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DEVELOPMENT IN THE FIRST MOVEMENTS OF BRUCKNER'S SYMPHONIES

by

DAVID BUSHLER

A dissertation submitted to the Graduate Faculty in Music in partial fulfillment of the requirements for the degree of Doctor of Philosophy, The City University of New York.

1975

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This manuscript has been read and accepted for the Graduate Faculty in Music in satisfaction of the dissertation requirement for the degree of Doctor of Philosophy.

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ABSTRACT

DEVELOPMENT IN THE FIRST MOVEMENTS

OF BRUCKNER'S SYMPHONIES

by

DAVID BUSHLER

Advisor: Professor Siegmund Levarie

This paper has two main focal points: the meanings of "development," and Bruckner's concept of development in sonata form as exemplified by his symphonic first movements. The opening chapter defines development and shows how the term acquired its several meanings (in connection with fugue, as motivic process, as harmonic process, and as a section) during the eighteenth and nineteenth centuries. A survey of the Bruckner literature follows, emphasizing particularly the contributions of various writers towards an understanding of development in Bruckner's first movements. The third chapter examines selected symphonic first movements from Haydn to Brahms, with emphasis on development and its relationship to sonata form.

A detailed study of Bruckner's symphonic first movements forms the main chapter; the following points are among the main observations

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resulting from this study. The exposition and, to a lesser extent, the recapitulation, contain extended passages of harmonic and motivic development. Each of the theme groups in the exposition, for example, includes harmonic and motivic development. Beginning with his middle symphonies, Bruckner establishes the orthodox second key center only with the onset of the closing section, rather than with the second theme, as in the works of earlier composers. The second theme group may thus contain exceptional harmonic development. The length and independence of the closing section are necessary to establish and assert the orthodox tonal center which always closes the exposition. In sum, expansion of expository sections through development helps to explain the length of the movement.

Bruckner's development sections proper exhibit unusually clear organization into subsections, the first and last of which may be transitional. The overall plan may be either binary or ternary. Typical subsections are analyzed formally, harmonically, and motivically in this paper. The principal keys of these subsections tend to lack a subdominant function, and thus are seldom fully established. Principal keys of adjacent subsections usually display diatonic relationships other than by fifths, although the immediate links between subsections may contain dominant-tonic progressions. Within the subsections, third-related and chromatic progressions occur with great frequency.

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Bruckner reserves several motivic techniques for his development sections. These techniques, which include inversion, augmentation, and diminution, rarely appear during developmental episodes elsewhere in the movement. Bruckner rarely combines and synthesizes his motives. Instead, each subsection tends to develop one motivic idea.

The recapitulations of Bruckner's first movements clearly show the evolution of his style. In the early symphonies, the amount of development differs little from that observable in the works of his predecessors. During the middle symphonies, new developmental episodes become more prominent in the recapitulations. In the late symphonies, the concepts of development and recapitulation seem to merge.

The codas, with their long pedal points, form a necessary tonic balance to the chromaticism within the movements. The center of harmonic gravity is usually the coda, which normally contains the fundamental cadential progression. The basic tonic direction of the codas, however, does not preclude occasional passages of extensive harmonic and motivic development.

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I wish to express my deep gratitude to Professor Siegmund Levarie, who first suggested the topic of this paper to me. His scholarly guidance provided both direction and inspiration, and he gave unstintingly of his valuable time. Professors William B. Kimmel and Saul Novack were kind enough to read the manuscript, contributing many keen observations and excellent suggestions. Finally, I should also like to thank Professors Ruth H. Rowen and Barry S. Brook for their encouragement and help.

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Chapter 1

DEVELOPMENT: DEFINITION AND HISTORY

I. DEFINITION.

In our definition of development, we draw a distinction, at the outset, between certain techniques of musical composition and the section of a piece in which they generally occur. The two facets of the definition are not congruent: developmental procedures are not restricted to the development section of a sonata form, which in turn may include material not resulting from developmental techniques.

In this study, we will regard harmonic and motivic development as fundamental. Previous writers defined development in terms of one or both of these aspects, both of which receive extended treatment in this paper. Other development factors, such as rhythm, orchestration, and textural density, are not treated independently in our study, but rather as they reflect harmonic and motivic events.

We define harmonic development as motion through temporary key centers, which by their relationship and succession largely determine a work's formal coherence. These temporary key centers are not established by the three main key functions (tonic, dominant, subdominant); most frequently, the subdominant is omitted. Inasmuch as the second key area in sonata form is a fully established key, it thus does not fall within our definition of harmonic development. Within the

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modulation to the second key area, however, harmonic (as well as motivic) development frequently occurs when the key change is not direct and economical.

Our definition of motivic development embraces two kinds of procedures. The first is linear in nature. It includes fragmentation, extension, dialogue (insofar as a single line is divided among opposing and alternating instruments), sequence, augmentation, diminution, inversion, and thematic metamorphosis. Although modulation may be present in combination with the above techniques, it is not an invariable concomitant.

The second group of techniques associated with motivic development includes all aspects of polyphony, such as imitation, fugato, and counter-melody. Sometimes these techniques overlap others which are linear in nature, such as augmentation and diminution; this association, though frequent, is not invariable. Neither linear nor polyphonic techniques of development necessarily imply key changes.

The development section of a sonata form cannot simply be defined as the place of harmonic and motivic development, because these procedures may be present in other portions of sonata form as well. The distinguishing features of the development section are: (1) harmonic development plays a vital role in regard to structure and momentum, and is not an occasional factor, as it is in the outer sections; (2) besides techniques such as fragmentation, sequence, and

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extension (all common in the exposition) certain other practices are emphasized, such as polyphony, thematic combination, and thematic metamorphosis (usually absent from the exposition); (3) new thematic ideas are only occasionally presented.

II. HISTORY.

The term "development" (or its German equivalent, Durchführung) did not originate with sonata form, but was used first in connection with fugue. In the latter sense, still current in German, Durchführung refers to the exposition of a fugal subject. This meaning applies not only to the opening exposition of a fugue (technically, its first Durchführung), but to subsequent counter-expositions throughout the piece.[1] The term thus stipulates a theme, together with its polyphonic treatment, as well as implying modulation, usually to the dominant.

This association of development with fugue is indicated by the earliest use of the term. On the title page of the Inventions and Sinfonias (1723) by Johann Sebastian Bach, the composer writes: ". . . gute Inventiones nicht allein zu bekommen, sondern auch selbige wohl durchzuführen" (". . . not merely how to get good Inventions, but also how to develop the same well").[2] Bach does not set forth the procedures to be followed, but the music itself evinces a polyphonic style of elaboration.

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The connection with fugue is also demonstrated in the first written definition of Durchführung, set forth by Heinrich Christoph Koch some eighty years later, in 1802. The first meaning that Koch gives is "die jedesmalige Nachahmung des Hauptsatzes der Fuge in allen vorhandenen Stimmen" ("the recurrence of the exposition of the fugue in all available voices").[3]

Between the time of Bach and that of Koch, the term Durchführung was very seldom used. Theorists such as Sulzer and Rousseau, and musicians such as Quantz, C.P.E. Bach, and Leopold Mozart ignore the term altogether. The correspondence of composers such as Mozart, Haydn, and Beethoven is not of any assistance; it provides no clue as to how these men considered developmental procedures or the development section, if they indeed considered these matters verbally at all. One looks to Süssmayr and Ries as musicians who might have been able to share with us the thoughts of their great teachers on such subjects, but any hopes in this direction remain unrealized.

Although in the eighteenth century the term Durchführung was not generally employed, the literature does show an awareness of developmental procedures. The term most frequently used to describe a developmental procedure was Ausarbeitung ("working-out"). To characterize musical events, Johann Mattheson resorts to expressions borrowed from traditional rhetoric. He speaks, for example, of a composition as being made up of three parts, Inventio, Elaboratio,

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and Executio. The second of these is defined as Ausarbeitung; he does not further define the latter term, but is has retained currency to the present day.[4] In a later work, Mattheson adopts the five-part scheme derived from rhetoric: Exordium, Narratio, Propositio, Confutatio, and Confirmatio. These appear in a chapter on melodic design, working-out, and ornamentation. Confutatio comes closest to our concept of motivic development. Mattheson defines it as "eine Auflösung der Einwürffe, und mag in der Melodie entweder durch Bindungen, oder auch durch Anführung and Wiederlegung [sic] fremdscheinender Fälle ausgedruckt werden" (" a resolving of the objections, and it may be expressed in melody either through ties, or also through the introduction and opposition of seemingly foreign ideas").[5]

About thirty years later, the parallels with rhetoric were still in vogue, as demonstrated in the writings of Johann Nicolaus Forkel. A passing reference comes close to the idea of motivic development: "Zergliederte, das heisst, in einzelne Theile ausgelöste Empfindungen; widersprechende und entgegengesetzte Empfindungen" ("Fragmented sentiments, that is, dissolved into separate parts; opposing and contrasting sentiments").[6] The preceding statement, however, is not part of a coherent theory of development.

A writer who used both Durchführung and Ausarbeitung was Bach's contemporary, Johann Adolph Scheibe. In 1730, he writes: "Jedwedes

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musicalisches Stück muss einen Zusammenhang haben; Dieser Zusammenhang kan nun niemahls anders geschehen, als wenn die Melodien richtig eine aus der andern fliessen, alle aber insgesamt aus dem zu Anfang der Piece gebrauchten Saze. Diesen Saz nun der vorangehet, suchet man also mit neuen diesem Saze gleich förmigen Melodien durch das ganze Stück, es sey nun was es wolle, gleichsam durchzuführen und zu imitieren . . ." ("Every musical piece must have cohesion; this cohesion can only be created when the melodies rightly flow from each other, all together from the theme used at the beginning of the piece. This beginning theme one thus seeks to develop and imitate with new, similarly shaped melodies throughout the entire piece, whatever it be"). [7] We note the unexplained difference between durchzuführen and imitieren; the meaning of the former is unspecified.

Later, in 1745, Scheibe differentiates between a main theme (Hauptsatz) and its working out (Ausarbeitung), not mentioning a Durchführung. [8] Scheibe makes it clear that his primary focus is on the evolving classical style rather than on fugue. He describes the older style of writing as including "harmonische Ausarbeitung" combined with contrapuntal techniques, as opposed to the newer style with its more natural, flowing melodies and its distinct affects. [9] Ritzel explains that this statement probably refers to the more rapid key changes of the older style, as opposed to the longer tonal patterns of the early classical style. [10] Furthermore, Scheibe in his discussion

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specifically refers to the concerto.[11]

Definitions of Ausarbeitung vary, with a noticeable lack of precision. Johann Gottfried Walther defines a theme, for example, as "ein Satz zu einer Fuge, oder andern Ausarbeitung" ("a proposition for a fugue, or for another working-out").[12] In Jacob Wilhelm Lustig's writing, the term uitwerking is used; Ritzel feels that is is meant as a parallel to Mattheson's elaboratio.[13]

Friedrich Wilhelm Marpurg, writing in the early 1760's, accurately sums up some of the procedures of development. He speaks of the "Hauptsatz, der durch Wiederholungen, Versetzungen, Nachahmungen und Zergliederungen bearbeitet werden muss" ("exposition, which must be worked out through repetitions, transpositions, imitations, and fragmentations").[14]

Georg Joseph Vogler tries to distinguish between three procedures, Versezen, Ausführen, and Fortführen.[15] The first refers to transposition, the second to elaboration, and the third to continuity. The critical word is Ausführen; and subsequent writers, such as Sondheimer, Newman, and Ritzel, disagree as to whether this process of elaboration should be considered developmental in nature.[16]

We have already noted that Koch was the first to define Durchführung, and that the first part of his definition referred to fugue.[17] The second part reads: "Bey Tonstücken die nicht in der strengen Form der Fuge gesetzt sind, verstehet man darunter die

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Beybehaltung und stete Bearbeitung des Hauptgedanken in verschiedenen Wendungen oder Modifikationen" ("In pieces which are not set in the strict form of the fugue, one understands by this development the retention and continual reworking of the main idea in various changes or modifications").[18] Koch does not explain Bearbeitung, nor does he describe what the changes or modifications should be. Nonetheless, the modification of a main theme is recognizable as one of the techniques of development. His theoretical writings had great influence. Andersch and Häuser, for example, both substantially follow the definition quoted above.[19]

The term Durchführung appears frequently in the works of E.T.A. Hoffmann and is used in the sense of a procedure rather than a section. Hoffmann's definition of the term is not precise. He describes the sequential repetition of the second theme of Beethoven's Coriolanus Overture in ascending keys, for example, as its Durchführung, though the passage is not polyphonic and lies within the exposition (meas. 52-74).[20] In his discussion of the first movement of the Trio op. 70 no. 1, Hoffmann says: "Der zweite Teil fängt mit einer Durchführung und Imitation des Unisonos im erster Teile an" ("The second part begins with a development and imitation of the unison passage from the first section").[21] Hoffmann thus uses Durchführung here to describe not the second section itself but rather techniques used at the beginning of the section. What these techniques might be are not spelled out in detail.

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His remarks refer to an eight-measure introduction to the development section, made up of dialogue and polyphony.

Thus far, we have traced the use of the term Durchführung or its equivalent in the sense of motivic development, within a time span including most of the eighteenth century. Curiously, the term itself appears only at the beginning and end of this period. At the beginning of this period, Durchführung refers to fugue; at the end it refers to sonata form. An explicit statement by a theorist detailing the transference of the term is not at hand. Few of the writers we have surveyed present a technically detailed description of the procedures they discuss. Particularly lacking are discussions of harmonic structure or its formal consequences; such considerations begin somewhat later.

The recognition of a harmonic aspect of development is closely linked with that of a particular area of the form where such activity occurs. Discussions of these aspects of development do not appear until after the middle of the eighteenth century.

The first codification of the modulatory nature of the second half of a sonata form is by Joseph Riepel, in 1752-1757.[22] Without specifying motivic development, he presents several ways in which the harmonic scheme might lead through various subsidiary key areas back to the tonic. Riepel does not, however, describe the section as a Durchführung. His concentration on the harmonic rather than the motivic activity is worthy of note, inasmuch as it is reflected in some

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twentieth-century ideas on the subject.

Anton Bemetzrieder's theory text, written in 1779, states: "Les gammes intermédiaires étendent et arondissent le champ de la gamme principale; leur secours est necessaire pour développer" ("The intermediate keys extend and round out the field of the principal key; their help is necessary in order to develop").[23] Exactly what is to be developed, or how this is to be done, is not specified.

Like Riepel, Johann Gottlieb Portmann recognized the importance of the harmonic structure. In 1789, he offered a summary of the probable key relationships to be encountered in the Ausarbeitung.[24] Portmann does not describe the motivic processes involved.

Until about the end of the eighteenth century, sonata form was defined exclusively as a two-part structure. At the beginning of the nineteenth century, the three-part concept of sonata form begins to take hold. The earliest such description is given by Johann Friedrich Daube in 1798. According to Daube, the first section should come to a cadence in a new key, the second section should begin with the opening theme in transposition and may possibly end with a cadence, and the third section begins again with the main theme.[25] Daube's emphasis is primarily on the harmonic scheme to be expected, and he does not describe the middle section as a Durchführung.

Earlier terms did not disappear entirely. Writing in 1799, Augustus Kollmann recalls Mattheson in describing the second part as

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"the elaboration."[26] This is defined as a place of "abrupt modulations" and "enharmonic changes." There is doubt as to whether these terms are used in the modern sense, because Kollmann defines the recapitulation as "the return of the modulation." The author includes thematic elaboration and working-out as part of his concept of the design and presents analyses of several Haydn symphonies. Kollmann's work is significant because he discusses both the formal and motivic aspects of development.

In Jérôme-Joseph de Momigny's book of 1806, we find both a ternary concept of sonata form and a sharper focus on the process of development in the middle section. Momigny recognizes the middle section in sonata form as a place of modulations and transitions. He says that the composer should at this point "développer tout ce que l'Harmonie a de richesse, tout ce que le Contrepoint a de profondeur et enfin tout ce que l'art magique des transitions a d'inattendue et de ravissant" ("develop all the richness that harmony has, all the profundity that counterpoint has, and, finally, all that the magical art of transition has in the unexpected and the ravishing").[27] Note that Momigny uses the term "développer"; he associates it with the middle section, which he stops short of naming "development section."

Theorists of the nineteenth century had to find a term for this middle section. Naturally, it was often called simply the Mittelsatz. An article by Heinrich Birnbach, for example, emphasizes the harmonic content.[28] Robert Schumann, in his 1835 analysis of Berlioz's

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Symphonie fantastique, describes the Mittelsatz as a place where both themes are worked out.[29] As late as 1844, Lobe could characterize the Mittelsatz as a place of thematic working out.[30]

It is in the theoretical works of Anton Reicha that we first encounter the term "development" in its dual meaning of a process as well as of a particular section of sonata form. Reicha still conceives sonata form as binary, and in both the Traité de Melodie of 1814 and the Traité de Haute Composition of 1824 he designates the first part of the second half as the développement. In the latter work, he discusses the subject in greater detail.[31] According to Reicha, a piece in D major may begin its development in A major or minor, E major, F-sharp minor, D minor, or F major, or may modulate to these keys. He observes that the development modulates ceaselessly, eventually coming to rest on the dominant. Speaking of the recapitulation, Reicha notes that "one develops a few ideas further, but in a different manner" from the development section proper. This different manner is not further elucidated.

Carl Czerny, in 1848, was the first to use the term "development" in its current sense in English. Here again, the concept of sonata form is still binary. "The second part of the first movement commences with a development of the principal subject, or of the middle subject, or even of a new idea, passing through several keys, and returning again to the original key."[32] Further, "The ideas of the first part must

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be displayed, developed, worked up and necessarily augmented with new ones . . . . But this development must consist of no arbitrary rambling about into many keys."[33] This closing admonition is reiterated in Czerny's appendix to the English translation of Reicha's Course of Musical Composition.[34] Here, Czerny mentions that the second part admits of "an artistical and varied development," adding that it "must exhibit a well-arranged plan, a consistent development of the sensations expressed in the first part." Again, he expatiates against "an arbitrary rambling about in extraneous keys, a mere fantastic interchange of the themes and passages, or the interweaving of foreign ideas which, as not belonging to the whole, only divert the train of thought." He argues for "natural" modulations which "with solid and well-arranged ideas are sufficient for the most varied developments." But more distant keys are allowed if "they surprise in a really agreeable manner -- do not marr [sic] the general effect -- and are so disposed as to return naturally to the original key." Czerny's description of contemporary practice is somewhat flawed by his reliance on such subjective terms as "artistical, solid, well-arranged, agreeable, naturally," and others. Perhaps some of Schubert's harmonic procedures might not have received Czerny's approval.

The binary concept of sonata form persists as late as 1852, in a work by Ernst Friedrich Richter. He calls the first part of the second half the Durchführungsperiode, and enlarges on what takes place in this

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section. "Diese Zergliederung des Gedankes in seine bedeutendsten, wesentlichen Bestandtheile bildet nun gleichsam eine tiefere Erläuterung desselben, und mit diesen gefundenen Motiven werden zu Anfang des zweiten Theiles die Tonbilder in der mannigfaltigsten Weise geschaffen, die in ihrer Reihenfolge immer gern eine Steigerung empfinden lassen" ("This fragmentation of the thought into its most significant, most essential elements is, so to speak, a deeper clarification of it, and with the motives thus found, at the beginning of the second part, the composition is created in the most varied manner; its ordering should result in an increase in tension").[35]

It is in Adolph Bernhard Marx's Die Lehre von der musikalischen Komposition (1830-1847) that the modern definition of development as both process (motivic and harmonic) and formal section is fully achieved. Numerous editions of the work attest to its wide influence. Marx's discussion is accompanied by a "sample sonata." Beginning with a general sketch of what is to take place within the development section, Marx says that the themes are to be "gewählt, geordnet, und verknüpft, verändert," with "grosser Mannigfaltigkeit in der Anordnung und Verwendung des Stoffes" ("selected, ordered, and combined, varied," with "great variety in the arrangement and employment of the material").[36] In the pages that follow, Marx discusses which motives to use, the ways in which motives can be combined, the possibilities of various key centers, the use of fugato, and the way back to the

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recapitulation.

III. SUMMARY.

In summary, the current meaning of development, which had evolved by the middle of the nineteenth century, is actually a group of meanings. The term is employed to denote motivic and harmonic procedures, as well as a particular section of sonata form. The German equivalent, Durchführung, is older, and originally referred to expository sections of fugues, a meaning that it still retains. The possibility that the term Durchführung was incorporated into sonata-form terminology from fugue is reinforced by the first printed definition, which is dual in nature, by Koch.

As we have shown, the first use of the term, by Bach, implies a polyphonic treatment. During the rest of the eighteenth century, Durchführung is seldom used; theorists resort to terms borrowed from rhetoric or refer instead to an Ausarbeitung. During the first half of the eighteenth century, the emphasis in theoretical writings is on motivic processes. In the last half of the century, the focus shifts to the harmonic structure, and with it a concern for formal principles becomes evident. Before the nineteenth century, sonata form is conceived of as binary; after the turn of the century, the ternary view gradually becomes the more popular one. The modern definition of

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development was attained in the second quarter of the nineteenth century by Reicha, Czerny, and Marx. These three writers (Marx in greatest detail) combined the ideas of motivic and harmonic development with that of a formal development section.

There is an obvious lag between compositional practice and theoretical codification. The degree of mutual understanding and common practice among composers from the time of Haydn and C.P.E. Bach to the mid-Romantic period seems not to have depended on a common body of theoretical writings but rather on a nonverbal process of assimilation by younger composers of contemporaneous music.

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IV. NOTES.

1. See, for example, Riemann's Musik-Lexikon, 12th ed., article "Durchführung," p. 247, and MGG, article "Form," col. 544. The term does not apply to individual restatements of the subject.

2. Facsimile in Peters Edition #4201.

3. Heinrich Christoph Koch, Musikalisches Lexikon, p. 506. We discuss the second, non-fugal meaning, on p. 18.

4. Johann Mattheson, Das Neu-eröffnete Orchestre, p. 104.

5. Johann Mattheson, Der Vollkommene Capellmeister, p. 236.

6. Johann Nicolaus Forkel, Musikalischer Almanach für Deutschland, vol. 2, p. 32. Quoted in Fred Ritzel, Die Entwicklung der "Sonatenform," p. 127.

7. Johann Adolph Scheibe, Compendium Musices. Reprinted in Peter Benary, Die deutsche Kompositionslehre des 18. Jahrhunderts, Appendix, p. 42.

8. Johann Adolph Scheibe, Critischer Musicus, p. 82.

9. Ibid., pp. 597-98.

10. Ritzel, Entwicklung der "Sonatenform," p. 50.

11. Scheibe, Critischer Musicus, pp. 693-94.

12. Johann Gottfried Walther, Musicalisches Lexikon, p. 603.

13. Jacob Wilhelm Lustig, Inleiding tot de muzykkunde, p. 205, quoted in Ritzel, Entwicklung, p. 75.

14. Friedrich Wilhelm Marpurg, Kritische Briefe über die Tonkunst, vol. 2, p. 161.

15. Georg Joseph Vogler, Betrachtungen der Mannheimer Tonschule, vol. 2, p. 367.

16. Discussed in Ritzel, Entwicklung, p. 167.

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17. See p. 15.

18. See note 3.

19. Johann Daniel Andersch, Musikalisches Wörterbuch, p. 148. Johann Ernst Hauser, Musikalisches Lexikon, vol. 1, p. 128.

20. E.T.A. Hoffmann, Autobiographische und musikalische Schriften, p. 349.

21. Ibid., p. 362.

22. Joseph Riepel, Anfangsgrűnde zur musicalischen Setzkunst, vol. 2, p. 93.

23. Anton Bemetzrieder, Nouvel essai sur l'harmonie, p. 115.

24. Johann Gottlieb Portmann, Leichtes Lehrbuch der Harmonie, p. 51.

25. Johann Freidrich Daube, Anleitung zur Erfindung der Melodie und ihre Fortsetzung, pp. 18-19. Discussed in Ritzel, Entwicklung, pp. 141-42.

26. Augustus Kollmann, Essay on Practical Musical Composition, p. 2.

27. Jérôme-Joseph de Momigny, Cours complet d'harmonie et de composition, vol. 2, p. 387.

28. Heinrich Birnbach, "Über die verschiedene Form," p. 370.

29. In Neue Zeitschrift für Musik, 1835, vol. 8, p. 37.

30. Johann Christian Lobe, Compositions-Lehre, p. 134.

31. Anton Reicha, Traité de Haute Composition, vol. 2, pp. 298-300.

32. Carl Czerny, School of Practical Composition, vol. 1, p. 33.

33. Ibid., p. 35.

34. Translated by Merrick. All the following quotations are from pp. 320 and 322.

35. Ernst Friedrich Richter, Die Grundzüge der musikalischen Form, p. 44.

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36. Adolph Bernhard Marx, Die Lehre von der musikalischen Komposition, vol. 3, p. 226.

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Chapter 2

REVIEW OF BRUCKNER LITERATURE

The literature on Bruckner is extensive, but only a small proportion of it is significant in the analysis of his music. Most of the material is biographical, though some of it includes short descriptive accounts of the symphonies with details concerning dates of composition and first performance, together with pertinent anecdotes.

I. PRINCIPAL SOURCES.

Only five works have the requisite depth of analytical treatment to merit individual discussion here. The most comprehensive book, Anton Bruckner by Ernst Kurth, was also one of the earliest to appear (1925). It is divided into biographical and analytical sections; the latter are particularly detailed and perceptive. There is a general presentation of "Die Formdynamik," which includes overall principles of form and style and the introduction of the "wave" theory. Kurth lays great emphasis on what he calls Wellen (waves) which are expressed in dynamic climax patterns; he regards Bruckner's formal sense as based on this concept.[1] He then describes the individual movements in terms of general types. The individual analyses begin with the Fourth and Ninth Symphonies, which Kurth regards as the two poles of Bruckner's

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stylistic evolution. The other symphonies are then discussed in chronological order; treatment of the other instrumental and vocal works concludes the analytical section. The numerous references made to this pioneering study in the present paper attest to the thoroughness and penetration of Kurth's analyses.

Kurth's emphasis on the dynamic climaxes as central to his wave theory invites a reservation on our part. We prefer to consider the dynamic climaxes as the outward signs of formal and harmonic crises, in which case the latter need detailed explication. The waves themselves are not the deepest structural element but rather reflect deeper causative factors.[2]

Kurth's metaphysical predilections give rise to a second reservation. In describing sudden silences, for instance, Kurth sees a "musico-symbolic look into the inmost recesses of the soul, the atmosphere and horizon of the entire inner world of ideas."[3] Kurth explains the typical Bruckner rhythm (duplets and triplets) as reflecting the Dual and Triple Principles.[4] It would appear that Bruckner, as a devout Catholic, was himself particularly subject to this kind of musical exegesis, and Kurth is not the only practitioner. Kurth's approach must, of course, be seen in the light of the predominating German Idealism of the time, which differs widely in perspective from the analytical methods of the present.

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Alfred Orel's book, Anton Bruckner, which appeared in the same year as Kurth's, is much shorter and different in approach. Instead of giving individual analyses, Orel considers particular aspects of Bruckner's style in a general way. Chapters are devoted to harmony, motives and themes, rhythm, form, and texture. Some of Orel's conclusions appear for the first time in the Bruckner literature, such as that regarding the basically homophonic, harmonically oriented nature of Bruckner's polyphony.[5] Orel also attempts to summarize the typical structures found in the various movements of Bruckner's symphonies.[6] A biographical section and a section devoted to the late Romantic period are useful and well-written. The author does not consider the process of development at any length. Outside the scope of his work also is any consideration of the structure of the development sections.

The third major work, Anton Bruckner by Robert Haas (1934), was written by the editor of the first complete edition of Bruckner's symphonies. The book, part of the series Die grossen Meister der Musik, is profusely illustrated and includes numerous photographs of Bruckner's manuscripts. There are also citations of passages which Bruckner subsequently cut.[7] The book includes a biography, a survey of the literature, and a brief consideration of Bruckner as a theoretician. The symphonies do not receive a general summary but are instead treated individually, movement by movement. The chief value of Haas's

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accounts of the symphonies lies in his tracing the history of each work from its inception to the final version. His publication of cut passages helps us attain a fuller understanding of the eventual final versions.

As befits a book meant for the general reader, Haas's analyses are somewhat cursory and descriptive rather than deeply analytical in nature. The numerous interpretations of emotional states can be distracting. The range and length of the first theme of the Seventh Symphony, for example, betoken a "soulful peacefulness of a transfigured, complete joy in the world."[8] Haas frequently resorts to the terminology of Lorenz, using terms like "bowform" or "barform" to describe sections of movements. Such generalizations tend to gloss over details of harmonic or motivic activity.[9] Most peculiar is Haas's way of comparing first movements with last movements in the early symphonies, then comparing first movements of the later symphonies with each other. A more consistent approach might have yielded more solid comparative observations.

The most extensive biography, also entitled Anton Bruckner, was begun by Bruckner's student, August Göllerich, and completed after Göllerich's death by Max Auer (1937). The book contains documents of Bruckner's life numerous letters, and anecdotes by his students and contemporaries. The history of the symphonies and their first performances is given in detail. Göllerich describes each of the many cuts and revisions which accompanied the various versions of the symphonies, often printing

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excised passages. In addition, the book contains the only published score (piano version) of the early F minor symphony.[10]

Although Göllerich's book is biographically a treasure trove, analytically it is weak. The symphonies are described in picturesque language rather than analyzed. Numerous citations of surface thematic resemblances between Bruckner's work and that of other composers are given. Sometimes the author sheepishly points out that Bruckner could not have known the other piece because it was not yet written.

The final and most recent basic work is an American dissertation by James Wilcox, entitled The Symphonies of Anton Bruckner (1956).[11] Wilcox successfully confronts the difficult problem of describing Bruckner's style in general. His detailed stylistic study presents numerous perceptive findings, too many to list here. They will be cited below as they pertain to the various points under discussion in the present paper.

An important reservation concerns Wilcox's summary treatment of the harmonic aspects of the development sections; his discussions are almost exclusively devoted to the motivic aspects of development.[12] While Wilcox recognizes the sectional nature of the developments, he fails to emphasize the harmonic basis of this architecture.[13] The dissertation, however, is a major contribution to the literature, and will be cited many times below.

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II. BRUCKNER'S TREATMENT OF SONATA FORM

The primary purpose of the present survey of the literature is to see how the first movements of Bruckner's symphonies have been treated in relation to the various meanings of development described earlier. Our examination will follow the outline of sonata form. The discussion will begin with a brief consideration of the themes as treated in the literature; themes are central to sonata form, and Bruckner's themes are a distinctive facet of his style. In the balance of this chapter, we will cite many authors (listed fully in the bibliography) whose works are not so fundamental to our study as the five books mentioned thus far.

A. The Themes.

As Wilcox shows, and as the present paper substantiates, significant differences between types of themes exist, depending largely on the theme group in which they occur. Some writers discuss "the themes" without differentiation; from the context of their remarks, they mean the first themes in such cases.

The themes seem to be most often described in terms of three interdependent questions: (1) How long are they? (2) Are they open or closed in shape? and (3) Are they apt for spinning-out? Bruckner's themes, according to Oscar Lang, are distinguished by their length.[14] On the other hand, Korte refers to "thematic cells," and Wellesz finds

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that the themes "have something of the finality and concentration of the Wagnerian Leitmotiv."[15] Wellesz adds that the themes are not, like Beethoven's, apt for spinning-out, but Kurth finds much spinning-out present.[16] In discussing IV/1, Auer says that the themes "are not closed melodies, but motives to be further developed."[17]

The fundamental importance of the harmony has been stressed by Orel and Halm, the latter going so far as to call the themes "surrogates" for their respective harmonic areas.[18] Harmonic problems are solved by thematic means, according to Orel, though this excellent observation is perhaps not given the documentation it deserves.[19]

One of Bruckner's distingushing thematic features is his choice of intervals. Orel notes that large intervals are often subsequently filled in by conjunct motion.[20] Lang notes a contrast between two types of themes, those based mainly on perfect intervals and those with very narrow intervals.[21] The first type has been widely noted, the second much less so. Lang finds both types combined in the opening theme of VII/1.

