [= typewritten addition of list (c), the original layer of list (d), and list (e)]; (iii) 1944 layer consisting of item Nos. 51b, 55a, and 56–58 [= handwritten addition of lists (c) and (d)]. Among five items in the last 1944 layer, only No. 58 [= Sonata for

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<sup>31</sup> The list is now preserved with a copy of Schulthess' letter to B&H on 15 April 1939 (PB, BB–SCH).

<sup>32</sup> This list is part of Schulthess' letter to B&H on 15 April 1939 (PB, BB–B&H).

<sup>33</sup> This list is part of a copy of Schulthess' letter to B&H on 15 April 1939 (PB, BB–SCH).

<sup>34</sup> This list entitled '*List of manuscripts*' is preserved with further miscellaneous materials in PB.

<sup>35</sup> This sheet is preserved with further miscellaneous materials in PB.

<sup>36</sup> The copy of the agreement dated 15 May 1940 can be found among PB, BB–B&H.

Violin Solo (BB 124, 1944)] was completed in the United States. Thus, theoretically, it is possible that other items (Nos. 51b [= Sonata for Two Pianos and Percussion (BB 115, 1937)], 55a [= Sixth String Quartet (BB 119, 1939)], 56 [= Three Village Scenes (BB 87b, 1926)] and 57 [= Five Hungarian Folk Songs (BB 108, 1933)]) composed before 1944 had already been included prior to 1944. However, in both lists (c) and (d), these five items are written in essentially the same manner; thus, it is likely that they were added on a single occasion. For a complete list of item numbers, see Table B-1.

## B.4. Transcription of the Lists

In the following, five different lists of manuscripts are transcribed. As the original layer of lists (a) and (c) are identical, they are transcribed together but occasional deviations are documented in footnotes.

### B.4.1. Lists (a) and (c)<sup>37</sup>

- 1) Studie für die linke Hand allein.
- 2a) Rhapsodie pour Piano et Orchestre. (Partitur und Einrichtung des 2. Klaviers.)<sup>38</sup>
- 2b) 1. Suite für Orchester. (Partitur)
- 3) 2. Suite. (für kleines Orchester)
- 4) 2 Portraits. (1. Kopierschrift, 2. Autograph)
- 5) 14 Bagatellen. (Klavier)
- 6) 10 leichte Klavierstücke. (Nr. 3 und 5 fehlen)
- 7a) Für Kinder. (1. und 2. Heft)
- 7b) Für Kinder. (daraus Transkription für Viol. und Klav.)
- 8) Für Kinder. (3. und 4. Heft) (20 Stücke fehlen)
- 9) 1. Streichquartett.
- 10) 1. rumänischer Tanz für Orch. Instrumentiert.
- 11) Ungarische Bilder für Orchester.
- 12) 1. Burleske (in 2 Exempl., Anfang des 2. in fremder Handschrift)
- 13) 4 Nénies et Esquisses.
- 14a) Deux Images. (Partitur und Klav.-Auszug à 2 m.)
- 14b) Burg des Herzog Blaubart. (Partitur)
- 15) 4 Orchesterstücke. (Erste Aufzeichnung in 4 Systemen)
- 16) Der Holzgeschnittene Prinz. (Skizzen)
- 17a) Rumänische Weihnachtslieder [für Klavier]  
Rumänische Volkstänze [für Klavier]  
Sonatine [für Klavier]
- 17b) Sonatine, Transkription v. Gertler. (mit Änderungen)

<sup>37</sup> There are different notes at the top of the first page of each list. In list (a), 'Die hier folgenden Autographen habe ich zur Aufbewahrung, auf unbestimmte Zeit, übernommen.' in ink, in Müller-Widmann's hand. In list (c), '*List of manuscripts*' in ink, in Bartók's hand.

<sup>38</sup> In list (c), 'Péter' added to the item, in an unknown hand.