Some authors point out details of Bruckner's thematic construction. Two-measure groups are common in the themes, as Kurth observes, and the themes are usually not rounded at the end.[22] Kurth further points out that the melodies do not have their point of tension in the middle of the four- or eight-measure phrases, as in classical style; instead, the repetition posits an increase in tension.[23] The

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themes often have two identifiable parts, according to Martinotti; the first is melodic "in a static way," and the second adds a rhythmic element.[24] Martinotti's examples from VII/1 are apposite, but his theory would be difficult to substantiate as a general principle.

The phrase structure of the themes has received extensive treatment, and some commentators have tried to schematize Bruckner's phrase structure in general. Wolff, for example, finds two basic types of themes: "First, there are the themes clearly marked in shape. They are four, eight, or more measures long, and end with a cadence. Such are the themes of the Third, Fifth, Seventh, and Ninth Symphonies. Second are the themes which are more like motives in character, not only because they are of shorter length, but also because they are not ended in shape. To this type belong the themes of the First, Second, Fourth, Sixth, and Eighth. They are the very nucleus for further development."[25]

Korte finds the following types of themes in first movements: (1) parallel periods, in the First Symphony; (2) "addition-types," based on the repetition of short thematic cells, in the Second, Fourth, and Fifth Symphonies; (3) "row-types," in which larger main thematic cells include contrasting unrelated material, in the Third and Sixth Symphonies; and (4) "chain-types," in which differing segments of the theme have substantial associative motives, in the Seventh through Ninth Symphonies.[26]

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The generalizations of Wolff and Korte just cited may have some validity but are open to question. One might accuse the former of arranging the material to fit a definition; the latter, of constructing a theory so that it bears out the implications of chronology. Further discussion on specific points seems necessary. It could well be debated, for example, whether the thematic structure of the first themes of the last three symphonies fit, as Korte claims, into one type.

B. Sonata Form in General.

It is not easy to attempt an overall characterization of Bruckner's treatment of sonata form, inasmuch as the composer did not confine himself to one rigid realization of the form. Wilcox's observation that it is "impossible to assess Bruckner's sonata plan according to values established in the work of Beethoven" makes a good preamble to any discussion.[27] Halm's characterization of the first theme group as thematic, the second as melodic, and the third as motivic is not too helpful; the terms are too close in meaning, and Halm perhaps wisely avoids any documentation or further discussion of the point.[28] Schönzeler's schematization of the form as exposition, development-recapitulation, and coda has a greater degree of validity but, except for the last symphony, seems for harmonic reasons not to be the most fruitful generalization.[29] Schönzeler is correct in noting the length of the codas, though he does not advance possible harmonic reasons for

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this length, particularly the necessity for a long concluding passage on the tonic. In applying his three-part theory to the early symphonies, he misplaces the recapitulation of III/1.[30]

A significant contribution to the question of Bruckner's treatment of sonata form is made by Wolff, who states that what is really new in Bruckner's symphonies is the "amplification of the exposition, wherein the two subsidiary themes are given their own development to such an extent that one would better speak of two subsidiary sections within the exposition."[31] No examples are given, nor is "development" defined, but Wolff's generalizations are accurate and substantiated in the present paper.

Another series of contributions to an understanding of Bruckner's sonata form comes from Orel. He shows that until the Fourth Symphony, the conclusion of the development is drawn out and the recapitulation begins quietly.[32] From the Fifth Symphony on, Orel declares, the entrance of the recapitulation becomes the climax of the development. Sometimes, he feels, the recapitulation seems to begin with the second theme group, or the last part of the first theme group (implying that the first theme itself enters unobtrusively). Orel should perhaps have limited his statement; the recapitulation is the climax of the development only in the Sixth Symphony. The first movements of the last three symphonies embody highly unusual relationships between development and recapitulation; a single generalization would

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be insufficient to characterize them.

C. Expositions.

In the literature, Bruckner's first themes receive far more attention than does the first key area as a whole. Orel is one of the few to attempt a general summary of the first key area.[33] He describes the structure as being typically A B A B1; the second A is an intensified version of the first. The function of B is to return to the tonic with an increase in dynamics. The function of B1 is to lead from the tonic with a decrease in dynamic tension, eventually resolving into the second theme group. Orel's outline holds true in some cases (such as IV/1), but it does not seem to apply where two strophes follow each other without pause (as in VII/1 and VIII/1) or, as Orel admits, where the organization is highly unorthodox (such as IX/1).[34]

The nature of the transitions has not drawn extensive comment from any of the authors in the literature. Neither the developmental techniques so often present there nor the harmonic means of reaching the second key area have been discussed in detail or summarized generally. Korte does show in convincing detail the rhythmic-motivic connections between the first two theme groups of VIII/1.[35] Orel's comment that only I/1 and IX/1 have motivically independent transitions is open to serious challenge, particularly in the case of IV/1.[36] For the rest, one may conjecture that the transitions have escaped discussion

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because the themes themselves are more striking and carry more weight in the formal structure; the omission of the topic, however, is not thereby justified.

The somewhat polyphonic nature of the second theme has impressed almost all commentators. Wilcox further notes the characteristic intervals of sixths and sevenths.[37] The frequent use of sequences and enharmonic modulations has been perceived by Dehnert, but his description, meant for the general reader, lacks amplification and detail.[38]

The second theme groups and their key relationships with the closing section are most fully summarized by Wilcox.[39] A shorter summary of the second theme groups only is given by Orel.[40] An overall characterization of the structure of the entire second theme group is not attempted by any of the writers, though individual movements have been singled out for treatment. Haas, for instance, notes the bowform of the second theme of III/1, though the functions of G-flat major and E major within the key area of F major are not explained.[41] Perhaps an explanation would have entailed more technical language than Haas wished to include. The motion from F major to G-flat major (via F minor, the relative minor of the dominant of D-flat major) is not only striking, but it is mirrored in the return from E major (via E minor and C major) to F major which closes the second key area. The second theme of VII/1 "experiences a full

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development" (not defined) within its own expository section, according to Doernberg, but the cursory nature of his book prevents him from devoting any space either to the means and techniques of development or to the special nature of this treatment compared to previous symphonies.[42]

The second key area, from IV/1 on, is harmonically incomplete. It is completed by the closing section, which presents the orthodox harmony at the end of the exposition. This relationship is not mentioned in the literature. Orel, for example, notes the keys in which the second themes begin, but as such keys may not necessarily be established, he omits a vital aspect of the harmonic architecture.[43]

The key-confirming function of the closing section is a corollary to the incomplete harmonic structure of the second key area. Except for Wilcox, who gives a harmonic overview, the literature is silent on this point.[44] Instead, most commentators have pointed out the short rhythmic phrases which so often constitute the closing theme. Orel mentions that in the earlier symphonies the closing theme is the resolution of tension accumulated at the climax of the second theme group; this statement actually applies to VII/1 as well.[45] Kurth's statement that Bruckner's third themes lead on to the development and are not closing in nature seems without foundation.[46] Surely one of the recognizable features of Bruckner's style is the epilogue which ends the exposition; at such points the motion almost comes to a complete halt.

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D. Developments.

As several authors have noted, Bruckner's development sections seem to be built in blocks or layers.[47] According to Wilcox, there are usually three to seven sections; in his discussion of the individual symphonies, he details the beginning point and motivic content of each section.[48] Mellers finds that the sections of the development are not progressive. "It is no use expecting from his development sections anything approaching the operatic cohesion of Mozart, let alone the rhetorical argument of middle-period Beethoven. Bruckner allows his themes to expand of their own volition, and builds up his climaxes over relatively static ostinatos and pedal points. Then the music breaks off and starts again, with another theme. These recurrent climaxes, being spaced over a considerable period of time, do not attempt to build up a progressive drama. None the less, the sequence of keys in which they appear gradually changes the tonal perspective, so that the succession of climaxes becomes cumulative. By the time we reach the ultimate climax we have usually arrived at the most remote tonality."[49] The last sentence of the quotation is not true, except perhaps in VI/1.

A second characteristic claimed by some writers is that the themes or motives are not substantially altered during the development section.[50] Wilcox says "there is no organic development of the essential thematic substance."[51] Here we come to grips with the basic lack

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of definition in the minds of the writers; the general, perhaps subconscious view is that the process should be something like what Beethoven did. This would explain Nef's comment, which has the ideal of "organic development" in common with Wilcox's statement: "Within the developments there is little real inner development. Bruckner fantasizes, rather than organically develops. He seldom understands how to contrast and oppose the various themes . . . "[52] The last sentence obviously contains Nef's definition of development. This attitude is present in the works of anti-Brucknerites (like Vallas, who says that "the art of development seems completely unknown to Bruckner") as well as pro-Brucknerites (like Louis, who says "He does not develop, but rather puts his thoughts in a row, as they came to him").[53] If development must entail the contrasting and opposing of the various themes, this concept should be clearly spelled out before reaching critical judgments based upon it. Another difficulty arising from this mode of thought is that we are left without a term to explain or describe the working-out of a single theme within the expository sections, which takes place in Bruckner's work as well as that of his predecessors.

There is no compulsion to combine, contrast, and oppose thematic ideas in the development section; our examination of the symphonic literature will show that these procedures are sometimes present. Therefore, Bruckner's lack of interest in these procedures,

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noted by Benary as well as Louis, does not preclude the presence of another kind of development.[54] Besides, one can adduce examples, such as VIII/1, wherein Bruckner does indeed combine and contrast material, thereby showing that the ability to perform these procedures was not beyond his technical means.

There is general recognition in the literature that such devices as imitation, inversion, sequence, stretto, augmentation, and diminution all occur, sometimes in combination, in Bruckner's development sections. There is little attempt, however, to define the functions or assess the roles of these various techniques. Both Kurth and Orel note that sequences may not be literal.[55] Halm perceptively notes that inversion often is found at the beginning of the development sections, but he misses the corollary of this idea: that the inversion is stated there in expository fashion as a form of the theme that will be intensively worked throughout the development section.[56]

In general, the authors have not tried to identify what material is used in the developments. Orel is alone in noting the minimal attention given to the second theme group in the developments of the first six symphonies.[57]

Thematic transformation is not so common a technique in Bruckner's style as it is in that of other composers, such as Beethoven. The thematic transformation in V/1 is exceptional, and has drawn comment from several authors.[58] Simpson ascribes this technique not

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only to the first movement but to the entire symphony.

The harmonic structure of the development section is treated with complete silence throughout the literature. Wilcox states that despite "the heavily emphasized structural divisions, there are none of those reference points which provide tonal continuity."[59] Krohn agrees, feeling that "modulations frequently becloud the tonality . . . in the development and all the transitions."[60] One might conclude from the foregoing remarks that the harmonic structure of the development sections is an impenetrable jungle of chromaticism or (using Wilcox's term) nonfunctionalism. Yet upon hearing these movements, one does feel a logical coherence to the architecture which we shall try to explain on the functional harmonic level, not merely by motivic and dynamic considerations.

E. Recapitulations and Codas.

The general nature of the recapitulations has not been the subject of extensive comment. Kurth notes that developmental episodes may appear, and Korte, Orel, and Wolff all consider the recapitulation as a re-development.[61] Other comments are restricted to particular movements and do not attempt to summarize typical procedures.

The literature shows a similar lack of overall stylistic considerations concerning the treatment of the coda. Not one writer makes the central point that the long tonic pedals of the typical Bruckner coda are

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necessary harmonic counterbalances to the frequent chromatic motion found in the body of the movement. Wilcox observes that "the first theme of the first theme group returns and forms a large part of the coda," but he does not discuss the re-development of the theme in the coda, or the techniques of this re-development.

III. GENERAL STYLISTIC COMMENTARY

Bruckner's harmonic style is an arresting feature of his music. Commentators have discussed his harmonic treatment in both general and specific terms. The most systematic and thorough treatment of Bruckner's harmonic style is by Wilcox. He defines Bruckner's harmonic vocabulary as consisting of: (1) diatonic progressions; (2) an expanded secondary-dominant technique; (3) chromatic alteration; (4) enharmonicism; and (5) nonfunctionalism.[62] Wilcox gives illustrative examples from the symphonies. The only shortcoming in Wilcox's presentation is that he really defines late nineteenth-century harmonic practice in general rather than Bruckner's style alone. There are idiosyncratic features of Bruckner's usage that could be further isolated (for example, the treatment of the six-four chord, or the German sixth chord).

Wilcox's summary of the relative frequency in the occurrence of different types of chords assumes that harmonic events are separable

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facets of style. In truth, we know little about chords unless we know the context; a chord's function as a link is at least as important as its character as a vertical aggregate. Thus, if Bruckner's chords are to be discussed in detail, we should learn where in the formal or phrase structure we might expect to find various chords, and how they function in a progression.

Concerning the harmonic structure of the movements as wholes, Wilcox notes that "certain tonal poles are pointed up, reached by means of devious intricate devices of tonal subterfuge, but which unify the tonality of each movement."[63] Within the various sections of the expositions, Wilcox says "A disturbance of the fundamental tonalities comes about by frequent and varied excursions into areas only remotely connected to the tonic, or into protracted areas of nonfunctionalism."[64] These statements are much to the point but are not buttressed by specific examples. Neither the "devices of tonal subterfuge" nor the remoteness of the harmonic excursions are further clarified.

Deceptive cadences play a special role in Bruckner's harmonic style; Orel notes that they are not used as expressive devices, as in the Classical period.[65] Instead, they form part of a breaking-off technique; Halm and Kurth both show that a vital aspect of form is created when a series of chords does not reach its goal.[66] This breaking-off technique is vital to Kurth's wave theory. Kurth keenly perceives that a half-cadence, followed by a phrase which has

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harmonically "no relationship at all" is a salient feature of Bruckner's style.[67] Kurth feels that these places mark beginnings of new formal-harmonic waves, that the interrupted point of tension will be picked up and resolved later. The concept is restated by Wilcox, who adds that "within the larger climactic phases numerous smaller waves drive toward the higher peaks, where the tension is released at important tonal and structural points."[68] The wave theory must be seen as an attempt to comprehend the extended architecture of Bruckner's symphonic movements. It relates the sections to the whole, and stresses the relationships among harmony, form, and dynamics. Our first principal reservation concerns the degree of emphasis accorded dynamics as opposed to harmony. The second concerns the lack of explication of the underlying heirarchical arrangement which gives coherence to the formal-harmonic waves. This would require an overall harmonic analysis, which neither Kurth nor Wilcox presents.

Other more specific details of Bruckner's harmonic style have been noted in the literature. The prominent pedal points have been universally remarked; it would have been hard to overlook them. Wilcox's claim that "pedals occur on strong functional scale degrees" is only partly true; they occur on other degrees as well (see, for example, the second key area of III/1).[69] Generally, the longer pedal points are on main functional degrees; shorter ones may appear on less structural degrees.

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Bruckner used six-four chords, especially the cadential variety, in a highly individual way. Inasmuch as cadential six-four chords have a strong function in defining form, Bruckner's technique of greatly delaying the resolution of these chords (or not resolving them at all) is a significant facet of his style. Passing or neighboring six-four chords do not perform so vital a function. Orel's example from IV/1 (meas. 65) is thus a poor choice to exemplify Bruckner's style in handling six-four chords, since here the chord is a product of passing chromatic motion by the bass.[70] A better example would have been from VIII/1 (meas. 125-27) where the six-four chord is the goal of the motion and does not resolve until the epilogue. This usage substantiates Kurth's contention that the six-four chord is frequently found at high points of tension.[71]

Bruckner's affinity for third-related progressions, according to Orel, derives from Beethoven and Schubert.[72] Kurth also draws attention to this harmonic preference.[73] Wellesz's description of events in IV/1 seems appropriate here: "Bruckner's method consists in filling in, with motives and melodies, long-drawn-out columns of harmonies altered most frequently on the basis of the third-relationship."[74] These commentaries do not relate harmony to form; we are not told where and why third-related progressions occur.

In the literature, Bruckner's modulations are treated very gingerly; usually a few comments about chromaticism and distant keys are all we

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find. Kurth amplifies this by listing the following ingredients in Bruckner's modulations: sequences, especially by thirds; enharmonic chords; common tones; and altered chords.[75]

Bruckner's style is universally acknowledged to include a high degree of chromaticism, but discussions of it are seldom detailed. Orel contributes some assistance in this regard when he mentions that Bruckner believed that "every chromatic motion must be a substitute for a basic diatonic motion."[76] Orel, however, does not exploit his own insight; this is to be regretted, because his observation could have clarified some of the murkiness which clouds harmonic discussions in the literature. Orel also shows that in Bruckner's music the leading tone frequently appears in the bass, particularly in modulatory passages.[77] Many writers have noted the frequent use of the German sixth chord, though they do not mention the idiosyncratic elision of the dominant which should normally follow.[78]

Bruckner's treatment of dynamics has too often been considered as an independent element. We have already referred to Kurth's wave concept and noted that the basic factors of harmony and form should receive more stress than the points of dynamic culmination which identify them. Krohn points up the alternation of soft and loud passages in IV/1; his statement is accurate, but his emphasis is too much on emotional states rather than on formal and harmonic factors.[79] Oeser is correct in noting that a lengthy and gradual decrescendo from a

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fortissimo is comparatively rare in Bruckner's style, as compared to that of Wagner.[80]

The rhythmical element in Bruckner has not been deeply explored, although the "Bruckner rhythm" has received wide notice. Both Orel and Wilcox observe that the triplets which characterize part of this rhythm spring from, and intensify, duplets or a shorter pair of notes.[81] Krohn carries rhythmical analysis further than other commentators, parsing every single movement of every symphony into its smallest rhythmic constituents (Taktfüsse).[82] He also groups all the phrases of each movement according to whether they have two, three, four, five, or six divisions. Whether the collection of these figures or the percentages derived therefrom shed any light on Bruckner's rhythmic or formal treatment is not clear, especially since some of Krohn's subdivisions are questionable.

IV. TREATMENT OF SPECIFIC PROBLEMS.

The wide variety of approaches to Bruckner's music may be demonstrated by our citing some specific places in the symphonies and noting divergent opinions. Our first example is from III/1 (meas. 341 ff.). Simpson considers this the beginning of the recapitulation, whereas Schönzeler believes that this recapitulation of the first subject coincides with the culmination of the development.[83] Wilcox describes

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the passage as a false recapitulation.[84] Halm's opposing contention is that it is not a false recapitulation but the center of the development.[85] Both Kurth and Doernberg consider the passage as only a part of the development.[86] This last view seems most correct, inasmuch as the true recapitulation begins somewhat later (meas. 431). The weight of the passage does, however, support Halm's claim that it is the central point of the development.

The form of IX/1 has evoked a wide variety of opinions, caused perhaps by the need to reconcile Bruckner's form with traditional sonata form. Grunsky takes a highly individual approach in dividing the movement into two main strophes, each followed by a culmination.[87] Grunsky, in analysing the structure of each section, resorts primarily to the concepts of barform and bowform. His approach invites two main criticisms. The first is that the two forms on which he principally relies do not display the type of formal symmetry which Lorenz is usually able to demonstrate in his Wagner analyses. There is a possibility that Grunsky is reading a structure into the music, rather than deriving a constructive formula from the music itself. The second criticism is that Grunsky's analysis is almost entirely motivic; harmonic structure is not emphasized as an architectural factor. Nonetheless, in its coherent departure from traditional sonata form, Grunsky's article has merit. It finds an echo in Simpson's book; the latter divides the movement into "statement" and "counterstatement,"

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plus a coda.[88] Simpson's discussion is marred by his failure to distinguish temporary from functional key centers.

In the balance of the literature, the authors attempt to square Bruckner's practice in IX/1 with traditional sonata form as best they can. Auer, for example, says that the formal recapitulation and the working-out of the first theme occur together.[89] Göllerich and Orel say that the development and recapitulation are united.[90] Haas does not identify a recapitulation as such; he simply notes the reappearance of the head of the main theme, followed by a developmental section.[91] Kurth covers the point by saying that the recapitulation "begins in developmental style."[92] Wilcox is more thorough in his statement that "the recapitulation of the principal subject was in reality both recapitulation and development, a new means of achieving review and, at the same time, further unfolding of the material."[93] In the light of the foregoing quotations, Krohn's remark that "there is nothing really extraordinary in the sonata form of the first movement" seems most courageous.[94]

Previous sources do not observe that the principal subject of this movement (meas. 63; it could be considered the second of two principal subjects) is excluded from the development section. When it returns, it receives its own development, in which other thematic material plays a negligible role.

It is also noteworthy that commentators have overlooked the parallel between the formal ambiguities in III/1 and IX/1 (both in

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D minor) which we have discussed above. Although such parallels of treatment in Bruckner usually occur in neighboring symphonies, we note that Bruckner worked on revision of the Third Symphony in 1888 and 1889, shortly before he began work on the Ninth Symphony. Thus it is not an unreasonable conjecture that the earlier symphony may have brought to mind problems of form which the composer felt were capable of new solutions.[95]

V. COMPARISONS OF BRUCKNER WITH OTHER COMPOSERS.

Bruckner has often been compared with other composers. The most frequently occurring name in these comparisons is that of Beethoven. We have already noted Wilcox's appropriate warning on this subject.[96] Most Bruckner-Beethoven comparisons center on the themes and their treatment. After noting that Beethoven's symphonies to a large extent do not follow formal models, Kurth finds that Bruckner's movements, despite their larger mass, are based on fewer themes than Beethoven's.[97] Wilcox elaborates: "His themes are not of the type adaptable for development in the sense that Beethoven's are, but rather they have a finality which often demands entirely new material for their continuing expansion.[98] Such expansionary devices, according to Wilcox, include sequence and motivic and harmonic extension. Orel approaches the matter from a different angle; he

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believes that in Beethoven, the theme "is a melodic event filled with a unifying motivic content. In Bruckner, on the other hand, it is a harmonic event, which is presented through the melodic line with its motive energy."[99] The distinction is probably not so neat as Orel would have it, but his statement makes good sense as one of emphasis rather than antithesis.

In comparing Bruckner's developmental techniques to those of other composers, two quotations from Machabey seem most appropriate. Concerning transformation (déformation) of the themes, Bruckner "can be accused of not knowing how to develop; one must first agree that this term applies exclusively to Beethovenian procedure, rather than that of J.S. Bach, towards which Bruckner tended."[100] Although the parallel to Bach requires substantiation, we have seen earlier that critics such as Nef and Vallas indeed claimed that Bruckner did not know how to develop.[101] Later in his book, Machabey says pithily, "Bruckner does not treat the themes by pulverizing them, as Beethoven does, but works with them contrapuntally."[102] The beginning of this statement is correct, but qualification of the contrapuntal emphasis is necessary; we have noted earlier Orel's point that Bruckner's counterpoint is basically harmonic in its orientation.[103] Wolff offers a comparison as follows: "Bruckner's ways of developing a theme differ fundamentally from those of Beethoven. Bruckner loved his melodies and kept faith with them . . . Consequently, he could not bring himself to deprive

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them of their true nature and original form."[104] This is in essence the same comparison that Machabey makes, though the implication that Beethoven did not keep faith with his melodies, or did not love them, is hard to accept.

Bruckner is compared with Beethoven and Schubert by Kurth, but his comparisons tend to be much too general and lack substantiation. He claims that in Schubert and even Beethoven, for example, some movements are "from beginning to end in working-out style."[105] Kurth does not give a definition of "working-out style," nor does he give examples of it. His primary point here is to trace the beginnings of his "dynamic form principle." Elsewhere, Kurth contends that Beethoven's changes of sonority between sections are more clearly defined, whereas those of Bruckner sometimes have blurred edges, "like pedalwork on a piano," from which they then move to full exposure.[106] This generality would seem to need documentation to be acceptable; perhaps Loewe's and Schalk's re-orchestrations account for Kurth's impressions.

Occasionally, a writer finds a specific analogous treatment in Bruckner and Beethoven. Wolff notes that the coda to the first movement of Beethoven's Ninth Symphony served as a pattern for many of the ostinatos and pedal points of Bruckner's codas.[107]

Schubert's style, particularly in the spacious dimensions of his late works, seems to have influenced Bruckner. Simon Sechter taught

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both composers counterpoint, though he was not the only link between them. Certain specifics have been noted by both Kurth and Wilcox. The former observes that Schubert makes a complete episode out of each of the sections of the form."[108] Wilcox amplifies this observation, finding that Schubert's developments "may often be nothing more than a series of statements of a main subject, while his expositions on the other hand may contain material which is developmental in character. Bruckner's sectionalized developments and lengthy expositions often exhibit similar characteristics."[109] The possibility of a connection in harmonic style between the two composers is not broached anywhere in the literature, although it might be a rewarding question to consider. One might, for instance, consider whether Sechter's method of modulation was followed by both composers.

There is no evidence to show that Bruckner was at all influenced by Brahms. Göllerich speaks of Bruckner's "gross indifference to the musical production of his time. He seems to have felt no need to get to know the works of other masters, and I believe that of contemporary composers' work, only Wagner's was really familiar to him."[110] Comparison of the styles of Bruckner and Brahms, however, is not precluded. Wellesz notes that Bruckner "placed the contrasting groups side by side, and thus differed fundamentally from Brahms, whose special art consisted in the undetectable transition from one theme to another."[111] The fullest stylistic comparison of the two composers is to

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be found in Korte's book, wherein the author contrasts the composers' melodic styles and their approaches to sonata form.[112]

The composer whose work should be most closely compared to Bruckner's is Wagner. The immediately apparent stylistic affinity between the two is perhaps reflected in Bruckner's adoption by the "New German School" as its foremost symphonic representative. Among the stylistic links between the two composers are the length of their works, the size and composition of the performing forces, a similar harmonic vocabulary, and frequent thematic resemblances. The two composers handle orchestration differently; Wagner tends to combine single instruments from various sections, whereas Bruckner prefers more homogeneous groupings of strings, woodwinds, or brass.

We know that Bruckner idolized Wagner. We also know that the stories of the operas escaped him entirely (he once asked, after a performance of Die Walküre, why the girl was burned at the end). He would sometimes hear the operas from a seat so far on the side that the stage was hardly visible. What is more natural than that he was listening to the music itself, to its formal and harmonic events? One senses a deep affinity in the compositional approach of these two great masters of Romantic harmony, but the literature does not help us to make our immediate intuition explicit.[113] There is no detailed analytic comparison of the styles of the two composers, perhaps because they chose such different musical genres.

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VI. SUMMARY.

In the literature as a whole, Kurth, Orel, and Wilcox appear to provide the most insightful analyses. The first two are the authors of pioneering works which -- our reservations notwithstanding -- make great contributions to Bruckner studies. Later works, including this one, owe a great debt to these authors, and can only build from their scholarship. Wilcox's recent dissertation is meticulous and perceptive, and utilizes effectively modern scholarly and analytic techniques.

Most other works have not generally aimed at the comprehensive level of those named above. Haas's book, for example, is perhaps the best of many that are devoted to general description and background. One cannot fault the authors of these works for not achieving more analytical insights, because this was not their intent.

The fundamental weaknesses exist in the literature on Bruckner's symphonies. The first concerns development; few writers have spelled out what they mean by the term, and those that do seem to regard it as a Beethovenian way of "contrasting and opposing the themes." Although writers list the various techniques of development, they do not describe their roles. Development outside the development section proper, though it accounts in large measure for the length of the movements, is ignored. Nor do analysts spell out the criteria by which Bruckner selects material for the development sections.

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The second main shortcoming lies in the treatment of harmony and form. Although authors note some particular harmonic traits (pedal points, altered chords, etc.), they seldom focus their attention on the relationship of harmony to form. Analysts have not observed, for example, that the second key area is an incomplete harmonic arch completed only by the closing section. Other important omissions include the harmonic structure of the development section and harmonic development within expository sections. Nor do the commentators see the coda, with its extended pedal points, as a necessary balance to the widespread chromatic motion which occurs during the body of the movement.

What we do find in the literature is much space devoted to description of themes. Sometimes this description is indeed analytic and enlightening; much of the time it is superficial and not worthy of serious consideration. The most original contribution to the literature consists of Kurth's attempt to combine dynamics, harmony, and form in one consistent overall approach. Although we have noted some reservations concerning this wave theory, it does aid in the comprehension of Bruckner's movements as architectural unities which can be clarified by diligent analysis.

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VII. NOTES.

1. Ernst Kurth, Bruckner, pp. 252, 254.

2. For further discussion of the wave theory, see below, p. 49.

3. Kurth, Bruckner, p. 336.

4. Ibid., pp. 529-37.

5. Alfred Orel, Bruckner, pp. 53-56, 65.

6. Ibid., pp. 73-96.

7. Robert Haas, Bruckner. Examples: Fourth Symphony, p. 125; Eighth Symphony, p. 146.

8. Ibid., p. 141.

9. Ibid. Examples: Third Symphony, p. 119; Fourth Symphony, p. 125; Fifth Symphony, p. 132.

10. August Gollerich, Bruckner, III/2, 62ff.

11. Doctoral dissertation, Florida State University, 1956.

12. Wilcox, Symphonies, pp. 99-123.

13. Ibid., p. 99.

14. Oscar Lang, Anton Bruckner, p. 75.

15. Werner Korte, Bruckner und Brahms, p. 25.

16. Egon Wellesz, "Anton Bruckner and the Process of Musical Creation," p. 270; Kurth, Bruckner, p. 365.

17. Max Auer, Anton Bruckner, p. 320. Throughout this paper, the designation of first movements of Bruckner symphonies will include a Roman numeral identifying the symphony; IV/1 thus refers to the first movement of Bruckner's Fourth Symphony.

18. August Halm, Die Symphonie Anton Bruckners, p. 214.

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19. Orel, Bruckner, p. 60.

20. Ibid., p. 28.

21. Lang, Bruckner, pp. 77-78.

22. Kurth, Bruckner, p. 364.

23. Ibid., p. 369.

24. Sergio Martinotti, "Anton Bruckner," p. 90.

25. Werner Wolff, Anton Bruckner, p. 166.

26. Korte, Bruckner und Brahms, pp. 29-31.

27. Wilcox, Symphonies, p. 30.

28. Halm, "Über den Wert der Brucknerscher Musik," p. 6.

29. Hans Schonzeler, Bruckner, p. 153.

30. Ibid.

31. Wolff, Bruckner, p. 165.

32. Orel, Bruckner, p. 84.

33. Ibid., p. 77.

34. We define strophes throughout this paper as two corresponding or parallel sections, each a period or longer in length.

35. Korte, Bruckner und Brahms, pp. 28-29, 33-34.

36. Orel, Bruckner, p. 78.

37. Wilcox, Symphonies, pp. 273-74.

38. Max Dehnert, Anton Bruckner, p. 199.

39. Wilcox, Symphonies, pp. 181, 184.

40. Orel, Bruckner, p. 80.

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41. Haas, Bruckner, p. 119.

42. Erwin Doernberg, Life and Symphonies of Anton Bruckner, p. 184. This passage is described below, p. 136.

43. Orel, Bruckner, p. 79.

44. See Note 39.

45. Orel, Bruckner, p. 80.

46. Kurth, Bruckner, p. 488.

47. Besides authors quoted in the following two notes, see Dehnert, Bruckner, p. 169, and Ernst Levy, "Bruckner's Want of Success," p. 163.

48. Wilcox, Symphonies, pp. 43, 316.

49. Wilfrid Mellers, Man and His Music: The Sonata Principle, p. 110.

50. Besides those quoted in detail, see Wolff, Bruckner, p. 167, Peter Benary, Anton Bruckner, p. 44, and Max Millenkovich [Morold]. Anton Bruckner, p. 42.