- 17c) Tänze aus Siebenbürgen für Orchester.
- 18) 2. Quatuor à cordes.
- 19) Suite op. 14 für Klavier.
- 20) 5 Lieder (Ady) op. 16, Klav. und Singst.
- 21) 8 ungarische Volkslieder, (Autograph, 2 Lieder fehlen) f. Kl. u. Singst. Druckvorlage (fremde Handschrift, mit eigenen Vortragszeichen)
- 22a) Ungarische Bauernlieder für Orchester.
- 23) Slowakische Volkslieder für gem. Chor mit Klavier.<sup>39</sup>
- 24) a) Ungarische<sup>40</sup> [Volkslieder für Männerchor.]  
b) Slowakische [Volkslieder für Männerchor.]
- 25) 3 Etudes. (piano)
- 26) Der wunderbare Mandarin.  
1. Heft: Skizzen  
2. Heft: Klavierauszug zu 4 Händen  
3. Heft: Partitur (dazu neuer Schluss)
- 27) Improvisationen. (Für Klavier)
- 28) 1. Klav.-Viol.-Sonate.
- 29) 2. Klav.-Viol.-Sonate.
- 30) Tanzsuite. (Skizze)
- 31) Dorfscenen (Slowak. Volksl.) Klav. und Singst.
- 32) 9 kleine Klavierstücke. (Skizzen)  
(einige Skizzen zu „Mikrokozmos“, „Im Freien“, 1. Klavierkonzert.)
- 33) Im Freien. (Klavierstücke) Reinschrift.  
Im Freien. Skizzen  
Sonate. (Klavier) Skizzen.
- 34a) 1. Klavierkonzert. Einrichtung für 2 Klaviere. [(Skizzen)
- 34b) 1. Klavierkonzert. (Partitur)
- 35) 3. Streichquartett. (Konzept)
- 36) 2. und 3. Rondo für Klavier.<sup>41</sup>
- 37) 4. Streichquartett. (Konzept)<sup>42</sup>
- 38) 4. Streichquartett. (Reinschrift)
- 39) 1. Rhapsodie für Viol. und Orch.<sup>43</sup>  
[1. Rhapsodie] für Viol. und Klav.  
Änderungen für Vcello.
- 40) 2. Rhapsodie für Viol. und Orch.  
[2. Rhapsodie] für Viol. und Klav.  
Änderungen für 2. Rhapsodie für Viol. und Orch.
- 41) 20 Ungarische Volkslieder. Klavier u. Singstimme. (Brouillon und Reinschrift.)
- 42) Ungarische Volkslieder für gem. Chor. (Brouillon und Reinschrift, Lichtpauseschr.)
- 43a)<sup>44</sup> Cantata profana. (Konzept)
- 43b) Cantata profana. (Partitur)
- 43c) Cantata profana. (Orch. part. und Klavierauszug. Reinschrift und in Lichtpausschrift)
- 44) 44 Duos für Violinen. (Konzept und Reinschrift. Lichtpauseschrift)  
Petite Suite.
- 45a) 2. Klavierkonzert. (Konzept)
- 45b) 2. Klavierkonzert. (Part. und Klav.-Auszug. Lichtpauseschrift.)
- 46) Szekler Siebenbürgerisch ungarische Lieder für Männerchor.

<sup>39</sup> There is a page break between items 23 and 24, and the item 24a) was originally typed directly following item 23, at the end of the page.

<sup>40</sup> In list (c), ‘#65?’ added above the item, in an unknown hand.

<sup>41</sup> In list (c), ‘Creel?’ added, probably in Bartók’s hand.

<sup>42</sup> Orig. ‘Reinschrift’.

<sup>43</sup> Orig. ‘Klav.’

<sup>44</sup> The item number orig. ‘43)’



- 47) 5. Streichquartett. (Brouillon)
- 48) Kinder und Frauenchöre: „Aus alten Zeiten“ (Männerchor)  
5 auch mit orchester (Partitur)
- 49a)<sup>45</sup> Mikrokosmos. (Klavierstücke, Brouillon)<sup>46</sup>
- 50) Musik für Saiteninstrumente. etc.
- 51a) Sonate pour 2 pianos et percussion. (brouillon)

[in list (c), in typescript:]

- 49 b) Mikrokosmos (Manuscript)
  - 52. Violin-concerto (a) Brouillon, b) manuscript full score[,] <sup>47</sup> c) manuscript, piano score)<sup>48</sup>
  - 53. Three pièces [sic] for clar. violin and piano (a) brouillon[,] b) manuscript)
  - 54. Divertimento (a) brouillon, b) manuscript)
  - 55 b) VI. Stringquartet (manuscript)
- [in list (c), in ink in Bartók's hand:]
- 51 b) *Sonata for two pianos and percussion, MS. (including separate percussion parts in M.S.; added full orchestra score parts)*
  - 55 a) *VI. Stringquartet (draft)*<sup>49</sup>
  - 56. *(Falun) Three village scenes for chamber orch. and voices) MS.*
  - 57. *Five Hungar. Folk Songs (from "Twenty Hung. Folk Songs") for voice and orchestra, MS.*
  - 58. *Sonata for Violin alone, MS.*<sup>50</sup>