51. Wilcox, Symphonies, p. 42.

52. Karl Nef, Geschichte der Sinfonie und Suite, p. 252.

53. Leon Vallas, "La IVme Symphonie de Bruckner." Rudolph Louis, Anton Bruckner, p. 131.

54. Benary, Bruckner, p. 44.

55. Kurth, Bruckner, p. 402; Orel, Bruckner, pp. 31-32.

56. Halm, Symphonies, p. 223.

57. Orel, Bruckner, pp. 83-84.

58. See Robert Simpson, The Essence of Bruckner, p. 106; Armand Machabey, La Vie et l'oeuvre d'Anton Bruckner, p. 122; and Wolff, Bruckner, p. 212.

59. Wilcox, Symphonies, p. 208.

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60. Ilmari Krohn, Anton Bruckners Symphonien, vol. 1, p. 146. The quotation is taken from a discussion of the Second Symphony.

61. Kurth, Bruckner, p. 494; Korte, Bruckner und Brahms, p. 46; Orel, Bruckner, p. 86; and Wolff, Bruckner, p. 167.

62. Wilcox, Symphonies, p. 211.

63. Ibid., p. 173.

64. Ibid.

65. Orel, Bruckner, p. 10.

66. Halm, Symphonie, p. 185; Kurth, Bruckner, p. 543.

67. Kurth, Bruckner, p. 543.

68. Wilcox, Symphonies, p. 315.

69. Ibid., p. 264. The passage is discussed in detail below, p. 138 .

70. Orel, Bruckner, p. 20.

71. Kurth, Bruckner, p. 416.

72. Orel, Bruckner, p. 9.

73. Kurth, Bruckner, p. 574.

74. Wellesz, "Anton Bruckner," p. 274.

75. Kurth, Bruckner, p. 551.

76. Orel, Bruckner, p. 6.

77. Ibid., p. 10.

78. See below, p. 124 .

79. Krohn, Bruckners Symphonien, vol. 2, p. 59.

80. Fritz Oeser, Die Klangstruktur und ihre Aufgabe in Bruckners Symphonik, p. 44.

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81. Orel, "Zum Problem der Bewegung," pp. 223-34; Wilcox, Symphonies, p. 290.

82. Krohn, Bruckners Symphonien; these tabulations are given at the beginning of the discussion of each of the symphonies.

83. Simpson, Essence of Bruckner, p. 70; Schönzeler, Bruckner, p. 153.

84. Wilcox, Symphonies, p. 105.

85. Halm, "Über den Wert der Brucknerscher Musik," p. 593.

86. Kurth, Bruckner, p. 408; Doernberg, Life and Symphonies, p. 140.

87. Hans Grunsky, "Der erste Satz in Bruckners Neunter," pp. 110-12.

88. Simpson, Essence of Bruckner, p. 184.

89. Max Auer, Anton Bruckner, p. 484.

90. Göllerich, Bruckner, IV/3, p. 468; Orel, Bruckner, p. 87.

91. Haas, Bruckner, p. 154.

92. Kurth, Bruckner, p. 697.

93. Wilcox, Symphonies, p. 121.

94. Krohn, Bruckners Symphonien, vol. 3, p. 224.

95. For a further discussion of parallels between the two first movements, see below, p. 226.

96. See Note 27.

97. Kurth, Bruckner, p. 242, footnote.

98. Wilcox, Symphonies, p. 35.

99. Orel, Bruckner, p. 28.

100. Machabey, Bruckner, p. 87.

101. See Notes 52 and 53.

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102. Machabey, Bruckner, p. 129.

103. See Note 5.

104. Wolff, Bruckner, p. 167.

105. Kurth, Bruckner, pp. 465-66.

106. Ibid., p. 275.

107. Wolff, Bruckner, p. 167.

108. Kurth, Bruckner, p. 480.

109. Wilcox, Symphonies, p. 313.

110. Göllerich, Bruckner, IV/2, p. 29.

111. Wellesz, "Anton Bruckner," p. 271.

112. Korte, Bruckner und Brahms, pp. 124-28.

113. Lorenz's Geheimnis der Form bei Richard Wagner and Kurth's Romantische Harmonik und ihre Krise in Wagner's "Tristan" are perhaps the best works available. Quotations from Bruckner appear with some frequency in the latter.

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Chapter 3

DEVELOPMENT AND SONATA FORM IN SYMPHONIC FIRST MOVEMENTS FROM HAYDN TO BRAHMS

We next focus our attention on first-movement sonata-forms in the symphonic literature from Haydn to Brahms. Several purposes motivate this direction to our inquiry. First, we wish to pursue our clarification of the meanings of "development." As presented in the opening chapter, this term includes on the one hand both harmonic and motivic procedures, and on the other a sectional, formal meaning. Our definition must rely not only upon evidence from theoretical writings but also upon compositional practice.

Second, we seek to relate the meanings of development to the evolution of sonata form. This necessitates our noting what techniques are employed, where they appear, and how they are combined. A historically oriented discussion of these questions will trace the evolution of developmental concepts within sonata form.

A final reason for this aspect of our investigation concerns Bruckner. A proper evaluation of Bruckner's contributions to the techniques of development and to the evolution of sonata form implies a study of his predecessors and contemporaries.

Our survey, limited to first movements, will include the last six symphonies of Haydn, the last six symphonies of Mozart (omitting

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no. 37), all the Beethoven symphonies, the last five symphonies of Schubert, the last three symphonies of Mendelssohn, and all the symphonies of Schumann and Brahms. In selecting symphonies of Haydn and Mozart, our aim was to choose representative late works, although other symphonies by these two composers would obviously merit inclusion if artistic value were our only criterion. We omit the early symphonies of Schubert and Mendelssohn because they do not represent the composers' mature style. We include the symphonies of Brahms not because they necessarily had an influence on Bruckner but because of the different approaches of the two contemporaries to symphonic style. These differences are perhaps more instructive than the numerous personal anecdotes which have been recorded and handed down.

The restriction of our investigation to the genre of the symphony, which is motivated both by a desire to keep a uniform perspective and a necessity for limiting the materials to manageable proportions, may not result in complete pictures of composers' styles. Particularly in the Classical period, we find a more adventurous harmonic style in the solo and chamber music than in symphonies by the same composers. Chromaticism and modulation to distantly related keys are important ingredients of this harmonic freedom. Probable causes for the divergence of styles include the different types of audience ("public" as opposed to "connoisseurs") and the limitations on brass instruments

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and timpani which could not play in every key. The remarks below thus are not intended to include all sonata-form styles.

Our discussion will follow the sectional order of sonata form as the most convenient organizational scheme. After a brief consideration of overall form and proportion, we shall examine the various sections of sonata form. We shall then summarize salient points concerning the meanings of "development" which emerge from a study of the repertoire.

I. OVERALL FORM, PROPORTION, SECTIONALIZATION.

The presence of repeat signs at the end of most of the expositions immediately complicates the consideration of form and proportion in first movements. The only movements examined which do not contain such signs are Beethoven #9, Schumann #3, and Brahms #4.[1] Whether the expositions were genuinely intended for repetition and actually repeated in performance practice are major points of research which lie beyond the scope of the present study. We raise the question here only to emphasize that a simple tabulation showing the dimensions of the various sections of a movement may not fully describe its proportions.

The exposition without repeat is usually the same length or slightly longer than the recapitulation; some shortening of the latter results because the recapitulation does not modulate, although cuts may appear

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elsewhere. In some Haydn movements, the exposition may be up to one-third again as long as the recapitulation. The shortening of the recapitulation is especially notable in the last two symphonies of Mendelssohn, where, due to the elimination of repetition and transitional passages, the recapitulations may be less than half as long as the expositions.

The proportion of the development section to the outer sections varies widely. In some cases, it is significantly shorter than either of the outer sections (all Mozart and early Schubert examples on our list). In others, the three sections are approximately equal in length (Beethoven #5-7; Schubert #8). In still others, the developments are longer than either of the outer sections (Beethoven #3; Schumann #3; Mendelssohn #5), or even as long as the two outer sections combined (Schumann #1). Between the extremes, there are development sections which are about as long as the exposition and thus longer than the recapitulations (Beethoven #9; Mendelssohn #3,4; Brahms #1), and developments which are as long as the recapitulations and thus shorter than the expositions (Haydn #98-100). The relative length of the development sections thus demonstrates an evolutionary trend. Shorter developments predominate in Haydn, Mozart, and early Schubert. With Beethoven and his successors, the development occupies a larger portion of the overall structure.

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The coda also evolves in importance. In the symphonies of Haydn, Mozart, and early Schubert, the first movement may not even have a coda; if one exists, it extends the closing section at most by some twenty to thirty measures. With Beethoven, the coda increases vastly in importance; in Beethoven #5, for example, exposition, development, recapitulations, and coda are all of about the same length. In first movements by Beethoven, Schubert, Mendelssohn, and Brahms, the coda is usually substantial and may rank in length with the development or recapitulation. Extreme in proportion are Schumann #1 and #2, where the codas are longer than either the expositions or the recapitulations. In these movements, the developments are the longest sections, the codas next longest, and the expositions and recapitulations the shortest.

In Bruckner's first movements as in Mendelssohn's, the exposition is generally much longer than the recapitulation, instead of being approximately equal. The development usually is shorter than the exposition. Development and recapitulation exhibit varying length relationships. As in other nineteenth-century works, the coda forms a substantial segment of the first movement.

In our examples, the end of the exposition never comes to a complete stop. Often the cadence is immediately followed by a disrupting event (Mozart #40; Beethoven #9), or the closing cadence is shown by immediately succeeding events to be temporary (Beethoven

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#5, 8). Sometimes there is no cessation of motion at all (Mendelssohn #4, 5; Schubert #7, 8; Schumann #2, 3). In contrast to the expositions of Haydn's and Mozart's symphonies, which are generally marked off by distinct cadences, nineteenth-century composers favored continuing motion into the development section.

A clear cadence seldom separates the development from the recapitulation, although there are some exceptions (Haydn #103, 104; Brahms #4; etc.). The recapitulation most often ensues as the product of a series of inexorable forward-moving events. In Beethoven, the recapitulation may enter as the climax of the development. Except for Schumann #4, where the recapitulation is disguised by its appearance in the wrong tonality, there is no mistaking the arrival of the recapitulation.[2]

Varying degrees of cohesion connect the coda to the main body of the movement; the extremes are exemplified in Beethoven. In Beethoven #5, the coda sweeps in without so much as a pause, beginning on the second eighth-note of meas. 374. In Beethoven #7, there are two full measures of rest after a tonic ending, following which the coda begins. The other movements contain instances which fall somewhere between these examples of continuity and discontinuity.

In a Bruckner first movement, the end of the exposition is very clearly marked. Activity fades to a virtual standstill, and a very low dynamic level further reinforces the impression of complete rest. As

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in the works of the composers we have surveyed, the development and recapitulation are seldom separated by a clear cadence. The point of articulation between recapitulation and coda, however, is very clearly marked in Bruckner's first movements.

II. INTRODUCTIONS.

Most of the movements under consideration have slow introductions. The latter fall into two two basic types: those which make more or less explicit reference to subsequent thematic events and those which do not. Within the former type, some introductions have a modified version of the main theme, perhaps in a minor key (Haydn #98, 101). The introduction may present only a portion of the main theme (Schumann #1; Brahms #1). The introduction may contain motives which, though not related to any of the main themes of the movements, become integrated during the course of the movement (Schubert #7) or perhaps reappear in the coda (Schumann #2).

On the other hand, there are introductions which contain no explicit reference to anything later in the movement. We include under this category cases where the references are so subtle as to be arguable (Mozart #38). The introduction to Beethoven #7, for example, presents the subsidiary key centers of C major (relative major of the tonic minor) and F major, which play vital roles later,

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particularly in the development; the introduction itself, however, does not prefigure any of the thematic material to follow.

III. EXPOSITIONS.

The exposition typically consists of a first key area, a transition, a second key area, and a closing section, though this standard scheme is not always followed. Despite the variables of individual style, some basic conclusions emerge concerning the structure of the expositions. The first key area including the transition is generally the longest subsection of the exposition, sometimes reaching a proportion of several times the second key area (especially in Brahms first movements). In most of Beethoven's first movements (except the Ninth) the first and second key areas are more nearly equal. The second theme group is longer in only a few movements (Beethoven #3; Schubert #7).

The shortest part of the exposition is usually the closing section, where the new key, now established, receives a strong cadence through material generally cadential rather than melodic in nature. Until mid-period Beethoven, the closing section averages only several measures in length; after that, it grows to a typical length of about thirty measures. The principal exceptions to these proportions are Beethoven #9, where the closing section appears longer than the first theme group; and Brahms #2, where the second theme returns as a kind of epilogue,

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thus lengthening the closing sections.[3]

The proportions of Bruckner's expositions differ significantly in two respects. First, the second key area may be as long as or longer than the first key area. Secondly, the closing section is a fully equal member of the exposition and may even be the longest segment of it.

In the first movements we are examining, the first theme is usually presented by the violins or string section. Occasionally, the woodwinds may take on this task (Haydn #100; Beethoven #7; Schubert #6; Brahms #2). Less frequently, the full orchestra presents the theme (Mozart #35; Beethoven #8, 9; Schumann #3; Brahms #3).

The first themes of the movements under study feature for the most part stepwise motion. The leaps that do exist are usually triadic and are often subsequently filled in. This basic material is frequently handled in the most resourceful and varied manner. The main theme of Haydn #98, for instance, begins with an ascending major chord; some of the skips are then filled in by a series of leaps which return downward eventually to the tonic. The opening theme of Mozart #35 has a succession of octave leaps which in outline form a simple scalewise descent to the dominant. Leaps which do not define triadic patterns seem to become more common in the Romantic period (Schumann #3; Brahms #1, 4). As a general rule, the first themes of all the movement surveyed avoid chromaticism and, at the other extreme, empty fifths and octaves.

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Most of the first themes contain two or three distinct rhythmic and melodic motives, though, in some cases, one may distinguish more (Haydn #100, 102; Mozart #38; Beethoven #4; Brahms #3). Whether a given configuration is a motive or not can often be decided by observing the development section, where the motives are treated independently. There are a few first themes which concentrate on one motive and its varied repetition (Beethoven #5; Schumann #2).

A common though by no means universal feature is a symmetrical period structure based on four- or eight-measure phrases (Haydn #102-104; Beethoven #5-8; Schubert #5-8). In Haydn #101, the first theme has two phrases of five measures each, thus embodying a different kind of symmetry. In many first themes, initial two- or four-measure phrases impart a feeling of balance at the outset; subsequent phrases are spun out or extended, thus combining balance with forward impetus (Beethoven #1-4; all Mendelssohn and Brahms examples).

The first theme defines the tonic key area in the great majority of cases; hence the exceptions are more readily quoted than the typical examples. The supertonic (part of the subdominant area) may appear before a return to the dominant and thence to the tonic (Beethoven #1; Brahms #2). In Brahms #3 the relative major of the minor subdominant plays an important role in the statement of the main theme. In Brahms #4, the first theme touches on the subdominant of the relative major (C major) and the subdominant of the subdominant (D

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minor) before restating the tonic (E minor). This Brahms theme thus seems to contain a degree of harmonic development within itself, and in this sense it stands apart from the overwhelming majority of first themes, which do not stray from the tonic area.

The first theme may be strophically organized. Sometimes the strophes differ in instrumentation (Haydn #101; Mozart #39; Beethoven #4, 7; Schubert #5, 6). The second strophe may follow a passage devoted to subsidiary ideas (Beethoven #3; Mozart #38). The alternative to a strophic arrangement is that of a series of ideas leading immediately away from the first theme without restating it (Haydn #99, 103; Beethoven #1, 2, 5; Schumann #1, 3; Brahms #1 - 3).

The first theme proper usually occupies from one-quarter to one-half of the first key area (where a clearly detectable division exists); the rest consists of developmental continuation and transition. In the first movements of Schubert and Brahms (except Brahms #3), the theme occupies the smallest proportion of the first key area. In Beethoven's first movements, the theme itself extends to half the first key area. In the other movements studied, the proportions are somewhere between these limits.

Most of the movements under consideration contain subsidiary motives in the first key area. These motives are usually brief and do not have the high melodic definition and extended phrase structure of the main themes. The clearest instances of subsidiary motives occur in

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Haydn's first movements, where the main theme is often followed by a tutti based on triadic or scale-like figures. These subsidiary ideas are not insignificant; Haydn returns to them as material for later development (Haydn #99, 102; Mozart #38, 39).

The principal differences between Bruckner's first-key-area themes and those described above are intervallic, tonal, and formal. Bruckner favors themes with perfect intervals such as open fifths and octaves, rather than triadic themes. His themes often move quickly away from the tonic by chromatic motion, returning to the tonic eventually for the second strophe. Bruckner avoids closed antecedent-consequent phrase structures in favor of a larger balance between strophes.

In this paper, the transition is defined as extending until a point of arrival in the new key, after which the second key area begins. The transition passage can be thematically distinct (as in most Mozart and Brahms movements) or may grow out of previously heard material (Mozart #38; most Schubert first movements). Practice was not rigid in this matter; we find separate transitions in Beethoven #1, 2, 4, 6, and 8, but the opposite occurs in Beethoven #3, 5, and 7.

There is no single format for the transition. In Mozart #40, the transition grows out of what seems at first to be the second strophe of the main theme: After a brief transitional theme, a modulation leads to a half cadence. In Haydn #100, a transitional modulatory section based on several subsidiary motives leads to a return of the first theme

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in the new key area, after which the second theme appears. In Haydn #102, there are two transitions: the first develops fragments of the first theme and modulates, and the second introduces a subsidiary motive and continues the modulation to a cadence. In the symphonies of Mendelssohn and Brahms, the transitional sections are likely to be more distinct, with more independence of motivic content.

Motivic development frequently takes place within the first key area and transition. By far the most common developmental techniques employed are fragmentation, extension, sequence, and dialogue; these may be combined or juxtaposed. Fragmentation means using motivic parts of the theme rather than the entire theme as a melodic entity (Haydn #102-104; Mozart #35, 36; Mendelssohn #4, 5; etc.). Extension means the presentation of the beginning of a theme followed by a continuation which differs from the original series of events (Beethoven #2, 3, 5, 6; Schubert #5, 6, etc.).

Other developmental techniques appear more rarely. If the theme is restated in a lower register, a countermelody may be superimposed (Mozart #38, 39; Beethoven #4; Brahms #1). This technique is typical within Mozart's style. Chromatics play virtually no role in development within the first key area (Haydn #100 is a rare example). Imitation is also rare. (Its employment in Mozart #35 may be a product of the monothematic nature of the movement.). Inversion appears very seldom, usually in a casual way as an interjection or accompaniment

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(Haydn #101; Schubert #5). Instances of diminution are very rare, and are confined to short motives or fragments (Mendelssohn #5; Brahms #2).

The developmental techniques outlined above occur mostly during the transition; the modulation there is the crucial point of the entire exposition. When the movement is in a major key, the modulation is usually to the dominant. The most common basic route to the dominant is through the relative minor, which then functions as a subdominant area chord in the new key. Almost every one of the Haydn examples uses this basic technique (also Mozart #39, 41; Beethoven #6; Schubert #5). By a similar common-chord procedure, the relative minor of the dominant becomes the relative minor in the new key (Beethoven #7; Brahms #2). An even more economical, though not so popular, technique utilizes one of the main functional triads of the original key as the pivot chord. The original tonic may become the new subdominant (Mozart #35, 36), or the original dominant may function as a new tonic (Mozart #38; Beethoven #1; Mendelssohn #4).

When the movement is in a minor key, the procedures become less predictable. The customary goal in the eighteenth century is the relative major, usually approached through the common chord of the subdominant (Mozart #40). In nineteenth-century examples, the modulation may lead to the subdominant of the relative major (Beethoven #9; Schubert #4) or to the dominant minor (Mendelssohn #3, 5), and

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generalizations on the nature of the modulation become more difficult.

A number of other modulatory schemes exists, but none is so popular as those listed above. The tonic may function as a subdominant area chord, for example, en route to the relative minor of the dominant (Schubert #7; Schumann #3). The modulation may center around chords borrowed from the parallel minor; the relative major of the subdominant minor is the pivot chord in Beethoven #2, Schubert #6, and Brahms #3.

Beethoven is the seminal figure in the overall evolution of sonata-form modulation; he is the first (at least in symphonic works) to replace the diatonic common-chord modulation with increasingly chromatic pivot material. For his modulations, Beethoven draws on parallel modes, diminished chords, altered chords, and deceptive resolutions. It is thus in Beethoven's work that we cross the somewhat vague border between simple, direct modulation and harmonic development as such. After Beethoven and Schubert, common-chord diatonic modulations grow rarer, and longer transition key areas replace the shorter modulatory measures formerly encountered. The interrelation of harmonic expansion with the lengthening of the form thus becomes apparent. Bruckner does not deviate significantly from traditional practice in his transitional passages. The principal features of Bruckner's style of transition are his chromaticism and the unconventionality of his choice of tonality beginning the second key area.

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All of the movements under consideration have the second key area essential to the sonata idea, but not all of them have second themes. Some of the movements are monothematic, in which case the motivic material is the same in both key areas (Haydn #98, 104; Mozart #35). Sometimes, as in Haydn #104, the monothematicism is not total but is reflected primarily at the beginning of the second key area. In other cases, the identification of the second theme is somewhat problematical because its elements do not contrast highly with those of the first theme group (Beethoven #7; Schumann #4).

The great majority of the second themes contains wholly new motives which do contrast highly with earlier themes. In some cases, however, there are motives in common, implying that the second theme contrasts less with the preceding material (Haydn #101, 103; Beethoven #2; Mendelssohn #4). The second theme may also recede in importance through lack of either tonal or rhythmic stability (Brahms #1).

Several movements contain more than one second theme (Mozart #39, Beethoven #3, 4, 9). A type unto itself is the second theme group in Beethoven #6; it contains several melodic lines, three of which occur simultaneously in invertible counterpoint. Bruckner's treatment of second themes seems to be anticipated here.

No general pattern of phrase structure typifies the second theme groups. Some show evenly balanced phrases (Haydn #100-103; Mozart

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#36, 38 - 40; Schubert #4 - 7). Others are not symmetrically structured (Beethoven #3 - 5; 7 - 9; Brahms #1, 2, 4). There is no overall pattern to the asymmetry, and a detailed study of the various shapes would extend beyond our available space.

Motivic development frequently takes place during the second key area, though such development is not confined to the second theme itself. This development may concentrate on motives from the first key area (Mozart #41; Beethoven #2, 3, 7; Mendelssohn #3), from the second group (Beethoven #2 - 6; Schubert #4 - 8), from subsidiary ideas (Haydn #98; Mozart #39) or from the introduction (Schubert #7).

The various techniques of motivic development within the second key area differ somewhat in emphasis from those found in such development within the first key area. Extension of the theme becomes the most widespread device (Haydn #100, 101; Beethoven #1, 3 - 5; Brahms #1, 2, 4). Fragmentation remains a popular device (Schubert #5, 6, 8; Mendelssohn #3, 5; Brahms #1, 2). Sequence (Beethoven #1, 5), dialogue (Beethoven #8; Schubert #6, 8), and imitation (Beethoven #2, 7) appear less often than in the first theme group. Diminution (Schubert #7; Mendelssohn #5) and inversion (Brahms #3) appear least of all; diminution is usually relegated to transition passages.

Within the second key area, harmonic development receives greater stress than within the first key area. We have already noted that until Beethoven the modulations to the second key area are economical key

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changes accompanied by motivic development. We considered harmonic development as occuring only when a significant harmonic digression takes place. Once in the second key area, however, harmonic motion is in a sense structurally gratuitous; the digression eventually returns to the second key area, thus prolonging it. Harmonic developments of this nature occur sporadically in Beethoven (#1, 3, 5) and become one of Schubert's most distinguishing characteristics, exemplified in all his first movements under consideration.

There is generally only one second key area in the movements we are examining. In several cases, however, we need to speak of the expansion of the second key area through excursion (Haydn #102; Mozart #36; Beethoven #4; Schubert #4, 6, 7; Schumann #1-3; Brahms #2). Usually the relative minor of the second key area becomes prominent. In all the cases cited above (except Schubert #4) the second theme group eventually settles into the orthodox key of the dominant or relative major.

The usual second key area is the dominant or relative major, but exceptions exist. Schubert #7 has a second theme in the relative minor of the dominant which moves to the dominant only after a very long harmonic development. In Brahms #3, third-relationships play an especially important role. The first key area is F major, the second key area A major; the exposition closes in A minor (relative minor of the dominant).

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When the home tonic is minor, there is apparently more freedom in the choice of the second key area. The relative major is the most common selection. The relative major of the subdominant (or the subdominant of the relative major) serves as a possible alternative (Beethoven #9; Schubert #6, 8). In Schubert #6, harmonic development leads through a circle of keys related by major thirds. The tonic C minor yields to A-flat major for the second theme, followed by digressions through E major and C major before returning to A-flat. Mendelssohn is fond of substituting the dominant minor for the relative major (Mendelssohn #3, 5). Brahms treats the second key area with ingenuity. In Brahms #1, the second key area is the parallel minor of the relative major (this kind of modal mixture is not uncommon, even in the Classical period); in Brahms #4 the major dominant is the second key center.

Beginning with late Beethoven and Schubert, the treatment of the second key area becomes freer. Where Haydn, Mozart, and early Beethoven might venture no further than the relative minor of the new key, nineteenth-century composers significantly extended their departures from the new key within the second key area. The presence of an unorthodox key area, or of two second key areas, is part of the tendency towards increased harmonic freedom.

The second key area may come to a clear conclusion or instead lead imperceptibly into the closing section. Allowing for the impreci-

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sion of the term "clear conclusion," we may nonetheless observe that in the works of Haydn, Beethoven, Mendelssohn, Schumann, and Brahms, the general tendency is for the two sections to mesh so that the listener is not conscious of any hiatus before the closing section begins. In Mozart and Schubert, on the other hand, there is often a clear full or half cadence which announces the end of the second theme group.

The second key area in a Bruckner exposition is likely to be incomplete harmonically, requiring the closing section to establish the orthodox key at the end of the exposition. Prominent sixths and sevenths make Bruckner's second-key-area themes readily recognizable. The themes are further distinguishable by their string timbre, their degree of polyphonic writing, and their repetition of short two- or four-measure rhythmic motifs.

The purpose of the closing section is to provide an expanded cadence in the new key; almost all the movements under study have some kind of closing section at the end of the exposition. As a general rule, the closing section refers motivically to previously heard material. The most common relationship is between closing material and the first theme group (Mozart #38, 40, 41; Beethoven #1, 2, 5, 7). The second theme group may also figure in the closing section (Haydn #101, 103; Schubert #7, 8). Less often, subsidiary material reappears in the closing section (Haydn #98, 99; Mozart #38). The closing section may

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simply expand a cadential formula with passage-work including triadic or scale-like figures (Haydn #100, 101; Beethoven #3). Beginning with Beethoven, independent melodic material becomes more frequent in the closing section (Beethoven #1, 2, 6, 8, 9; Schubert #4 - 6).

On rare occasions, the closing section contains several ideas (Mozart #41; Beethoven #8; Mendelssohn #3). Beethoven #9 is unequaled in this regard; the closing section is almost as long as the first theme group and contains at least five short separate motives of a cadential nature, only one of which is directly traceable to the first theme group.[4]

Some closing sections have unusual features. In Mozart #39, both the first and second theme groups have the same cadential material; the exposition thus divides into two main sections without a separate, independent closing section. In Brahms #2, there is an apparent closing section followed by a return to the second theme to end the exposition. Thus there is either an epilogue to the exposition (as in Bruckner's style) or a second theme group in A - B - A form. The second hypothesis is somewhat weaker because it ignores the differences in key between the two statements of the second theme.

In all but two cases, the key center of the closing section continues from the second theme group. In Brahms #2, however, the second theme begins in the relative minor of the dominant (F-sharp minor), and the closing section establishes the orthodox key of the

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dominant. In Brahms #3, the second key area is in the major mode of the relative minor of the dominant; the closing section establishes the relative minor of the dominant.

Development is not a principal feature of the closing sections. Fragmentation and extension do play a role, and dialogue (as in Beethoven #1, Brahms #2) also appears. Imitation occurs rarely (Schubert #8), likewise inversion (Brahms #1) and thematic combination (Beethoven #9, Brahms #1). Harmonic development seldom appears within the closing section (Brahms #4), inasmuch as the main purpose is to establish a key, not depart from it. Where a movement is monothematic (Mozart #35), the closing section is by necessity a further development of the main theme, perhaps including diminution, inversion, or counterpoint. In Bruckner, on the other hand, the closing section always presents substantial harmonic as well as motivic development and equals the length of each of the first two sections of the exposition. Bruckner's expositions thus achieve their greater length through extensive harmonic and motivic development in all three subsections.

IV. DEVELOPMENT SECTIONS.

Development sections exhibit various types of organization based upon the content and articulation of their subsections. At one extreme, we cite the development section of Mozart #40, with its two

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subsections both devoted to the progressive shortening of the opening phrase of the first theme. At the other extreme, we may cite the development section of Beethoven #9, with its contrasting subsections based on various motives and key areas.

At times, we may discern overall patterns of organization in development sections. In Haydn #99 and #100, for example, A - B - A form seems apparent. The development of Haydn #104 has one basic recurring motive, separated by episodes. Lorenz has analyzed the development section of Beethoven #3 in terms of barform.[5] The long-term sequences of Beethoven #6 and all Schumann first movements help determine their organization.

As a general rule, the development section does not establish new keys; tonic-dominant alternations form the limit of harmonic definition of such keys. These new key centers, not established by all three key functions, are essentially expansions of passing harmonic motion. Exceptionally, however, a new key center, usually the relative minor, will cadence fully in the development (Haydn #98, 101).

Key centers diatonically related to the original tonic appear with great frequency in the development section. Every movement under consideration contains passages which move through these closely related keys. If the norm of harmonic movement is to diatonically related keys, harmonic complication often results from modal borrowings. These

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borrowings permit the free substitution of major for minor, and vice versa. Examples of these key relationships occur only occasionally in Haydn and Mozart, more frequently in Beethoven and his successors. In Beethoven #7, for example, the development traverses C major and F major, both borrowed from A minor, both prominent in the introduction. Another example occurs during the development of Brahms #2; there is motion to B-flat major (relative major of the minor subdominant) and then through keys diatonically related to B-flat.

A further degree of complexity results from motion to harmonic areas related by thirds. This kind of motion is less common, and most examples come from nineteenth-century music. Third-related motion becomes a harmonic motive in Brahms #3, perhaps implied by the first theme itself. The presence of A major as the second key area in the exposition is a harbinger of the third-related keys in the development.

The most intense kind of harmonic motion stems from chromatic relationships (Mozart #40; Beethoven #3, 4; Schubert #4, 8; Schumann #2, 4; Brahms #3, 4). Chromatic relationships rarely play a functional role in delineating large sections of the development. To that extent, chromatic relationships are less widespread than diatonic. Most of the examples take place in movements or passages in the minor mode, and nineteenth-century music again accounts for most instances.

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The tonic key rarely appears during the development section, especially in its original mode; tonic chords may appear, but usually do not carry a tonic function. Only Haydn #103 prominently features the tonic during the course of the development, but there is immediate motion away from it, as an extended stay would rob the recapitulation of much of its impact.

Two harmonic methods of construction merit mention because of their architectural implications. The first is the employment of the circle of fifths to tie together a large subsection of the development (Mozart #35, 40; Beethoven #8; Mendelssohn #4). The second utilizes long stepwise bass motion to the same purpose (Haydn #101, 102; Mozart #41; Schubert #8; Schumann #4). In Mozart #41, this stepwise ascending bass forms a kind of motive in itself; its most notable reappearance is in the last movement, at the beginning of the recapitulation (meas. 233-52).

The great majority of the movements under study prepares the return of the recapitulation with an extended dominant chord, sometimes in the form of a pedal point. In a few cases, however, the dominant preparation is extremely short. Beethoven #1 prepares the dominant of the relative minor (tonic substitute); Beethoven #2 similarly prepares the dominant of the relative minor of the dominant. Both examples shift to the dominant only immediately before the recapitulation.

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In some exceptional cases, there is no dominant preparation at all (Beethoven #4, 5). If the recapitulation does not begin in the tonic (Schubert #5, 6), the lack of dominant preparation is not surprising. In both Mendelssohn #4 and Brahms #2, the dominant appears as part of the recapitulation, rather than beforehand. In Schumann #3, a parenthesis interrupts the dominant before the tonic begins the recapitulation.

Given a proportionately short development section and an extensive dominant preparation, one may imagine the entire development as an expanded dominant (Mozart #35, 36). In a sense, such movements reflect earlier, simpler stages in the evolution of sonata form.[6]

Bruckner's approach to the harmonic aspect of development contrasts strongly with some of the features listed above. Third-related and chromatic motion play leading roles within the subsections. Although dominant preparation may precede subsections, the main keys of adjacent subsections usually embody a diatonic relation other than by fifths. Circle-of-fifths motion is significantly rarer in Bruckner as a structural device, though ascending bass lines (especially with chromatic harmonizations) are a principal element of his style.

The choice of thematic and motivic material for development is free. In no case do composers give approximately equal time to each of their main ideas. Usually they single out that motivic material which

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lends itself best to developmental procedures. Most often, the development focuses on the first theme group (most Mozart, Beethoven, and Brahms movements) even to the exclusion of any other material.

The closing theme does not usually receive prominent treatment, possibly because it immediately precedes the development. The development sections which do devote some time to closing section material are therefore noteworthy (Mozart #36, 41; Beethoven #8; Schubert #6; Brahms #1, 4).

In some highly remarkable cases, the first theme does not appear in the development at all (Mozart #36, 39; Schubert #5). This occurs only when the development section is proportionately short.

There are even more remarkable cases where wholly new melodies are introduced in the course of the development (Beethoven #3; Schumann #1; Mendelssohn #4; Brahms #1). In some of them, the new theme reappears later in the coda (Beethoven #3; Mendelssohn #4).

In most of the movements we are examining, the development begins with a short bridge section or introductory transition to the main events of the development. The development section may, however, begin without preliminaries (Haydn #101, 104; Mozart #35; Beethoven #8; Schumann #1).

The basic motivic techniques in development are fragmentation, extension, dialogue, and sequence; these devices frequently coexist and are so common that they need no documentation. A distinction

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should be made, however, between large-scale and small-scale sequence; we define the former as having units eight measures or longer. Large-scale sequence is as much an architectural factor as a developmental technique (Beethoven #6, 9; Schumann #1, 2, 4).

Another distinction concerns imitative dialogue, which we regard principally as dialogue rather than imitation. Even in combination with invertible counterpoint (Mozart #40), the principle seems to be one of deploying repetitions throughout various orchestral ranges rather than constructing the continuous polyphony implied by a strict definition of imitation.

Polyphony and strict imitation are less common than fragmentation and sequence but nonetheless play a crucial role when they appear. Polyphony need not include imitation (Haydn #102; Mozart #38; Beethoven #2, 3, 9; Schumann #3; Mendelssohn #3, 4; Brahms #2). When they occur, imitation and fugue are crucial to the development (Haydn #102, 103; Mozart #35, 41; Beethoven #3, 7, 9; Mendelssohn #3; Brahms #2, 3).

Augmentation and diminution occur rarely, and then only in limited roles. The primary motives of the main themes of Schumann #1 and Mendelssohn #4 appear in augmentation during the retransition to the recapitulation; the augmentation is not so much part of a developmental process as it is a way of anticipating the recapitulation. Diminution never applies to an entire theme, but rather to a short fragment or motive (Brahms #2). The effect of diminution may be given if part of

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a motive is shortened (Beethoven #9). We neither find diminution of extended phrases nor compounded diminution among our examples. Its occurrence is usually transitional rather than structurally important (Mendelssohn #3).

Inversion plays a significant role in Brahms #1 - 3. Prior to Brahms, its appearance is sporadic and it plays a relatively unimportant role (Haydn #101; Schubert #8; Mendelssohn #3). In Beethoven #6 there is a brief use of simultaneous inversion, but the device is not crucial to that development section.[7]

The contrapuntal combination of motives from various theme groups is a technique which sometimes appears in development sections (Haydn #99; Mozart #38, 40; Beethoven #3, 4; Schubert #7; Schumann #2, 3; Mendelssohn #3; Brahms #1, 2). We have not encountered this technique at all in the expositions, probably because the expositions present the material which is later to be combined. Motivic or thematic combination implies that both (or all) the motives must be in recognizable form. If we included indirect allusions or derivatives from other motives, the list of examples would naturally be far greater.

There a few development sections which bring out latent relationships between the theme groups, particularly their rhythmic elements. An example of this technique occurs in the development of Haydn #100; here the rhythmic figure  which occurs at the end of the first

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theme becomes the main motive of the second theme; the development underlines this connection. The development of Beethoven #2, in two large subsections, concentrates in turn on each of the first two theme groups. Both subsections culminate in the rhythm  , an element common to both themes.

A sophisticated technique, found in Brahms especially, is the evolution of new melodic shapes from motives of the original themes. In Brahms #2, the opening measure, inverted and extended by sequence, becomes a melodic line, treated for a short time in dialogue (meas. 266-81). The same technique in Brahms #4 is applied to a fragment of the closing theme, the first theme appearing as a chordal accompaniment. (The first theme appears in this guise in the exposition as well.) Both the above examples occur shortly before the recapitulation.

Sometimes motivic foreground activity yields entirely to harmonic activity. In these cases the motivic action either stops completely (Beethoven #5) or else consists of short, repetitive figures (Beethoven #6 - 8; Schubert #8; Schumann #4; Brahms #4).

Bruckner's approach to motivic development differs substantially from that of his predecessors. He apparently lacks interest in fusing the various thematic elements of the exposition into a polyphonic working-out. Instead, the subsections of his development sections usually focus on one aspect of the material at a time. Although Bruckner

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does resort to fragmentation, one of the foremost characteristics of his style is the way in which a principal motive is retained and treated by inversion, augmentation, and diminution.

V. RECAPITULATIONS.

The recapitulations often feature cuts, additions, reorganizations, and further developments.[8] The principal cuts usually affect the first theme area; the balance of the exposition may follow intact in the tonic. Sometimes the closing section is cut entirely (Schumann #1, 3; Mendelssohn #4). Frequent modifications characterize the transitions, which do not carry the same modulatory function as in the expositions. Some recapitulations include a temporary excursion to a new harmonic area, thus combining harmonic development with motivic processes (Mozart #40, 41; Beethoven #3, 7; Schubert #5, 7, 8). These digressions are in the nature of parenthetical shifts rather than structurally important departures.

Normally, the first theme returns in the tonic. Like any generality, this one has some exceptions. Schubert #4 recapitulates the first theme in the dominant minor. Schubert #5 places the first theme in the subdominant; he can thus in both cases retain the transition to the second key from the exposition, transposing it in the recapitulations. In Schumann #4, it is difficult to locate the recapitula-

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tion at all; the most probable place is the return of the first theme group in the dominant minor (meas. 249). Given the freedom of sonata-form treatment and the cyclic nature of this symphony, one should probably not consider the movements of the work in isolation.

When the second theme group in the exposition is not in the orthodox key, its recapitulation may differ correspondingly. In Haydn #102, the exposition of the second key area includes the relative minor of the dominant; the recapitulation then includes the relative minor of the tonic. The second key area of Schumann #1 begins on A minor, the relative minor of the dominant in F; in the recapitulation, D minor, the relative minor of the home dominant, appears instead. The relative minor of the dominant may be replaced by the relative minor of the tonic in the recapitulation. In Brahms #2, the original second key area includes the relative minor of the dominant, and the dominant; they are transposed in the recapitulation to, respectively, relative minor and tonic. The original second key area of Brahms #3 (major and minor modes of the relative minor of the dominant) is transposed in the recapitulation to the major and minor modes of the relative minor. Schubert #8 has a second theme area in the subdominant of the relative major, recapitulated in the relative major. The most unusual treatment of the second key area occurs in Beethoven #8. Here, the recapitulation of the second key area is <u>not</u> a transposition of the

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parallel place in the exposition; both, however, begin in a "wrong" key. In the exposition, the subdominant is the pathway to the "wrong" key; in the recapitulation, the "wrong" key is the subdominant itself.

Despite the exceptions we have adduced, we find that in the recapitulations parallel substitutions replace unusual key centers in the exposition. Freedom in the treatment of key centers seems to begin with Beethoven and Schubert and is found extensively in nineteenth-century music.

We should not be surprised, therefore, to see that in Bruckner's mature recapitulations, a freedom of harmonic treatment occurs. In his late symphonies, especially VII/1 and IX/1, we will find extensive harmonic departures from the tonic; these departures are in the nature of miniature development sections included in the recapitulations. We may briefly sum up his practice by noting that in his late symphonies, the concepts of recapitulation and development seem to merge.

In the recapitulations, the favorite place for additional development is somewhere within the first key area (Mozart #38, 40, 41; most Beethoven examples), and perhaps in the transition (Beethoven #8; Schubert #5; Schumann #2). The section corresponding to the second key area may contain additional development (Haydn #99-101; Mozart #39-41); at this point in Haydn #101 there is a literal quotation from the development section. Occasionally, the closing section may receive new treatment (Haydn #103 - 104; Brahms #1, 4).

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Fragmentation, a popular device in earlier developmental passages, largely recedes in the recapitulations (an exception is Haydn #101). Imitation is also comparatively rare (Schubert #7). Instead, expansion or extension through sequence and dialogue appear more frequently (Haydn #99, 100; Mozart #40, 41; Beethoven #7, 9; Schubert #5, 7; Mendelssohn #3; etc.). The recapitulation may begin with augmentation (Schumann #1; Brahms #4), but the latter is only peripherally a developmental feature, as the augmentation serves principally to underline the arrival of the main key and theme.

Some new devices play important developmental roles in the recapitulations. The addition of chromatics to formerly diatonic themes is a favorite device of Mozart's (#38 - 41). Countermelodies or contrapuntal treatment may contribute to development (Haydn #104, Beethoven #4, 6 - 8). These contrapuntal features are usually not prominent enough to deflect the recapitulations from their main function -- the restatement of themes in the main key.

We have already mentioned that in his last symphonies, Bruckner tended to merge the ideas of development and recapitulation, so that the restatement of thematic ideas becomes a new pretext for developing them. In the early and middle symphonies, his treatment of the recapitulation does not depart significantly from that of his predecessors or contemporaries, except for the extreme cuts. These cuts often mark

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the omission of developmental passages from the exposition; their re-occurrence during the recapitulation would have been redundant.

VI. CODAS.

The coda, a final, concluding section, is in the large sense, an expanded tonic cadence, and usually begins on the tonic. We have already mentioned its evolving importance in the works of Beethoven and commented on the varying degrees of its cohesion to the body of the movement.[9]

The coda usually remains within the tonic. Extended passages in new keys begin with Beethoven, who ventures chiefly into the sub-dominant area or its substitutes (Beethoven #3, 6, 9). Chromatic progressions are popular Romantic devices in building tension for the final cadences (Beethoven #2, 7; Schubert #7; Mendelssohn #3; Brahms #2). Such passages border on harmonic development.

Bruckner's codas have a wide range of harmonic styles. Some remain within the tonic or stay very close to it; others venture far afield. As we shall see, the codas of VI/1 and IX/1 contain passages in which the harmonic treatment is similar to that of a development section.

In the great majority of the movements studied, the first theme group is the source of coda material. Occasionally the source is the

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second theme group (Haydn #100, 103), and sometimes the composer draws on both theme groups (Beethoven #3, 5; Schumann #2; Mendelssohn #5). More rarely, the closing section forms the basis of the coda (Mozart #36; Brahms #3), possibly combined with ideas from the first theme group (Beethoven #2, 6, 8, 9). A favorite Romantic device is the return of introductory material in the coda (Schubert #7; Schumann #1; Mendelssohn #3; Brahms #1). In several instances, material from the development section reappears in the coda (Beethoven #3, 9; Mendelssohn #3, 4). The transition between first and second key areas provides least material for the codas.

The coda may present new thematic material. Such material most often consists of passages which are essentially scales and chords (Haydn #103, 104; Schubert #4). On occasion, however, the coda may contain a genuinely thematic idea not previously heard (Schumann #1, Mendelssohn #4).

The coda generally contains an assertion of the triadic components of the theme. This usually involves motivic development, particularly fragmentation of the theme (as in most Beethoven, Schumann, Mendelssohn, and Brahms examples). Thematic extension and dialogue are also common (Beethoven #4, 5, 7, 8; Schubert #6 - 8). Most of the other devices which we associate with thematic development, such as sequence, imitation, augmentation, and diminution, are much less in evidence. Inversion hardly ever appears in the coda (possibly in Brahms

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#1). Polyphony plays a negligible role, though countermelodies appear on occasion (Beethoven #3). Several codas combine themes or fragments of themes from the exposition (Beethoven #4, 9; Mendelssohn #4; Brahms #1, 2).

Bruckner's codas also assert the triadic features of the main first theme. They do not differ significantly from other composers in motivic development, with the exception of V/1 which contains a quotation from the development section.

VII. SUMMARY.

The following summary has two purposes. The first is to consolidate the results of our inquiry into the meanings of "development" as exemplified in symphonic first movements. Second, the resulting data will form a checklist against which we can superimpose the results of our analysis of Bruckner's first movements, presented in the following chapter.

In the symphonic first movements examined, we have found that the exposition is usually longer than the recapitulation. The development section varies in length; it is generally shorter than the outer sections in Haydn and Mozart and becomes more prominent beginning with Beethoven. Beethoven is also the central figure in the lengthening of the coda; prior to his symphonies, the coda is very brief (the last

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movement of Mozart #41 is a distinct exception).

The end of the exposition never gives a feeling of finality, especially in nineteenth-century works. Similarly, the development usually leads into the recapitulation; at times, the recapitulation is the climax of the development. The coda varies in its cohesion to the body of the movement.

The first key area is generally the longest part of the exposition; the closing section is generally the shortest. Prior to Beethoven, the closing section is only a few measures in length; with Beethoven and his successors, the closing section is usually about thirty measures long.

The first themes are generally stepwise or triadic and avoid chromaticism. Most of the themes contain two or three identifiable motives. Balanced phrases provide a feeling of symmetry. Sometimes there are short two- or four-measure phrases spun out into longer entities. The function of the first theme is to define the tonic area; very few first themes stray outside this tonal area. The string section typically presents the first theme; the usual alternative is presentation by the full orchestra. The first key area may be organized strophically. The first theme itself extends from one-quarter to one-half of the first key area; the rest consists of development and transition. Subsidiary motives are usually brief and do not attain clear melodic definition.

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The transition varies in its distinctness from the rest of the first theme group. Motivic development, often concomitant with the modulation, typifies the transition. The favorite developmental devices are fragmentation, extension, sequence, and dialogue. Other devices, such as countermelodies, imitation, chromatics, and diminution, appear much less frequently. The simple common-chord modulations of Haydn and Mozart (in which, most typically, the relative minor becomes a subdominant function in the new key) yield to Beethoven's utilization of more chromatic pivot material. In effecting modulations Beethoven draws on parallel modes, diminished and altered chords, and deceptive resolutions.

Except in monothematic movements, the second key area contains distinct motivic material. There is no one typical phrase structure. Motivic development within the second key area may involve material from earlier sections. Thematic extension is the most popular technique, with fragmentation next in popularity. Sequence, dialogue, and imitation do not appear so frequently as they did in the first key area.

Harmonic development within the second key area becomes prominent in Beethoven and Schubert. Some movements have more than one second key area, and others, particularly nineteenth-century examples, may have a second key area not in the orthodox dominant or relative major. There is no typical way in which the second key area leads into the closing section.

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The closing section often contains thematic references to the first theme group. The closing section generally continues the key of the second key area. There is little development in the closing section; what there is often utilizes fragmentation and extension. Harmonic development plays a very small role, as the purpose of the closing section is to cadence in the new key, not depart from it.

Harmonic development is a vital part of the development section. The key centers range from diatonically related keys to keys based on parallel modes, third-related keys, and chromatically related keys. The tonic seldom reappears during the development. As a rule, the development section touches on new keys without establishing them; "expanded passing motion" best describes the role of such subsidiary keys. Two favorite harmonic-architectural devices are progression along the circle of fifths and long stepwise (often chromatic) bass motion. The dominant preparation typical at the end of the development may take the form of a pedal point.

Motivically speaking, the first theme group typically but not necessarily provides the material for the development section. So varied is the practice that there are even first movements which omit the first theme entirely from the development. Favorite motivic techniques are fragmentation, extension, dialogue, and sequence (both large- and small-scale). Polyphony and imitation, though less common, play an important role when they do appear. Augmentation and diminution

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are extremely rare. Inversion, typical in Brahms, appears only sporadically elsewhere. Motivic or thematic combination, resynthesis, and exploitation of common motives, though striking developmental techniques, are not so common as they are perhaps imagined to be.

The recapitulation generally has both first and second theme groups in the tonic key, though there are numerous exceptions to this principle. These exceptions, which begin in Beethoven and Schubert, usually occur after expositions with unorthodox second key areas. Cuts in the recapitulations usually apply to the first theme group. New developmental passages may appear, particularly in the first theme group and the transition. Instead of fragmentation, the favored developmental techniques become extension through sequence and dialogue. The addition of countermelodies or chromatics (or possibly both) contribute further to development. Excursions into new harmonic areas are rare, except where there are parallel similar excursions in the expositions.

The primary source of coda material is the first theme group, although the introduction or other theme groups may serve. The coda generally asserts the triadic components of the theme. Fragmentation forms the principal developmental technique, with dialogue and extension playing subsidiary roles. Some codas feature combination of thematic ideas. Most codas remain in or close to the tonic, although

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in nineteenth-century music chromatic passages may build tension, and there may be a digression into a new key area.

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VIII. NOTES.

1. In this chapter, all references to composer and symphony number designate the first movement of the symphony indicated.

2. For further discussion, see p. 100.

3. In Beethoven #9, I consider the second theme group to be extremely short (meas. 74-101), the closing section thus comprising the balance of the exposition. While it might be preferable to consider everything from meas. 74 on as second key area, without further differentiation, there seems to be a repeated attempt at cadential finality after meas. 101.

4. See previous note.

5. Alfred Lorenz, "Durchführung im I. Eroicasatze."

6. Cf. Ralph Kirkpatrick, Scarlatti, especially p. 268.

7. See bassoons, meas. 259-62.

8. Cf. Charles Rosen, The Classical Style, p. 208. Rosen suggests a "second development."

9. See pp. 73, 74.

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Chapter 4

DEVELOPMENT IN BRUCKNER

There are three principal aims to our analysis of Bruckner's symphonic first movements. The first is to clarify Bruckner's concept of development in both the harmonic and motivic senses defined earlier. The second is to relate Bruckner's developmental practices to the concept of sonata form. The third is to differentiate Bruckner's compositional procedures from those of his predecessors.

Sonata-form design again provides the organizational plan for this analysis, thus producing four main divisions: exposition, development, recapitulation, and coda. Our discussion of each of these divisions begins with a consideration of overall design, includes a detailed analysis, and examines harmonic and motivic development wherever present.

Before we begin the analysis proper, several procedural questions need resolution. Our examination is limited to the first movements of Bruckner's symphonies. Sonata form in the first movements provides a common set of hypotheses from which many composers worked. The finales, as Kurth notes, "are not based on the same sonata form as guides the first movements."[1] The presence of rondo and mixed forms, noted by Kurth, make a comparative analysis impossible. Furthermore,

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the last movements were continually reworked by Bruckner, whereas the first movements are relatively untouched by revisions.

Our examination also excludes the two earliest unnumbered symphonies, in F minor and D minor. Bruckner felt that neither of these works was worthy of publication. They contain occasional flashes, but neither represents the mature style of the composer. (In fact, we can adduce numerous reasons why the First Symphony, in C minor, might belong in this category as well.)[2]

The comparative lack of revisions in the first movements of Bruckner's symphonies makes a detailed comparison of editions unnecessary. Most of the revisions in the first movements precede the initial publication of each work (e.g., the excision of the Wagner quotations in III/1).[3] The prefaces to the Nowak edition of the scores (used in this study), Haas's similar prefatory remarks, and Schönzeler's listing of the various editions provide any supplemental information required on this point.

I. EXPOSITIONS.

The exposition of a Bruckner first movement follows the traditional pattern: first key area including transition; second key area; and closing section. The first key area usually is constructed in two

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strophes, with the transition growing out of the second strophe. The first strophe usually includes passing references to a number of key centers other than the tonic. Motivic development frequently occurs in the latter part of each strophe.

The second key area, after III/1, is not a self-sufficient harmonic entity, but requires the closing section for the full establishment of the dominant or relative major. Strophic organization is the usual formal basis of the second key area. As in the first key area, motivic development takes place in the latter part of each strophe, and harmonic development becomes prominent after the early symphonies.

The closing section is much greater in length than one finds in the works of Bruckner's predecessors; this length is perhaps necessary for the full establishment of the new tonic. Motivic and harmonic development account for much of the length of the closing section. An epilogue usually ends the exposition on a note of subsidence.

A. First Key Area.

In Table 1 (following page), we see that the first key area (including the transition) generally occupies about one-third of the exposition and thus does not differ significantly from the practice of previous composers. The principal exceptions are I/1, III/1, and IX/1. The first of these probably does not represent Bruckner's mature

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Table 1

Formal Articulation and Proportions in First Key Area and Exposition

Movement	Measures, First Key Area, Exposition.	Ratio, First Key Area to Exposition	Formal Articulation of First Key Area
I/1	44, 106	2:5	17 + 11 + 16 A1 A2, A3 A1
II/1	62, 177	1:3	26 + 36
IV/1	74, 192	3:8	50 (2 + [16 + 24][a] + 8) +24[b]
V/1	50, 174[c]	2:7	28 + 22
VI/1	48, 144	1:3	2+22 (12 + 10) + 24(12 + 12) A2 A3 A2 A3
VII/1	50, 164	1:3+	39-1/2 (24 +15-1/2)[a] + 10-1/2
VIII/1	50, 152	1:3	22 + 28
III/1	100, 254	2:5	66 (30 + 36) + 34 (20 + 14) A B A B
IX/1	96, 226	4:9	18 + 44 + 14 + 20 A1 A2-5 A6 A7

a. Two strophes.
b. Transition.
c. Excluding the introduction.

architectural technique. The last two are grouped together because they have two main themes in the first key area. This perhaps accounts for the larger proportion of the exposition occupied by the first key area.[4]

Table 1 also reveals the generally bipartite arrangement of the material in the first key area. With some caution, we describe the resulting form as strophic; our detailed analysis will show that the second strophe includes both intensified restatement and developmental transition.

Motivic and harmonic development occur primarily in two places within the first key area. The first of these locations is before the second strophe; here fragmentation plays a leading role, for the purpose is to gather momentum for a forte restatement of the principal theme in the second strophe. The second main place of development occurs during the transition which ends the second strophe; it involves sequences, fragmentation, and interval alteration.

1. First Themes.

a. Harmonic Aspects of the First Themes. In the works of earlier composers, the first theme was virtually a symbol of the tonic area; it centered around the main notes of the tonic triad, and harmonic excursions occurred only later in the movement. Bruckner maintains

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this practice only in his early symphonies. Beginning with V/1, the harmonic aspect of development starts during the presentation of the first theme itself.

In the last two symphonies, the harmonic treatment of the first theme is especially notable. The tonic is not heard at the beginning of VIII/1; instead, the theme begins in the subdominant area and proceeds gradually towards the tonic. Both main themes in IX/1 move towards the Neapolitan area. The first of these themes takes the Neapolitan chord as a point of even further departure.

b. Instrumental Presentation. The tremolos and ostinatos which typically begin Bruckner's first movements form one of the most distinctive traits of his style. Most of the first themes enter below a tremolo or ostinato (II/A1, V/A3, VI/A1, VII/A1, and VIII/A1);[5] these themes are played by the violoncellos and sometimes by the bass viols as well. Other first themes enter above or against a tremolo or ostinato (I/A1, III/A1, and IV/A1); the last two of these feature solo brass instruments. Thus I/A1, the only theme to be introduced by the first violins, thereby stands apart from Bruckner's mature works.

c. Rhythm. Most of the first themes begin with a long, sometimes dotted or double-dotted note; VI/A1 and VIII/A1 have a sixteenth-note upbeat as well. The continuously dotted rhythm of I/A1 is atypical of Bruckner themes in general and of his first themes in particular.

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Triplets sometimes play a part in the first theme, particularly III/A1, VI/A2, and IX/B1. Opening ostinato patterns which incorporate triplets accompany II/A1 (as sextuplets); VI/A1 is not only an accompanying ostinato, but an important motive in itself.

d. Intervallic Content. As we have seen, the literature contains numerous references to Bruckner's fondness for perfect intervals in his first themes.[6] Stepwise and chromatic motions also play important roles; in fact, I/A1, II/A1, III/B1, and VIII/A1 are wholly or mostly stepwise. Furthermore, the conjunct segments of V/A3, VI/A2, and VII/A1 are vital to later developmental treatment. Thirds generally appear only as parts of triadic figures, as in III/A1b, V/A3a, VIII/A1a, and IX/A1b. Sixths and sevenths are not typical of Bruckner's first themes. When they do appear, sixths usually take the form of neighbors to fifths, as in IV/A1 (meas. 8), VI/A2, and less obviously, VIII/A1.

e. Motives. Previous writers have not noticed that in the earlier first movements the themes of the first key area contain fewer motives than in the later first movements. Some themes are built from a single motive (I/A1, II/A1, III/B1, and IV/A1). The remaining first key area themes consist of two or three motives. When there are several motives, the first of these often outlines the octave or tonic triad or both (III/A1, V/A3, VI/A2, VII/A1, and IX/A6).

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There are only a few exceptions to these descriptions. The first of the three motives which make up VIII/A1 consists only of an isolated minor second (perhaps underlining the indeterminacy of key at the outset of the movement). In IX/A2, the octave outlined is not in the tonic but in the Neapolitan, which plays a crucial role throughout the movement.

As if to compensate for the introduction of more motives in the themes of the middle symphonies, subsidiary motives in these symphonies are increasingly drawn from the principal themes. The result is a general tightening of the structure and an overall reduction in the amount of thematic material. The Thematic Table (pp. 230 - 39) confirms the presence of fewer separate themes in the first movements of the middle symphonies. The numerous themes of IX/1, however, represent either a new departure in Bruckner's style or a throwback to his earlier procedures (possibly to III/1).

f. Phrase Structure. It is difficult to separate some of Bruckner's first key area themes from the strophes (or other sections) in which they are embedded. The reason is that the themes do not often reach a clear conclusion. At present, we will consider only the phrase structure of the theme (in its narrowest sense); later, we will study the contents of the first strophe as a whole.[7]

Bruckner consistently avoids the parallel construction that would arise from balanced antecedent-consequent phrases. Even where the

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structure seems at first glance to be in balanced phrases, parallel structure is really not the motivating factor. Both IV/A1 and VIII/A1, for example, consist of four phrases of four measures each. In both these cases, however, there is really only one original statement followed by three variants which incorporate motivic or harmonic changes. The opening phrase is not "answered" by another phrase, but is instead followed by intensified statements leading the listener forward.

Bruckner commonly adopts the principle of a single phrase followed by some type of developmental activity. In II/1, a single two-measure phrase is followed by two variants. In V/1 and VI/1, the activity after the first phrase contains powerful harmonic movement away from the tonic and from any feeling of repose.

Phrase structure in the odd-numbered symphonies is even more irregular than that discussed so far. The single eight-measure phrase which constitutes III/A1 contains no inner repetitions; instead of a responding phrase, subsidiary material leads eventually to a new theme (III/B1). Much of the architectural tension of this movement springs from the need to hear the first theme restated, particularly forte.

First theme and first strophe are synonomous in VII/1. After the opening phrase reaches the dominant, there are, instead of a responding phrase, two series of sequences; the first of these ascends,

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the second descends, and the second strophe begins immediately thereafter.

Looking at the short segments which form the opening phrases of Bruckner's first movements is somewhat similar to viewing the Parthenon from a distance of two feet. In both cases, an architectural overview seems necessary for real comprehension. We have seen that the need for repetition generates much of the forward momentum of III/1, and that the extension of the phrase which begins VII/1 produces the entire first strophe. None of Bruckner's first themes is designed to stand in isolation, and we must keep their relationship to the total architecture constantly before us. The thematic statement cannot be isolated from the strophe of which it is a part.

2. The First Strophe.

As we have seen from Table 1, all the first key areas except I/1 (which is in A - B - A form) and IX/1 (discussed below)[8] are basically organized in two strophes. The first strophe may have any one of several harmonic constructions. The simplest first strophe, in IV/1 remains in the tonic and closes on a tonic chord. The first strophe in II/1 also closes on the tonic but contains a wider range of passing harmonies before reaching this goal. Although there is no single typical procedure, the harmonic structure of the first strophes in V/1,

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VI/1, and VII/1 seems to represent Bruckner's mature style. In these first strophes, the tonic is left quickly, and a significant harmonic excursion eventually leads to the dominant, which in turn prepares the next strophe. The last technique has a greater forward momentum than a close on the tonic, which is probably why Bruckner adopted it.

There seem to be three principal motivic techniques of construction of the first strophe; these techniques appear to become simpler as Bruckner's style evolves. In the early symphonies, the composer introduces subsidiary motives to complete the first strophe. In II/1, subsidiary motives occupy more than half the first strophe. (The most important of these motives, A4, plays a crucial role at most of the movement's climaxes.) Similarly, III/A1 is followed by several subsidiary motives. Fragmentation and diminution of III/3a constitute motivic development which lasts for more than half the entire strophe.

In the middle symphonies, the first strophe is completed by the development of motives from the first theme rather than by the introduction of many subsidiary motives. In V/1, for example, the theme accounts for less than half the first strophe. The rest of the strophe consists of: (a) a dialogue development of the final octave leap of A3 (meas. 62-70); (b) a motive (A4) which develops the dotted rhythm of the main theme by descending sequences and dialogue (meas. 70-74); and (c) diminution of the preceding motive (meas. 75-78).

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The treatment is similar in VI/1. The subsidiary theme (A3, meas. 15), consists of a dotted rhythm relating it to A1 and ends with two half-notes relating it to A2. In its brief appearance, it is treated by inversion, dialogue, and fragmentation, and leads to the dominant at the close of the first strophe.

In three of Bruckner's first movements (IV/1, VII/1, and VIII/1), the first theme is virtually synonomous with the first strophe. In these three instances, development takes place within the thematic statements themselves through motivic alteration, sequence, and harmonic motion. There is a particularly wide range of keys implied in the first themes of VII/1 and VIII/1.

The structure of the first strophe thus proceeds from the introduction of subsidiary motives (early symphonies) through the employment of subsidiary motives derived from those of the opening themes (middle symphonies) to instances where the first theme and first strophe are practically the same (late symphonies). In all cases, the latter part of the first strophe includes significant harmonic development; in VII/1, this harmonic development is a feature of the main theme itself.

3. The Second Strophe.

a. Formal Considerations. The second strophe marks a return to the first theme and (if it had been left) to the tonic. Thus the lack of

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symmetrical structure within the first theme itself is made up for in the larger balancing of the two strophes.

The second strophe frequently consists of two main parts which mirror the construction of the first strophe. The first part presents the first theme, and the second part forms a transition to the second key area. Bruckner did not always follow this general scheme. There is a separate transition, for example, in IV/1, and an identifiable, though less separable, transition in VII/1 (meas. 40-50).

b. Harmonic Considerations. The second strophe leads from the tonic towards a new key area. This new key area, according to classical models, would be the dominant (in major) or the relative major (in minor); exceptions to this practice exist, particularly in Beethoven and Schubert.[9] Table 2 (following page) sums up Bruckner's original treatment of this aspect of symphonic form.

Columns (a) and (b) of Table 2 are of particular interest at this point in our inquiry; we will refer to the other columns later. From Column (a) we see that in only one case (IV/1) does Bruckner close the second strophe with the dominant of the expected key; that expected key (B-flat) is deceptively replaced by the third-related D-flat.