## B.4.2. List (b)

[red pencil:] *DO NOT DESTROY UNDER ANY CIRCUMSTANCES MSS IN STRONG ROOM*

*Manuskripte Prof. Béla Bartok.*

### 1. Paket

- 1) Studie für die linke Hand allein
- 2a) Rhapsodie pour Piano et Orchestre. (Partitur und Einrichtung des 2. Klaviers)
- 2b) 1. Suite für Orchester (Partitur)
- 3) 2. Suite (für kleines Orchester)
- 4) 2 Portraits (1. Kopierschrift, 2. Autograph)
- 5) 14 Bagatellen (Klavier)
- 6) 10 leichte Klavierstücke (Nr. 3 und 5 fehlen)
- 7a) Für Kinder (1. und 2. Heft)
- 7b) Für Kinder (daraus Transkription für Viol. und Klav.)
- 8) Für Kinder (3. und 4. Heft) (20 Stücke fehlen)
- 9) 1. Streichquartett
- 10) 1. rumänischer Tanz für Orch. instrumentiert
- 11) Ungarische Bilder für Orchester
- 12) Burleske (in 2 Exempl., Anfang des 2. in fremder Handschrift)

<sup>45</sup> The item number orig. '49'

<sup>46</sup> In list (c), 'Péter' added, probably in Bartók's hand.

<sup>47</sup> 'stays!' in Bartók's hand.

<sup>48</sup> 'ez egyelőre nálam van (1945. Jun. 12.)' in Bartók's hand.

<sup>49</sup> Orig. 'M.S.'

<sup>50</sup> 'c. 1944' at the bottom of the page, probably in an archivist's hand.

- 13) 4 Nénies et Esquisses
- 14a) Deux Images (Partitur und Klav.-Auszug à 2 m.)
- 15) 4 Orchesterstücke (Erste Aufzeichnung in 4 Systemen)
- 16) Der Holzgeschnittene Prinz (Skizzen)

## 2. Paket

- 14b) Burg des Herzog Blaubart (Partitur)
- 17a) Rumänische Weihnachtslieder [für Klavier]  
Rumänische Volkstänze [für Klavier]  
Sonatine [für Klavier]
- 17b) Sonatine, Transkription v. Gertler (mit Änderungen)
- 17c) Tänze aus Siebenbürgen für Orchester
- 18) 2. Quatuor à cordes
- 19) Suite op. 14 für Klavier
- 20) 5 Lieder (Ady) op. 16, Klav. und Singst.
- 21) 8 ungarische Volkslieder (Autograph, 2 Lieder fehlen) für Kl. u. Sin[g]st.  
Druckvorlage (fremde Handschrift, mit eigenen Vortragszeichen)
- 22a) Ungarische Bauernlieder für Orchester
- 23) Slowakische Volkslieder für gem. Chor mit Klavier
- 24) a) Ungarische [Volkslieder für Männerchor]  
b) Slowakische [Volkslieder für Männerchor]
- 26) Der wunderbare Mandarin  
1. Heft: Skizzen  
2. Heft: Klavierauszug zu 4 Händen  
3. Heft: Partitur (dazu neuer Schluss)

## 3. Paket

- 25) 3 Etudes (piano)
- 27) Improvisationen (Für Klavier)
- 28) 1. Klav.-Viol.-Sonate
- 29) 2. Klav.-Viol.-Sonate
- 30) Tanzsuite (Skizze)
- 31) Dorfscenen (Slowak. Volksl.) Klav. und Singst.
- 32) 9 kleine Klavierstücke (Skizzen)  
(einige Skizzen zu „Mikrokozmos“, „Im Freien“, 1. Klavierkonzert)
- 33) Im Freien (Klavierstücke) Reinschrift  
Im Freien Skizzen  
Sonate (Klavier) Skizzen
- 34a) 1. Klavierkonzert Einrichtung für 2 Klaviere. [(Skizzen)]
- 34b) 1. Klavierkonzert (Partitur)
- 35) 3. Streichquartett (Konzept)
- 36)<sup>51</sup> 2. und 3. Rondo für Klavier
- 37) 4. Streichquartett (Konzept)
- 38) 4. Streichquartett (Reinschrift)
- 39) 1. Rhapsodie für Viol. und Orch.  
[1. Rhapsodie] für Viol. und Klav.  
Änderungen für Vcello
- 43a) Cantata profana (Konzept)

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<sup>51</sup> Before the number: 'to Creel' in Bartók's hand.

43b) Cantata profana (Partitur)

4. Paket

- 40) 2. Rhapsodie für Viol. und Orch.  
[2. Rhapsodie] für Viol. und Klav.  
Aenderungen für 2. Rhapsodie für Viol. und Orch.
- 41) 20 Ungarische Volkslieder. Klavier u. Singstimme (Brouillon und Reinschrift)
- 42) Ungarische Volkslieder für gem. Chor (Brouillon und Reinschrift, Lichtpauseschr.)
- 43c) Cantata profana (Orch. part. und Klavierauszug. Reinschrift und in Lichtpausschrift)
- 44)<sup>52</sup> 44 Duos für Violinen (Konzept und Reinschrift. Lichtpauseschrift)  
Petite Suite
- 45a) 2. Klavierkonzert (Konzept)
- 45b) 2. Klavierkonzert (Part. und Klav.-Auszug. Lichtpauseschrift)
- 46) Szekler Siebenbürgerisch ungarische Lieder für Männerchor

5. Paket

- 47) 5. Streichquartett (Brouillon)
- 48) Kinder und Frauenchöre: „Aus alten Zeiten“ (Männerchor)  
5 auch mit orchester (Partitur)
- 49)<sup>53</sup> Mikrokosmos (Klavierstücke, Brouillon)
- 50) Musik für Saiteninstrumente, etc.
- 51a) Sonate pour 2 pianos et percussion (brouillon)

### B.4.3. List (d)

BELA BARTOK MANUSCRIPTS PUT IN VAULT – May 13th, 1940

The manuscripts as per list herewith attached (written by Mr. Ralph Hawkes) were placed in the [sic!] original envelopes, into large envelopes.

(Original list kept in office safe).

[list in typescript, with additions in ink in Bartók's hand:]

- 49 b) MIKROKOSMOS (*MS. végleges*) piano solo  
SIXTH STRING QUARTET
52. VIOLIN CONCERTO full score, piano score
54. DIVERTIMENTO string orch. score
53. THREE PIECES violin, clarinet and piano

[in ink in Bartók's hand:]

- 51 b) *Sonata for two pianos and percussion, MS. (including separate percussion parts in M.S.; added full orchestra score parts<sup>54</sup>)*
- 55 a) *VI. String quartet (draft)*
56. *(Falun) Three village scenes for chamber orch. and voices MS.*

<sup>52</sup> In front of the number: 'Missing' in an unknown hand, related to the 'Lichtpauseschrift' of item 44.

<sup>53</sup> A letter 'A' added after the closing bracket, in an unknown hand.

<sup>54</sup> Orig. 'orchestra part'.

57. *Five Hungar. Folk Songs (from "Twenty Hung. Folk Songs[") for voice and orchestra, M.S.*  
58. *Sonata for Violin alone, M.S.*

#### **B.4.4. List (e)**

SCHEDULE "A"

MIKROKOSMOS 153 Piano pieces

DIVERTIMENTO String Orchestra (Rough copy and final copy)

VIOLIN CONCERTO Orchestral Score (Final copy)

6th STRING QUARTET

3 PIECES FOR CLARINET – VIOLIN and PIANO (Rough and final copies)

## Appendix C: Early Numberings of the *Mikrokosmos* Pieces

Concerning the genesis of *Mikrokosmos*, one of the most important yet hitherto neglected issue could be the early numberings of the pieces preserved in **EC**. As Bartók erased or deleted these numberings, or occasionally overwrote them with later or final numberings, they cannot always be clearly deciphered. A few numberings which are clearly legible with the naked eye might have given the impression that they are fragmentary and arbitrary. Nevertheless, a systematic research makes it possible to reconstruct the possible early order of the pieces, which eventually serves as a piece of evidence concerning which pieces belonged to which historic layer.

### C.1. Method of Reconstruction

My research of the early numberings can be divided into two stages: (1) the identification of the early numberings, and (2) reconstruction of the order. The identification of the early numberings regarding the research materials consists of two steps: (a) the digitised, scanned images in the Budapest Bartók Archives and (b) the original manuscripts in the Paul Sacher Stiftung.

The digitised images in the Budapest Bartók Archives are based on a set of original-sized high-quality colour copies from the original manuscripts sent by Peter Bartók to the Budapest Bartók Archives in 2000s. The scan quality is not the best (300dpi), yet it is good enough to digitally manipulate the images to better distinguish the erased figures. Through this research, it turned out that there are largely four sets of early numberings. The two most important complete numberings are to be distinguished as the First Numbering (1–106) and the Second Numbering (1–143) in the following (see Table C-1). Both numberings are in pencil, crossed out and subsequently erased or overwritten. Nos. 74 and 111 apparently lack the First Numbering; however, as all other pieces produced from **A<sub>I</sub>** have the First Numbering, it is certain that Nos. 74 and 111 also had that numbering.<sup>1</sup> Two further, incomplete set

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<sup>1</sup> The absence can be explained in several ways. As for No. 111, the part of the paper possibly containing the numbering might have been cut off for unknown reasons. This piece was notated on the upper half of **A<sub>I</sub>**, p. 20, but the top of the page was cut, which also may have contained some remarks or notes irrelevant to the *Mikrokosmos* and thus might have disturbed

of numberings (80–96 and 124(?)–151) are in ink, usually transformed into the final figure.