Column (a) of Table 2 also discloses that in III/1 and VI-IX/1, the first key area ends with a German sixth chord. This chord usually proceeds to the dominant of the new key, but Bruckner makes it go

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Table 2

Harmonic Articulation of First Key Area, Second Key Area, and Closing Section

	Movements	(a) First Key Area, End	(b) Second Key Area, Beginning	(c) Second Key Area, End	(d) Closing Section, Beginning	(e) Closing Section, End
in Minor Keys	I/1	II^7 of parallel of relative major	relative major	relative major	relative major	relative major
	II/1	dominant seventh	relative major	relative major	relative major	dominant; relative major
	III/1	German sixth of dominant (elided) of relative major	relative major	dominant of relative major	parallel of relative major	relative major
	VIII/1	German sixth of dominant.	dominant	dominant of rel. maj.	parallel of relative major	relative major
	IX/1	French sixth of dominant	dominant	dominant of dominant	tonic	relative major
in Major Keys	IV/1	dominant of dominant	relative maj. of dominant minor	dominant of dominant	dominant	dominant
	V/1	tonic	dominant minor	dominant of dominant	relative major of tonic minor[a]	dominant
	VI/1	German sixth of dominant	dominant minor	dominant of dominant	relative major of tonic minor[a]	dominant
	VII/1	German sixth of dominant	dominant	dominant of dominant	dominant minor	dominant

a. Deceptive resolutions

directly to the new key itself, eliding the expected dominant. The results of this technique are an increase in chromatic motion and an omission of an important dominant-tonic relationship at a critical point of the form. This omission requires compensation at a later point in the exposition.

c. Thematic Considerations. The second strophe typically begins with a tutti restatement of the first theme. Its most notable characteristic is its expansion in instrumentation and density of timbre. As a rule, no new motives enter once the second strophe begins. Sometimes the first-key-area themes may shift in importance, as in II/1, where the first theme drops out entirely after ten measures of the second strophe. Bruckner's typical motivic method of development during the transition is sequence. The sequences are based on pre-existing motives; this practice is most in evidence from V1 to VIII/1.

4. Special Cases.

a. The First Key Area in III/I. The first key area of III/1 is longer than any of the others (100 measures). Its structure is as follows:

66 (30 + 36) + 34 (20 + 14)
A B A B

The most unusual feature of this first key area is the presence of two themes (identified as A and B above); both themes appear in both

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strophes. Despite the contrast between the themes, they are motivically related (B1a is the inversion of A1c).

In the first strophe, both themes are presented in the tonic. The second theme is developed by fragmentation and sequence and leads to the dominant.

The second strophe, developmental in nature, is basically in the dominant. Instead of the entire first theme, only III/A1a returns, in dialogue with overlapping voices. Diminution helps bring the passage to a climax. The second theme is condensed and reduced to its triplet motive, which in turn forms the basis of the transition and plays a vital role in the second theme group. The second strophe is not a re-exposition of the first but rather a short development of both first key area themes.

b. The First Key Area in IX/1. The complex first key area of IX/1 includes a number of well-defined motives and extends almost one hundred measures. Its structure is as follows.

18	+	44	+	14	+	20
A1		A2-5		A6		A7

There are two principal themes (A2 and A6) and several subordinate ones (A1, A3, A4, A5, and A7).[10] Both main themes appear in a kind of isolation (meas. 19 and 63); neither contains parallel phrases or any reiterative passages. The first main theme (A2) springs suddenly out

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of introductory fragments and moves immediately toward the Neapolitan and its related keys. The second (A6), in contrast, follows a long crescendo (which makes it sound like the most important theme) and, though also venturing into the Neapolitan area, returns to the tonic at its conclusion.

Developmental techniques, including sequence, fragmentation, dialogue, and motivic transformation, account for much of the length of the first key area. These techniques are applied to all but the introductory and two principal themes, which are reserved for extensive development later in the movement.

The unusually long first key areas of III/1 and IX/1 thus have two main themes. In III/1, the first key area divides into two strophes, each containing both themes. In the later work, the themes appear once each in a kind of isolation, surrounded by shorter subordinate themes.

c. The Introduction to V/1. This passage is really an introduction to the entire symphony as well as to the first movement. Its opening pattern (V/A1) recurs at the beginning of the last movement and in the bass pizzicato which opens the second movement. The opening of the third movement is in turn derived from the second. In addition, the introduction indicates the course of future harmonic events. Aside from the tonic, the two key centers stressed are G-flat and D minor, both a major third distant from the tonic B-flat. Third relationships

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play a central role in this movement as well as in the entire symphony. Furthermore, the two middle movements are in D minor; the harmonic relationship to the introduction of the first movement seems obvious.

Briefly summarized, the introduction is in three sections, as outlined below:

1. Meas. 1-14 A1
2. Meas. 15-30 A2
3. Meas. 31-50 A3 (diminution)

The first section includes A1a, which becomes part of the main theme (see Thematic Table). The second section introduces two new motives. The first of these, A2, plays an important part in the development section; the second is related by rhythm and inversion to the main theme (A3) of the exposition proper. The final passage is based entirely on a diminution of A3 which appears in ever closer dialogue. The motion culminates in a chorale-like phrase eight measures before the exposition begins.

From the foregoing summary, it is apparent that a high degree of thematic interrelationships will probably be in evidence during the body of the movement. We will find this to be the case, particularly in the development section.[11]

B. Second Key Area.

As shown in Table 3 (following page), the second key area occupies approximately one-quarter to one-fifth of the exposition in the

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Table 3

Second Key Area: Formal Articulation and Proportion to First Key Area and Exposition

Movement	Measures in First Key Area, Second Key Area, Exposition	Ratio of Second Key Area to First Key Area and to Exposition	Formal Articulation of Second Key Area
I/1	44, 22, 106	1:2, 1:5	$9 + 4^{a} + 9$
II/1	62, 35, 177	1:2, 1:5	18 + 17
III/1	100, 70, 254	7:10, 1:4	$38\,(18^{b} + 20^{a}) + 32\,(20^{c} + 12^{d})$
IV/1	74, 44, 192	1:2, 1:5	$12^{b} + 10^{a} + 22^{c,d}$
V/1	50, 60, 174^{e}	6:5, 1:3	$31^{b} + 14^{a} + 16^{c}$
VI/1	48, 52, 144	1:1, 1:3	$32\,(12^{b} + 20^{a}) + 20\,(8^{c} + 12^{a})$
VII/1	50, 72, 164	3:2, 2:5	$18 + 54^{d,f}$
VIII/1	50, 46, 152	1:1, 1:3	22 + 24
IX/1	96, 56, 226	1:2, 1:4	$34\,(8^{b} + 26^{f}) + 22\,(8^{c} + 14^{f})$

a. Transition
b. First strophe
c. Second strophe
d. Conclusion
e. Excluding the introduction
f. Development

early first movements and closer to one-third the exposition from V/1 on. The growth of the second key area is also evident in its length measured against that of the first theme group: beginning with V/1, the second key area is equal to or longer than the first key area. The proportions of the second key area in IX/1, however, resemble those of the earlier symphonies (particularly III/1) rather than those of its immediate predecessors.

The organization of the second key area is also shown in Table 3. As in the first key area, the material tends towards strophic organization in which the second strophe is more an elaboration than a restatement of the first. Frequently a bridge appears between strophes. The last strophe may have additional concluding measures.

Motivic development generally appears in places parallel to its occurrence in the first key area. During the transition between strophes, a motive may be singled out for fragmentation, repetition, and sequence. The same techniques may reappear as the second strophe draws to an end and prepares the way for the closing section.

During the course of our analysis, we will see that the second key area of VII/1 is completely atypical. For the present, we note that this second key area is the longest in proportion to both the first key area and the total exposition.

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1. Second Themes.

a. Harmonic Aspects. In the first six symphonies, the second themes themselves are clearly within a single tonal area. The tonality is emphasized by pedal points (III/1, IV/1) or ostinatos, which are actually pedal points with some motion (II/1, VI/1).

In the three last symphonies, we find a clear evolution in Bruckner's style. From the moment of their inception, the second themes are all of a highly chromatic nature. The bass lines beneath these themes usually move in conjunct fashion weakening any tonic-dominant tendency.

Despite the clarity of tonal area in the early symphonies, the first statement of the second theme never concludes with a cadence on the tonic. There may be a modulation as the theme ends (II/1, III/1) or a change of key may take place during the presentation of the theme itself (IV/1, V/1, VIII/1, IX/1).

b. Instrumental Presentation. The strings almost always present the principal second-key-area theme. Occasionally a solo horn blends in (III/1, IV/1, VI/1) without disturbing the basic string timbre. Only in VII/1 does Bruckner consign the principal theme of the second key area to the winds alone.

c. Rhythm. There is no single typical rhythm for the second theme group. Triplets (VI/1, VII/1, VIII/1) and dotted rhythms (VI/1,

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VII/1, IX/1) are both common. In contrast to the first theme group, the second themes are distinguished not so much by their intrinsic rhythmic interest as by the regular repetition of a rhythmic pattern. The rhythmic patterns may be two measures long (I/1, II/1, III/1, IV/1, VIII/1) or four measures long (V/1, IX/1); these patterns may occur in the main melodic line or an accompanying voice. The second-key-area theme in VII/1 does not include such a rhythmic pattern as part of its structure; instead, the theme appears over a background of simple pulsating eighth-notes.

d. Intervallic Content. The most striking intervallic feature of the second-key-area themes is their emphasis on sixths and sevenths as the main disjunct intervals. Here the sixths are independent, not simply neighbors to fifths (as in the first key area). The new tonic may, for example, appear with emphasis on its fifth and its third degree a sixth above (see III/C1, IV/B1). The sixth may be spelled out by steps (as in VIII/B1). Predominantly stepwise motion may appear in another voice (see II/B1, B2). The perfect intervals which were so prominent in the first key area are much less common in the second key area.

e. Motives. The motivic structure of the second-key-area themes is significantly different from that of the first-key-area themes. The themes themselves usually consist of only one or two prime motives;

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variety is achieved through the presence of other subsidiary motives in subordinate voices (I/1 through VI/1). When the accompaniment is neutral and homophonic, however, the second-key-area themes may, like those of the first key area, consist of several different motives (VII/B1). In IX/B1, the two features are combined: the theme itself has two distinct motives, and the accompaniment is motivically active.

f. Phrase Structure. Most second-key-area themes begin with multiples of two-measure phrases; these reflect the repeated rhythmic patterns noted earlier.[12] Three-measure phrases, such as that which begins VII/B1, are extremely rare. The phrase structure of the second themes does not demonstrate antecedent-consequent formation. Instead there are repetitions, sequences, or transpositions; the units for these processes are usually two or four measures in length, occasionally longer.

g. Texture. As Orel notes, most of Bruckner's second-key-area themes seem at first to be in polyphonic style.[13] However, the only theme that really fits this description is V/B1, when V/B2 is superimposed on it. Furthermore, some second themes have entirely chordal accompaniments (VII/B1, VIII/B1).

In the remaining cases, the polyphony might be better described as a very active background. The voices are not truly independent; their figures are repetitive and sequential, and serve principally to

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carry the chordal content. The motivic content of the accompanying voices, however, is not irrelevant. In the first four symphonies, for example, the accompaniments to the principal second-key-area themes feature prominent sixths and often appear alone before the theme itself enters. In I/1, such an accompanying motive (I/B1a) plays a vital role in the coda.

h. Summary of Distinctions between First and Second Themes. Bruckner, in his letters, frequently referred to the second theme as the Gesangsthema, thereby emphasizing its lyrical quality. The string timbre and reduced dynamic level help differentiate the Gesangsthema from the first theme. In addition, the gently repetitive phrase structure, underlined by slow-moving pedal points, creates a feeling of relative placidity in contrast to the more intense forward harmonic motion of the first theme. The emphasis on sixths instead of perfect intervals creates a more melodious contrast to the starkness of the fifths and octaves prominent in the first themes.

2. The Second Key Area as a Whole.

a. Form. We have already noted from Table 3 (p. 130) that the second key area is generally organized in two strophes. Inasmuch as the ways in which the themes are expanded to fill the two strophes roughly approximate the techniques of the first key area, it is not necessary to repeat that discussion here.

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As in the first key area, the main locations for motivic development are in the transition before the second strophe and in the conclusion of the second strophe; the latter is, of course, a transition to the closing section. In a similar parallel to the treatment of the first key area, the second strophe of the second key area is usually an amplification (particularly in instrumentation) of the first strophe.

The first strophe of the second key area may include subsidiary ideas. A parallel exists between the second key areas in VI/1 and VIII/1. The first strophe of each consists of a very short principal theme followed by several subsidiary motives; these subsidiary passages return intact and in the same order in the second strophe. In both movements, the main idea is written for strings, the subsidiary ideas for woodwinds.

The foregoing general formal considerations do not apply to the second key area of VII/1. Here there is a single strophe of two phrases, followed by a lengthy development. Among the techniques of motivic development, we encounter inversion, fragmentation, sequences, and imitation. This marks the first time that Bruckner uses inversion or imitation within the exposition of the second theme.

b. Harmony. A study of the harmonic structure of the second key area reveals that after the first three symphonies, the second key is an incomplete part of a harmonic arch. Referring to columns (b) through (e)

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of Table 2 (p. 125), we see that although the closing section always ends in the orthodox key center, the second key area itself may not stress the orthodox key. In IV/1, for example, the dominant does not appear at all in the second key area. In other cases, a modal shift may weaken the orthodox key (as in V/1 and VI/1).

We also find that the preparation for the orthodox key center occurs at the close of the second key area. This constitutes a central dominant-tonic relationship which, as we noted earlier, was omitted between the first and second key area.[14] The preparation often takes place over a pedal point, and may take the form of a massive crescendo (as in III/1 or VII/1) or a fading decrescendo (as in V/1, VI/1, or VIII/1). The motivic content at these points frequently consists of a fragment and its repetition.

A second principal observation is that the second key area contains a great amount of harmonic development. In fact, the more one studies these sections, the less adequate does the term "second key area" appear. Full cadences, even in the orthodox key, are rare; this goal is postponed until the closing section.

Bruckner's practice in this harmonic aspect seems to have evolved after the first two symphonies. In both I/1 and II/1, the composer stays close to the new tonic throughout the second key area. Afterwards, Bruckner seems to have worked out two main approaches.

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In the first type (including III/1, V/1, VI/1, VII/1, and possibly IX/1), the new tonic serves as a recurring reference point from which excursions to chromatically related tonal areas take place. Inasmuch as a subdominant function is lacking, these tonal area are never fully established, despite frequent pedal points. These subsidiary key areas might best be considered as elaborations or extensions of chords, rather than as full-fledged key centers in themselves.

In III/1, for instance, the first strophe begins in F major and moves abruptly through the parallel minor to a G-flat major chord. The transition between strophes (based on an ornamented version of A3) passes through a series of rising seventh chords, the last of these based on A-flat. Enharmonically, A-flat equals G-sharp, and the second strophe then begins in E major. The progress of the first strophe is then duplicated by a long-range sequence and returns to F major. Thus we have a circle beginning and closing in F major, yet touching on keys a half-step above and below it.

In the second type of harmonic structure, the orthodox key does not appear at all within the second theme group; it enters only with the closing section (as in IV/1 and VIII/1). In IV/1, for example, the second theme group begins as a result of deceptive motion from F, dominant of the dominant, to D-flat, instead of to the orthodox key, B-flat, the dominant. (See Figure 1, following page.)

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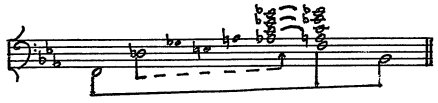
Figure 1

IV/1, Harmonic Structure of Second Key Area



Despite the pedal point, D-flat is not established as a key area because its full harmonic functions are not present. The first strophe concludes on G-flat; and after a transition built on descending sixth chords, the second strophe begins on E major. Although E major is enharmonically the relative major of D-flat minor, Bruckner does not make this connection in the music. After a brief move to the subdominant of E major, a quiet chromatic motion leads to a pedal point on A-flat, implying a return to D-flat which opened this entire section. This return, however, is not consummated; the tones C, E-flat, G-flat become part of a dominant ninth chord on F, which finally resolves to B-flat major as the closing section begins.

Similarly in VIII/1, the dominant (G major) rather than the relative major (E-flat) is the focal point. In both these movements,

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the scheme resembles that noted in Schubert who, according to Salzer, constructs expositions based on three key centers rather than the usual two.[15]

In summary, in a Bruckner exposition the "second key area" is likely to belie the name. Within this section, there is a great amount of harmonic development. Usually no key is established. The entire section is part of a harmonic arch which attains completion only with the entry of the closing section, where the dominant-tonic motion elided at the end of the first key area finally appears. One of the prime factors in Bruckner's expansion of the form is the architectural coherence with which he incorporates numerous key areas within an ostensibly expository section.

C. Closing Section.

The closing sections of Bruckner's first movements extend a full third of the exposition. In some cases, the closing section is the single longest segment of the exposition (see Table 4, following page). It may contain several thematic ideas. The main closing theme itself is usually unrelated thematically to the other two theme groups.

The unusual length of the closing section is in large part due to its developmental nature. Aside from a high incidence of motivic development, the closing section often contains a large arch of harmonic development; in the end, however, the orthodox key is established

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Table 4

Closing Section: Formal Articulation and Proportional Relationship to Exposition

Movement	Measures in Closing Section, Exposition; (First Key Area, Second Key Area)	Formal Articulation	Ratio of Closing Section to Exposition
I/1	40, 106; (44, 22)	34 + 6	2:5
II/1	80, 177; (62, 35)	64 + 18	1:2+
III/1	84, 254; (100, 70)	76 + 8	1:3
IV/1	74, 192; (74, 44)	55 + 19	3:8
V/1[a]	64, 174; (50, 60)	60 + 4	1:3
VI/1	44, 144; (48, 52)	36 + 8	1:3
VII/1	42, 164; (50, 72)	30 + 12	1:3+
VIII/1	56, 152; (50, 46)	42 + 14	1:3
IX/1	74, 226; (96, 56)	66 + 8	1:3

a. Excluding introduction

in all first movements.

The closing section consists of two main parts. The closing theme and its ramifications form the first, longest, and most energetic part; the epilogue, a hallmark of Bruckner's style, forms the shorter, more reflective second part. A long descending passage frequently precedes the epilogue, and the material of the epilogue often returns as a kind of introduction at the beginning of the development section.

1. Harmonic Structure and Development.

The length of Bruckner's closing sections largely stems from harmonic activity. Instead of being merely an extended cadence in the new key, the closing section contains a wealth of harmonic motion. The means of harmonic development are primarily modulation and sequence through nonestablished keys.

Every closing section eventually ends in the orthodox key, but it may begin elsewhere (see Table 2, p. 125, columns [d] and [e]). The closing sections of VII/1 and VIII/1 both begin in the minor mode of the expected key and progress to the major mode through a rising chromatic bass. Two key centers, the dominant (G major) and the relative major (E-flat major) seem to compete in the closing section of II/1, and the contest is not resolved until the very end of the epilogue. In VIII/1, written in the same key, the same two key areas are juxtaposed, although in different roles.

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The closing theme of V/1 at first appears tentatively, and after a passage of some ambiguity, emerges clearly. Two blocks of sixteen and twenty-two measures, respectively, move from D-flat through A (which then functions as the dominant of D minor), B-flat, G-flat, and finally to F by means of a German sixth chord. These are precisely the key centers of the introduction to the movement, thus serving formal and harmonic logic of a high level.

In IX/1, the principal closing theme appears first in the oboe above shifting harmonies in the strings. When the first clear statement of the closing theme occurs, however (meas. 167), the key is "wrong" because the tonic, D minor, should not reappear at this juncture. Late in the closing section, a chromatic passage leads to the orthodox key of F major for the final twelve measures.

2. Themes.

The simplicity of the closing themes makes unnecessary the exhaustive analysis we accorded to the themes of the first two key areas. The themes, typically little more than a motive one or two measures in length, are subject to much repetition. These themes frequently have a distinctive, simple rhythm; that of VI/C3 is related to an earlier rhythmic motive. As the Thematic Table shows, some of the movements contain more than one closing theme.

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Some of the closing themes are triadic (in VI/1, VII/1, IX/1), others are mostly conjunct (II/1, VIII/1), and still others combine both features (III/1, V/1). The very wide leaps of I/C2 set it apart from the others. Unison or quasi-unison passages play a leading role, not only in the closing themes themselves, but throughout the closing section as a whole. The closing themes often rest on successive pedal points which last through one or more repetitions of the theme. This results in the impression of blocks of measures based on a single sonority for each block.

3. Motivic Development.

The closing sections frequently feature some of the devices of motivic development; these include fragmentation, dialogue, expansion, superimposition, and, more rarely, inversion.

Motivic development is perhaps best illustrated in the closing sections of IV/1 and VI/1, which of all are the least independent (or, conversely, are the most highly integrated with the other sections). In IV/1, the thematic material consists of A3 (expanded into four-measure phrases) and the chromatic line identified in the Thematic Table as A2; the blustery accompaniment at the beginning of the closing section is reminiscent of the previous symphony (see III/1, meas. 209 ff.). Inversion and dialogue also play a role (see meas. 131). The closing

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section of VI/1 has as its main element the rhythm of VI/A1; the rhythmic particles are reordered and finally reduced to triplets which continue throughout. In passing, we call attention to Bruckner's favorite "closing rhythm," which appears as V/C1, VI/C2, VII/C2, and IX/B3.

4. The Epilogue.

The epilogue has a harmonic and a dynamic function. The harmonic rhythm slows markedly during this section, and the new tonic is established by a full cadence. The slowness of the harmonic rhythm is not disturbed by surface activity, and the epilogue provides a section of quietness and repose.

The epilogue at its simplest consists of a series of cadential chords and a pedal point on the new tonic. In I/1 and II/1, the material of the epilogue is new. Beginning with III/1, Bruckner bases the epilogue on fragments of the principal first-key-area theme, played softly against a sustained background. Examples of this procedure include, in III/1, the octave leap which ends III/A1; and in VII/1, a fragment of VII/A1 (meas. 21-22).

At the close of the exposition, there is usually a double bar (without repeat signs) and a complete cessation of activity. Even in the epilogue, however, there can be development. In VIII/1, the principal

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theme (A1) appears in major and in augmentation; for the first time in the movement, the theme is supported by a harmonic background.

D. Relationships between Sections.

Although we have examined the expositions in terms of their three major sections, we should not separate them completely, for important interelationships connect them. The foregoing statement is especially true with regard to thematic relationships. In VIII/1, for example, the rhythm of A1b is transmuted during its first presentation; the triplets so derived then become the basis for the second theme and remain active in the closing theme.[16] In III/1, quarter-note triplets first appear as part of A1b (meas. 8); they reappear as part of B1b, are central to C1, and move constantly beneath D1. Similarly, in VI/1, the rhythm of A1 permeates every measure of the first key area; quarter-note triplets (originally part of A2) are omnipresent in the second key area; and we have already noted that the rhythm of the closing theme is a recombination of A1. The triplets derived from A1 run throughout most of the remaining measures in the exposition. The main closing theme of II/1 is a diatonic version of the opening theme (see Thematic Table) and thereby a development of it. Throughout the movement, A4 returns at climactic points, and is thus a unifying factor.

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E. Summary.

The fundamental harmonic event of the exposition is the establishment of a new tonic. In Bruckner's first movements, the new tonic (after the first three symphonies) becomes established only with the closing section. The role of the second key area thus becomes somewhat ambiguous; despite its lyricism and the seeming stability afforded by pedal points, it is in a state of harmonic flux and carries a forward momentum. The quietness and slowness of the epilogue provide a point of repose in the new key, which is first established in the closing section.

Within each of the three main sections of the exposition, motivic and harmonic development play important roles in the expansion of the form. The first and second themes are usually presented in two strophes each. The beginnings of these strophes mark points of harmonic stability and motivic clarity; much of the rest of the first two key areas consists of development from these points of convergence. The closing section is far more independent than is customary in the works of Bruckner's predecessors, and the new motivic material contained there receives harmonic and motivic development. The usual reference to some fragment of the main theme in the epilogue is a way of tying the exposition together. We hear the first idea (or a part thereof) in the established new key and know that some important plateau of the form has been reached.

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II. DEVELOPMENT SECTIONS.

Our analysis of the development sections in Bruckner's symphonic first movements concentrates on three principal areas: formal construction, harmonic development, and motivic development. Except for a brief discussion of Bruckner's use of the orchestra, such parameters of development as tone color, rhythm, and dynamics will be considered only as they arise in connection with the principal determinants mentioned above.

We shall first consider the development section as a whole. After briefly noting its length relative to the exposition and recapitulation, we shall examine the overall structure of the development section. We shall find that although there is usually a very clear organizational scheme, there is no one uniform structure which serves as a kind of model. We shall also see that the development sections are clearly articulated into several subsections.

Our next object of inquiry, then, is the nature of these subsections. We shall see that dynamics, tone color, and motivic content help to delineate the subsections from each other. We shall try to evolve criteria for determining which subsections are primary and which are subsidiary. To conclude this segment of our study, we will examine the internal structure of some representative subsections.

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The second main area of our inquiry concerns harmonic development. We shall start from the broad relationship between harmonic areas in the development and those in the outer sections. We then focus on the harmonic structure of the development and the relationships of its various key centers. Our next topic concerns types of harmonic motion representative of Bruckner's style. A consideration of the establishment of keys during the development sections concludes this second segment of our study.

The third and final area of analysis is devoted to the techniques of motivic development. Here we shall include both linear devices (such as inversion, augmentation, diminution, and sequence) as well as polyphonic techniques (particularly imitation). Our discussion will not stop at simply listing the occurrence of these devices; rather, we will demonstrate that Bruckner had a highly individual manner of applying these techniques and that he employed them in particular roles with particular functions in the formal structure.

A summary will conclude our examination of the development sections. Although the chronological evolution of Bruckner's style has not been one of our primary concerns, we shall find numerous instances of such evolution, and these will be included in the summary.

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A. Formal Construction.

1. Development Section in Proportion to Outer Sections. As shown in Table 5 (following page), the development section is in all cases shorter than the exposition. The length of the development section relative to the recapitulation, however, varies from symphony to symphony. The development section may be shorter than the recapitulation, about the same length, or longer.

2. Overall Organization of Development Sections. There is no one overall design which describes the organization of Bruckner's development sections. The determining factors of organization vary from movement to movement, and include harmonic structure, motivic or thematic content, and texture.

Harmonic structure helps to bind together the four subsections of IX/1, which are separated by silences. The development section as a whole revolves around the relative major and the dominant (see Figure 5, p. 167). In VII/1, the "meat" of the development lies in the last subsection, with its stepwise motion from C minor through D minor and E-flat major to E major for the beginning of the recapitulation. In relation to the C minor section, the preceding subsections of this development section seem tentative and introductory.

Motivic or thematic content provides the most readily audible organizational force. The development section of VI/1, with its

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Table 5

Development Sections: Organization into Subsections and Comparison of Length With Other Sections

Movement	Total Measures: Exposition	Measures: Development (Subsections)	Total Measures Recapitulation, Coda
I/1	106	92 (14 + 23 + 12 + 25 + 18)	153[a]
II/1	177	140 (7 + 48 + 42 + 43)	170, 83
III/1	254	176 (12 + 30 + 44 + 32 + 32 + 26)	160, 61
IV/1	192	172 (24 + 36 + 36 + 45 + 31)	136, 73
V/1	174[b]	138 (12 + 24 + 22 + 20 + 28 + 32)	90, 59
VI/1	144	64 (14 + 24 + 12 + 14)	100, 61
VII/1	164	116 (20 + 34 + 14 + 48)	110, 25
VIII/1	152	130[c] (16 + 24 + 32 + 25 + 33)	110, 25
"	152	72[d] (16 + 24 + 32)	168, 25
IX/1	226	106 (26 + 24 + 26 + 18 + 12)	184, 51

a. Demarcation between recapitulation and coda is not clear in I/1 (see p. 167).
b. Excluding the introduction.
c. Assuming that the recapitulation begins at meas. 283.
d. Assuming that the recapitulation begins at meas. 225 (see pp. 194 - 96 for detailed discussion).

A - B - A scheme based on thematic content is perhaps the simplest of all. The three major subsections of the development in II/1 embody motivic contrast, developing respectively the first theme, closing theme, and second theme. The development section of IV/1 exemplifies clear organization based on both harmonic and motivic factors.[17] After an introductory subsection, the development divides into two main parts, each ending on the dominant and each containing two subsections. The first subsection in each part develops A1, but the second subsection in each part does not continue the parallel, developing, respectively, A3 and B1.

Textural factors serve to distinguish the overall form of the development section of V/1. Here the polyphonic center of the development is flanked by subsections typified by unisons or homophony. The symmetry of the tripartite structure is underlined by a brief but forceful appearance of the tonic (as the result of a deceptive cadence) at the very center of the polyphonic section.

Bruckner's developments usually consist of several main subsections of approximately equal weight (the development section of VII/1, cited above, is an exception). The examples discussed so far suffice to show that either binary or ternary overall design is possible. Unlike Beethoven, who often builds the development section in a climax towards the recapitulation, Bruckner usually makes the recapitulation

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seem like a new beginning rather than a goal. This is especially apparent in the first five symphonies, in which the development section ends with an interlude-like passage based on the second-key-area theme, balancing the quiet introductory subsection of the development. Such method of construction precludes a dramatic drive towards the recapitulation as a goal. For Bruckner, the goal is more likely to be the final extended tonic of the coda. Within a Bruckner development section, the various subsections may each attain a climax but, because of the disjunction of the subsections, these climaxes do not inevitably accumulate.

3. The Role of the Orchestra in Bruckner's Development Sections. Bruckner was a master at the organ, and his orchestration reflects in many ways the changes of registration possible on that instrument. The principal role of the orchestra in Bruckner's development sections consists of emphasizing the boundaries of subsections -- as well as of smaller divisions within subsections -- through radical changes of instrumentation (VII/1, meas. 233; VIII/1, meas. 249). The organ-like quality of Bruckner's orchestra also shows his fondness for opposing choirs of instruments. Strict segregation of these choirs into homogeneous families of instruments occurs only occasionally (III/1, meas. 415-22; V/1, meas. 331-45). More frequently, the opposing groups are based on octave register rather than timbre, permitting doubling and mixed sonorities (VII/1, meas. 185-98; VIII/1, meas. 169-89).

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Bruckner's organ-like instrumentation implies that a melodic line rarely is divided among instruments (except in dialogue, discussed immediately below). Melodic and accompanying instruments retain their respective functions throughout the subsection, although other instruments may eventually join forces with them (IV/1, meas. 217-52; II/1, meas. 203-20). This feature results in the long passages of unified timbral color characteristic of Bruckner.

Dialogue does not have the same rapidity and excitement in Bruckner's style as in Beethoven's (see, for example, Beethoven V/1, meas. 196-227; or VII/1, meas. 217-19, 250-53, 264-66). Bruckner tends to use longer units as subjects for dialogue, and thus the dialogue seems more leisurely and ruminative than in Beethoven's music. Furthermore, Bruckner tends to rely much less on dialgoue as a tension-building device, preferring for this purpose diminution and crescendo.

The broad areas of tone color we have noted are very often literally underscored by sustained, slow-moving chords. These are frequently found in the brass section (III/1, meas. 373-401; VIII/1, meas. 201-04), though they may appear as tremolos in the string section (IV/1, meas. 217-52; VII/1, meas. 233-80). These chords carry the essential harmonic content of the subsection.

The full orchestral tutti does not always appear during the development section. Such appearances are usually climactic, and occur

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either as unisons (III/1, meas. 341-48; V/1, meas. 319-24) or as essentially two-part dialogues (IV/1, meas. 253-68; VII/1, meas. 233-40).

In summary, the main functions of the orchestra in a Bruckner development section are not radically different from its functions elsewhere in the movement. Orchestral colors principally emphasize formal articulation. In this connection, the broadness of timbral areas serves to reiterate at another level the spacious architecture of the movement as a whole.