While the numberings in ink can be clearly distinguished on digitised images, for the precise identification of the ones in pencil it was necessary to turn to the original manuscripts in the Paul Sacher Stiftung. The author was able to examine all the manuscripts in **EC** during his second research trip there in November 2019, which proved to be effective in deciphering the early writing in pencil. Slight dents on the paper can generally be observed with the naked eye. Reflection of light occasionally made it possible to identify the line drawn in lead pencil, which cannot be distinguished on digitised images.

Still, there remains some uncertainty. In some cases, the existence of more than one figure can be deciphered, and it is not always possible to securely establish which one is earlier and which one is later. It can occasionally be observed that while the ones-digit was repeatedly changed, the tens-digit remained unchanged. The problem more seriously affects the First Numbering, as its existence cannot always be recognised.

## **C.2. Reconstruction of the First and Second Numbering**

This uncertainty, however, can be minimised by systematic conjecture. In the following, the procedure of the reconstruction of the First Numbering is briefly summarised:

- (1) As a first step, all the pieces with certain numbering are sorted in numeric order. Then, the pieces with uncertain numbering are to be assigned to the number which is still unoccupied. By this process, the numbering of 77 out of 106 pieces can be established with some certainty (see Table C-2).
- (2) As for the remaining 29 pieces, further conjecture is done based on the legible digits (see Table C-3). If there are several possible candidates for several possible places, then the final order of the pieces was taken into consideration.
- (3) The pieces with no suitable place (No. 47) or without (legible) numbering (Nos. 74, 85, 86, 87, 90, 94, 111, 117, and 120) are assigned to the remaining places according to their published order.

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the publisher. The situation could have been similar in the case of No. 74: a part of the Second Numbering (72), on the top of the paper, is missing, so there could have been another numbering above it. It is also possible that Bartók presented the tissue proofs containing the early numbering to his acquaintances.

Table C-4 presents the reconstructed First Numbering. The certainty of the numbering is typographically distinguished: (1) in boldface, (2) without visual emphasis and (3) in parentheses.

By using the same procedure, the Second Numbering can also be reconstructed (see Table C-5), where essentially all the numbering can securely be established, except that two pieces (Nos. 132 and 133) had the same figure 126.

### C.3. Two Further Numbering

As for the two further incomplete numberings, the issue was quite simple although interesting and important. As both numberings were entered in ink, they were from the very last period of the **EC** preparation. The chronological relationship between these two numberings is the following: (1) the numbering containing larger numbers (124?–151 to Nos. 127–153) was entered earlier than the (2) numbering containing only 17 pieces (80–96; see Table 6). It seems that Bartók entered the final (at least he intended so) numbering in ink, not from the first piece forwards but from the last piece backwards. The upper range 151 of the numbering (1) suggests that at that time, the *Mikrokosmos* contained only 151 pieces. For unknown reason, Bartók stopped the numbering at 127: this piece supposedly had 124 as the original numbering in ink, but there are apparently neither 125 nor 126 that belonged to this incomplete numbering (for further details, see below). Then he made a revision, now entering the definitive numbering probably from the first piece upwards.

The case is simple for the numbering (2), where Bartók only slightly changed the order: originally No. 96 was followed by No. 80, but moved to after No. 95. It is, however, interesting that this change was made after the complete numbering in **EC** was copied into **AP<sub>B1</sub>**, **AP<sub>B2</sub>**, and **A<sub>II</sub>**, and the numbering was subsequently corrected in these sources, following the change in **EC**.

### C.4. Evaluation of the Numbering

The reconstructed numbering requires further examinations from compositional as well as pedagogical points of view. Especially the latter viewpoint should be important, because significant rearrangement of the first and second numberings can only be properly interpreted by consulting musical and technical problems of the

*Mikrokosmos* pieces which existed at that time. As this examination certainly exceeds the scope of the present dissertation, only two aspects are briefly examined here: the order of the first and the last pieces.

#### **C.4.1. Order of the First Pieces**

It is remarkable that the order of the pieces in the First Numbering considerably differs from that in the final numbering. The First Numbering might have been affected by the order of pieces as found in the fair copy (**A1**), which were already more or less in the order of difficulty. It is, however, remarkable that at the beginning, the order of some groups of pieces is swapped, and Bartók put three unison pieces (Nos. 19, 18, and 20) before the pieces in parallel or contrary motion (Nos. 11 and 12, respectively).

In fact, this order coincides with Margit Varró's remark on Bartók's copy of *Piano Method*:

After this [No. 21, a piece in unison] some more short pieces are needed:  
a) in parallel motion (in sixth or tenth)  
b) in contrary motion  
c) alternating between parallel and contrary motion.  
All of them could be easier than No. 22, with the two hands playing the same rhythm.<sup>2</sup>

The technical requirement of the first piece in the First Numbering, No. 19, is higher than the *Piano Method* piece, as No. 19 contains some major or minor third intervals (and a perfect fourth). The pieces containing leaping may cause much purely technical difficulties for the beginners than the pieces solely consisting of seconds. Thus No. 19 would not be the most suitable for the first piece in a series of pedagogical compositions. Still, Bartók considered that the unison pieces should come first, followed by non-unison pieces.

It is remarkable that among the following pieces in the First Numbering (Nos. 11, 12, 22, 23, 21, 24, and 25), only No. 21 contained a third or fourth interval; the other pieces were solely written in seconds. When Bartók composed these pieces mostly in 1934, he might have paid great attention to the balance of musical and technical difficulties: while he introduced several new musical elements such as parallel motion (No. 11), contrary motion (No. 12), imitation (No. 22), imitation with

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<sup>2</sup> For the Hungarian original, see Chapter 5. English translation is quoted from *Lampert*, 132.



the exchange of parts (Nos. 23 and 25) and free counterpoint (No. 24), he tried to reduce the technical requirement to the minimum. A few years later, when he organised the First Numbering, he took the original pedagogical concern into consideration.

It is probably not a mere coincidence that Bartók began with unison pieces in April 1939. The most obvious lacunae should be the ‘very small and very easy pieces’<sup>3</sup>: thus, he composed some unison pieces containing only seconds. He should have become conscious of this problem only through the clearly worked out First Numbering. Yet the order of composition—Nos. 2, 1, then 3–6—is indeed curious, as he apparently failed to sufficiently lower the technical difficulty for the first attempt: both Nos. 1 and 2 are eight bars long, but as the note value of No. 2 is generally half as No. 1, No. 2 could be considered twice longer than No. 1.

#### **C.4.2. Order of the Last Pieces**

On the other hand, it is remarkable that the order of the last pieces did not essentially change since the first numbering: the last pieces are ‘Dances in Bulgarian Rhythm’ (consisting of five pieces, Nos. 148–151 and 153), already in the final order. The only discrepancy between the early numbering and the final numbering is that No. 152 is inserted as the fifth piece into the suite. The order of the previous pieces (Nos. 140–147) seems to have been different, although the precise numbering cannot be reconstructed securely.

It is not possible to establish exactly when the First Numbering was entered: this can be any time between the preparation of the tissue proofs from A<sub>1</sub>/3 and April 1939, when Bartók started to compose the *Mikrokosmos* pieces which were included in the Second Numbering; thus, there is no direct document from when Bartók intended the ‘Dances in the Bulgarian Rhythm’ to be the last pieces of *Mikrokosmos*. Considering their scale, as well as musical and technical difficulty, it is a natural choice to put them as the concluding pieces. At any rate, exactly because Bartók determined its position within *Mikrokosmos* somewhat early in the preparation period as a kind of suite including five dances, it appears to be striking that he nevertheless

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<sup>3</sup> See the letter from Bartók to Hawkes, 17 April 1939 (PB, BB–B&H): ‘It is absolutely important to add still 20 or 30 very small and very easy pieces, to write them will not take much time.’

inserted No. 152 at the very last moment, even following the creation of the Second Numbering.

Table C-1: Early numberings in EC

No.	First No.	Second No.
1	—	1
2	—	2
3	—	3
4	—	4
5	—	5
6	—	6
7	—	7
8	—	8
9	—	9
10	—	10
11	4	11
12	5	12 [orig. 11?]
13	—	13 [orig. 12?]
14	—	14 [orig. 16?]
15	—	15 [orig. 14?]
16	—	15 [orig. 16?]
17	—	17
18	2	18 [orig. 19?]
19	1	19 [orig. 18?]
20	3	20
21	8	21
22	6	22
23	7	23
24	9	24
25	1[ ]	25
26	—	26
27	—	[27?]
28	—	28
29	—	29
30	1[ ]	30
31	1[ ]	31
32	13	32
33	14	33
34	15	34
35	16	35
36	17?	36
37	18	37
38	—	38
39	—	39