4. Delineation of Subsections. As Table 5 (p. 151) shows, the development sections each consist of several subsections averaging 24 to 32 measures in length. A given subsection usually develops a single motive and its ramifications; other motives may appear in subsidiary voices. There are a number of devices which delineate the boundaries of the subsections. The most definite is silence (IV/1, meas. 333; VII/1, meas. 192, 232). A fermata may further emphasize the silence (III/1, meas. 296; IX/1, meas. 276).

Another group of devices for marking off the ends of subsections are sustained chords or repeated activity. The final chord of a subsection, for example, may be sustained (IV/1, meas. 333; VIII/1, meas. 168). A tremolo (IV/1, meas. 287-88) or a series of repeated notes (III/1, meas. 404) may produce the effect of echoing into empti-

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ness. More rarely, a cadenza-like passage may fill in the space between subsections (IV/1, meas. 216). Striking dynamic juxtapositions, often entailing drastic changes of instrumentation, may also show the boundaries of subsections (VII/1, meas. 233; VIII/1, meas. 249), both cited earlier.

Transitional passages may connect adjoining subsections; such passages represent pronounced decreases or increases in activity. Decreases in activity may include ritardandos (VII/1, meas. 183-84) or their written-out equivalents (VII/1, meas. 217-18). Augmentation can produce the same effect (III/1, meas. 319-20). An increase in activity usually includes a crescendo (III/1, meas. 329-40; VI/1, meas. 189-94). Both types of transitions have the effect of drawing attention to the following subsection. Inasmuch as the material for these transitions is drawn from the preceding subsection, we have considered the transitions as part of the preceding subsections.

5. Main and Transitional Subsections. Just as a subsection may contain a transitional or subsidiary passage, so there are entire subsections which function as transitions. These transitional subsections usually appear at the beginning and end of the development section. Their distinguishing feature is a lack of independence, primarily on the motivic and harmonic levels.

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The first subsection of the development, as we see from Table 5, is usually shorter than the subsections which follow. Its main function is to reach a new harmonic plateau for the presentation of the first main developmental subsection; thus the transitional subsection is primarily modulatory rather than in a single key. Motivically, the first subsection usually continues the material of the epilogue. Frequent silences and a subdued dynamic level further attest to the introductory function of the first subsection.

The final subsection of the development is either entirely transitional or contains a transition to the recapitulation. This principle holds true primarily in the early symphonies. The last subsection of I/1, for example, rests entirely on a dominant pedal point (meas. 181-98). Sometimes the last subsection begins as a development of the Gesangsthema but gradually becomes a transition, as in II/1 and III/1.

Purely transitional subsections within the body of the development seldom occur after I/1. In I/1, a long preparatory decrescendo passage in mid-development leads to another transition (meas. 144-55); the effect is somewhat redundant, and the forward momentum of the movement at that point is weakened. A more effective example of a self-contained transitional subsection may be found in VI/1 (meas. 183-94). The passage is based on A3 (itself a transitional motive) and lies between the two main subsections of this brief development section.

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The forward momentum gains in this case by the crescendo, which occupies a major portion of this transitional subsection.

Transitional passages within the body of the development section generally grow out of main developmental subsections. We will note such passages in our analysis below of subsections from II/1 and III/1 (see pp. 159 -62). In the first movements of the last three symphonies, however, such construction tends to be less in evidence. One finds more self-contained subsections that come to a cadence or a silence, the next subsection following disjunctly as a juxtaposed block rather than as a prepared event.

6. Internal Structure of Subsections. We shall now examine several of the larger subsections listed in Table 5. Our purpose is to expose their structure and to note the roles of the various passages they contain. We base our conclusions on factors such as phrase structure, harmony, and motivic treatment.

We begin with the first subsection of the development of II/1, presented schematically below. It is preceded by an introductory subsection which moves from the relative major (E-flat), in which the exposition ended, to the subdominant (F minor).

The three passages concentrate on motive A1; near the end of the subsection, A4 enters in its role as climactic signal. The overall harmonic motion is from the home subdominant to its relative major,

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which serves as dominant for D-flat major, the dominant in turn of the following subsection.

Table 6

II/1, Measures 185-232

Phrase Structure	Harmonic Center	Motivic Content
18 (8 + 3 + 7)	f	A1
18 (2 + 8 + 8)	Ab	A1
12 (4 x 2 + 4)	Db	A1, A4

The first passage is both introductory and expository. It is introductory in its asymmetrical phrase structure (very rare in Bruckner's style) and in its movement toward the central key of this section, A-flat. It is expository in that it states the main motivic material of the subsection (A1) as well as the first instance of the inversion of this motive.

The second passage is the principal event of the subsection, both in terms of phrase structure and tonality. The phrase structure, after a two-measure introduction, consists of two pairs of four-measure phrases, giving a feeling of melodic stability. The key center is an unambiguous A-flat major.

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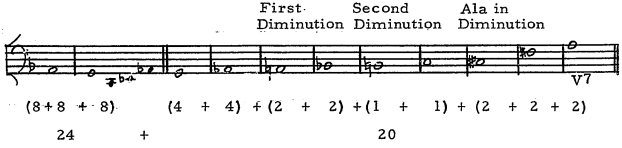
The final passage in this subsection has two roles: climax and transition. The climactic role is underlined by the appearance of A1 in several modified forms in overlapping dialogue. In addition, during this passage the dynamic peak is reached. The entry of motive A4 confirms the climactic function of this passage. The transitional function of the third passage is primarily harmonic: it ends on D-flat, the dominant of the G-flat major which begins the next subsection.

Our next example (III/1, meas. 297-340) demonstrates a different type of organization; it is diagrammed in Figure 2.

Figure 2



Here there are two main passages. The first (24 measures) exploits B1a, with an accompaniment based on the opening measures of the movement. The second (20 measures) is a transition to the next subsection; this transition builds a climax on B1a through progressive

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intensification of several parameters of the music, A1a entering as the motion reaches its peak. This transition points toward the entrance of A1a in the subsection to follow.

Within the first passage, each eight-measure phrase treats the material slightly differently, although all three phrases present the same motivic content. In the first and third of these phrases, B1a is heard only at the end of each four-measure subphrase; the motive appears in unison in the first phrase, in chorale style in the third. The second eight-measure phrase treats B1a in overlapping dialogue and inversion.

The motivic content of the second passage is subject to repeated diminution. As shown in Figure 2, each new degree of diminution coincides with a reduction in the length of the subphrases, creating a heightened momentum.

Harmonic criteria reinforce the conclusions we have reached on the basis of phrase structure and motivic content. In its broadest outline, the entire subsection is constructed around the dominant (A major) of the home tonic (D minor). The first passage leads to the subdominant (G minor); the last eight-measure phrase of the first passage moves through keys related to the subdominant of the subdominant (see black notes of Figure 2). Most of the second passage, the transition, consists of seventh chords and diminished seventh

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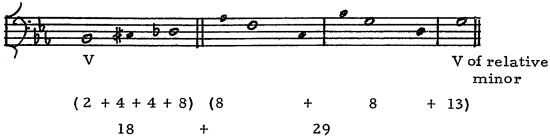
chords which reflect the harmonic instability of the rising chromatic bass line. The momentum of the line culminates again with the entry of A1a.

In sum, the subsection we have just examined contains an expository passage followed by a transition. In the former, harmonic motion is comparatively slow; in the latter, very rapid. The impetus to the next section stems from a combination of several factors: diminution on the motivic level; progressively shorter phrase lengths on the formal level; a rising chromatic bass line and unstable chords on the harmonic level; and a crescendo on the dynamic level. The combination of all these factors is typically Brucknerian.

A final example of the structure of the subsections (IV/1, meas. 287-333) reveals different principles of organization (see Figure 3).

Figure 3



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The two passages which make up this subsection are both based exclusively on A1 and are both in barform, preceded by a two-measure introduction. The second is an amplification of the first, both in dynamics and phrase structure.

On the motivic level, the two passages develop A1 very differently. In the first passage, the motive appears in simultaneous inversion and imitation. In the second passage, two statements of the motive are joined to create a chorale-like phrase. The second strophes of both passages are sequential. The expansion of the motive into longer phrases accounts for the greater length of the second passage. Note the broadening effect here, as opposed to the contracting effect in the preceding excerpt from III/1.

There are several harmonic levels to this subsection. On the broadest level, this subsection begins on the dominant (the recapitulation could easily have entered here) and ends on the dominant of the relative minor. As a connecting link, the key of D-flat major is established with a full cadence at the end of the first segment. We have already noted the significant role of D-flat in the exposition of this E-flat movement; its reappearance here at the midpoint of the movement is striking. The epodes of both passages dwell at length on a single major chord, D-flat in the first passage, G in the second passage.

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Our examination of three representative subsections thus discloses a difference between main developmental passages and introductory or transitional passages. In the last example from IV/1, the subsection contains two main developmental passages, both in barform.

We have, in addition, spelled out some of the criteria which differentiate the roles of the passages within the subsection. We have seen that phrase structure, harmonic activity, and motivic content all combine to make the structure of the subsections clear.

B. Harmonic Development.

1. Harmonic Relationships between the Development and Outer Sections. We consider first the harmonic relationship between the development section and those portions of the outer sections immediately adjacent to it. The development section usually begins with a harmonic link to the preceding exposition. The key which closed the exposition may continue into the development (I/1, IV/1), perhaps with a change of mode (III/1, VII/1). There may be motion to a diatonically related chord (II/1, VI/1). These harmonic areas are unstable because of the modulatory nature of most introductory subsections at the beginning of the development section.

Bruckner's treatment of the end of the development section seems to have changed in mid-career. In the first five symphonies, we find the development closing with an extensive dominant preparation for the

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recapitulation. Beginning with VI/1, this trait disappears; thereafter, the tonic returns unexpectedly through sequential passages. In IX/1, Bruckner combines a chromatic approach with a short four-measure dominant preparation (meas. 321-32).

The key centers which occur during Bruckner's development sections do not usually play an important role in the outer sections of sonata form. Two important exceptions to this principle exist. The first is the development of IV/1, wherein D-flat major and, to a lesser extent, A major appear in both the exposition and the development of this movement in E-flat (see pp. 138, 166). The second exception is in V/1, with its emphasis on D minor and, to a lesser extent, on G-flat major; both keys are a major third distant from the tonic B-flat. The development of IX/1 is perhaps more typical; the relative major, which there plays such an important role, appears only at the very end of the exposition.

2. Relationship of Harmonic Areas Within the Development Section. We first differentiate the harmonic motion between subsections from the harmonic motion within subsections. The former is frequently diatonic; although the immediate connections may include dominant preparation, adjacent subsections do not usually exemplify fifth-relationships. Within the subsections, however, we find that chromatic relationships are far more prevalent. Progressions involving third-

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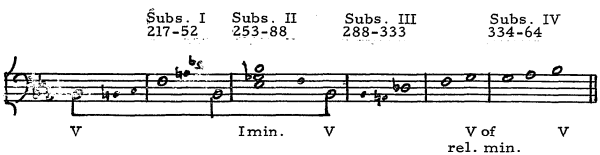
related keys and stepwise bass motion help to account for the more volatile harmonic motion within the subsections. Fifth-relationships also appear within subsections. Such harmonic motion is, nonetheless, subordinate to the overall architectural scheme.

We will examine two development sections in their entirety to demonstrate the foregoing points. Figure 4 demonstrates the overall design of the development section of IV/1.

Figure 4



Despite the intense chromatic motion within some of the subsections (omitted in our illustration), the basic diatonic nature of the architecture is clear. The importance of D-flat (and, to a lesser extent, A major) recalls that much of the second key area was occupied by D-flat.[18] The recapitulation could have begun at the end of the second main subsection, at which moment a tremolo similar to that which began the movement appears.

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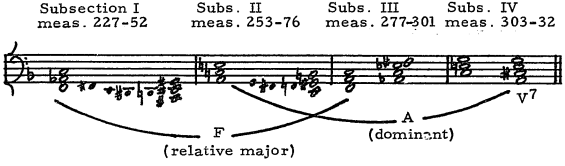
An analysis of the overall harmonic structure of the development of IX/1 (Figure 5) also demonstrates the architectural coherence as well as the basically diatonic nature of Bruckner's development sections in general.

Figure 5



Two basic key areas seem to alternate: the relative major of D minor (and its parallel minor) and the dominant (both major and minor), creating between them a kind of F - A tonal axis. The chromatic motion within each subsection does not obscure the basic simplicity of the harmonic scheme. This development section is exceptional in that no subsection begins after a dominant preparation; instead, there are silences before each subsection.

The immediate links between subsections often take the form of a dominant-tonic cadence. The last point is apparent, for example, in

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the development of VII/1; each subsection ends (sometimes emphatically) on the dominant of the subsection to follow, though the main keys of the subsections are related by step. Occasionally, such a dominant preparation resolves deceptively. A noteworthy example occurs in V/1 (meas. 303), where the dominant of D minor moves deceptively to the home tonic, B-flat. Not only does this progression mark the center of the development, occurring between two densely polyphonic subsections described below, but the harmonic implications of D minor also are crucial because this is the key of the two middle movements.[19]

Connections between subsections which entail less closely related chords occur less frequently. Such an exception occurs in II/1 (meas. 259) where a cadential six-four chord on the dominant of F leads to a subsection beginning on A minor.

A subsection rarely begins and ends with the same key center. When this occurs, there is usually a change of mode or function. The second main subsection of III/1, for example (see Figure 1, p. 139) begins on the minor dominant and ends on the major dominant seventh chord of D minor.

3. Types of Harmonic Motion. There seems to be a relationship between the various stages in Bruckner's career and the kinds of harmonic motion demonstrated in his symphonies. The composer's harmonic style seems to have manifested a new coherence after I/1; some

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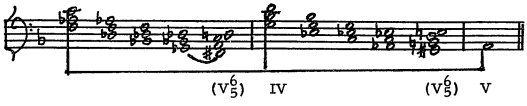
of the harmonic activity in I/1 is more unpredictable than anything we find subsequently. The close connection of the key centers of the development in II/1 contrasts strikingly with the earlier work.

The emphasis on motion to third-related keys becomes very strong in III/1 and thereafter. Our first example consists of the first main subsection of III/1 (meas. 267-95), outlined in Figure 6.

Figure 6



Each of the two main passages (separated by a double bar in Figure 6) consists of a series of four descending third-related chords, and closes with an enharmonic change to the dominant of the following passage. The overall motion is from F minor (parallel of the relative major) to the midpoint G minor (subdominant) to the beginning of the next subsection, A minor (minor dominant). The third-related chords are in fact subordinate to a broader motion by step (F - G - A); the three broad areas, in turn, refer to the tonic, subdominant, and dominant areas.

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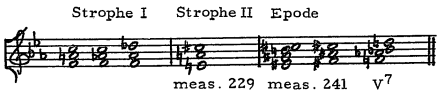
The enharmonic changes which close the respective passages take the place of possible common-chord modulations.

We find similar harmonic motion in the first main subsection of IV/1 (meas. 217-52), outlined in Figure 7.

Figure 7



To make the overall structure clearer, our illustration omits embellishing chords (e.g., meas. 233-34). Although the third-related motion is more deliberate than in the previous example, the overall harmonic motion is just as clear: the subsection leads to the dominant from its dominant. The central A major of the second strophe may perhaps reflect the prominence of that key in the exposition (meas. 35-38), where it represents the furthest departure from the tonic E-flat.

Third-related passages in V/1 reflect the activity of the main theme itself (A3), which prominently includes descending thirds. At

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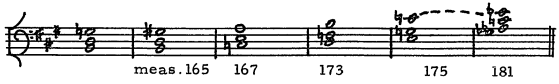
one point (meas. 291-96), the third-related motion descends through six keys (C minor, A-flat, E, C; F, D-flat, and A), all within six measures.

A second hallmark of Bruckner's harmonic style is motion by means of a rising, frequently chromatic bass line. This device becomes especially prominent in the later symphonies. An early example from IV/1 (meas. 333-51; last segment of Figure 4, p. 166) shows embellishment of a cadential bass line, G - Ab - Bb (dominant); above this, sequences develop the second theme in half-tempo and polyphony.

The first main subsection of VI/1 (meas. 159-82) is also constructed on the principle of a rising bass (it is outlined in Figure 8, which again omits simple embellishments for the sake of clarity).

Figure 8



Bruckner resorts to first-inversion chords as a way of avoiding both parallel fifths and of establishing a new key center. Except for the last

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chord (a common-tone change based on C) the entire passage is explainable in terms of A (tonic) minor.

The last subsection of VII/1 (meas. 249-80) demonstrates an even broader reliance on stepwise bass motion. The key centers broached in this subsection are: C minor (meas. 249), D minor (meas. 261), and E-flat major (meas. 277). The tonic E major thus begins the recapitulation as the result of enharmonic half-step motion (E-flat becomes the leading tone D-sharp).

We may sum up our examination of the types of harmonic motion in the developments by comparing the chronological appearance of third-related key changes and stepwise bass motion. The former predominate in the middle symphonies and remain a part of Bruckner's style thereafter. Conjunct bass lines, though they sometimes appear in the middle symphonies, become especially prominent for structural purposes in the later symphonies.

4. Establishment of Keys. As our basic definition, we consider the establishment of a key to entail the presentation of the three main harmonic functions: tonic, subdominant, and dominant. With this definition in mind, we find that the number of fully established keys within Bruckner's developments is small indeed. A rare example occurs in IV/1 (meas. 300-3); here D-flat (subdominant of the subdominant) is fully established. We have already noted the crucial role of D-flat in

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the exposition; the full cadence in this key therefore makes sense on an architectural level.[20]

Although key centers change frequently during the development section, the composer avoids "tonicizing" them. Avoiding common-chord modulations which would establish new keys, Bruckner resorts to three devices: unmediated juxtaposition, sliding chordal motion, and voice-leading motion to distantkey areas that frequently call for enharmonic changes. Juxtaposition occurs when a new key begins without transition or preparation; as an example, see IX/1 (meas. 275-77) where a resounding E major chord is followed by silence and by a new subsection beginning in F major. An example of sliding chordal motion appears in a passage from VI/1 (meas. 151-54) in which the dominant reaches the relative minor by means of a stepwise descending bass. An example of motion to distant key areas necessitating enharmonic changes occurs in IV/1 (meas. 229-42). The excursion to A major from D-flat major would suffer a loss of legibility if written in B-double-flat major, but the latter term would more accurately indicate the relationship of the two key centers.

Some of Bruckner's typical harmonic procedures as they appear in VII/1 (meas. 219-29 and 233-48) are shown in Figure 9 (following page). First there is a transition passage (Figure 9a) which begins a motion through the circle of fifths; the last of these fifths is filled in by

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parallel descending triads leading to the dominant of the next subsection.

Figure 9a

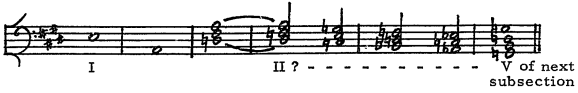
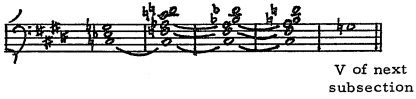


Figure 9b



The dotted line in Figure 9a expresses the question: is the D minor chord audible as a subdominant area chord in the C minor to follow? The very asking of the question brings out the possible ambiguity in the preparation of C minor.

Figure 9b shows the beginning of the next main subsection. Here we can see that the various chord changes all take place over a pedal point C, resulting in no basic harmonic motion. When the pedal point ends, we hear only a diminished seventh chord, which of itself cannot establish C minor; the latter key is the beginning point of the next subsection, but is soon left. In sum, we find that C minor is neither un-

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ambiguously prepared nor established; despite its extent in time, the absence of any subdominant function deprives it of full establishment.

Sequences based on extended patterns usually have harmonic implications although they may not lead to establishment of keys. In the chorale-like section of IV/1, for example (see Figure 3, p. 162), each strophe revolves around one pitch. The first strophe (after first double bar in Figure 3) begins with the relative major of F minor and leads to its dominant; the second strophe does the same around G minor except that the first chord of the strophe undergoes a change of mode. A third strophe begins, but breaks off. In sum, this entire chorale subsection is an amplification of F minor and G minor, both diatonically related to the tonic E-flat major.

An example from VIII/1 (meas. 225-49), is similar in form to the previous example even to the breaking-off after beginning a third strophe. In VIII/1, the first strophe ends on the tonic parallel (C major); the second strophe, an exact sequence, ends on the relative major (E-flat major). Although each strophe begins with a powerful, dissonant harmony, the arrival points are simple and diatonically related to the tonic.

Sequences which contain members of eight or more measures thus become primarily harmonic rather than motivic events in Bruckner's style. The auxiliary dominants and chromatic passing chords which

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are so often present are simply enrichments of the basic harmonic architecture. Even though the keys which make up the sequences are not in themselves established, they help to form the overall harmonic plan.

C. Motivic Development.

The following discussion contains three main parts. The first deals with the choice of motivic material included in the development section. The second focuses on the linear aspects of motivic development: inversion, augmentation, diminution, intervallic alteration, extension, sequence, thematic metamorphosis, and fragmentation. The final part deals with polyphonic techniques of development, particularly imitation and thematic combination.

The boundary between motivic and harmonic development and, for that matter, between melodic and polyphonic techniques is, of course, artificial. Despite this reservation, we adopt these dichotomies for the purpose of clarity. Our analysis will also reveal some chronological facets of Bruckner's stylistic evolution.

1. Selection of Material for the Development Section. Material from the first key area plays the most prominent part in the development section; Bruckner usually concentrates on the first short motive or phrase, perhaps because of its clear rhythmic definition (III/1, VI/1).

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In some movements, the first motive and first phrase are synonomous (II/1, IV/1). In other developments, only a part of the first phrase dominates the development (III/1, VI/1, VII/1).

Subsidiary motives from the first key area play a less important role during the developments, and we list the few exceptions. In I/1, the subsidiary motive A3 plays a far more vital role during the development than the ostensible main theme, A1. The transitional motive in IV/1, A3, fills a main subsection of its own (meas. 253-87). A transitional motive from the exposition of VI/1 returns in a transitional passage during the short development section (meas. 183-94).

In all the first movements through V/1, the second theme group receives the least exposure and is the last to appear in the development section. Because of its placement just before the recapitulation and because of its reduced dynamic range, the second theme group functions more like an interlude in these movements; this interlude seems to balance the quiet introduction at the other end of the development section.

Compared to the earlier first movements, the second theme group is much more prominent in the development sections of VII/1 and VIII/1. The second theme of VII/1 had already been developed at length within the exposition; hence, its role as an important component of the development section as well is truly exceptional.[21] We have already pointed

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out that the first two theme groups of VIII/1 are related, and it is not surprising that both should be featured in the development.[22]

In the remaining two first movements, the second theme plays a negligible role. The reason for the omission of this theme group from the development section in VI/1 seems to be the extreme brevity of the development. In IX/1, there is a brief appearance of B1a, but it is swept up in the crescendo that leads to the restatement of A6 (see meas. 303-20).

Material from the closing section appears in the development only in certain limited ways, principally as part of the introductory subsection (as in V/1, VI/1, and IX/1). The only other subsections based on closing section material are from early symphonies (I/1, meas. 121-43; and II/1, meas. 233-74). The only other prominent appearance of closing section material is in a transition passage in VII/1 (meas. 219-32). We may conjecture that Bruckner avoided closing section material both because of the temporal proximity of the extensive closing section itself and because of the conclusive rather than progressive nature of the closing section.

2. Techniques of Motivic Development.

a. Nonpolyphonic Techniques. In all but two of the first movements (I/1 and IX/1), the first theme appears in inversion at the

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beginning of the development. This treatment may apply to the entire first theme (VIII/1) or to only a part of it (III/1). The inversion may appear in conjunction with the original version of the theme (II/1, IV/1, V/1). Though it may occasionally be free (VI/1), it is usually strict.

The consistent appearance of inversion at the start of the development section marks the importance of this device as more than simply another working-out technique. Inversion of the theme functions as a kind of exposition inasmuch as it provides new opportunities for motivic development. Furthermore, inversion occurs very rarely in the developmental passages within the exposition, as if this device were being saved for the development section.

Augmentation has long been recognized as one of the hallmarks of Bruckner's style, but its role is far more circumscribed than it appears from the literature. With the single important exception of VIII/1 (discussed in detail below), augmentation appears at the beginning of a subsection as a way of underlining the material to be heard; the augmentation plays little role once the subsection gets under way. Two examples demonstrate this point. In II/1 (meas. 233), augmentation vanishes after eight measures; in III/1 (meas. 267), after one statement. The augmentation in IV/1 (meas. 334-64) is really a change to half the tempo, inasmuch as the momentum of metric impulse has been suppressed by the long sustained chord preceding this passage. In some

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movements (such as VI/1), augmentation does not appear at all.

Although augmentation does not play a chief role in most Bruckner first movements, it does so in VIII/1, first appearing in the epilogue of the exposition. The first main subsection of the development (meas. 169-92) begins with two ten-measure strophes; each strophe concludes with six measures of augmentation. Augmentation even figures in the final four-measure postlude. Augmentation (as well as thematic combination) appears in two more ten-measure strophes (meas. 225-44) which might be considered the beginning of the recapitulation.[23]

Diminution, like augmentation, rarely serves as a basic device for development. Instead, it serves principally as a means of building tension in preparation for a new subsection. An example of diminution is a passage we have already considered in III/1 (meas. 321-40).[24] The note values of A1b are reduced by half after eight measures, and reduced by half again after another four measures. Two measures later, A1a appears at one-quarter its original values, with overlapping entries. The entire passage is a dramatic preparation for the great outburst which begins the next subsection.

A similar passage occurs in IV/1 (meas. 237-52). Motive A1 appears first in diminution in overlapping dialogue and inversion, then in simultaneous inversion. After twelve measures, the values are halved again. Once more, the purpose of the passage is to build a crescendo to the next subsection.

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The principal exception to our concept of diminution in Bruckner's development sections occurs in V/1. Here diminution is an integral part of the combination and metamorphosis of themes. The matter is analyzed below, in our discussion of polyphonic techniques.[25]

Bruckner frequently alters the intervals of his motives, while maintaining the original rhythm. Inasmuch as the harmonic motion determined how the intervals are altered, we do not discuss this technique as an independent motivic device. Bruckner sometimes reduces the intervals to the unison, thus isolating the rhythm of a motive on repeated notes, as in V/1 (meas. 283, trombones) and VIII/1 (meas. 369-89, trumpets).

We have already noted two cases of thematic extension, and it is sufficient here to recall these instances. The first example occurs in II/1 (meas. 203-20, see p. 159). The second example is the chorale-like passage in IV/1 (meas. 305-33, see p. 163). This device, by which the original basic motives are extended to larger phrase lengths, is not very common in Bruckner's developments.

Sequences basically elaborate and unfold a simple, frequently conjunct, melodic line. As in the previous chapter, we draw a distinction between short-term and long-term sequences. The latter are primarily harmonic and architectural events and were discussed as part of harmonic development. Short-term sequences, though seldom exact,

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play a large part in Bruckner's style, forming one of its most recognizable features.

One example (VI/1, meas. 151-54, part of the introductory subsection of the development) may demonstrate how a sequence, frequently inexact in the repetition of its segments, unfolds a single line. In this example, the basic melodic line is a stepwise descent from E to F-sharp; harmonically, the passage exemplifies sliding chordal motion from the dominant (E major) to the relative minor (F-sharp minor). The viola part is different in each measure without creating a disturbance of the basic Gestalt of the sequence.

Thematic metamorphosis, in which the shape of a motive or theme undergoes gradual transformation until it takes on an independent shape, does not play a prominent role in Bruckner's development sections. The exception, V/1, analysized in detail below (pp. 185 - 89), adopts thematic metamorphosis in gradually merging two main motives.

Finally, we note that fragmentation is employed far less during the development sections proper than in the developmental passages of the expositions. Bruckner seems intent on maintaining the original shape of the motives. Some examples of fragmentation during the developments are: V/1, meas. 315-24; VIII/1, meas. 204-24 (actually an anticipation of the reappearance of the entire first theme); and IX/1, meas. 355-65.

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In sum, we have found that inversion and sequence are Bruckner's favorite techniques in the melodic aspect of motivic development. Augmentation and diminution normally play a subsidiary role. Thematic extension and fragmentation appear, but not as principal features. Thematic metamorphosis, except for its role in V/1, is rare in Bruckner's developments.

b. Polyphonic Techniques. Bruckner's development sections frequently include imitation. The imitation usually occurs within a single key area, often within a single chord. Most often the octave (occasionally the fifth) is the principal interval of imitation, and there is usually a measure or less between the entries. Although imitation may seem to encompass a number of voices, it usually is only a pseudo-polyphonic elaboration of a sonority, because the motives are brief in comparison with the harmonic rhythm. The development section of V/1 contains more rapid harmonic motion in its imitative passages than one usually finds within Bruckner's style.

Bruckner's imitative style typically includes an overlapping of the voices. The results of this stretto-like technique are a greater density of melodic events, a greater forward momentum, and a reduction in the distinctness of the individual melodic lines. In the development section of III/1 (meas. 385-92), for example, Ala appears in imitation which starts in the lower strings. Clarinets and bassoons enter half a measure

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later in simultaneous inversion. On the weak beats of each measure, the upper woodwinds have the rhythm of A1a in repeated tones. Meanwhile the brass plays fortissimo a derivative of A1b, and the upper strings play a vigorous accompaniment. The listener might be able to perceive the imitation among the various subordinate voices, but more likely he would simply hear a very active background to the brass section.

The imitation is more perceptible in a passage from VII/1 (meas. 233-47). The inversion of A1a forms the sole motivic content; it appears first in the treble instruments. The first imitation (in the trumpet) breaks in one measure later; and the second imitation (in the bass instruments), one measure after that. The chordal content, however, changes in blocks of four measures, so that the listener must balance the rapid motivic events against the slower harmonic events.

Bruckner occasionally adds a countermelody to an existing motive, usually in transitions within the development section. The countermelody does not usually stem from previously heard material. Examples include IV/1 (meas. 297-304) and VII/1 (meas. 221-27). A more unusual example comes from II/1 (meas. 241-50); here the countermelody in the bassoons clearly derives from A1, and the activity takes place within a main developmental subsection.

Bruckner's developmental style does not rest on the frequent combination of themes; we have already remarked that most subsections

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work with a single thematic subject. When themes or motives are polyphonically combined, there is usually a stratification into principal and accompanying motives. In II/1, for instance (meas. 261-69), Bruckner combines A1 and C1, each of which had previously been the subject of a main subsection. Upon their combination, however, C1 recedes and becomes a kind of ostinato figure supporting A1. Similarly, in IV/1 (meas. 217-49) motives A1 and A3 start with almost equal prominence, but the latter is eventually covered by the dynamic climax based on the diminution of A1.

The combination of equally prominent motives occurs in only two of Bruckner's development sections. The first of our examples of this technique, a climactic passage in VIII/1 (meas. 225-34), combines A1 and B1a in augmentation. In V1/, the idea of thematic combination is the principle behind the heart of the development section.

The development of V/1 begins with the typical introductory subsection (meas. 225-36) which continues the mood of the close of the exposition. The first main subsection (meas. 237-60) is both introductory (insofar as it reflects the opening introduction to the movement) and expository (insofar as the principal elements of the development, A2 and A3, occur in adjacent blocks of measures). The second main subsection (meas. 261-82) is based solely on A3, utilizing in its development inversion, imitation, and sequence.

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With the third main subsection (meas. 283), the polyphonic combination of motives A2 and A3 begins; the principal techniques and events of this passage are summed up in Table 7 (following page). Motives A2 and A3 are developed simultaneously; the device most in evidence seems to be the presentation of each motive together with its inversion. The entire passage is fortissimo except for the final six-measure phrase, which omits the brass section and is marked piano (woodwinds) and pianissimo (strings). The dynamic marking is all the more striking because of the increase in imitative entries of motive A3. The dominant ninth chord on A which occupies the entire six-measure phrase not only represents a sudden arrest of the harmonic rhythm, but in this movement the deceptive resolution to B-flat (the tonic) is a harmonic motive. Several additional features are: (1) at the beginning of each phrase, one hears A2 or A3 reduced to a repeated-note rhythm; (2) diminution appears but does not play as important a role as it will in the following subsection; and (3) the final six measures signal the beginning of a process of thematic metamorphosis. The lower strings play the rhythm of motive A3, but the melodic content is the arpeggio figure of A2.