No.	First No.	Second No.
40	—	40?
41	20	41
42	—	42
43	23	43
44	24	44 [orig. 45?]
45	—	45
46	21	46 [orig. 40?]
47	3[ ]	47
48	19	48
49	25 [orig. 24?]	49
50	26	50
51	22	51
52	42	52
53	43	53
54	—	54
55	34	55
56	35	56
57	32 [orig. 33?]	57
58	31 [orig. 30?]	58
59	30 [orig. 29?]	59
60	36	60
61	37	63
62	27	61
63	33	62
64	39	[64?]
65	—	—
66	40	65? or 66?
67	38	[66?]
68	—	67?
69	—	—
70	[ ]8 or [ ]9	68
71	41	68 or 69
72	—	70
73	46?	72 or 71
74	[missing]	72
75	45	74 or 73
76	48	75 or 74
77	51 [orig. 48?]	74? or 75
78	5[ ]	76

No.	First No.	Second No.
79	47?	77 or 78 or 79?
80	54	[78?]
81	5[ ]	80 or 79?
82	57	80
83	—	81?
84	52?	82
85	[illegible]	83
86	[illegible]	101
87	[illegible]	84?
88	64? or 65? or 45?	85?
89	44?	[ ]6?
90	[illegible]	87
91	66?	88 or 89 or 90?
92	67	88 or 89?
93	53 or 63	8[ ]? or 90?
94	[illegible]	91 or 95?
95	—	93?
96	—	—
97	—	92?
98	—	94
99	28, then 64 or 65	95
100	71	96
101	58	97
102	—	—
103	6[ ] [65?67?]	98
104	—	99
105	57/59?	100
106	56	102
107	—	103
108	70	104
109	73	105
110	74?	106
111	[missing]	107
112	71? or 72?	108
113	—	—
114	76	109
115	—	—
116	[ ]8	110
117	[illegible]	111 [orig. 113?]

No.	First No.	Second No.
118	80	112
119	—	113
120	[illegible]	[11]4
121	—	115
122	[ ]7 or 7[ ]	116 [orig. 117]
123	8[ ]	117
124	8[ ]	118
125	8[ ]	119
126	—	120
127	—	121
128	—	122
129	85	123
130	87	124 [orig. 125]
131	86	125 [orig. 124]
132	88?	126
133	8[ ]	126
134	—	—
135	—	—
136	9[ ]	127
137	8[ ] or 9[ ]	128
138	90 or 91	129
139	[ ]3	[1]30
140	95	131
141	9[ ]	132
142	9[ ]	133
143	98	134
144	94	135
145a	100-hoz [orig. 101]	136
145b	100	136
145c	100-hoz [orig. 102]	—
146	101 [orig. 103]	137
147	99	138
148	102 [orig. 104]	139
149	103 [orig. 105]	140
150	104 [orig. 106]	141
151	105 [orig. 107]	142
152	—	—
153	106 [orig. 108]	143

Table C-2: Reconstruction of the first numbering in EC

First No.	No. in <i>Mikrokosmos</i>	
	Certain	Uncertain
1	19	
2	18	
3	20	
4	11	
5	12	
6	22	
7	23	
8	21	
9	24	
10		
11		
12		
13	32	
14	33	
15	34	
16	35	
17		36
18	37	
19	48	
20	41	
21	46	
22	51	
23	43	
24	44	
25	49	
26	50	
27	62	
28		99
29		
30	59	
31	58	
32	57	
33	63	
34	55	
35	56	
36	60	

First No.	No. in <i>Mikrokosmos</i>	
	Certain	Uncertain
37	61	
38	67	
39	64	
40	66	
41	71	
42	52	
43	53	
44		89
45	75	
46		73
47		79
48	76	
49		
50		
51	77	
52		84
53		
54	80	
55		
56	106	
57	82	
58	101	
59		105
60		
61		
62		
63		
64		88
65		103
66		91
67	92	
68		
69		
70	108	
71	100	
72		112

First No.	No. in <i>Mikrokosmos</i>	
	Certain	Uncertain
73	109	
74		110
75		
76	114	
77		
78		
79		
80	118	
81		
82		
83		
84		
85	129	
86	131	
87	130	
88		132
89		
90		
91		
92		
93		
94	144	
95	140	
96		
97		
98	143	
99	147	
100	145	
101	146	
102	148	
103	149	
104	150	
105	151	
106	153	

Table C-3: Conjecture of the first numbering (shown in the leftmost column) in EC

	Conjecture by Tens Digit		Conjecture by Ones Digit	
	First No.	Published No.	First No.	Published No.
10	1[ ]	25, 30, 31		
11				
12				
29				
49			[ ]8 or [ ]9	70
50	5[ ]	78, 81		
53			53 or 63	93
55				
60				
61				
62				
63			53 or 63	93
68			[ ]8	116
69				
75	7[ ]?	122		
77			[ ]7?	122
78			[ ]8	116
79				
81	8[ ]	123, 124, 125, 133		
82				
83			[ ]3	139
84				
89	8[ ] or 9[ ]	137		
90			90 or 91	138
91	9[ ]	136, 141, 142	90 or 91	138
92				
93			[ ]3	139
96				
97				

Remaining Nos.	
Published No.	First No.
47	3[ ]
74	[missing]
85	[illegible]
86	[illegible]
87	[illegible]
90	[illegible]
94	[illegible]
111	[missing]
117	[illegible]
120	[illegible]

Table C-4: Reconstructed first numbering in EC

Early No.	Published No.
1	<b>19</b>
2	<b>18</b>
3	<b>20</b>
4	<b>11</b>
5	<b>12</b>
6	<b>22</b>
7	<b>23</b>
8	<b>21</b>
9	<b>24</b>
10	25
11	30
12	31
13	<b>32</b>
14	<b>33</b>
15	<b>34</b>
16	<b>35</b>
17	<b>36</b>
18	<b>37</b>
19	<b>48</b>
20	<b>41</b>
21	<b>46</b>
22	<b>51</b>
23	<b>43</b>
24	<b>44</b>
25	<b>49</b>
26	<b>50</b>
27	<b>62</b>
28	<b>99</b>
29	47
30	<b>59</b>
31	<b>58</b>
32	<b>57</b>
33	<b>63</b>
34	<b>55</b>
35	<b>56</b>
36	<b>60</b>

Early No.	Published No.
37	<b>61</b>
38	<b>67</b>
39	<b>64</b>
40	<b>66</b>
41	<b>71</b>
42	<b>52</b>
43	<b>53</b>
44	<b>89</b>
45	<b>75</b>
46	<b>73</b>
47	<b>79</b>
48	<b>76</b>
49	70
50	78
51	<b>77</b>
52	<b>84</b>
53	(74)
54	<b>80</b>
55	81
56	<b>106</b>
57	<b>82</b>
58	<b>101</b>
59	<b>105</b>
60	(85)
61	(86)
62	(87)
63	93
64	<b>88</b>
65	<b>103</b>
66	<b>91</b>
67	<b>92</b>
68	(90)
69	(94)
70	<b>108</b>
71	<b>100</b>
72	<b>112</b>

Early No.	Published No.
73	<b>109</b>
74	<b>110</b>
75	(111)
76	<b>114</b>
77	(117)
78	116
79	122
80	<b>118</b>
81	(120)
82	123
83	124
84	125
85	<b>129</b>
86	<b>131</b>
87	<b>130</b>
88	<b>132</b>
89	133
90	137
91	138
92	136
93	<b>139</b>
94	<b>144</b>
95	<b>140</b>
96	141
97	142
98	<b>143</b>
99	<b>147</b>
100	<b>145</b>
101	<b>146</b>
102	<b>148</b>
103	<b>149</b>
104	<b>150</b>
105	<b>151</b>
106	<b>153</b>

Table C-5: Reconstructed second numbering in EC

Second No.	Publ. No.	Second No.	Publ. No.	Second No.	Publ. No.	Second No.	Publ. No.
1	1	37	37	73	75	109	114
2	2	38	38	74	76	110	116
3	3	39	39	75	77	111	117
4	4	40	40	76	78	112	118
5	5	41	41	77	79	113	119
6	6	42	42	78	80	114	120
7	7	43	43	79	81	115	121
8	8	44	44	80	82	116	122
9	9	45	45	81	83	117	123
10	10	46	46	82	84	118	124
11	11	47	47	83	85	119	125
12	12	48	48	84	87	120	126
13	13	49	49	85	88	121	127
14	14	50	50	86	89	122	128
15	15	51	51	87	90	123	129
16	16	52	52	88	91	124	130
17	17	53	53	89	92	125	131
18	18	54	54	90	93	126	132
19	19	55	55	91	94	126	133
20	20	56	56	92	97	127	136
21	21	57	57	93	95	128	137
22	22	58	58	94	98	129	138
23	23	59	59	95	99	130	139
24	24	60	60	96	100	131	140
25	25	61	62	97	101	132	141
26	26	62	63	98	103	133	142
27	27	63	61	99	104	134	143
28	28	64	64	100	105	135	144
29	29	65	66	101	86	136	145
30	30	66	67	102	106	137	146
31	31	67	68	103	107	138	147
32	32	68	70	104	108	139	148
33	33	69	71	105	109	140	149
34	34	70	72	106	110	141	150
35	35	71	73	107	111	142	151
36	36	72	74	108	112	143	153

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