The thematic metamorphosis continues amidst the multifarious activities of the next subsection (meas. 303-22; see Table 8, page after following page, for the articulation of the first twelve measures).

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Table 7

V/1, Measures 283-302

Measures	Phrase Structure	Treatment of Motive A2	Treatment of Motive A3
283-86	4	Original and inversion simultaneously.	Original and inversion simultaneously; both imitated one-half measure later.
287-90	4	Continuation of preceding treatment.	Continuation of preceding treat-treatment; original also enters a measure and a measure-and-a-half later.
291-94	4	Inversion; original in diminution.	Original and inversion simultaneously, expanded by quasi-sequence; original imitated one-half measure later.
295-96	4	Continuation of preceding treatment.	Continuation of preceding treatment.
297-302	6	Original and its diminution; inversion in diminution only. Four statements in dialogue one measure apart.	Expanded version of original and inversion; beginning also on weak beats.

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We find this metamorphosis evident in the viola part (meas. 304), where the rhythm of A2 carries the melodic form of A3.

Sequence plays a prominent role in uniting the passage described in Table 8. The first four measures (303-06) are almost an exact two-measure sequence (the oboe part changes the second time). The two four-measure phrases which follow (utilizing the same material) each contain a quasi-sequence; the first by transposition up a whole tone, the second by transposition down a whole tone.

The two motives also undergo other changes. In fact, A3 drops out entirely after eight measures. The other motive, A2, becomes fragmented in a way unusual for Bruckner; it is twice shortened by the omission of its opening notes (meas. 303, 307).

Table 8

V/1, Measures 303 - 14

Measures	Phrase Structure	Treatment of Motive A2	Treatment of Motive A3
303-6	4	Diminution; original and inversion every first beat.	Diminution; alternation of original and inversion.
307-10	4	Diminution; original and inversion; voices enter almost every beat.	Diminution; original and inversion simultaneously.
311-14	4	Diminution; brass chords in repeated-note rhythm every half-measure; voices enter every beat.	No longer appears.

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The remainder of the development of V/1 provides a suitable contrast to the highly involved polyphony we have just described. Unison arpeggios outline diminished chords (utilizing the rhythm of A2 in still another degree of diminution). Later, there is a homophonic passage recalling the chorale-like second-key-area theme. A pedal point on the dominant ends the development.

D. Summary.

The development sections in the first movements of Bruckner's symphonies are made up of subsections, usually 24-32 measures in length. Each subsection develops a single motive and is set off from its neighbors by silences or clear contrasts. There is no one overall pattern of organization of these subsections. Binary and ternary patterns can both be adduced from the harmonic and motivic evidence of the music. The subsections at either end of the development may be subsidiary in nature. The first of these is usually introductory, whereas the last often forms a transitional interlude to the recapitulation.

The opening key of the development section frequently continues the closing key of the exposition, or one closely related to it. In the early symphonies, a dominant preparation precedes the recapitulation, though Bruckner abandons this procedure beginning with VI/1. Key centers are not fully established during the body of the development.

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Furthermore, the main keys of the exposition seldom appear. Although a dominant preparation may precede a subsection, adjacent subsections do not usually exemplify fifth relationships. The harmonic relationship between the main keys of neighboring subsections is usually diatonic; within subsections, on the other hand, chromatic or third-related harmonic motion frequently prevails. Key changes come about through juxtaposition, sliding chordal motion, and enharmonic motion to distant keys.

The main subsections of the development generally draw their thematic material from the first theme group; only in the later symphonies does the second-key-area theme play an equally prominent part. Beginning with VII/1, the second-key-area theme plays a vital role in the entire development section instead of being restricted to an appearance at the close of the development, as in earlier first movements.

Inversion, first presented with emphasis at the outset of the development, is one of Bruckner's favorite motivic techniques of development. Augmentation often appears at the beginning of a subsection, as a way of announcing the material to follow. Diminution, on the other hand, functions primarily as a way of generating increased momentum towards the subsection to follow. Except in V/1, Bruckner does not combine and fuse the disparate thematic elements of sonata form

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through polyphonic combination of diverse motives; instead, he concentrates on one aspect of the motivic material at a time.

III. RECAPITULATIONS.

The recapitulations in Bruckner's symphonic first movements provide clear evidence of the composer's stylistic evolution. In the early symphonies, the recapitulations are fairly literal. In the middle symphonies, limited departures from exact recapitulations begin to appear. In the late symphonies, much new development occurs in the recapitulations, particularly in the first and second key area. We shall present detailed analyses of some of these new developmental passages. After a brief consideration of the proportion of the recapitulation to the entire movement, we shall discuss in turn the three thematic areas of the recapitulation. Within each of these, we shall proceed from formal factors toward harmonic and motivic aspects of development.

A. Overall Form and Proportion.

The recapitulations are always shorter than the expositions (Table 9, following page). Within each of the three theme groups we find cuts which average about one-quarter of the original length.

In a few cases, the cuts are extreme. In III/1 and V/1, the first theme group is cut drastically; in both movements, Bruckner eliminates restatements which occurred in the exposition. In I/1, the original closing-section material does not return at all in the recapitulation.

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Table 9

Comparative Length of Sections Within Exposition and Recapitulation[a]

Movement	First Key Area Exposition/ Recapitulation	Second Key Area Exposition/ Recapitulation	Closing Section Exposition/ Recapitulation	Total Measures Exposition/ Recapitulation
I/1	44/41	22/17	40/14	106/72[b]
II/1	62/50	35/34	80/86	177/70
III/1	100/52	70/66	84/42	254/160
IV/1	74/72	44/48	74/16	192/136
V/1	50/18	60/44	64/28	174[c]/90
VI/1	48/36	52/40	44/24	144/100
VII/1	50/38	72/44	42/28	164/100
VIII/1	50/28[d]	46/30	56/52	152/110[d]
IX/1	96/88	56/38	74/58	226/184

a. Figures for recapitulations do not include codas.
b. The end of this recapitulation is not as clear as it is in subsequent first movements. We mark it at meas. 309 (see p. 207).
c. Excluding the introduction.
d. These figures place the recapitulation at meas. 283. If one places the recapitulation at meas. 225 instead, the figures for the first key area are 50/86, for the total measures, 110/168 (see pp. 194 - 96).

In IV/1, the closing section in the exposition contains little independent material, and the composer condenses his ideas in the recapitulation.

B. First Key Area.

In his first five symphonies, Bruckner does not radically depart from classical procedures, which normally entail some modifications within the first key area. Despite moderate cuts, the recapitulation of the first key area is generally literal in I/1 and II/1. As we have noted, the cuts in parallel places in III/1 and V/1 are more extensive. Also within the classical norm, countermelodies embellish the first theme in IV/1 (meas. 365-77, 381-404).

Beginning with VI/1, Bruckner incorporates more sweeping changes in recapitulating the first key area. The modifications in VI/1 occur primarily on the motivic level; the only significant harmonic changes occur where we might expect them, in the transition en route to the second key area. At the beginning of the recapitulation (meas. 209), the first theme appears in quasi-imitation in the horns a half measure later; this imitation replaces the initial horn echoes (meas. 7-8). Furthermore, the composer reverses the dynamics of the entire passage; the original scheme of soft-crescendo-loud now becomes loud-decrescendo-soft.

The recapitulation of the first key area in VII/1 includes both motivic and harmonic developmental activity. The main theme, for

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example, returns accompanied simultaneously by its inversion (meas. 281) until a cadence necessitates modifications (9 measures later). The richer background which supports the remainder of the theme is not in itself unusual. Instead of a second strophe, we find a new transition incorporating important motivic and harmonic events (meas. 303-18). The passage contains new combinations of the original, inverted, and diminished versions of A1a. The sequence built on three ascending parallel seventh chords (D, E-flat, and E) recalls the similar larger sequences of the development section, on C, D, and E-flat (meas. 249-80). In a further harmonic parallel, the tonic (E) is approached from the seventh chord on E-flat for the recapitulation of both the first and second themes.

The concepts of development and recapitulation appear to merge in Bruckner's last two symphonies. As intimated earlier (p. 192, Table 9, note c), there is a question as to the exact location of the recapitulation in VIII/1; we shall now submit alternative answers.

(a) If the recapitulation begins at meas. 225, we would then be hearing the main theme, A1, at its original pitch, in its original register. The preceding events -- the reference to the second theme followed by a crescendo -- adhere to Bruckner's style in earlier symphonies. So much dynamic weight comes to bear at this moment (meas. 225) that we hear it, if not as the beginning of the recapitulation,

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then certainly as a crucial event in the form. On the other hand, Bruckner's previous recapitulations do not typically feature the augmentation and the combination of various separate motives; nor do the resulting proportions represent the usual structural dimensions of his first movements.

(b) Most commentators place the recapitulation at meas. 283. The preceding passage thus becomes the fourth and final subsection of the development, and the proportions which result are more similar to those of Bruckner's earlier first movements. The oboe line, considered in isolation, does seem to indicate C minor; this line appears, however, amidst a dialogue between flute and violins which implies a wandering harmonic center in keys such as D-flat and later C-flat. At the beginning of the movement, furthermore, A1 appeared a full step lower, in the bass register, and tended toward the subdominant of the subdominant. If this is the recapitulation of the first theme, then, singularly, only its first phrase appears even in an exact transposition; the other three phrases are then more in the nature of paraphrases of their original models. In the exposition the harmonic motion is eventually toward the tonic C minor; the closest approach to C minor in this possible recapitulation is the temporary rest on the dominant (meas. 301-2).

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(c) A third alternative would locate the recapitulation after the closing theme (meas. 368). The brass plays the rhythm of A1 as a repeated-note motive, and the home tonic is solidly rooted. This alternative requires a freedom of interpretation of the strictures of sonata form but has some motivic and harmonic reasons in its support.

There is no need for anyone to adopt exclusively any one of the three alternatives. In fact, the likeliest conclusion seems to be that with regard to the location of the recapitulation, the composer intended a certain ambiguity. In its first composed version, the movement had a fortissimo ending; certainly Bruckner could have made other revisions in the recapitulation had he so desired.

Bruckner again avoids traditional recapitulation procedures in IX/1 without repeating the techniques of VIII/1. The development section of IX/1 completely omits A6; this main theme returns to begin the recapitulation and then receives a development section of its own (meas. 333-420; see Figure 10, following page). Besides being both development and recapitulation of the main theme, this passage contains other noteworthy features: (1) it extends to almost half the entire recapitulation; (2) it is itself organized into an exposition, development, and preparation (see Figure 10); and (3) except for an ostinato figure derived from A1b (meas. 355-66) and a rhythmic figure based on C6 (meas. 375-90) it concentrates entirely on A6 and its derivatives, thus

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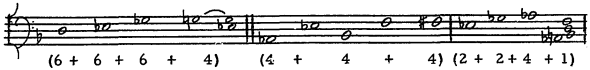
Figure 10

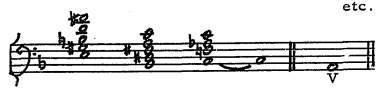
"EXPOSITION"
meas. 333-54
A6

"DEVELOPMENT", meas. 355-98
A6a,b - Fragmentation, inversion, diminution, polyphony



A6a,b, diminution, C6

PREPARATION, meas. 399-420
A6b - Fragmentation, sequence, etc.



(5 + 6 + 12)
23)
21

eliminating most of the material which comprised the exposition. In the "development" part of this passage especially, the rapidity of harmonic motion reminds one of the characteristics of a development section. Traditional analysis of this movement in terms of sonata form must therefore be expanded to explain the unusual treatment of development and recapitulation.

In sum, the pattern of Bruckner's evolution shows up very clearly in the way he recapitulates the first key areas of his first movements.

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In the first five symphonies, the departures from literal recapitulation consist mainly of cuts and small changes well within the traditional norms. Beginning with VI/1, and becoming more radical with each succeeding first movement, Bruckner increasingly regards the recapitulation as a place of new development. In VIII/1 and IX/1, the concepts seem in fact to merge.

C. Transition.

The level of new developmental activity which we noted in the first key area of the recapitulation is not maintained in the transition. One reason, peculiar to Bruckner, is harmonic. We have noted earlier that the first key area in the exposition does not usually prepare the dominant of the expected second key area (see p. 124). In the recapitulation, on the other hand, a dominant preparation is more likely to occur (and does so in II/1, III/1, IV/1, and VII/1). Much of the transition is literally recapitulated, thus obviating new development. Most of the changes consist of cuts. A new developmental transition such as that in VII/1 (see p. 194) represents an exception to Bruckner's usual procedures.

D. Second Key Area.

With the exception of VII/1 and VIII/1, the second key areas contain little in the way of new development. Bruckner sometimes

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effects cuts here, but they are usually not drastic (see Table 9, p. 192). Generally, the organization of the material is similar to that of the corresponding portion of the exposition. The only developmental technique which appears consistently at this juncture is the resort to countermelody as a means of further enriching the texture (I/1, II/1, IX/1).

In VII/1, the theme of the second key area receives unusual treatment in the recapitulation. This is not surprising in view of its other unusual features: it is not strophic; it is highly chromatic; it is prominently developed during the exposition; and it receives lengthy exposure during the development section proper. After an initial statement in the recapitulation similar to that in the exposition, two large arches develop the second theme (see Figure 11, following page). The principal motivic material of both arches is B1a, which had not heretofore appeared as a discrete unit. The composer employs sequence and inversion in developing the motive until it disappears soon after the second arch begins. The main impact of this passage, however, lies in its extraordinary harmonic motion; the passage does not remain within one key, but passes through many harmonic sonorities by means of parallel sixth chords and chords resulting from the implications of contrary motion. Both arches head towards the dominant of the dominant as a goal; even though this chord resolves deceptively on both occasions,

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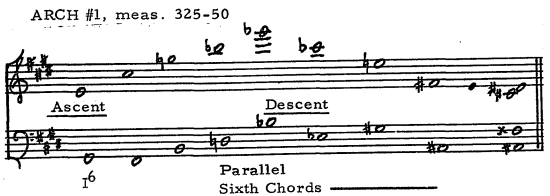
Figure 11 - (VII/1, meas. 335-62)



its very emphatic appearance at this juncture of a sonata form is unusual, inasmuch as here the tonic rather than the dominant usually forms the gravitational center.

Developmental procedures in the second key area of VIII/1, though not so striking or extensive as those in VII/1, nonetheless affect

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both the motivic and harmonic components. In the first appearance of the second theme (meas. 311), the original four-measure phrases are compressed into three-measure phrases; the theme undergoes subtle intervallic changes which persist when the second statement of the theme (meas. 331) returns with four-measure phrases. Except for variants in instrumentation, the recapitulation of the intervening subsidiary material is comparatively literal. Bruckner not only withholds a literal recapitulation of the second theme, he also replaces the traditional restatement in the tonic by a series of wandering key centers (principally the relative major). The tonic begins to emerge only in the last four measures and seems at first to be merely another chromatic passing chord. The section ends on the diminished seventh chord of the dominant.

The second-key-area recapitulations of VII/1 and VIII/1 thus present two different ways of incorporating developmental procedures. In the former, the first phrase of the theme undergoes inversion, sequence, and harmonic development in the building of two large arches; the entire passage recalls the extensive development of this theme in the exposition. In VIII/1, on the other hand, the developmental techniques are more subtle. Bruckner retains the original layout of the exposition and presents the subsidiary material without much change. The second theme itself, however, undergoes changes

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of phrase structure, intervals, and harmonic orientation.

Beginning with IV/1, Bruckner abandons the generally traditional tonic harmonic function for the recapitulation of the second theme (see Table 10, following page). As in the expositions, the second key area in the recapitulations functions as part of a large harmonic arch; the tonic appears only with the closing section. In the recapitulation of IV/1 and VIII/1, the tonic does not appear at all within the second theme area.

Some harmonic parallels emerge from Table 10. The harmonic schemes of V/1 and VI/1 are remarkably alike in both expositions and recapitulations. In both the exposition and recapitulation of VII/1, the dominant of the dominant appears in a crucial role before the closing section. In the expositions of VIII/1 and IX/1, the second key area is in the dominant rather than the relative major, though the similarity does not recur in the recapitulations. The return of the second-key-area theme of IX/1 in the tonic thus represents an unexpected reversion to traditional format.

We may find in Table 10 more evidence of Bruckner's change of harmonic architecture midway through his career. The harmonic connection between second key area and closing section in both exposition and recapitulation testifies to the change. Aside from the parallels in treatment which emerge from Table 10, we note the seeming

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Table 10

Harmonic Relationships between Second Key Area and Closing Section in Exposition and Recapitulation

	Exposition			Recapitulation		
Movement	First Key Area	Second Key Area Ending	Closing Section Beginning	Second Key Area	Second Key Area Ending	Closing Section Beginning
I/1	relative major	dominant of →	relative major	tonic	dominant	tonic
II/1	relative major	dominant of →	relative major	tonic	dominant	tonic
III/1	relative major	dominant of →	relative major	tonic	dominant	tonic
IV/1	relative major of dominant minor	dominant of →	dominant	relative major of subdominant minor	dominant	tonic
V/1	dominant minor	dominant of dominant	relative major of tonic minor	relative minor	dominant of relative minor	subdominant

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Table 10, continued

Movement	Exposition			Recapitulation		
	First Key Area	Second Key Area Ending	Closing Section Beginning	Second Key Area	Second Key Area Ending	Closing Section Beginning
VI/1	dominant minor	dominant of dominant	dominant minor of tonic minor	relative minor	dominant of relative minor	subdominant
VII/1	dominant	dominant of ⟶ dominant minor		tonic	dominant of dominant	relative major of tonic minor
VIII/1	dominant	dominant of ⟶ dominant minor		relative major	diminished seventh of dominant	tonic
IX/1	dominant	chromatic, uncertain	tonic	tonic	diminished seventh of ⟶ tonic major	

preference in the last two symphonies for ambiguous harmonic junctions. Diminished chords and chromatic passages help obscure the harmonic progress from one section to another.

E. Closing Section.

The closing section in the recapitulation is not an important source of new development. With the exception of II/1 and VIII/1, we usually find heavy cuts in this part of the form (see Table 9, p. 192). Given the high level of developmental activity of the closing section during the exposition, one would expect some features of this development to recur during the recapitulation; but the level of this new development does not justify a detailed analysis.

The epilogue which closes the exposition usually does not return (except in II/1) to close the recapitulation. A brief codetta may replace the epilogue. In III/1, the codetta (meas. 579-90) contains some development: A1 returns, accompanied by overlapping statements of A1a in diminution.

Harmonic development plays a part in the recapitulation of the closing section of IX/1. The relationship between D minor (tonic) and B minor (relative minor of the parallel major) here receives emphasis; this is striking because so much of Bruckner's modulatory activity in this movement has been towards flat keys. In the exposition, the

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closing theme begins on D minor, returning later in B minor (meas. 207); in the recapitulation, literal restatement ends at the moment analogous to the first appearance of the B minor passage. In addition, the closing section of the recapitulation begins on B minor (meas. 459) but soon returns to D minor; the diminished seventh chords of the two keys are enharmonically equivalent and provide the link. In the recapitulation, a chorale-like passage of a highly chromatic nature replaces the epilogue at the end of the closing section.

Motivic development plays a role in the recapitulation of the closing section of VIII/1. We have already suggested that one of the possible locations for the definitive recapitulation of the main theme lies within the closing section (see p. 196); the rhythm of A1 appears repeatedly on the tonic (meas. 369-89). This passage is the only place in all the first movements where the main theme plays a crucial role in the closing section.

The closing sections typically conclude with a descending chromatic scale (IV/1, VII/1), occasionally amplified by parallel first-inversion chords (V/1, VI/1). The descending scales of II/1 and III/1 do not appear until after the coda begins. The closing sections usually come to a clear cadence before the codas begin. The sole exception, I/1, is also the only movement in which the most notable closing theme (C2) fails to reappear during the closing section.

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IV. CODAS.

a. Form. The proportion of the coda to the body of the movement varies widely (see Table 11, next page). The shortest and simplest coda concludes VIII/1. The codas written after II/1 usually contain no more than two or three subsections.

In the early symphonies, aside from the length and complexity of the codas, two devices associated with Beethoven appear prominently. The first is interruption of the momentum, perhaps interspersed with pauses, before the final peroration (I/1 through III/1). The second is an ostinato in the bass built on a descent (partially chromatic) from tonic to dominant and back. The latter appears in Beethoven IX/1 and in Bruckner II/1, III/1, and V/1. Bruckner abandoned both of these techniques in his later symphonies.

The coda usually commences after a clear sectional break. Formal clarity results from silence, changes of dynamics and register, new thematic material, and new harmonic emphasis. The closing section and coda of I/1 mesh without a break of any kind; this is the only movement in which the beginning of the coda is not readily identifiable. We have placed the onset of the coda at the return of the tonic chord (meas. 270); alternatively, it might be placed at the next emphatic tonic (meas. 309). There is no need to choose exclusively, for Bruckner clearly intends the closing section and coda together to

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Table 11

Coda: Formal Articulation and Length Relationship to Entire Movement

(a) Movement	(b) Formal Articulation of Coda	(c) Remainder of Movement (Exposition, Development, Recapitulation)	(d) Proportion of Coda to Entire Movement
I/1	81 (38 + 15 + 16 + 12)	270 (106, 92, 72)	1:4-1/2
II/1	83 (32[a] + 24 + 10 + 17)	487 (177, 140, 170)	1:7
III/1	61 (32 + 6 + 23)	590 (254, 176, 160)	1:10
IV/1	73 (32 + 41)	500 (192, 172, 136)	1:8
V/1	59 (20 + 20 + 19)	402[b] (174, 138, 90)	1:8
VI/1	61 (28 + 16 + 17)	308 (144, 64, 100)	1:6
VII/1	53 (22 + 31)	390 (164, 116, 110)	1:8
VIII/1	25	392 (152, 130, 110)	1:17
IX/1	51 (14 + 20 +17)	516 (226, 106, 184)	1:10

a. According to Nowak's preface to the score, the first 32-measure section should be cut in a performance of the final version of 1877.
b. Excluding the introduction.

form one long unit of peroration.

b. Harmonic Aspects of Development. Harmonically, we may regard the coda to a movement as essentially an expansion of its final cadence. The coda either begins as a result of the final cadence, or else includes such a cadence within itself (see Table 12, below).

Table 12

Fundamental Cadences in Relation to Codas

Movement	Dominant-Tonic Begins Coda	Dominant-Tonic Within Coda	Subdominant-Tonic Within Coda	None of the Preceding Types
I/1	x	x (several)		
II/1	x	x		
III/1	x			
IV/1			x	
V/1		x		
VI/1			x	
VII/1				x
VIII/1				x
IX/1	x	x		

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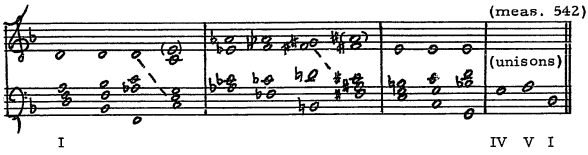
Only two movements lack this harmonic superstructure. The short coda to VIII/1 continues the preceding tonic chord by some twenty measures (beginning meas. 369). A tonic pedal point underlies the coda of VII/1; instead of a dominant chord before the coda, there is a chromatic neighboring chord leading to the tonic.

Most of the codas include some area of harmonic digression, which usually occurs at the center of the coda. Sometimes, as in III/1 and V/1, there is no substantial disruption of the basic harmonic functions. In other cases, the harmonic activity becomes the primary element.

Such harmonic activity, occuring in the midsection of the coda to IX/1 (see Figure 12) exemplifies a harmonic style more typical of a development section than of a coda.

Figure 12



The passage, a three-fold harmonic sequence, does not establish any of the transient key centers but returns eventually to D minor. The

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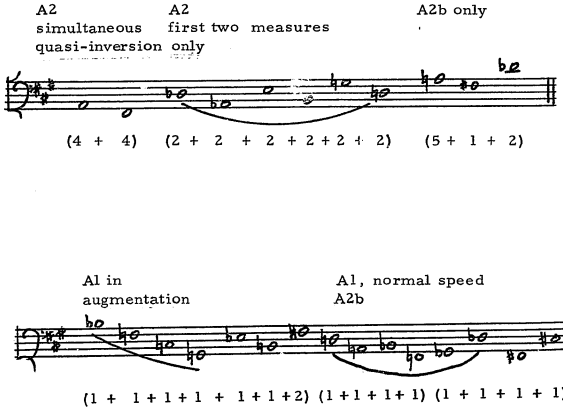
arrangement of Figure 12 stresses the voice-leading aspect of the progression, particularly its reliance on common tones. The resolution in the actual score follow the dotted lines of our example, not the parentheses. The passage is followed by a cadential formula beginning the last subsection (at meas. 542, also shown in Figure 12).

The harmonic development within the coda of VI/1 is even more complex (See Figure 13, below).

Figure 13



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The first two sections of the coda contain most of the harmonic activity; the final section (not shown in Figure 13) is an expanded plagal cadence. In the harmonic development of this coda, two kinds of harmonic motion prevail. One kind, typifying the first section of the coda, concentrates on tonic-dominant root motion alternating with root movement by thirds. The other kind of harmonic motion, more common in the second section of the coda, relies primarily on the circle of fourths and on half-step deceptive progressions. Finally, we note throughout the first two sections of the coda the prominence of F-sharp (or G-flat) major, the major mode of the relative minor.

c. Motivic Aspects of Development. The codas all concentrate on the first main theme or fragments thereof, sometimes (in IV/1, VII/1, and VIII/1) to the exclusion of all other material. In III/1 and IX/1, there are two main themes in the first key area; both themes provide the coda material in their respective movements. In III/1, the coda combines fragments of the two themes; in IX/1, the two themes appear in succession before their first synthesis. In V/1 and VI/1, the coda combines themes from the first main key area with other prominent elements from the beginning of the movement. The coda to I/1, again a stylistic exception, concentrates on the first theme only for the final 28 measures; the preceding material is based on A2, B1b, and C1.

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In most of the movements under analysis, the triadic components or perfect intervals of the main theme become the material for the final section of the coda. The main themes of III/1, IV/1, VII/1, and IX/1 lend themselves especially to this treatment; the main theme of VI/1 appears with some modification of intervals (meas. 361-65).

Triads or perfect intervals are not prominent in all the main themes (for instance, I/1, II/1, and VIII/1). In I/1, the theme moves almost entirely by step. In II/1, the triadic element comes from the new arrangement of the intervals of A4. In VIII/1, the main theme of the first movement receives triadic treatment only at the close of the last movement (meas. 697-705), nor was this treatment present in the original version of the first movement.[31] In that version, A1 appears in augmentation; D-flat (the Neapolitan) is the penultimate chord, which thereby reinforces the chromatic elements of the theme.

The range of developmental techniques found in the codas includes sequence, inversion, fragmentation, augmentation, and diminution. We will examine several representative codas to demonstrate how Bruckner employs these devices.

The coda to III/1 includes several aspects of motivic development. In this coda, the two Beethoven features mentioned earlier are both prominent. The first section is built on a simple ostinato, and the short interlude is an expanded pause before the onrush of the final

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section. The first section develops Ala through progressive diminution; the three-measure motive is eventually compressed to three quarter-notes, implying triple meter (see the brass, meas. 610-22). Simultaneous inversion and overlapping entries add to the excitement. The interlude presents two sequential statements of the second half of Bl. In the final section, Ala returns in its array of diminution, overlapping entries, and simultaneous inversion; superimposed upon this we hear Bla, now in triadic form. The movement concludes with three statements of the first two measures of Ala, which completes its descent only in the final measure.

The entire coda of III/1 may really be only a partial conclusion if the listener is still waiting to hear the entire trumpet theme in a complete restatement.[27] This is postponed until the last movement (meas. 451-65), where the theme returns in augmentation in the major mode as part of the triumphant conclusion to the entire symphony.

The coda to V/1 consists of three main sections. An ostinato pattern based on Al underlies the two outer sections, the first of which is in the minor mode, the last in the major mode. In the first section (meas. 453-72) A3 is a kind of ostinato as well; as additional instruments enter, inversion and overlapping entries become part of the activity. The principal event of the middle section is a flashback to the intense polyphonic activity of the development section; except for

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instrumentation, we find a literal restatement of meas. 287-90. The final section unites the three themes, A1 - 3; A2 is the last to enter. Both A2 and A3 appear only as repeated-note rhythms in the final peroration. The coda to V/1, in sum, includes not only developmental procedures but a virtual quotation from the development section itself.

The coda to VI/1 is almost a new development section; it is approximately as long as the development section itself. Although harmonic development is possibly its most vital feature (see pp. 211-12), motivic development is also prominent. Quasi-inversion permeates the first section. The second section includes dialogue and augmentation. Like the development section, the final section combines motives A1 and A3 (cf. meas. 195 and 353).

The coda to IX/1 includes many of the devices noted previously, especially diminution, fragmentation, and inversion. The first and last of its three parts occur over tonic pedal points; the middle section contains intense harmonic development (see Figure 12, p. 210). Aside from these factors, two primary features distinguish this coda. First, the coda is the only place in the entire movement in which there is a synthesis of the two main themes, A2 and A6; a double-dotted rhythm common to both dominates the coda. Secondly, the halfstep motion from D to E-flat which characterizes both themes is resolved here; E-flat falls back to D as the movement ends.

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d. Summary. The codas, in summary, generally consist of two or three subsections. They incorporate harmonic and motivic aspects of development. Harmonic development is not always in evidence, but on occasion, as in VI/1 and IX/1, it becomes the most vital element. None of the transient key centers, however, becomes established or, for that matter, achieves prominence by virtue of duration. All the motivic devices of the development section may be called upon in the coda, and in one case (V/1), we find an almost literal quotation from that section.

As in much of the symphonic literature, the coda provides the dramatic culmination of the entire first movement. Except for the coda to VIII/1, which in its original version concluded loudly, an extended fortissimo by the full orchestra ends the movement. Because of the massive summation of Bruckner's first-movement codas, there is not a strong impetus towards the succeeding movements. Furthermore, the numerous revisions that Bruckner made in his final movements would seem to indicate that he encountered difficulty in producing a summation to an entire symphony which would be of sufficient scope to include the first movement as only a segment.

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V. NOTES.

1. Kurth, Bruckner, p. 511.
2. See pp. 225 - 26 for a summary of these characteristics.
3. Printed in Göllerich, Bruckner, IV/1, pp. 271-72.
4. Other similarities between these two movements are discussed on pp. 226-27.
5. The references are to the Thematic Table, pp. 230-39 .
6. See p. 37.
7. See pp. 121 -23.
8. See pp. 127 -28.
9. See, for instance, Schubert IV/1 and Beethoven IX/1.
10. The second themes in the first key areas of III/1 and IX/1 are numbered differently in our thematic table: B1 in III/1, A6 in IX/1. The reason for this is that III/B1 is definitely a subsidiary theme, whereas IX/A6 is possibly the main theme of the movement.
11. For an analysis of the central parts of the development of V/1, see pp. 185 - 89.
12. See p. 132.
13. See Orel, Bruckner, pp. 53-56, 65.
14. See p. 126 .
15. Salzer, Die Sonatenform bei Schubert, p. 102.
16. See Korte, Bruckner und Brahms, pp. 33-36.
17. More fully discussed on p. 166.
18. See pp. 138-39.

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19. The polyphonic portion of the development is analysed in detail on pp. 185 - 89.

20. See pp. 138 and 189 .

21. See p. 136 .

22. See p. 146 .

23. See pp. 194 - 96.

24. See pp. 160-61.

25. See pp. 185 -89.

26. Printed in Göllerich, Bruckner, IV/2, pp. 553-56, in short score, with key signature of one flat.

27. See p. 120 .

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Chapter 5

SUMMARY

Our concluding chapter has three main divisions. In the first, we shall summarize our findings concerning Bruckner's treatment of sonata form with emphasis on the role of development in all its meanings. Contrast between Bruckner's style and those of his predecessors and contemporaries will be adduced where pertinent. In the second division of our summary, we shall concentrate on Bruckner alone. We shall take note of some unusual procedures, comment on some parallels between various symphonies, and finally, highlight some of the evidence of Bruckner's stylistic evolution. In the final segment of this chapter, we will draw some conclusions concerning Bruckner's position in the evolution of sonata form. We will find that his music combined extremes of conservatism and progessivism.

I. BRUCKNER'S TREATMENT OF SONATA FORM.

The opening of a Bruckner first movement, because of its tremolos or ostinatos, immediately sounds different from works of other composers (except Beethoven IX/1, an obvious influence). Bruckner usually states the first theme in the bass instruments or a solo brass instrument,

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in contrast with the more traditional presentation of the first theme by violins or full orchestra. Although some triadic figures appear, Bruckner avoids the triadic first themes frequently chosen by other composers. He also gives the first theme a wide harmonic latitude (especially after IV/1), so that the theme is no longer simply a horizontal version of the tonic chord. Instead of parallel construction in four- or eight-measure groups, Bruckner bases his symmetry on a much broader level. His first key areas are uniformly constructed in two large strophes; the second strophe restates the theme with expanded instrumentation and dynamics. The second half of each strophe includes developmental passages which incorporate such devices as fragmentation, sequence, dialogue, and extension. Although strophic construction had appeared in the works of Bruckner's predecessors, the expansion of the form through harmonic and motivic development constitutes Bruckner's particular imprint. The great length of the movement follows almost inevitably from the spaciousness of architecture apparent within the first key area alone.

In our study of other composers, we found that the second key area is usually shorter than the first, that it is often approached by common-chord modulations, that motivically it does not always contrast highly with the first key area, and that there is no single typical phrase structure or intervallic construction. All these features are reversed

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in Bruckner. The second key area may be as long as or longer than the first; chromatic motion (common in nineteenth-century music) replaces common chord modulations; the theme groups contrast highly, reinforced by the emphasis on string timbres for the second key area; and there are both recurring phrase structures (multiple repetitions of two- or four-measure groups) and distinctive intervals (sixths and sevenths). Bruckner's second key areas are also often constructed strophically, and are likely to include a significant amount of harmonic development. The principal divergence from traditional style again concerns harmonic architecture. After the early symphonies, the second key area, instead of fully establishing a new key, is part of an incomplete harmonic arch completed only with the closing section.

In a first movement by Bruckner, the closing section is not merely a 25-30 measure series of cadential passages; it is fully equal in length and importance to the other two sections of the exposition. Here the new tonic is confirmed; indeed, in some cases the new tonic makes its first appearance in the closing section. Further features typical of Bruckner include: the independence of the closing themes (in the works of his predecessors, usually derived from motives heard in the first key area); the large amount of motivic development within the closing section; and the final epilogue with its tendency towards complete repose.

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The exposition of a first movement by Bruckner achieves its expansion largely through developmental processes. All three sections of the exposition, with their highly contrasting themes, include passages of motivic development. Harmonic development is found on two levels. First, each section of the exposition usually includes a harmonic digression of some length; the first themes themselves often display a tendency towards harmonic expansion at the very outset. Second, the second key area and the closing section form one harmonic arch, the realization of which is achieved only in the closing section. The spaciousness of the architecture is further reflected in the epilogue with its almost total cessation of movement, in contrast to the more traditional continuation of momentum.

Bruckner's development sections differ from those of his predecessors and contemporaries on the formal, the harmonic, and the motivic levels. The most easily recognizable formal feature is the degree to which the subsections of the development are discrete entities, separated by silences, dynamic and timbral contrasts, or new motivic content. Although there is no one general design to which Bruckner adhered, each development section does have a logical overall scheme. This scheme may be basically binary (IV/1) or ternary (VI/1) or, as in VIII/1, difficult to delimit. Most typically, there is an introductory subsection followed by several main subsections (each of which develops

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a particular theme or motive), concluded, in the early symphonies, with an interlude-like transition based on the second-key-area theme. Like many other composers, Bruckner derives most of the material for the development section from the first theme group.

Bruckner's style of harmonic development is highly individual. Like other composers, he seldom fully establishes a key during the development. Unlike other composers, he does not rely on common-chord modulations or on the circle of fifths. Instead, we find three types of harmonic motion in Bruckner's developments: juxtaposition of key centers; sliding chordal motion; and enharmonic key changes. The main keys of adjacent subsections are usually diatonically related, although not by fifths. A transition including a dominant preparation may precede a given subsection. Within each subsection, the harmony frequently moves by third-related keys and chromatic motion. From VI/1 on, Bruckner no longer writes an extensive dominant preparation for the recapitulation; instead, the tonic enters as a result of sequence and chromatic motion.

Bruckner differs widely from other composers in his style of motivic development. Except for V/1 and VIII/1, he rarely combines and resynthesizes the disparate elements of the various theme groups. Instead, he develops motivic ideas one at a time, in subsections of some independence. He calls upon several techniques which he does not

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generally use in the expositions and which are hallmarks of his style. Augmentation and diminution serve particular purposes in regard to the architecture of the subsections. Inversion also plays a vital role, and the inversion of the main first theme usually begins the development section. Imitation and polyphony in Bruckner's style are in general subordinate to the harmonic motion; one does not encounter a true fugato, as in Beethoven IX/1. For the rest, such devices as sequences, fragmentation, and extension make up much of Bruckner's developmental vocabulary.

Most of the recapitulations in Bruckner's first movements adhere to traditional usage. Some new development appears, primarily in the first key area; and there are significant cuts, particularly in the closing section. The overall architecture, especially in regard to the harmonic structure of the second key area and the closing section, parallels that of the exposition. As his career progressed, Bruckner treated the problem of recapitulation more freely. In the recapitulations of VIII/1 and IX/1, Bruckner deviated greatly from traditional practice, merging the concepts of development and recapitulation. Imaginative new approaches to sonata form are the result.

The long Bruckner coda provides a long tonic counterbalance to the chromaticism within the movement. As in the style of the other composers we have analyzed, Bruckner emphasizes in the coda the triadic

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elements or perfect fifths of the main theme (or themes). Also like other composers, he resorts frequently to fragmentation and sequence; his inclusion of augmentation, diminution, and inversion in the coda, however, is exceptional.

Bruckner's codas, usually in two or three subsections, incorporate additional motivic and harmonic development, often constituting terminal developments. The harmonic development in both VI/1 and IX/1 is especially rich. On occasion, forces presented in the first movement do not achieve their final resolution in the first-movement coda, but, as in III/1 and VIII/1 especially, return with great force at the close of the last movement.

II. BRUCKNER'S STYLISTIC EVOLUTION.

A. Some Unusual Movements and Some Parallels.

Even though I/1 follows two other unpublished symphonies, there seems sufficient evidence that it is still not written in the mature style typical of the subsequent symphonies. Supporting evidence includes the violin presentation of the first theme with its dotted rhythm, and the A - B - A structure of the first key area. The closing theme is set apart from Bruckner's other closing themes by its lack of a clear, concentrated melodic profile. In the development, uncharacteristic

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features include: the subordination of A1 to A3; the insertion of a completely transitional subsection in mid-development; and the loosely connected harmonic activity. Also not typical of subsequent first movements are the way the recapitulation and coda form one block, and the difficulty the composer has in bringing off the final peroration.

Much of the distinctive quality of VII/1 derives from the treatment of the second theme. Unlike all the others, this second theme enters in the woodwinds, has irregular phrase structure, and is longest in proportion to both first key area and total exposition. The long development accorded the theme in the exposition does not prevent its receiving a large share of attention in the development section proper, as well as a new extensive development during the recapitulation. The prominence of this theme together with the subdued treatment of trumpets and percussion perhaps accounts for the more lyrical quality of this movement; its mood seems closer to Bruckner's second movements than to his other opening movements.

We have noted several parallels between III/1 and IX/1. These stem principally from the presence in each exposition of two main first themes, as a result of which these expositions are the longest of all the first movements. Another parallel results from the entry in mid-movement, fortissimo in the tonic, of the first motive of the main theme. In III/1, this statement is part of the development, with the recapitulation

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to follow; in IX/1, this statement is both the beginning of the recapitulation and the beginning of a separate development of A6. In both of these movements, the composer reconciles the two respective themes in the coda. Bruckner's revision of III/1 in close temporal proximity to the composition of IX/1 may perhaps explain the resemblances.

Other parallels of treatment abound in Bruckner's first movements. We find similar harmonic structure in the expositions and recapitulations of V/1 and VI/1; the same holds true of VII/1 and VIII/1. In the latter pair, we also find parallels of treatment in the first key area; the first theme makes up virtually the entire first strophe, and the second strophe begins as the result of a forced return to the opening sonority.

B. Towards a Chronological Summary.

We now summarize some of the features which shed light on the evolution of Bruckner's style. We found that in the first key area of the earlier movements, the main theme itself has fewer motives, but that aside from the theme there are more subsidiary motives. In the later opening movements, the themes themselves contain more motives; subsidiary passages are drawn from these motives and develop them. Thus the structure becomes more economical as the composer's style evolves.

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After III/1, the second key area becomes an incomplete part of a large harmonic arch, which is completed by the closing section (in both expositions and recapitulations). Until VI/1, the second themes each have a single tonal center; in the remaining first movements, the second themes become highly chromatic.

The second-key-area theme plays a subordinate role in the development section in the early and middle symphonies. In VII/1 and VIII/1, in contrast, the second-key-area theme receives more equitable treatment during the development. In his last work, Bruckner seems to have returned to the earlier treatment.

In the early symphonies, the development ends with a dominant preparation; beginning with VI/1 the tonic of the recapitulation enters chromatically, by means of sequence, or with little preparation (as in IX/1, which again harks back to earlier procedures).

The recapitulations of the early symphonies tend to be literal. In the middle symphonies, there are some departures from strict recapitulations, but none that could not be found within the norms of Classical or Romantic style. In the last two first movements, however, the concepts of development and recapitulation seem to merge, creating new formal possibilities.

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C. Bruckner's Position in the Evolution of Sonata Form.

Bruckner occupies both a conservative and a progressive position in the evolution of sonata form. This anomaly was apparent in his career as a whole; the conservative Catholic writer of church music was championed by Richard Wagner, Hugo Wolf, and the New German School.

Bruckner's conservative cast manifests itself, at least in his first seven symphonies, in his reliance on the established traditions of sonata form. The clear sectionalization manifested in his first movements seems to contrast with the Romantic ideal of a seamless, organic artwork. Some of his techniques of development (e.g., inversion, augmentation, and diminution) are associated more with Bach than with the symphonic composers beginning with Haydn.

The progressive aspects of Bruckner's style are reflected primarily in his harmonic writing. The fundamental key area is widely expanded through chromaticism, and the result is a spacious architecture wherein the basic tonality appears only at crucial points. In combination with the intense motivic development accorded to each theme group, the result is a vast expansion of the form. In his last two symphonies, Bruckner experimented with the basic structure of sonata form itself.

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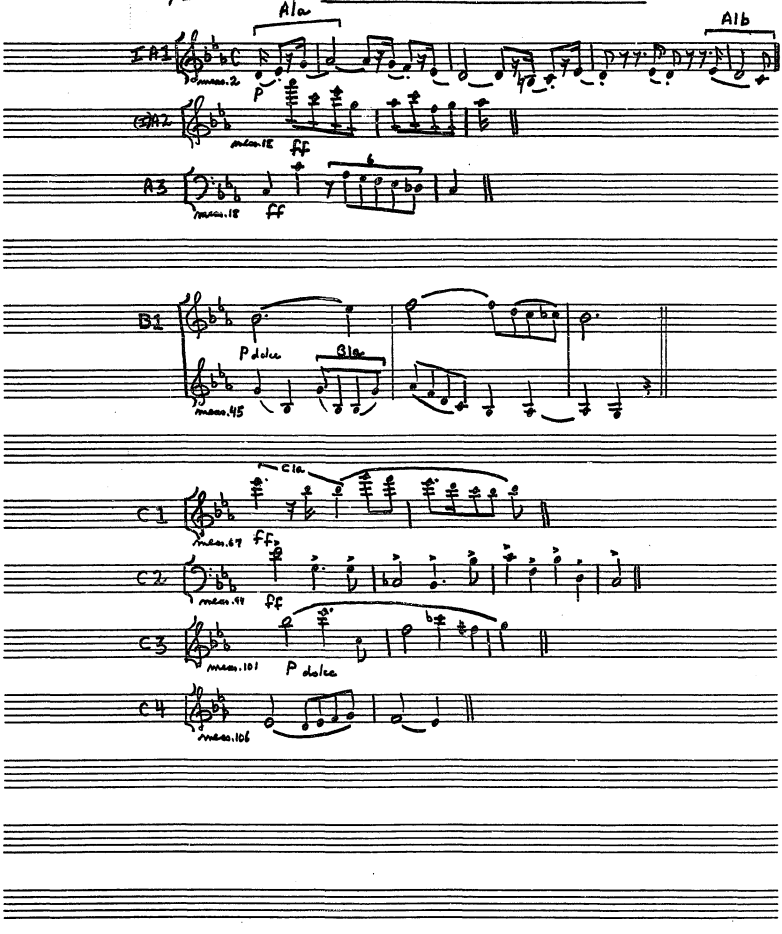
THEMATIC TABLE



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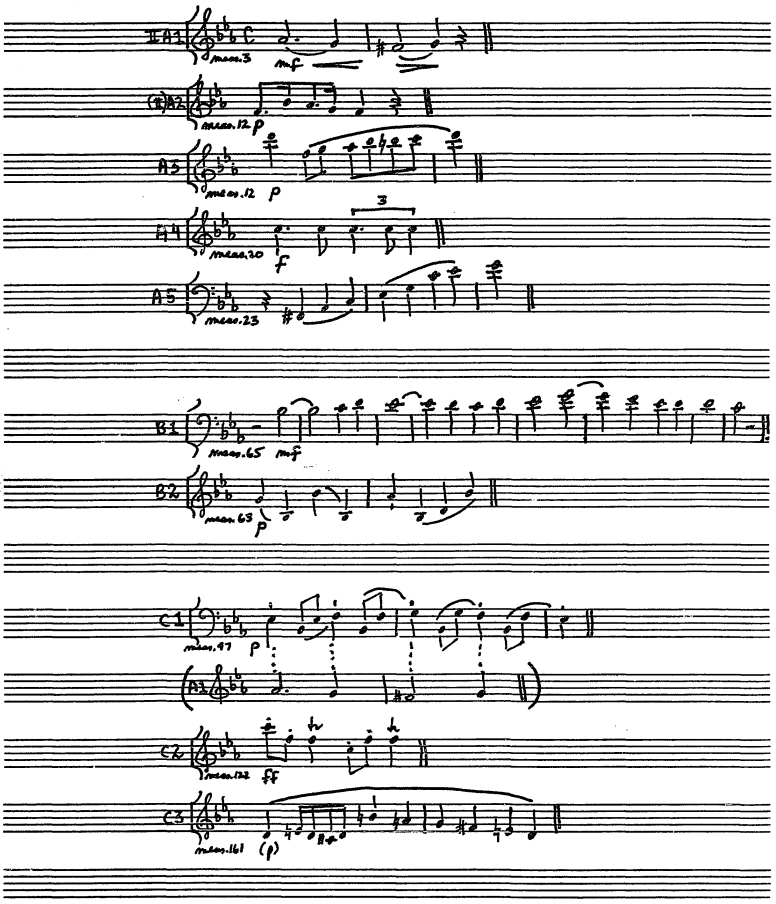

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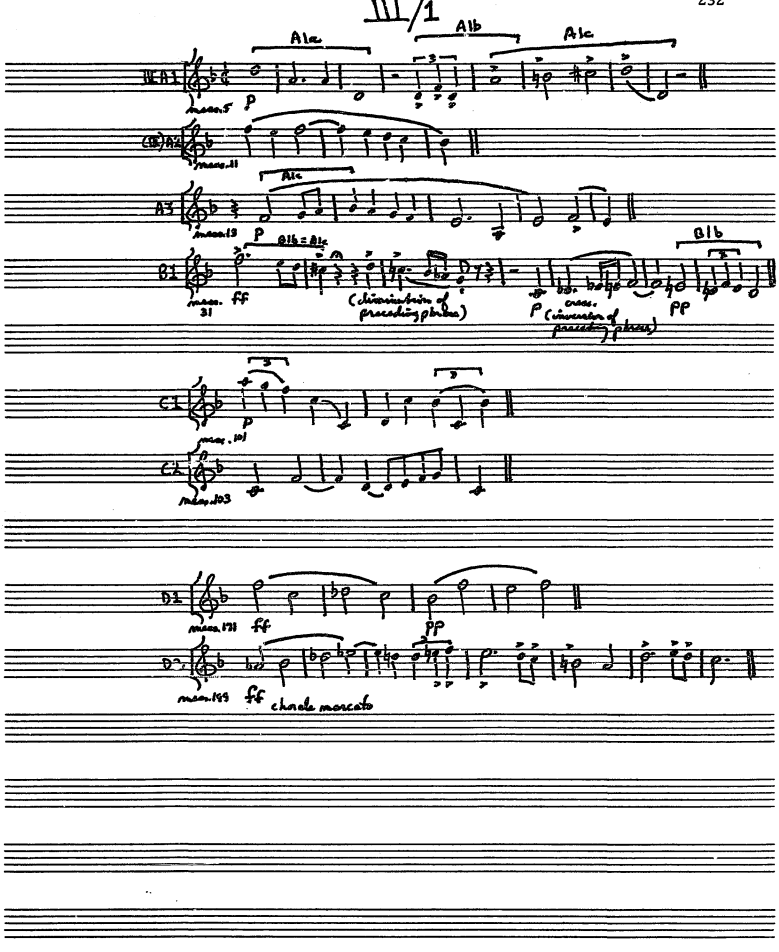

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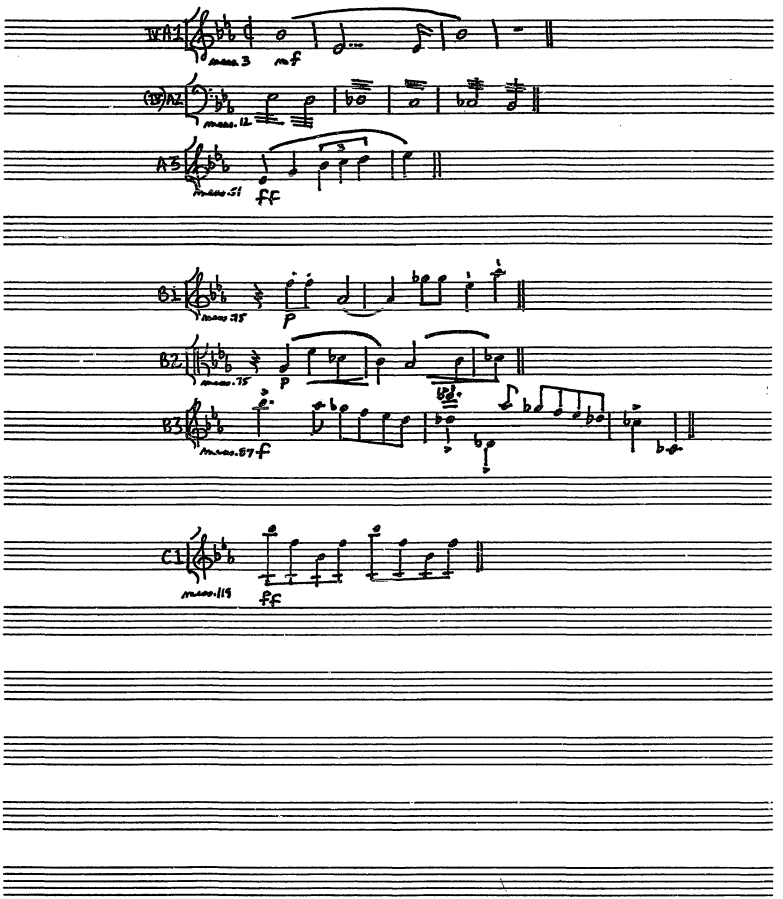
IV/1



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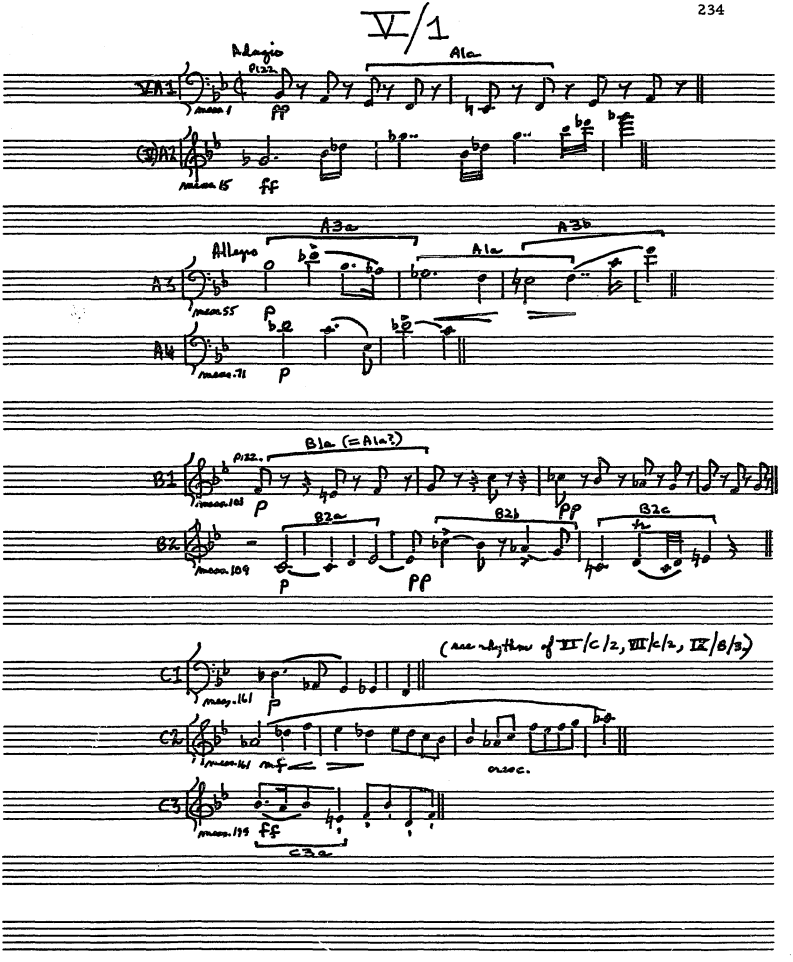

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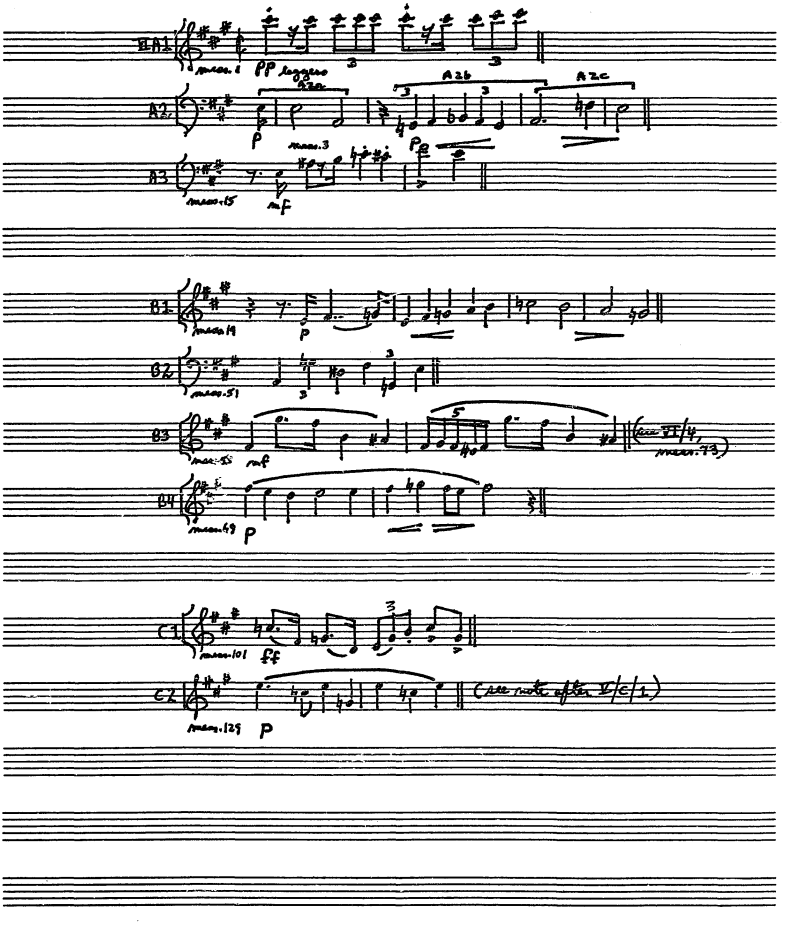
VI / 1



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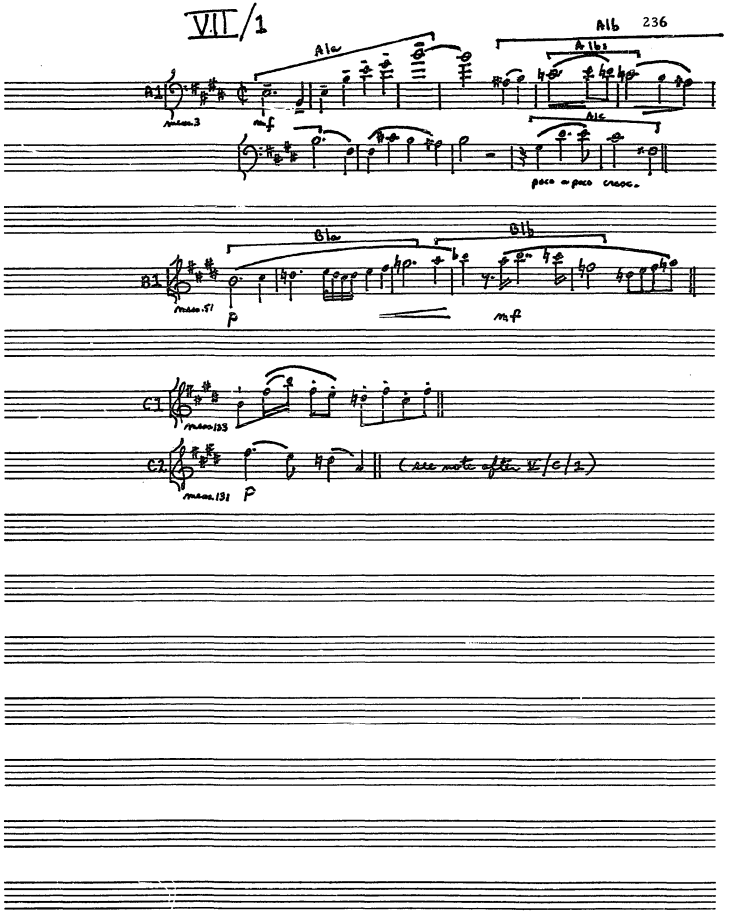

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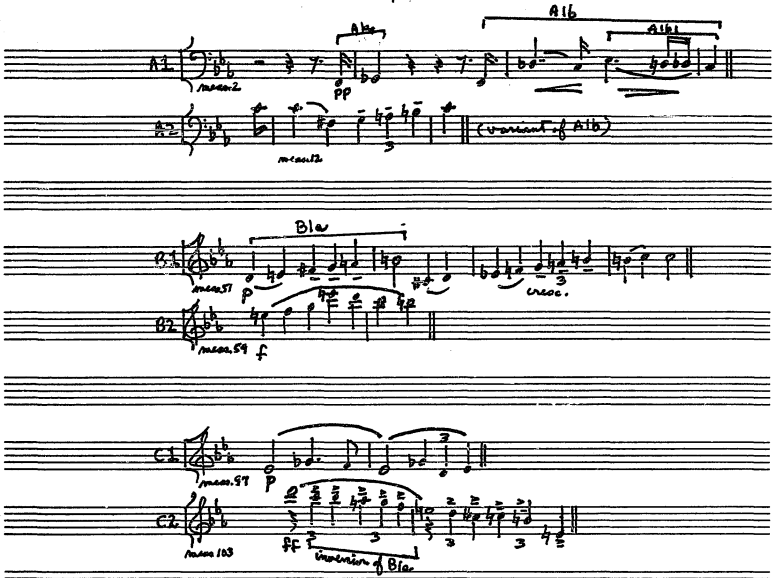

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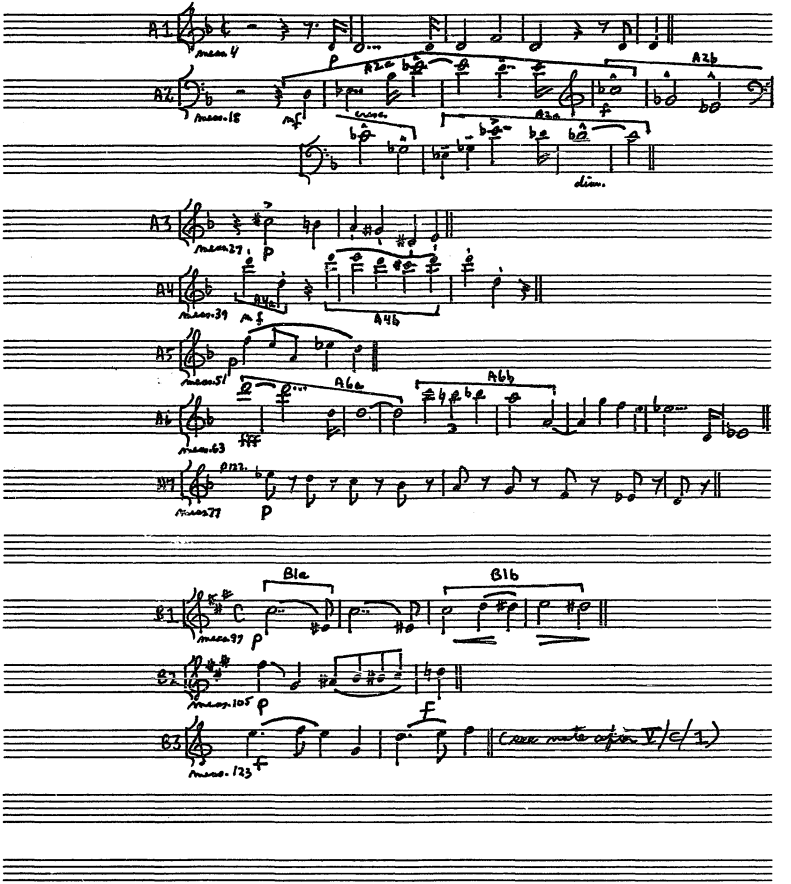

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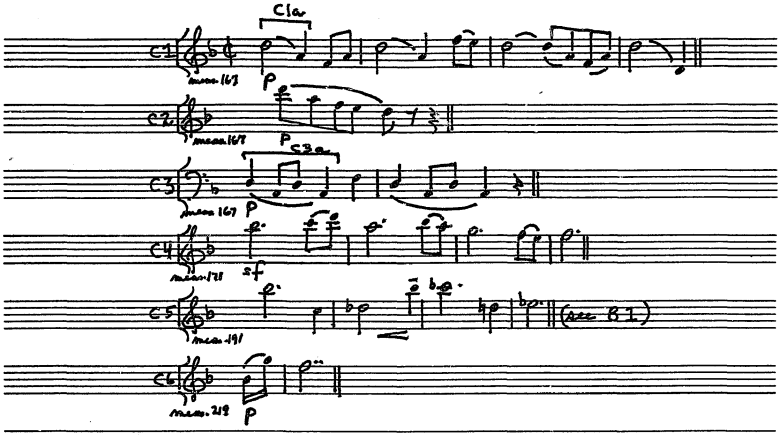

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